



MAKING THE CASE FOR OPEN ACCESS

Authors need persuasion to begin making their work Open Access. Once they do so and see the benefits then they develop the habit, but they need some incentives to get them started. Managers need to see the benefits to their institution. Below we list some of the arguments and incentives that have been shown to work well in practice. Two constituencies can be targeted – authors and institutional managers.

ARGUMENT/INCENTIVE	DETAILS	RESOURCES/LINKS/DATA
TARGET: AUTHORS		
<p>The repository enables compliance with institutional regulations (if in place)</p> <p>Having their work in the repository means time savings</p>	<p>Many institutions and research funders have mandatory policies now on Open Access. Examples of funders that require grant-holders to make their results openly-available are the NIH in the US, the Wellcome Trust, the seven UK Research Councils, the two Australian research Councils, the European Research Council and many more. Universities that have mandatory policies include MIT, University College London, the University of Liege in Belgium and Macquarie University in Australia. There are over 200 mandatory policies in total and the number is growing. There is a list of these policies provided as part of the EPrints suite of services at the University of Southampton.</p> <p>Your repository can save you time. You deposit your outputs once and can pull them out in many forms: for example, you can create reference lists for reviews you are writing or lists of your publications to update your CV. The most common thing authors say about time saving, though, is that having their work openly-available in a repository puts an end to having to respond to email requests for copies of their articles.</p>	<p>For information on institutional policies and graphs that show their growth and the latest tally: http://www.openscholarship.org/jcms/c_6226/open-access-policies-for-universities-and-research-institutions</p> <p>Registry of Open Access Material Archiving Policies (ROARMAP): http://www.eprints.org/openaccess/policysignup/</p> <p>If your institution does not yet have a mandatory policy, try some of the activities described here: Smith, Colin; Yates, Christopher and Chudasama, Sheila (2010). Open Research Online - a self-archiving success story. http://oro.open.ac.uk/22321/</p>

A repository means increased visibility for their work

Repositories are indexed by Google, Google Scholar, Yahoo! And the other web search engines. This means that would-be users of your work can find it easily by entering your name or some appropriate keywords into the search box. The visibility this creates for your work is vastly greater than that provided by the journal alone.

A repository means increased usage of their work

Demonstrate the repository's usage statistics service. Show the number of hits and downloads for the whole repository each week or month. Explain that this usage comes from people around the world who do not have access via subscription journals, i.e. it is new, additional usage that the work is getting. Show the number of downloads of individual papers or for individual authors' work.

A repository means increased impact for their work

Demonstrate the effect of making work Open Access on citations. Find an individual who has deposited a lot of material in the repository. This material should be journal articles or conference papers because these are the type of output for which citations can be measured. Use Web of Science or another citation-tracking service to produce data on citations to that author's outputs. If your repository does not (yet) have large amounts of such material from individual authors, use the prepared examples (see links to the right). Show how having work Open Access demonstrably increases citations for individuals' work.

Provide copyright advice

Copyright is a major concern for authors. There is a lot of advice available so make sure there are links to this from the repository help page. Make briefing papers or handouts to give out in advocacy seminars/events. Reassure authors that if they attach an author addendum to a publisher's copyright transfer agreement it will not provoke the publisher into declining the paper. Reassure authors that if they mistakenly breach publishers' copyright rules they will not be sued. Explain your repository take-down policy and that the institution will do all it can to prevent such mistakes and will put the take-down procedure into action wherever needed.

If your repository does not have usage statistics, show examples of others:

- eScholarship at the University of California: <http://escholarship.org/>
- QUT ePrints: <http://eprints.qut.edu.au/stats/papersbytotal.html>
- ECS EPrints (University of Southampton School of Electronics & Computer Science): http://eprints.ecs.soton.ac.uk/index_stats.html

Summary of all the studies on the Open Access citation advantage to date: <http://eprints.ecs.soton.ac.uk/18516/>

Overview of Open Access citation impact: <http://bit.ly/9gcfr9>

Example of the increased citation impact from Open Access for one author: <http://bit.ly/dvdhfz>

Overview of publishers' permission and copyright in relation to Open Access: <http://bit.ly/cdOep9>

Overview of author addenda, with links to examples: <http://bit.ly/dulrAs>

Demonstrate how to deposit

Authors are often wary about the deposit process, how difficult it might be and how long it will take. Demonstrate that it takes a few minutes and is no more difficult than submitting an article to a journal through an online submission system. Once authors have been helped to deposit for the first time they will quickly take the process into their own hands subsequently.

Enrol administrative staff in departments, who may end up doing the depositing

Many well-filled repositories appear to operate a non-mediated deposit process – that is, the library staff do not do any depositing but instead authors are responsible. In fact, it is often the case that third parties deposit on behalf of authors – departmental secretarial staff, personal assistants or research assistants/students. Frequently, it is a matter of pride for these people that each paper quickly makes it into the repository as soon as it is accepted for publication. Encourage this, because such people can be much more dedicated, organised and methodical about depositing on time than the authors themselves!

Engage researcher 'champions'

Identify individual researchers who support Open Access and its aims and who can act as champions for the cause because these people hold far more sway within a department or field than even the most persuasive advocates from outside that research community.

Engage Heads of Department/School

Heads of department are especially effective, especially if they lead by example. Support such individuals with plenty of advocacy material and offers of help. Provide them with data on usage and impact of their community's material in the repository so that they can back up their arguments with figures and examples.

Instigate or encourage reward schemes

Examples of reward schemes:

- Strathclyde University: awards bottles of champagne (at a drinks reception) for the 1000th deposit, 5000th deposit, etc. This incentivises deposit without playing too much on the 'performance' of authors
- Some repositories reward authors of 'top' articles (but be careful, as

this can also dis-incentivise those authors who work in fields where the number of readers/downloads are not expected to be numerous)

- University of Minho, Portugal: paid a small amount for each item deposited. The payments were made to the departments, not to individuals (thus involving the interest of the head of department) and were at different levels depending on the type of item (journal articles scored highest, then peer-reviewed conference papers, then other types of item), the date of the item (newest items scored highest) and whether the department involved instigated its own mandatory policy aligned with that of the University as a whole (the University has a mandatory policy; the departmental policies gave this further influence). This financial reward scheme proved a successful strategy and was phased out once researchers began depositing and saw the additional usage and impact that the repository gave to their work
- Queensland University of Technology: the Faculty of Education quadrupled deposits in 2 months by offering vouchers for the (very good) campus bistro/café for:
 - the top 50 depositors, top 50 most-downloaded papers, etc.
 - researchers adding the repository ID to their email signature
 - enrolling 'eprint buddies' by persuading colleagues to add the repository ID to their email signatures

Eloy Rodrigues: *Institutional Open Access self-archiving mandate and incentives at Universidade do Minho*
<http://www.isn-oldenburg.de/~hilf/vortraege/esof06/esof06-rodrigues2.pdf>

Ferreira M, Rodrigues E, Baptista AA, and Saraiva R (2008) Carrots and Sticks: Some Ideas on How to Create a Successful Institutional Repository. D-Lib Magazine, Jan/Feb, **14 (1/2)**
<http://www.dlib.org/dlib/january08/ferreira/01ferreira.html>

Example of a QUT email signature with the repository ID included:
Centre for Learning Innovation, Queensland University of Technology, Victoria Park Road, Kelvin Grove, 4059
Email: XXXX Phone: 0000
Publications:
http://eprints.qut.edu.au/view/person/Researcher_Name.html

TARGET: INSTITUTIONAL MANAGERS AND POLICYMAKERS

Secure a mandatory policy to underpin your advocacy wherever possible

Make a case to senior management for a mandatory policy on Open Access.

Information for *institutional managers* on institutional policies, with graphs that show their growth and the latest tally: http://www.openscholarship.org/jcms/c_6226/open-access-policies-for-universities-and-research-institutions

Institutions, their repositories and the Web. *Serials Review*, **34** (1) <http://eprints.ecs.soton.ac.uk/14965/>

Allay the fears of managers and policymakers

The most common reservations or questions that managers put are:

How much will it cost?

Paying for publication in Open Access journals that charge an article-processing fee (more than half do not) will cost between around 300 USD and 3000 USD per article, depending on which journals the authors choose. Some of this money may come from research funders who allow grant money to be spent on publishing. The rest will need to come from the institution or the authors themselves. It is likely that at the moment many authors will not find OA journals that appeal to them, in which case they should make their work OA through the institutional repository.

Setting up and maintaining a repository will ensure that all the outputs of the institution can be made Open Access. The cost of this operation varies according to whether the system is outsourced or built and maintained in-house, on whether staff deposit the items on behalf of authors or whether authors do this themselves, and so forth. A repository can be built for almost no cost, or it can cost tens of thousands of dollars. Some case study examples are given in the two resources listed on the right.

The business of digital repositories. In: *A DRIVER's Guide to European Repositories (Amsterdam, 2007)*, Amsterdam University Press. <http://eprints.ecs.soton.ac.uk/14455/>

Modelling scholarly communication options: costs and benefits for universities. Joint Information Systems Committee. <http://eprints.ecs.soton.ac.uk/18584/>

What is the benefit to this university?

The case, in a nutshell, is that Open Access through the institutional repository:

- increases the visibility of the institution's research
- increases the usage of the institution's research
- increases the impact of the institution's research
- enables researchers to fulfil their obligations to research funders with Open Access mandates
- gives the institution a greater Web presence and profile, enabling it better to attract students and staff internationally by creating a research 'showcase'

How does this align with the university's strategy?

The university's mission is concerned with creating knowledge and disseminating it, building excellence, fostering research and teaching and serving society. Its strategy is to build its profile, strengthen its reputation and ensure that the fruits of its endeavours are enjoyed by all constituencies. Open Access makes all these things optimally possible.

How difficult will it be?

Look at the information on the *Enabling Open Scholarship (EOS)* site on formulating an institutional policy. You can use EOS's 'buddy' service, where an institutional manager who has already implemented a policy can inform and advise on how to do this.

Am I alone? Are you asking me to put my head above the parapet?

No, many others have gone before you. The running total of mandatory policies from research funders and research institutions is maintained by the Registry of Open Access Material Archiving Policies (ROARMAP).

Briefing Paper: *Institutional repositories: Business issues for institutional managers*. <http://bit.ly/bdgXYx>

Enabling Open Scholarship: <http://bit.ly/aoBvRa>

Registry of Open Access Material Archiving Policies (ROARMAP):
<http://www.eprints.org/openaccess/policysignup/>

There is also extensive help on issues raised by researchers about Open Access on the EPrints website: <http://www.eprints.org/openaccess/self-faq/>

This guide is produced by **Enabling Open Scholarship** www.openscholarship.org