Implementation of Open Access & advocacy @ the University of Pretoria

Presented to the Danish Open Access Network workshop,
8 June 2012
Contents

- The University of Pretoria and Open Access
- The 2 repositories & their benefits
- What is advocacy and why is it necessary?
- The 4 Ps for advocacy & how they are implemented
  - Passion
  - Purpose
  - People
  - Persuasion
- Conclusion
University of Pretoria background

- One of the largest universities in South Africa
- The University of Pretoria has 9 faculties & Business school
  - 140 departments
  - 85 centres
- Offers 230 qualifications
  - 233 undergraduate programmes
  - 1161 postgraduate programmes
- 63 500 students in 2010
- 44 000 contact students & 20 000 distance education students
UP & Open Access

- University of Pretoria
  - embraced the Open Access movement
  - it enhances the visibility and impact of an institution and its authors
  - supports Open Access to research for all researchers worldwide
  - takes responsibility for the dissemination of its research outputs
UPeTD was implemented in 2000 and currently provides access to 7167 electronic theses and dissertations. The mandatory policy was implemented in 2003. Most accessed repository in Africa.
UPSpace was implemented in 2006. openUP (total 7500) is the collection of research articles. The mandatory policy for research articles was accepted in 2009.

http://repository.up.ac.za/
Benefits of a repository (Swan 2011)

- Opens up the UP output for the whole world
- Maximizes the visibility and impact of these outputs
- Showcases the output to prospective staff, students, funders and other stakeholders
- Collects, curates and preserves UP intellectual output
- Manages and measures research
Institutional Open Access mandate

- Binding policy of an institution which requires its researchers to support Open Access by self-archiving their published, peer-reviewed papers in an institutional repository

- Requirements of a good policy (Hammes 2011)
  - Immediate archiving
  - Binding on all
  - Rigorous copyright attention
  - Publishing in Open Access journals when possible
BUT...a mandatory policy & an institutional repository does not guarantee participation...
What is advocacy?

- Advocacy
  - “the process of turning passive support into educated action by stakeholders” (ALA website)
  - “a planned, deliberate, sustained effort to raise awareness of an issue. It’s an ongoing process in which support and understanding are built incrementally over an extended period of time and using a wide variety of marketing and public relations tools” (Canadian Association of Public Libraries)
Why is advocacy necessary?

- The implementation of Open Access is a “tough job”
  Armbruster (2010)
- To write and plan a mandatory policy is the easy part, but it is more difficult to put those plans in action
- Unfortunately students and researchers need to be persuaded to support the Open Scholarship initiatives
Why is advocacy necessary @ UP?

- Two recent research studies indicate the following problems that graduates experience in South Africa:
  - Most M and D students interrupt their studies after their Bachelors or Honours degrees due to career and family commitments
  - There is also a high increase in enrolments from SADC countries and computer access and even literacy still poses a problem for these students
Self-archiving behaviour @ UP

- Researchers and postgraduate students still play a limited role in UPeTD & openUP
- Statistics of the past two years
  - UPeTD 18%
  - openUP 3%
4 P’s essential for advocacy

- Ghosh (2011) identified 4 P’s that are essential for advocacy:
  - 1. **Passion**: commitment to meeting the audience needs
  - 2. **Purpose**: setting goals by defining problems, causes and solutions
  - 3. **People**: Identifying and analyzing role players
  - 4. **Persuasion**: Developing messages and selecting strategies and tools
1. Passion

- The Open Scholarship Office is a dedicated unit
- Open Scholarship manager drives the following sub-programmes:
  - Mandated submission of theses and dissertations (UPeTD)
  - Mandated submission of research papers (openUP)
  - Collaboration with the Department Research and Innovation Support on the linking of the university’s annual Research Reports to the articles in UPSpace
  - Advice and facilitation of Open Access journal initiatives on campus
  - Planning of the annual global Open Access week events on campus
Mediated archiving = commitment
Implementation – we just do it!

- Article alerts
- Edit post-prints
- Post-print submissions
- Capture data
- Request post-prints
- Quality control
- Interpret archiving conditions
- Gold submissions
- UPSpace
2. Purpose

Change scholarship practice at the University of Pretoria towards becoming an open scholarship institution
Characteristics of an Open Scholarship institution

- Theses and dissertations are available online - policy based
- Research and conference papers are available - policy based
- Researchers and students actively use Open Access material
- Researchers publish in available Open Access journals and the institution has policy and financial support in place for that
- Researchers actively manage the copyright of their publications, inter alia with addenda to their contracts/Creative Commons contracts
- Publications from the institution's press/publishing house are available in Open Access based on policy
- The institution publishes its own online Open Access journals OR provides infrastructure and support for members
- Dissemination forms part of its publication strategies
2. Purpose: define problems & solutions

Open Scholarship office takes responsibility for clearing copyright & interpreting archiving conditions
3. People

- Library staff
- UP executive & researchers
- Dept. of Research & Innovation
- Students
3. People: Library staff

- Advocacy also needs the commitment & cooperation of other librarians (Helieisar 2008)
- Library hosts the repositories
- Information specialists identified as important role-players
- Getting them on board:
  - Newsworthy information is circulated regularly via the library’s listserv
  - They are invited to presentations and to all the Open Access events
  - Some played an active role in the submission of research articles
  - Notify the Open Scholarship Office of new research articles
3. People: UP executive

- All the Deans & Research coordinators of the faculties were involved in the acceptance of the mandate

- Getting them on board:
  - Inform & educate them about OA & IRs
  - Link the OA mandates to the University strategy

- What do UP executive members value? (Hammes 2011)
  - Advancing the visibility & reputation of the university’s research
  - Better research use, monitoring & management of outputs
  - Better Return on Investment & effective use of research funds
3. People: UP executive
3. People: Researchers

- What do researchers value? (Hammes 2011)
  - Whatever advances their careers & prestige in the research community
  - Whatever advances the progress of science
  - Contribution to public good (low)
  - Obligations towards the university (reluctantly)

- Getting researchers on board
  - Personal one-to-one e-mail reminders
  - Copyright advice
  - Variety of approaches are followed:
    - Presentations to departments, information sessions & events
    - Identify champions
3. People: Researchers

- Personalized collections for prominent researchers
- Print only journals were digitized
3. People: Research champion

- Prof Brenda Wingfield, Deputy dean of the Faculty of Natural & Agricultural Sciences

http://www.youtube.com/watch?v=QtOEdQaaKRQ
3. People: Dept. of Research & Innovation Support

- Responsible for the database of Research Information at UP (RIS) which results in research subsidy claims at the Department of Higher Education
- The Open Scholarship realized the common goals
- Enhance the annual electronic Research Reports by adding the submitted article links in UPSpace to the report
- Data exchange process
- 2010 – 70% articles linked to annual Research report
3. People: Dept. of Research & Innovation Support

Annual unit finds

- Annual unit finds

3. People: Dept. of Research & Innovation Support
3. People: Students

- Sparky award: video contest for students in which they show why Open Access matters to them
- The international Sparky Award winner for 2011, Joshua Goodman, was a UP student!

http://vimeo.com/24171277
4. Persuasion: Open Access events since 2007
4. Persuasion tools
4. Persuasion tools
4. Persuasion tools

http://www.library.up.ac.za/aoaajs.htm

<table>
<thead>
<tr>
<th>Title</th>
<th>ISSN</th>
<th>Publisher</th>
<th>Subject</th>
<th>Start</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acta Biologica Caracovicensis Series Botanica</td>
<td>0001-6206</td>
<td>Polish Academy of Sciences Publishing</td>
<td>plant anatomy, morphology, cytology, genetics, tissue culture, biostatistics, embryology, physiology</td>
<td>2006</td>
<td>Science Citation Index Expanded</td>
</tr>
<tr>
<td>Acta Chimica Slovenica</td>
<td>1318-0207, 1580-3155</td>
<td>Slovenian Chemical Society</td>
<td>chemistry</td>
<td>1998</td>
<td>Science Citation Index Expanded</td>
</tr>
<tr>
<td>Acta Chromatographica</td>
<td>1233-2356</td>
<td>University of Silesia</td>
<td>chemistry, chromatography</td>
<td>1996</td>
<td>Science Citation Index Expanded</td>
</tr>
<tr>
<td>Acta Cirurgica Brasileira</td>
<td>0912-6850, 1670-2674</td>
<td>Sociedade Brasileira para o Desenvolvimento da Pesquisa em Cirurgia</td>
<td>health sciences</td>
<td>1997</td>
<td>Science Citation Index Expanded</td>
</tr>
<tr>
<td>Acta Clinica Croatica</td>
<td>0353-9466, 1333-9461</td>
<td>Sestre milosrdnice University Hospital, Institute for Clinical Medical Research, Zagreb</td>
<td>biomedicine, medical practice</td>
<td>2000</td>
<td>Science Citation Index Expanded</td>
</tr>
<tr>
<td>Acta Sudeticana Stud. Car.</td>
<td>1000-5298</td>
<td>The International Union of Southchemists</td>
<td>genetics</td>
<td>1998</td>
<td>Science Citation Index Expanded</td>
</tr>
</tbody>
</table>
Implementation challenges

- **Ignorance:** “I cannot comply with your request”
- **Resistance:** “I have serious personal ethical and moral issues with the pre-publishing of papers by the university”
- **Elusive post-print:** “I don’t have the various drafts, as I am only interested in the final, paginated version”
- **Co-authors:** “I see no reason why I should adhere to UP guidelines”
- **Not convinced of the benefits:** “I see absolutely no value in contributing. As with so much university administration, this seems like yet another request that I waste my time on something meaningless.”
Highlights

- “Thank you - this service is well appreciated!”
- “I am always happy to [support the mandate] - the UP Library is a critical facility for all at UP and you all do an excellent job”
- “I certainly think that these issues are important and that you are making a great effort to promote them”
Conclusion

- Poynder (2011): Even though it seems so obviously right, few researchers understand & embrace Open Access
- Mandate implementation is a challenging endeavour which involves time, commitment and cooperation
- Open Access campus advocacy is ongoing & continuous
- Repository and Open Scholarship managers need to heed Xia’s warning (Xia 2010) - they need to understand the concerns and problems of their students and researchers and adapt their strategies to populate their repositories
- If not, there will be an increase in repositories - not content
References

References continued


References continued


Thank you!

Questions?

Elsabé Olivier

elsabe.olivier@up.ac.za

The presentation is licensed with Creative Commons Attribution 3.0 License