Open access initiatives by research active institutions in Australia & Aotearoa New Zealand: a snapshot of the landscape in 2022.

Janet Catterall & Virginia Barbour
• Open Access landscape is diverse & complex

• Publishing ecosystem of journals, books & data; old & new ways

• Research active institutions are engaged in many forms of OA practice

• There is no comprehensive overview of open access initiatives in our region

• There are no comparisons of practice across sectors
• What kinds of OA initiatives are being practiced by research active institutions in ANZ in 2022?

• Is there an association between OA practice and rates of openly available research outputs? Using the Curtin Open Knowledge Initiative data.

• What support for external (international) OA initiatives are ANZ research institutions involved in?
• What kinds of OA initiatives are being practiced by research active institutions in ANZ in 2022?
Research active institutions

- OAA directories [https://oaaustralasia.org/](https://oaaustralasia.org/)
- Research institutions listed by SCImago Journal and Country Rank; Curtin Open Knowledge Initiative (COKI)
- Literature & resource search
187 Research active institutions in Australia & Aotearoa New Zealand.

56 Universities

52 Health

51 Government

28 Non-profit
# Open Access Initiatives

<table>
<thead>
<tr>
<th>Policies, statements, guidelines</th>
<th>Publishing</th>
</tr>
</thead>
<tbody>
<tr>
<td>● Publications (type of output not specified or described as peer reviewed publications)</td>
<td>● Journal</td>
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<tr>
<td>● Books, book chapters</td>
<td>● Journal collection</td>
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<td>● Conference papers and presentations</td>
<td>● Books</td>
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<td>● Theses</td>
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<td>● Non-traditional research outputs (NTROs)</td>
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<tr>
<td>● Data</td>
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<tr>
<td>● Open Science/research/scholarship</td>
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<table>
<thead>
<tr>
<th>Repositories</th>
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<tbody>
<tr>
<td>● Publications (peer-reviewed, published, accepted manuscripts or preprints)</td>
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<tr>
<td>● Theses</td>
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<tr>
<td>● Grey Literature</td>
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<td></td>
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<tr>
<td>● Reports</td>
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<tr>
<td>● Data</td>
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</table>
Methodology

1. Surveying OAA member institutions to update their profile
2. Searching databases, conference proceedings, preprint archives, registries for descriptions of institutional OA initiatives
3. Searching institutional websites for documentation, repositories, open journals/books.

This study only includes what is publicly accessible.
56 institutions included.

Greatest OA practice of the 4 sectors.

- 33 have an OA policy; 8 have a separate policy on open data; only 1 has policy on Open Science/scholarship; 7 include provisions for Indigenous data in their policy; 3 have position statements

- 51 have a repository & most also collecting theses, NTROs, grey literature; 32 have data repository

- 31 publish at least 1 open journal; 24 published more than 1; 13 published open monographs
52 institutions included.

Least OA practice of the 4 sectors.

- 1 has OA policy; 3 have guidelines on OA and 3 on open data; none have OA position statements
- 13 have repositories
- 1 publishes an open journal
51 institutions included.

Strong commitment to repositories for both research and data

- 7 have OA policies; 14 have policies on open data; 14 have OA/open data position statements; 1 includes provision for Indigenous data

- 33 have a repository; 33 have a data repository

- 3 publish at least 1 open journal; 1 publishes open books
28 institutions included.

- 4 have an OA policy; 1 on open data; 6 have OA position statements; 1 includes provision for Indigenous data
- 6 have repositories
- 5 publish at least 1 open journal
• Is there an association between OA practice and rates of openly available research outputs? Using the Curtin Open Knowledge Initiative data.
## Curtin Open Knowledge Initiative COKI

### Institution Breakdown

<table>
<thead>
<tr>
<th>Institution</th>
<th>Open%</th>
<th>Total Publications</th>
<th>Open Publications</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARC Centre of Excellence for All-Sky Astrophysics</td>
<td>99%</td>
<td>1,298</td>
<td>1,280</td>
</tr>
<tr>
<td>International Centre for Radio Astronomy Research</td>
<td>95%</td>
<td>2,289</td>
<td>2,176</td>
</tr>
<tr>
<td>Mount Stromlo Observatory</td>
<td>91%</td>
<td>1,037</td>
<td>945</td>
</tr>
<tr>
<td>Australia Telescope National Facility</td>
<td>90%</td>
<td>1,813</td>
<td>1,637</td>
</tr>
<tr>
<td>Australian Astronomical Observatory</td>
<td>85%</td>
<td>2,009</td>
<td>1,708</td>
</tr>
<tr>
<td>Peter Doherty Institute</td>
<td>82%</td>
<td>3,692</td>
<td>3,040</td>
</tr>
<tr>
<td>ARC Centre of Excellence for Engineered Quantum Systems</td>
<td>80%</td>
<td>1,175</td>
<td>935</td>
</tr>
<tr>
<td>Astronomy and Space</td>
<td>79%</td>
<td>2,862</td>
<td>2,267</td>
</tr>
<tr>
<td>ARC Centre of Excellence for Climate System Science</td>
<td>78%</td>
<td>1,289</td>
<td>1,011</td>
</tr>
<tr>
<td>Translational Research Institute</td>
<td>77%</td>
<td>4,156</td>
<td>2,988</td>
</tr>
<tr>
<td>Melbourne Sexual Health Centre</td>
<td>70%</td>
<td>1,138</td>
<td>798</td>
</tr>
<tr>
<td>Westmead Institute for Medical Research</td>
<td>69%</td>
<td>2,245</td>
<td>1,558</td>
</tr>
</tbody>
</table>

### Regional Breakdown

- **Publisher Open**: 9%
- **Both**: 26%
- **Other Platform Open**: 12%
- **Closed**: 53%

### Percentage of Open Access Over Time

The chart shows the percentage of open access publications over time for different regions and institution types. The data is color-coded to distinguish between publisher open, both, other platform open, and closed categories.
• Calculate the average OA output rate for each institution
• Plot against the number of OA initiatives practiced by each institution in 2022
• To determine if there is an association between OA practice and OA research outputs.
There is no clear association between the number of OA initiatives and the number of open research outputs.

- Universities: the greatest OA practice but the lowest average rate of open research output: 39%
- Health: the lowest OA practice; average rate of open research output: 47.5%
- Government: midrange OA practice; average rate of open research output: 43.6%
- Non-profit: low OA practice but the highest average rate of open research output: 50.8%
Different ways to open research

**BREAKDOWN**
- Publisher Open: 9%
- Both: 26%
- Other Platform Open: 12%
- Closed: 53%

**PERCENTAGE OF OPEN ACCESS OVER TIME**

**OTHER PLATFORM OPEN**
- Institution: 82% (8.3K)
- Domain: 47% (4.8K)
- Public: 13% (1.3K)
- Other Internet: 11% (1.1K)
- Preprint: 7% (754)
Different ways to open research

Average percentage of closed and open research by institution type showing different ways to open access.
Different ways to open research

• Health and non-profit sectors utilize OA journals the most
• Universities and government utilize repositories the most
• There is a lot of overlap where versions of research output are made available through multiple channels simultaneously

*This data collected via COKI Nov 2022 to Jan 2023
• What support for external (international) OA initiatives are ANZ research institutions involved in?
Most support:
26 Global Sustainability Coalition for Open Science Services (SCOSS) Facilitated through CAUL
18 Directory of Open Access Journals (DOAJ) Pledges have been sought through SCOSS
10 arXiv past SCOSS pledge
9 Directory of Open Access Books (DOAB) past SCOSS pledge annual funding rounds

Support for external OA initiatives is very low unless coordinated through consortia
Conclusion

OA advocacy on the ground in institutions has laid the foundation for a healthy OA ecosystem.

Very few statements and fewer policies than expected overall.

Awareness and understanding of the issues around making Indigenous research and data open is almost entirely absent.

No direct association between initiatives and open output in any sector.

Diverse approaches to open access are seen across all sectors.

Increasing ANZ support for OA external initiatives requires a central, consortia approach.
Thank you!
Ginny Barbour, Director OAA, co-author of this study
OAA Executive Committee for feedback & support
Group of Practitioners for advice, insight & contributions

And every one of you who has contributed to an OA policy, libguide, worked for an institutional repository, supported an OA journal, advocated for OA with researchers, with senior management, and helped in a host of other ways to support Open Access!

Report now available at https://zenodo.org/record/8081167
DOI 10.5281/zenodo.8081166

Feedback welcome

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