Implementing and monitoring an Open Access mandate: the Minho Experience

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Agenda

- Introduction – University of Minho
  - Open Access @UMinho

- Open Access Policy @UMinho: incentive and mandate
  - The 2004 policy
  - The policy upgrade in 2010
  - Implementation and results of 2010 policy

- Final Remarks and Future directions
Teaching

- 53 graduate courses
- 130 masters courses
- 22 PHD courses

- 18,500 students
  - 12,300 graduate students
  - 4,400 master students
  - 1,900 PHD students
research

- 31 Research Centres
  65% rated Excellent, Very Good or integrated into Associated State Laboratories.

Hosts the European Institute of Excellence in Tissue Engineering and Regenerative Medicine, the only Institute of this kind to have a base in Portugal.
University of Minho

An Open Access pioneer
[2003-2012]
UMinho Open Access Timeline

RepositórioUM Opening

UMinho OA Policy

1,000,000 downloads!

RepositórioUM 10 years

2002
2003
2004
2005
2006
2007
2008
2009
2010
2011
2012
2013

Berlin Declaration Signature

2nd OA conference

openaccess

RCNP project

Open Data pilot project

1st Luso-Brazilian OA conference

2nd Luso-Brazilian OA conference

3rd OA conference

3rd OA conference

Statistics Add-on

Communication strategy

Test phase

1st Luso-Brazilian OA conference

4th OA conference

4th Luso-Brazilian OA conference

DRIVER II project

OpenAIRE project

OpenAIRE Plus & MedOAnet projects

10.000 documents!

5.000 documents!

20.000 documents!
RepositóriUM (2003)

Publicly launched in November 2003
Deposition of publications by author (or "proxy") self-archiving
No library mediated deposit/archiving

RepositóriUM (2003)

- University of Minho staff must archive their publications and documents into RepositóriUM, and make them available in Open Access whenever possible;

- The organisational units (research centres, departments) must sign and adopt self-archive policies for the scientific output of their members, based upon a general model;

- Authors of thesis and dissertations approved by the University of Minho must authorise the deposit of their thesis or dissertation into the RepositóriUM.
Self-archiving incentive

- In 2005 the Rectory provided a financial supplement to departments and research centres, proportional to their compliancy to the policy of Open Access self-archiving in RepositóriUM.
Self-archiving incentive

- In 2006, there was also a financial supplement, but its value was significantly smaller (around 1/3)

- The incentive disappeared after 2006
Results

Submissions/year

- Year 2003: 0
- Year 2004: 0
- Year 2005: 2500
- Year 2006: 2000
But...

- Not having the incentive, and no enforcement/monitoring authority from 2007 to 2010...
Results

Submissions/year

- 2003
- 2004
- 2005
- 2006
- 2007
- 2008
- 2009
- 2010

- 0
- 500
- 1000
- 1500
- 2000
- 2500
- 3000

Submissions/year
Upgrade of UMinho OA policy (2010)
University of Minho

An Open Access pioneer
[2003-2012]

OA was integrated in the University Action Plan for 2009-2013
Upgrade of UMinho OA policy (2010)

Why?

- The number and percentage of UMinho research output was decreasing since 2007

- Open Access is seen as a relevant factor on the visibility strategy of University of Minho

- To continue and improve the UMinho Open Access experience, maintaining UMinho has an OA frontline institution;
UMinho upgraded policy (RT-98/2010)

Minho University requires:

All academic staff to mandatory deposit into RepositóriUM a copy of all peer reviewed publications dated after January 2011;

From January 2011, all official publication lists or reports, from individual researchers and research units, submitted internally at UMinho, must contain a link to the version archived at RepositóriUM
Implementation of UMinho policy

1st quarter 2011: Roadshow on the new policy in all the Schools/Institutes [Faculties] of UMinho

Since the end of the 1st quarter 2011: Quarterly monitoring of policy compliance
Policy monitoring

1. Use of internal sources (e.g., research centers and departmental lists of publications, etc.) and of reference databases (WoS and Scopus), to identify “relevant” publications (publications with (co)author(s) affiliated to the University of Minho), plus the activation of alerts in these databases to receive notices whenever a new “relevant” publication is available.

2. Use of reference management software (e.g., EndNote and/or Mendeley) to compile publication lists, along with other tools (e.g., groups function), to allow editing and producing lists of publications to compare with those deposited in Repositório UM and afterwards sending them to the UMinho’s research units.
Monitoring policy compliance

2011 monitoring

- 1st Monitoring - 15 March 2011: 5%
- 2nd Monitoring - 15 July 2011: 15%
- 3rd Monitoring - 15 October 2011: 23%
- 4th Monitoring - 15 March 2012: 62%
Results

Deposited documents/ month

- January
- February
- March
- April
- May
- June
- July
- August
- September
- October
- November
- December

2010
2011
Monitoring policy compliance

2012 monitoring

- 28% on 1st Monitoring - 15 March 2012
- 30% on 2nd Monitoring - 15 July 2012
- 39% on 3rd Monitoring - 15 October 2012
- 68% on 4th Monitoring - 15 January 2013
Results

Current percentage of UMinho's WoS/Scopus output on RepositóriUM
Results

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<th>PUB. YEAR 2011</th>
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Ten-year Analysis of University of Minho Green OA Self-Archiving Mandate - Yassine Gargouri, Stevan Harnad, Vincent Larivière [in press]
RepositóriUM Usage

Downloads

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Downloads origins

- Portugal: 44%
- Brazil: 20%
- European Union: 7%
- United States: 5%
- India: 3%
- China: 2%
- Other: 19%

[Diagram showing the distribution of downloads from different countries]
Concluding Remarks

- High impact of the upgraded policy on UMinho staff:
  - Number of deposited documents and number of researchers that self-archived is 2 to 3 times higher than before 2011

- The policy had impact not only on publications from 2011 onward, but also on publications from previous years

- Periodic monitoring has been an important tool to secure policy success
Future directions

Open Access is again part of UMinho Strategic Plan (2013-2020)

UMinho wants to remain on the frontline of Open Access

RepositóriUM will be the only information source, about publication output, for the University Information System, that will support all reporting, management and evaluation activities in the University

Experimenting with research data curation and access
Thank you!

http://repositorium.sdum.uminho.pt