The Open Access Mandate

a key element of open scholarship

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African Digital Scholarship & Curation Conference
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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.
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
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 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 for
- Access to UP theses
- UP student guidelines and support
- Access to the submission system

News:

- Physics witch 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 Master's level.
  - [Read More]
  - 16/02/2008
  - From Research Intranet

About UPeTD | Guidelines for Students | Copyright | Contact Us
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 …
10. Upstream development – embedding the programme more fully in PG programme
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, OAIster…
5. Library simulation exercise: extremely influential in research reporting and funding
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*

* The asterisk indicates a specific condition or caveat that may be associated with the mandate.
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:

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 (Registry of Open Access Repository Material Archiving Policies)

as recommended by the [Berlin Declaration](#)

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

**Summary By Type**

<table>
<thead>
<tr>
<th>Institution Type</th>
<th>Count</th>
<th>Notes</th>
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<tbody>
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<th>OA Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUSTRALIA* institutional mandate</td>
<td>Macquarie University</td>
<td><a href="#">growth data</a> <a href="http://www.researchonline.mq.edu.au">http://www.researchonline.mq.edu.au</a></td>
<td>Policy details</td>
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<tr>
<td>AUSTRALIA* departmental</td>
<td>University of Tasmania School of Computing</td>
<td><a href="#">growth data</a> <a href="http://eprints.computas.edu.au">http://eprints.computas.edu.au</a></td>
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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
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).

What are you waiting for – get on with it!

John Calvin 500
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

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