TOWARD A BETTER UNDERSTANDING OF OPEN ACCESS POLICY ASSESSMENT

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Interactions between the IR, Policy, and Assessment Measures
  • Case Study: Texas Woman’s University

Moving from the Global to the Local
  • Hierarchy of Open Access Mechanisms and Goals
  • What does it look like to measure these goals?
  • How does the IR work with and separately from these goals?

Operationalizing Goals – Guided Discussion
CASE STUDY: TEXAS WOMAN’S UNIVERSITY
BACKGROUND INFORMATION:

New Scholarly Communication Librarian
New membership with the Texas Digital Library
New scholarly communication initiatives
New Repository@TWU
New policies for our new services
EXPLORING SUCCESS AND THE REPOSITORY@TWU

What would success look like for these goals?

1. Intralibrary collaborations
2. Collaborations with faculty
3. Broader faculty knowledge of the Repository@TWU, increased submissions
4. Partnerships with other University departments, increased submissions
5. Cohesive theses and dissertations collection
6. Organized repository with complete metadata
HOW GOALS FOR SUCCESS INFORM OPEN ACCESS INITIATIVES AT TWU:

Repository@TWU

Launch Vireo in partnership with Graduate School

Old content reorganization

Update Repository Policy

Retrospective Theses and Dissertation (RTD) Digitization Pilot Project (English Dept.)

RTD Policy

Faculty Outreach Initiative
TWU IR INITIATIVES & RELATED POLICIES

Collaboration
- Intra-library
- With faculty

Collection growth
- Increased submissions
- Greater variety of disciplines

Quality collections
- Cohesive ETD collection
- Complete metadata

Faculty Outreach Initiative
Launch Vireo
Reorganize old content
Retrospective digitization
Update IR Policy
CURRENT ASSESSMENT METHODS/MODELS

- U Kansas Presentation (2013)
  Links OA policy success to increase in submissions

- COAPI Survey (2017)
  Surveys type of policy, administration, and measures for assessment

- Dubinsky Article (2014)
  Snapshot of 203 Digital Commons IRs through items counts monthly for a six-month period

- Shorey Survey (2016)
  Surveys IR infrastructure, including policies, administration, and content
WHAT DO THEY MEASURE?

Policy Development
- What stakeholders were involved in creating the policy?
- How long have you had the policy?
- Who does it affect?

Repository Infrastructure
- What IR Platform do you use?
- Mediated or Self-Submission Deposits?
- What resources have you dedicated to the repository?

Growth of Repository
- Number of Downloads
- Number of items
- Altmetrics
- Types of items

Growth of Repository Contributors
- % of Faculty Depositing Items in IR

Use Cases
- Anecdotal
- Focus Groups

External Use
- Tracking referral sources
- Map of user locations via IP Addresses

Are these measures able to tell us whether or not an OA Policy is successful?
While these items are supposed to work together, each separate item has its own affordances and constraints, disconnecting what they *should* do from what they *can* do.

These seem to work together, but do they?
If we accept this cycle beginning at the global level, with national and institutional policies both shoring up the open access movement...

How can the institutional repository be a real medium for assessing the goals of global, national, or even institutional open access movements?

Instead of using the IR to assess open access participation from the “bottom” up, can we distill these goals into means of measurement that incorporate the IR without relying upon it as the sole means of proof?
We cannot know how to measure success until we define what that means to us.
Removing access barriers to this literature will accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge.
BOAI CONCEPTS AND GOALS

Accelerate Research
Enrich Education
International Interchange of Ideas
Uniting Humanity
"UNT is obligated to make its faculty scholarship available to the widest possible audience by adopting an open access mechanism for UNT Community Members’ scholarly products. Increased access and visibility of the scholarship serve UNT Community Members’ interests by promoting greater reach and impact, and the University’s and its community members’ status and reputation are enhanced when the scholarship is easily discoverable and accessible. UNT Libraries play an essential role in providing broad access to community members’ scholarly works and ensuring long-term stewardship and preservation of these works, irrespective of format. UNT Community Members recognize the potential of open access as a means to carry out their commitment to disseminate the products of their scholarship."

UNT Policy 06.041 Open Access, Self-Archiving, and Long-term Digital Stewardship for Scholarly Works
RELATIONSHIP OF UNT OA POLICY WITH GLOBAL POLICIES

BOAI

- Accelerate Research
- Enrich Education
- International Interchange of Ideas
- Uniting Humanity

UNT OA Policy

- Widest possible audience
- Adopting an open access mechanism
- Increased access and visibility
- Community members’ status and reputation are enhanced
- Long-term stewardship and preservation, irrespective of format
IR ASSESSMENT MEASURES

What they *might* measure:
- Locations of users
- Downloads
- Views
- Altmetrics

What they *don’t* measure:
- Participation rates
- OA Items *not* in the IR
- Syllabi using OA items
- Locations of co-authors

Is this *enough* to make any kind of definitive statement regarding an the “success” of the institution’s OA policy?
HOW DO BRING THESE MEASURES TOGETHER?

- Decide what “success” means to you
- Decide on units of analysis
- Set up a formal means of assessment – and repeat it

You will not be able to capture everything. Decide what is “good enough” for satisfying your goals.
Radical Thought:
What if OA statements incorporate measures of “success” that work in addition to instead of only through repository metrics?

Less Radical Thought:
How might changing IR platforms provide an opportunity to reflect on assessment and success?

More mundane thought:
How do we know when an institutional OA policy is successful?
# Operationalizing the Goals

Operationalize: To define a concept or variable in such a way that it can be measured or identified (or “operated on”).

When you operationalize a variable you answer the questions:

<table>
<thead>
<tr>
<th>How will I know it when I see it?</th>
</tr>
</thead>
<tbody>
<tr>
<td>How will I record or measure it?</td>
</tr>
</tbody>
</table>

Example: In a study of the academic achievement of poor schoolchildren, “poor” could be operationalized as eligibility for a subsidized lunch program, “achievement” as grade point average.

## Operationalization

“...can be seen as a **translation** process in which theoretical **concepts and constructs** are **translated into observable variables** by specifying empirical indicators.”

### Concept

“**abstraction** formed by generalizations from particulars”

### Construct

“a **symbol** to which (numerical or categorical) **values are assigned** as a result of a measurement operation.”

### Variable

The operationalized construct.

### Measurement

The method of or **set of rules** for quantifying differences in attributes of the variable.

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OPERATIONALIZING RESEARCH

Concept
Construct
Variable
Measurement
TWU IR INITIATIVES & RELATED POLICIES

Collaboration
- Intra-library
- With faculty
- Define “collaboration”
- Variable or units?
- Measures?
  - Count, rate, increase, variety, impact

Quality collections
- Cohesive ETD collection
  - Magnitude
  - Scope
  - Complete metadata
  - Extent of record completeness
  - Extent of findability

Collection growth
- Increased submissions
- Greater variety of disciplines
- Count, rate, change, variety, impact
BOAI GOALS AND HOW THEY MIGHT BE MEASURED

**Accelerate Research**
- "Accelerate"
- "Research"
- Time to first citation

**Enrich Education**
- "Enrich"
- "Education"
- Extent of OA in curricula.
- References to OA items in syllabi.

**International Interchange of Ideas**
- "International"
- "Interchange"
- "Ideas"
- Citations of first-world articles in second-world publications and vice versa.

**Uniting Humanity**
- "Uniting"
- "Humanity"
- Locations of collaborators or co-authors
UNT GOALS AND HOW WE MIGHT MEASURE THEM

Widest possible audience
- “audience”
- “widest”
- Location of users

Adopting an open access mechanism
- “adopting”
- “open access mechanism”
- Use and development of institutional repository for open access

Increased access and visibility
- “access”
- “visibility”
- “increased”
- Extent of otherwise pay-walled articles made available in IR
- Extent of views of items contrasted with # of views from journal site
## UNT Goals and How We Might Measure Them

<table>
<thead>
<tr>
<th>Community members’ status and reputation are enhanced</th>
<th>Long-term stewardship and preservation, irrespective of format</th>
</tr>
</thead>
<tbody>
<tr>
<td>“community member”</td>
<td>“long-term”</td>
</tr>
<tr>
<td>“status”</td>
<td>“stewardship”</td>
</tr>
<tr>
<td>“reputation”</td>
<td>“format”</td>
</tr>
<tr>
<td>“enhanced”</td>
<td>Extent of formats available</td>
</tr>
<tr>
<td>Inclusion of OA language in promotion and tenure documents</td>
<td>Extent of articles available that are no longer accessible outside of IR</td>
</tr>
</tbody>
</table>
PUTTING IT ALL TOGETHER

- Participation
- Disciplines
- Comprehensiveness

Community

- Repository
- Extent of coverage
- Complete metadata
- OA publishing

Mechanisms for publishing & long-term stewardship

OA works

- Subjects
- Formats
- Currency
- Historical

External community

- Scope of...
- Geographic
- Disciplines
- Uses
- Citation
- Innovation