OPENING ACCESS TO RESEARCH AND DATA: EMPOWERING RESEARCH COMMUNITIES

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The shift to Open Access (OA) for research began almost 25 years ago with various public statements on the importance of making research freely available. These included the Budapest Open Access Initiative, the Bethesda Statement on Open Access Publishing, and the Berlin Declaration on Open Access. With idealistic motives, great enthusiasm and, in some cases, pressure from a wide range of stakeholders including private and public research funders, OA was justified on the basis that the full social and economic benefits of research should be available to everyone who could use and build on the research to improve society and people's lives. More recently, OA principles and policies have extended to not only to the research being done, but also to the data underlying the research. The opening of access to research and data has posed its own challenges. But as most of the international policies and statements highlight, it is the laws of privacy and intellectual property that can potentially hinder or obstruct OA. For many nations, however, it is the more practical issues involved in operationalising OA policies that pose the real challenge. While the costs of establishing research repositories and journal subscription are significant, there are now some programs such as Research4Life that facilitate OA.   In examining some of the challenges of OA, this paper focuses on how a clear, consistent and equitable approach to the releasing of research and data is fundamental to OA. In particular, the paper will highlight that a key element of OA is the education of, and support for, the research community. In order to mark this argument, the paper draws from a range of sectors that, having already adopted OA policies, are now focusing on operationalising OA in a way that enables researchers and their institutions to embrace OA at the grass roots level. transcribed plenary speech of Associate Professor Leanne Wiseman   Today I'd like to speak to you about open access movement that has been gathering momentum probably for 25 years now, and in the past decade has become more accepted by governments and public organisations. And I'd like to look at opening access to knowledge through the perspective of the research institutions and research communities who are often a slightly lost voice in the open access movement. So opening access to knowledge has been justified on the basis that the full social and economic benefits of research should be available to everyone, particularly public funded research as everyone should be able to use research to improve their society and their lives and most people would accept this as a good thing. So we see across the world internationally the primary features of free and unrestricted underlying value of research in a wide range of international policies, frameworks, guidelines. Many of these guidelines and policies we are seeing in govt and international organisations always tend to highlight the fact that law is one of the main barriers that hinder or obstruct the open access to research and data and in particular those laws; intellectual property is the most common reason people get for barriers to opening access and in particular the regimes of copyright law, copyright licenses over

databases pose particular problems for researches so in certain instances patent law where info is locked up within patents. The other areas of law are privacy and confidentiality laws and in some case the issues of national security. All of these reasons have been cited by institutions and by funders and researchers as reasons why they cannot release knowledge into the public domain and make it freely available to others to use. But for many publicly funded organisations it's important to understand what intellectual property is and that is really the 1st step they need to take. For research institutions, the focus has been on the institutional structures and policies and strategies they can implement to support their researches. The need for intellectual property policies that are up to date, and also, we are seeing an increase in the no. Of open access policies that accompany copyright policies in research institutions. To have a good understanding of the intellectual property that the researches are developing and what attitude the institution will have to opening that research and knowledge to others is fundamental. The development of intellectual property offices within research institutions and having dedicated staff to assist with the education and capacity-building among the research community about the intellectual property and the value that can bring to the world community. One of the most significant costs of accessing freely available info of many countries and institutions is the actual cost associated with the databases where polishers have locked-up the information. The fees tend to be adsorbent and this is one of the barriers encountered by research institutions but there are increasing programs such as Research4Life that are helping developing nations gain access to publications that are locked-up by commercial publishers. So, for research institutions many have had to undergo a change to refocus on the needs of their researchers and how best to foster their research initially and to develop that intellectual property into publications that they can then put out into the public domain. So, what are the practical tools for researchers that could be developed to assist them maintain and honour these access mandates that institutions have been imposed upon them universally. The fact is that the researches would be better available to compile their open access if attention was refocused on the actual role the researchers play in making that research open and the underlying data openly available. What I'd like to do is basically look at the future trend of open access and its focus has very much been on compliance. Most govts and institutions have acknowledged that open access is a public tool but how to ensure that is actually happening at the grass-root level. When looking at compliance I just like to use the agricultural context and look at 2 very large research-funders that work in public space in agricultural research, particularly in developing nations and what they have done for their researches to help them comply with open access mandates that they have posed. Firstly the Bill Gates foundation. This is just a sample of some of the press that has built up on the Bill and Linda Gates foundation when they announced in2014 their open access policy. Basically if you accept their funding then all publications must be made open access under their terms. The aims of the Gates policy basically have 5 elements and these that all publications result from Gates funding must be discoverable, accessible, they must be published on open access terms, they must be open immediately and there is no embargo as with other mandates, and the underlying data to the research

must also be accessible and immediately as well. What is very interesting and perhaps reflective of the position of the Gates foundation is that the foundation has taken it upon itself to pay all Intellectual Property (IP) processing fees associated with publishing open access journals. So, the Gates policy is not negotiable, if you take their funding you must release your data immediately with no exceptions, and whether you receive part or full funding, you must comply by the mandate. Their aim is to achieve 100% compliancy as soon as possible. To assist their researches, they have developed a web-based platform that is directly available to their researchers to help them negotiate the application process. In July 16th Pronos was developed by the Gates foundation and this directly assists with putting their research into open access fields. Gates have been very influential in speaking to other public funders and they have developed the open funders group which is essentially a partnership of funding organisations committed to open sharing of research. Their aim is to accelerate the pace of discovery and reducing the info sharing gaps particularly encouraging and promoting innovation interests. So, they are working together to establish similar open access policies in other large funding organisations. Another large public group funder in the agricultural sphere in developing nations is the consortium of international research (CTIAR). They made a strong movement towards opening access to their research and they have 15 research centres located in different countries around the world. When they adopted their principles on management of intellectual assets in 2013, and it was there that they signalled free access to all their activities. In conjunction with the intellectual principles they introduced their data management policy. What's interesting about the CTIAR is they don't see intellectual property as a barrier to release of info, because their focus is not on the method of disclosure, rather on the consequences of the disclosure. So in some instances intellectual property is actually one means by which info and knowledge can be delivered and there have been many examples with info that is patented, where patent has actually helped the distribution of knowledge and not a barrier. The challenges for the CTIAR are that they have 15 research centres in developing nations around the world. Threes a distributed governance arrangement so each area has a different web-based platform and none of them speak to each other, so this is a huge challenge for CTIAR to consider opening access to research.importantly researches who were interviewed and these issues discussed, it was the fact that there was no incentive to make their publications openly available, there's no reward in their promotion structure, nor were they given recognition for publishing. They also recognised the valid legal issues of confidentiality and also IP rights. What's interesting to observe is that there's genuine effort in the last year to help researchers have open access and this is just some of the help the CTIAR have been given their researchers. They have developed support packs, also guides about which journals to publish in as well as fact sheets and accompanying material to help raise awareness within their research community. They have gone through a similar approach to providing aid at the grass-roots level researchers to ensure that they are helped as much as possible to raise open access so that they will get the benefit along with their peers. We're seeing institutions focussed on developing practical tools to help their researchers. Education is happening in undergraduate programmes about

what intellectual property is and its value to researcher's focus has been placed on the awareness rising of the principles of open access, and support for early-career researchers. These are just some strategies institutions are employing to ensure that researchers are now becoming the focus of the open access movement.