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The 2nd SPARC Japan Seminar 2014 "Institutional Open Access Policy : toward the development of Japanese models"

Current Status of Open Access Policy

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Outline

1. OA policy in scholarly communication

2. Current Status of OA policy

1. ROARMAP and Sherpa/Juliet

2. University OA policy

3. Government and Funder's OA policy

3. Summary

OA Policy : 7 benefits (SPARC Europe 2014)

1. Systematic contribution to the greater worldwide visibility
2. Increase institution's ranking position
3. Faster innovative and economic growth
4. Stimulate new research partnerships and project collaborations, research income
5. Increase value of institution's knowledge
6. Increase the social impact and reputation of institution
7. Demonstrate institutional commitment to OA and Open Science

Open Access Policy

- **Policy**

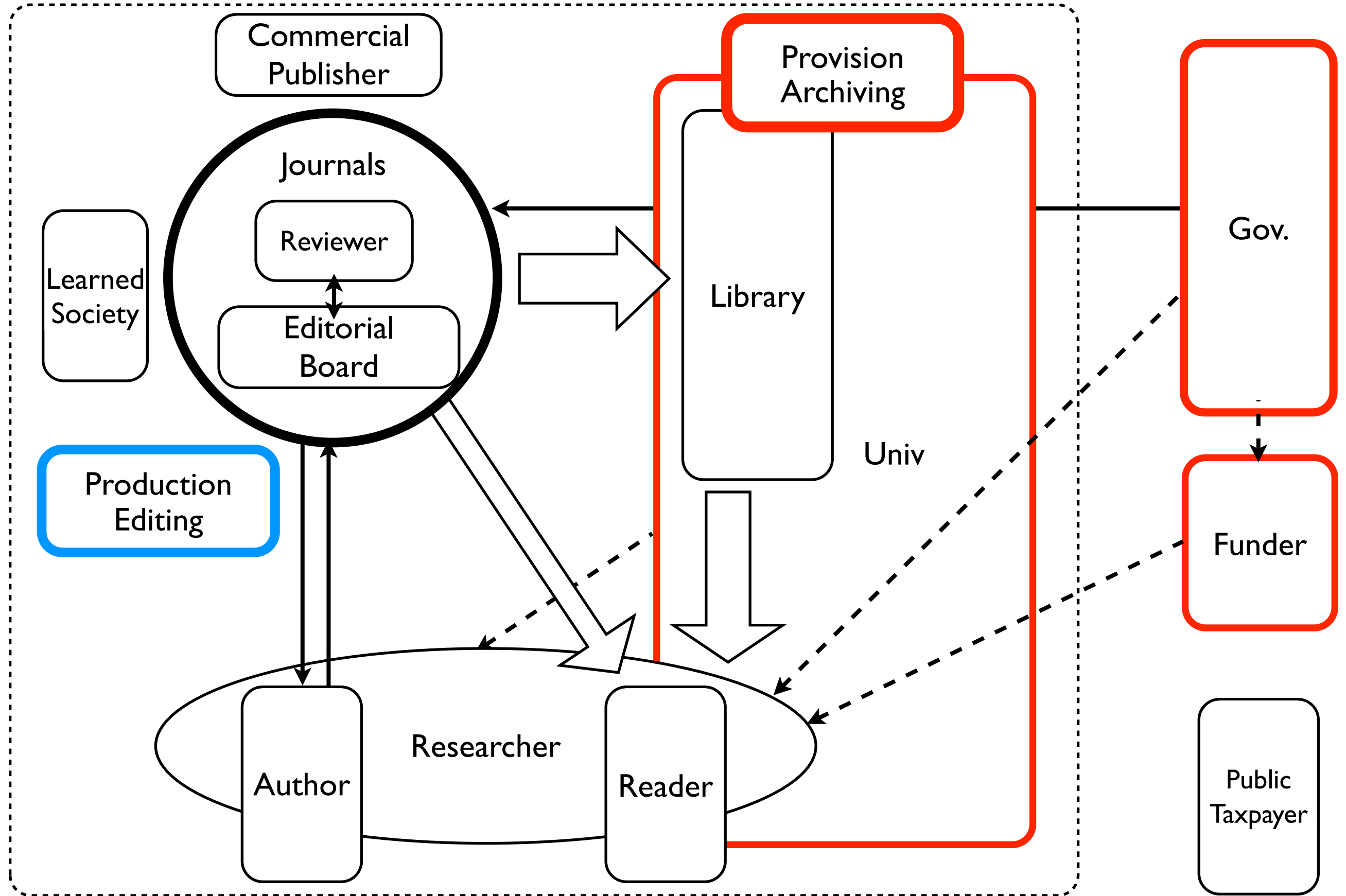
- a course of principle and procedure adopted or proposed by a organization, or individual to solve problems
 - Goal, Target, Procedure

- **“Open Access” Policy**

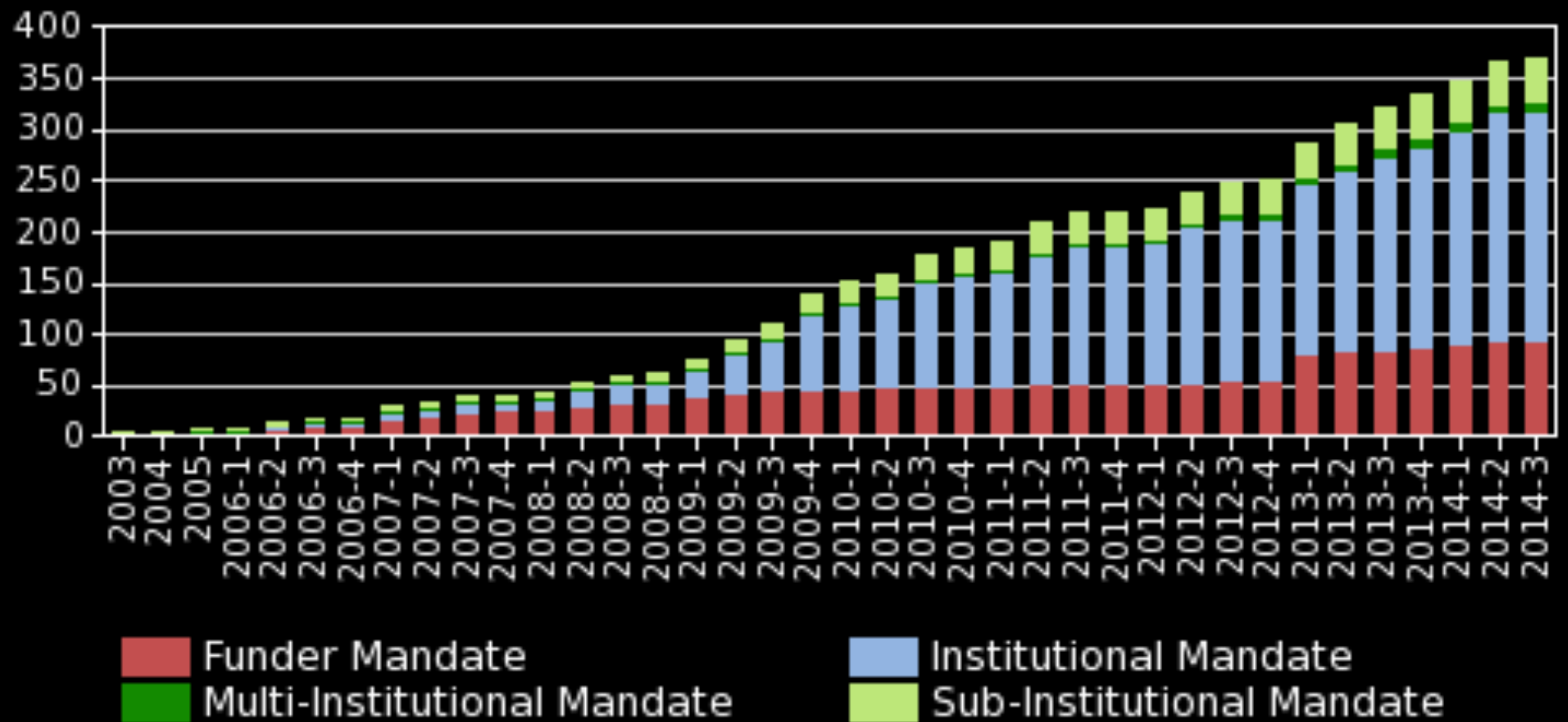
- a course of principle and procedure adopted or proposed by a organization, or individual to solve Open Access-related problems

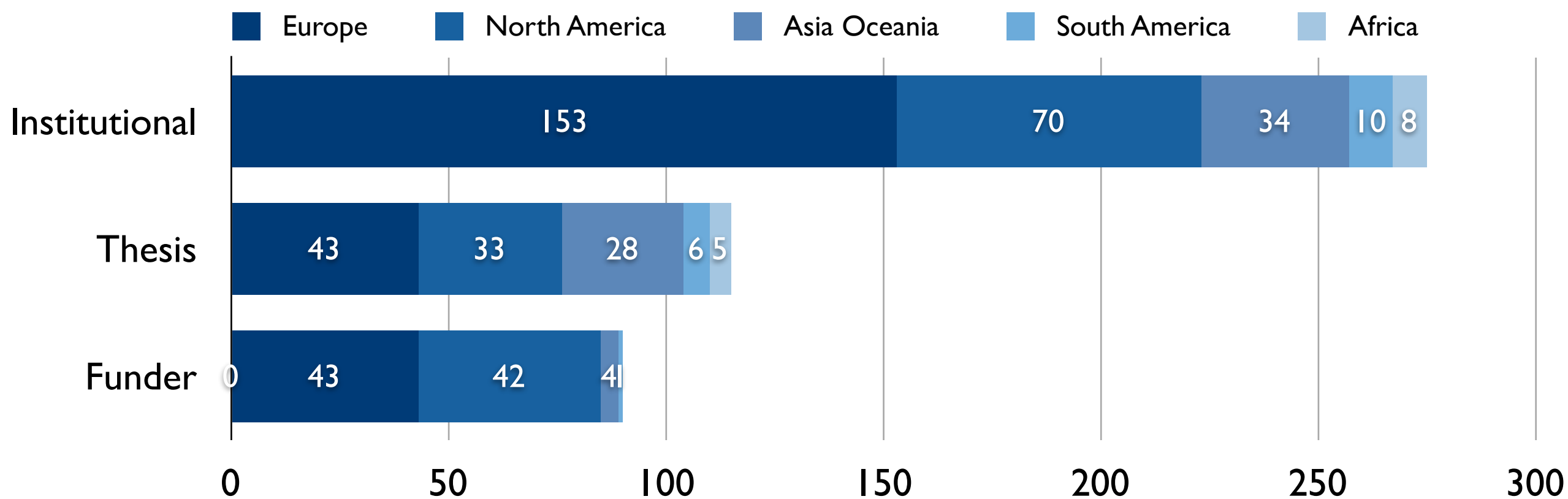
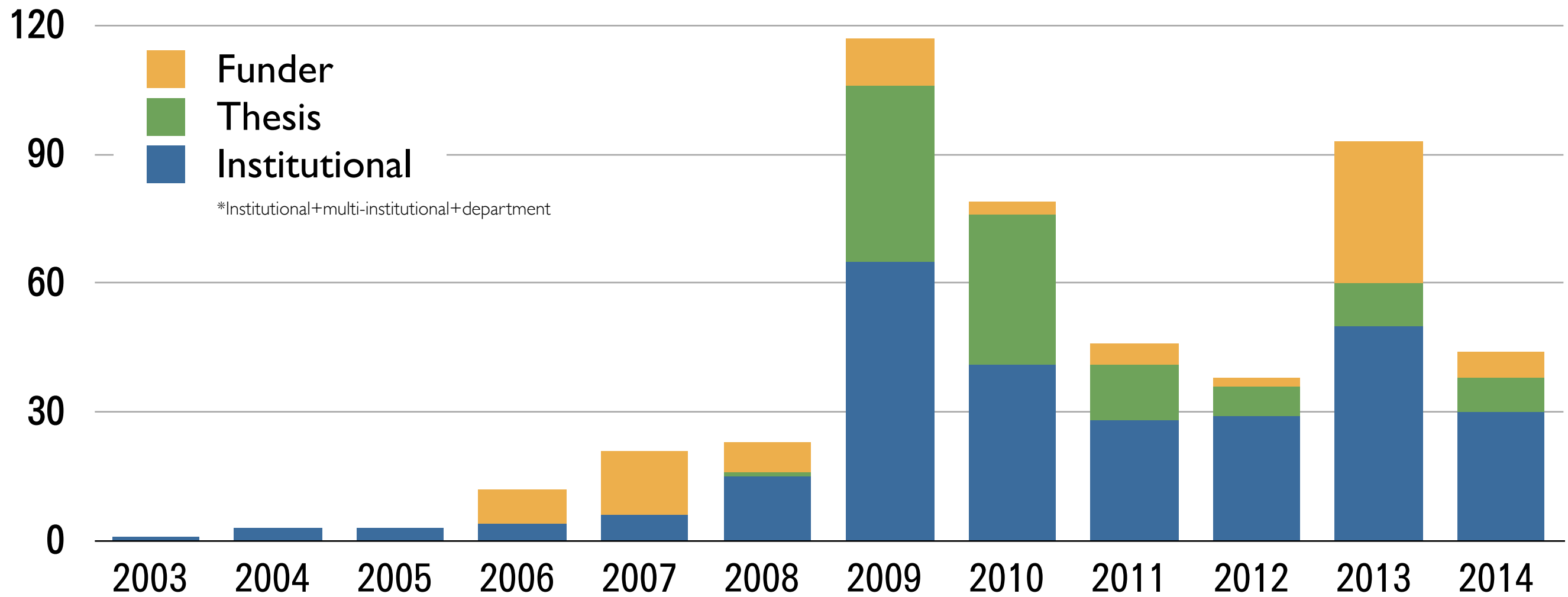
Stakeholders in OA policy

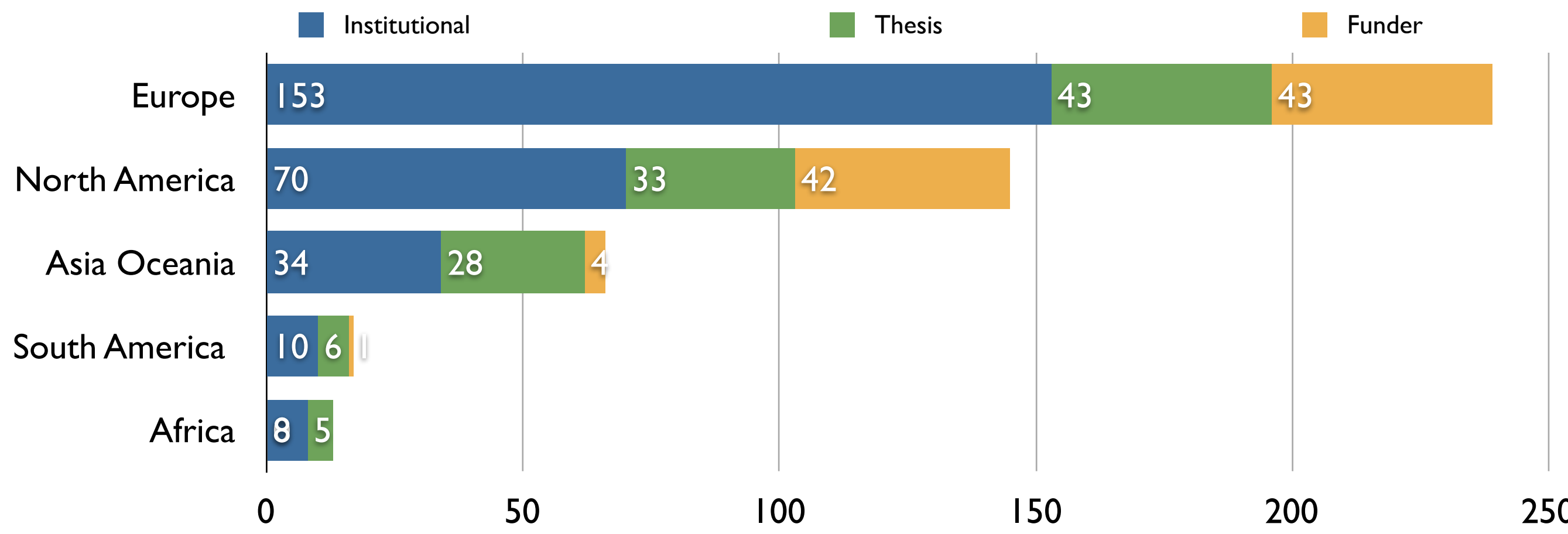
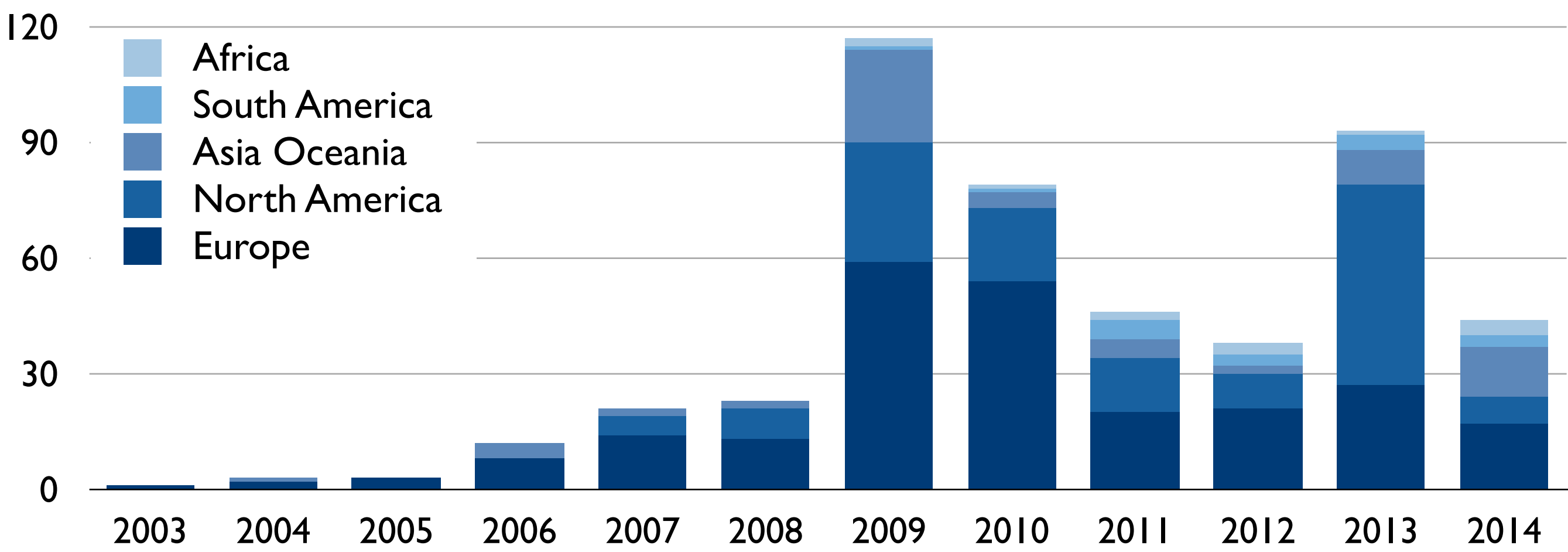
- Researcher
- University
- Library
- Government
- Funder
- Learned Society/Commercial Publisher
- Public/Taxpayer



Basic Model of Scholarly Communication

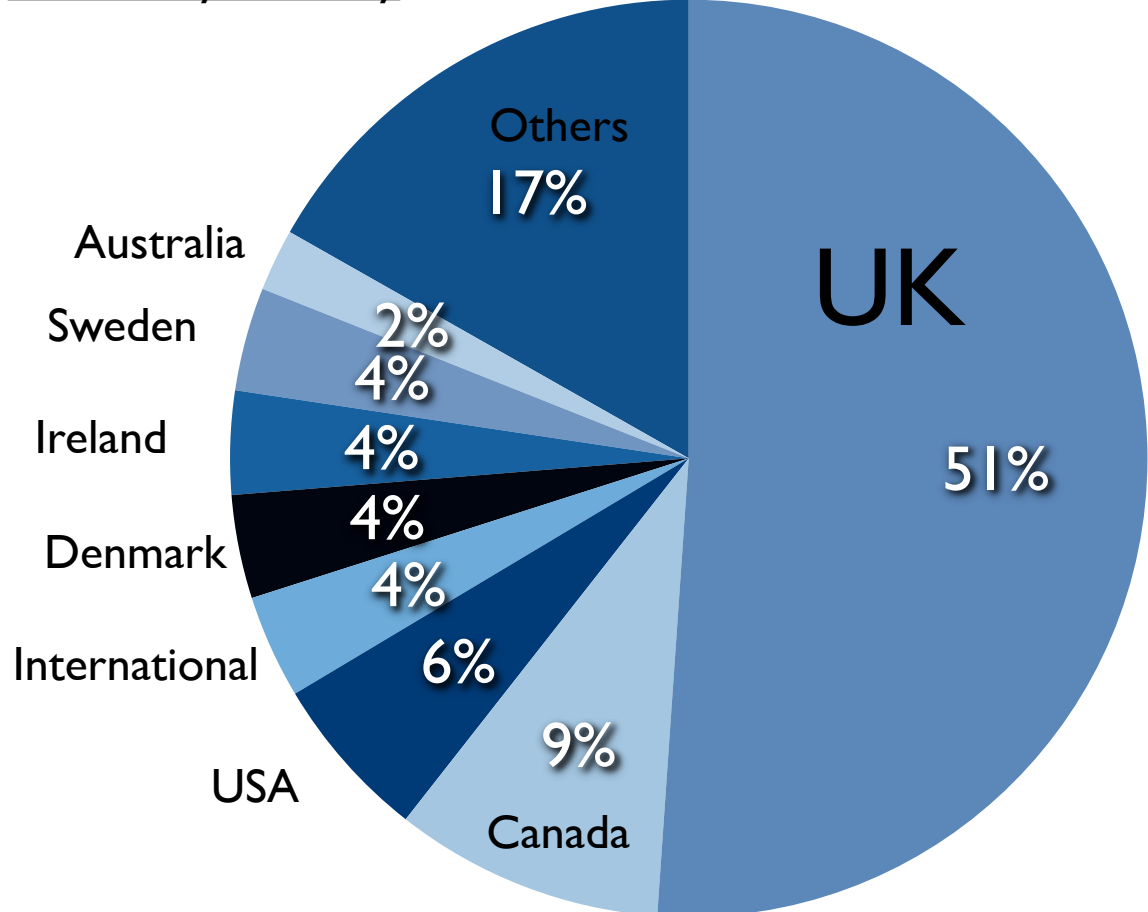




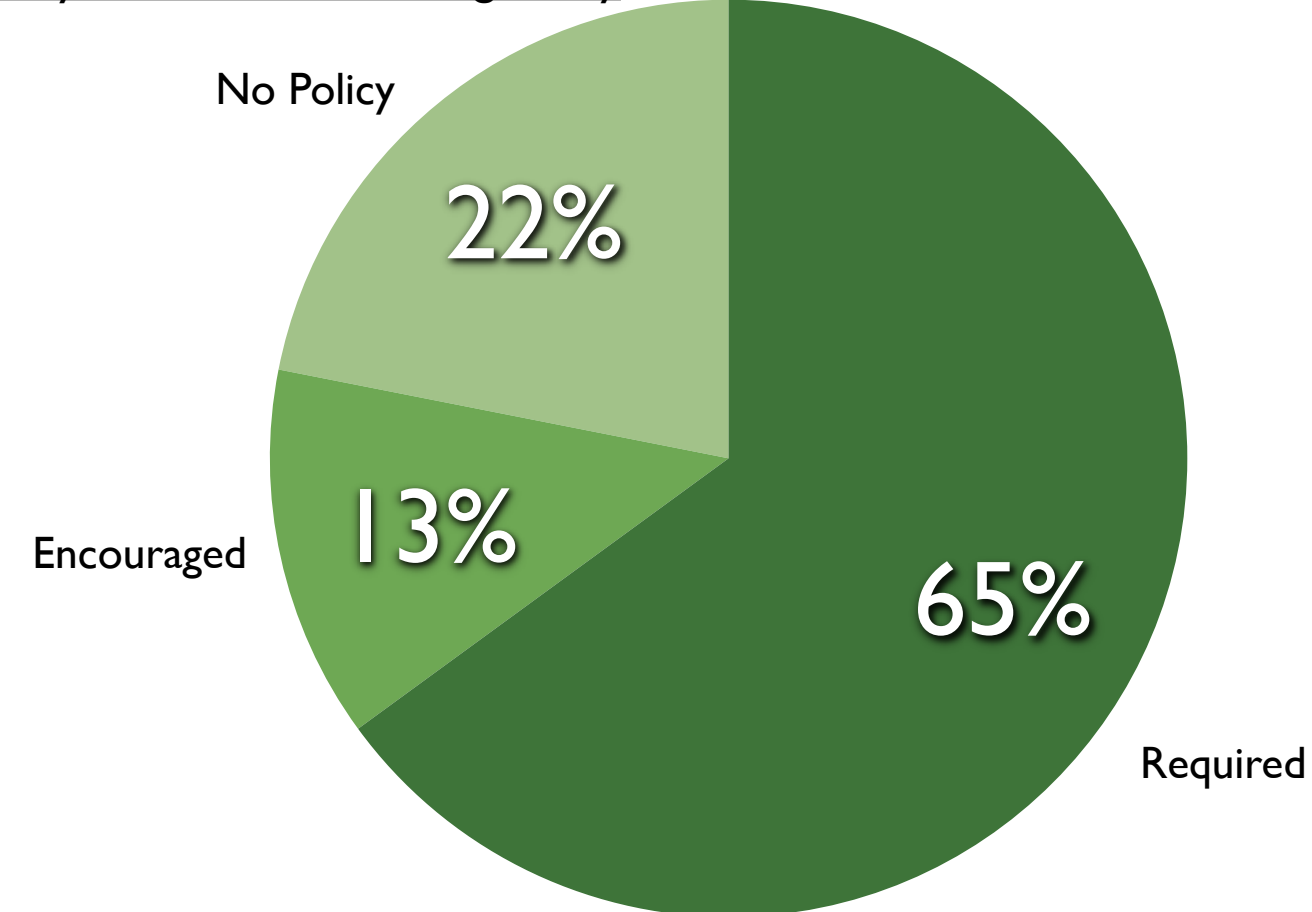


source: ROARMAP: Registry of Open Access Repositories Mandatory Archiving Policies. <http://roarmap.eprints.org/view/type/>

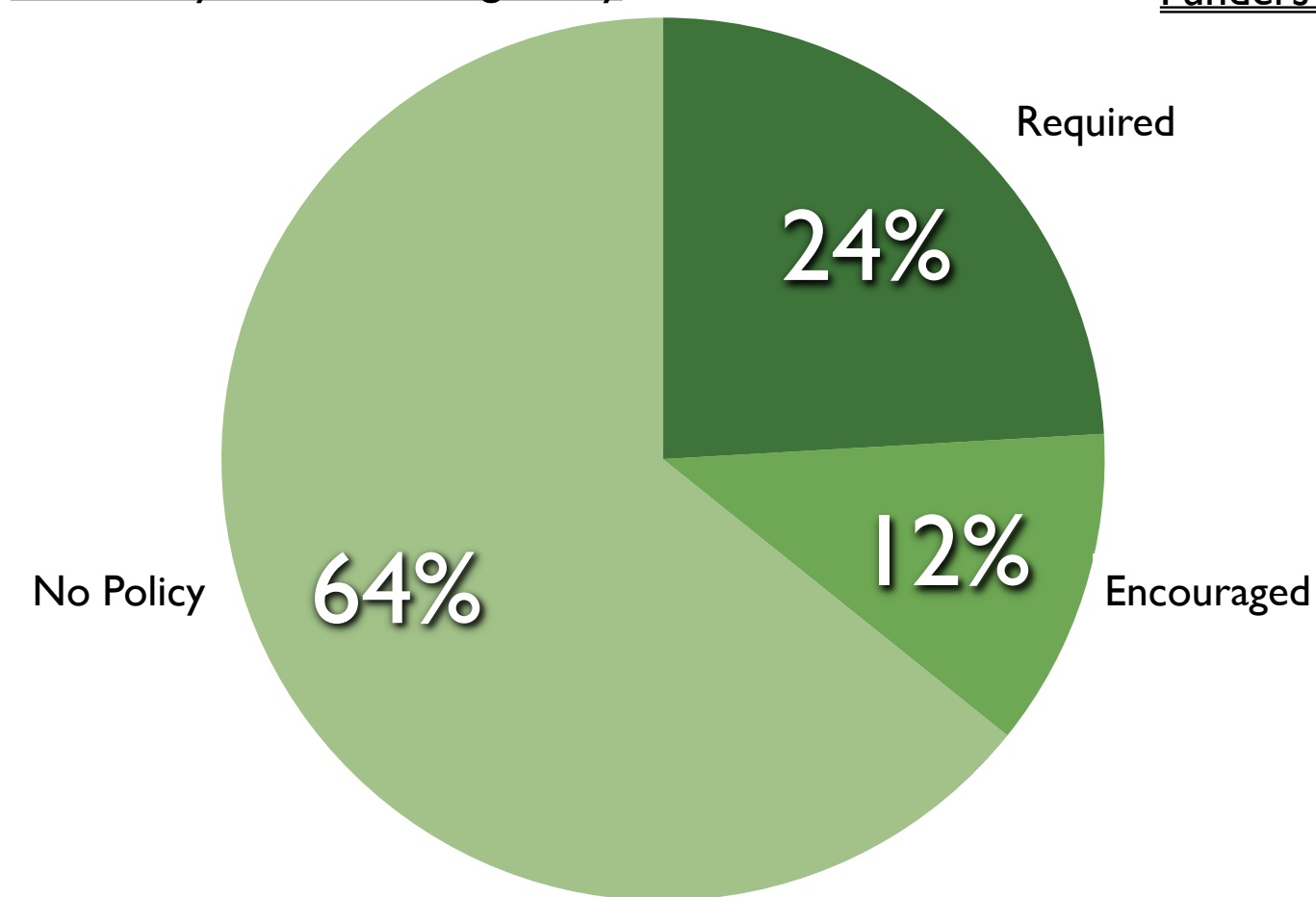
Funders by Country



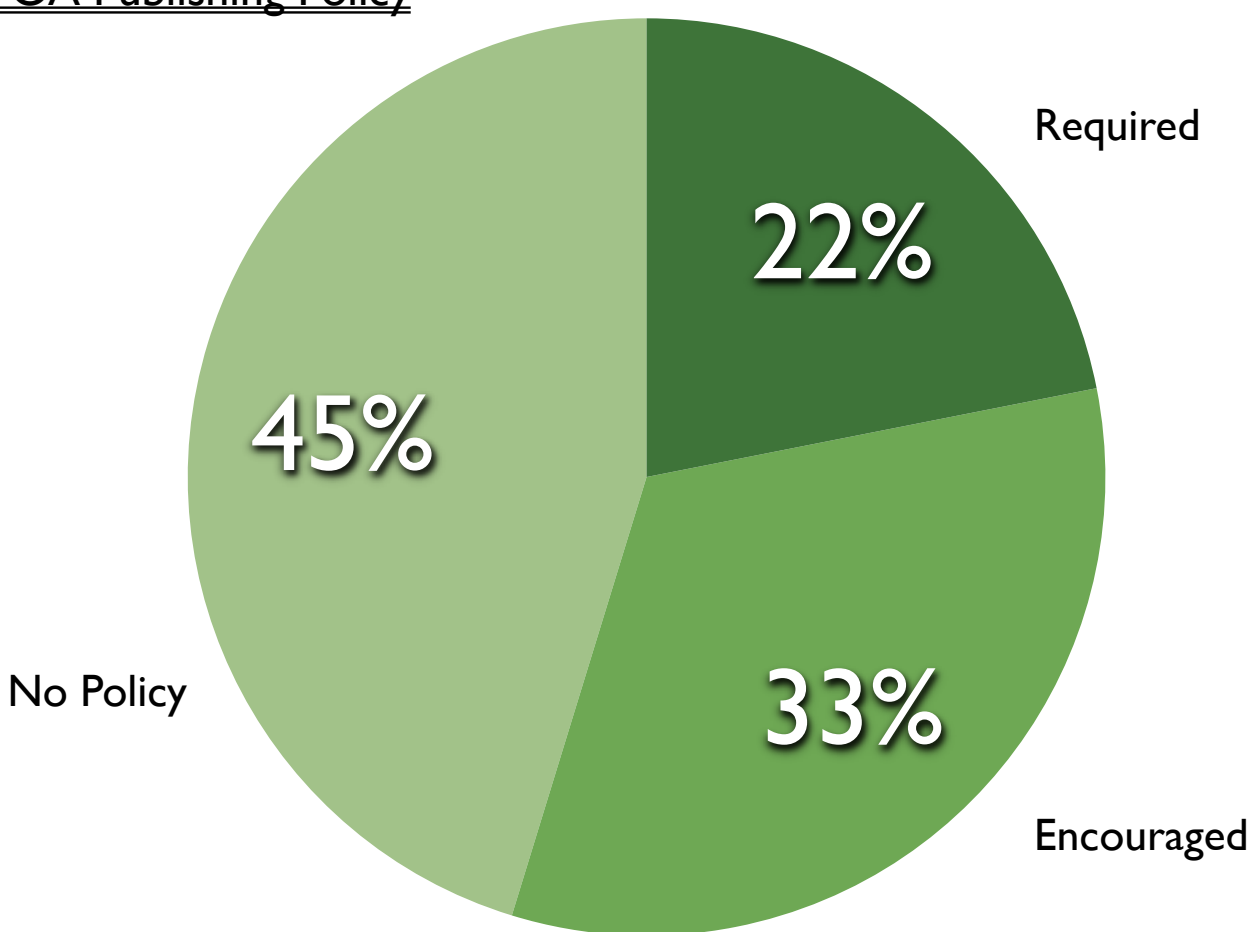
Funders by Publication Archiving Policy



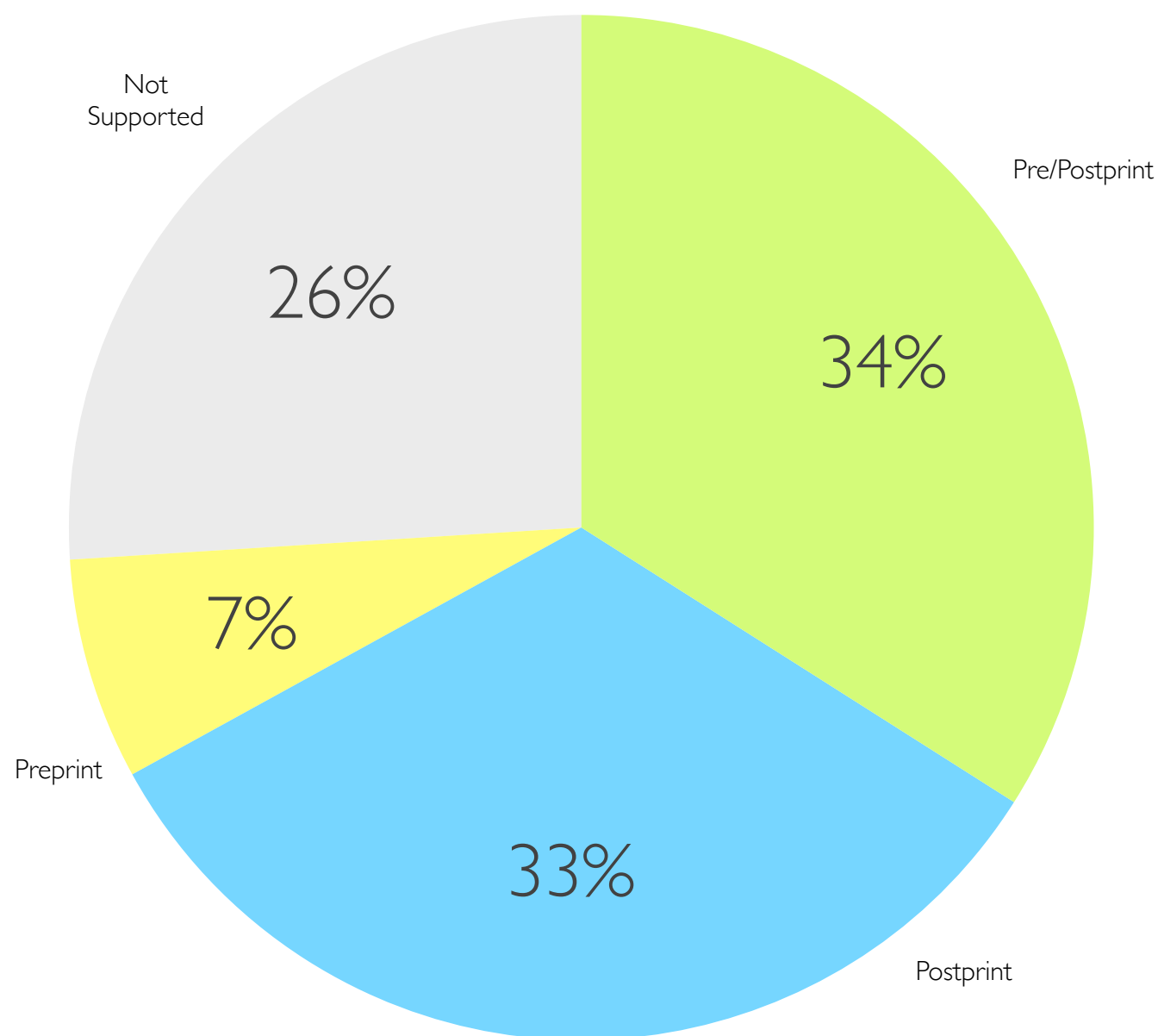
Funders by Data Archiving Policy



Funders by OA Publishing Policy

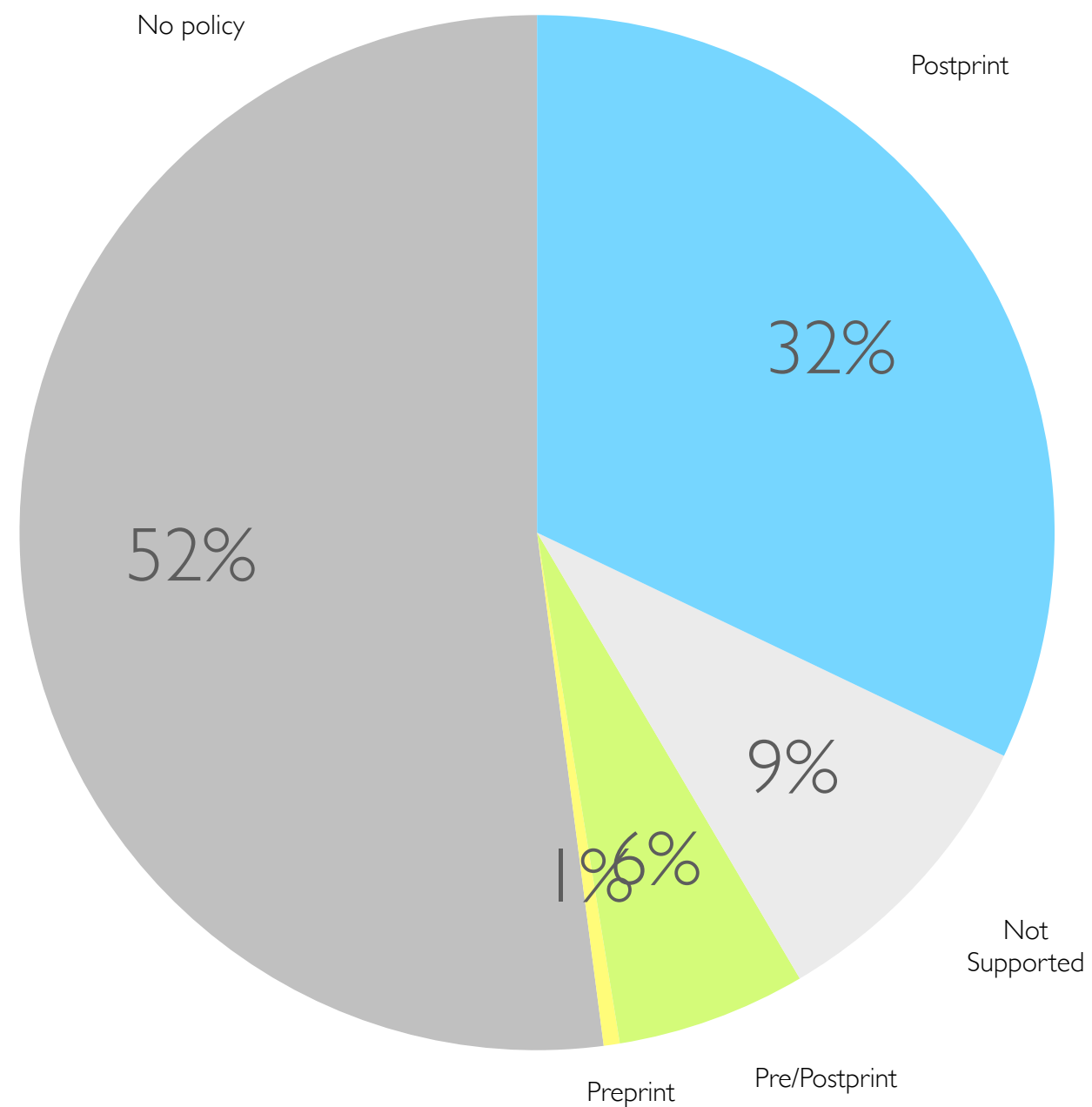


Source: <http://www.sherpa.ac.uk/juliet/stats.php?la=en&mode=simple>



Publishers' Self-archiving Policy (RoMEO)

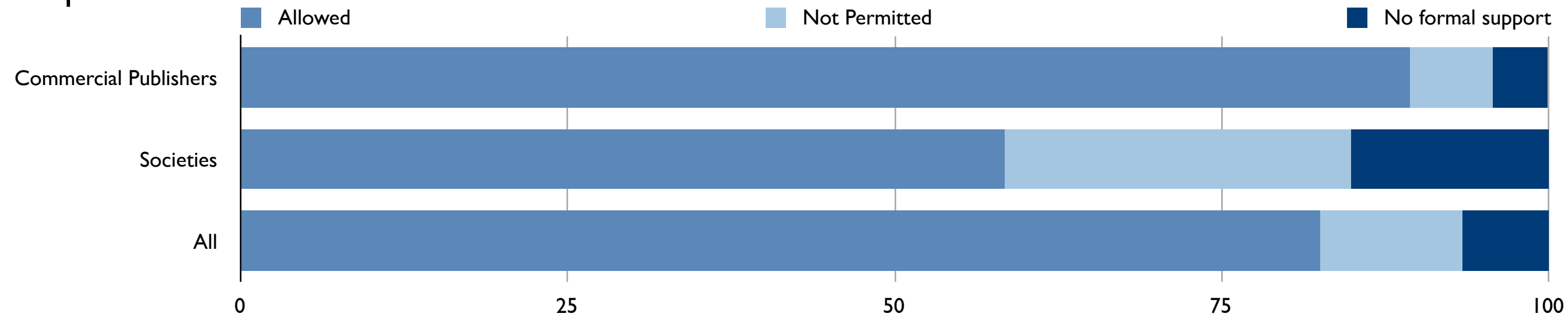
RoMEO Statistics Statistics for the 1681 publishers in the RoMEO database.
<http://www.sherpa.ac.uk/romeo/statistics.php?la=en&flDnum=|&mode=simple>



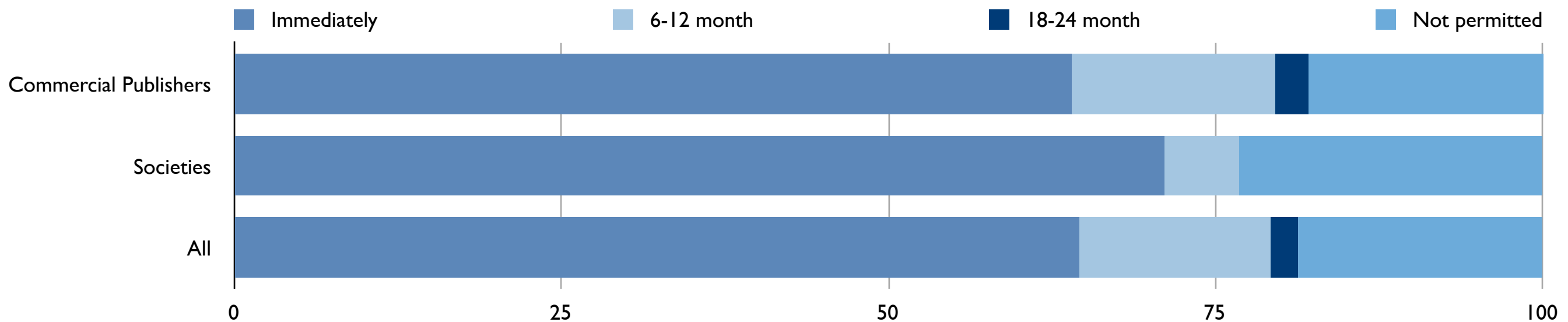
Publishers' Self-archiving Policy (SCPJ)

Society Copyright Policies in Japan. <http://scpj.tulips.tsukuba.ac.jp/info/stat>

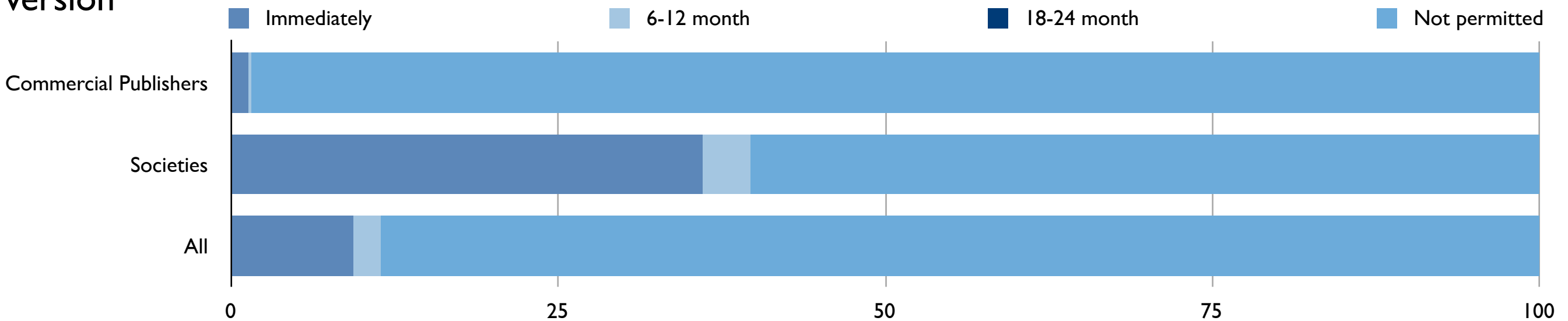
Preprint



Accepted manuscript



Publisher version



University OA policy

- **Pioneers**

- Soton(2003), QUT(2003), Minho(2004)

- **Two major models**

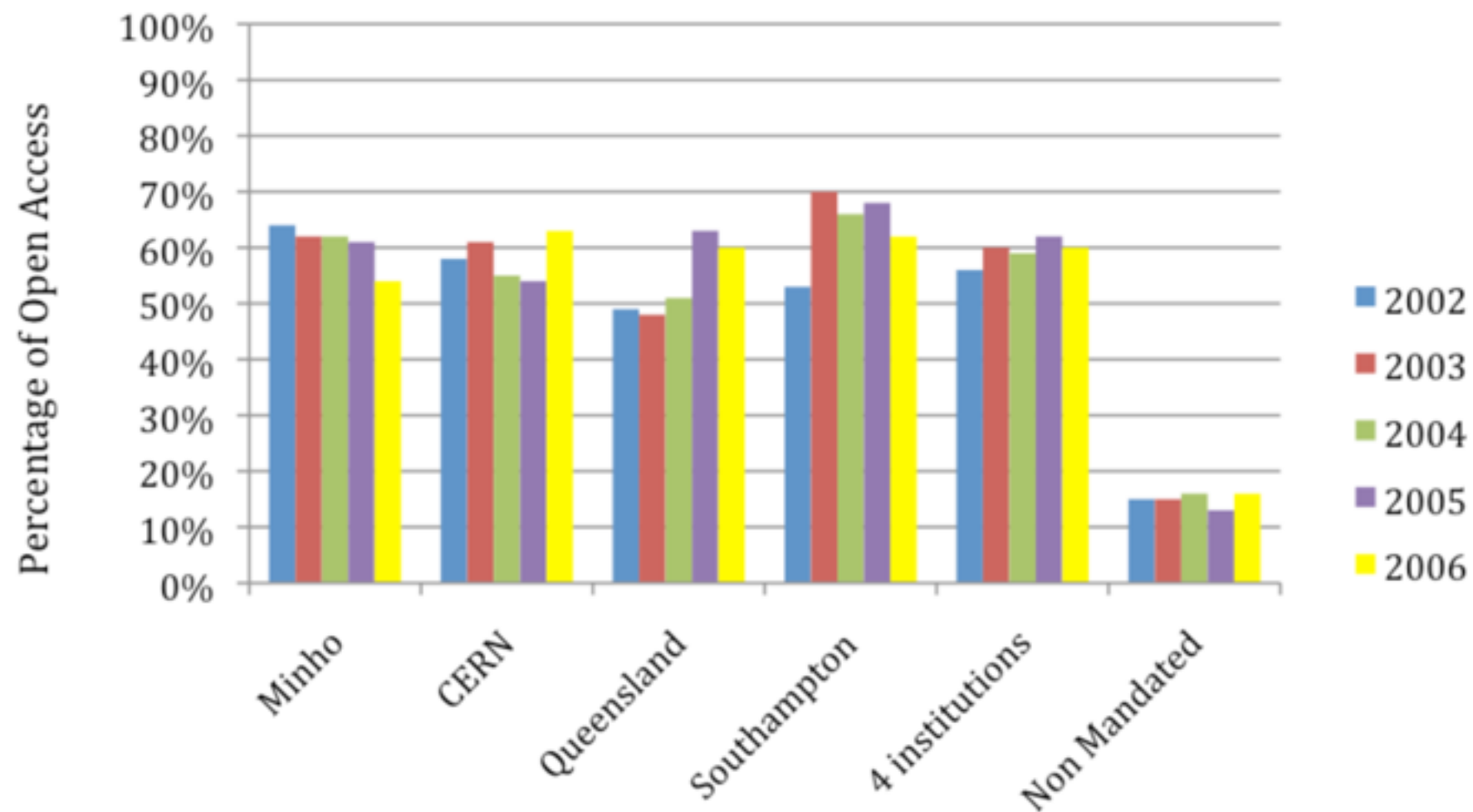
- Liège model

- No deposit No Tenure & Promotion
 - eg. appointments, promotions and budget allocations decisions

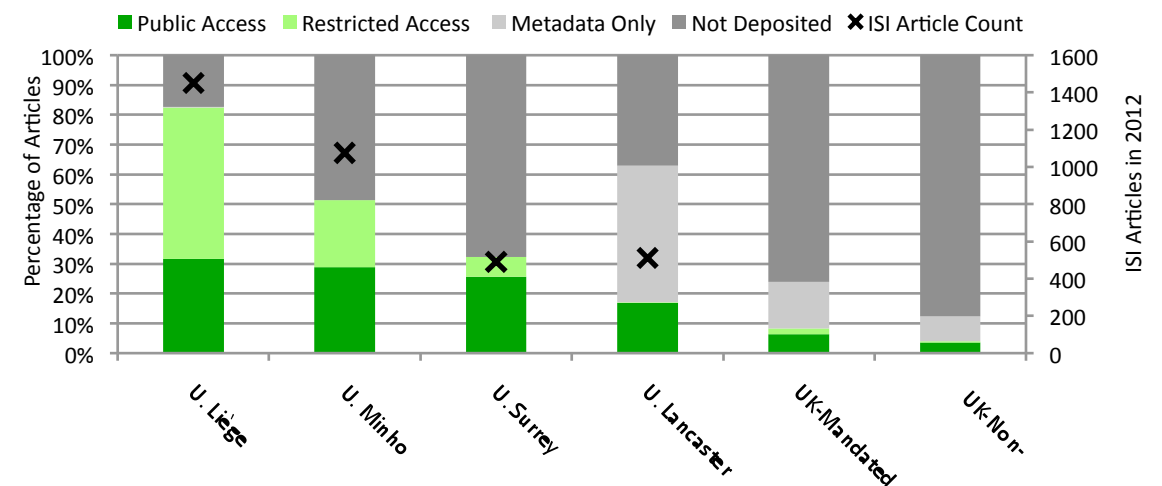
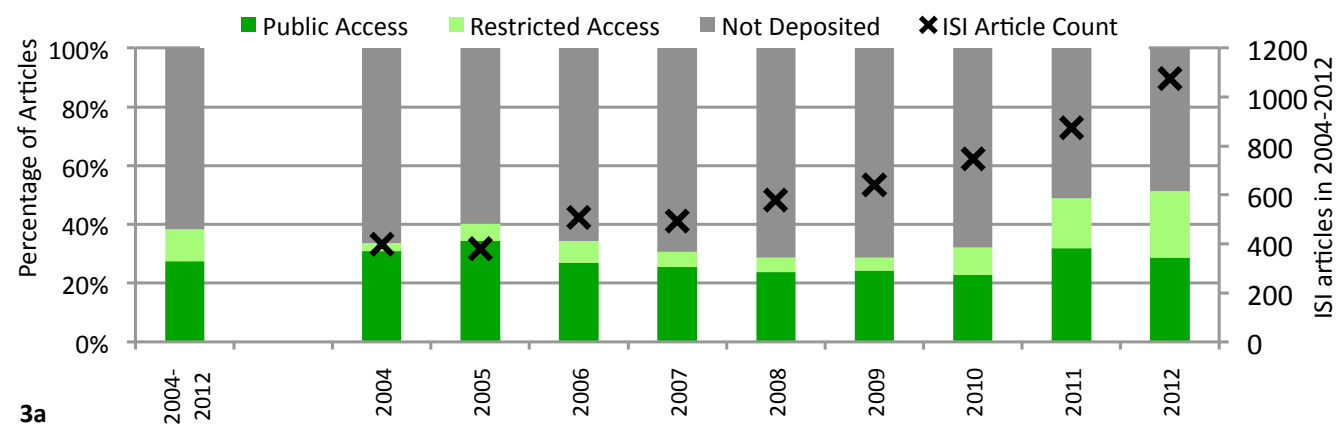
- Harvard model

- Faculties' work : OA as the default
- Faculty grants permission university

	Immediate Deposit No Waiver	Retention of Rights		Deposit if/ when publisher permits
		Author → University	University	
e.g	Liege	Harvard	QUT	Soton
Mandates	Y	Y	Y	Y
Immediate deposit	Y	Usually	Usually	N
Embargo	Y (Fulltext) immediate OA for metadata	Usually ←	Usually ←	Y Deposit if/ when publisher permits
Right Retention	Optional	Y	Y	N
Waiver	N	Y	Y	N



Gargouri Y, Hajjem C, Lariviere V, Gingras Y, et al. (2010) Self-Selected or Mandated, Open Access Increases Citation Impact for Higher Quality Research. PLoS ONE 5(10): e13636.



Gargouri Y, Lariviere V, Harnad, S. Ten-year Analysis of University of Minho Green OA Self-Archiving Mandate. Rodrigues, Eloy, Swan, Alma and Baptista, Ana Alice (eds.) Ten-year Anniversary of University of Minho RepositoriUM. <http://eprints.soton.ac.uk/358882/>

Government & Funder's policy

- **Pioneers**

- WT, ERC, NIH, HHMI

- **Hot topics**

- UK : Finch Report / HEFCE REF2020

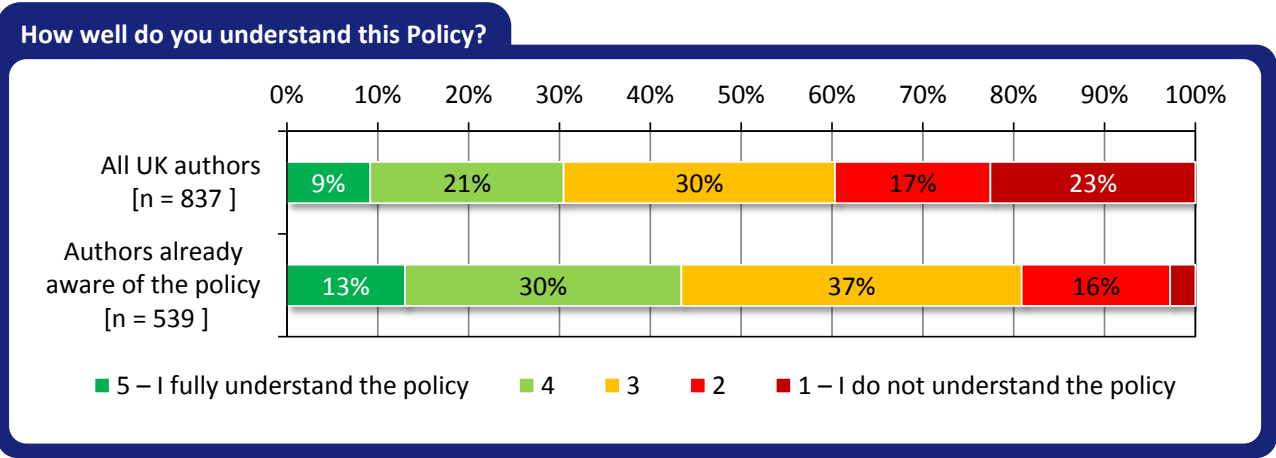
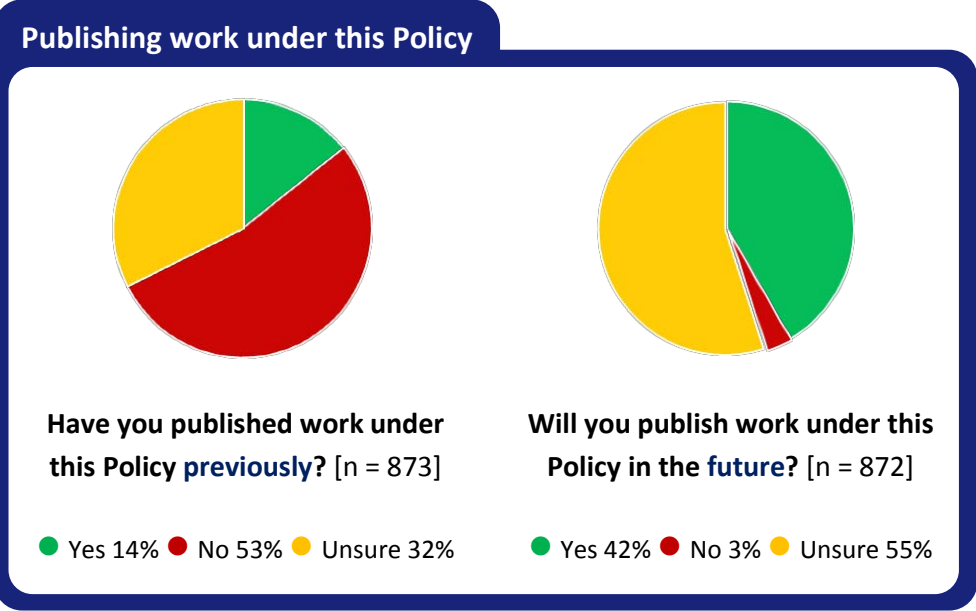
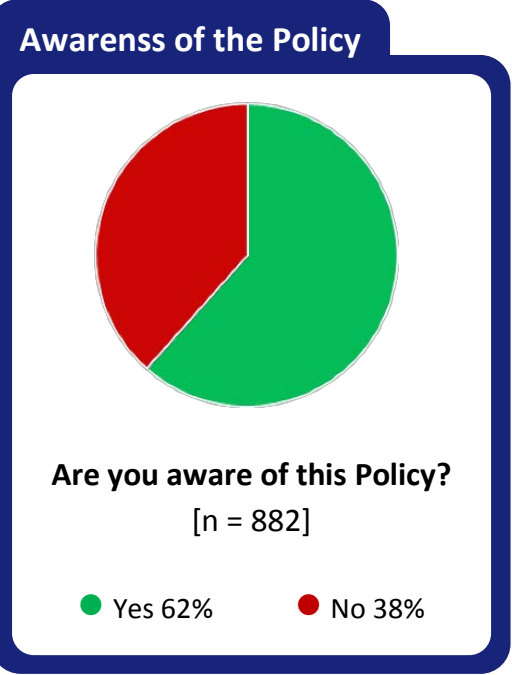
- Green OA → Gold OA
- OA as Pre-requisite for Research Assessment

- USA : OSTP, FASTR, FIRST

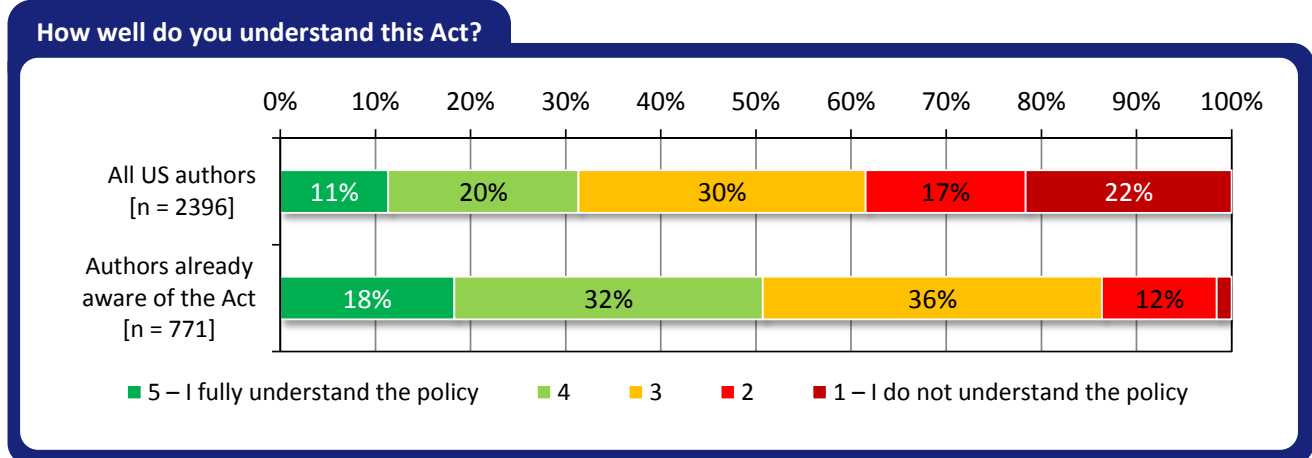
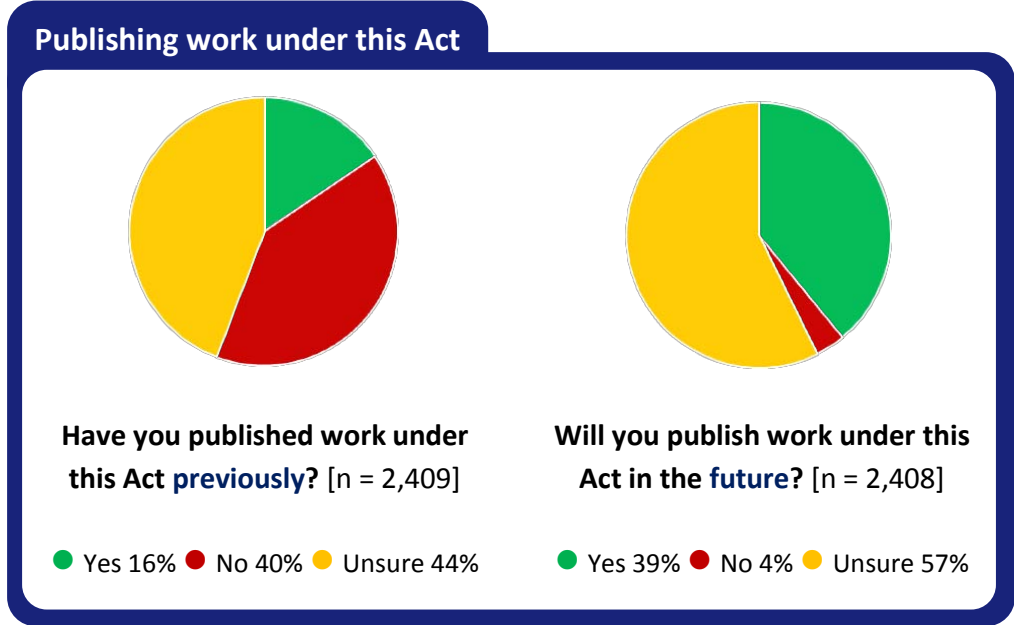
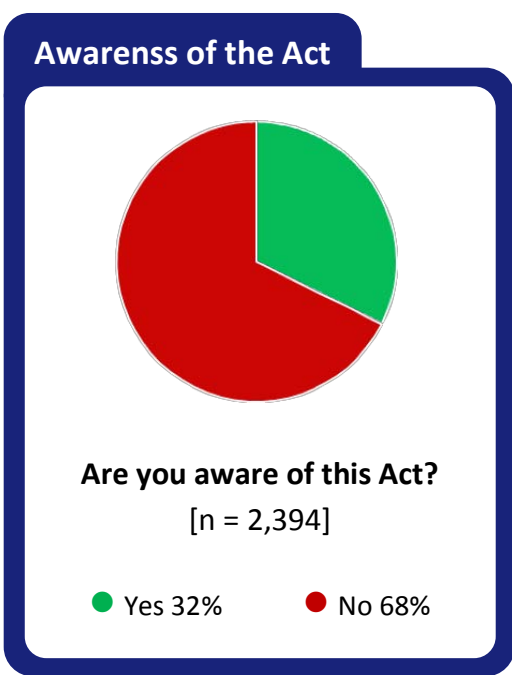
- **OSTP**

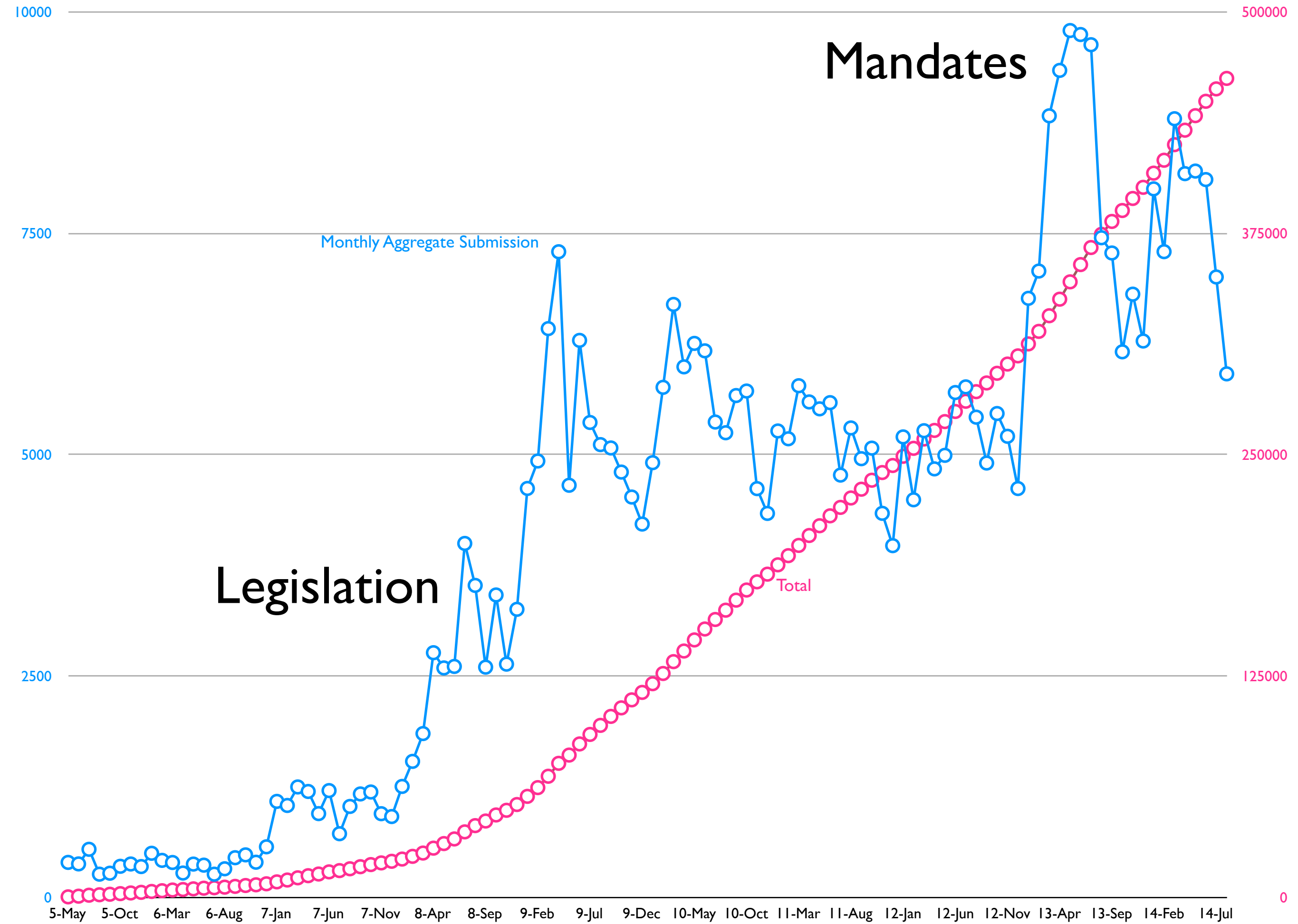
- Fed agency w/ over \$100M in annual conduct of research and development expenditures must develop a plan for public access
- CHORUS & SHARE

UK · RCUK policy



USA · Consolidated Appropriations Act, HR 3547





Japanese OA policy

- **Thesis**

- Okayama U. (2011, Mandate)
- MEXT (2013, Mandate)

- **University**

- Hokkaido U. (2008, Strongly Recommended)
- JAIST (2008, articles in Faculty DB, Deposit in principles)
- Okayama U. (2011, Intramural Research, Mandates)
- Nitech (2012, Articles, Deposit in principles)

- **Funder**

- JST (2013, Funded articles, Recommended)



首東 誠 @SHUTOmakoto · Oct 4

Where there is a will, there is a way.



Retweeted by 首東 誠



Open Access Japan @openaccessjapan · Oct 2

OA mandate by JP gov!? : [Second half goals] OA mandate of research results by public funding. @SHUTOmakoto@MEXTJAPAN



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首東 誠 @SHUTOmakoto · Oct 1

【下半期の目標】 公的助成による研究成果のOA義務化



Form	Mandate / Recommendation
Content	Journal Article/Proceedings/Monograph/Data/Metadata
Locus	IR / Subject Repository / Shared Repository
Version	Publisher's PDF/Author Final Manuscript / Preprint
Embargo	Immediate deposit/Embargo/Embargo+Dark Deposit
Waiver	Y / N
Right Retention	University / Author(Faculty)
Compliance	Y / N
Sanction	Y / N
Gold OA	Y / N

Current status of OA policy

- **Region**

- Europe & North America take the lead
 - The rest of world: few funder policy
 - Japanese learned societies: lagging behind major pub/soc

- **Content**

- Journal articles + Research data

- **Type**

- Green OA + Gold OA

- **Monitoring & Sanction**

- Only a few funders(&institutions)

Summary

- **“OA policy implementation is a tough job”** (Armbruster 2011)
 - Institution-specific culture & politics
 - requiring years of dedicated effort
 - Hita-hita and/or Mandate?
- **Failure of Policy**
 - Implementation (U of Maryland), Post-implementation(NIH)
 - Sharing experiences (Good Practice, Bad Practice)
- **Monitoring compliance**
 - Possibility after implementing OA policy
 - Difficulty in capturing the total number and OA rate of research results in a institution

Summary

- **Art & Science in OA policy implementation**
 - Empirical/heuristic knowledge for implementing policy
 - Knowledge needed in the process and decision making
- **To make it happen**
 - Objective evidence, Leadership, Assessment (Suber 2012)
 - Policy, Advocacy, Infrastructure
 - Policy's goal, target, procedure
- **“Implementing policy is only open up the possibility”**
(Armbruster 2011)