

Towards a DFID Research Policy on Open Access

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Based on a report by Peter Ballantyne

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Scoping Study

- What DFID Research should do to develop and take forward an ‘open access’ policy that will lead to substantially greater public access to the outputs and results of research financed by DFID.
- Findings to help clarify the key notions associated with open access to research, and identify where and how DFID Research could make a difference in this area

Why Open Access?

- Open access reinforces the free circulation of knowledge;
- Open access is an empowering strategy for researchers and others in developing countries;
- Open access can increase the potential for uptake and use of research outputs;
- Open access cuts such subscription barriers;
- Open access will help DFID make use of the research it has financed.

Narrower definition: Budapest OA Initiative

- “The literature that should be freely accessible online is that which scholars give to the world without expectation of payment. **Primarily, this category encompasses their peer-reviewed journal articles ...**”
- By "open access" ... we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself.

Broader Definition: Open Knowledge

- 'Open knowledge' is any content, information or data that people are free to use, re-use and redistribute -- without any legal, technological or social restriction. The main principles are:
 - Free and open **access** to the material
 - Freedom to **redistribute** the material
 - Freedom to **reuse** the material
 - **No restriction** of the above based on **who someone is** (e.g. their nationality) or their **field of endeavour** (e.g. commercial or non-commercial)

Types of Outputs

- Peer reviewed articles, books published by third parties;
- Reports, publications etc produced by a project or institute;
- Data and data sets;
- Images, video, slides, maps, posters etc
- Social media (e.g. wikis, blogs, etc)

Young Lives Example

Young Lives Jan 2007 - July 2009			
output type	Open access	Closed access	% open access
Audio visual and other	7	8	46.7%
Books and book chapters	1	2	33.3%
Conference papers and presentation	3	42	6.7%
Country reports and summaries	8	0	100%
Journal articles	8	10	44.4%
Media and press work	11	24	31.4%
Policy briefs	9	0	100%
Student research papers	6	0	100%
Technical notes	16	0	100%
Working papers	18	0	100%
Total	87	86	50%

FRP Example

- Between 1966 and 2006, the DFID-funded Forest Research Programme comprised some 330 separate projects. After the Programme ended, the print archive (some 12,000 documents, 350 meters of shelf space) was transferred to / rescued by the Oxford Forestry Institute.
- “There is/was a comprehensive index to the collection but it was outsourced to a commercial company who took it down when they stopped being paid and won’t release the data.”
- The former web site and (outputs) of the programme - www.frp.uk.com are no longer accessible online – though some pages can be seen at http://web.archive.org/web/*/http://www.frp.uk.com.

Funders' Approaches

- Require/encourage deposit of articles in a repository [RCUK / DGRsearch / UCL]
- Require paid for (if needed) open access AND deposit articles in named repository and re-use license from publishers [Wellcome].
- Require deposit of project outputs through grant-management cycle [IDRC]
- Encourage posting of project outputs to R4D [DFID]
- Support set up of specialized development research harvesters [WOTRO]

Observations on Funders

- Focus on journal articles only; or on many types of outputs.
- Data is difficult; Wellcome requires grantees to plan data accessibility.
- 'Just' getting outputs viewed and downloaded extended, through open licenses, to ensure that rights of re-use are also available.
- Authors can be required to deposit in any suitable repository, with permission, or to deposit in a designated repository or repositories.
- Funders directly negotiate with publishers (Wellcome), or leave this to the grantees and their institutions.
- Compliance and policing vary. Is necessary for results.
- Some funders support specialized platforms that produce additional services (such as harvesting, federated access, etc).

Principles for DFID

- Adopt broad ‘open knowledge’ perspective;
 - More than journal articles
- Require systematic deposit of outputs and metadata in open systems and repositories
- Require appropriate DFID acknowledgement;
- Encourage use of ‘open licenses’ that recognize authorship and enable reuse;
- Encourage use of open formats and standards;
- Encourage open platforms and initiatives.

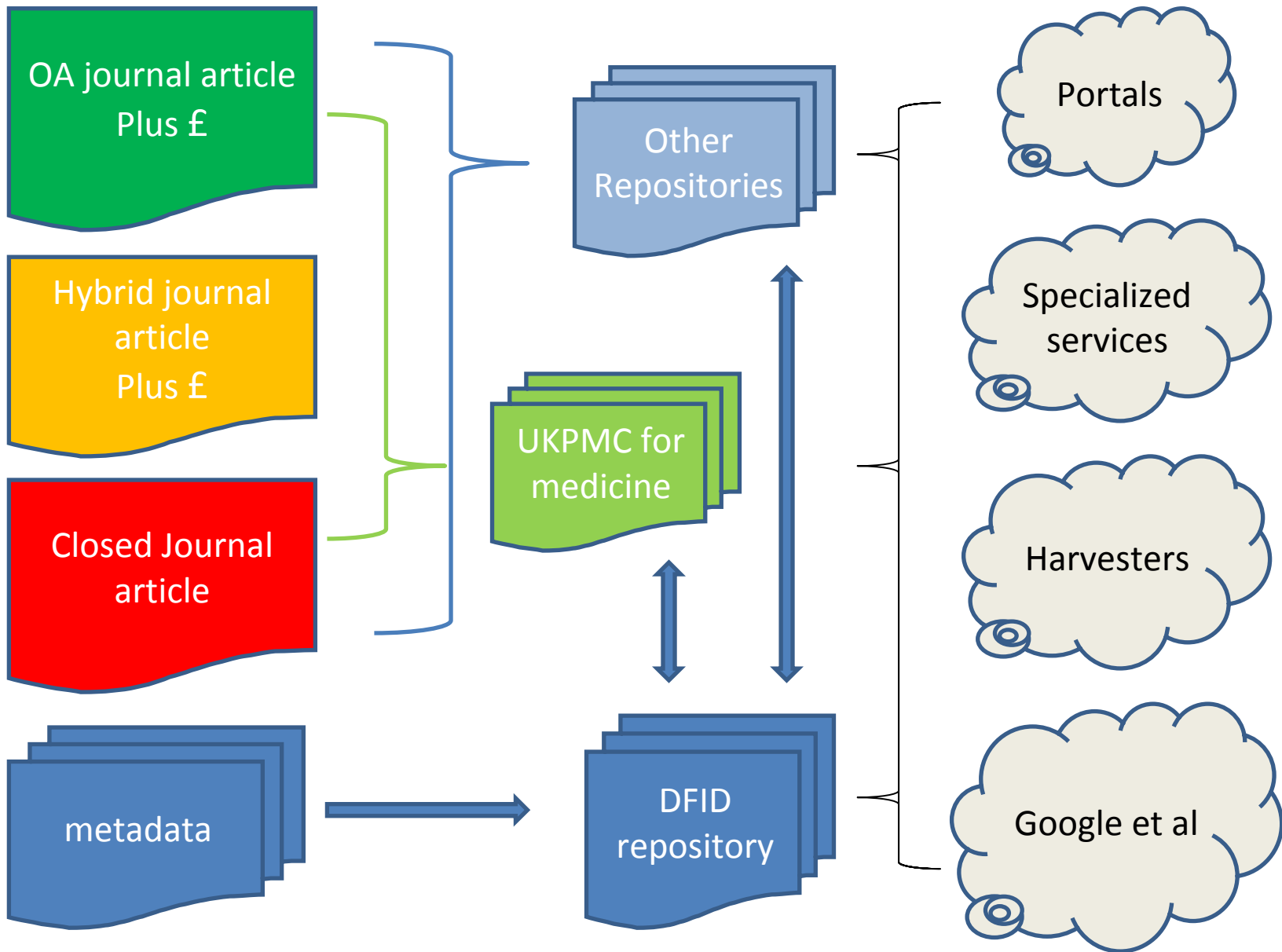
Specific Points - 1

- Encourage publication in open access journals (or hybrid journals).
- Provide funds for any open access charges.
- Encourage authors and publishers to license articles for reuse, with attribution.
- Establish complete ‘UKPubDev Central’ repository of DFID-supported outputs.
 - As open access service AND permanent archive with metadata (all outputs) and digital outputs (where appropriate)
- Capture metadata centrally.
- Deposit outputs in proper institutional or subject repositories.

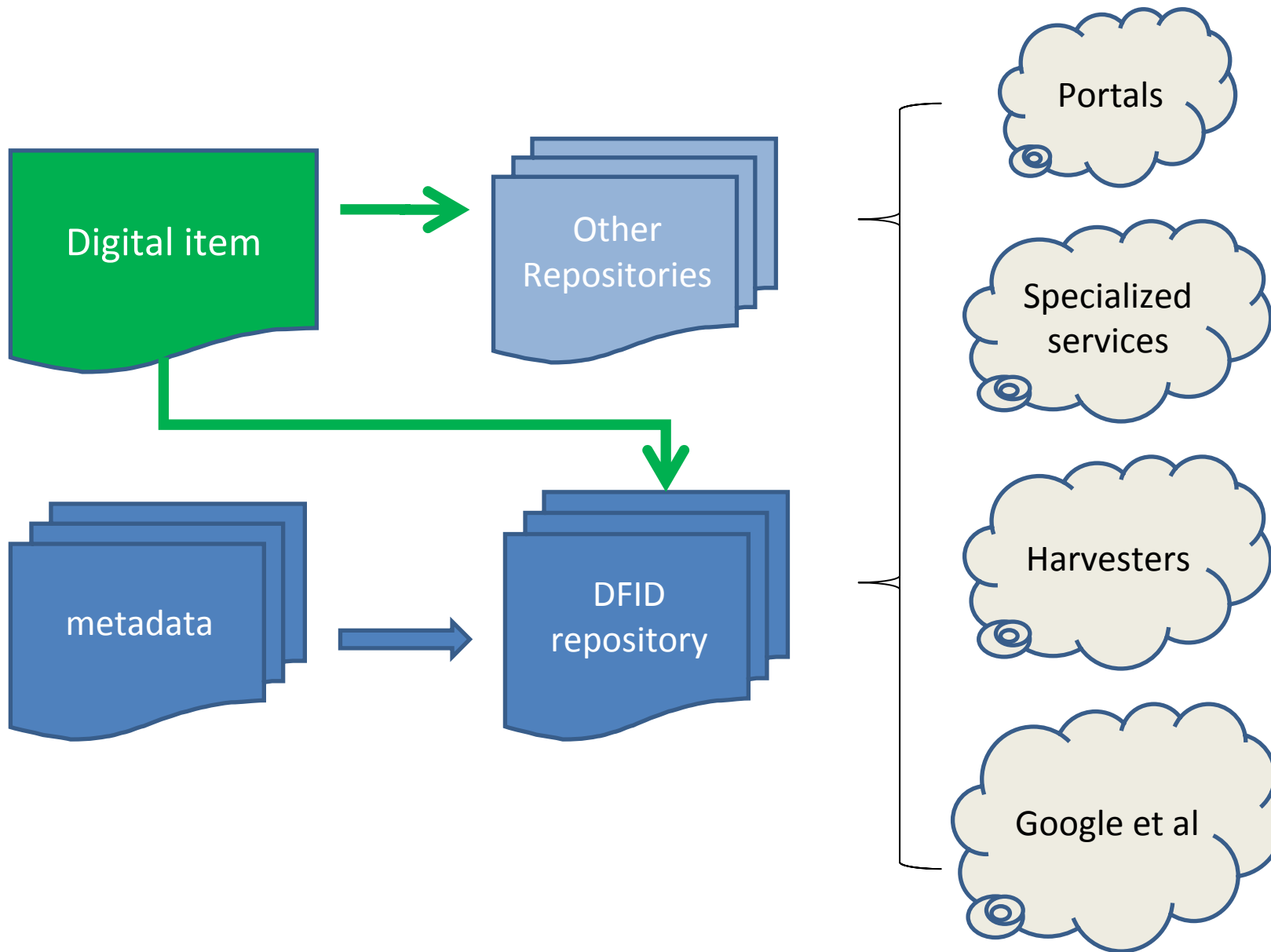
Specific Points - 2

- Require that outputs and metadata acknowledge DFID sponsorship.
- Require that significant web content is permanently archived and accessible.
- Encourage use of social media to report and communicate research.
- Require projects to develop a data curation and accessibility plan.
- In health and medicine, join the UK PubMed Central (UKPMC), adopting its policies on deposit and licenses already established.

Journals



Reports etc



Additionally

- Adapt DFID contracts to mandate these provisions.
- Require proposals to present an ‘accessibility plan’.
- Include funds for open access in proposal budgets.
- Include accessibility check in regular reports of projects.
- Encourage content contribution to specialized repositories or services.
- Support preferential access initiatives for developing countries.
- Support open access journal publishing initiatives in developing countries.
- Contribute to awareness raising efforts.
- Engage with other research funders.
- Create an ‘open access to R4D’ fund to support and recognize initiatives.

Concerns

- Distortion: Avoid journal article access at expense of other communication outputs [ringfence funds for articles]
- Permanence: Address widespread current access AND permanent future access
- Awareness: Ensure buy in and understanding by scientists, institutions, and publishers
- Capacity: What is needed for DFID to monitor and enforce?
- Terms: Apply retrospectively?