## University of Pretoria

# Establishing an Open Access mandate at the University of Pretoria

Mr Robert Moropa & Elsabé Olivier Unisa Library Open Scholarship Seminar 20 October 2010







#### Contents

- What is Open Access / Institutional mandate
- UP background
- Our repositories & the Open Scholarship programme
- Pioneers of Open Access mandates
- Development of the UP mandate
- Successes
- Challenges
- Future plans







#### What is Open Access?

- Digital, online, free of charge, free of most copyright and licensing restrictions
- But it is peer reviewed
- Based on the belief that public funded research needs to be freely available
- Golden Open Access
  - Publish articles in Open Access journals
- Green Open Access
  - Submit articles published in non-Open Access journals in repositories







#### What is an institutional mandate?

An Open Access self archiving mandate is a policy adopted by a research institution (e.g., a university) that requires researchers (e.g., university faculty) to make their published, peer-reviewed journal and conference papers open access (freely accessible to all potential users online, OA) by depositing their final, peer-reviewed drafts or post-prints in an open access institutional repository







## Background on the University of Pretoria

- Contact students
  - 31578 undergraduates
  - 12089 postgraduates students
- Distance students (Education faculty)
  - 9576 undergraduates
  - 10213 postgraduates
- 3213 academic staff members
- 9 Faculties 84 academic departments
- Annual research output 1644 articles in 2009







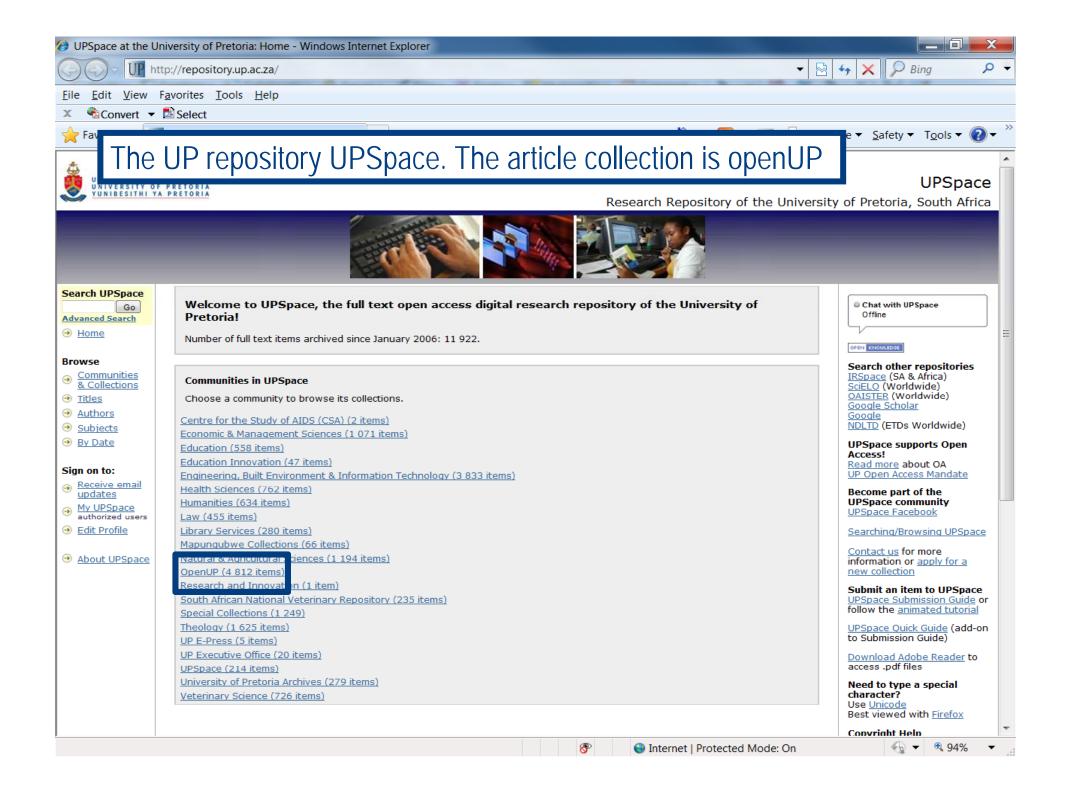
## UPeTD & UPSpace – our institutional repositories

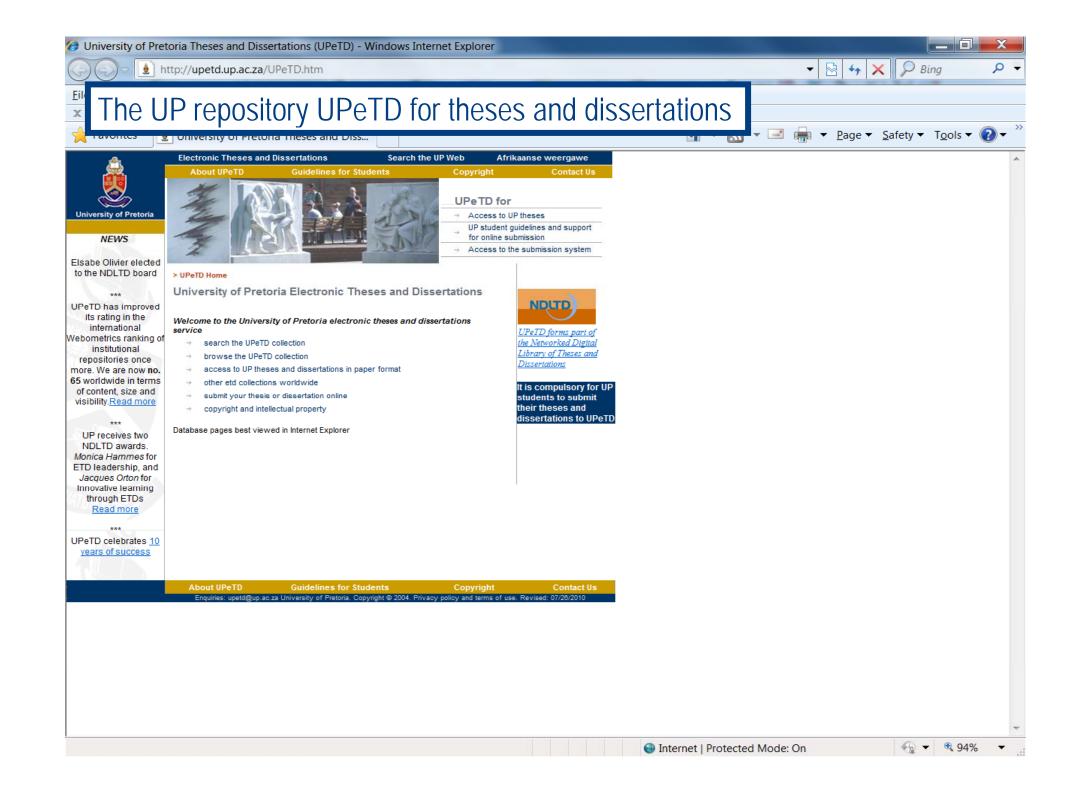
- ETD programme was launched in 2000
- 2003 submissions became mandatory
- UPeTD current total : 5928
- Research papers were next on agenda
- DSpace was implemented in 2006 UPSpace
- openUP : collection of research articles
- Long period of experimentation
- openUP total : 4812











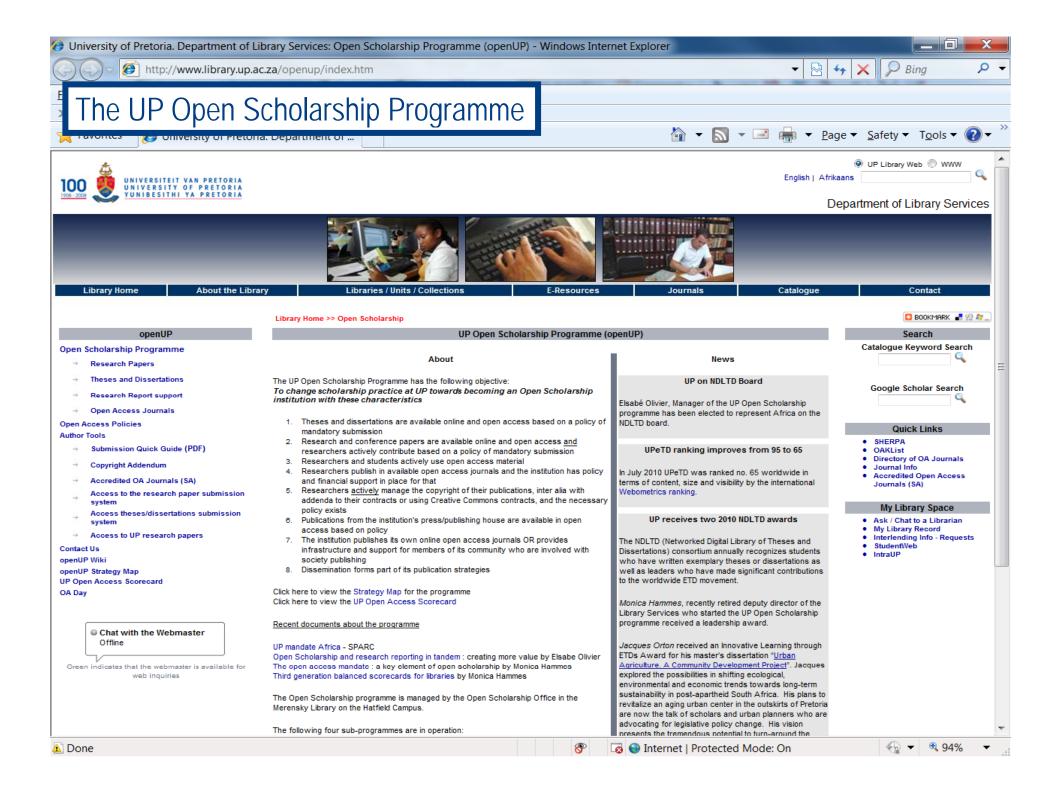
## Open Scholarship Programme

- 2007 the Open Scholarship programme was formalized by Ms Monica Hammes
- Office & 2 full time staff members
- Open Access areas:
  - Archiving of the electronic theses and dissertations (UPeTD)
  - Archiving of the research papers (openUP)
  - Collaboration with the Department of Research & Innovation
  - Advice and facilitation of Open Access journal initiatives on campus
- Objective: To change scholarship practice at UP towards becoming an Open Scholarship institution









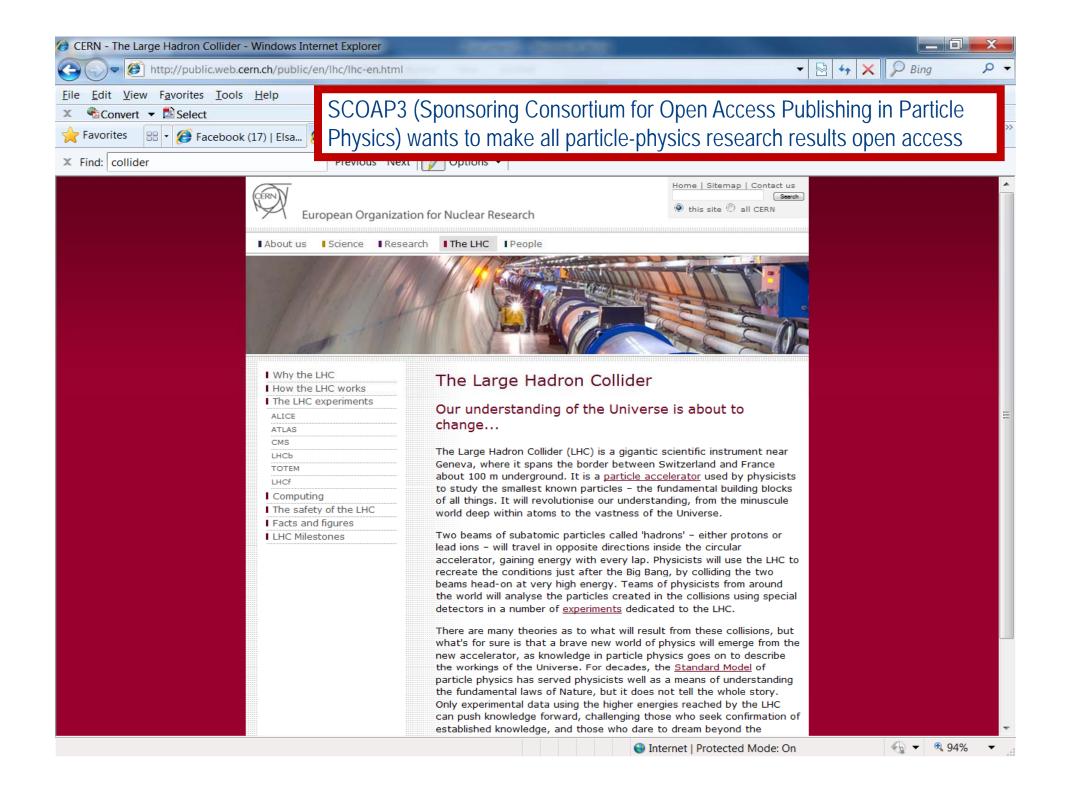
## International pioneers of Open Access mandates

- We're in good company!
- Queensland University of Technology in Australia 2003
- University of Minho in Portugal 2005
- Harvard University Faculty of Arts & Sciences 2008 first USA
- MIT
- University College London
- University of Zurich 2006
- Over 40 research funders e.g. National Institute of Health,
  Wellcome Trust









## Development of the UP Open Access mandate

- Little resistance & general approval
- Awareness raising & demonstrations
- Extensive work on the collections & copyright
- Visits to the deans
- Presentation to UP Senate
- Adoption May 2009
- Policy of mandatory submission of all UP research papers <a href="http://www.library.up.ac.za/openup/mandates.htm">http://www.library.up.ac.za/openup/mandates.htm</a>
- Mandate is embedded in the UP research reporting process







## Mandate Policy

- Position statement
  - UP supports free access to the research literature for all researchers
- Purpose
  - All published UP research is available for use within the university
  - Anyone has free access to it
  - UP research report is complemented with the full text of research papers
  - Mechanism exist for the long-term preservation of UP research publications







## Policy statement

- To assist the University of Pretoria in providing open access to scholarly articles and conference papers resulting from research done at the University, and which are wholly or in part supported by public funding, staff and students are required to
  - submit peer-reviewed postprints of their articles and published conference papers to UPSpace, the University's institutional repository (https://www.up.ac.za/dspace/), AND
  - give the University permission to a) make the content freely available and b) to take necessary steps to preserve files in perpetuity







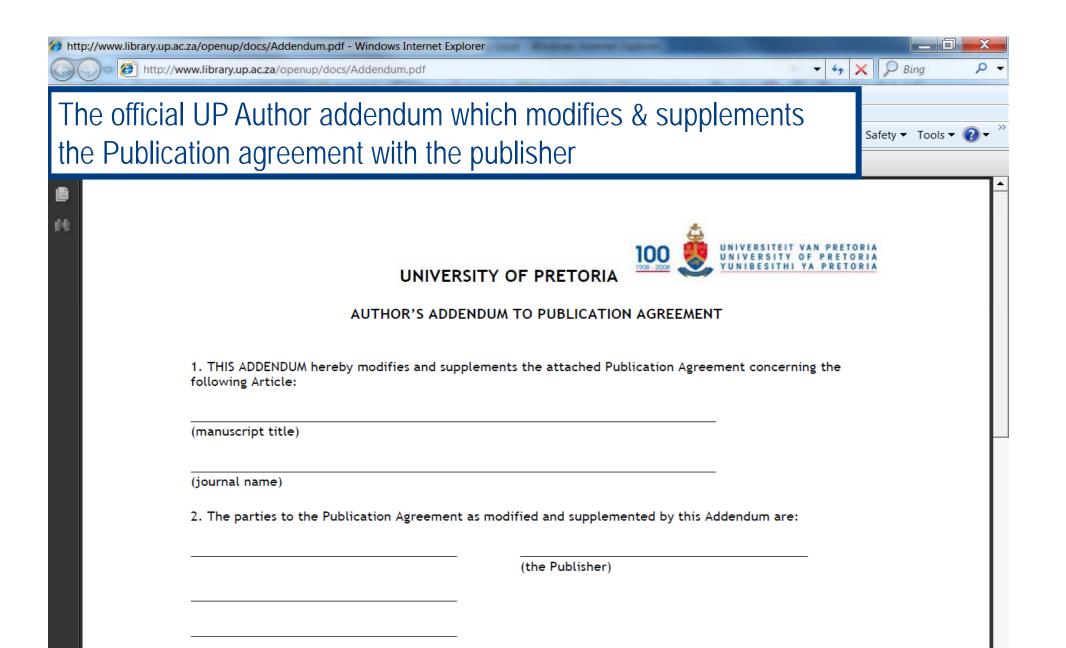
#### Mandate recommendations

- Avoid transfer of copyright
- Offical UP author addendum
- Publish in accredited Open Access journals



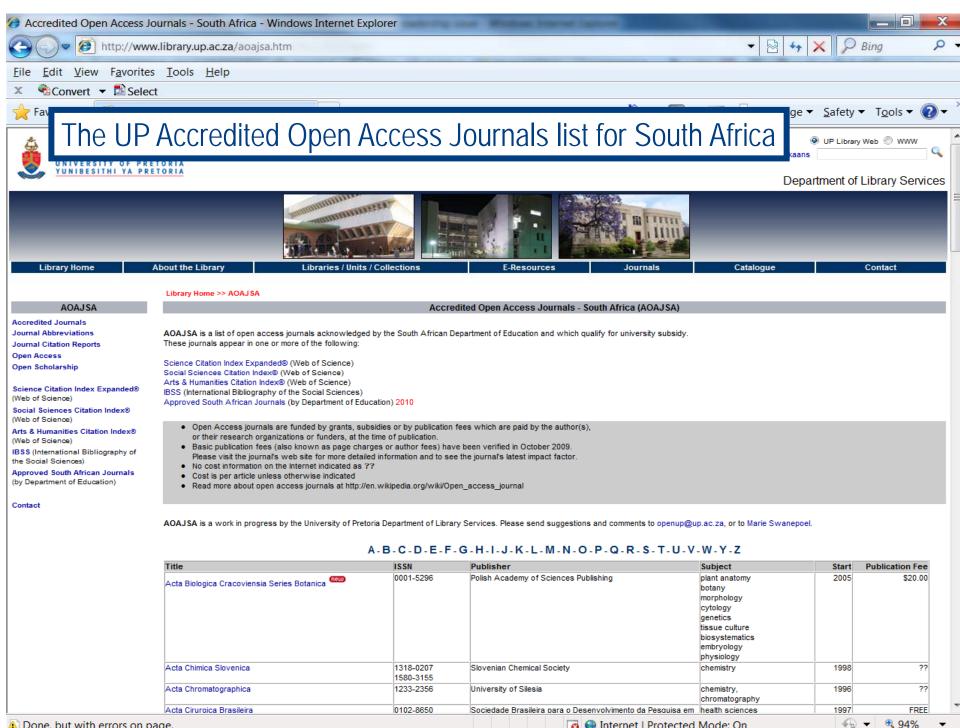


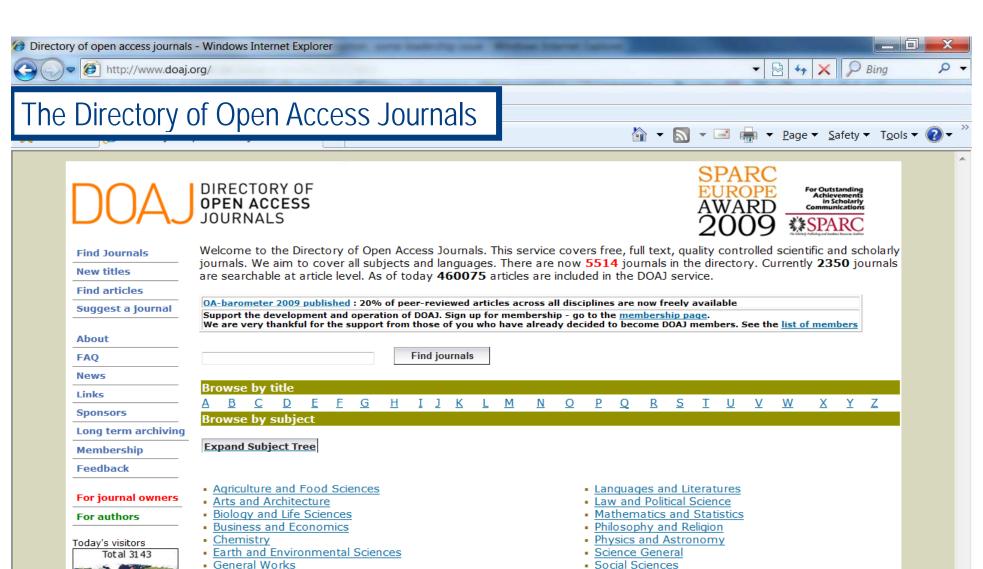




 $(corresponding\ author,\ Individually\ or,\ if\ more\ than\ more\ author,\ collectively,\ Author)$ 

3. This Addendum and the Publication Agreement, taken together, allocate all rights under copyright with respect to all versions of the Article. The parties agree that wherever there is any conflict between this





- Health Sciences
- History and Archaeology

- Social Sciences
- Technology and Engineering

DOAJ - Directory of Open Access Journals, 2010, Lund University Libraries, Head Office

## Open Scholarship Programme (library) responsibility

- Assess all submissions
  - to ensure that they are within the scope of the repository
  - that publishers' regulations are adhered to
  - that the appropriate version of the article is archived
  - declared standards are maintained
  - manage the embargo facility to delay access
- Will supply information, guidance and support to submitters







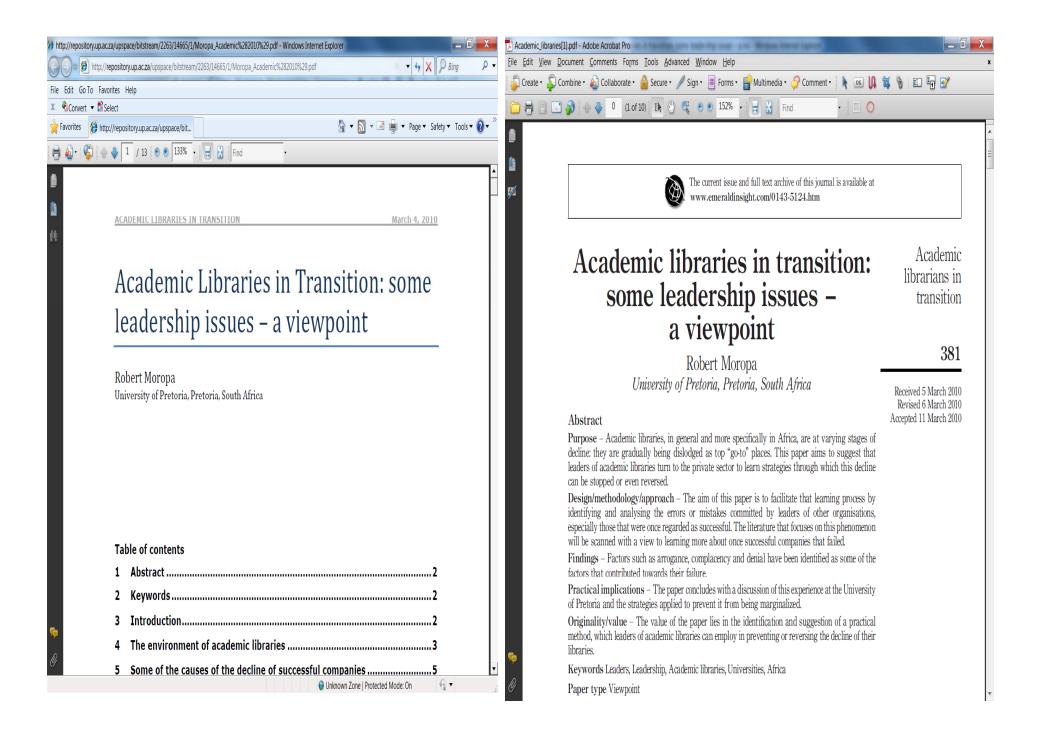
## Author responsibility

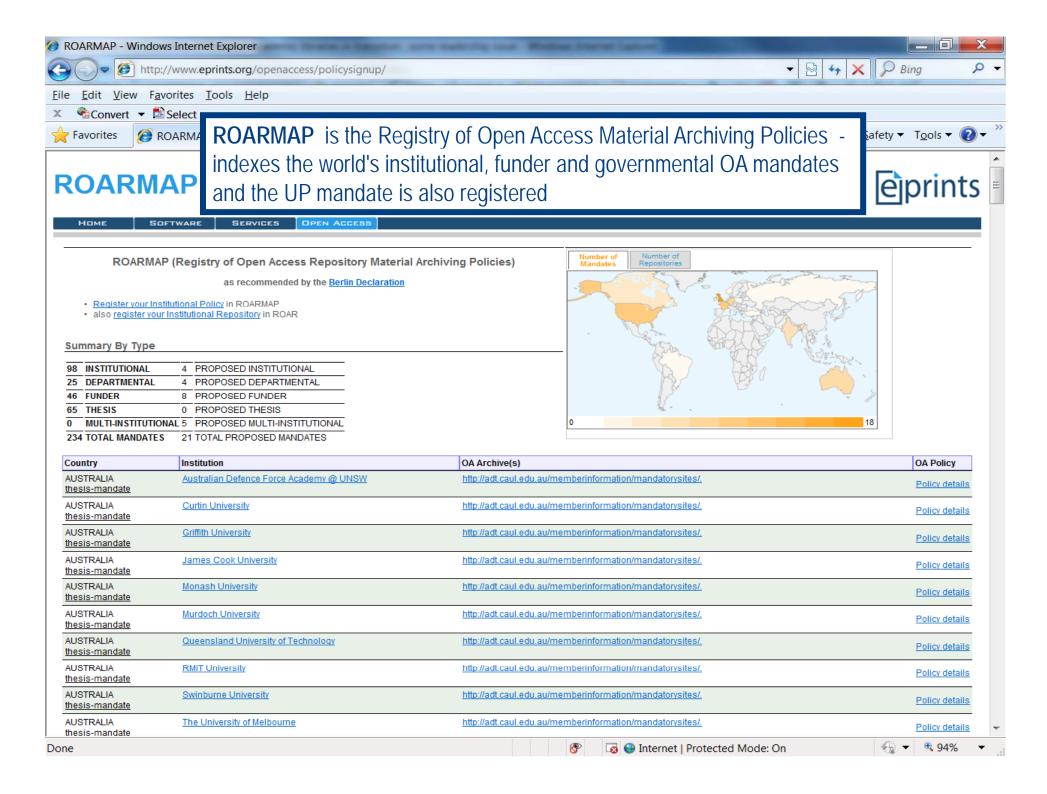
- Provide the postprints
- The author's final peer reviewed and corrected draft/manuscript of a research article which has been accepted for publication by an accredited journal without the publisher's
  - copy-editing
  - formatting
  - mark-up
  - branding











#### **Implementation**

- Tough job!
- Advocacy & marketing needs to be done
- UP follows the mediated approach
- Policy needs:
  - Authority
  - Resources (review submissions, check copyright, develop policy)
- Research indicates that implementation takes 3 4 years (Armbruster: 2010)







#### Factors that contribute to openUP's success

- Appointment of dedicated Open Scholarship Manager
- Office checks copyright/archiving policies on SHERPA
- Archiving rights are negotiated on behalf of authors
- Permission rights have been secured with DOE journals
- Database of rights has been developed & is maintained
- Collaboration with the Department of Research & Innovation
- Annual library finds: 134 in 2009 (73.82 units unit equals R90 000)
- Full text of the articles are linked to the research report
  - 56% in 2007, 62% in 2008, 62% in 2009







#### Benefits for UP authors

- Increased visibility & accessibility
- Maximise the impact of UP research
- Ease annual research reporting
- New networking opportunities
- Speeds research progress & productivity







## Challenges & hurdles

- Uptake to self-archive by authors is very low
  - "I do not have the time"
  - "My papers are already available on our departmental website"
  - "I am worried about the publisher's copyright regulations"
  - "Archiving in a repository makes it easy to plagiarize"
  - "I don't want to archive the post-print version of my research paper"
  - "I don't save the post-print"
  - "What is a post-print?"
  - "I don't want to jeopardise my good standing with my publisher/editor"
  - "This was the library's bright idea appoint staff to do it"







#### Future plans

- More author training & departmental advocacy
- Simplify submission / archiving for UP authors
- Enhanced statistical feature in UPSpace
- Open Access fund to pay for Open Access publications
- Dedicated staff who visit faculty to assist in submissions
- Direct deposits from publishers







#### Conclusion

- Self-archiving does not necessarily follow a mandate
- Implementation requires responsibility and commitment
- Resources should be allocated for its management
- We firmly believe that once the researchers reap the benefits they will start contributing actively
- ALL researchers benefit from Open Access as no library can afford to subscribe to every scientific journal
- Librarians are active Open Access advocates & access to information is central to our profession
- It just makes perfect sense!



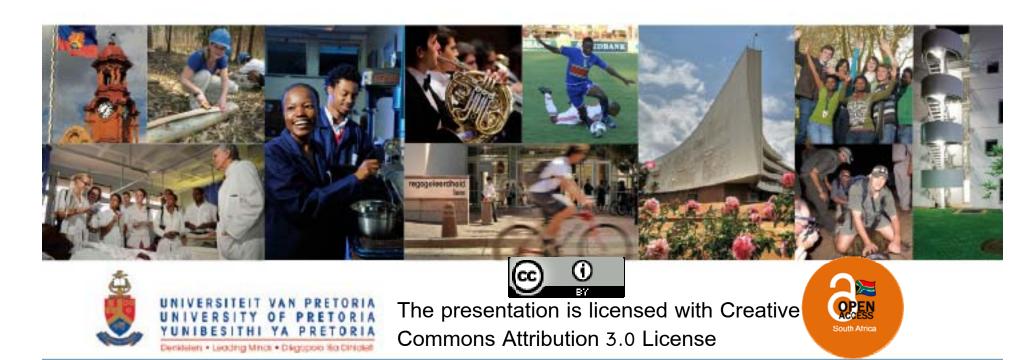




## University of Pretoria

# Thank you! Questions?

Robert.moropa@up.ac.za / elsabe.olivier@up.ac.za



#### References

- 1. Armbruster, C 2010 'Implementing Open Access : policy case studies' (Working paper)
- 2. Cochrane, T & Callan, P 2007 'Making a difference: implementing the eprints mandate at QUT', OCLC Systems & Services: international digital library perspectives, vol. 23, no. 3, pp. 262-268.
- 3. What librarians can do to promote Open Access
- 4. Irivwierri, JW 2009 'Research into open access science publishing', Library Hi Tech News, no. 3/4, pp. 16-18.
- 5. Wikipedia <a href="http://en.wikipedia.org/wiki/Open\_access\_mandate">http://en.wikipedia.org/wiki/Open\_access\_mandate</a>





