



E V E G R A Y

INTERNATIONAL POLICY FELLOWSHIP

SUSTAINABILITY MODELS FOR OPEN ACCESS RESEARCH PUBLICATION IN AFRICA: POLICY AND PRACTICE

FINAL ACTIVITY REPORT - JANUARY - MAY 2007

As spelled out in the Project Work and Advocacy Plan, the objectives of this project were defined as:

- providing a policy map of the overlapping national and institutional policies that affect scholarly publishing in Africa;
- identifying the shape of a sustainable and enabling Open Access policy environment for research publication that might enhance the dissemination of African research and impact positively on national development priorities.

Below is the final report on the second phase of the project, from October 2006 until its close in July 2007.

WORKING GROUP MEETINGS

Goa – November 2006

In November 2006, Lawrence Liang, Prashant Iyengar and I met in Goa, India for two days of meetings to discuss the progress and future planning of the Open Information Working Group. Dick Kawooya was unable to attend, owing to previous commitments.

Our discussions tackled the problematic of working in what is a comparatively new field. Particularly in the countries that we work in, there is not much awareness of new models of research dissemination and the value of Open Access in enhancing the social and economic impact of research in developing countries. We agreed that this raised particular issues when it came to the drafting of our Policy Papers, as these would need to contain more explanatory detail than might be the case in other contexts. We were concerned that the work of the Open Information Group should continue in whatever new dispensation was set up for the IPF programme, given the impact that the work of the group was already having.

Our main agreement was that we should collaborate in the preparation of our Policy Papers, so that the mapping that we had done across our different projects at the outset of our Fellowship

programmes could be delivered in a coherent way. We also agreed to try to draft a policy map, or grid, susceptible to a wiki-style ongoing collaborative development, which would identify all the different components of a comprehensive Open Access policy environment in developing countries. We also set up a communication network using regular online meetings using Skype.

London – April 2007

We had originally planned to hold another Working Group meeting in February in Uganda, to coincide with Dick Kawooya's research visit to Uganda. However, this turned out to be impracticable - we had perhaps not taken into account the fact that, for a group as widely scattered as ours, across three continents, meetings are both expensive and logistically complicated and are dependent upon prior funding.

We finally arranged a meeting in London in April, shortly after our funding had come through, with an eye to combining our Working Group meeting with discussions with the London office of the Information Programme. Even then, we were not all able to attend and Dick Kawooya and I met on our own, with Skype conferencing with Lawrence and Prashant. We created a wiki policy paper framework for further development, which was designed to pull together the strands of our different projects into an overall policy framework. We also created the first outline of a policy map, as we had discussed in Goa.

We held lengthy discussions with the OSI Information programme on how the work that had been laid down in our Fellowship period could be carried forward to deliver real results in our different countries. In particular, we discussed a suggestion that had come out of the Bangalore Workshop on Open Access in Developing Countries, which Lawrence and I had attended, that there should be some coordination across the different funding agencies involved in Open Access projects. The aim would be to avoid duplication and ensure greater impact through a coordinated range of interventions. This is already taking shape, with three potential interventions in South Africa and Uganda now being scoped or implemented.

RESEARCH AND ADVOCACY

I find that, in the second half of the year, the process of finalising research and formulating policy recommendations were inextricably mixed with advocacy activities. I am therefore combining the two sections in this report.

Research on the dynamic policy environment continued through the second half of the Fellowship period and I found that I needed constantly to update my research findings – a positive sign, as this meant that there was movement towards greater recognition of Open Access. There was also dynamic movement in the relationship between the different second-economy countries – Brazil, India and South Africa – reflecting the potential for the second economy countries to broker a new dispensation in which the developing world moves closer to the centre of the global knowledge economy.

My main focus in the second half of the year was on refining policy analysis and formulating policy recommendations. Two important events impacted here. One was that I was asked to serve on the Publishing Committee of the [Academy of Science of South Africa](#) (ASSAf). As ASSAf has been mandated by the South African Department of Science and Technology to research scholarly publishing in South Africa and make recommendations for improving its performance, this meant that I was positioned at the heart of the major policy initiative in the field that I was researching. I

was therefore able to contribute to and benefit from the development of policy recommendations and implementation plans for this project, which is currently finalising its applications for government funding to institute an Open Access journal publishing programme for South Africa. The other was that, in the [Centre for Educational Technology](#) at the [University of Cape Town](#), to which I am affiliated, I was invited, alongside my colleagues, to make a presentation to the Deputy Minister of Science and Technology on my fellowship project. As this Ministry is responsible for research policy in higher education, this was an invaluable opportunity. My presentation was well received by the Deputy Minister, who suggested that the [Department](#) should consider a review of its Science and Technology policy in the light of the developments I was outlining. There will be a follow-up meeting with the Deputy Minister in the next few months.

Policy Recommendations

1. Advocacy and research

There is a need for ongoing advocacy programmes to promote the importance of effective and broad-based research dissemination as a way of achieving greater impact for African research, nationally, regionally and globally. Continued research is needed into African scholarly communications and Open Access.

2. International and regional policy

Access and participation: There is a need for international policy frameworks to move beyond the mechanical metrics of patent and copyright counts as performance measures for African research effectiveness, to the formulation of impact measures for social and developmental impact. Then the international agencies need to move on from recommendations on *access* to knowledge to the question of participation, something that would promote the production of African knowledge by Africans, rather than increasing Africa's dependency on overseas content.

Access to publicly funded research: An important strand of such a policy environment would be the creation of policies supporting Open Access to publicly funded research, along the lines proposed by the [OECD Declaration on Access to Research Data from Public Funding](#) and the [Salvador](#) and [Bangalore](#) Declarations.

3. National policy

Intellectual Property Law: Recommendations include a review of the provisions for Fair Dealing and special provisions for educational and library use. The question of parallel importation could be investigated.

Access to Research from Public Funding: Policies for Access to Research from Public Funding could provide mandates for the deposit of research publications in institutional repositories, for national harvesting, opening up the availability of research knowledge.

Support for Open Access research publication: The implementation of the ASSAf proposals would deliver a sound Open Access framework for traditional scholarly publishing and the sustainability models to deliver it.

Support for a wider range of publications: However, support for research dissemination needs to go beyond the traditional focus on journal articles if research publication is really to impact on national development goals, as well as having a greater regional and global impact. A much wider range of open publications needs to be recognised as valid scholarly output for accreditation and promotion if research dissemination is really to support the goals of higher education research policy.

Social impact measures: There is a need to initiate research into the development of social impact criteria as opposed to the current proprietary and commercially-focused metrics.

4. Institutional policies

Academic reward and promotions: A wider range of criteria is needed for academic reward and promotion, more closely geared to the overall aims of national higher education and

research and innovation policies.

Integrated communications management: There would be a good deal to be gained if institutions were to take an integrated approach to scholarly communications and the use of digital media, including policies for the creation and management of institutional Open Access repositories. In other words, the institutions need to endorse the centrality of research dissemination and publication, as well as access to research knowledge.

Sustainability

The question of sustainability, which was at the heart of my original proposal, turned out rather differently to expectations. There is no magic wand that can make the dissemination of African research a viable commercial business. In fact, the central reality that needs to be grasped by policy makers in developing countries in particular is that research dissemination is a national necessity and that it needs to be supported by public funding at national and institutional levels. The ASSAf proposal is that a percentage of the subsidy money paid by the Department of Education as a reward system for publication in accredited journals should be diverted to support publication. I would argue further: that there needs to be an acceptance of research dissemination as a necessary and strategically important cost centre in the higher education system and that this, coupled with open access dissemination, would go a long way towards delivering the developmental goals articulated in national research and innovation policies and strategies.

ADVOCACY PROGRAMME

Communication strategy

Website and blogs

The communication strategy for the project included the use of the IPF website, my company website and my blog to support IPF advocacy activities. A number of conference presentations have been posted on my policy.hu website and conference reports shared on the Open Information Working Group wiki.

My blog on the University of Cape Town server continues to reach the UCT academic community very directly and has, gratifyingly, now reached over 11,000 hits. The blog features regularly among the most active and the most accessed blogs on the server. It is picked up by Peter Suber's Open Access Newsletter and distributed to a wide international audience.

(http://blogs.uct.ac.za/blog/gray_area)

Both the Blog and the policy.hu website are performing very well on Google searches, coming up in prominent positions for a number of search parameters.

Departmental and faculty workshops at UCT

A workshop was held for the Centre for Higher Education Development (CHED) - a Faculty at UCT - in late October 2006, which was attended by a number of academics, faculty staff and research office staff. In May I attended the CHED writer's workshop on research writing and made a presentation on Open Access scholarly publishing. This has led to ongoing invitations to address faculty development workshops at UCT. In July 2007, another presentation was made at a writing workshop for postgraduate students at UCT.

I attended a workshop held by the Centre for Continuing Education at UCT for the development of training in the publishing industry, attended by a number of publishers. At this workshop I put the case for the development of digital publishing skills and training in alternative copyright management models, including Creative Commons and this is now being followed up by the university.

As mentioned above, I made a presentation on the IPF project at a workshop convened by the Centre For Educational Technology with the Deputy Minister of Science and Technology.

Workshops at other Southern African universities

As a result of feedback from the CHED workshop at UCT, I was invited to participate in a workshop on Open Access publishing and repositories at Rhodes University in May 2007. The workshop was attended by the Dean of Research and a dinner was held with the Vice-Chancellor, Professor Salim Badat, in the evening. Other presenters included the university librarian, academics using the university repository and Heila Lotz, the Editor of the Open Access journal, the *South African Journal of Environmental Education*. The response was very positive and seems to have persuaded quite a few academics of the value of Open Access.

As a follow-up to the CHED workshop at UCT, I was invited to conduct a workshop on Open Access for the parliamentary Librarians' Group at the South African parliament in Cape Town.

At the invitation of eIFL, I attended and gave a paper at a well-attended workshop in Lesotho for librarians and academics from Lesotho and Swaziland.

Conferences

There have been a number of important conferences in this period. with signs of a growth in confidence as the developing world asserts its independence. In October 2006, the Bangalore Workshop on Electronic Publishing and Open Access for Developing Countries brought together delegates from India, Brazil, China, South Africa and some other African countries. The conference culminated in the [Bangalore Statement on Open Access for Developing Countries](#), with guidelines for national policy interventions for a 'green route' approach of using a national mandate for the deposit of research articles in institutional and national repositories.

In November, the [Frontiers of Knowledge Forum](#) for African university leaders was held at UCT. It was sponsored by the Partnership for African Higher Education Development and dealt with ICTs, Open Access and entrepreneurship for the development of African higher education and was attended by vice-chancellors from 18 African universities and a number of international experts. I was invited to give a paper and spoke on Open Access as a way of expanding the volume of African research knowledge and increasing its impact, nationally, regionally and internationally.

I was invited to a workshop of the African Academies of Science, held in Pretoria and convened by the International Academies of Science, a meeting to develop a strategy for African academies. it was agreed that the African academies should play a policy advisory role and the scholarly publication should be a special mandate. the workshop ended with strong statements – and commitments on the development of connectivity and broadband access in Africa and on the need for a radical Open Access scholarly publishing agenda that would put Africa in the forefront of 21st century web 2.0 approaches to communications.

I was invited to deliver a paper at the [Digital Freedom conference](#) and exhibition at the University of the Western Cape in April 2007 This was a high-profile event with Larry Lessig of Creative Commons and Jimmy Wales of Wikipedia as keynote speakers.

In July I attended the [iCommons Summit](#) in Dubrovnik, where I participated in the Open Education

Resources stream, a series of workshop sessions brainstorming approaches to opening educational resources across the globe. A central recommendation from these sessions was a recommendations that there needed to be an inclusive dialogue with practitioners in the education field in the process of taking forward policy recommendations for the implementation of open education policies.

Book industry liaison

There have been some promising movements in the South African book industry. I have kept in close touch with Elitha van der Sandt, the Executive Director of the Print Industries Cluster Council, as this body has been progressively transformed into the National Book Development Council (NBDC), under pressure from the Department of Arts and Culture for a transformed publishing industry serving the whole South African population. This will have important implications for future interventions to advance access to knowledge in South Africa, as there will now be a progressive industry body with an interest in finding ways of overcoming economic disadvantage and language barriers to promote cultural and knowledge dissemination to the wider South African community.

The PICC/NBDC has issued a report on the cost of books in South Africa and this will be used as a basis for a proposed intervention by the OSI Information Programme to produce a baseline study of the South African book chain in order to identify the most effective and viable interstices for A2K interventions.

Academy of Science Scholarly Publishing Committee

My invitation to be a member of this Committee has proved to be an invaluable way to be involved with the process of policy implementation for scholarly publication in South Africa, in context in which a government department is backing Open Access interventions in scholarly publishing. The first Journal Editors' Forum was held in July 2007. It was attended by over 100 journal editors and other representatives who endorsed their support for this move towards a sustained intervention to promote the development of a strong stable of South African Open Access journals.

This is going to be a very important intervention in South African scholarly publishing, with considerable government support, which will need ongoing support.

New Legislation

In July 2007, the Department of Science and Technology of the South African government published for comment a Draft Bill for Intellectual Property Rights in Publicly Funded Research. This Draft Bill, if it were implemented, would implement a strong drive for the commercialisation of research in the universities and research institutes, vesting IP rights in the institutions, granting wide-ranging rights to the government and penalising researchers who fail to patent or otherwise commercialise their research. This would be a serious set-back for access to knowledge in South Africa and it has received wide-spread condemnation and criticism thus far.

In collaboration with Andrew Rens, the Intellectual Property Fellow at the Shuttleworth Foundation (TSF), we circulated a clause-by-clause analysis of the Bill, drawn up by Andrew, corresponded with colleagues across the world for information on the workings of similar legislation in other countries and on new legislative developments now replacing the lock-down approach of this legislation. A wiki discussion forum was created by TSF for colleagues to share information and resources, we set up discussions and shared resources with senior university managers and posted blog articles on the implications of the new legislation.

The deadline date for comment on the proposed legislation has now been extended and, with the new university term opening in early August, there is likely to be a growing resistance to the implementation of this backward-looking piece of legislation.

Contact and collaboration with OSI offices and projects

As the research and advocacy plan has unfolded in the second half of the year, the Information Programme members have been kept fully informed of activities and developments in order for there to be a potential for follow-through in OSI projects. I had extended discussions in the London office in April and attended a strategy planning workshop of the African OSI offices in Cape Town in June 2007. I have also been involved with the Information Programme in discussions for the coordination of Open Access and A2K interventions in Africa.

I have kept in regular touch with Susan Veldsman of eIFL and have been involved in two eIFL workshops in the course of the year. The value of research repositories have been promoted in workshop and conference presentations.

Publications

I have submitted an article on opening education resources commissioned by Judy Breck as the Editor of a special edition of the international magazine, *Educational Technology*. This specialist professional magazine reaches over 100,000 readers including leading policy-makers. I will be submitting an article on scholarly publishing in South Africa commissioned by *Learned Publishing* journal.

CONCLUSION

A good deal of progress has been made during the course of this year to raise the profile of Open Access scholarly publishing in South Africa. The terrain remains fragmented, however, and a lot remains to be done before there is a real advance in the ability of South Africa to disseminate its research knowledge widely and effectively. What is evident after a year of the fellowship programme is that constant advocacy can make steady inroads – rather like throwing a stone into water, the initial impact might be small, but the radiating influence turns out to be much greater. There is undoubtedly much more awareness now than there was a year ago of the value of effective research dissemination and the impact that can be added through open dissemination models. This is now beginning to reach into the higher echelons of the institutions and into government.

There is also a steadily expanding network in Africa of academics conscious of the advantages of Open Access and this could have a steadily incremental effect if nurtured – probably most effectively through the Academies of Science programmes and through research councils like the Human Sciences Research Council (HSRC) in South Africa and Codesria in Senegal, which are committed to open communications.

A number of follow-on projects have and are still emerging as an outcome of the Fellowship programme. These include a wide-ranging intervention at the University of Cape Town, funded by the Shuttleworth Foundation, to explore the ways in which ICTs are driving new modes of communication and greater openness from scholar to scholar, from scholar to learner and for community engagement. Then I have been involved in the scoping of a project that is the outcome of the Developing Nations Licence workshop supported by the OSI in London in September 2006. This new intervention, if it is accepted for funding by the IDRC, would investigate ways of using Creative Commons licensing models to promote access to learning materials in South Africa, Uganda and Egypt, working in conjunction with the publishing industry. The Baseline Study of the South African publishing industry, mentioned above would feed into this project.

The International Policy Fellowship has therefore set in motion a steady rolling action that should, in the medium term, deliver considerable benefits for the advancement of open communications in South Africa and elsewhere on the continent.

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