Workshop
Advocacy – what works
Dr Danny Kingsley
Open Access Research Conference
QUT, Brisbane, Australia
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Who are these people?
• Welcome to our international guests!
  – One quarter of the group, including people from Africa, Singapore, New Zealand and the UK
• Mostly library people (many responsible for repositories)
• Some participants are from government, some are publishers and some people from advocacy groups

Today
• Start with the big picture
  – Theoretical concepts about disseminating ideas
  – Where are we at in terms of OA worldwide?
  – Practical research into populating repositories
• What are the messages?
  – Incentives – who benefits from open access?
  – Integration – into existing systems
  – Regulations – to mandate or not to mandate
  – Barriers to repository use
• The process of advocacy
  – Contact points in the research cycle
  – Sales pitches
  – Advocacy by stealth

We need to get moving every 20 minutes

Diffusion of Innovations

THEORETICAL CONCEPTS ABOUT DISSEMINATING IDEAS

1st edition 1962
5th edition 2013

AOASG
Australian Open Access Support Group

31/10/13
What?

• Innovation
  – “an idea practice or object that is perceived as new by an individual”

• Diffusion process
  – “concerned with communication of a new idea to members of a social system”

What is the ‘innovation’?

• Repositories ...
• AND (sometimes) open access itself
• Remember the 1999 referendum?
  – Asked whether Australia should become a republic with a President appointed by Parliament
  • following a bi-partisan appointment model approved by a half elected, half appointed Constitutional Convention held in Canberra Feb 1998

1999 referendum

Build repositories and they will come?

• Thanks to David Groenwegen

Successful innovations have

• Advantage over current system(s)
• Compatibility with existing processes
• Trialability the degree to which an innovation may be experimented with on a limited basis
• Observability the degree to which the results of an innovation are visible to others
• Less perceived complexity

Where are we at?

![Diagram showing categories of innovativeness]

Get up!

- Find three people to talk to
  - Ideally one international person per group
  - Ideally people you have never met before
- Work out, given your audience, what your repository(ies) offer in terms of:
  - Advantage
  - Compatibility
  - Trialability
  - Observability
  - Perceived complexity
- Have the conversation on your feet

More work is available green OA than gold OA

- Study* of the proportion of research published in 2008 that was available OA in 2009:
  - One in 5 papers - split between OA journals & repositories.
    - OA journals: 8.5% of all published papers (one in four of these in a hybrid journal)
    - Repositories: 11.9% of all published papers
- Note: Follow-up study showed that five years on 42-48% of research published in 2008 was OA

Academia is not homogenous

- The way they PUBLISH
- The SPEED of the work is very different
- Academics have little idea of how other disciplines work
- The type of opposition will change from discipline to discipline

Spectrum of scholarly communication

- Hard science
- ‘Urban’
- Arts & humanities
- ‘Rural’

Disciplinary trends
Consider...

- What are the disciplinary patterns in your institution?
- Have you noticed differences in the attitudes towards/interest in open access depending on the discipline?
- Then stand up!

Three categories

- Incentives
  - Promoting the benefits of repositories through advocacy and metrics as well as adoption of policies/mandates that require deposit
- Integration
  - Amalgamating repository services with other institutional services like research information systems and research biographies
- Mediation
  - Implementing tools, workflows and agreements that ease and simplify the deposit process

Sustainable practices for populating repositories

- Eight complementary practices
  - Advocacy
  - Institutional Mandates
  - Metrics
  - Recruitment and Deposit Services
  - Research Biographies
  - Institutional Profiles
  - Publisher agreements
  - Direct Deposit

From Coordination of Open Access Repositories (COAR) "Incentives, Integration and Mediation: Sustainable Practices for Populating Repositories" June 2013
Who benefits from open access?

- Researchers in developing countries can see your work
- More exposure for your work
- Practitioners can apply your findings
- Higher citation rates
- Your research can influence policy
- The public can access your findings
- Compliant with grant rules
- Taxpayers get value for money

Benefits – exposure

- **H-index scores** in 2011 and increases from 2009, School of Public Health, University of Sydney.

Average no of times an article is cited?

- **KEY POINTS SUMMARY** 
  - US had 4.4
  - H-index 4.0 (year between 2009-2010)
  - 104 articles had H-index 8-11, these staff had an average of 11.3 research articles.
  - 32 articles had H-index 12-15, these staff had an average of 17.7 research articles.
  - 16 articles had H-index 16 or over, these staff had an average of 21.8 research articles.
  - 11 articles had H-index 4 or over. This staff had research articles for 40 years.

Article level metrics

- **Altmetric**
- Scientists talk. Let’s listen.
- Every day, thousands of scholarly papers are being discussed. Almetric tools help us see who and what we’re talking about, including tweets, blog posts, news articles, and citations.

PLOS ONE metrics page (1)
PLOS ONE metrics view (2)

Practitioners can apply your findings

There’s a whole world out there
- Start up technology companies
- General Practitioners
- Teachers
- Pharmacists
- Accountants
- Nurses

Higher citation rates

 Does OA increase citations?
- Generally there is a positive effect – many studies:
  - The effect of open access and downloads [‘hits’] on citation impact: a bibliography of studies
    http://opcit.eprints.org/oacitation-biblio.html
  - But lower quality material gets lost in the soup:
    - The Rich Get Richer and the Poor Get Poorer: The Effect of Open Access on Citations to Science Journals Across the Quality Spectrum – Mark McCabe & Christopher Snyder (23 May 2013)

Your research can influence policy
2012 National Research Investment Plan

- "Science and research are also essential inputs to government policy development and program evaluation. Governments have an increasing need to systematically and effectively incorporate robust science and research evidence into the policy making process across the full range of government responsibilities". (p 13)


More exposure for work

15-year-old develops pancreatic cancer test

Taxpayers get value for money

Why open access?

<table>
<thead>
<tr>
<th>Commercial STM publisher</th>
<th>Profit in 2010 or early 2011</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elsevier</td>
<td>£724m on revenue of £2b</td>
<td>36%</td>
</tr>
<tr>
<td>Springer's Science+Biz Media</td>
<td>£294m on revenue of £866m</td>
<td>33.9%</td>
</tr>
<tr>
<td>John Wiley &amp; Sons</td>
<td>£106m on revenue of £253m</td>
<td>42%</td>
</tr>
<tr>
<td>Academic division of Informa plc</td>
<td>£47m on revenue of £145m</td>
<td>32.4%</td>
</tr>
</tbody>
</table>

Elsevier’s annual reports for the last nine years:

- 2011: £768m profit on £2.1bn revenue – 37.3%
- 2010: £724m profit on £2.0bn revenue – 35.74%
- 2009: £693m profit on £1.9bn revenue – 34.91%
- 2008: £568m profit on £1.7bn revenue – 33.41%
- 2007: £477m profit on £1.5bn revenue – 31.65%
- 2006: £465m profit on £1.5bn revenue – 30.57%
- 2005: £449m profit on £1.4bn revenue – 31.25%
- 2004: £460m profit on £1.4bn revenue – 33.75%
- 2003: £467m profit on £1.4bn revenue – 33.82%
- 2002: £429m profit on £1.3bn revenue – 33.18%

http://www.reedelsevier.com/investorcentre/reports%202007/Pages/Home.aspx

What does Elsevier’s profit of 35.74% mean?

<table>
<thead>
<tr>
<th>What paying for</th>
<th>Amount</th>
<th>Where money goes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Downloading a PDF from a journal</td>
<td>$57.95</td>
<td>$13.56 to shareholders</td>
</tr>
<tr>
<td>Hybrid open access payment</td>
<td>$0</td>
<td>$2072.20 to shareholders</td>
</tr>
<tr>
<td>Library payment for bundle of Elsevier subscriptions</td>
<td>$1.7 million</td>
<td>$607,580 to shareholders</td>
</tr>
<tr>
<td>Any reason</td>
<td>$23783</td>
<td>Enough to sponsor US Representative to fund Research Works Act</td>
</tr>
</tbody>
</table>

From: "The obscene profits of commercial scholarly publishers", January 13, 2012
http://sapo.ca/2012/01/13/the-obscene-profity-of-commercial-scholarly-publishers/

More exposure for work

- Researchers in developing countries can see your work
- Practitioners can apply your findings
- Higher citation rates
- Your research can influence policy
- The public can access your findings
- Compliant with grant rules
- Taxpayers get value for money
Researchers in developing countries can see work

It is expensive!

If Harvard can’t afford it....

Researchers in developing countries can see work

More exposure for your work

Practitioners can apply your findings

Higher citation rates

Your research can influence policy

The public can access your findings

Compliant with grant rules

Taxpayers get value for money

Incentives work! (carrot)

• The University of Minho, in the year after combining a financial incentive with the implementation of a mandate policy, experienced a 390% increase in repository use
  – During 2005, a financial supplement of 99,000 euros distributed to departments and research centres as a reward for their commitment in the implementation of the policy (not directly to individual researchers)
  • 43% of the reward = no of self-archived documents till April 2005
  • 33% = no archived between May and August 2005, &
  • 25% = no archived from September to December 2005.


Incentives work! (stick)

• University of Liege, Nov 2008, the library launched its DSpace-based institutional repository ORBi, early 2009 policy said evaluations, appointments, promotions and budget allocations – decisions will take into account only references that are archived in ORBi
  – As at May 2013, ORBi contains more than 94,700 references, of which about 57,800 (61%) have a full text (29,900 of them [52%] with an OA full text), and gets more than 2,400 downloads a day (spiders excluded).

– http://initiatives.exlibrisgroup.com/2013/05/a-mandate-for-open-access-university-of.html

Find your new friends

• What are you doing?
  – Are you using incentives or sticks?
  – What are some things you "could" be doing?

• Brainstorm with your colleagues
  – Decide on two things you can do when you go back to work
INTEGRATION

Amalgamating repository services with other institutional services

ARC & NHMRC - OA policies

• ARC (introduced 1 January 2013)
  – All outputs (including books)
  – 2013 grants onward (we will not see OA output for several years)
• NHMRC (introduced 1 July 2012)
  – Journal articles only
  – Any publication after 1 July 2012 regardless of the grant

ARC & NHMRC policy decision tree

Requirements of ARC & NHMRC policies

Compliant with grant rules

Researchers in developing countries can see your work

More exposure for your work

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Voluntary deposit in institutional repository

Repository points to OA version

Repository makes work available, respecting embargoes

Deposit metadata in repository (mandated)

Repository holds record without making item OA

Researcher provides written explanation why no OA in Final Report

Publisher allows OA in repository?

Funded research?

YES

NO

Published in OA journal?

article/chapter/book accepted for publication

article/chapter/book published

Social media & staff profile pages

http://aoasg.org.au
QUT academics tweeting links to their OA pubs in QUT ePrints

April 12th tweet links to open access copy in QUT ePrints

You can see the impact of the tweet on downloads.

Selling the message internally

Managing up

Lancaster University structure: [http://www.lancaster.ac.uk/vc/images/seniorofficers2.gif](http://www.lancaster.ac.uk/vc/images/seniorofficers2.gif)
What are your policies?

Australia

• Now a quarter of unis have an OA mandate

http://aoasg.org.au/resources/

It has been a good OAWk!

Mandates alone are not enough

• They must be accompanied with
  – Guidelines
  – Promotion
    • The higher the person promoting the better
  – Advocacy
  – Support
    • Of the researchers by the repository
    • Of the repository by the institution
      – Staffing
      – IT support

Time to talk!

• What is the policy situation at your institution?
  – Have you been able to leverage this?
• Given your situation who is your target audience at the moment?
  – Is it the executive or the academics?
• What benefits do you think will resonate with
  – The institutional executive
  – The academic population

BARRIERS TO REPOSITORY USE
Barriers to engagement with OA

- Lack of infrastructure
  - No subject-based repository (e.g. arXiv, PubMed Central, RePEc, SSRN)
  - No institutional repository
- Infrastructure difficult to use
  - Copyright checking complex (even for me!)
  - Technical issues, e.g. converting files to pdf
  - Administration of payment of article processing fees complex
- Lack of incentive
  - No mandate or other policy support for OA
  - No institutional funding support for OA articles
- Fear
  - Of plagiarism
  - Of contravening publisher’s agreements (and therefore risking further publication)

Overcoming barriers

- Resistance to taking on additional work due to time pressure
  - Provide mediation (doing it for them)
  - Simplify the deposit process
  - Integrate the repository into other systems

Overcoming barriers

- Confusion and antagonism about open access (researchers see themselves as the ‘meat in the sandwich’)
  - A serious underlying problem of a lack of understanding of the scholarly communication process.
  - Many academics (and librarians for that matter) do not have a good grounding
- Refocus
  - From: ‘information literacy’
  - To: ‘scholarly publishing literacy’

Consider...

- What processes are there for scholarly publishing literacy education at your institution?
- What are your own levels of knowledge in this area? Could you confidently answer questions on:
  - Academic reward system
  - Peer review system
  - Predatory publishers
  - Rejection rates of journals
  - Impact factors (and how they are calculated)

CONTACT POINTS IN THE RESEARCH CYCLE

“A man who is very busy seldom changes his opinions” — Friedrich Nietzsche

CONTACT POINTS IN THE RESEARCH CYCLE
Audience

- Who are these people?
  - Academic community
  - University administration (DVCs down)
  - Heads of School

- What are their circumstances?
  - Available time (to take on a new concept)
  - Their awareness
  - Their interest

Is this a bad time?

- Academics are very busy
  - Teaching (40%) - Not rewarded but takes up huge amounts of time
  - Researching & writing papers (40%) - The one thing that does pay
  - Administration (20%) - Bynature about it

- Most people’s time breakdown adds up to more than 100%
  - Refereeing - Invisible work
  - Editing roles - Time consuming, not rewarded
  - Applying for grants - Wasted time (only 24% ARC grant applications successful)

Consider the academic timetable

- Avoid:
  - Just before term starts
  - Exam period
  - Summer holiday (for Computer Science & Engineering)
    - conference season
    - grant application season

Lifecycle of scholarly information

Get in at the beginning - ethics & grants

- Get talking to your research management people
  - Send a congratulations email when ARC & NHMRC grants announced (with a reminder)

- Use the ethics process
  - Include in reminder email about research protocols “don’t forget to make your work avail”
Some disciplines share Submitted Versions

Ideally capture accepted manuscript at time of acceptance

Do you dare go there?

Repositories’ main role

Benefits of repositories

- Grey literature - theses, working papers etc
  - otherwise unfindable
  - Difficult to gauge use
- Theses are highly used in repositories
  - The authors are future researchers
  - They are very impressed when you tell them how many times their work has been accessed

Downloads and stats are very valuable
One last chat...

- Given the processes/people/structure within your institution...
  - Who do you need to talk to to get some of these things happening?
  - How difficult will it be to get ‘buy in’
  - What can you do to overcome that resistance?

SALES PITCHES

Leverage the stats

- Publish download figures in various ways:
  - Statistics Dashboard concept
  - Popular authors by downloads
  - Geographic Downloads
  - External vs Internal
- Contact authors & congratulating them on their downloads
  - cc Head of School or ADR where the download figure reaches a major milestone
  - send short news item to campus newspaper or news website.

Most downloaded from QUT ePrints

Google Analytics - Digital Collections

The Conversation
COMMUNICATION CHANNELS

Disseminating ideas

- How are institution-wide ideas communicated in your organisation?
  - Email
  - Social media
  - Flyers
  - News tickers on webpages
  - Public lectures
  - Staff meetings
- Which do you think are effective?

Target the message

Best channels

- Are group discussions successful?
  - Can be disciplinary focused
  - Go to them when they have their regular meeting (morning tea, formal monthly meeting etc)
  - Many concerns are common to others
- One on one is highly effective
  - People who 'get' it become enthusiasts
  - But entirely unscalable

You know this stuff

- Link repository to staff profile system
- Integrating citation information
- Integrating usage statistics
- Implement compliance via the performance management system
- Linking green OA to open data
Request a copy

- Allows authors to share research directly with each other
- Publishers often give researchers a link to their PDF that they can send researchers (50x)
  - Updated version of ‘offprints’
- But there is no rule that prevents authors from sharing their accepted versions – it used to be by postcard
- You cannot automatically send the requestor a copy of the work – you need to put the requestor in contact with the research
  - A problem if they have left the institution!

No-one wants to go to an empty venue

Where can you get deposits?

- Finding material (full-text) to put into repository – grey literature etc
- Auto ingest of records from service providers

You already have material

- Look at material in a reporting repository and upload items which can use the pdf

http://www.sherpa.ac.uk/romeo/PDFandIR.html
Make it the place to be

Take home notes

- What your repository offers from a diffusion perspective
- The disciplinary patterns in your institution
- What incentives and promotions you are currently doing
- Your policy situation (and what you need to do about it)
- Scholarly publishing literacy - how is yours? What about your academic community?
- Ways you can integrate making work available in the repository within your normal university operations

Questions?

Australian Open Access Support Group

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