

## Good practice case from the RRI-Practice Project

### Establishing Open Access Publication and Open Science at Oslo Metropolitan University

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Abstract	<p>This case describes the development of open-access publication and open science practices at the Oslo Metropolitan University, Norway.</p> <p>The description details the case discussed in the RRI-Practice Handbook, entitled: ‘Handbook for organisations aimed at strengthening responsible research and innovation Deliverable 17.6.’</p> <p>The good practice described is predominantly relevant to the Open Access &amp; Open Science key, as well as to the Openness &amp; Transparency process dimension.</p>
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## 1. Establishing Open Access Publication and Open Science at Oslo Metropolitan University

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### 1.1. Brief description of the most salient elements in the practice

The practice of publishing open access at Oslo Metropolitan University (OsloMet) consists of a bundle of sub-practices and elements, of which the most important are:

1. A repository that is integrated into the standard workflow procedures of researchers' practices connected to publishing (in any outlet).
2. Financial incentives for the departments, encouraging researchers to publish open access, by placing their work in a repository.
3. Distributed organisation, where research administration staff, helping researchers with grant applications, also take the role of open access advisors, advocates and go-to knowledge persons, trusted by the researchers.
4. A sizeable fund, covering processing charges in the vent other funding is unavailable to researchers.
5. Clear, and over 10 years' continuously evolving, policy goals, supporting open access from top management and the university board.
6. Purposeful creation of public image in support of open access.
7. Integration of the operation of the system into maintenance routines of the relevant departments, such as IT and library services.
8. A website and other material, supporting researchers in navigating open access publishing, such as identifying relevant journals.

### 1.2. Benefits from the practice

Efforts to establish open access publishing as an organisation-wide practice at OsloMet began as early as in 2005. The efforts were a response to raising costs in maintaining subscriptions to science journals encountered at the university library, as well as inspiration from the global community arguing for open access and open science.

In 2004, just a small percentage of the scientific journal articles, penned by researchers at OsloMet were published open access immediately (gold standard), and there was no repository at the university in which articles could be deposited for green open access.

In 2012, more than 90 percent of the scientific journal articles, authored by researchers at OsloMet, were deposited in the repository, and 50 percent have subsequently been made available in the Open Digital Archive (ODA) of the university.

In 2015, 82 percent of the scientific journal articles, written by researchers at OsloMet, were deposited in the repository, and 75 percent of these are available in the OsloMet open access archive. 24 percent of all articles published in 2015 were published directly in open access journals (gold standard).

The years 2016-2018 show similar results, with very little fluctuations in patterns of depositing, but with some fluctuation in what it has been possible to make available in the OsloMet repository

subsequently. This share depends on the publication patterns of the year, specific regulations of individual journals, the extent to which researchers up-load pre-print versions, which again depends on their (international) collaboration patterns in published articles that year. Another source of fluctuation has been the inclusion of new research institutes in the OsloMet merger, which had other patterns of publication. However, since 2015 the share of articles not placed in a repository has been stable around 15-16 percent, and the share of direct gold open access publications (deposited and non-deposited) has gone up steadily to its current level of 31 percent in 2018. Among Norwegian universities and university colleges, OsloMet is at the forefront of open access publishing.

In addition, OsloMet currently (as of May 2019) has ten open access journals on their open access platform. According to a Norwegian MA thesis, surveying OsloMet researchers' stance towards Open Access publishing (Holberg 2013):<sup>1</sup>

- 81 percent were aware of the institutional repository, ODA.
- 52 percent were aware of the university's open access policy.
- 61 percent were aware of the support scheme for publishing expenses.
- 75 percent were aware of open access journals within their own field.
- 33 percent mentioned OsloMet's own open access journals.
- 65 percent believed that to self-archive is "very important" or "important."

As an outcome of the open access drive, OsloMet has – in a stepwise manner - established:

- Clear routines and incentive structures for open access publishing.
- Supporting policies, developed over time, taking the project further.
- A university wide open access archive (ODA).
- Cooperation with the national database CRISTin on open access procedures, and automatic linkages between CRISTin and the OsloMet open access archive (ODA).
- A substantial fund (app. 120 000 EUR in 2017), supporting Open Access publication.
- The rule that green open access is mandatory by up-loading articles in the CRISTin database (with dedicated staff checking copyright rules on behalf of the researcher, and transfer to the university depository).
- The policy that gold open access is encouraged, and actively supported through appropriate funds.

### 1.3. Desirability, transferability, and scalability of the practice

The practices related to publication and dissemination at OsloMet are an example of how one may successfully sway an organisation towards open access publication, which has clear potential to become integrated into the culture of the university. In addition, the practice has a high follow through (extensiveness) in the publication routines of employed researchers. OsloMet is the third largest university in Norway, and their efforts towards open access publication has been noticed and presented as a good example by national policy makers as well as by stakeholders abroad. For

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<sup>1</sup> Holberg, L. F. (2013): Forskere og Open Access-publiserings : en holdningsundersøkelse ved HiOA, MA-Thesis, Oslo Metropolitan University, available (in Norwegian) at: <https://core.ac.uk/display/35074178>

instance, OsloMet was praised for its efforts in a whitepaper by the Norwegian Ministry of Education in 2012-2013.<sup>2</sup> In addition, OsloMet is a pilot organisation in the ‘Norwegian Open Research Data Infrastructure’ project (NORDI) at the Norwegian Center for Research Data (NSD). NSD is a Limited Company owned by the Ministry of Education and Research in Norway.

We believe a top management team and a change agent at other universities may successfully work in unison to transfer and adapt this bundle of practices to other universities. The perception of open access publishing at OsloMet, before the project started, was largely against open access publication. However, the combination of top management support, an active and well-connected change agent, distributed organisation and clear incentives, and a workflow that fits directly into the existing work routines connected to publishing for researchers, appear a strong package. The early communal project organisation, the process and learning orientation, as well as sustained institutional work over more than a decade underscores the strength of this bundle of practices, as well as highlighting the patience needed, when you start from scratch with such a project.

OsloMet is the result of several rounds of mergers of numerous university colleges and four research institutes. Acquiring university status in 2018, it is now the third largest university in Norway. However, by international measures it is a small to mid-size university. It has around 20.000 students in three campuses, four institutes and approximately 1,400 academic employees of which about 150 are professors. In addition, the university has 800 employees in administrative support functions. The distributed organisation of the open access initiative should support scale up (and scale down) to other universities, regardless of size, provided there is support from top management, and proper project organisation.

#### 1.4. How the practice evolved/ was introduced in the organisation(s)

The OsloMet efforts to establish open access publishing began in 2005, and was then headed by the library director Hans Martin Fargerli. However, the first initiatives stranded in disagreements about where the institutional archive should be placed institutionally, how costs should be covered and by whom. This challenge was later resolved by putting the university library in charge of infrastructure, the core of the daily operations and not least development of the architecture, as well as prioritizing sufficient funding.

There were significant barriers to overcome, some tied to practical matters and lack of available information, others tied to academic culture, and to how research staff see their role at a university. Once the OsloMet repository (ODA) had been established, significant work was needed to find out what restrictions individual journals had towards open access. Although the SHERPA/ RoMEO webpage provides guidance,<sup>3</sup> the information is not necessarily timely, and each individual journal was contacted for information on up-to-date regulations. This work was done by university librarians. Many researchers were anxious on making mistakes that would violate their contracts with publishers, and were reluctant to entrust librarians with the task of pushing for open access as

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<https://www.regjeringen.no/contentassets/9f8d4da472c04edf8cabee3fed441b3d/no/pdfs/stm201220130018000dddpdfs.pdf>

<sup>3</sup> <http://www.sherpa.ac.uk/romeo/search.php>

far as permitted by contracts. In addition, convictions on what builds an attractive curriculum largely governs researchers' publication goals, including the choice of journals, which may not be favorable to open access publication. Therefore, much emphasis was placed on information and affirmation, as well as on mobilizing locally situated research administrators for the open access cause, as these have a standing with researchers that librarians do not enjoy.

By the end of 2007, a committee was appointed with representatives spanning all four faculties, and the entire organisation was consulted on the conclusions of the report produced by the committee through a hearing process. In addition, the change agent, Tanja Strøm, and her assistant toured the organisation with information on open access. The 29 pages report,<sup>4</sup> written by seven employees of which several were research staff, formed the basis for the first board resolution on Open Access in 2008.

In 2009, the first policy and mandate on Open Access followed, demanding that all articles written by employees must be made available in the institutional depository, 'Open Digital Archive' or ODA. Additionally, decisions were taken on the provision of an incentive scheme to further open access. Following the incentive scheme, the research community of the individual researcher is allocated funds based on publication performance, but half of the funding is retained, in the event that the researcher has not self-archived.

In the summer of 2010, the OsloMet repository (ODA) opened. From the very beginning, the OsloMet repository was tied to the national archive for research output CRISTin. Tanja Strøm has been part of the working group advising on the design of CRISTin, and was able to influence the design. An agreement was made with CRISTin management that OsloMet researchers would upload their final print version of articles to a closed database, using the CRISTin interface. Librarians checking copyright agreements then transfer the up-loaded article to the OsloMet repository and make the article available at ODA, as far as permitted by the publisher.

In 2011, the board adopted a new open access mandate and policy, building on the previous arrangement, but emphasizing that OsloMet wishes that all publications in principle should be open access. In addition, provisions were made to provide an infrastructure for publishing open access scientific journals and series in-house.

In 2013, the university established a fund to cover processing charges (APC) related to open access publishing. The scope of the fund is to provide OsloMet researchers who do not have other sources of funding (such as from projects), to cover fees for open access publishing, thereby supporting gold open access.

In 2016, the budget and scope for the fund was expanded to cover open access journals, open access books, as well as open research datasets in repositories. The university is currently developing an extended mandate and policy in order to follow the strict open access requirements that some funding organisations are pursuing, including the EU.

A change agent, involved with the international open access movement, whom at the time worked at the university library, drove the open access initiative. Tanja Strøm has later moved to a senior

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<sup>4</sup> Pharo, Nils; Burgess, Mark; Edvardsen, Tor-Einar; Fallet, Birte; Johannessen, Asbjørn; Ribu, Lis; Strøm, Tanja (2008). *Institusjonelt arkiv ved Høgskolen i Oslo?*, Høgskolen i Oslo 2008, 29 pages.

advisor position at the science administration section. She was able to gradually persuade a leading and internationally well-published professor in information technology, Frode Eika Sandnes, of the open access cause. Frode served as pro-rector for research and internationalization in 2011 – 2015, thereby gaining influence on the university's policy in the area.

With the new rector of what became OsloMet, Curt Rice, in office from 1<sup>st</sup> August 2015, the open access initiative was widely embraced by the top leadership. Curt Rice is an ardent advocate of open access. He has also published open access through various channels, working as a professor in the Department of Languages and Linguistics at the University of Tromsø, Norway.

Tanja Strøm worked from her position as head of digital services at the university library to raise awareness and gain resources for the cause. She and a technical assistant took part in internal meetings, asserted influence via emails, made web-pages, held lectures, and attended conferences and seminars nationally and internationally. By broadcasting the OsloMet initiative to the external environment of the organisation and getting the attention of policymakers, the team was able to build up public expectations on open access publishing at OsloMet. By getting positive press and honorable mentioning in official governmental whitepapers, the team managed to sway more and more researchers for open access.

Additionally, they worked to persuade researchers and research administration staff internally. Queries were met with information on the effects of open access coming from the research community and from global interest groups supporting open access. Likewise, Tanja was well aware that the different faculties and departments have varying cultures at a university, and therefore also different concerns and attitudes to issues with, and arguments for, open access. Therefore, the discussion of open access, presentations, arguments etc. were tailored to match the need of the particular research culture of various departments, while retaining a core. For instance, the department of engineering was interested in the technical side of open access, whereas for instance the department of teacher training was concerned about giving traditionally underprivileged groups (such as researchers in the third world) access to current research findings. In some cases, the team also reasoned that it would be helpful to get the unions on board with the project. Through these efforts, the group gradually managed to win over adherents for open access and to build alliances. According to Tanja Strøm, it is important that the initiative was advocated both bottom-up and top-down simultaneously.

#### 1.5. How the practice was sustained in the organisation(s)

The first real breakthrough came three years into the process, and the scope has been continuously expanded since. Apart from the institutional work done by Tanja Strøm and other librarians supporting open access, the symbolic power of a top scholar at the university favouring open access, and the longstanding commitment of the top management and university board, other elements stand out as sustaining the practice in the organisation. These are:

- a) Distributed organisation, where research administrative staff situated in the departments are go-to knowledge persons on open access. The research administrative staff are also in charge of checking that articles have been placed in the repository. It was important to win over research administrative staff for the cause, as they are trusted by researchers and have a

standing that librarians do not have at universities. Research administrative staff also provide researchers with support and guidance in funding applications, and they are therefore key to ambitious researchers' success.

- b) Research administration staff also took care of the training of researchers related to open access publishing, and the use of the repository.
- c) Clear incentive systems, where the institutes of the researchers benefit in financial terms from articles being deposited in the repository.
- d) A sizeable fund, providing researchers with the means to pay for processing charges connected to open access publishing, in the event no other funding is available.
- e) Ensuring that the needed infrastructure – a repository – was available from day one of the accompanying policy and mandate from the university board, and tied to the national platform for the registration of research output (mandatory for all Norwegian researchers).
- f) Placement of articles in the repository is tied to the standard work routines, connected to publishing (using the national platform), and is a routine that also provides visibility for the research output of the individual researcher.
- g) Last but not least, advocates and adherents were continuously nurtured to ensure ongoing commitment and support. In general, a tone of dialogue was used as a way to engage in a collaborative learning process on open access.

#### 1.6. Organisational structures supporting the good practice

Any researcher publishing in Norway is obligated to report their work in the national CRISStin database (see link below). However, they are not obligated to up-load a final full copy of their work in the database. By ensuring that OsloMet researchers up-load their work in the same database, and through an agreement on cooperation with CRISStin, OsloMet has ensured that green open access is a natural part of the workflow for researchers in their publication routines, and that up-loaded work is transferred to the OsloMet depository (ODA). Reporting in CRISStin is an integrated part of the governmental regulation and funding of universities in Norway, as a part of the university budget is based on the previous year's publications in acknowledged peer-reviewed journals, as well as other research dissemination. Funds are distributed through obtained dissemination results, measured by the 'Norwegian Publication Indicator,' and amounts to about two percent of the total governmental funds for the university and university college sector.

While the responsibility of reporting in CRISStin is with the individual researcher, research administration staff situated in the institutes are go-to knowledge persons on CRISStin reporting, and responsible for checking up on reporting in connection with the annual reporting, drawn from the database. There is one special advisor on open access publishing at the central administration of the university and about 20 advisors distributed at the department level; these are all super users of the national CRISStin database.

In addition, OsloMet has a central library service, which provides advice on publication strategies for researchers, as does the locally situated research administration staff. Likewise, as discussed above, the university has designed a repository for open access publishing, which is maintained as part of daily working routines by appropriate parts of the organisation (such as the IT department and library services).

Finally, OsloMet has set up a webpage with information and guidance on open access publishing, available in Norwegian and English.<sup>5</sup> The services includes support in writing brief resumes for a non-scientific audience for on-line use, etc.

### 1.7. Organisational culture supporting the good practice

By the start of the project in 2005, the organisational culture was largely against open access publishing, and the political interest from leadership low. In fact, many researchers were quite upset that they were asked to deposit their work in a repository. However, when one of the universities top researchers with an outstanding publication profile started supporting open access, things gradually changed. As he became pro-rector for research and internationalization in 2011 there was a clear supporter in the political leadership of the university. The baton was taken over by the incoming rector in 2015, who is an ardent supporter of open access.

As many funding organisations are pressing for open access, and as green open access is an established part of the work routines connected to all publication at OsloMet, the culture appears to be changing in favour of open access among researchers at the university in general. Researchers working on projects funded externally are increasingly in a situation, where they have to embrace open access publication.

OsloMet overall furthers a culture of openness and one of inclusion, which seems well aligned with the ideas of open access and open science.

### 1.8. Elements in the national context supporting the good organisational practice

The Norwegian government actively supports open access publishing as well as open science. Intentions as well as governmental actions to this end are clearly stated in policy documents.<sup>6</sup> Open access has been a policy goal since 2005. Currently there are discussions about establishing a national knowledge archive, which will include research data. Likewise, there are current discussions at a national level to change policy, and base a part of the funding of universities on open access publications only, as opposed to publications in peer reviewed journals in general.

Additionally, global discussion on open access and open science, discussions on research impact etc. forms the backdrop against which the Norwegian initiatives on this front should be viewed. This includes for instance the San Francisco declaration on research evaluation, as well as EU policies on the issue. International trends, and in particular decisions on research policy made at EU level exerts considerable institutional pressure in a Norwegian context. The Norwegian Research Council, providing funding for a large share of the sum of projects in Norway, follows EU policy closely. In the particular project at OsloMet, such international developments were used actively by stakeholders to support the open access initiative.

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<sup>5</sup> <https://ansatt.oslomet.no/en/open-access>

<sup>6</sup> <https://www.regjeringen.no/en/dokumenter/national-strategy-on-access-to-and-sharing-of-research-data/id2582412/sec1>

### 1.9. Further information related to the practice

RRI-Practice report on Open Access & Open Science key with further information and other cases from the project: <https://www.rri-practice.eu/knowledge-repository/publications-and-deliverables/>

Using the same link, you may obtain the national report on Norway, where the case and the Norwegian policies towards Open Access and Open Science are described in detail.

#### *1.9.1. Further links related to open access and open science mentioned in the case:*

San Francisco declaration on research evaluation (DORA): <https://sfdora.org/>

OsloMet open access archive (ODA): <https://oda.hioa.no/en/>

OsloMet information webpage on open access (in English): <https://ansatt.oslomet.no/en/open-access>

The CRISTin national Norwegian repository and database for all research output: <https://www.CRISTin.no/english/>

Norwegian (in English) website on open access: <https://www.openaccess.no/english/>

NORA Norwegian open access depository: <http://nora.openaccess.no/>

Norwegian Center for Research Data: <https://nsd.no/nsd/english/index.html>

The Norwegian Governments official policy on access to and sharing of research data (as of May 2019): <https://www.regjeringen.no/en/dokumenter/national-strategy-on-access-to-and-sharing-of-research-data/id2582412/sec1>

MA-Thesis on OsloMet open access: Holberg, Lena Flyum (2013): Forskere og Open Access-publiserings : en holdningsundersøkelse ved HiOA, MA-Thesis, Oslo Metropolitan University, available (in Norwegian) at: <https://core.ac.uk/display/35074178>

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