



**OPEN ACCESS
AUSTRALASIA**

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



ANZ Open Access: Results of the Report

- 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?
- 



ANZ Open Access: Results of the Report

- What kinds of OA initiatives are being practiced by research active institutions in ANZ in 2022?



A person with long dark hair is sitting at a desk in a dimly lit room, looking at a laptop. They have their hand to their chin in a thoughtful pose. The background is bright, suggesting a window. A small potted plant is on the desk next to the laptop.

Research active institutions

- OAA directories <https://oaaustralasia.org/>
- Research institutions listed by SCImago Journal and Country Rank; Curtin Open Knowledge Initiative (COKI)
- Literature & resource search



56 Universities

52 Health

51 Government

28 Non-profit



187 Research active institutions in Australia & Aotearoa New Zealand.

Open Access Initiatives

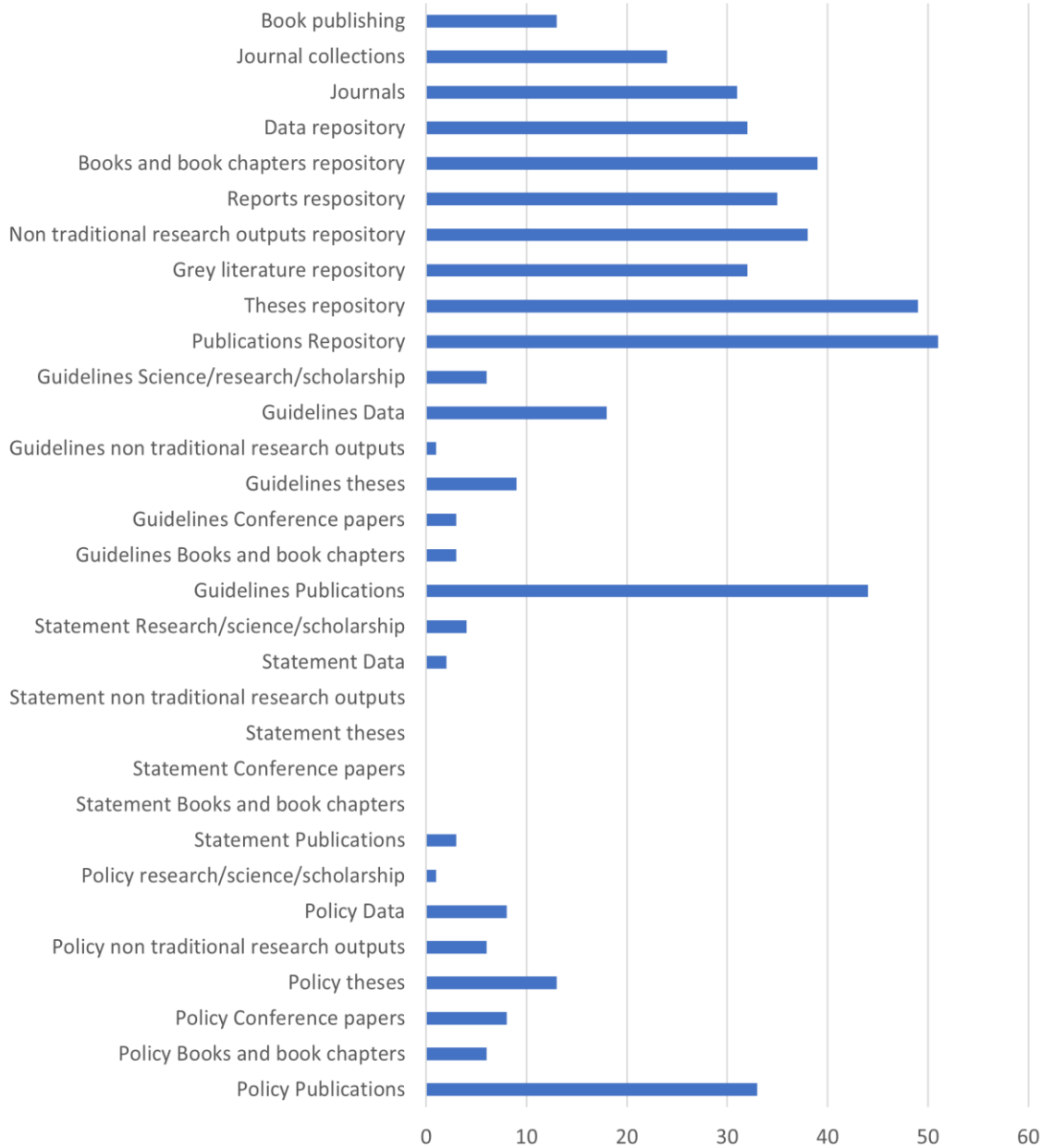
| | |
|----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Policies, statements, guidelines | <ul style="list-style-type: none">● Publications (type of output not specified or described as peer reviewed publications)● Books, book chapters● Conference papers and presentations● Theses● Non-traditional research outputs (NTROs)● Data● Open Science/research/scholarship |
| Repositories | <ul style="list-style-type: none">● Publications (peer-reviewed, published, accepted manuscripts or preprints)● Theses● Grey Literature● Non-traditional research outputs (NTROs)● Reports● Books, book chapters● Data |
| Publishing | <ul style="list-style-type: none">● Journal● Journal collection● Books |

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.

Australia and Aotearoa New Zealand Universities Open Access Initiatives 2022



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

Australia and Aotearoa New Zealand Health Research Institutions Open Access Initiatives 2022



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

Australia and Aotearoa New Zealand Nonprofit Research Institutions Open Access Initiatives 2022

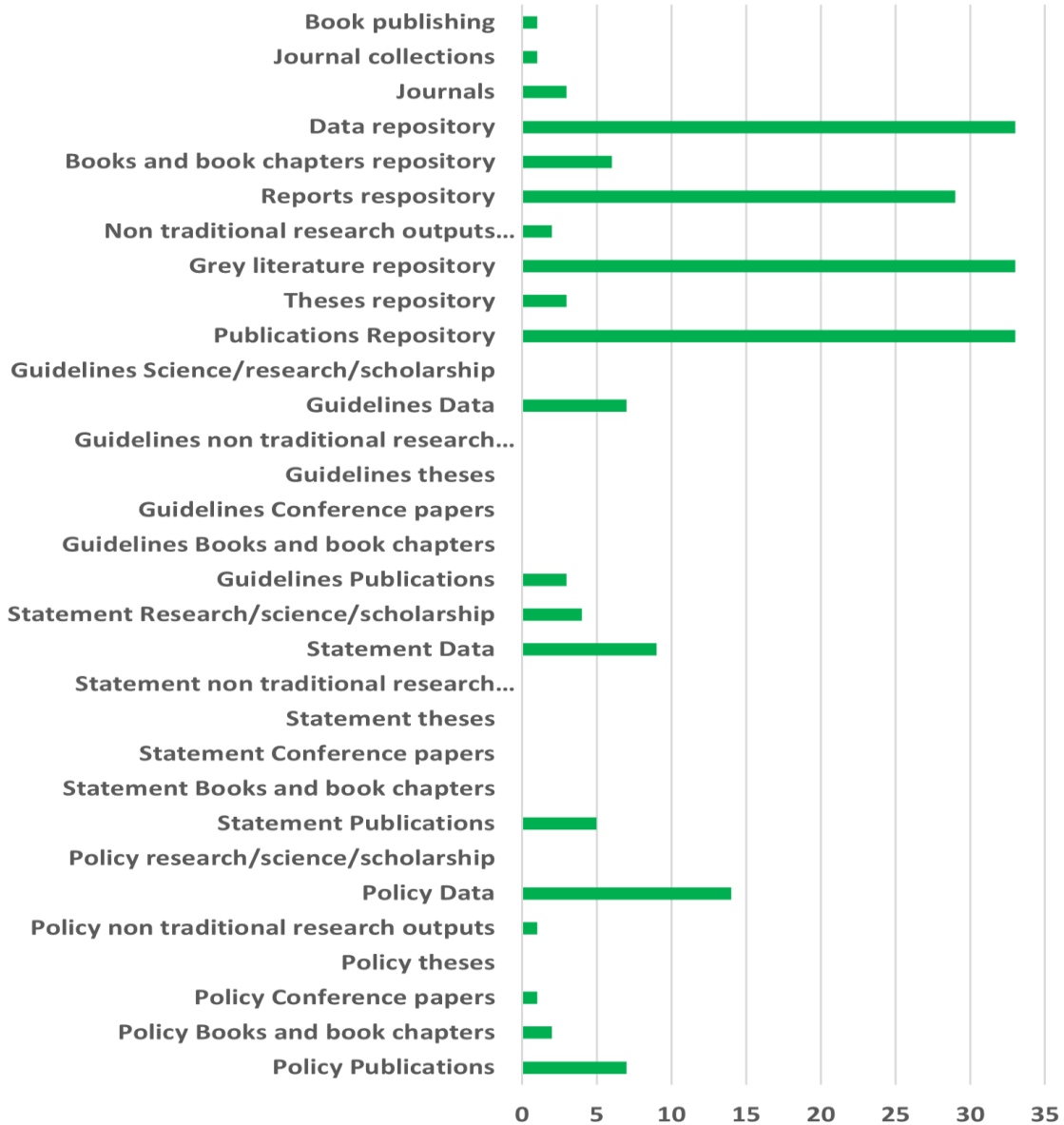


51 institutions included.

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

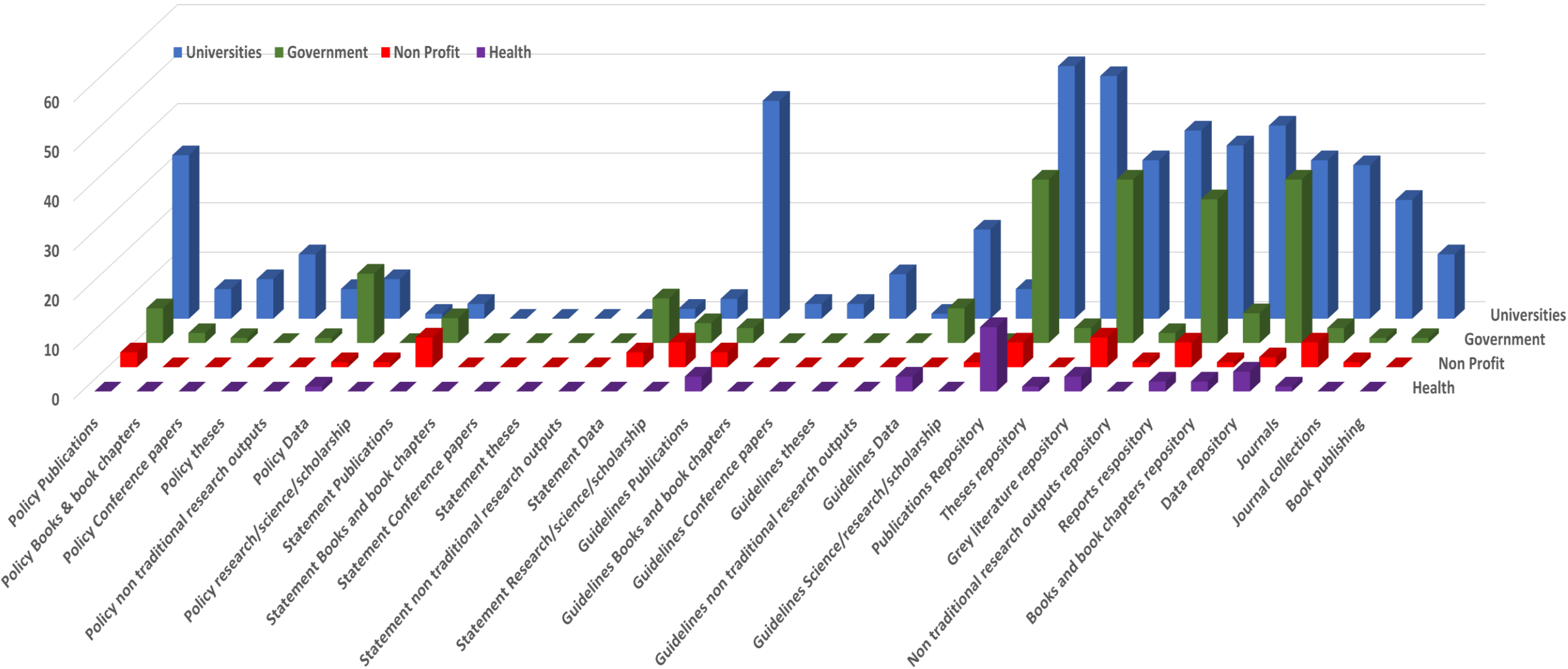
Australia and Aotearoa New Zealand Government Research Institutions Open Access Initiatives 2022



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

Australian and New Zealand Research Institutions Open Access Practices in 2022



ANZ Open Access: Results of the Report

- 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

COUNTRY

INSTITUTION

| INSTITUTION | OPEN ↓ | BREAKDOWN PUBLISHER OPEN BOTH OTHER PLATFORM OPEN CLOSED | TOTAL PUBLICATIONS | OPEN PUBLICATIONS | LEARN MORE > |
|---------------------------------------------------------|--------|----------------------------------------------------------------------|--------------------|-------------------|--------------|
| ARC CENTRE OF EXCELLENCE FOR ALL-SKY ASTROPHYSICS | 99% | | 1,298 | 1,280 | LEARN MORE > |
| INTERNATIONAL CENTRE FOR RADIO ASTRONOMY RESEARCH | 95% | | 2,289 | 2,176 | LEARN MORE > |
| MOUNT STROMLO OBSERVATORY | 91% | | 1,037 | 945 | LEARN MORE > |
| AUSTRALIA TELESCOPE NATIONAL FACILITY | 90% | | 1,813 | 1,637 | LEARN MORE > |
| AUSTRALIAN ASTRONOMICAL OBSERVATORY | 85% | | 2,009 | 1,708 | LEARN MORE > |
| PETER DOHERTY INSTITUTE | 82% | | 3,692 | 3,040 | LEARN MORE > |
| ARC CENTRE OF EXCELLENCE FOR ENGINEERED QUANTUM SYSTEMS | 80% | | 1,175 | 935 | LEARN MORE > |
| ASTRONOMY AND SPACE | 79% | | 2,862 | 2,267 | LEARN MORE > |
| ARC CENTRE OF EXCELLENCE FOR CLIMATE SYSTEM SCIENCE | 78% | | 1,289 | 1,011 | LEARN MORE > |
| TRANSLATIONAL RESEARCH INSTITUTE | 72% | | 4,156 | 2,988 | LEARN MORE > |
| MELBOURNE SEXUAL HEALTH CENTRE | 70% | | 1,138 | 798 | LEARN MORE > |
| WESTMEAD INSTITUTE FOR MEDICAL RESEARCH | 69% | | 2,245 | 1,558 | LEARN MORE > |

FILTERS

REGION

- AFRICA >
- AMERICAS >
- ASIA >
- EUROPE >
- OCEANIA ▾
 - AUSTRALIA AND NEW ZEALAND
 - MELANESIA
 - MICRONESIA
 - POLYNESIA

OPEN ACCESS

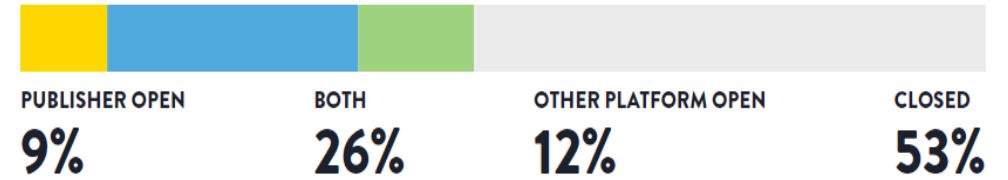
INSTITUTION TYPE

- ARCHIVE
- COMPANY
- EDUCATION
- FACILITY
- GOVERNMENT
- HEALTHCARE
- NONPROFIT
- OTHER

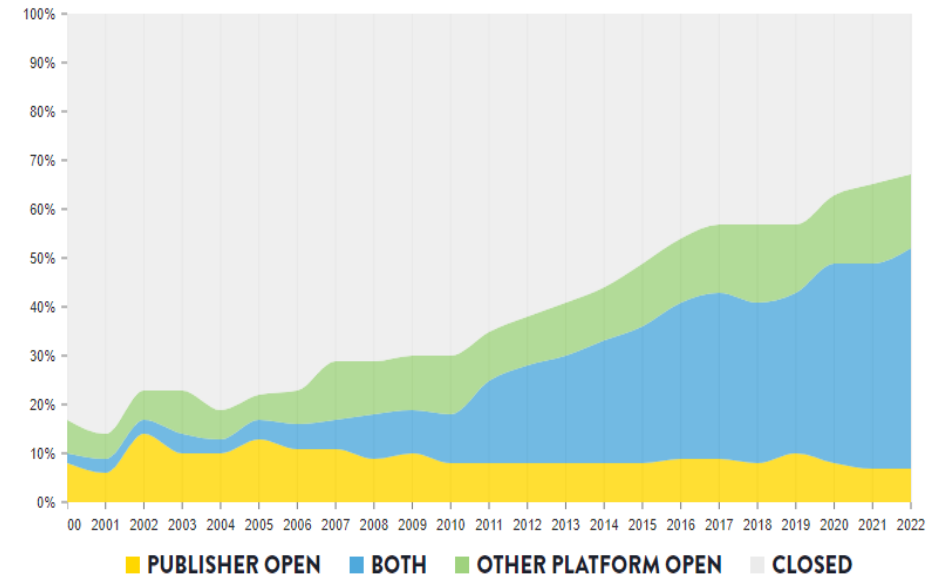
APPLY

CLEAR

BREAKDOWN



PERCENTAGE OF OPEN ACCESS OVER TIME

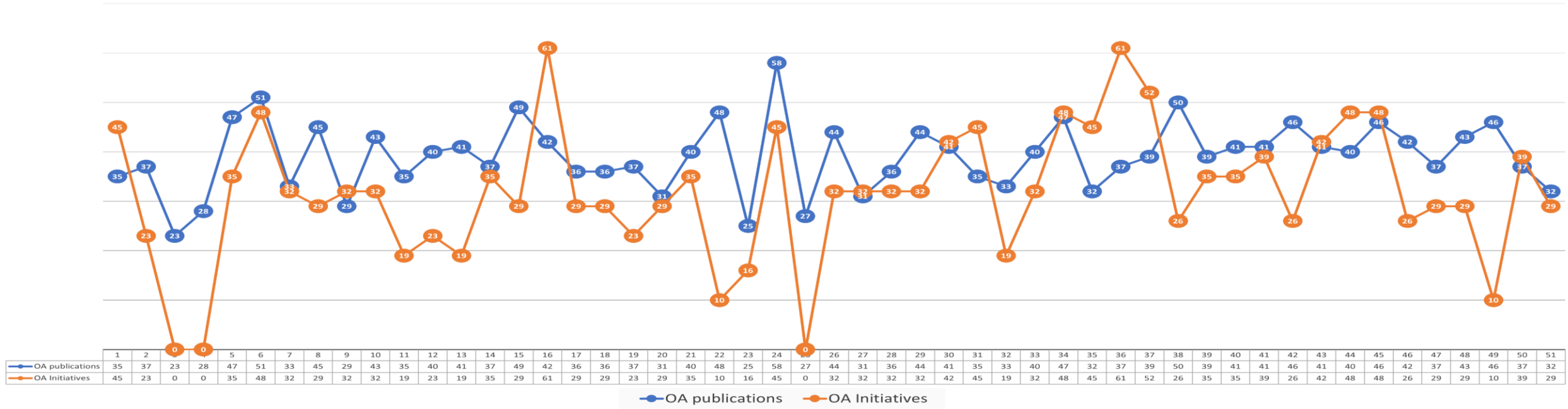


Methodology

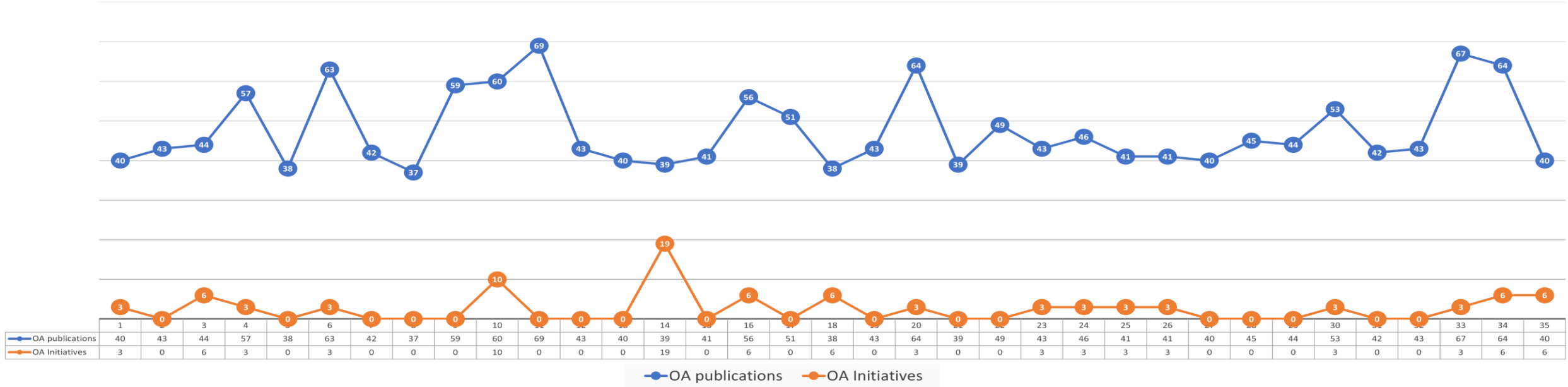
- Calculate the average OA output rate for each institution
- Plot against the number of OA initiatives practiced by each institution in 2022
- To determine if there is an association between OA practice and OA research outputs.



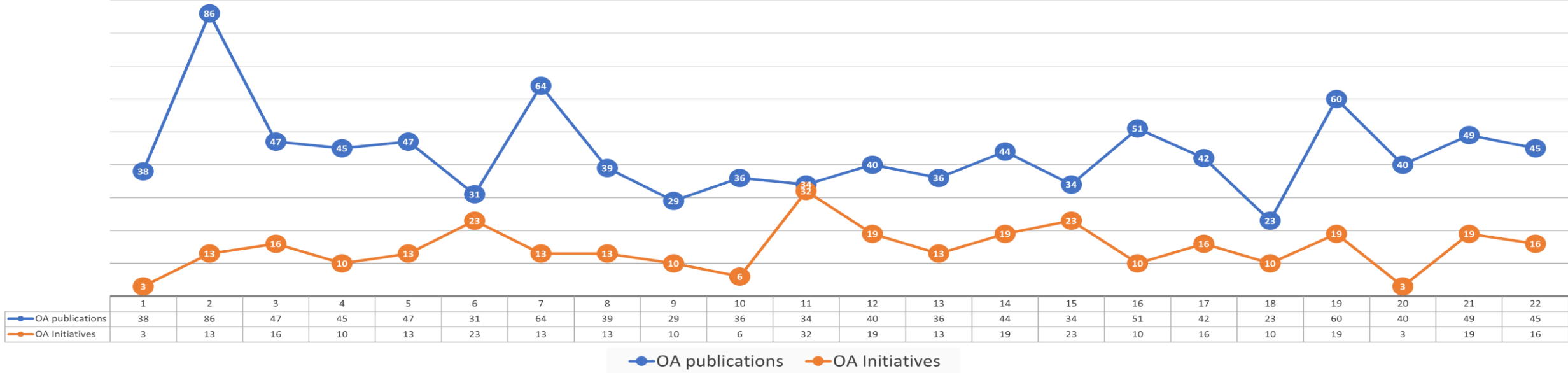
Universities open access initiatives compared to their open access publication rate using COCI.



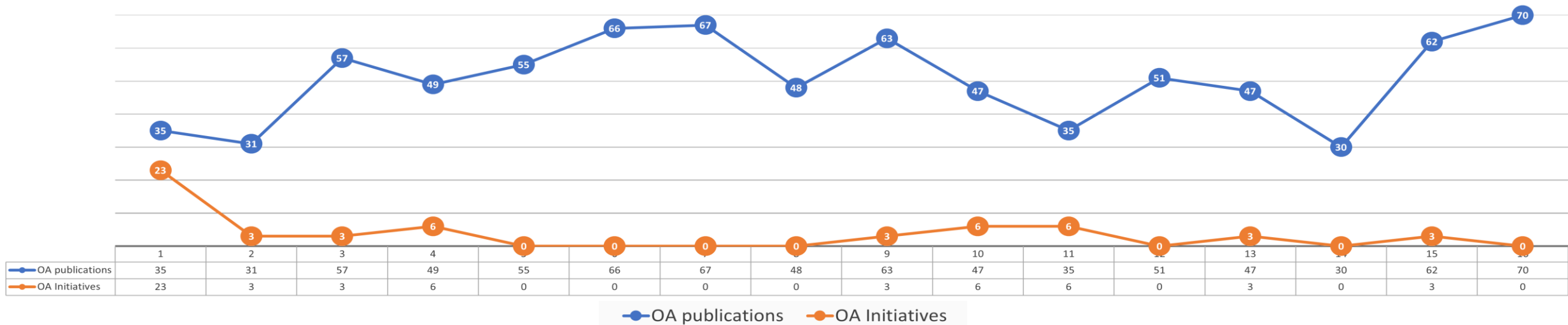
Health research institutions open access initiatives compared to their open access publication rate using COCI.



Government research institutions open access initiatives compared to their open access publication rate using COKI.



Nonprofit research institutions open access initiatives compared to their open access publication rate using COKI.

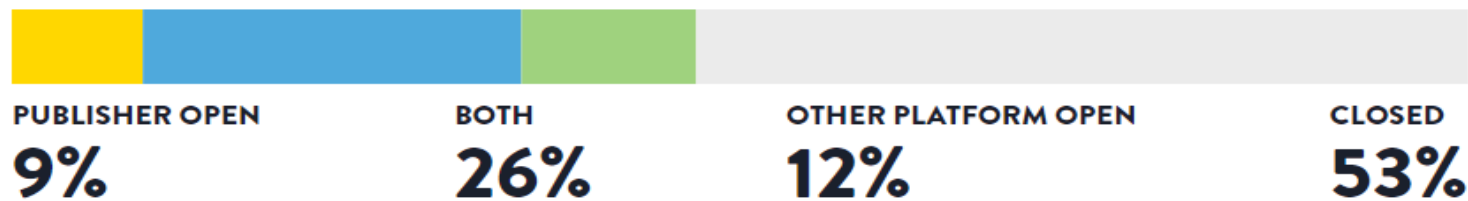


There is no clear association between the number of OA initiatives and the number of open research outputs.

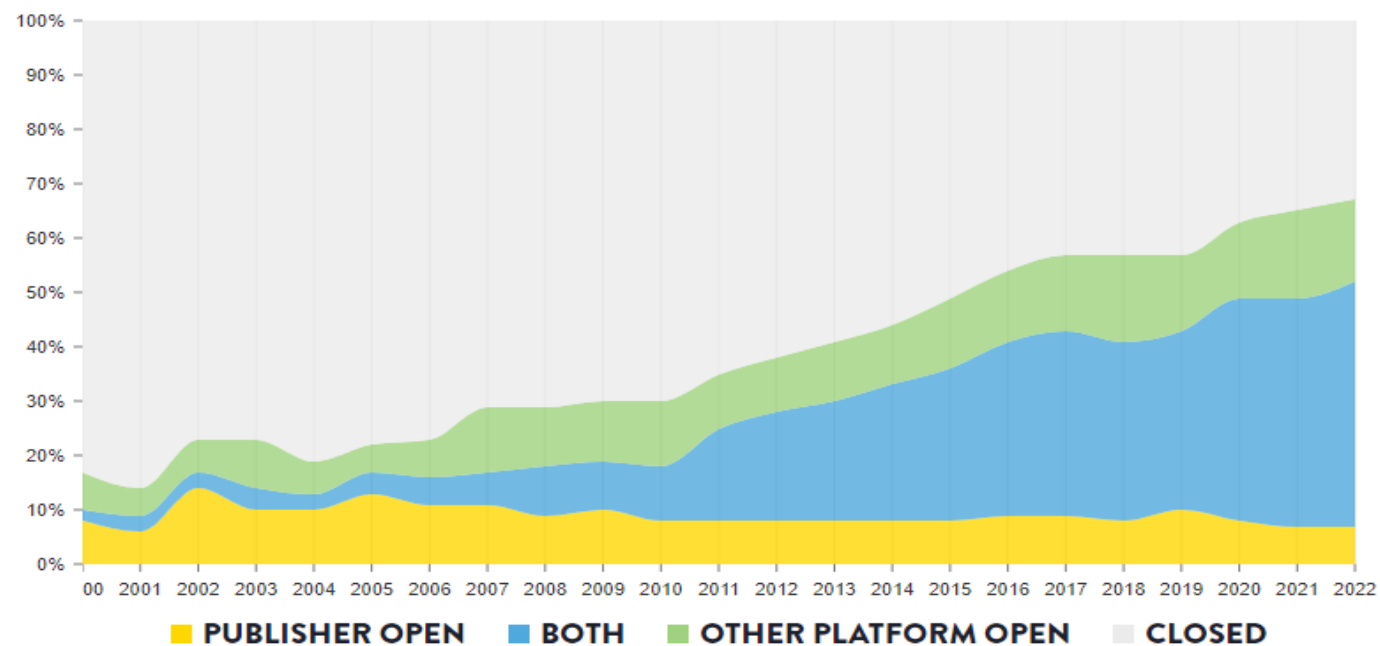
- Universities: the greatest OA practice but the lowest average rate of open research output: 39%
- Health: the lowest OA practice; average rate of open research output: 47.5%
- Government: midrange OA practice; average rate of open research output: 43.6%
- Non-profit: low OA practice but the highest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

Different ways to open research

BREAKDOWN



PERCENTAGE OF OPEN ACCESS OVER TIME

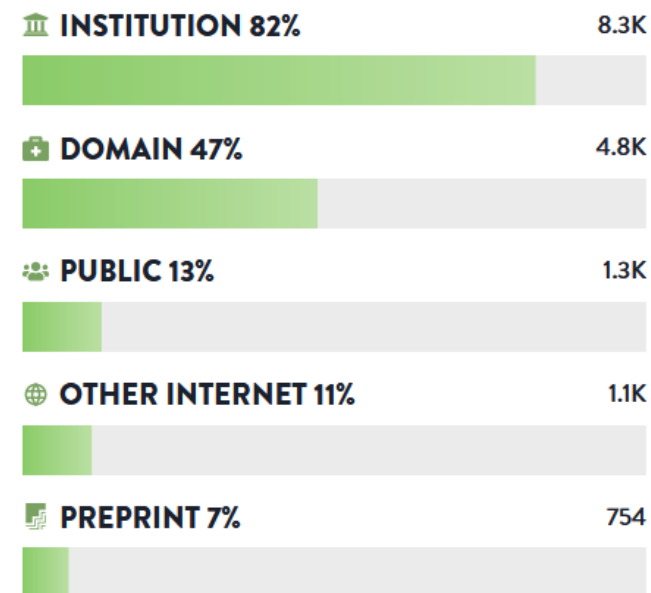


PUBLISHER OPEN



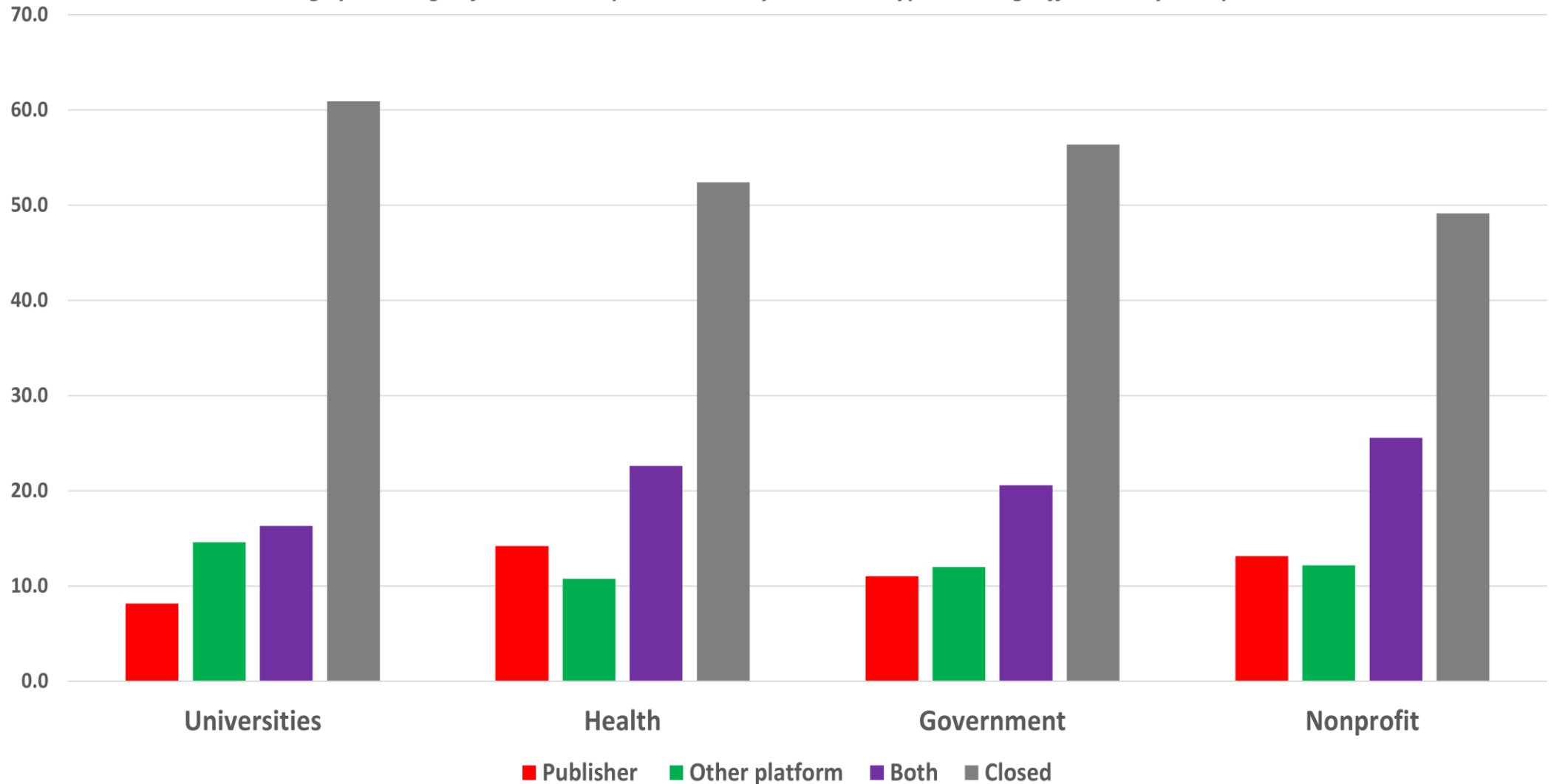
| | |
|-------------------|------|
| OA JOURNAL 50% | 4.5K |
| HYBRID 22% | 2K |
| NO GUARANTEES 28% | 2.6K |

OTHER PLATFORM OPEN



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

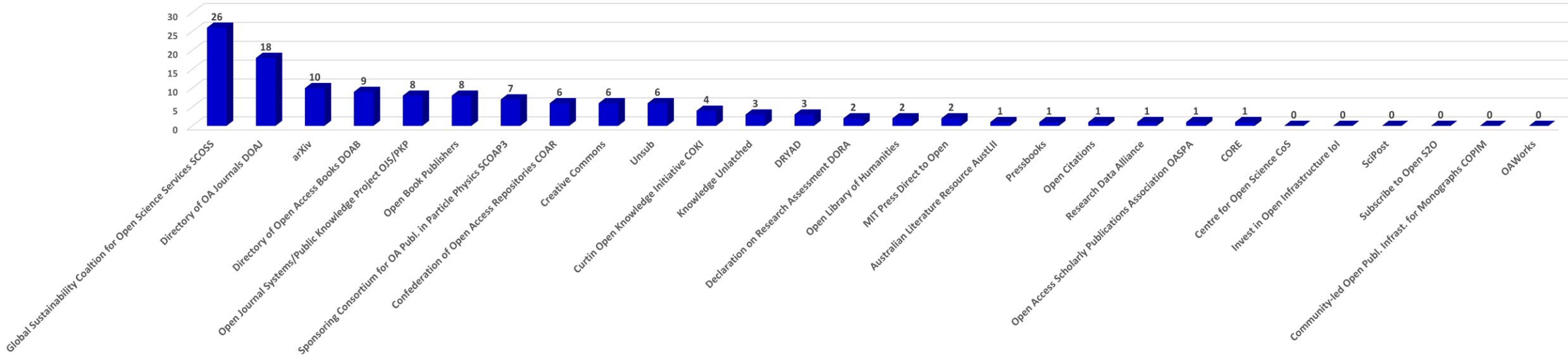


ANZ Open Access: Results of the Report

- What support for external (international) OA initiatives are ANZ research institutions involved in?



Open Access Australasia member support for external open initiatives in 2022



Most support:

26 Global Sustainability Coalition for Open Science Services (SCOSS)

Facilitated through CAUL

18 Directory of Open Access Journals (DOAJ)

10 arXiv past SCOSS pledge

9 Directory of Open Access Books (DOAB) past SCOSS pledge

Pledges have been

sought through SCOSS

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](https://doi.org/10.5281/zenodo.8081166).

Feedback welcome

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