

Project “ETQIL”

course

Open Access Resources

Work book

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Introduction

This course addresses work to provide open access to resources within science and scholarship. Open access is an issue which has landed high on the research policy agenda over the past ten years. It is now promoted in various ways by e.g. the European Commission and has thus become even more important to governments and funding agencies than before. At the same time, open access covers a large number of issues, from ideology to legal issues and business models, infrastructure, various genres and areas, and not least promotion and education.

Focus

Primary focus in the course is on working with open access issues at a national level, but the assumption is that this will necessarily also involve an understanding of work at university or institute level as well as internationally. The course deals mainly with issues considered to be of great relevance to develop infrastructures to support national collaboration around open access. There will not be room for great detail and a selection has been made with regard to which issues are covered. In terms of genre, some of the most common and currently discussed genres are in focus: peer reviewed journals/journal articles, monographs, electronic theses and dissertations (ETD:s), and open data.

The framing of the course will be the development of policies. The course is divided into four modules. In the first module, some of the key ideas and statements of the open access movement will be discussed, including the distinction between green and gold OA. This will be followed by two modules that consider infrastructures for open access that need to be in place in order for a policy to be implemented. Included will also be an investigation of the publishing practices of researchers in various fields of research, with a focus on local conditions and need for infrastructure. The last module in the course will be devoted to discussing open access policies in light of the previous course content.

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Course design and previous knowledge

The course is designed to take 40 hours of individual and collaborative work, given that the participant already has some knowledge of open access issues. Such knowledge includes an understanding of what is regarded as open access to scholarship, the main motivations for open access, how this is accomplished (through self-archiving or open access publishing), and of some current initiatives (e.g. policies and mandates, major players, impact on researchers' activities). Some of these things will be further developed in the course, but if you lack the basics, please prepare for the course by reading the texts outlined under the heading Open access basics. Key concepts and phenomena to have a basic familiarity with include:

- self-archiving
- open access publishing
- green and gold open access
- open/institutional/subject repositories
- peer review
- copyright/licensing/Creative Commons
- open access mandates
- metadata
- open (research) data
- bibliometrics/research evaluation

The course design is based on theoretical educational models which highlight that we learn in interaction with other people and with tools. For this reason, a number of possibilities for discussions and meetings have been included as well as practical use of various resources, such as repositories. A mix of study methods have also been sought after. The course is based on a group of participants who collaborate primarily in the form of seminars/webinars. The issues and initiatives relating to or made important by open access are many and changing fast, and participants are strongly encouraged to both search for information on their own and to share information with each other. The discussion and presentation seminars will provide a chance to explore the local OA situation in more depth by drawing on experiences and findings by the course participants.

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NB! Even though all the external educational content is available online free of charge in some version, most of it is covered by copyright restrictions.

Learning outcomes

After completing the course, the participant will be able to

Learning Outcomes	
Knowledge	Skills
...identify and plan for open access services locally and nationally	
Be familiar with the motivations for open access to research publications and data and the situation for open access on a national and international level.	Implement knowledge of open access services in contributions to policy development and services planning.
...display an understanding of disciplinary publishing practices and their consequences for the implementation of green and gold open access publishing	
Know about disciplinary and national differences in publishing practices and be able to relate that knowledge to various solutions for open access.	Analyze and draw conclusions about the implications open access solutions and policies will have for various groups of researchers.
...analyse open access policy decisions from the perspective of disciplinary and national publishing practices	
Understand different open access policy designs and how they may be implemented as well as the implications of policy design for relevant stakeholders.	Advocate open access solutions that fit the practices of researchers, librarians, publishers, and management locally and nationally.

Module overview

Module	Activity	Time
OA movements, ideas and statements	Reading/viewing educational content	3 h
	Discussion seminar	2 h

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Green OA	Reading/viewing educational content	3 h
	Exercise: Green OA	5 h
	Presentation seminar	3 h
Gold OA	Reading/viewing educational content	2 h
	Exercise: Gold OA	2 h
	Presentation seminar	3 h
Policies and strategies	Reading educational content (incl. preparations)	3 h
	Discussion seminar	2 h
	Paper	8 h
	Presentation seminar	4 h
<i>Total</i>		40 h

Modules

Module 1: The OA movement, ideas and statements

This first module introduces some of the key ideas behind open access through a couple of the most well-known and influential statements supporting open access to science and scholarship, namely the Budapest Open Access Initiative (2002 and 2012) and the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003). A brief history of what followed the publication of these two statements is available in Willinsky (2006).

The history of introducing open access to science and scholarship is also described from the perspective of the Swedish National Library in Hagerlid (2010). Another historical perspective on the development of open access as a movement and as practical implications, as well as an outlook to what is in pipeline, is provided in the keynote presentation by Bo-Christer Björk from the Nordic Perspectives on Open Access and Open Science seminar in Helsinki in October 2013. Björk is a prolific researcher who has conducted a large number of studies that provide good overviews of open access issues. His work will be used repeatedly in the course.

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Structure and tasks

Preparation: View the video, read Hagerlid and Willinsky, and familiarize yourself with the Berlin and Budapest statements, unless you have already done so.

Discussion seminar (2 h, on site or webinar): Collaborate in the group to address the following issues:

1. Tell the history of open access work in your country. Which are the main events?
2. Map which activities and initiatives around open access the National Library of your country has been involved in so far.
3. Map the key stakeholders in open access issues in your country. How does the National Library relate to/collaborate with them?
4. Have stakeholders in your country embraced and/or engaged in the Budapest, Berlin and EU initiatives and, if so, how? What have been the consequences?

Draw on your own experiences to address these issues. You may also want to do a bit of reading/research to prepare for the seminar. Work collaboratively to document the group's discussion and the picture that it paints of open access work nationally and share the documentation among yourselves.

Educational content

Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003). <http://openaccess.mpg.de/286432/Berlin-Declaration> (Russian translation: http://openaccess.mpg.de/67987/BerlinDeclaration_rus.pdf)

Björk, B.-C. (2013). Development of Open Access since 2003. Video from the Nordic Perspectives on Open Access and Open Science Seminar, Helsinki, October 15, 2013. <https://connectpro.helsinki.fi/p2231f9j439/> The presentation is approximately at the following time in the video: 0:00-0:41.

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Budapest Open Access Initiative (2002).

<http://www.budapestopenaccessinitiative.org/read> (Russian translation:
<http://www.budapestopenaccessinitiative.org/translations/russian-translation>)

Hagerlid, J. (2010). The Role of the National Library as a Catalyst for an Open Access Agenda. *Proceedings of the 76th IFLA General Conference and Assembly, Gothenburg, Sweden, August 10-15, 2010.*

<http://conference.ifla.org/past/2010/132-hagerlid-en.pdf>

Ten Years on from the Budapest Open Access Initiative: Setting the Default to Open (2012). <http://www.budapestopenaccessinitiative.org/boai-10-recommendations> (Russian translation:

<http://www.budapestopenaccessinitiative.org/boai-10-translations/russian>)

Willinsky, J. (2006). *The Access Principle: The Case for Open Access to Research and Scholarship*. Cambridge, MA: MIT Press. p. 1-6. Also available from:

http://mitpress.mit.edu/sites/default/files/titles/content/9780262512664_Download_the_full_text.pdf

Module 2: Green OA

It is impossible to cover everything around green open access and open repositories in the course. Focus for this module will be on some issues that are often put forth as key issues for the near future and that are of relevance to work with green open access at national and international levels. One such issue is the role of researchers from various disciplines – getting authors to deposit their work in repositories and to make their published work green open access is often identified as one of the main obstacles to achieving open access (e.g. Björk et al., 2013). Another key issue is interoperability. Traditionally, this has often concerned metadata formats, and there are still initiatives around this and several projects aiming for improved technical solutions. Here, we will mainly deal with semantic interoperability in terms of metadata quality and author ID:s. Of relevance to interoperability issues and national initiatives and solutions is also the national structure of open access work and platforms, which was the topic of the seminar in the previous module. At national and local levels, work with repositories is often

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intimately linked to work with publication databases and thus in many cases with research evaluation. This double function of many repositories is something that needs to be taken into account in planning for interoperability and development of open repositories (see e.g. Ilva, 2013), and which mirrors the discussion around publishing strategies, a discussion which often includes both open access and journal impact factors. Finally, a key issue in green open access is copyright and licenses.

The module includes a brief introductory text/lecture which tries to link some of these key issues to each other. It also includes a few articles and a video presentation. The conference presentation by Jyrki Ilva from the National Library of Finland at the Nordic Perspectives on Open Access and Open Science seminar in Helsinki in October 2013 provides a glance back to how institutional repositories started, discusses some solutions in the Nordic countries and provides an up-to-date view of repositories. This more general description is supplemented by the article by Björk et al. In the article, the authors return to a number of previous research studies in order to try to provide at least cursory answers to important issues in green open access (some of these studies are touched on briefly in Bo-Christer Björk's conference presentation in the first module). This article also provides an overview of research on institutional repositories and green open access. Rebecca Kennison, Sarah Shreeves and Stevan Harnad present differing views on the role of institutional repositories and, in particular, on what should be the main strategies for the repositories in the years to come. Kennison and Shreeves both work practically with repositories, whereas Harnad, a well-known proponent of green open access, has a clear ideological agenda from his perspective as a researcher. The article can be used for thinking about and discussing what the priorities should be for repositories and what may be the best ways to achieve those priorities.

The COAR text offers an overview of some of the main challenges today with regard to achieving interoperability between repositories. It thus expands on some of the issues addressed in the introductory text/lecture. Finally, the list of reference literature and useful sites includes some resources on copyright and licensing.

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Structure and tasks

Preparation: Read the Introductory text/lecture, view the video, then read Björk et al., Kennison et al. and the COAR document. Parallel to your reading, decide which research area you would like to focus on in the exercise and work with the others in the group and the trainer through the learning platform to try to achieve a spread in the group by having the participants select research areas from different disciplines (natural sciences, medicine, technology, social sciences, humanities).

Exercise: Rationale for the exercise – we often speak about open access as though it was one thing and primarily based on international peer reviewed journal articles. However, conditions for how open access to research literature (and research data) may be achieved varies a great deal between research areas. This exercise (in two parts) aims to illustrate this by using specific research areas as a point of departure for investigating some key issues, repositories and other practical resources available for open access work.

Carry out the first part of the exercise, called Exercise: Green OA. Based on your findings, prepare a 5-10 minute presentation (depending on what has been decided in the group) where you briefly present the highlights from your findings about publishing in your research area. You may choose to share your notes or do a PowerPoint presentation, but this is not compulsory. The group may also decide to share notes with each other.

Presentation seminar (2-3 h, on site or webinar): Everyone does a brief presentation of their findings. Provide ample time for the final discussion, where you address similarities and differences in your findings. What are the consequences of publishing practices for making publications open access in the various research areas? What are the consequences of publishing practices for how an infrastructure for open access to research may best be designed (locally and nationally)?

Optional online discussion thread: Discuss the positions by Kennison & Shreeves and Harnad respectively and how they relate to suitable strategies and priorities for institutional repositories at a university in your country.

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Educational content

Björk, B.-C., Laakso, M., Welling, P. & Paetau, P. (2013). Anatomy of Green Open Access. *Journal of the Association for Information Science and Technology*. doi: 10.1002/asi.22963. [Currently published in early view.] Author version available from:

<http://www.openaccesspublishing.org/apc8/Personal%20VersionGreenOa.pdf>

(In case of high previous familiarity with green open access, the first 5 pages can be read superficially)

COAR (2011). The Case for Interoperability for Open Access Repositories. <https://www.coar-repositories.org/files/A-Case-for-Interoperability-Final-Version.pdf>

Francke, H. (2014). Green OA and the Role of Institutional Repositories: Introductory Text/Lecture. (Available through the learning platform)

Ilva, J. (2013). Open Repositories of Past, Present and Future. Video from the Nordic Perspectives on Open Access and Open Science Seminar, Helsinki, October 15, 2013. <https://connectpro.helsinki.fi/p3bgft8q1ja/> The presentation is approximately at the following time in the video: 1:26-1:46.

Kennison, R., Shreeves, S.L. & Harnad, S. (2013). Point & Counterpoint: The Purpose of Institutional Repositories: Green OA or Beyond? *Journal of Librarianship and Scholarly Communication*, 1(4):eP1105. <http://dx.doi.org/10.7710/2162-3309.1105>

Reference literature & useful sites:

Berkman Center for Internet & Society and Electronic Information for Libraries (EIFL) (2010). *Copyright for Librarians: The Essential Handbook*. <http://www.eifl.net/copyright-for-librarians> (Available in various formats and languages)

Creative Commons, <http://creativecommons.org/>

Elbæk, M.K. (2013). How is OpenAIRE Supporting Open Access Policies and Infrastructures in Europe? A Nordic Point of View! Video from the Nordic

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Perspectives on Open Access and Open Science Seminar, Helsinki, October 15, 2013. <https://connectpro.helsinki.fi/p3bgft8q1ja/> The presentation is approximately at the following time in the video: 1:47-2:19.

Guibault, L. & Wiebe, A., eds. (2013). *Safe to be Open: Study on the Protection of Research Data and Recommendations for Access and Usage*. Universitätsverlag Göttingen/OpenAIRE. <http://webdoc.sub.gwdg.de/univerlag/2013/legalstudy.pdf>

OpenAIRE, <https://www.openaire.eu/en/open-access/country-information>
(Information on the status of open access in various countries)

Repositories Support Project, <http://www.rsp.ac.uk/>

SHERPA RoMEO, <http://www.sherpa.ac.uk/romeo/> (Publisher copyright policies & self-archiving)

Module 3: Gold OA

Publishing in journals that make their content immediately open access has become a viable alternative in many research areas over the past decade. Business models have developed that ensure publishers continued revenues, in that the cost of publishing (often with profit) has increasingly been re-directed from the reader to the author, rather than publishers finding non-profit arrangements with funders (such as funding agencies, universities, etc.). Many toll access journals also offer a hybrid option, where the author can opt to make her article open access by paying an article processing charge (APC), either to increase impact and outreach or to fulfil an open access mandate. Another business model used by some large publishers involves various forms of institutional memberships. The fact that funders (most prominently perhaps Research Councils UK) in the past years have started to encourage immediate open access to journal articles, preferably with a CC BY or CC0 license, has made the question of how to fund APC:s an important one. David Solomon and Bo-Christer Björk present a study of the size of APC:s related to various types of publishers and journals, and to discipline. The article has been included because it provides some interesting statistics on APC:s. Both universities and funders are setting up OA funds from

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which researchers can apply to be reimbursed for APC:s. Two cases of how universities manage OA funds are provided in the conference presentations by Jörgen Eriksson (Lund University, Sweden) and Jan Erik Frantsvåg (University of Tromsø, Norway). As an aside, an interesting large-scale initiative by a whole research community to find a model for turning their publications to gold open access is CERN:s SCOAP3, which builds on an agreement between libraries, funding agencies, and publishers (see <http://scoap3.org/>). Many smaller publishers and journal managers, including university libraries, use open source software for publishing journals and conference proceedings, such as Open Journal Systems. A guide to the system is available from the links below for those who have a particular interest in the topic.

However, direct open access publishing is not only a matter of journal articles. Electronic theses and dissertations (ETD) were an early genre to be published open access, often through institutional repositories (see Kennison, Shreeves & Harnad, 2013). There are also increasingly pilot projects and studies of how open access publishing of monographs may be encouraged (one example is OAPENUK, 2012, which has been included to show researchers' views on the subject). A related issue, although it does not concern publications, is providing open access to research data. In the past year, this has become an issue which engages research funders and governments, not least through the initiatives taken by the European Commission. A short article by David Marques from Elsevier has been included to provide a brief introduction to research data. Of most interest to libraries is the list of potential services that surround the management and curation of research data (p. 3). A few useful sites are also provided in the list of reference literature.

Structure and tasks

Preparations: Read Solomon & Björk, Marques, OAPENUK and view the two videos.

Exercise: Carry out the second part of the exercise, called Exercise: Gold OA. Based on your findings, prepare a 5-10 minute presentation (see instructions for module 2 above).

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Presentation seminar (2-3 h, on site or webinar): Everyone does a brief presentation of their findings. Provide ample time for the final discussion, where you address similarities and differences in your findings. Some questions you may choose to address include:

- Do all research areas offer viable open access journal options? Do hybrid journals or delayed access journals seem to provide a valuable alternative?
- What are the needs for providing support for open access journals and for reimbursing article processing charges (nationally and internationally)?
- To what extent do APC:s constitute a challenge for authors in various research areas or countries? What are the expected needs (and possibilities) for OA funds? Will OA funds be able to cover the needs?

Educational content

Eriksson, J. (2013). A University Fund for Article Processing Charges – Experiences from Lund University. Video from the Nordic Perspectives on Open Access and Open Science Seminar, Helsinki, October 15, 2013. <https://connectpro.helsinki.fi/p3bgft8q1ja/> The presentation is approximately at the following time in the video: 0:40-1:01.

Frantsvåg, J.E. (2013). Our Publication Fund – What Have We Learnt? Video from the Nordic Perspectives on Open Access and Open Science Seminar, Helsinki, October 15, 2013. <https://connectpro.helsinki.fi/p3bgft8q1ja/> The presentation is approximately at the following time in the video 1:01-1:15.

Marques, D. (2013). Research Data Driving New Services. *Library Connect Newspaper*, 11(1): 2-3.
http://libraryconnect.elsevier.com/sites/default/files/LCN_11.1.pdf

OAPENUK (2012). HSS Researcher Survey. <http://open-uk.jiscebooks.org/research-findings/researchersurvey/>

Solomon, D.J. & Björk, B.-C. (2012). A Study of Open Access Journals Using Article Processing Charges. *Journal of the American Society for Information Science and Technology*, 63(8): 1485–1495. doi: 10.1002/asi.22673 Also available

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as postprint from <http://www.openaccesspublishing.org/apc2/preprint.pdf> (the methodology section can be read extensively)

Reference literature & useful sites:

Eklund, P. (2012). Guide to review OA publishers. Borås: University of Borås.
<http://bada.hb.se/handle/2320/11421>

ICPSR (n.d.). Framework for Creating a Data Management Plan.
<http://www.icpsr.umich.edu/icpsrweb/content/datamanagement/dmp/framework.html>

LERU Research Data Working Group (2013). LERU Roadmap for Research Data.
http://www.leru.org/files/publications/AP14_LERU_Roadmap_for_Research_data_final.pdf

Open Knowledge Foundation (2012). The Open Data Handbook.
<http://opendatahandbook.org/>

Public Knowledge Project (n.d.). OJS Documentation.
http://pkp.sfu.ca/ojs/ojs_documentation/ (Information about the journal publishing platform Open Journal Systems, see particularly OJS User Guide http://pkp.sfu.ca/ojs/ojs_documentation/)

Module 4: Policies and strategies

This last module deals with strategies to reach open access to science and scholarship, primarily in the form of implementing policies. A number of universities, funding agencies, and countries have over the past few years worked on drafting and implementing policies for open access publishing. These policies vary in coverage and in the strength of what (if anything) is mandated. The task in this last module draws on the previous three modules – statements, green and gold OA – because the implementation of policies build and depend on both how relevant and reasonable the idea and ideologies of open access are perceived to be and on the practical possibilities of carrying them out. Not least, the module builds on the discussions in the seminars, which have focused on the national situation and selected research areas. As displayed through the exercise on green

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and gold open access, various research areas may react – and have reason to react – differently both with regard to ideology and to suitable practical solutions, and it is not necessarily the case that one solution fits all.

Peter Suber discusses various types of policies in his book chapter. A more practically oriented continuation of that discussion is available in his and Stuart Shieber's *Good practices for university open-access policies*, a wiki provided through Harvard University. Policies around open research data are discussed in the roadmap document from LERU (the League of European Research Universities). Included among the reference literature are several documents from the European Commission, whose stand on open access will influence all EU countries in the next few years.

Structure and tasks

Preparations: Read Suber and LERU. Use the parts of Shieber & Suber that become relevant to you as you prepare your paper. It may also be useful to review the European Commission documents extensively.

Discussion seminar (2 h, on site or webinar): Identify and carefully read three OA policies (you can locate these e.g. through Shieber & Suber 2013, Additional resources). Discuss in the seminar the following:

- which genres are covered by the policies,
- the language of the policies and which type they can be said to belong to (see Shieber & Suber 2013, Drafting a policy),
- how it relates to green and gold open access,
- if there are embargos on green open access,
- if waiver options are available,
- if dark deposit is required,
- if an OA fund is mentioned,
- how the policies would work for the research areas you have investigated in the exercise,
- anything else that strikes you as interesting or remarkable.

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Task: Work individually. Choose an open access policy (it can be one that was discussed in seminar 4) and analyse it. Evaluate it as though it was a policy from your country, even if it is not. Your work, which you report in a paper and orally in a presentation seminar, should include the following:

- a) a brief background where you outline the main points in the policy and describe which target groups it covers (e.g. university faculty, faculty and students, grant-recipients, management, etc.)
- b) a reflection on the consequences of policy implementation for three research areas,
- c) a reflection on the preparedness of the national or university infrastructure for the implementation of the policy,
- d) changes to the policy that you would suggest and motivations for these changes
- e) a reference list of any literature (used in the course or found elsewhere) that you have referenced in your paper
- f) submit the policy (or a link) as an appendix

Presentation seminar (3 h, on site or webinar): Make a 10-15 minute presentation of your findings. Make time to discuss the various solutions and analyses of the situation that the group members have made. You can support your presentation with PowerPoint slides if you prefer.

Paper: Hand in your paper for assessment. The paper should be 1500-3000 words.

Educational content

LERU Research Data Working Group (2013). LERU Roadmap for Research Data. Ch. 1 "Policy and Leadership," pp. 7-9.

http://www.leru.org/files/publications/AP14_LERU_Roadmap_for_Research_data_final.pdf

Shieber, S. & Suber, P. (2013-11-11). *Good Practices for University Open-Access Policies*. Berkman Center for Internet & Society, Harvard University.

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http://cyber.law.harvard.edu/hoap/Good_practices_for_university_open-access_policies (Selected parts, depending on what you are interested in)

Suber, P. (2012). *Open Access*. Cambridge, MA: MIT Press. Ch. 4 "Policies," pp. 77-95. Also available from: <http://mitpress.mit.edu/books/open-access>

Reference literature & useful sites:

Digital Curation Centre (2014). UK Institutional Data Policies. <http://www.dcc.ac.uk/resources/policy-and-legal/institutional-data-policies/uk-institutional-data-policies>

European Communication (2012). Communication: Towards Better Access to Scientific Information: Boosting the Benefits of Public Investments in Research. http://ec.europa.eu/research/science-society/document_library/pdf_06/era-communication-towards-better-access-to-scientific-information_en.pdf

European Communication (2012). Recommendation on Access to and Preservation of Scientific Information. pp. 3-5. http://ec.europa.eu/research/science-society/document_library/pdf_06/recommendation-access-and-preservation-scientific-information_en.pdf (Available in other EU languages from <http://eur-lex.europa.eu/Notice.do?checktexts=checkbox&checktexte=checkbox&val=682070%3Acs&pos=1&page=1&lang=fr&pgs=10&nbl=1&list=682070%3Acs%2C&hwords=null&action=GO&visu=%23texte>)

European Commission (2013). Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020. Version 1.0. http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

Research Councils UK (2013). RCUK Policy on Open Access and Supporting Guidance. <http://www.rcuk.ac.uk/documents/documents/RCUKOpenAccessPolicy.pdf>

SHERPA JULIET, Research funders' open access policies: <http://www.sherpa.ac.uk/juliet/index.php?la=en>

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Course assessment

The course contains two written assignments and five seminars.

The successful participant is expected to have concluded the following tasks in a satisfactory manner:

1. Active participation in a minimum of three seminars.
'Active' is defined as having contributed to the groups' discussion and/or made presentations.
2. Completion of the Green and Gold OA Exercise.
All the tasks of the exercise should have been carried out. If any of the tasks were impossible to carry out, a motivation should be provided.
3. Policy paper.
The paper should adhere to the following criteria:
 - i. be written in a clear, correct language, be well structured, and reference any sources using a reference system (e.g. APA)
 - ii. follow the instructions by addressing the outlined issues (a-d)
 - iii. provide correct information and well-founded arguments that show that the author is knowledgeable about the topic
 - iv. display an ability to connect national conditions for open access (c), disciplinary publishing practices (b), and the interests of various policy stakeholders (a) and to draw conclusions about how these affect policy

Open access basics

If you lack a basic knowledge of open access, its motivations, implementation and initiatives, prepare for the course by reading Suber (2012) and the Open Access Scholarly Information Sourcebook section on repositories (http://www.openoasis.org/index.php?option=com_content&view=article&id=137&Itemid=333). In case you would just like to refresh your knowledge, Suber's ideas are available in a more condensed form in Suber, P. (2013). Open Access Overview. <http://legacy.earlham.edu/~peters/fos/overview.htm>

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Instructions for trainers

An educational idea behind the design of the course is that an important way in which participants learn is with and from each other. A key element is therefore seminars where the participants interact with each other and with you around the course topics. The course also includes self-studies in the form of reading/viewing educational content and preparing assignments. The assignments are designed to let participants come in contact with and use various relevant tools and texts, such as repositories, reference resources, and policies.

Your role in the course is primarily to interact with the participants in order to support and assess their learning. This includes the following:

- moderate the seminars (or webinars): support the participants' learning (c. 11-13 hours, excl. preparation time)
- encourage the participants to introduce themselves on the learning platform (unless everyone already knows each other) (c. 30 minutes)
- answer questions and monitor discussions on the learning platform (the group can decide on voluntary discussions) (time depends on amount of questions and discussions)
- assess the course in the following ways:
 - keep track of active participation in the seminars
 - assess the exercise (c. 15 minutes/exercise)
 - assess the paper and provide brief comments to the author (c. 1 hour/paper)

Module 1

Initiate the course by presenting yourself and inviting the participants to introduce themselves briefly on the learning platform.

The trainer's main involvement in this module is to lead the discussion seminar. Familiarize yourself well with the initiatives and infrastructures relating to open access within the countries represented by the participants. Also familiarize yourself with the open access statements (Budapest, Berlin) and the EC policies and guidelines (found in the educational content for module 4).

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Seminar 1

Begin by letting the group decide how they will document their discussion. Make sure that everyone gets a chance to be active in the discussion. Contribute your own knowledge to a reasonable extent and help the group summarize and draw conclusions based on their discussion. If the group has participants from more than one country, find a suitable solution that will allow the situation in both countries to be covered, either by dividing the group into two or more sub-seminars, or by making time for discussing all countries involved. Let the group participants from different countries compare their findings and analyse the reasons for possible differences in developments in the countries. Note active participation for assessment purposes.

Module 2

At the beginning of module 2, let the group discuss in a learning platform discussion thread which research areas they will choose to focus on and strive to get them to select a broad mix of areas.

Decide beforehand on how long the presentations can be, depending on the time available and the number of participants, and inform the participants. If the group is too large, perhaps dividing them into two seminars could be an option.

Seminar 2

Begin by letting the participants present their findings, and help them to keep the time agreed on. Allow time for any clarifications necessary in relation to each presentation. For the last 30-60 minutes, moderate a discussion on similarities and differences in the participants' findings (i.e. between publishing practices in various research areas) and the discussion items provided. Help the participants make links to the educational content and the groups' previous discussions where relevant. Note active participation for assessment purposes.

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Optional discussion thread

If you and (most importantly) the group have an interest in it, discuss the standpoints and priorities advocated by Kennison & Shreeves and Harnad respectively in a discussion thread. This could serve to further engage the group in joint discussion in a way where the individual can decide how much time they would like to invest. Of course, discussion threads can be used for voluntary discussions of other topics as well, as the group sees fit.

Module 3

Decide beforehand on how long the presentations can be, depending on the time available and the number of participants, and inform the participants. If the group is too large, perhaps dividing them into two seminars could be an option.

Seminar 3

See instructions for seminar 2.

Module 4

This module contains two seminars. The first one is intended to provide a chance to discuss and collaboratively think about some of the key content in open access policies before participants begin writing their papers. Scheduling should therefore allow participants some time to read the module's literature before seminar 4, and then provide time to work on the paper before seminar 5. If you prefer, you can allow the participants to work in pairs for the assignment for seminar 5 and the paper.

Seminar 4

Begin by letting the group decide if, and if so how, they will document their discussion (e.g. by noting the variations and frequency of various solutions). Make sure that everyone gets a chance to be active in the discussion. Contribute your own knowledge to a reasonable extent and help the group summarize and draw

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conclusions based on their discussion. Note active participation for assessment purposes.

Seminar 5

For the final presentation seminar, the participants can share drafts of their papers with each other before the seminar and be assigned to comment on one or two of their peers, if time allows for it. If the course is offered intensively on consecutive days, this may not be a viable option. Decide on a suitable maximum length of the presentations, depending on the number of participants and the time available.

The seminar will primarily be a presentation of the participants' work in progress, although their work should be as close to finished as possible. Allow for comments in relation to each presentation, but make sure to keep the time so that everyone can get comments. The comments – by the participants and you – should be oriented towards helping the author improve on their work. Note active participation for assessment purposes.

Allow participants some time to revise their papers so that they can take comments into account before they hand in the paper.

Assessment

The assessment of the course as a whole should be based on the learning outcomes and the assessment criteria.

Seminars: Keep track of participation and activity in the seminars

Exercise: Check that the exercise sheet (or corresponding documentation) has been filled out and that the answers seem plausible. You do not need to check every detail. Feedback will be provided in the seminars, by you and peers.

Paper: Assess the paper based on the assessment criteria. Language and every piece of information or every argument do not need to be entirely without flaw in order for the paper to be acceptable, but the paper as a whole should show that the author has grasped the main content, and it should not contain too obvious

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misunderstandings or outrageous proposals. If this is the case, so that the paper does not reach the level of a Pass, the author should be allowed to revise the paper. Try to provide at least some comments to each author, pointing out interesting approaches or solutions as well as any problematic suggestions.

Each part of the assessment is graded with a Pass or a Fail, and the participant needs to reach a Pass on each part in order to receive a Pass on the course as a whole.

How to update the material

The course is based partly on content that should be relevant for the foreseeable future, and partly on content that is likely to become less important with developments over time. The trainer should keep track of major initiatives that are launched, not least on a European Union level, but also in influential countries such as the UK, the US, Germany, and the Netherlands. Another thing to keep track of is changes in publisher reactions to open access.

Some web sites that may be useful in keeping up-to-date and updating the course content are:

Björk et al., Research on Open Access Publishing,
<http://www.openaccesspublishing.org/>

European Commission Policy Initiatives, <http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1301>

Open Access Now, <http://oanow.org/>

SPARC Open Access Newsletter,
<http://legacy.earlham.edu/~peters/fos/newsletter/archive.htm>

SPARC Europe, <http://sparceurope.org/>

And some useful journals: *JASIS&T*, *Learned Publishing*, *ScieCom Info*
(<http://journals.lub.lu.se/index.php/sciecominfo>),

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Preparations for trainers

If you do not have extensive experience in the area, read Suber (2012) and Willinsky (2006), along with the specified educational content above. Familiarize yourself with the European Commission policies and with the *Good practices for university open-access policies*. Also familiarize yourself with the open access infrastructure, initiatives, and history of the country/countries in which the course participants are active as professionals.

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Instructions for course designers

I would suggest that the introduction, the text about each module, and a few other texts are made into separate pages on the learning platform. This would result in the following pages:

- Introduction to the course [which includes Learning Outcomes]
- Module overview
- Module 1: The OA movement, ideas and statements
- Module2: Green OA
- Module 3: Gold OA
- Module 4: Policies and strategies
- Open access basics
- Course literature and resources [all references could, in addition to being included in each module, be gathered on this separate page]
- Course assessment
- Course evaluation [assuming there is a standard for evaluating the courses – an evaluation has not been provided in this package]

Furthermore, the following could be included as documents in a document folder:

- Lecture: Green OA and the role of institutional repositories [save as .pdf]
- Exercise: Green and gold OA [For modules 2 and 3, should be provided in a file format that can be edited by the participants, so that they can use the table to fill out their answers to the questions, if they prefer. For instance .doc, .docx or .rtf]

Also, the following should be included:

- A discussion forum for participants and trainer, including three discussion threads [if possible, the trainer should also be able to add new threads]:
 - General course issues
 - Selection of research area (Exercise)
 - Point & Counterpoint: On the Purpose of Institutional Repositories [optional]
- A possibility for participants to share documents with each other
- A place for participants to upload their papers and exercises to the trainer

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If the course is offered with webinars, participants need access to a video conferencing system with the possibility of displaying documents (e.g. PowerPoint presentations).

It would be advantageous if the URL:s are made into links to the external sites, and opened in a new tab or window. NB! Even though all the external educational content is available online free of charge in some version, most of it is covered by copyright restrictions. Where available, I have included links to translations into other presumably relevant languages (primarily Russian). If this is not deemed relevant, do not include these links on the learning platform.

All participants can have access to all the content from the beginning.

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