



Implementing Open Access

Policy case studies

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Full working paper available at <http://ssrn.com/author=434>





Implementation is about...

- Solutions, data, experience, evidence, evaluation...
- Policy implementation
- Business implementation
- Changes in framework: technology & law
- Changes in ecology: attitudes & behaviour of readers and authors

=> Second generation open access?





Policy case studies

- **Theoretical sampling** (break new ground, show variety, define methodological standard)
- **Expert interviews** (professional experience, actual story, importance of institutional factors)
- **Qualitative content analysis** (structuration of text, categories of meaning, summary of issues)
- **Internal and external validation** (internal approval and comment; external recognition)



List of cases

1. Refining green open access policy: Queensland University of Technology (September 2003)
2. Refining policy to foster deposit: University of Zurich (July 2005)
3. National platform, open collection, decentralized policy: the HAL platform (June-October 2006)
4. Maximising a funder's impact: The Wellcome Trust (October 2006)
5. Implementing open access as a digital infrastructure: UK PMC (January 2007)
6. Learning from global research infrastructure: SCOAP3 (April 2007)
7. Linking public access to open data: Howard Hughes Medical Institute (January 2008)
8. Open access to all publications, internationally: Austrian Science Fund (FWF, March 2008)
9. One policy, sixty publication strategies: Fraunhofer-Gesellschaft (July 2008)
10. Open Access complements the Research Information System: The University of Pretoria (May 2009)





First generation Open Access

- ***The idea (according to BBB):*** Internet, new infrastructures, new uses
- ***New stakeholders in publishing***
 - Digital repositories
 - Research funders
 - Research institutions
- ***Key policy players:*** written policy, preferably open access mandate
- ***Centrality of the author:*** publish, deposit, (re-)use etc.

Queensland University of Technology

24k records,
of which 13k
OA full-text

Policy revisions at QUT have led to the adoption of an exemplary Green Open Access mandate that focusses on the capture of peer-reviewed scholarly articles by introducing a distinction between items that **must be** and **may be** deposited.

High usage
correlates with
increased
citations

The following materials **must** be included in QUT ePrints:

- refereed research articles and conference papers (author's accepted manuscript) at the post-peer review stage.

The following materials **may** be included in QUT ePrints:

- refereed research articles and conference papers (authors' submitted manuscript) with corrigenda added following peer review if necessary
 - books and book chapters
- un-refereed research literature, conference contributions, chapters in proceedings (the accepted draft)
- theses as prepared for the Australasian Digital Theses (ADT) database
 - creative works with a research component
 - descriptions of research data and datasets.



University of Zurich

Policy of May 2008 stipulated three essential elements:

- The university requires its researchers to deposit a copy of their publications in ZORA with open access unless legal obstacles prevent this;
- The university encourages its researchers to publish in open access journals whenever possible and contributes towards article processing charges;
- The annual reports of the university will be based on ZORA, and only publications registered in ZORA will be included. In practice, this refers to metadata only and does not depend on full text deposit.

2009 as reference year:

- About 8000 records, of which 60% have a full-text attached;
- Actual open access rate 42%; five out of six items directly available on ZORA, the rest by a link;
- Some items permanently inaccessible due to copyright restrictions.

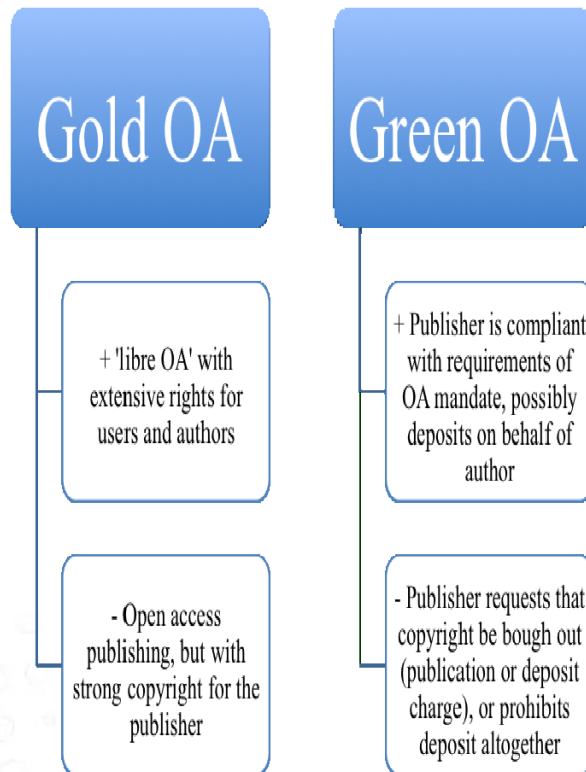
The HAL platform (Open access percentage for INRIA publications)

	2007	2008	2009
Publications in annual report	4977	5153	5868
Items logged in repository	2964	3329	3423
Full text deposit or link	1820	2023	2154
Open Access percentage	36,6%	39,3%	36,7%

The Wellcome Trust and Howard Hughes Medical Institute

	HHMI	Wellcome Trust
Elsevier journals	<p>Charged \$1500</p> <p>Author manuscript version – after peer review – deposited by Elsevier in PMC</p> <p>Paper available in PMC/UKPMC six months after publication</p> <p>No re-use licence</p>	<p>Charged \$3000</p> <p>Final version of paper deposited in PMC by Elsevier</p> <p>Paper available in UKPMC/PMC at time of publication</p> <p>Full re-use licence</p>
Cell Press (imprint of Elsevier)	<p>Charged \$1000</p> <p>Author manuscript version – after peer review – deposited by Elsevier in PMC</p> <p>Paper available in PMC/UKPMC six months after publication</p> <p>No re-use licence</p>	<p>Charged \$5000</p> <p>Final version of paper deposited in PMC by Elsevier</p> <p>Paper available in UKPMC/PMC at time of publication</p> <p>Full re-use licence</p>

UK PMC and its funders



For the Medical Research Council, UK PMC is an essential element of its policy because

- It makes MRC funded research outputs more visible, also as a collection of outputs (and in due course a complete collection of primary publications);
- Nationally, it brings all the relevant disciplinary research funders to the table, facilitating collaboration, which, in turn, makes any investment in UK PMC more efficient;
- The repository provides a distinct interface and added value to the MRC and its community of intramural researchers and grantholders, for example, through the mining and re-use of research results

SCOAP3

- Overall, by September 2010, SCOAP3 has collected pledges amounting to more than 70% of its yearly budget envelope across Europe and North America, in the Middle East and Australia. The challenge that remains is to extend SCOAP3 beyond these regions. The necessary contributions from Japan (7.1%), China (5.6%), Russia (3.4%), India (2.7%) and Brazil (2.7%) are missing so far. While SCOAP3 is confident that support in these countries will materialize, the project is equally adamant that SCOAP3 will only move ahead if pledges from these outstanding countries have been made (amounting to 21,5% of the budget). The message is that open access will happen globally, or it risks failing. International consensus on open access and its principles must be translated into action that is backed by financial commitment. In all countries those stakeholders with decision-making capacity are eventually to face up to their responsibility that if they can make a pledge, they must do so, or else the SCOAP3 opportunity might be lost.

Austrian Science Fund (FWF)

With the aim of aiding system change, the FWF stipulates that

- a) Open access publishing charges may be covered from FWF grants (2009: 350 publication charges for a total of €400k);
- b) Additional support for publication charges may be requested up to three years after the end of any project;
- c) Monographs, proceedings and collections are also covered by the policy (up to €6k for immediate OA, €4k for delayed OA; 2010: 30-40 books at €150k);
- d) In the life sciences the preferred solution is for all papers to be made available through UK PMC, whether published in open access, deposited by publishers or self-archived (several hundred articles ingested in 2010);
- e) Research data is also to be made available via repositories within two years after the end of any project.



I have to stop here today

- ... and you have seen only a limited sample of data, evidence and insights from some case studie (& not all case studies were presented, e.g. Fraunhofer, Pretoria) - but the full version of the working paper with all available infomation may be downloaded for free...
 - Armbruster, Chris,
 - Implementing Open Access: Policy Case Studies.
 - Available at SSRN: <http://ssrn.com/abstract=1685855>
 - Or go to the author page at <http://ssrn.com/author=434782>

Some preliminary conclusions

- Tough job: legitimate authority, sufficient resources & right timing lead up to 40% OA, in exceptional cases significantly beyond 50%
- Urgent need for research on implementation: data, experience, evaluation, e.g.
 - Publishing and deposit policies and their embedded expectations as to what authors are supposed to do;
 - Variations of author deposit, such as self-, assisted, mediated or third party deposit:
 - Relevant and reliable measurement of the degree of open access achieved and its benefits for authors;
 - Overlap and interaction between funders and institutions when asking authors to provide open access;
 - Collection policies and usage rights for the corpus, particularly in considering authors as users.
- Important to re-think OA as real time input for digital infrastructures that support research, teaching and learning.

