

## **Unit 1: OA Mandates and Policies**

**Objective:** The objective of this unit is to portrait a clear picture of Open Access Mandates/Policies and related issues.

The recommendations widely adopted by the open access movement may be summarized as ‘deposit immediately, and make open access as soon as legally possible’. This is an excellent piece of advice for any university or funding agency which is considering adopting a mandatory OA policy.

### **Learning Outcomes**

After going through this topic, the participants are expected to be able to:

- Explore the importance of OA mandate and policies;
- Identify sources of OA mandates and policies;
- Analyze the features of some of the important OA policies in use; and
- Frame draft OA policies for your institution.

### **Areas of focus**

- Policies and Mandates for Open Access
- Types of Policies
- Issues Related to Open Access Policies
- Importance of Open Access Mandates
- Implementing Open Access Policies
- Countries with OA Legislation
- Towards OA Policy Framework

### **Policies and Mandates for Open Access**

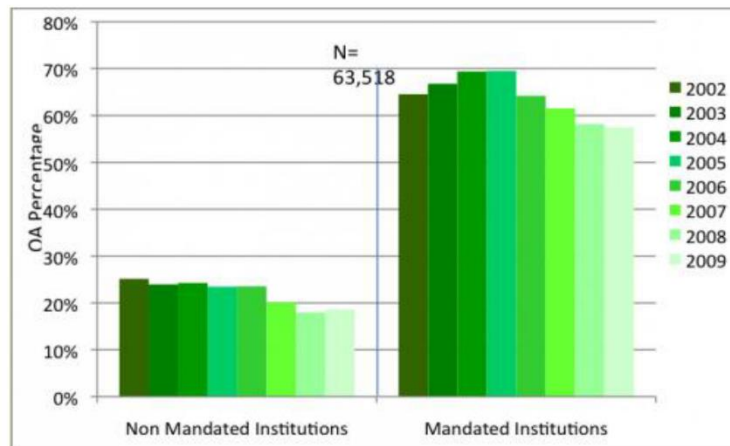
- Open Access Mandate is a condition/ provision that has been taken up by various institutions organizations and funding agencies to make sure the free hand for reusing, remixing, redistribution of scholarly objects.
- Open Access Mandate is “a condition on a voluntary contract, not an unconditional requirement.
- It’s a reasonable condition as well, since public funders, like MakRIR, BURIF, STI disburse public money in the public interest, and private funders, like the Wellcome Trust, disburse charitable money for charitable purpose.”

**Figure 3.1: Percent of research output that is green OA for institutions where Green OA is or is not mandatory (based on Gargouri et al’s 2010 data, as reproduced from Poynder 2011)**

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### Types of Policies

- **Voluntary Deposit** - Voluntary deposition depends on authors or content creators, who are responsible for scholarly objects. Contributors should be motivated to promote the cause of OA.
- **Mandatory Deposit** - Main stake-holder of mandatory deposit is employing institution.

There are three categories –

- 1) **Immediate Policy** - this Policy directs authors of the papers,
  - a) to submit their research work (full-text) to repository, which have been accepted for publication in a peer-reviewed journal, immediately after acceptance for publication, if it is any way funded by tax-payers;
  - b) to make its metadata (data about data, like title, author etc.) visible in repository from the time of deposition so that it can prove its existence; but giving respect to authors and publisher interest hold full-text up to embargo period; and
  - c) to make full-text visible after 6- 12 months (recommended) after publication of research paper.
- 2) **Rights-retention Policy** - policy makers hold rights to make a research output open access. In this case right is either acquired by policy maker itself by their own policy or by giving grant of waiver to the author/content creator.
- 3) **Loophole Policy** - when author's publisher doesn't permit a work to make open access, this policy finds the loophole (alternative ways) from which deposition as open access is possible
  - Metadata Policy – for information describing items in the repository. Access to metadata; Re-use of metadata.
  - Data Policy – for full-text and other full data items. Access to full items; Re-use of full items.

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- Content Policy – for types of document and dataset held. Repository type; Type of material held; Principal languages.
- Submission Policy – concerning depositors, quality and copyright.
- Preservation Policy Retention period; Functional preservation; File preservation; Withdrawal policy; Withdrawn items; Version control; Closure policy.

Things to take note of with OA Policies

- Issues Related to Open Access Policies pp. 10
- Importance of Open Access mandates – to the researcher and funder, pp. 11
- Implementing OA policies, pp. 11
- Countries with OA legislations, pp. 13
- OA Institutional policy decisions, pp. 15

**Activity:** *What is your opinion of the OA institutional policy decisions – what would work or not work for your institution and why pp. 15*

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