

OPEN RESEARCH POSITION STATEMENT

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Introduction

At the Open Access (OA) Roundtable held in March 2024, participants considered and endorsed 15 preliminary policy clauses that were designed to inform future policy work. Deakin's University Librarian subsequently worked with Director, Academic Governance and Standards to transform the detailed clauses into a high-level Open Research Position Statement to guide decision making and prioritisation of work by the OA Taskforce.

Deakin's Draft Open Research Position Statement

The draft Position Statement includes four **Foundational Principles** and six **Institutional Commitments**.

Foundational principles:

1. Research is global public good, and barriers to the dissemination of research should be removed wherever possible
2. Open research practices are aligned with Deakin's values and strategic ambition of driving positive societal impact
3. Open research practices foster trust, transparency, and integrity in research
4. Urgent reform is needed to create a more sustainable, affordable and scholar-led research ecosystem

Institutional commitments:

5. Deakin actively supports and contributes to global open research initiatives that seek to reform and transform the scholarly publishing system
6. Deakin researchers will publish as openly as possible, adhere to [FAIR](#) and [CARE](#) principles, and consider the ethics of publishers with which they work
7. Deakin supports multiple pathways to open dissemination of research
8. Deakin supports CAUL's efforts to negotiate open access agreements and encourages researchers to make full use of these agreements. Deakin does not support the payment of Article Processing Charges (APCs) to make a single article open in an otherwise subscription journal
9. Deakin is prepared to cancel publisher agreements where they do not align with Deakin's commitment to sustainable and affordable open research
10. Deakin is committed to optimising policies, services, and systems to accelerate open research practices, including reward and recognition and research quality evaluation

Operational Implications

The table in Appendix A cross-references the new Position Statement clauses with the original clauses discussed and endorsed at the OA Roundtable, and provides a summary of operational implications for implementation.

Recommendation

This paper recommends that Deakin's OA Taskforce:

- Endorse the draft Open Research Position Statement
- Provides feedback on the identified operational implications (Appendix A)

Appendix A: ALIGNMENT TO OA ROUNDTABLE CLAUSES AND IMPLEMENTATION CONSIDERATIONS

OPEN RESEARCH POSITION STATEMENT PRINCIPLES	Relevant OA Roundtable Clauses (original clause # in square bracket)	Required Action (policy/service/systems)	Policies	Approval
Research is global public good, and barriers to the dissemination of research should be removed wherever possible	[Clause 1] As a signatory to the BOAI , Deakin believes that university research is a public good. Deakin believes that universities should play an active role in breaking down barriers to the dissemination and access of research for the benefit of society. The Deakin community shares deep concern about the increasing unsustainability of commercial academic publishing and the extent to which the research management eco-system is dominated by an increasingly consolidated number of for-profit vendors.	Public notification that Deakin is a signatory to BOAI	N/A – statement of principle	RRTC Executive
Open research practices are aligned with Deakin’s values and strategic ambition of driving positive societal impact	[Clause 4] With an enduring commitment to positive community impact, Deakin believes in the value of publishing research openly and in outlets beyond traditional publication outlets in order to reach both academic and non-academic audiences and to improve the overall integrity and transparency of research.	Emphasise Open Research practice in Research Conduct Policy (social responsibility) and Research Dissemination Procedure Consider support and training as part of future work on Impact and NTROs	Research Conduct Policy Research Dissemination Procedure	RRTC
Open research practices foster trust, transparency, and integrity in research	[Clause 4] With an enduring commitment to positive community impact, Deakin believes in the value of publishing research openly and in outlets beyond traditional publication outlets in order to reach both academic and non-academic audiences and to improve the overall integrity and transparency of research.	As above	As Above	As above
Urgent reform is needed to create a more sustainable, affordable and scholar-led research eco-system	[Clause 2] As a signatory to the More Than Our Rank initiative, the Deakin community shares a deep concern about the influence of research rankings on responsible research culture and the further entrenchment of for-profit vendors and flawed assessment methodologies in the sector. [Clause 3] As a signatory to DORA , Deakin believes in the responsible use of metrics. Deakin rejects journal-level	Public notification that Deakin is a signatory of the DORA and MTOR A number of areas will need to be addressed: Deakin Achieve	N/A	RRTC Executive

	metrics as proxies for quality in research assessment, hiring or promotion processes, and values a broad range of impact and quality measures including qualitative and narrative-based indicators. Deakin will actively encourage and incentivise open scholarship in reward and recognition processes.	Promotions Research Performance Evaluation Marketing/comms Reference example: Balanced, broad, responsible: A practical guide for research evaluators		
Deakin actively supports and contributes to global open research initiatives that seek to reform and transform the scholarly publishing system	Covered in multiple clauses: 1,2,3,7, 13	N/A	N/A	N/A
Deakin researchers will publish as openly as possible, adhere to FAIR and CARE principles, and consider the ethics of publishers with which they work	[Clause 7] Deakin academics are strongly encouraged to publish their research as openly as possible and as closed as is necessary (adhering to FAIR and CARE principles). [Clause 5] Deakin supports academics to decide on the most appropriate publishing outlets for their research, considering their audience and desired benefit - whether on the scholarly community, policy makers, industry or the broader community. With this commitment, Deakin encourages academics to also consider the ethics and values of the publishers they publish, peer-review and edit for, and the extent to which each publisher serves the interests of the research community	Additional guidance for researchers to be developed Emphasise Open Research in Research Dissemination Procedure	Research Dissemination Procedure	RRTC
Deakin supports multiple pathways to open dissemination of research	[Clause 8] Where Deakin academics choose to publish in a pay-to-read publication outlet, Deakin strongly encourages academics to retain their rights during the submission process. If a journal does not by default enable authors to make the Version of Record open and accessible with a CC-BY licence, Academics are requested not to grant the publisher an exclusive copyright license during the article submission process, and to inform the journal, at the time of submission, that they are retaining CC-BY rights to Author Accepted Manuscript. [Clause 10] During the transition to new publishing models, Deakin strongly encourages academics to avoid publishing in	Significant work required including policy, training/guidance, guidance, workflow/systems and budget implications Creation of centralised APC fund Alignment with national Rights Retention initiatives Relevant references: ‘University rights retention and academic publishing contracts in	Intellectual Property Policy Research Dissemination Procedure Research Repository Procedure	RRTC Executive

	<p>hybrid journals, unless they are covered by a CAUL OA agreement and do not involve additional payment. Under no circumstances should additional APCs be paid to hybrid journals. If publication in those journals is the optimal option for the work it should be published as a subscription article, with a copy of the work to be deposited in DRO (noting that this will be embargoed without rights retention, see clause 8 [Clause 11] Deakin supports the payment of APCs to fully OA journals, only where the journal is run by a non-profit or profit-for-purpose, scholar-led, full OA publisher and the cost is transparent and reasonable.</p> <p>[Clause 12] Deakin Library will maintain a small APC fund to support HDRs and researchers to publish openly where grant funding is not available and no options are available via CAUL OA agreements.</p>	<p>a world of open access mandates', Briefing paper for senior executives (university sector) – 20 Aug 2021 cOAlitionS information on Rights Retention</p>		
<p>Deakin supports CAUL's efforts to negotiate open access agreements and encourages researchers to make full use of these agreements. Deakin does not support the payment of Article Processing Charges (APCs) to make a single article open in an otherwise subscription journal</p>	<p>[Clause 13] Deakin supports its Library to continue working with CAUL and international consortia to transform the scholarly communication and publishing system, and to negotiate fairer and more affordable deals that reduce barriers to both reading and publishing</p> <p>[Clause 9] Deakin does not support the payment of APCs for articles to be made openly accessible in an otherwise pay-to-read journal</p>	<p>This is a statement of principles – no immediate action</p>		
<p>Deakin is prepared to cancel publisher agreements where they do not align with Deakin's commitment to sustainable and affordable open research</p>	<p>[Clause 14] Deakin is prepared to cancel big journal deals, including OA deals, where pricing or other agreement principles do not align with Deakin's values</p>	<p>Cancellation approval and contingency planning process</p>		<p>Academic Board</p>
<p>Deakin is committed to optimising policies, services, and systems to accelerate open research practices, including reward and recognition and research quality evaluation</p>	<p>[Clause 15] Deakin is committed to supporting bibliodiversity and open, scholar-led publishing initiatives, such as Diamond OA publishing. X percentage of the Library's Information Resources budget is dedicated to funding open, scholar-led publishing initiatives.</p>	<p>Most actions captured in points above Work required to establish criteria and revise policy to enable investment in Open initiatives</p>	<p>Library Collections Framework Business Expense Policy</p>	<p>Executive</p>