

# “OA policies – where we are and what we know about effectiveness”

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## PASTEUR4OA/Welcome

Welcome to the PASTEUR4OA website!

PASTEUR4OA (Open Access Policy Alignment Strategies for European Union Research) aims to support the European Commission's Recommendation to Member States of July 2012 that they develop and implement policies to ensure Open Access to all outputs from publicly-funded research.

PASTEUR4OA will help develop and/or reinforce open access strategies and policies at the national level and facilitate their coordination among all Member States. It will build a network of centres of expertise in Member States that will develop a coordinated and collaborative programme of activities in support of policymaking at the national level under the direction of project partners.



# PASTEUR4OA/Partners

EKT/NHRF - National Documentation Centre

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EOS - Enabling Open Scholarship

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UMINHO - University of Minho

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CRISTin – University of Oslo

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EIFL

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EuroCRIS

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MTA Konyvtar – Hungarian Academy of Sciences

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POLITO – Politecnico di Torino

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SPARC Europe

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LIBER

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Jisc

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Hacettepe University

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Open Knowledge

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FRS FNRS

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LMT – Research Council of Lithuania

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# The global overview of OA-policies

- Work Package 3 of the PASTEUR4OA project involved a set of tasks:
- Describe and enumerate the policy picture in Europe and around the world
- Rebuild ROARMAP, including the development of a new, detailed classification scheme that describes policy elements
- Collect data on the levels of Open Access material in institutional repositories around the world
- Analyse what elements of a policy contribute to its effectiveness

PASTEUR4OA Project

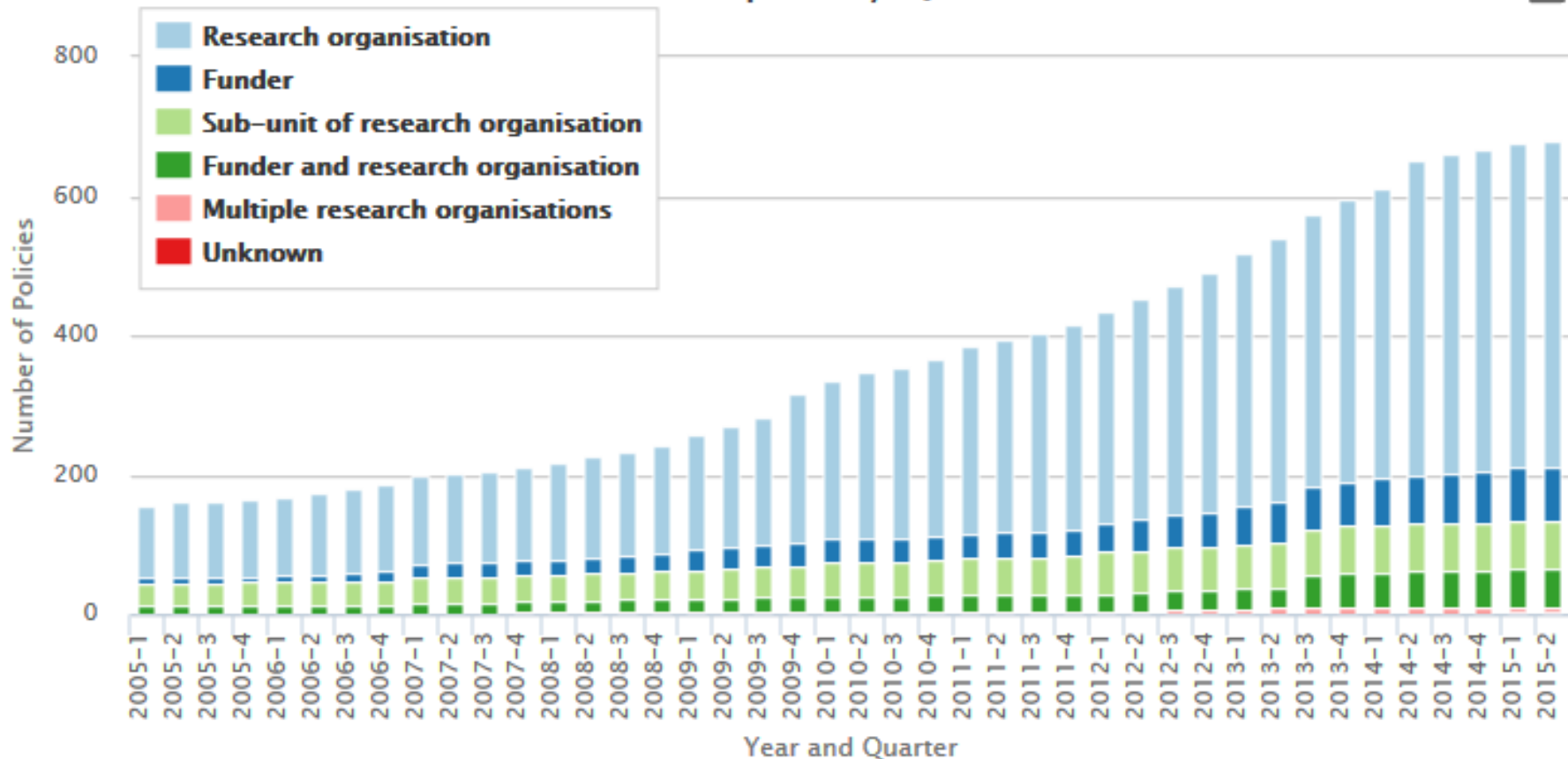
OPEN ACCESS POLICY: NUMBERS, ANALYSIS,  
EFFECTIVENESS

Alma Swan, Yassine Gargouri, Megan Hunt  
and Stevan Harnad

Enabling Open Scholarship



## Policies Adopted by Quarter



# The ROARMAP “makeover”

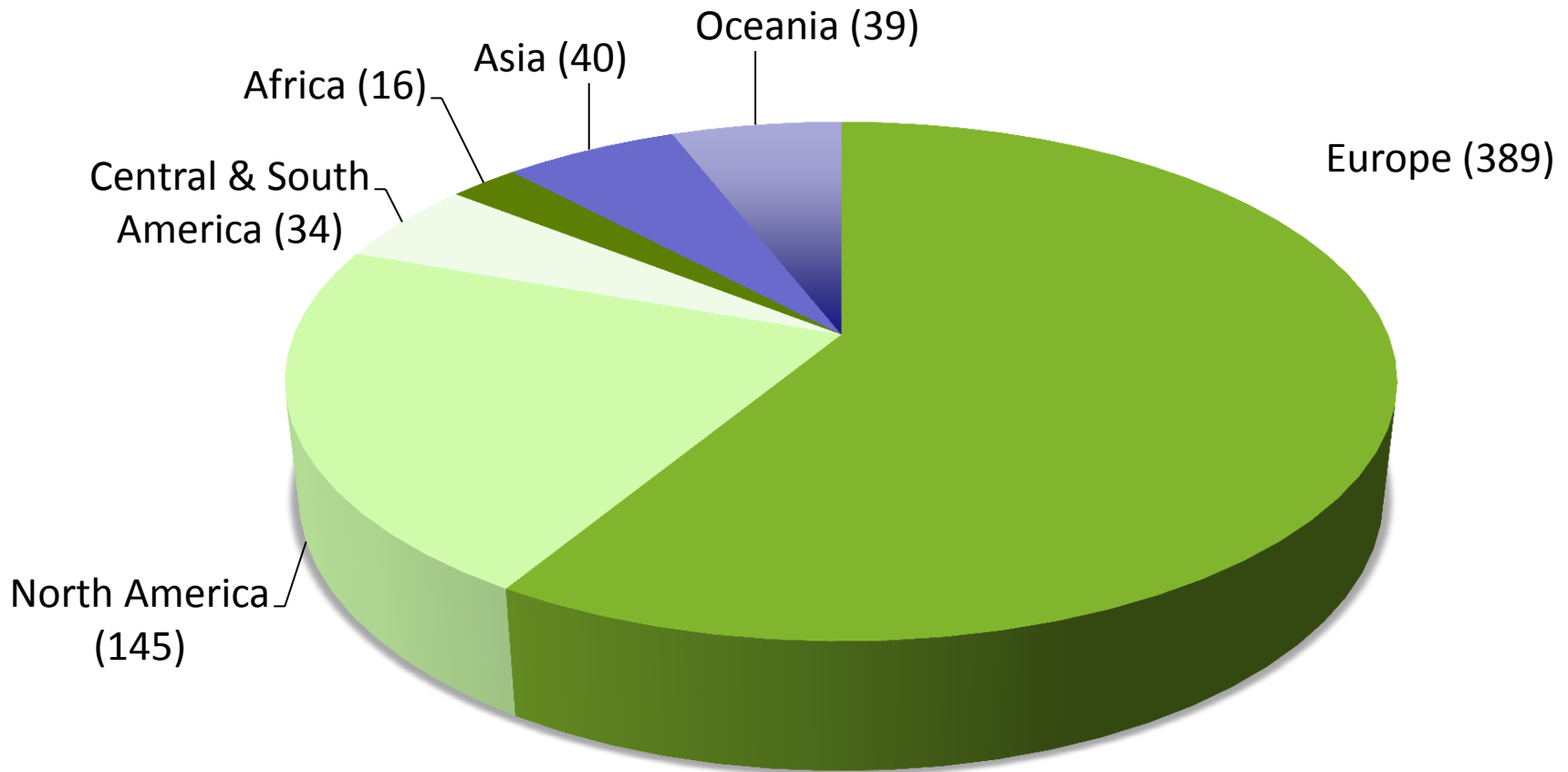
- New classification scheme including
  - Criteria for deposit
  - Licensing conditions
  - Rights holding
  - Embargo lengths
  - Gold Open Access publishing options

# Making ROARMAP comprehensive

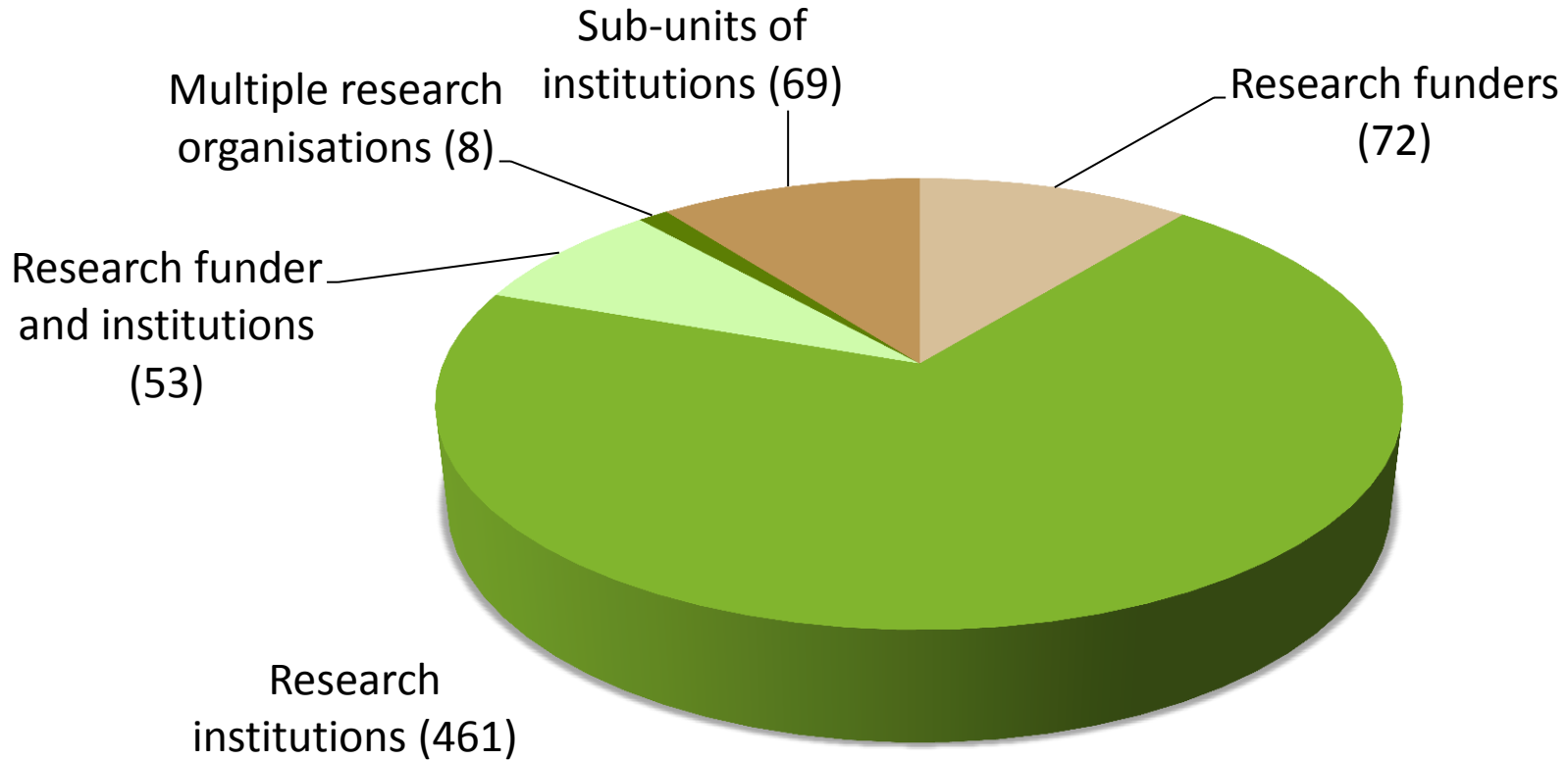
- 250 additional OA-policies discovered
- March 2015: a total of 663 entries
  - 66% are institutional policies
  - 10% are funder policies
  - More than 50% are mandatory policies (requiring rather than requesting deposit)



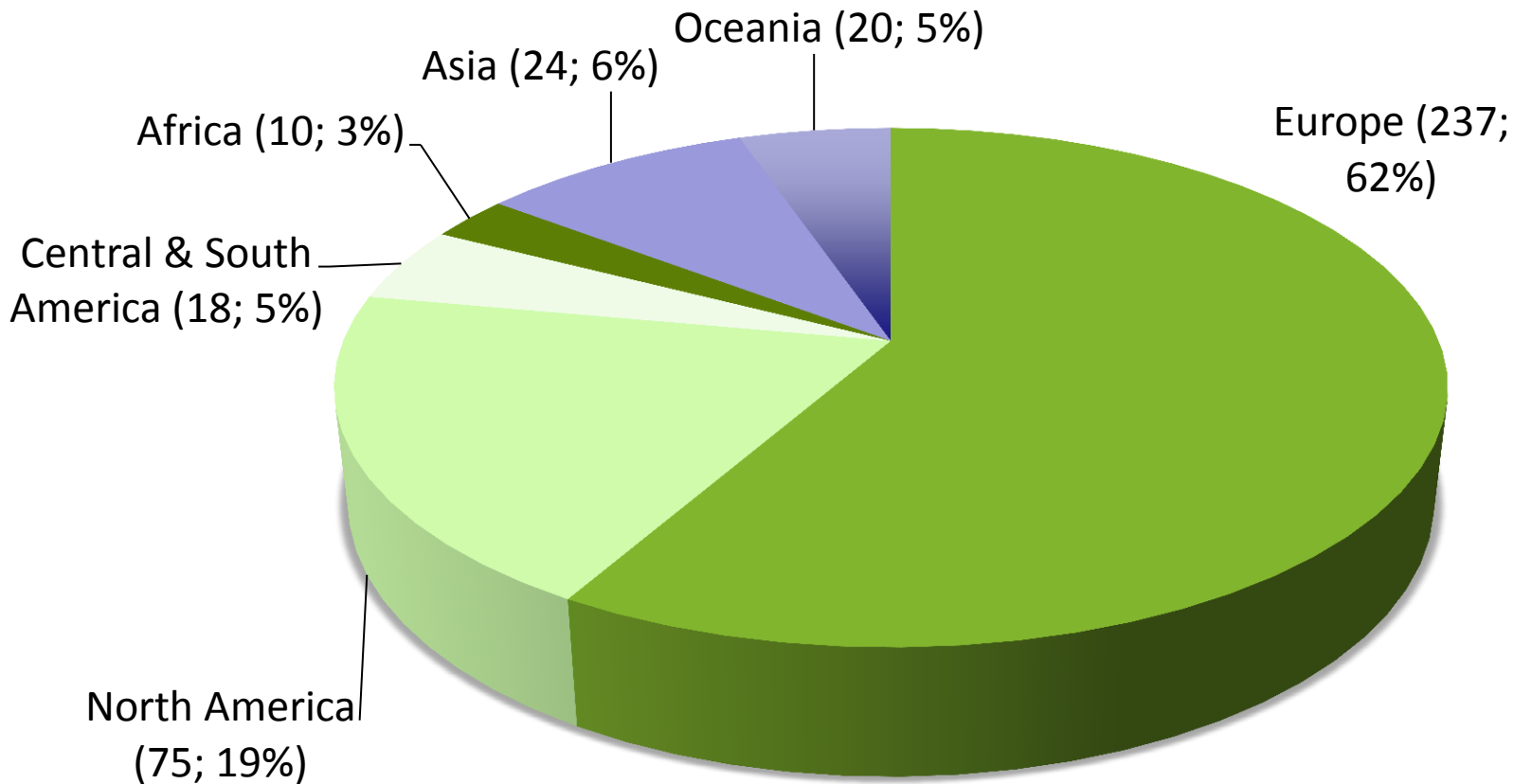
# Open Access policies worldwide



# Open Access policymakers worldwide



# Open Access mandates worldwide



# Examining policy effectiveness

- measuring **deposit rates**
- measuring **deposit latency**
- examining **deposit rates** in relation to different **policy criteria**
- examining the **correlation** between **deposit latency** and **different policy criteria**

# Deposit rates

- Metadata-Only
- Full-Text
  - Open Access
  - Restricted Access (embargo)

# Deposit rates (institutional repositories)

- Based on published articles according to Web of Knowledge in 2011-2013 measured Autumn 2014
- 122 institutions with mandates adopted 2011 or earlier and 10 institutions without a mandate – potentially 350.000 articles
- Results:
  - 77% had no records at all!!
  - 8% were Metadata only
  - 12% were Open Access
  - 3% were Restricted Access
  - That is: 15% Full text!

# Strong mandates deliver (better than soft policies)

- Deposit of Open Access material was over four times as high (14%) for institutions with a mandatory policy than for those without (3%)

# Deposit latency

- Open Access items tend to be deposited later than Restricted Access ones
- Latency periods tend to be longer in mandated institutions than in non-mandated ones (reason (?)): probably because authors who deposit voluntarily are self-motivated and will do it early.



# Deposit rates and policy criteria I

- **Positive** correlations: Open Access and Restricted Access deposit rates and these policy criteria:
  - *Must deposit,*
  - *Cannot waive deposit,*
  - *Link to research evaluation,*
  - *Cannot waive rights retention,*
  - *Must make item Open Access*

# Deposit rates and policy criteria II

- **Negative** correlation btwn Open Access and Restricted Access deposit rates and this policy criteria:
  - *Cannot waive Open Access*
- **Significant** correlation btwn Open Access deposit rate and
  - *Must deposit*
  - *Cannot waive deposit*

# Deposit latency and policy criteria

- **Positive** correlation btwn early deposit and
  - *Age of the mandate*
  - *Cannot waive rights retention*
  - *Deposit immediately.*
- **Significant** correlation btwn early Open Access deposits and
  - *Age of the mandate* (the longer a mandatory policy has been in place, the more effective it can become).

# An efficient policy is

- A Must Deposit policy
- Cannot Waive Deposit policy
- A policy linked with Research Evaluation/Assessment
- 5 of the funder policies include these criteria
- 13 of the institutional policies include these criteria

# Policy criteria

Criterion (Green OA)	Number of policies	Criterion (Gold OA)	Number of policies
Deposit in repository required (Green OA)	381	OA publishing required	2
Deposit in repository requested	140	Recommended alternative to Green OA	97
Deposit in repository not specified	141	Permitted alternative to Green OA	101
		Not specified/other	463
<b>Total</b>	<b>663</b>		<b>663</b>

*Table 3: Open Access policies: Green and Gold OA criteria*

# Funders

Criterion (Green OA)	Number of policies	Criterion (Gold OA)	Number of policies
Deposit in repository required (Green OA)	49	OA publishing required	1
Deposit in repository requested	12	Recommended alternative to Green OA	18
Deposit in repository not specified	11	Permitted alternative to Green OA	11
		Not specified/other	43

*Table 4: Open Access policies: Green and Gold OA criteria – research funders*

# Institutions

Criterion (Green OA)	Number of policies	Criterion (Gold OA)	Number of policies
Deposit in repository required (Green OA)	310	OA publishing required	2
Deposit in repository requested	124	Recommended alternative to Green OA	75
Deposit in repository not specified	104	Permitted alternative to Green OA	82
		Not specified/other	379

*Table 5: Open Access policies: Green and Gold OA criteria – research institutions*

# Observations

- Research Funders and mixed Funder and Research Organisations from Europe are much more likely to have stronger mandates.
- No significant difference in the “strength” of mandates in Research Organisations (Universities etc.) across the continents.
- Funders are more likely than institutions to:
  - require deposit
  - recommend Gold OA and
  - allow and/or provide funds for APC payments





## So far:

- We have seen the characteristics of an efficient OA-policy
- But the deposit rates in general are with a few exceptions IMHO depressing!
- Can repositories deliver OA??
- We must not forget what it was all about!

## Budapest Open Access Initiative

[Home](#)

[BOAI10  
Recommendations](#)

[Translations](#)

[Background](#)

### Read the Budapest Open Access Initiative

An old tradition and a new technology have converged: scientists and scholars publishing the fruits of their research. The new technology is the internet. The public good they make possible is literature and completely free and unrestricted access to it. Removing access barriers to this literature will accelerate research.

**Ten years on from the Budapest Open Access Initiative: setting the default to open**



### What does BOAI mean by "open access"?

Here is the definition of "open access" from the BOAI:

"By 'open access' to this literature, we mean its free availability on the public internet, permitting any users to **read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl** them for indexing, pass them as data to software, or use them for any other lawful purpose, **without financial, legal, or technical barriers** other than those inseparable from gaining access to the internet itself

# Open Access is...

- **Immediate** access to published content – especially scholarly articles!
- There are not many scholarly articles in the repositories.
- And - embargo is a legal barrier!

# Something to think about!?

- Have we been too eager to see progress by seeking compromise and consensus??
- Did we refrain from telling funders and decision makers that transition is associated with investments and costs??
- Were we afraid of promoting (real) Open Access publishing (Gold – not Hybrid!!), because there are bills to be paid??

- While we are desperately trying to make Green OA work the publishers have regrouped their troops!
- Facilitated by the UK and the RCUK they are back in business with the Hybrid stuff!
- Is it time to rethink strategy? Will Green OA ever deliver the transition?
- And if Green OA is coming closer to deliver, what will happen to the embargoes??

# Trendspotting !?

- Not all are as patient as we are!
- Some funders and large research institutions demonstrate more determination towards facilitating real transition:
- There are updated mandates from WHO, CERN and the Norwegian Research Council and of course
- The exiting OA-policy adopted by the Bill & Melinda Gates Foundation! Way to go!

# And finally!!

- While we are diving in the new exciting (and complicated stuff) like Research Data and OER please do not forget that we are far, **very far** from fixing Open Access to publications!!
- First things first, or what???
- Let's keep our eyes on the ball!!

# Finito!!

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# Useful links

- PASTEUR4OA - <http://www.pasteur4oa.eu/>
- EOS -  
[http://www.openscholarship.org/jcms/c\\_5012/en/home](http://www.openscholarship.org/jcms/c_5012/en/home)
- ROARMAP - <http://roarmap.eprints.org/>
- The report:  
<http://www.pasteur4oa.eu/news/109#.VSz5a5NXr-4>

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