

Excerpt from

Proposal for assessment of the development programme OpenAccess.se

This proposal is submitted by Leo Waaijers and Hanne Marie Kværndrup

Summary

Assignment

The assignment covers an evaluation of the Swedish development programme OpenAccess.se. The evaluation will address the achievement of strategic objectives of the OA programme in general and in specific within the 6 focus areas. The evaluation should also deduce the experience from the working methods and framework of this development programme with a view to coming development activities for the National Library.

The evaluation will encompass both the direct results such as projects, seminars and workshops and indirectly such as the impact on the development of Open Access publishing within Higher Education in Sweden.

In specific the evaluation will draw an overall assessment of the OA Programme, covering its quality, organisation, funding process, visibility and networking.

The evaluation will give a summary of the latest trends within OA development in Europe and finally recommendations for future OA initiatives and organisational structures at national level will be presented.

Contractor

The National Library is the primary contractor.

The involved authorities and organisations are stakeholders of the OpenAccess.se programme. The programme co-ordinator supports the evaluators with:

- contact details of stakeholders
- questionnaire development and distribution
- arrangement of interviews, meetings
- information, reports etc.

Time schedule

The evaluation will be conducted during 2009 (primarily during spring and autumn) and finalized by the end of 2009.

Results

We shall meet all the requirements stated in the invitation to tender. The evaluation will result in a short final report including

- Assessment of the OA programme
- Providing a summary of the evidence we have received
- Delivering a set of recommendations as basis for discussion of future efforts or initiatives at national level within the Open Access publishing in HE area.
- Giving a summary of the international/European trends within the OA development
- Having an executive summary of not more than two pages.

The result of the evaluation will be presented as a power point presentation for a dedicated workshop.

Overall approach

We see this evaluation as a formative review, one that takes place while the OA Programme is in operation, for the future benefit of coming initiatives on national level within Open Access publishing.

A key aim is that the review provides information to the National Library and additional stakeholders of the OA Programme in order that they can make recommendations to the funding partners about future national OA initiatives or programmes within the scholarly e-publishing.

The review will examine the OA Programme's governance and operation, the approach taken, and its success and impact to date.

Our methodology will address the matters contained in the invitation to tender, consider direct and indirect results as well as strengths and weaknesses of the OA programme.

Specifically, we shall make assessments and recommendations on the following strategic goal and sub objectives:

➤ *The strategic goal of the programme is to promote maximum accessibility and visibility of works produced by researchers, teachers and students at Swedish universities and university colleges. For sake of clarity one can also add «by supporting e-publishing at Swedish higher education institutions». With this goal as the starting point six objectives were formulated:*

- 1. To promote co-ordination and development of standards and tools for electronic publishing at Swedish universities and university colleges;*
- 2. To promote a rapid growth of the volume and diversity of material in academic repositories;*
- 3. To promote access to and use of content in academic repositories and Open Access journals;*
- 4. To develop quality standards for content and services in academic repositories;*
- 5. To secure long-term access to digital publications and other material in academic repositories;*
- 6. To support publishing in Open Access journals and the migration of Swedish scientific journals to an Open Access model.*

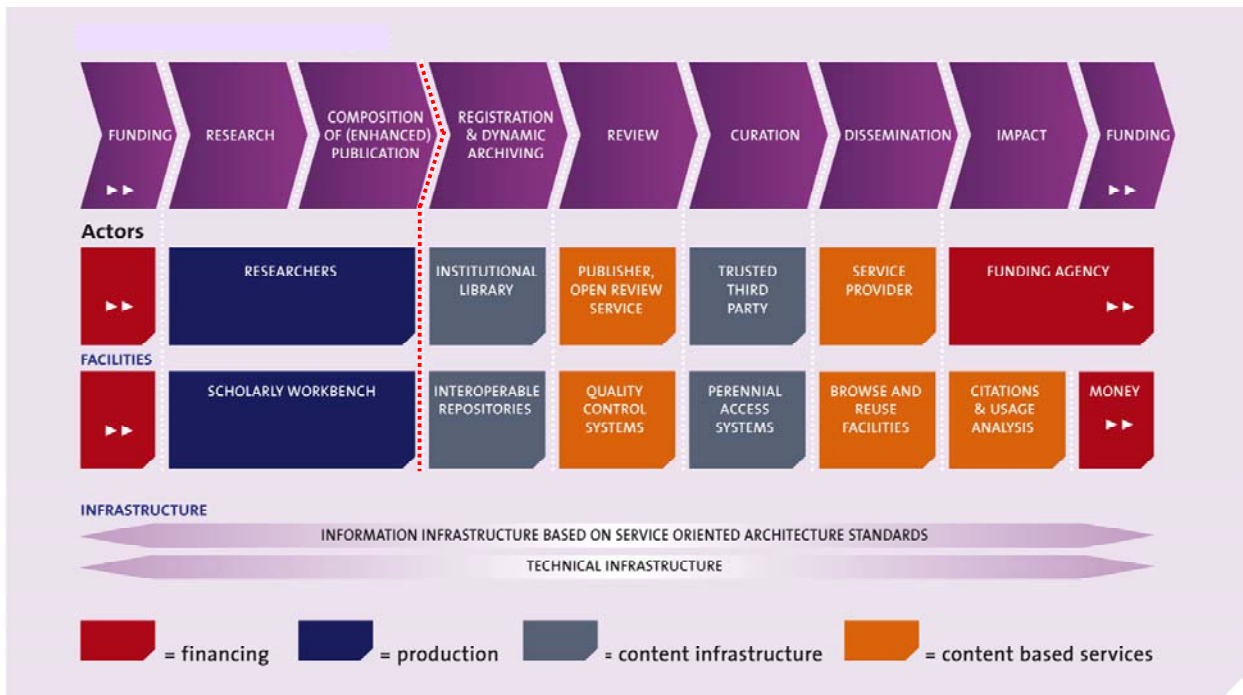
*Promoting Open Access includes a broad variety of actions, ranging from development of services to advocacy and analytical studies of the changing landscape of scientific communication. It is a strength if they can be coordinated within one organizational framework. Sweden combines the mission of a «traditional» national library with that of a national research library authority. Promoting Open Access essentially concerns the accessibility of Swedish research publications and thus fits very well with other tasks of national libraries, such as maintaining national bibliographic services, receiving legal deposit of and providing long-term access to digital documents.◀
(Jan Hagerlid, Programme coordinator)*

The key matters we shall address in the survey are:

1. Has the OA programme fulfilled the strategic goal stated for it by the partner organisations?
2. What value has the OA programme added to the work of the researchers, HE institutions and involved research organisations?
3. Have HE institutions defined and implemented OA policies?

4. What is the evidence for 1, 2 and 3?
5. Are there any general points that can be made based on the experience of OpenAccess.se?
6. Is it important and feasible to form a standing working co-operation between research libraries and the (funding) bodies of the research sector to promote Open Access? Is there a role of National libraries in promoting Open Access?

Underlying our approach is the following conceptual diagram of the research life cycle depicting the interrelated consecutive steps in the research and publication process.



The Research Life Cycle

Methodology

The process will be well structured and allows continuing revision throughout its course so that issues which have arisen can be fully considered and explored. During the process, all the stakeholders involved will be identified and their views sought, after which initial conclusions will be formed. Next, recommendations will be drafted and then developed by seeking the views of the key stakeholders. The results of this will be refined and developed into the final report.

The following instruments will be applied:

- Self assessment by the Board and Programme Coordinator
- Questionnaire survey of a selection of important project managers (15?) and stakeholders (5?)
- Interview (face-to-face or tele-interview) with selected important Board members/stakeholders (8?)
- Mini workshop for presentation of recommendations and final findings.

The survey and interviews will aim to establish the benefits of the OA Programme and to identify important issues which can further the discussions on visions for future national initiative. The evidence collected will be collated and analysed and conclusions will be

presented in a short final report (20 – 25 pages) including the analysis of Swedish achievements and European trends. Recommendations which addresses the issues itemised in the invitation for tender will be presented in a power point presentation as basis for a dedicated workshop concerning future efforts on national level.

Before the final report and presentation of recommendations at the dedicated workshop a drafted version of the report and recommendations will be circulated to a core set of stakeholders for comment. These comments will be taken into account when preparing the final report.

The evaluators

Short presentations

Leo Waaijers will act as co-evaluator and cover the European aspect of the evaluation.



Leo Waaijers (1938) studied Mathematics and Theoretical Physics in Leiden. In 1964 an almost lifelong career followed at TU Delft where he started as a scientist, including a Ph.D. in mathematics in 1968. In 1977 he switched to management, at first as the personel manager of his department, to become member of the University Executive Board from 1984 to 1988. Following discontinuation of this position he was appointed University Librarian. In this function he realized a.o. the new library building for TU Delft, the merger with the Delft University Press and the transfer to the new library system Aleph. In 2001 he accepted a corresponding post at Wageningen University & Research Centre. From 2004 to 2008 he has been manager of the SURF Platform ICT and Research where he managed the national DARE programme. In April 2008 he has won the 2008 SPARC Europe Award for Outstanding Achievements in Scholarly Communications. Currently he is an independent consultant and member of the Advisory Board of the European DRIVER project.

Hanne Marie Kværndrup will act as primary evaluator and cover the Nordic aspects.



I am educated as librarian in 1971 and was employed at the Danish Royal Library. I have worked as librarian until 1980. During the next 16 years I gained my wide experience of project management during my time as independent consultant and in previous appointments as project manager from ICT development projects, professional cooperation projects, organisation development and knowledge-sharing projects. Over the past 12 years I have been employed in the Danish Agency for Libraries and Media, primarily attached to the development and programme management of Denmark's Electronic Research Library (DEFF). My assignments have been associated with the primary management of the DEFF programme, the running of the secretariat and project coordination of DEFF in close collaboration with Bo Öhrström as executive programme manager. As secretary for the DEFF steering committee, I have taken part at strategic level in the preparation of the DEFF mission and vision as well as the policy concerning development of the digital research library through establishing and coordinating a large number of development and cooperation projects. These development projects have involved both research and education libraries, universities and institutions of higher education that do research. The last 4 years I have been involved in the Knowledge Exchange Initiative – a cooperation between JISC in Great Britain, SURFfoundation in Holland and Deutsche Forschung Gemeinschaft in Germany. My work as Partner Representative builds on my experience in international cooperation and particularly the development of knowledge-sharing activities, which I consider a great and very exciting challenge. In 2003 I was given the responsibility for the preparation of a

report on future publishing of scholarly journals in the Nordic countries. As editor-in-charge and together with an expert group I compiled the report *Future scholarly publishing – a Nordic collaboration project*. This task was commissioned by the Nordic Publishing Council (NOP-HS). During 2006 - 2009 I have gained personal responsibility as programme manager for the Nordic e-publishing programme Nordbib under the Nordic Council of Ministers and Nordforsk. The mission of Nordbib is to extend and support the development of Nordic research infrastructure and research communication, spread the knowledge of Open Access and development of the digital research library in connection with e-publishing.