



Open Access Policies in Developing and Transition Countries

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Abstract:

The paper presents the strategies and best practices of implementing open access policies in developing and transitional countries (China and Hong Kong, Lithuania, Nigeria, Russia, South Africa, Ukraine and Zimbabwe). The number of open access policies from research groups and research centres, Universities, funding bodies, governments, national and international bodies is steadily increasing. Research funders have begun to take an interest in open access to ensure that the research which they fund reaches the largest possible audience, and to avoid the waste of public resources which results from the old system in which taxpayers pay once for research and a second time for access to its results. The paper describes a legal framework for institutional open access policies and provides an advise on the optimal open access policy options.

Intro:

Good afternoon and thank you to the Science and Technology Libraries Section of IFLA for the opportunity to share the strategies and best practices of implementing open access policies in developing and transitional countries.

I represent eIFL.net – Electronic information for libraries – a not for profit organisation that promotes sustainable access and exchange of knowledge through global leadership of libraries to improve the development of society and the economy in developing and transition countries.

eIFL.net Open Access Program:



eIFL.net

not for profit organisation that enables **access to knowledge** through **libraries in developing and transition countries**;

46 countries in Africa, Eastern Europe, Middle East and Central Asia, South-East Asia;

eIFL Open Access (OA) Program: adoption of **OA policies** and **sustainability of open repositories**.

www.eifl.net

eIFL.net's core activities are negotiating affordable subscriptions on a multi-country consortial basis, supporting national library consortia and maintaining a global knowledge sharing and capacity building network in related areas, such as open access, intellectual property rights and open source software for libraries. eIFL Open Access Program (eIFL-OA) helps to make research outputs from developing countries more visible and more easily accessible locally and globally. We embraced Open Access movement from the very beginning and continue to do so as we believe it contributes to improved education, teaching and research, accelerates innovations and economical developments in the countries. To reach these goals eIFL-OA advocates for the adoption of open access policies and mandates by research funding agencies, Universities and research organisations within the eIFL region, and builds capacities to ensure the sustainability of open repositories (100+ repositories in the eIFL network).

While Open Access was only defined seven years ago, it is now being debated by governments and publishers and mandated by funding bodies and universities throughout the world. There are considerable economic, social and educational benefits to making research outputs available without financial, legal and technical barriers to access¹. Much still remains to be achieved, but it is clear that open access has permanently changed the field of scholarly communication.

¹ E.g. Economic Implications of Alternative Scholarly Publishing Models: Exploring the costs and benefits by John Houghton, Bruce Rasmussen and Peter Sheehan, Victoria University and Charles Oppenheim, Anne Morris, Claire Creaser, Helen Greenwood, Mark Summers and Adrian Gourlay, Loughborough University: <http://www.jisc.ac.uk/publications/documents/economicpublishingmodelsfinalreport.aspx>

Open access policies and mandates:

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 Resoluce in ROAR

Summary By Type

35 INSTITUTIONAL Mandates	1 Proposed INSTITUTIONAL Mandates
10 DEPARTMENTAL Mandates	6 Proposed MULTI-INSTITUTIONAL Mandates
36 FUNDER Mandates	7 Proposed FUNDER Mandates
81 TOTAL Mandates	14 TOTAL Proposed Mandates

Country	Institution	OA Archiver(s)	OA Policy
AUSTRALIA*	Charles Sturt University	http://bibli.unimc.edu.au/881m7mnc-search/local_base_GEN01_CSDU01	Policy details
AUSTRALIA*	Macquarie University	[growth data] http://www.researchonline.mq.edu.au	Policy details
AUSTRALIA*	University of Tasmania, School of Computing	[growth data] http://eprints.com.au/545.edu.au/	Policy details
AUSTRALIA*	Australian Research Council	http://open.comp.uqas.edu.au/5456Access/pmyltd.php?m=General/Un/Policies	Policy details
AUSTRALIA*	National Health and Medical Research Council	http://open.comp.uqas.edu.au/5456Access/pmyltd.php?m=General/Un/Policies	Policy details
AUSTRALIA*	Queensland University of Technology	[growth data] http://eprints.qut.edu.au/	Policy details
AUSTRALIA*	University of Tasmania	[growth data] http://eprints.utas.edu.au/	Policy details
AUSTRIA*	Fonds zur Förderung der wissenschaftlichen Forschung	http://roar.eprints.org/	Policy details
BELGIUM*	Flanders Marine Institute	http://www.vliz.be/imis/imis.php	Policy details
BELGIUM*	Académie Louvain	[growth data] http://dhat.academielouvain.be/	Policy details
BELGIUM*	Research Foundation Flandres	http://roar.eprints.org/	Policy details

There is increasing number of open access policies from research groups and research centres, Universities, funding bodies, governments, national and international bodies. Funders of research are increasingly beginning to mandate Open Access to the research they support. According to the ROARMAP – Registry of Open Access Repository Material Archiving Policies – there are 81 Open Access mandates (35 institutional mandates, 10 departmental mandates and 36 funder mandates).² The Wellcome Trust in the UK was the first funder to mandate Open Access – from October 1 2006, it became a condition of funding that copy of any original research paper published in a peer-reviewed journal must be deposited into PubMed Central.

Governments have also begun to take an interest in Open Access out of a desire to ensure that the research which they fund reaches the largest possible audience, as well as out of a recognition of the waste of public resources which results from the old system in which taxpayers pay once for research and a second time for access to its results. For example, the U.S. National Institutes of Health (NIH), the largest funder of medical research in the U.S with an annual budget of \$28.9 billion USD, implemented a policy requiring that its grant recipients make articles resulting from NIH funding publicly available within twelve months of publication in a peer-reviewed journal. This policy, passed by the U.S. Congress and signed into law by the President, went into effect in April 2008.

In January 2008 the European Research Council (ERC) implemented a mandatory public access policy for its funded researchers. The policy requires that all peer-reviewed publications from ERC-funded research projects be deposited on publication into an appropriate research

² From <http://www.eprints.org/openaccess/policysignup/>

repository where available, such as PubMed Central, arXiv or an institutional repository, and subsequently made open access within six months of publication. In August 2008, the European Commission launched an open access pilot in FP7. Under this pilot, grant recipients in seven areas (energy, environment, health, parts of information and communication technologies, research infrastructures, science in society, and social sciences and humanities) will be required to deposit peer reviewed research articles or final manuscripts resulting from their FP7 projects into an online repository and make their best efforts to ensure open access to these articles within either six (health, energy, environment, parts of information and communication technologies, research infrastructures) or twelve months (social sciences and humanities, science in society) after publication.

University Associations: Africa and Europe:

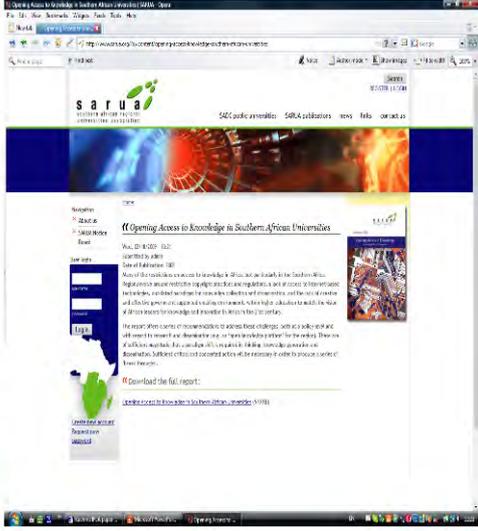


University Associations: Africa & Europe

European University Association:
“Universities should develop institutional policies and strategies that foster the availability of their quality-controlled research results for the broadest possible range of users, maximising their visibility, accessibility and scientific impact.

The basic approach ...should be the **creation of an institutional repository** or participation in a shared repository...

http://www.eua.be/fileadmin/user_upload/files/Policy_Positions/Recommendations_Open_Access_adopted_by_the_EUA_Council_on_26th_of_March_2008_final.pdf

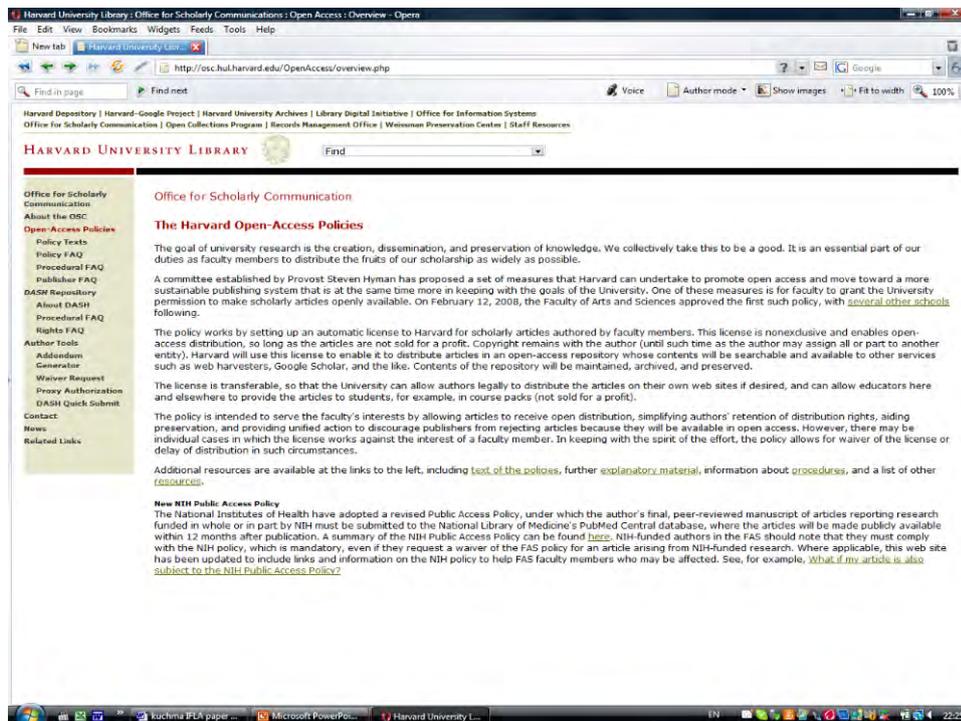


The University Associations support open access by introducing recommendations to their members. E.g. the European University Association that represents and supports higher education institutions in 46 countries provided general open access recommendations (on the slide above) and explicitly stated that “University institutional policies should require that their researchers deposit (self-archive) their scientific publications in their institutional repository upon acceptance for publication.”³ Southern African Regional University Association published a report *Opening Access to Knowledge in Southern African Universities*⁴ that offers a series of recommendations to address challenges on access to knowledge in Africa including restrictive copyright practices and regulations, a lack of access to Internet-based technologies and out-dated paradigms for knowledge collection and dissemination, both at a policy level and with regard to research and dissemination (an ‘open knowledge platform’ for the region).

³ http://www.eua.be/fileadmin/user_upload/files/Policy_Positions/Recommendations_Open_Access_adopted_by_the_EUA_Council_on_26th_of_March_2008_final.pdf

⁴ http://www.sarua.org/files/publications/OpeningAccess/Opening_Access_Knowledge_2008.pdf

Harvard University:



Harvard Faculty of Arts and Sciences, Harvard Law School and Harvard Kennedy School of Government Open Access policies recommended a legal framework for open access University mandates: in keeping with the commitment to disseminating the fruits of its research and scholarship as widely as possible each Faculty member is required to deposit a copy of the scholarly journal articles in an institutional repository and automatically grants to the University a University License to make those articles openly accessible on the Internet. In legal terms, the permission granted by each Faculty member is a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same, provided that the articles are not sold for a profit.

Open Access policies in developing and transition countries:



OA policies in eIFL countries

The Academy of Science of South Africa
adopted an OA business model for its
journals.

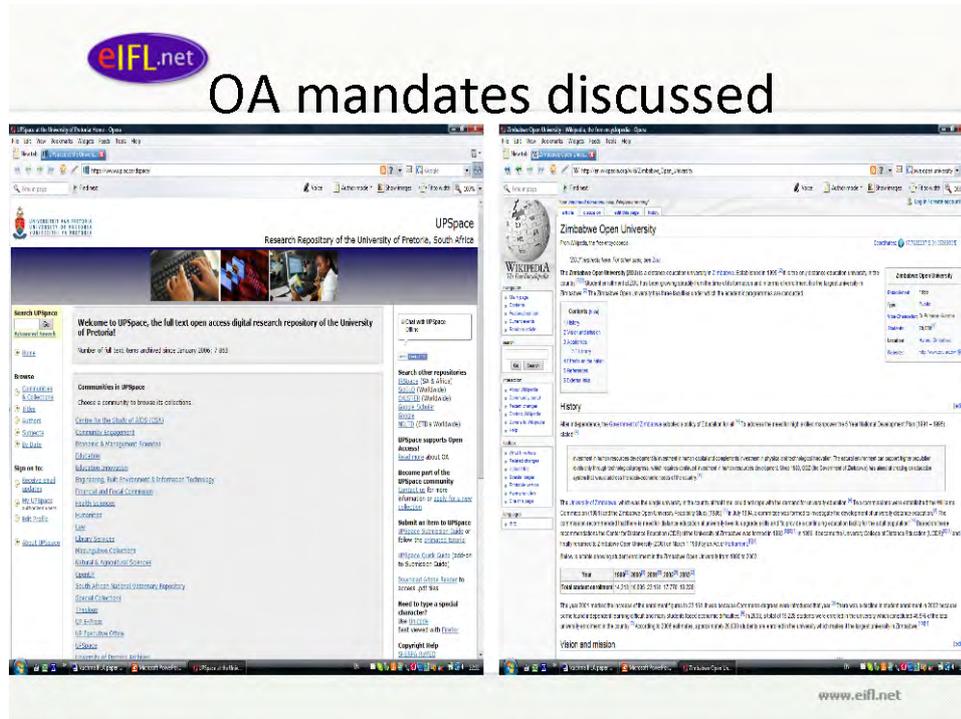
Chinese Ministry of Science and Technology
mandated OA to research data.

Hong Kong Universities proposed OA policy for
publicly-funded research.

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Based on the Report on a Strategic Approach to Research Publishing in South Africa (2006) the Academy of Science of South Africa adopted an OA business model for its journals. Chinese Ministry of Science and Technology mandated open access to research data and Hong Kong Universities proposed open access policy for publicly-funded research.

Since January 2007 the Law of Ukraine requires open access to the research results funded from the state budget⁵ (and a similar legislation is being discussed at the Lithuanian parliament). The first open access institutional mandate in Ukraine was adopted by Ternopil State Ivan Pul'uj Technical University.



Open access mandates are discussed in the University of Pretoria, South Africa, and Zimbabwe Open University.

Why open access mandates?

⁵ The Law of Ukraine On the principles of developing information society in Ukraine for 2007-20015 at www.rada.gov.ua



Why OA mandates? (thank you Arthur Sale!)

Academics are busy and self-archiving
(about 5 minutes on average)
is a last on the “to-do” list.

Long experience has shown that however strong
the persuasion, voluntary deposits seldom exceed 20%
of a university’s total publications.

Mandates work!

(Sale, AHJ (2009) Academic Participation. In: Gaining the momentum: Open Access and advancement of science and research, 14 May 2009, CSIR, Pretoria, South Africa.
(Unpublished): <http://eprints.utas.edu.au/8693/>)

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Long experience has shown that however strong the persuasion, voluntary deposits seldom exceed 20% of a university’s total publications.⁶ But when deposit becomes a university requirement and follow-up on it being performed the compliance rate might reach 90% compliance (the School of Electronics & Computer Science at the University of Southampton, UK) or even 100% (the University of Queensland, Australia).

When researchers are asked the question, “if your employer or funder required you to make your work Open Access, how would you respond?” the result is that 81% of them say they would comply willingly. A further 14% say they would comply reluctantly and 5% say they would not comply at all.⁷

The researchers not only will benefit from the enlarged audience and citation impact⁸ but will also see self-archiving as part of their job, which University values. There will be no confusing with the vanity publishing, because depositing in a repository is not publishing but using Internet to make research more visible and accessible. The Universities will get a new tool to manage their image and impact and will take the responsibilities for the copyright implications (see Harvard University License above).

⁶ Sale, AHJ (2009) Academic Participation. In: Gaining the momentum: Open Access and advancement of science and research, 14 May 2009, CSIR, Pretoria, South Africa. (Unpublished): <http://eprints.utas.edu.au/8693/>)

⁷ Key Perspectives Ltd (2005): Open Access self-archiving: an author study <http://eprints.ecs.soton.ac.uk/10999/> and Arthur Sale (2006): Comparison of IR content policies in Australia: <http://eprints.utas.edu.au/264/>

⁸ The effect of open access and downloads ('hits') on citation impact: a bibliography of studies: <http://opcit.eprints.org/oacitation-biblio.html>

Open access policies and libraries:



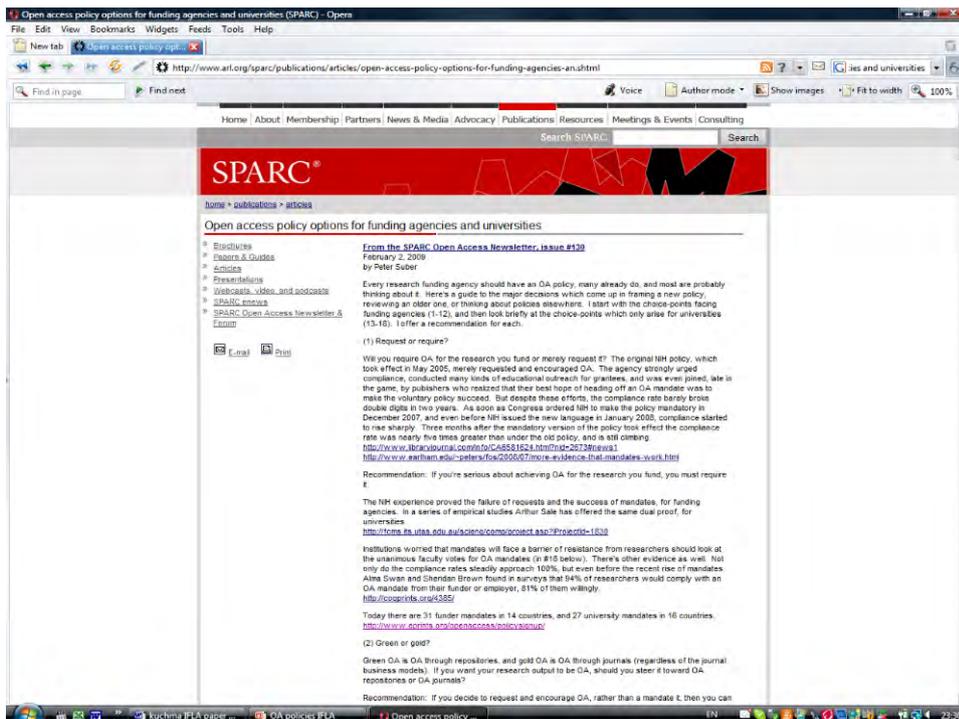
Where are the libraries?

Academic and research libraries **set up and maintain open access repositories and help researchers and students to self-archive, become partners in open access publishing, help to create open educational resources, promote open access and help to shape open access policies.**

www.eifl.net

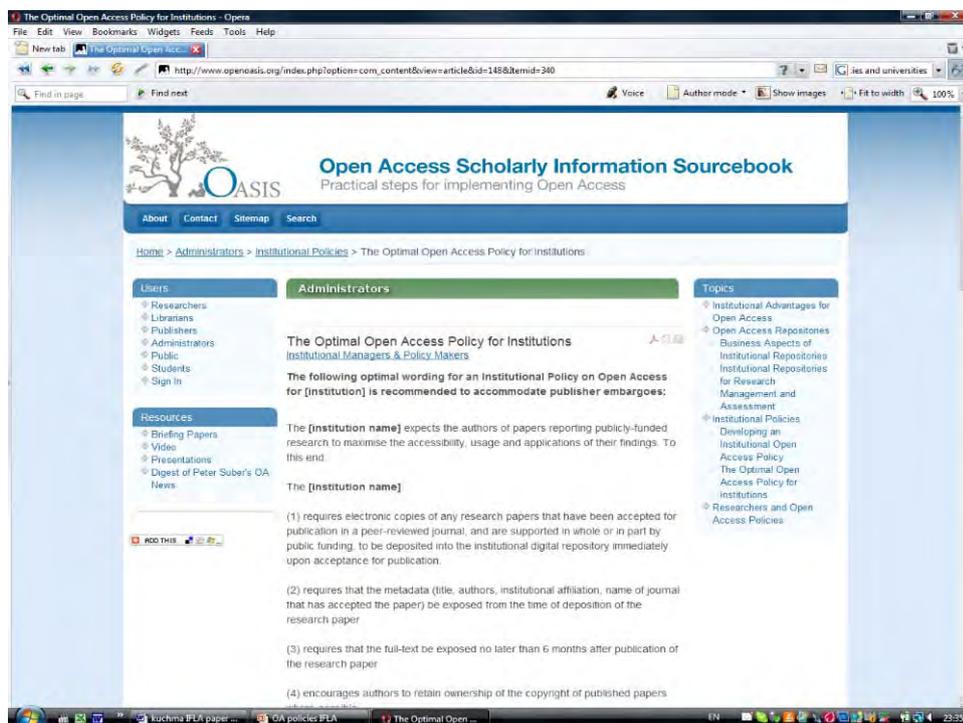
Open access has changed the profile of academic and research libraries: more and more they have become partners in research, data-curation and education, ensuring the quality of digital resources is maintained and the resources are shared. They also develop advanced and enhanced metrics – a new range of standardised indicators based on reader (rather than author-facing) metrics. And much more still remains to be explored.

Open access policy options:



The screenshot shows a web browser window displaying the SPARC website. The page title is "Open access policy options for funding agencies and universities". The article is dated February 2, 2009, and is by Peter Suber. The text discusses the challenges of implementing open access (OA) policies, particularly in the context of funding agencies and universities. It mentions the National Institutes of Health (NIH) policy and the impact of the 2007 mandate. The article also discusses the role of libraries in supporting OA and the importance of self-archiving. The browser's address bar shows the URL: <http://www.arl.org/sparc/publications/articles/open-access-policy-options-for-funding-agencies-anuhtml>. The browser's search bar contains "Search SPARC".

Peter Suber suggested open access policy options for funding agencies and universities⁹ and the most important recommendations are the following: if the institution decides to request and encourage open access, rather than a mandate it, then it can encourage submission to an open access journal and encourage deposit in an open access repository as well. But if it decides to mandate open access, then it should require deposit in an open access repository and not require submission to an open access journal, even if it also encourages submission to an open access journal. The institutions should require the deposit of the final version of the author's peer-reviewed manuscript, not the published version. For publishers who worry about circulation of multiple versions of the peer-reviewed text, it could offer the option to replace the author's manuscript in the repository with the published edition. It should require the deposit of data generated by the funded research project (in medicine and the social sciences, where privacy is an issue, open access data should be anonymised). A peer-reviewed manuscript in an open access repository should include a citation and link to the published edition. The University should also allow the deposit of unrefereed preprints, previous journal articles, conference presentations (slides, text, audio, video), book manuscripts, book metadata (especially when the author cannot or will not deposit the full-text), and the contents of journals edited or published on campus. The university itself could consider other categories as well, such as open courseware, administrative records, and digitisation projects from the library, theses and dissertations. For simplicity and enforceability, it's better to follow the example of most funding agencies: to apply the open access policy to research the institution funds "in whole or in part". Any embargo is a compromise with the public interest. The shorter they are, the better (no more than six months). Private notes and records not intended for publication, classified research and royalty-producing books should be exempted. Patentable discoveries should be either exempted or embargo long enough could be used to allow the researcher apply for a patent.



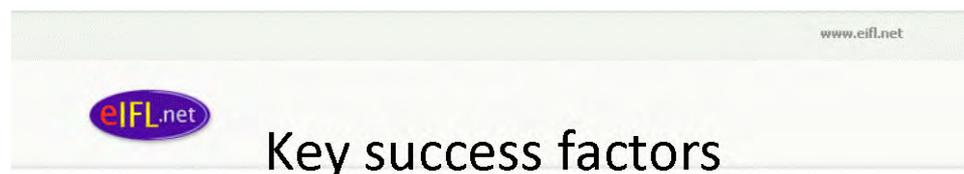
⁹ The SPARC Open Access Newsletter, issue #130 and The SPARC Open Access Newsletter, issue #127, by Peter Suber: <http://www.earlham.edu/~peters/fo/newsletter/02-02-09.htm> and <http://www.earlham.edu/~peters/fo/newsletter/11-02-08.htm>

Above is the optimal wording for an Institutional Policy on Open Access to accommodate publisher embargoes.¹⁰

Key success factors of open access policies:



Involve key stakeholders: provosts, faculty governance and the general counsel's office, academic staff (supporters and champions!), library staff, technical and other support staff.



Communicate and show your support to the faculty: build awareness (seminars, discussions, presentations) and obtain the feedback to determine the faculty support.

Be ready to assist the faculty in complying with the policy and to work with the publishers.



¹⁰ http://www.openoasis.org/index.php?option=com_content&view=article&id=148&Itemid=340



Key success factors

Fit the repository to the institution wide intellectual property rights policy and scholarly communications policy, departmental digital stores of publications and an information management strategy.

Generate statistics and management reports from your institutional repository, collect usage and item download statistics.

www.eifl.net

You can read more in the SPARC / Science Commons White Paper Open Doors and Open Minds: What faculty authors can do to ensure open access to their work through their institution (April 2008).¹¹

Use the Open Access Week – October 19-23, 2009 to broaden awareness and understanding of open access and to introduce open access policies and mandates in your institutions.

The screenshot shows the website for Open Access Week - October 19-23, 2009. The page has a clean layout with a navigation menu on the left, a main content area with several articles, and a sidebar on the right with a search box and partner logos. The main article visible is 'Now online - UMich's March Open Access Week: Lessons and Ideas' by Liz, dated May 2, 2009. Another article is 'New social tagging project for real time OA developments' by Liz. The sidebar lists partner organizations like PLoS, SPARC, OASIS, and others.

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¹¹ http://www.arl.org/sparc/publications/opendoors_v1.shtml