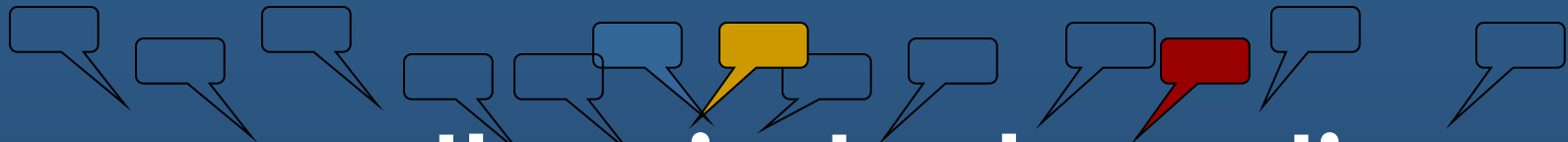


The Open Access Conversation



more than just advocating
for a mandate

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What is striking about Open Access is that it so obviously the right and rational way for the research community to respond to the networked world

What is odd about OA is that so few in the research community yet appear to have understood (or at least accepted) its inevitability

poynder.blogspot.com/2011/06/oa-interviews-bernard-rentier-rector-of.html

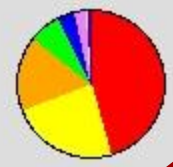


ROARMAP



Home About Browse by Country Browse by Type

Login Create Account/Register Policy



10 000 universities

1972 repositories
(OpenDOAR 2011-06-14)

ROARMAP: Registry of Open Access Repository Material Archiving Policies

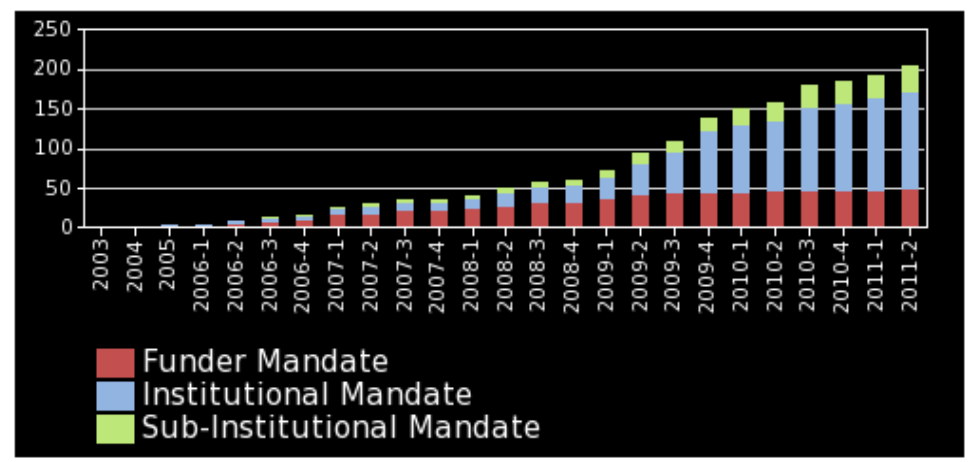
Atom RSS 1.0 RSS 2.0

[Register your Institutional Open Access Mandate HERE](#)

(Please also register your Institutional Repository in [ROAR](#) if not yet registered)

Total Mandates to Date (by type)

- Institutional Mandates (124)** Proposed Institutional Mandates (5)
- Sub-Institutional Mandates (33)** Proposed Sub-Institutional Mandates (3)
- Multi-Institutional Mandates (1)** Proposed Multi-Institutional Mandates (5)
- Funder Mandates (48)** Proposed Funder Mandates (8)
- Thesis Mandates (78)**



COUNTRY	INSTITUTION(s) or FUNDER(s)	REPOSITORY URL(s)	Policy details
Australia			



**Is a mandate the Holy Grail
that will realise the potential of OA, IR and SC?**

An institutional OA mandate is ...

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 Harvard variation ...

comes with a university license that automatically attaches to the work before the transfer of copyright to the publisher.

(1) It covers all scholarly articles, including those published in journals that have not to date permitted authors; (2) it standardizes the terms of the Institution's right to host its faculty's work and make it openly accessible; (3) it grants the Institution the right to make additional copies, and to permit others to use the articles so long as it is not for profit.

Do we need mandates?

1. A mandate will **focus** the advantages/benefits inherent in OA and IRs
2. You need the **commitment** of all role players to ensure success, impact and accountability for the steady stream of resources needed to make it sustainable
3. Widespread adoption of OA policies by universities and major funding agencies is the main challenge for the OA movement (Peter Suber)

- Demonstrates that the university accepts responsibility for the dissemination of its research outcomes
- Supports a new stance on authors' rights expanding it to the university and the community which funded the research
- Influences SC practice
- Contributes to the university's strategic agenda: maximizing research impact, improving and enabling research management

Additional advantages 2

- Leads to sustainability and simplification → submission becomes a matter of fact; OA the new standard
- Can lead to unified action, e.g. negotiation with publishers
- Resonates with funders' mandates
- Provides the Library with the basis for advocacy
- Opens the scholarly communication debate on campus
- Marketing tool for university

a place of many agendas

- **Researchers** – have to provide the IR content; they play different roles
- **University management** – financial and political backing
- **Research leaders** – can influence different groups
- **Readers and IR end users** (researchers, students, teachers, public) – beneficiaries
- **Library** - will probably host the IR and manage the mandate
- **Funders** - may have mandates of their own which can be dealt with simultaneously

.. the process of *turning passive support into educated action* by stakeholders (ALA)

.. 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** (CLA)

6 Critical Success Factors

1. Create good value propositions for all stakeholders that will address their concept of value and their concerns on their terms
2. Your repository should go beyond preservation and access
3. Mandate implementation should be well resourced and have the necessary authority
4. The advocacy/marketing/outreach/publicity/lobbying continuum is a never-ending selling job
5. Time and timing is crucial
6. Stay in touch with new developments in Scholarly Communication

Winning the hearts and minds of researchers

- 1. Whatever advances their careers and prestige in the research community:**
 - Visibility → widest possible audience → more usage → citations and impact
 - Acknowledgement
 - Control over how their research is used
 - Institutional funds to help pay APCs
- 2. Whatever advances the progress of science**
 - Effective research dissemination
 - Coherent , supportive work environment including integration with other systems and collaboration with others (even in other institutions)
 - Immediate, free, online access to all the literature needed for research
 - Data curation
 - Disciplinary primacy
- 3. Contribution to the public good / social responsibility (low)**
- 4. Responsibility towards the university (reluctantly)**

Winning the hearts and minds of researchers

- Lack of awareness and correct information
- Self-archiving infringes copyright and is therefore illegal
- This may jeopardise publishing in certain journals and/or disrupt existing relationships with publishers
- It is time-consuming and low-priority
- OA \neq peer review \neq high impact
- Interferes with traditional practice of scholars/researchers; e.g. disciplinary allegiance
- The missing postprint ...

What institutional repositories offer is not perceived to be useful, and what is perceived to be useful, institutional repositories do not offer (Dorothea Salo)

Winning the hearts and minds of researchers

- Use every opportunity to remind them of the advantages
- Make sure they are well informed: face-to-face interactions, information sessions, events, information material – whatever works for this group or this individual
- Give advice on copyright and create good tools and support to deal with it
- Demonstrate the success and potential of the repository – what else can it do for them
- Give them good statistics
- Lower the threshold for participation
- Start with champions and leave negative people in peace
- Meet them in their different roles
- Talk about scholarly communication

This looks good –
I hope it can help
me manage all
my writings

This project has transformed my life in three ways. First, it made me aware of the power of technology in managing the multiplicity of written tasks—media articles, media interviews, newspaper columns, intellectual pieces— that simply drift into spaces where I can never find these original writings. Second, it made me aware of the efficiency of dissemination of ideas in this information age if one simply took the time to create such a web space. Third, it made me aware of the power of collaboration between academic authors and the library—something that I had not explored until now. I am deeply grateful to the persistence of my library colleagues in opening up this new world in the life of a busy Dean.

The Public Figure



I see no benefits from having my work in yet another repository, especially when it is unedited and unfinished

We found that sometimes the best way to reach our target audience is not to aim our discourse directly at them, but instead to flood the surrounding channels that nourish their informational needs (Ferreira)

At an under-resourced university like this, there are better things for me to do than support your ideological crusade



Picture: Beeld

The Armoured Knight

OA will ensure that everyone has access to our writings

OA is the answer for my journal and more exposure to our articles via the IR will make it even better



The Journal Editor

Getting Management on Board

1. Whatever advances the visibility and reputation of the University

- Showcasing the quality of the university's research
- Complete and permanent record of intellectual effort
- Visibility on the web and Google
- Being part of an international movement (www.openscholarship.org)
- Attracting students and funds

2. Better research use, monitoring and management

- University's research used and built upon → impact
- Effective monitoring and assessing research activity and expenditure

3. ROI

- Effective use of research funds, including money for library material

4. Whatever keeps researchers happy

Getting Management on board

- Lack of awareness and proper understanding of the issues
- More pressing challenges
- Legal issues, copyright
- Cost and sustainability of OA programme

Getting Management on board

- Make sure they are well informed about all aspects of OA&IR:
 - impact on scholarly communication
 - international profile
 - competitive advantage for the university: improved presence and enhanced status
- Link OA&IR to University strategy
- Message: a mandate is the only truly effective way to collect the university's entire research output
- Tool to manage research performance and optimize spending
- Demonstrate the potential and success of the IR – use convincing statistics
- Timing is of the utmost importance
- Engage with managers at all levels
- Let their peers speak to them

This Harvard
mandate does not
impress me – it is
only for the
Humanities

What's good for
Ray Frost and
QUT is surely
good enough for
us!



The Cat Herder

Let's get on with it
and let me help with
the writing of the
policy!

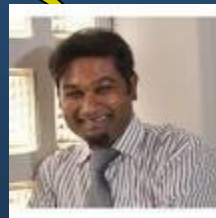
What are we going to
do about journal
page charges?



The Senior Manager

The Library is fantastic!

Here is a real solution to the management of research reporting to government. We should go further and get it formalised.



The Research Manager

A bigger share for readers

- Level playing field for researchers worldwide - all the information needed for research, online and freely available
- A service that blends with other workflows
- Value-added services: browsing through subject based collections, inclusion of supplementary materials, links to cited material, federated searching, commenting ...

A bigger share for readers

- Lack of awareness
 - Limited content
 - Limited functionality
 - Material that can be trusted
- Version clarity
- Quality indicators

A bigger share for readers

- Recognize them as important stakeholders and get their views
- An IR that goes beyond access and preservation
- Encourage students – the new generation of authors
- Web sites, flyers, posters, post cards, bookmarks, buttons, e-mail campaigns, multimedia
- Events, competitions and other fun things
- General press to make the public aware

Universities just do not have the ability to coerce their faculty, nor would it be advisable to try

BUT

1. Liège University: CVs for evaluation of staff for promotion/ grant applications etc. based on items in repository ORBi; ditto QUT

2. University of Zurich: Annual reports of university based on Zora

Reminders

4. *Did you do it in your backyard over the Christmas holidays?*

5. If you buy into Publish-or-Perish for career advancement, you may just as well Deposit to Flourish (Stevan Harnad)

A never-ending selling job

The Advocacy/marketing/outreach/publicity/ lobbying continuum is a never-ending selling job

- Change is inevitable: SC, university, research enterprise, OA, IRs, SC
- Enthusiasm is contagious and so is success
- Unified message and coherent strategy
- Be well informed and stay cool
- Time and timing is crucial



Thanks for listening!



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Mandate seeking process

Open Doors and open minds

http://www.arl.org/sparc/publications/opendoors_v1.shtml

Appendix 1: Action steps check list

1. Identify key internal supporters and champions
2. Research your institution's rules and procedures to understand the right process for initiating the policy change
3. Work with provosts, aculty governance, and the general counsel's office to determine critical policy and legal requirements that must be met by the policy
4. Work with an existing faculty committee or create an ad-hoc committee to study your institution's scholarly communication policy
5. Communicate the plan to faculty and key stakeholders and conduct surveys or obtain other feedback to determine faculty support
6. Identify and take advantage of events for education and awareness building, such as seminars, discussion panels, presentations, and colloquia. Consider holding a workshop to discuss open access and the Harvard policy.
7. Develop a set of policy recommendations, including the scope of the University License, the deposit requirement, and opt-out provisions.

Useful places to look for ideas and inspiration

OASIS www.openoasis.org/

SPARC www.arl.org/sparc/advocacy/index.shtml

EIFL www.eifl.net/oa-advocacy

EOS: Enabling Open Scholarship www.openscholarship.org/

Open Access advocacy: A checklist for research libraries (Alma Swan)
www.arl.org/sparc/bm~doc/17swan-paper.pdf

Making the case for Open Access

www.openoasis.org/images/stories/guides/making_the_case_for_open_access_for_librarians.pdf

Author concerns, worries, misconceptions and barriers

www.eprints.org/openaccess/self-faq#32-worries

www.earlham.edu/~peters/fos/newsletter/04-02-09.htm#fieldguide