Open Access policy @ UMinho: incentive and mandate

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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**
University of Minho

1974 (39 years)

2 Campi

- Campus de Gualtar (380.000 m²)
  Braga

- Campus de Azurém (270.000 m²)
  Guimarães
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
[2003-2013]
RepositóriUM (2003)

Bem-vindos ao repositório institucional da Universidade do Minho!

Para ter mais informações sobre este novo serviço (por exemplo, como depositar conteúdos no caso de ser membro da U.M., qual a relação do RepositóriUM com Declaração de Berlim sobre o Acesso Livre ao Conhecimento nas Ciências e Humanidades, etc.), clique aqui.

O que pode encontrar no RepositóriUM?

Investigação da UM em formato digital, incluindo teses e dissertações, artigos, relatórios técnicos, etc. O RepositóriUM está a dar os primeiros passos e a crescer constantemente. Visite-nos com frequência.

E: Mestre ou Doutor

Following the signature of the Berlin Declaration in November 2004, implemented from January 1st 2005...

- 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 UMinho **must authorise the deposit of their thesis or dissertation** into the RepositóriUM.
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 2005

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

- The total amount that each research centre/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).
Self-archiving incentive 2006 onwards...

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

- The incentive **disappeared after 2006**
Results

Submissions/year

- Year 2003: 200
- Year 2004: 250
- Year 2005: 3000
- Year 2006: 2250

University of Minho Documentation Services | 2013
But...

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

Submissions/year

- Year: 2003, Submissions: 200
- Year: 2004, Submissions: 250
- Year: 2005, Submissions: 3000
- Year: 2007, Submissions: 1500
- Year: 2008, Submissions: 1000
- Year: 2009, Submissions: 500
- Year: 2010, Submissions: 0
Upgrade of UMinho OA policy (2010)
University of Minho

An Open Access pioneer
[2003-2013]

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 archived 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 RepositórioUM 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

- 2010
- 2011
Monitoring policy compliance

2012 monitoring

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

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

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<th>2004</th>
<th>2005</th>
<th>2006</th>
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<td>46%</td>
<td>52%</td>
<td>50%</td>
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<td>42%</td>
<td>42%</td>
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## Results

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RepositóriUM document types

- Conference items: 35%
- Article: 35%
- Master thesis: 14%
- Doctoral thesis: 11%
- Other: 5%
Access type

- Open access: 79%
- Restricted access: 17%
- Embargoed access: 4%
Results

Downloads / year

0 200 000 400 000 600 000 800 000 1 000 000 1 200 000 1 400 000 1 600 000 1 800 000 2 000 000
Downloads origins

- Portugal: 44%
- Brazil: 20%
- European Union: 19%
- United States: 7%
- India: 5%
- China: 3%
- Other: 2%
- Unknown: 3%
Last year traffic origins

- Search engines: 71%
- Referral websites: 20%
- Direct traffic: 7%
- Other: 2%
Last year regional coverage by country/territory

![Map showing regional coverage](image)

### Table: Regional Coverage

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<th>Comportamento</th>
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<td></td>
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<td></td>
<td>874 518</td>
<td>68,61% (110 000)</td>
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Legend: [Google Analytics](https://analytics.google.com)
Last year regional coverage

Eesti

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<tr>
<th>Cidade</th>
<th>Visitas</th>
<th>% de Novas Visitas</th>
<th>Novas Visitas</th>
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Added value...
### Ranking Web of World Repositories (Julho 2012)

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**Fonte:** Ranking Web of World Repositories (Julho 2013) [http://repositories.webometrics.info/en/world]
# Ranking Web of Universities

**(Julho 2012) - Portugal**

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<thead>
<tr>
<th>Ranking</th>
<th>World Rank</th>
<th>University</th>
<th>Presence Rank</th>
<th>Impact Rank</th>
<th>Openness Rank</th>
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*Fonte:* Ranking Web of World Universities (Julho 2013) [http://www.webometrics.info/en/Europe/Portugal?sort=asc&order=Presence%20Rank*]
Other Rankings...
Concluding Remarks

- High impact of the upgraded policy on UMinho staff:
  - Number of documents and number of researchers 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.
Aitäh!

http://repositorium.sdum.uminho.pt