

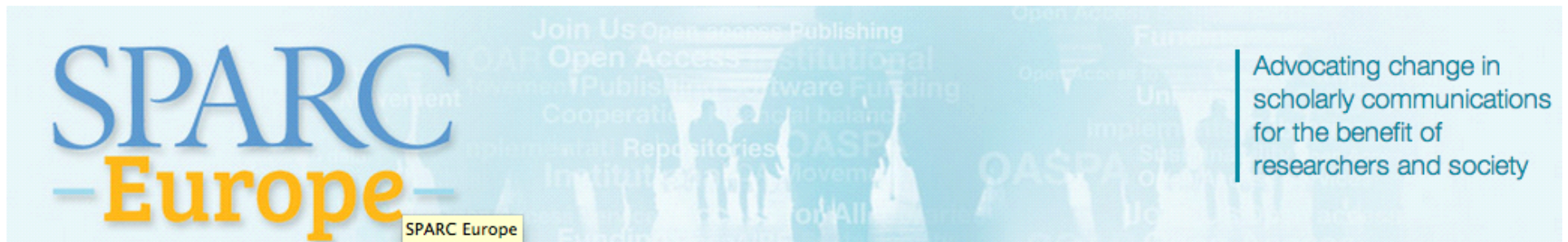
Sri Lankan Open Access Workshop, Colombo, 29/30 April 2013

Open Access policy development

Dr Alma Swan

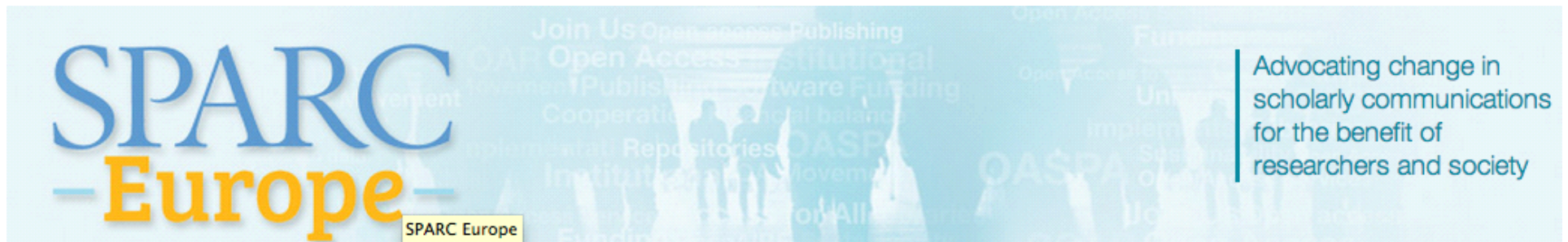
Director of Advocacy

SPARC Europe

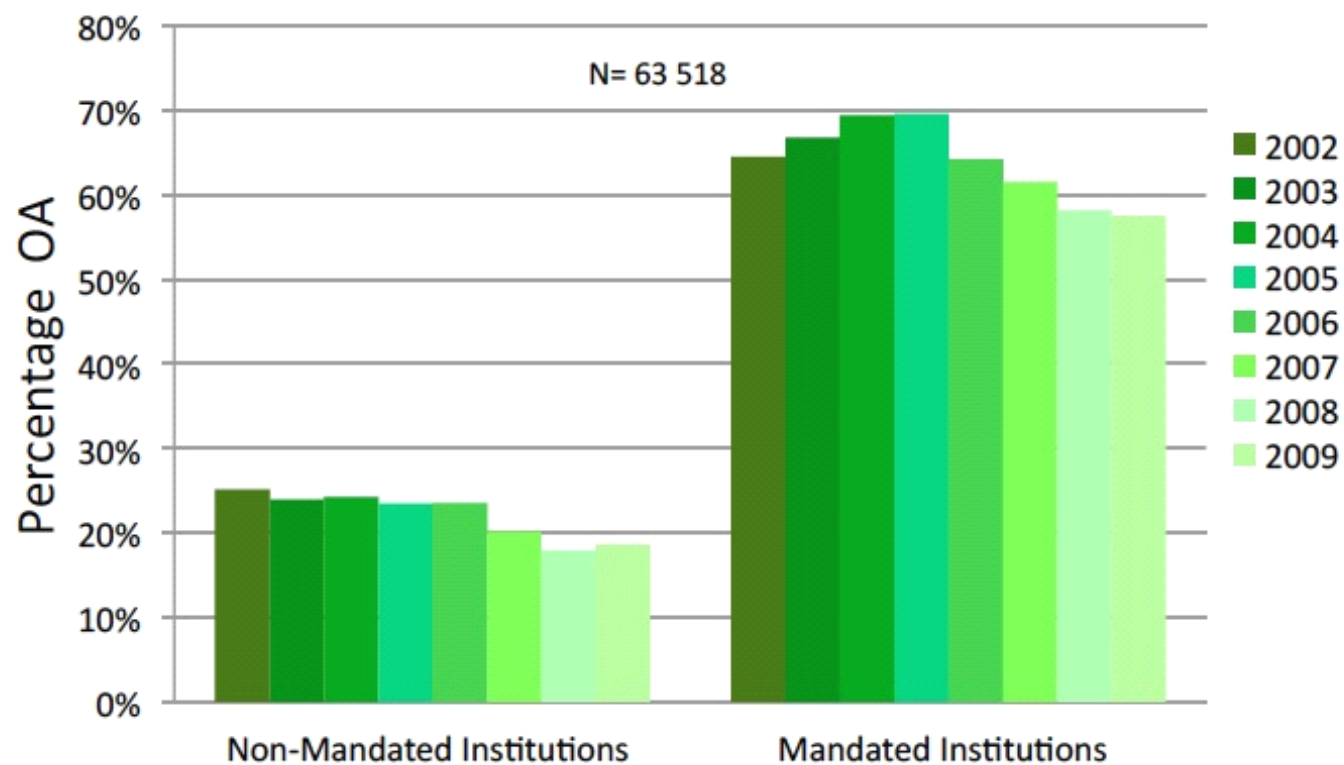


Mandatory – or not?

- Encourage
- Recommend
- Require
- Require + implementation support



The effect of a mandatory policy

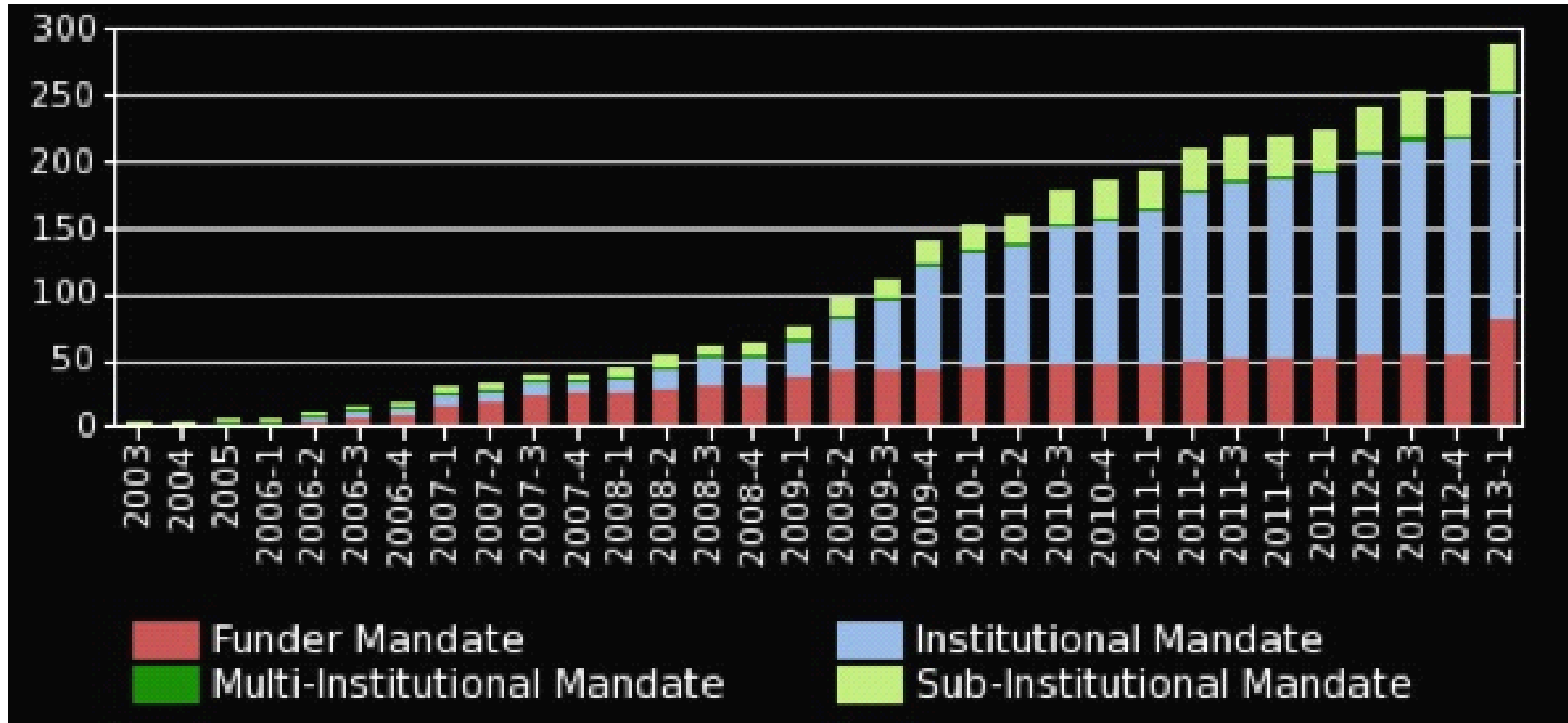


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Open Access mandatory policies



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Policy types by number

- Institutional Mandates: 168
- Sub-institutional mandates: 37
- Multi-institutional mandates: 4
- Funder mandates: 80

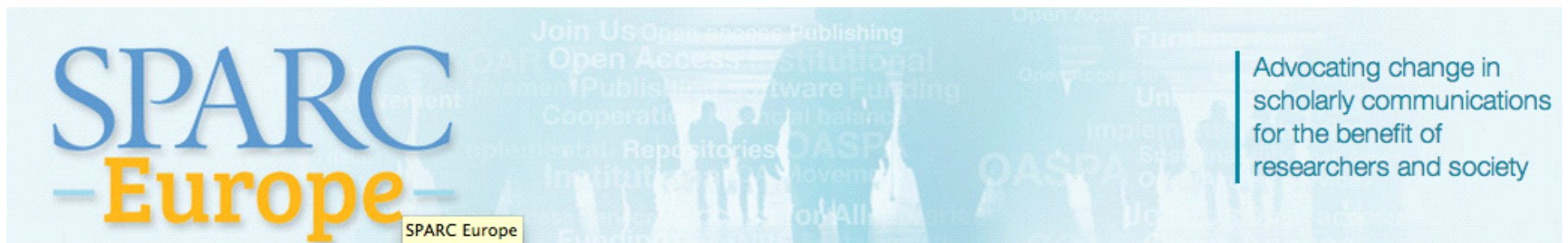
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Policy development

- Wording
- Who is involved
- Implementation
- Resources available for ongoing support



Main issues

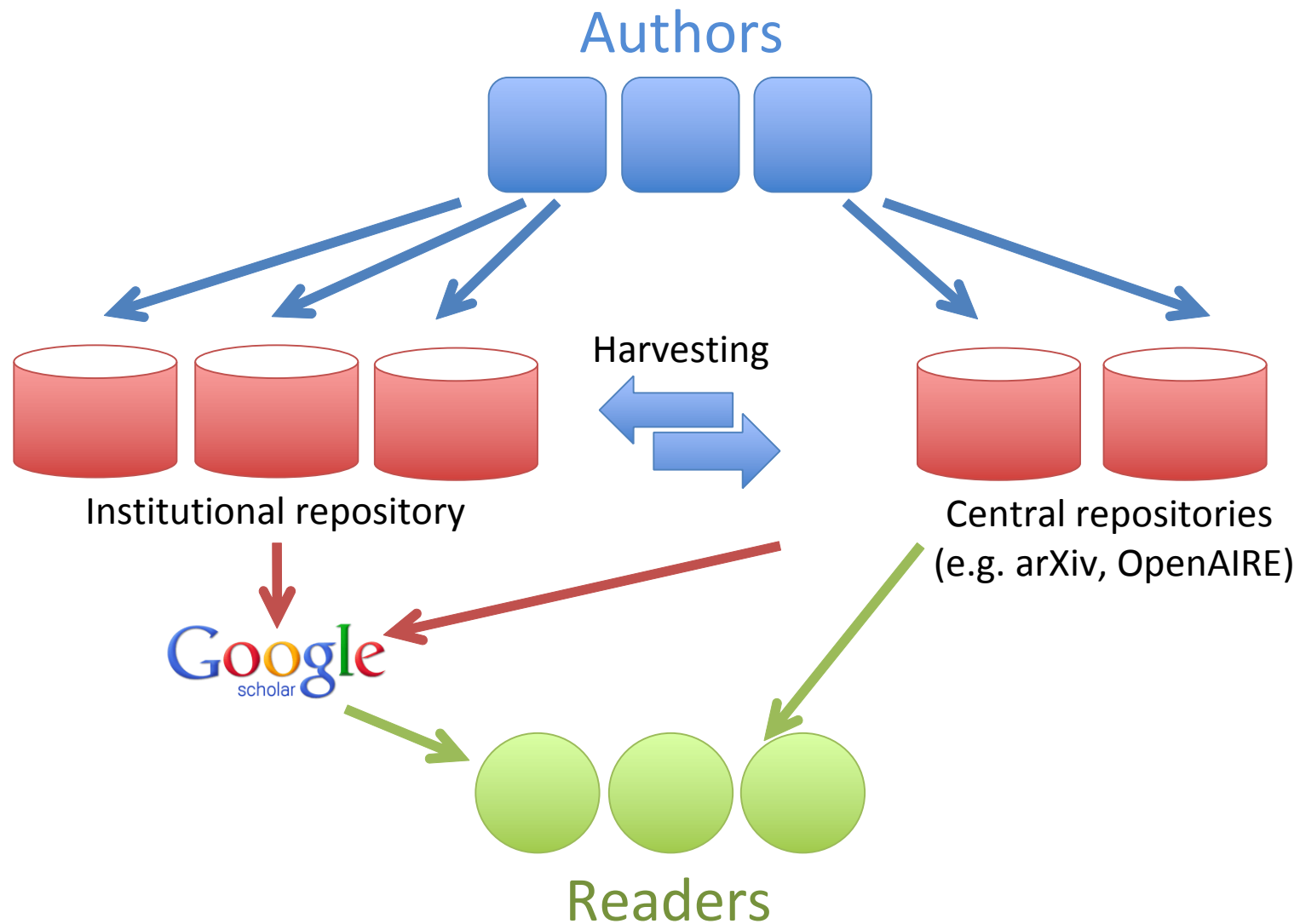
- Rights
- Waiver
- Embargo
- Deposit time
- Deposit locus

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Repository models



A policy typology

Type	Rights	Waiver	Deposit	Embargo
1	Assigned to publisher	No	Immediate	On full-text (not metadata)

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A policy typology

Type	Rights	Waiver	Deposit	Embargo
1	Assigned to publisher	No	Immediate	On full-text (not metadata)
2(a)	Authors assign to institution	Yes	Immediate	Usually (as in Type 1)

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A policy typology

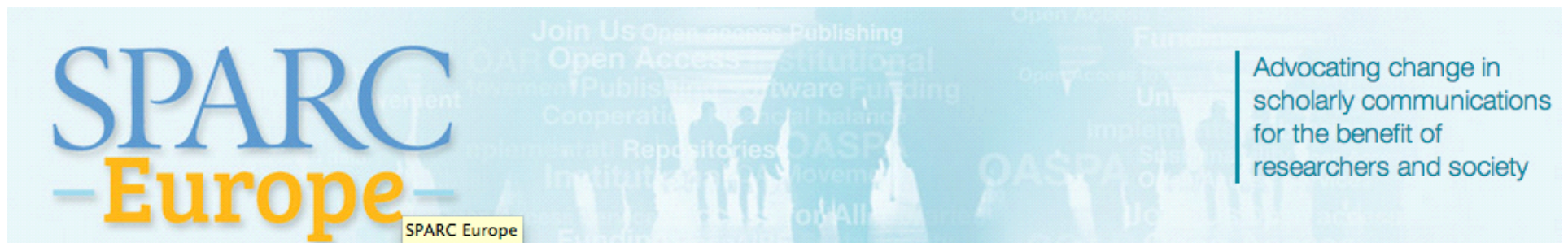
Type	Rights	Waiver	Deposit	Embargo	Example
1	Assigned to publisher	No	Immediate	On full-text (not metadata)	Liege
2(a)	Authors assign to institution	Yes	Immediate	Usually (as in Type 1)	Harvard, Harvard-lookalikes
2(b)	Institution already holds rights	Yes	Immediate	Usually (as in Type 1)	QUT
3(a)	Not addressed	Yes	Specified	Policymaker-specified	Glasgow, Wellcome Trust
3(b)	Not	No	Specified	Publisher-	Many

A policy typology

Type	Rights	Waiver	Deposit	Embargo	Example	Supported by
1	Assigned to publisher	No	Immediate	On full-text (not metadata)	Liege	Requirement for performance assessment
2(a)	Authors assign to institution	Yes	Immediate	Usually (as in Type 1)	Harvard, Univ	Advocacy
2(b)	Institution already holds rights	Yes	Immediate	Usually (as in Type 1)	QUT	Very active advocacy
3(a)	Not addressed	Yes	Specified	Policymaker -specified	Glasgow, Wellcome Trust	Intense advocacy effort Sometimes (increasingly) sanctions
3(b)	Not	No	Specified	Publisher-	Many	Support very varied

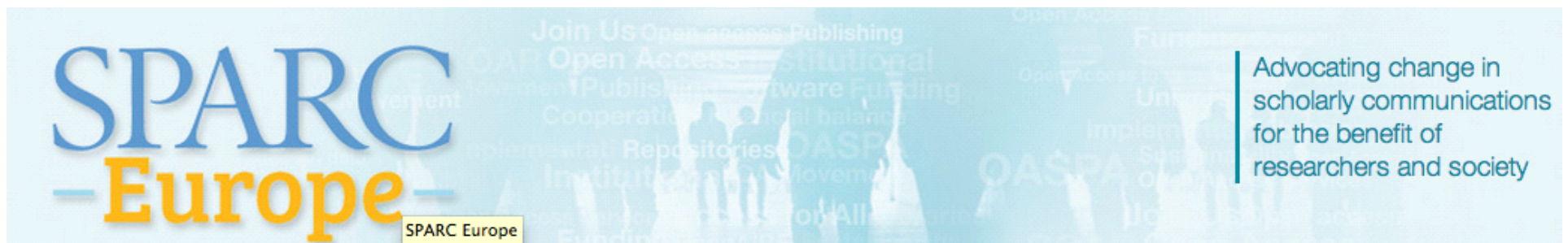
Policy alignment

- Irons out dissonances for researchers working in interdisciplinary areas or on international teams
- Supports EU harmonisation agenda (research conditions, researcher mobility, etc)
- Key issue in changing author practices and norms
- Allows generic infrastructural services to be established in support of policy



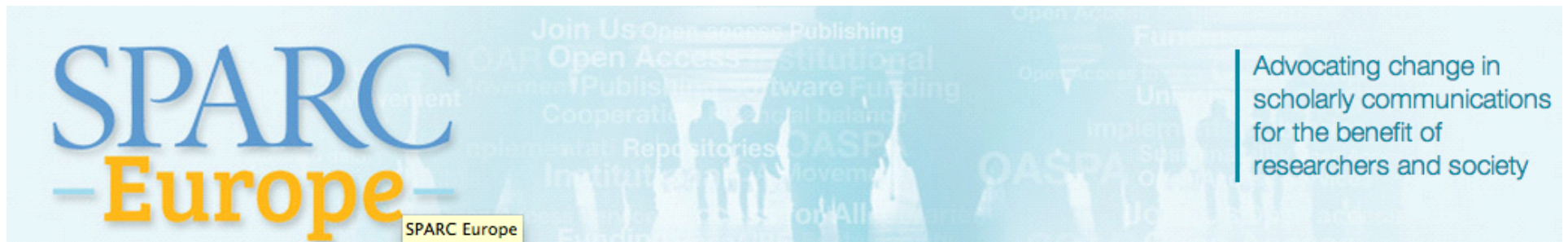
European Union policy

- H2020 programme (2014-2020)
- Covers all research areas
- 100% of total funding budget
- ‘Green’ policy: mandatory
 - OpenAIRE: portal harvesting from institutional repositories
 - Embargoes allowed: 6/12 months
- ‘Gold’ OA publishing costs are allowed to be paid from grants

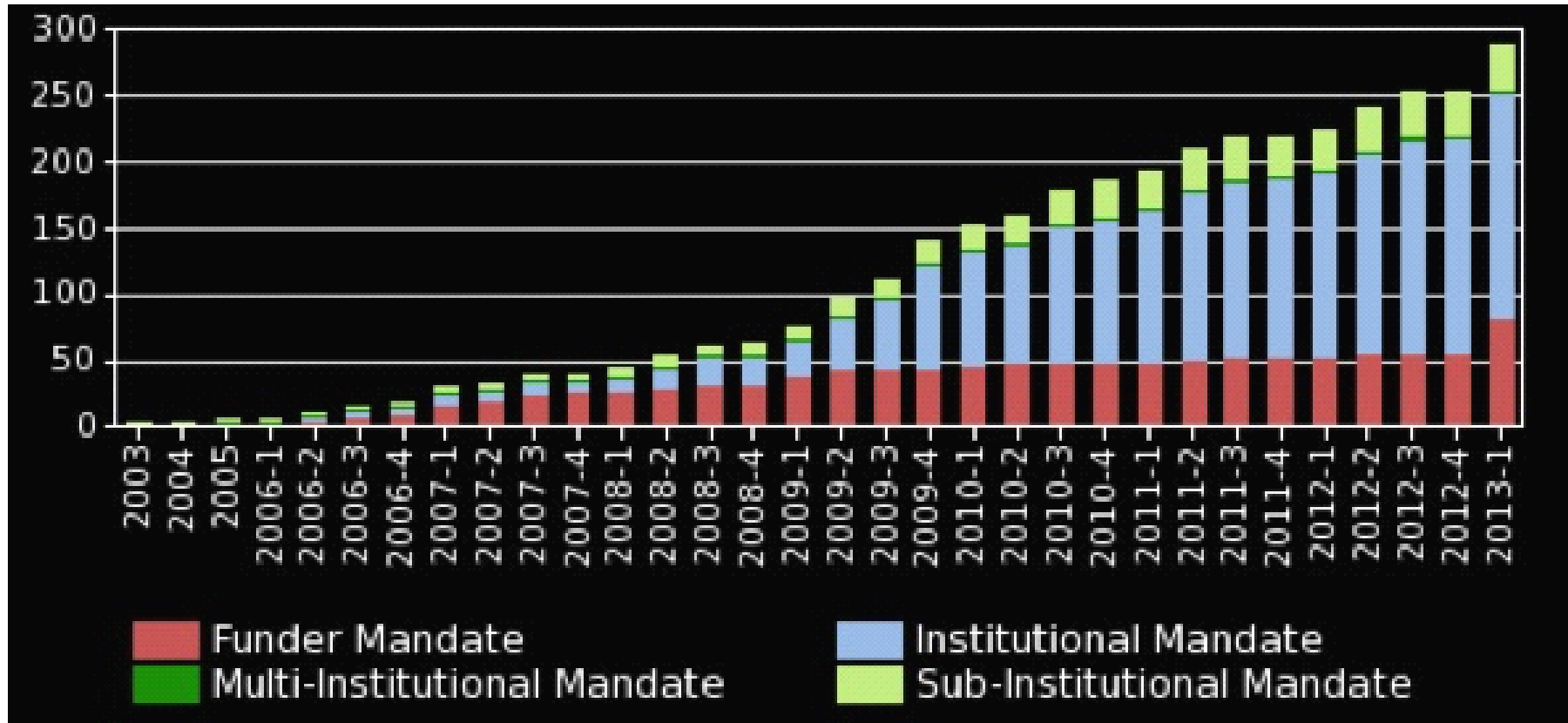


Policies in India

- Universities: 4
- Research institutes: 3
- Funders: 2
 - National Knowledge Commission
 - Council of Scientific & Industrial Research



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Thank you

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www.keyperspectives.co.uk

www.openscholarship.org

www.openoasis.org

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Resources

1. General, comprehensive resource on Open Access:

OASIS

(Open Access Scholarly Information Sourcebook)

www.openoasis.org

2. Resource for policymakers, institutional managers:

EOS

(Enabling Open Scholarship)

www.openscholarship.org

