Institutional Open Access self-archiving mandate and incentives at Universidade do Minho

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Summary

- Introduction - University of Minho
- RepositóriUM – University of Minho Institutional Repository
- University of Minho Self-Archiving Policy and Incentives
- Results and Conclusions
University of Minho

- Created in 1974
- Two main campus in two different towns (Braga and Guimarães)

- +13 500 undergraduate students
- +1 500 graduate students
- 1 116 FTE academic staff
11 Schools/Institutes

30 Research Centers
Origins of RepositóriUM

- Building an I.R. was defined as a strategic objective in 2003
- The I.R. was included in the University proposal to the national Program E-U Campus Virtual, was approved and integrated E-UM (the University of Minho project).
- 6 departments were invited to be pilot communities, and 4 accepted.
- RepositóriUM was publicly released in November, 20, 2003.
Evolution of RepositóriUM in 2004

- First semester of 2004
  - Invitation to all U.M. departments/research centers
  - Meetings/Presentations of RepositóriUM in 10 departments/research centers
  - 2 new communities in the I.R.
  - 3 pilot communities stopped self-archiving
Evolution of RepositóriUM in 2004

- Conclusion
  - The number of documents
  - The number of self-archiving authors
  - The number of communities

- Was evolving slower than expectable.
- Main problem – Author self-archiving/deposit of their documents:
  - Unawareness of OA advantage, inertia/laziness and/or work overload of the authors;
  - Worries and doubts related with copyright;
  - Old habits die hard, but new ones don’t easily grow...
Our strategy

- Communication, promotion and marketing of RepositóriUM, Open Access and author self-archiving inside and outside of the University.
- Active participation and engagement in the international community related with Open Access, Institutional Repositories and DSpace
- Definition of an institutional policy of the Minho University.
Communication and promotion

- 26 presentations at U.M. departments, interviews and stories in University publications, flyers, U.M. Websites, etc.
- Around 20 papers, presentations, speeches at national and international (Spain and Brazil) conferences, seminars, workshops.
- Organization of 1st Portuguese Open Access Conference/Seminar, in May 2005
Active participation in the OA and DSpace communities

- Participation in Google-DSpace Project
- Participation in meetings, workshops, etc.
  - Implementing the benefits of OAI (OAI3), CERN, Geneva, 2004
  - DSpace User Group Meeting, MIT, Boston, 2004
  - Berlin 3: Open Access, Southampton, 2005
  - JISC International Colloquium, London, 2005
  - DSpace User Group Meeting, Cambridge, 2005
  - DSpace User Group Meeting, Bergen, 2006
- Development of DSpace Add-ons
  - Suggest (in 1.4 code)
  - Ontologies (in 1.4 code)
  - Request a copy Add-on
  - Statistics Add-on
Why?

It's in the best interest of the University of Minho, and its objective, to maximize the visibility, usage and impact of the scientific output of its researchers and departments/research centers. This will facilitate the management, integration and access to the information about the scientific output of academic staff and units (departments and research centers) of Minho University, for informative, evaluative or administrative purposes, and thus constituting an additional component of the University Information System.

The self-archiving mandate of Minho University
The self-archiving mandate of Minho University

- This policy was established by a Rectoral Document, in the first anniversary of RepositóriUM.

- Following the signature of the Berlin Declaration in November 2004.

- Implemented from January 1st 2005.
Principles of Uminho self-archiving policy

- University of Minho staff must archive their publications and documents in RepositóriUM – University of Minho Institutional Repository, and make them available in Open Access whenever possible (exceptions being publications with copyright, or other, limitations);

- The organisational units (research centers, 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 in the RepositóriUM.
Self-archiving incentive

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

- In 2006, there will also be a financial supplement, but it’s value will be significantly smaller (around 1/3)
Self-archiving incentive in 2005

- The reward was distributed through the research centers/departments, and not directly to the individual researchers.

- The total amount that each research center/department received was calculated as a function of:
  - **Type of documents self-archived** (peer-reviewed journal articles = 1; peer-reviewed/accepted conference papers = 0,5; other documents = 0,1);
  - **Date of publication** (2004 and 2005 = 1; previous to 2004 = 0,3);
  - **Research Center/Department self-archiving policy** (Departments that adopted a self-archiving policy based in the model of university policy = 1; Departments without that policy = 0,3).
The results...

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<tbody>
<tr>
<td>N.º of communities</td>
<td>7</td>
<td>33</td>
<td>35*</td>
</tr>
<tr>
<td>N.º of documents</td>
<td>626</td>
<td>3105</td>
<td>4323</td>
</tr>
<tr>
<td>N.º of registered users</td>
<td>717</td>
<td>2410</td>
<td>3030</td>
</tr>
</tbody>
</table>

* 2 communities in installation process
Document types in RepositóriUM

- Journal Articles: 38%
- Conference Papers: 14%
- Masters Dissertations: 7%
- PHD Thesis: 4%
- Other types of documents: 37%
Access to RepositóriUM documents

- 93% Open Access
- 6% Embargoed Access
- 1% Restricted Access
Number of visitors/visits

![Chart showing the number of visitors and visits over time from November 2003 to June 2006. The chart indicates a significant increase in visits in June 2006.]
Downloads from RepositórioUM

Downloads from 01-01-2006
Conclusions

- It’s very important and useful to have a communication and marketing strategy to overcome the initial unawareness, paralysis or doubts from academic authors.

- It’s also very useful to create and offer value added services (like usage statistics, publication reports, etc.) to self-archiving authors.

- But, the critical factor is the establishment of an institutional policy that strongly requires or mandates self-archiving of the research output of the institution members.
Thank You!

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