

# The Open Access Mandate

*a key element of open scholarship*

Monica Hammes

*African Digital Scholarship & Curation Conference  
Pretoria, 13 May 2009*



or



*John Calvin 500*



the mistress



and the pudding

# Open Access is an excellent idea



- Enhancing visibility and impact for authors and institutions
- Accelerating science progress
- Better management and assessment of research
- Providing the raw materials for data- and text mining (Swan, 2008)

*Rests on the ethos that, as a form of public good knowledge is far more beneficial to all when it is shared and built upon (Chan 2009)*

# An institutional repository is a valuable tool



- Dissemination platform that ensures public access and enhanced discoverability for published or peer-reviewed material
- Showcases the institution's collective intellectual output and the faculty research profiles, giving the public and funding agencies a better picture of the institution's accomplishments
- Important tool for attracting faculty and recruiting students (Chan 2009)

# but it is not enough ...



Tremendous enthusiasm,  
but

20+ information sessions  
and numerous  
conversations later, only

7 researchers and  
3 assistants have  
submitted articles

*? Support*



Prof Irma Elof  
Dean:

"It was H.G. Wells who said Humanity is on a race between Education and catastrophe can be avoided if we have research - and **open access** goes."



*? Support*




Prof Rangan Gupta  
Department of Economics  
Faculty of Economic and Management Sciences

"I support **open access** because knowledge is free. Hence, free access to published papers, as well as to the readership, but not to the authors. It is a win-win situation."




*? Support*



Dr Eran Dvir  
Department of Companion Animal Clinical Studies  
Junior Researcher of the Year 2008

"I support **Open Access** as this is the best method of ensuring that relevant research results are taken from the tip of Africa to the front screen. Young researchers should be able to keep up-to-date with the latest research as well as participating in sharing knowledge."

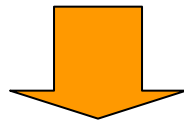


# OA&IR make a good match

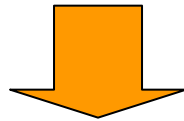


But, you can/should go even further....

A mature programme based on strategic intent and solid objectives and backed by an institutional mandate will realise the potential of both OA & IR, will ensure impact and accountability for the steady stream of resources needed to make it sustainable



**Commitment**



**OA Mandate**

# The UP solution: Open Scholarship (openUP)



## Aims:

- Changing scholarship practice at UP towards becoming an open scholarship institution
  - Providing open access to UP research and scholarship
- create complete collections of the two (currently) most important types of scholarly communication: theses and research articles
- Two repositories
- Mandates as governance mechanisms





University of Pretoria

## NEWS

UPeTD has been included in two successive world rankings of the top 300 institutional repositories.

[Read more](#)

#### Physics whiz wins S2A3 Bronze Medal -

Physics student Claudia Zander was awarded the University of Pretoria (UP) 2008 Southern Africa Association for the Advancement of Science (S2A3) Bronze Medal for [the best Master's level dissertation](#). The S2A3 bronze medal serves to commend and encourage local science students at Masters level.

[\[Read More\]](#)

10/02/2009

From Research Intranet

Electronic Theses and Dissertations

Search the UP Web

Afrikaanse weergawe

About UPeTD

Guidelines for Students

Copyright

Contact Us



## UPeTD for

- Access to UP theses
- UP student guidelines and support
- Access to the submission system

You are here > UPeTD Home

## University of Pretoria Electronic Theses and Dissertations

### Welcome to the University of Pretoria electronic theses and dissertations service

- search the UPeTD collection
- browse the UPeTD collection
- access to UP theses and dissertations in paper format
- other etd collections worldwide
- submit your thesis or dissertation
- copyright and intellectual property

Database pages should be viewed in Internet Explorer



UPeTD

*forms part of the  
Networked Digital  
Library of Theses and  
Dissertations*

**It is compulsory for  
UPstudents to submit  
their theses and  
dissertations to  
UPeTD**

About UPeTD

Guidelines for Students

Copyright

Contact Us

Enquiries: [upetd@up.ac.za](mailto:upetd@up.ac.za) University of Pretoria. Copyright © 2004. Privacy policy and terms of use. Revised: 02/17/2009



# UP theses/dissertations



1. <http://upetd.up.ac.za>
2. ETD submission mandate since 2004
3. 4435 items, 973 metadata records only – digitized upon request
4. © University of Pretoria
5. 99,9% compliance
6. Listed in top 300 repositories
7. 2.5m file downloads per year
8. Harvested by Google Scholar, Worldcat ...
9. Linked to the Research Report (2008+)
10. Upstream development – embedding the programme more fully in PG programme



# UPSpace

## Research Repository of the University of Pretoria, South Africa



### Search UPSpace

 [Advanced Search](#)[Home](#)

### Browse

[Communities & Collections](#)[Titles](#)[Authors](#)[Subjects](#)[By Date](#)

### Sign on to:

[Receive email updates](#)

## Welcome to UPSpace, the full text open access digital research repository of the University of Pretoria!

Number of full text items archived since January 2006: 7 798

### Communities in UPSpace

Choose a community to browse its collections.

[Centre for the Study of AIDS \(CSA\)](#)[Community Engagement](#)[Economic & Management Sciences](#)[Education](#)[Education Innovation](#)[Engineering, Built Environment & Information Technology](#)[Health Sciences](#)[Humanities](#)[Law](#)[Library Services](#)

Chat with UPSpace  
Offline

[OPEN KNOWLEDGE](#)

### Search other repositories

[IRSpace](#) (SA & Africa)[SciELO](#) (Worldwide)[OAISTER](#) (Worldwide)[Google Scholar](#)[Google](#)[NDLTD](#) (ETD's Worldwide)

### UPSpace supports Open Access!

[Read more](#) about OA

### Become part of the UPSpace community

[Contact us](#) for more information or [apply for a new](#)

# openUP: UP articles/research papers



1. Part of UPSpace  
(<https://www.up.ac.za/dspace/>)
2. 2878 full text articles
3. © Journal publishers
4. Harvested in Google Scholar, OAlster...
5. Library simulation exercise: extremely influential in research reporting and funding
6. Linked to the Research Report (2007+ 57%)
7. Awaiting the finalization of the mandate

# What is an institutional OA mandate?



A local policy that articulates an organization's commitment to OA and describes the terms under which members are required to contribute scholarship outputs to the IR.

Good policy requires

- Immediate deposition
- Binding on all
- Rigorous copyright attention
- Publishing in OA journals when possible\*

# OA&IR&M is an even better proposition!



*At the heart of the policy is the idea that faculty and institutions should have more control over how work is used and disseminated, and that they have responsibility to distribute their scholarship as widely as possible. (Hahn 2008)*

# The importance of a mandate



1. Leads to sustainability and simplification → submission becomes a matter of fact
2. Demonstrates that the institution accepts responsibility for the dissemination of its research outcomes
3. Supports a new stance on authors' rights expanding it to the institution and the community which funded the research
4. Opens the copyright debate on campus
5. Can lead to unified action, e.g. negotiation with publishers
6. Mandate + other relevant policy leads to more effective co-operation in other areas, e.g. research reporting

# In good company



1. Aligned with well known declarations:  
*Budapest Open Access Initiative 2001, Bethesda Statement on OA Publishing 03, Berlin Declaration 2003, Berlin 3 OA Recommendations 2005*
2. Siding with major funders:  
*US National Institutes of Health, UK Research Councils, Wellcome Trust, ARC, Canadian Institutes of Health Research.....*
3. Siding with major universities and research bodies



# ROARMAP



HOME

SOFTWARE

SERVICES

OPEN ACCESS

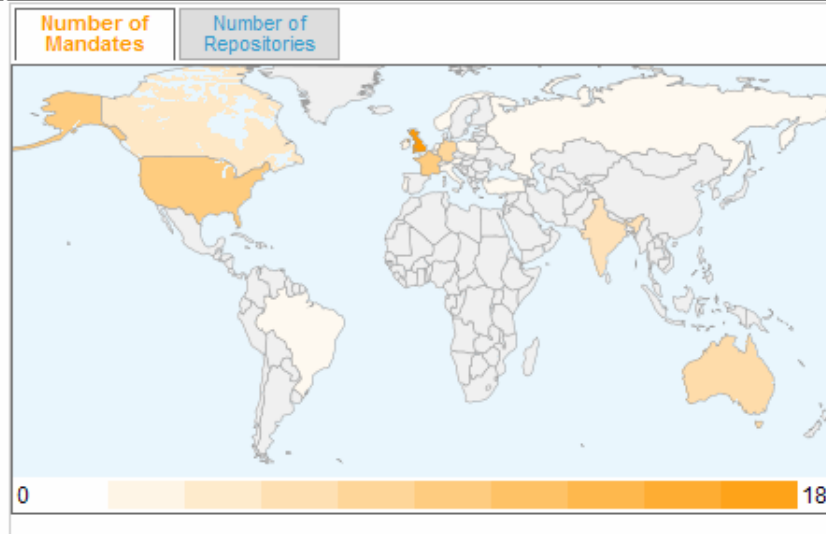
## ROARMAP (Registry of Open Access Repository Material Archiving Policies)

as recommended by the [Berlin Declaration](#)

- [Register your Institutional Policy](#) in ROARMAP
- also [register your Institutional Repository](#) in ROAR

### Summary By Type

35 INSTITUTIONAL Mandates	1	Proposed INSTITUTIONAL Mandate(s)
6 DEPARTMENTAL Mandates	6	Proposed MULTI-INSTITUTIONAL Mandates
36 FUNDER Mandates	7	Proposed FUNDER Mandates
77 TOTAL Mandates	14	TOTAL Proposed Mandates



Country	Institution	OA Archive(s)	OA Policy
AUSTRALIA* <a href="#">institutional-mandate</a>	<a href="#">Charles Sturt University</a>	<a href="http://bilby.unilinc.edu.au:8881/R?func=search&amp;local_base=GEN01-CSU01">http://bilby.unilinc.edu.au:8881/R?func=search&amp;local_base=GEN01-CSU01</a>	<a href="#">Policy details</a>
AUSTRALIA* <a href="#">institutional-mandate</a>	<a href="#">Macquarie University</a>	<a href="#">[growth data]</a> <a href="http://www.researchonline.mq.edu.au">http://www.researchonline.mq.edu.au</a>	<a href="#">Policy details</a>
AUSTRALIA* <a href="#">departmental-</a>	<a href="#">University of Tasmania School of Computing</a>	<a href="#">[growth data]</a> <a href="http://eprints.comp.utas.edu.au/">http://eprints.comp.utas.edu.au/</a>	<a href="#">Policy details</a>



Internet

100%

# The Harvard Mandate – a watershed?



*“Each Faculty member grants to the President and Fellows of Harvard College permission to make available his or her scholarly articles and to exercise the copyright in those articles”*

- Non-exclusive licence to Harvard before negotiations with publishers
- Harvard retains the right to make copies, re-use the information and permit others to do so



*"The new Office for Scholarly Communication will be instrumental in making good on the promise of the FAS open-access policy. It has the potential for worldwide impact through exemplary initiatives to maximize communication of scholarly research."*

Stuart M. Shieber, Director

They are already negotiating with publishers

# Working towards a mandate (1)



Run-up period to explore OA and experiment with the IR

- awareness raising
- identification of user needs
- demonstration of success
- finding and working with champions
- building enthusiasm
- discussion and debate on copyright
- allaying fears
- building support systems
- IR functionality and internal policy

## Working towards a mandate (2)



### Adding to the policy landscape

- Investigation into the organization's policy structures and practice, e.g. IP, employment conditions of staff and students
- Policies of publishers, funders, research organizations
- Write policy, debate and discuss, build consensus, rewrite
- Lobby the support of decision makers
- Voting: who and how?
- Have implementation plan and support system ready
- Consider a "patchwork" mandate

# Don't be overjoyed yet

---



There is good evidence that successful policies use mandatory language but rely on expectations, education, assistance, and incentives, not coercion (Suber 2008)

# What's holding the authors back?



- It is available online where everyone can read it – isn't it?
- I do not want to jeopardise my publishing career
- Copyright issues are beyond me
- I do not have the time
- Is the library not going to do it?
- It does not suit my work style
- What's a postprint? → the **mistress** syndrome



In short, it does not make  
(enough) sense to them

A mistress is ...



A postprint is something between a  
preprint and a reprint



**What are you  
waiting for – get  
on with it!**

University administrations represent the key bridge between policy from research funders and initiatives from the bottom. The current policy vacuum in the middle is the primary cause of continued uncertainty and inaction on the part of faculty members (Chan 2009)

*Once such a policy is in place ... approaches to researchers and heads of centers and all the plethora of feel-good activities actually work. People who are required to deposit their publications are grateful for advice. The occasional chase-up call is not resented. Just about everything that the university can put in place will begin to work as it resonates with every academic in fulfilling his or her duty (Sale 2007)*

# THANK YOU!

You are welcome to contact me if you  
want to discuss these issues

[monica.hammes@up.ac.za](mailto:monica.hammes@up.ac.za)

