

Portfolio Review: Public Access to Publicly Funded Resources

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Framing the Portfolio

The goal of the Public Access Initiative is to expand access to knowledge by advocating for public access to publicly funded research and educational materials. To achieve this goal, the Information Program seeded and worked to strengthen the Open Access to Research (OA) and Open Educational Resources (OER) movements. The Public Access Initiative falls within our broader field of Access to Knowledge and will be the focus of this review, which examines our work from 2011-2013.

OSF has continued to evolve our work since helping to define Open Access¹ to Research: first, we supported the development of alternative business models for academic journals, and then went on to target the world's largest research funders to advocate for public access to publicly funded research. With the success of this strategy for research outputs, our work expanded to advocate for public access to publicly funded educational resources.

Our Ambitions

Research and educational materials are often difficult to access for many in low- and middle-income countries, and even for some at the wealthiest institutions in the world. To broaden access to learning throughout the world, OSF helped to develop a strategy of advocating for public access to publicly funded research and educational materials. For research outputs, we organized a meeting which defined Open Access and then supported the development of a movement around it. With educational materials, the Hewlett Foundation defined Open Educational Resources,² and OSF then worked with the Shuttleworth Foundation to organize a meeting³ which introduced the strategy of advocating for public access to publicly funded educational materials.

Internally, our work on public access is neither driven by accountability to taxpayers nor value for money, but grounded in a citizen's right to knowledge. Mphatso Nguluwe teaches nursing in Ekwendeni, Malawi, and strives to share the most up-to-date information with her students. In her quest to find the most recent research on HIV transmission, she pores over abstracts of peer-reviewed journal articles. The full-text articles are just a click away, but a single article costs more than an average monthly salary in Malawi. Nguluwe's frustration is compounded when experts from abroad come to her clinic to conduct research, which is then published in journals which, again, she cannot access.⁴

George Soros' support for access to scholarly content has its roots in the International Science Foundation through which he supported the Science Journals Donation Program (SJDP). The SJDP distributed hard copies of scientific journals to Academies of Sciences and universities in the former Soviet Union and Central and Eastern Europe. In 2000 Mr. Soros decided he no longer wanted to pay the journal shipping costs and asked the SJDP, which had become part of the new Information Program, to find an alternative method to provide access to scholarly content for academics in the region. This led the Information Program to organize a meeting in Budapest which brought

¹ Open Access is the free availability of scholarly articles on the public internet, permitting any user to read, download, copy, distribute, print, search, or link to the full texts of the articles, <http://goo.gl/eM3RMx>.

² Open Educational Resources (OER) are teaching, learning, and research resources that reside in the public domain or have been released under an intellectual property license that permits their free use and re-purposing by others. OER include full courses, course materials, modules, textbooks, streaming videos, tests, software, and any other tools, materials, or techniques used to support access to knowledge, <http://goo.gl/eMcF89>.

³ Cape Town Open Education Declaration, <http://goo.gl/g4XH5R>.

⁴ Chuck Sudetic, OSF Annual Report, 2006, pp 95-97.

together leaders who were exploring alternative publishing models. The meeting participants produced the Budapest Open Access Initiative (BOAI) which defined Open Access.

To better facilitate the transfer of knowledge globally, OSF advocates for mandates by the world's largest research funders to make their materials publicly available while, at the same time, building capacity in low-and middle-income countries to enable scholars in these countries to contribute their valuable knowledge to the global research and education commons.

Likewise, the beauty of OER is the ability to share, adapt, translate, and update educational materials. The movement has its roots in the old tradition of public education. OER are adapting for the age of technology where public investment is not only bricks and mortars, but content which can be openly shared. OER are taking education as a public good into the digital age.

Access to educational materials varies considerably across the world. Many in low- and middle-income countries simply do not have textbooks, or those they do have, are woefully out-of-date. This is exemplified by the story behind the launch of Siyavula Education, an OER technology company, founded by Mark Horner. Horner, a physicist, was approached by students at a high school science fair in South Africa and asked to write down a few simple equations. The students returned the next day with the same request and when Horner asked why they simply didn't refer to their textbooks, he was told they do not have any. Today, Siyavula produces open textbooks which are printed by the South African Ministry of Basic Education and have thus far been distributed to 10 out of the 11 million K12 students in the country. OSF provides capacity building support to Siyavula and discussions are underway for Siyavula's expansion beyond South Africa.

Because educational systems are usually national, OSF developed a strategy of supporting OER in pilot/target countries. Our work on OER has predominantly been focused on textbooks to date, as these are the resources typically funded by governments. Open textbooks offer the possibility of providing higher quality content (as they are easier to adapt and update) and are less expensive than traditional textbooks. These textbooks, while available online, can also be printed and distributed to students who do not benefit from online connectivity. In addition, OER offer the flexibility to provide highly modular educational content, as well as materials which are tailored for personalized learning.

In our 2014-2017 strategy, this body of work has been categorized as field support under the broader heading of Access to Knowledge, which also includes our work on intellectual property reform. While we are transitioning to provide support to the field, this review is of our work from 2011-2013, during which time our support was targeted and almost exclusively focused on project funding. The average annual budget for this portfolio in 2011-2013 was \$807,083. In addition to a review of our work over this three year period, background information on OA and OER is provided in order to contextualize current developments. The tools used in this portfolio are project grants, advocacy, and communications. Details of the use of these tools are included in Annex 1.

Our Place

State of Field

Open Access has changed the field of Scholarly Communication. We are seeing the movement make headway in pushing the \$8 billion scholarly journal publishing industry towards OA; today, it is estimated that 30% of research articles are available through OA.⁵ All major commercial journal publishers now offer an OA option. This represents a seismic shift; when OA was defined, many

⁵ Gargouri, Yassine & Stevan Harnad, University of Quebec at Montreal (graph included as Annex 3).

publishers publicly dismissed it. In response, OSF reached out to the publishers to introduce the OA model and developed business guides for OA journals.⁶ We went on to organize a series of workshops with the Association of Learned and Professional Society Publishers, during which their members experimented with the OA business model and eventually adopted it for many of their journals.

The BOAI offered two paths to achieving OA; the creation of OA journals and the development of open archives or repositories where copies of full-text journal articles are deposited. Such repositories are maintained by research funders (such as the U.S. National Institute of Health's PubMed Central) or universities, where all the intellectual output of an institution can be captured. The result of the public access strategy for research outputs has seen the development of more than 300 mandates⁷ by research funders and universities for deposit of articles into repositories, including a policy by the world's largest research funder, the NIH, which currently funds approximately \$30 billion of research annually.

While publishers are offering OA options, they continue to fight public access policies. Today, instead of directly opposing such policies, their tactics have shifted to influencing the development of these policies for their own benefit. This is exemplified by the OA policy adopted by the Research Councils in the UK, which provides funding to support British academics to publish in OA journals, as opposed to the route taken by most national policies of requiring deposit of articles in repositories. To free up funds necessary to pay the article processing fees for authors to publish in OA journals, the Research Councils elected to take funding away from universities' research budgets, a move not popular with academics.

As compared to research outputs, which have seen significant gains from employing the public access strategy, OER policy is just gaining traction. The largest victory to date has been a \$2 billion investment⁸ by the US Departments of Education and Labor to develop OER for community colleges as part of a larger job-training program. Hal Plotkin, the Senior Policy Advisor to the Under Secretary of Education, and a long-time OER advocate, spearheaded the development of this program.

Unlike OA, which has successful open journal publishers in the Public Library of Science, BioMed Central and Hindawi Publishing, the OER publishing field has experienced setbacks, including a course reversal by the leading open textbook publisher, Flat World Knowledge. Flat World, under pressure from its investors, abandoned the use of open licenses which resulted in the departure of its innovative young founder, Eric Frank. However, the popular Connexions platform recently transformed itself (with substantial funding from the Hewlett and Arnold Foundations) into a non-profit open textbook publisher focused on higher education. For K12, Siyavula Education, out of South Africa, is the market leader, doing the most innovative work.

MOOCs (Massive Open Online Courses) have recently sparked a great deal of excitement within the field of higher education. However, the "open" in MOOCs refers to open enrollment, not necessarily open content, as the majority of MOOCs do not use open licenses and therefore are not OER.

⁶ Open Access Journal and Business Guides, BOAI, <http://goo.gl/4jhhjs>.

⁷ ROARMAP: Registry of Open Access Repositories Mandatory Archiving Policies, <http://roarmap.eprints.org/>.

⁸ Hal Plotkin, "New Job Training and Education Program", *White House Blog*, January 20, 2011, <http://goo.gl/PaAadG>.

Our role

Historically, OSF has united movements to develop high-level strategy. This includes the BOAI, the Cape Town Open Education Declaration, which emerged from the meeting organized by the Shuttleworth Foundation and OSF, and the BOAI10,⁹ which offers recommendations for the next ten years of the OA movement and arose from a meeting OSF organized in 2012 to mark the 10th anniversary of the BOAI.

OSF's role of piloting the public access strategy in a few countries (most notably Poland and Brazil) served as a model for the Hewlett Foundation to fund UNESCO to support the development of OER policies in target countries.

Building synergies between the two movements and specifically sharing the success of the OA public access strategy with the OER movement has been a major focus of our work since 2008. Today we are seeing the two movements converging, largely due to the alignment of strategies, with OER feeding off the success of OA.

Please see Annex 2 for a list of the key players in the field.

Our Work

Initially launched as independent initiatives, our work on OA, intellectual property reform, and OER, has now been united under the broader umbrella of Access to Knowledge. Our OA and OER portfolios were merged into a single Public Access Initiative, following discussions with our Advisory Board in 2012, during which the Advisory Board suggested to combine the programs, as a similar strategy underpins both. This was not merely an internal realignment, as we are now seeing many of our grantees focusing on both areas as part of a single converging field. In the US, our grantee SPARC, the major champion of OA, recently expanded their mandate to include OER and Open Data. In Poland, our grantee, Centrum Cyfrowe Projekt:Polska, was one of the first organizations to advocate for both OA and OER and spearheaded the development of a national Bill on Open Public Resources. Internationally, the Open Policy Network (OPN) is the best example of the convergence of the two movements, as the OPN, a membership organization, advocates for open policies globally.

When asked, our grantees point to the strong underlying philosophical and practical synergies between OA and OER. While there will always be differences in how the framework of openness is implemented in different spaces, the more advocates can describe their work as being part of one larger movement, the stronger they believe they will be.

To continue to experiment with and evolve our work, OSF began to explore the larger field of Open Science in 2011. Open Science involves making the process of scientific research itself open through the use of open lab notebooks, open research data, and citizen science. However, due to the diversity and size of the field, we were unable to identify an effective strategy and ceased funding in this area in 2013.

Successes (2011-2013):

- European Union's Horizon 2020 OA Policy: The EU Framework Program for Research and Innovation mandated that all €80 billion of research it funds must be OA. Alma Swan of

⁹ BOAI10 Recommendations, <http://goo.gl/uxM6K2>.

SPARC Europe worked with the European Commission for years to secure this policy and continues to monitor its implementation.

- **Two Open Textbook Programs Launched in Poland:** In 2012, the Digital Schools' Program was approved which includes \$14 million for a pilot to create open textbooks for K12. Our grantees, Centrum Cyfrowe Projekt:Polska and the Modern Poland Foundation, which manages the Coalition for Open Education in Poland, spearheaded the development of this program. In addition, while outside the timeframe of this review, it is worth noting that in March of this year, the new Minister of Education launched her own initiative to develop an open textbook for the first grade.
- **Executive Directive on Increasing Access to the Results of Federally Funded Scientific Research:** The White House issued an Executive Directive which instructs the largest federal research agencies with total funding of approximately \$60 billion to develop public access policies. While a noted success as it demonstrates the Administration's support for public access, the Directive is not binding. SPARC collaborated with the White House's Office of Science and Technology Policy to develop the Directive and is currently working to codify the Directive into law through the passage of legislation.
- **2012 Paris Declaration on OER:** UNESCO adopted the Paris Declaration on OER which includes a recommendation to encourage Member States to openly license educational materials created with public funds. Although UNESCO is a frustrating partner without significant funding capacity, policy makers, and especially Ministries of Education, look to it for guidance in the development of education policies. OSF partnered with the Hewlett Foundation to fund regional consultations leading up to the meeting in Paris.
- **Engagement of students in OA and OER movements:** Until 2011, students, an important stakeholder in the scholarly communication system, were not specifically targeted by the OA and OER movements. This was corrected when Hewlett began supporting Nicole Allen to develop a campaign on affordable textbooks (which transitioned into a campaign for public access to educational resources) with the StudentPIRGs, and OSF (with the Youth Initiative and Information Program providing co-funding) supported the development of the Right to Research Coalition (R2RC) by our long-time grantee, SPARC. The StudentPIRGs and R2RC brought new energy into the field. In 2013, Nicole Allen joined SPARC as the director of OER, and together with Nick Shockey, the director of R2RC, has placed students at the center of the public access debate.
- **Internationalization of the Connexions platform:** After OSF entered the field of OER in 2008, we belatedly discovered there was no internationalized platform which would allow users to translate the interfaces, a prerequisite needed for the use of a platform outside the English-speaking world. After much research and consultation with the community, the Connexions platform out of Rice University was identified as the best platform. In 2011, OSF recruited the Hewlett Foundation and Google to partner with us on the complete redesign and internationalization of the platform. Beyond meeting the need for a high-quality internationalized platform, having the community unite around one platform holds the potential of reducing overall costs as many OER projects set out to create their own platforms, thus recreating the wheel each time and wasting scarce resources.

- Why OER Matters Video competition: OSF supported a partnership between the Department of Education and Creative Commons to create a set of videos (<http://whyopenedmatters.org/>) to explain why OER are important. As OER are still relatively new, many in the movement felt it was necessary to better explain the basic concepts of the movement. The videos have been widely used and are being translated into many languages including into Kyrgyz by the Soros Foundation Kyrgyzstan.
- Open Access mandates in low- and middle-income countries: Through the work of our grantee, the EIFL Open Access Program, 21 OA mandates have been adopted by universities and research funders in low-and middle-income countries over the past three years.¹⁰

OSF contributed to these accomplishments by networking our grantees, sharing lessons learned across movements and countries, and championing the strategy of public access (even when we weren't sure it was going to work!). OSF played a leading role in high-level strategy development as seen in the BOAI10 meeting. In addition, OSF worked with our grantees and the U.S. Department of Education to insert the public access recommendation into the Paris OER Declaration.

Disappointments

- Reluctance of other major funders to support OA policy development. Other funders, such as the Wellcome Trust, the Max Planck Society, the European Commission, and the Sloan Foundation support OA infrastructure and publishing initiatives. However, OSF is the only funder to support OA advocacy. This could be tied to the issue of branding discussed later in the document.
- Our inability to develop an effective strategy for Open Science.
- Veto of OER bill in State of Sao Paulo. The State Legislature approved a bill to mandate public access to publicly funded educational resources in the State of Sao Paulo, and as the State is the largest funder of textbooks in the country, this would have been a huge victory. Unfortunately, our grantee took the governor's approval for granted and was unaware that he vetoes 90% of bills approved by the legislature. This points to more capacity building needed of our grantee and to a broadening of those we support in the country in order to bring on more policy expertise. We are fortunate to have Pedro Abramovay to collaborate with, as he knows our grantee and is advising on policy development.
- General slow development of OER policies.

Lessons learned

- Better communication needed with other OSF units during strategy development: Sharing our strategies seems to have seeded interest in OER in the foundations. The Education

¹⁰ Ministry of Education and Research, Estonian Research Council (Estonia); Kwame Nkrumah University Of Science and Technology (Ghana); University of Nairobi, Kenyatta University, Jomo Kenyatta University of Agriculture and Technology, Strathmore University (Kenya); Mykolas Romeris University and Lithuanian University of Health Sciences, Lithuanian Research Council (Lithuania); Academy of Economic Studies (Moldova); Covenant University (Nigeria); Belgorod State University (Russia); University of Johannesburg, University of South Africa, University of Cape Town (South Africa); Donetsk National Technical University, Kharkov National Medical University, Sumy State University, Ukrainian Academy of Banking of the National Bank of Ukraine, Vinnytsya National Agrarian University (Ukraine).

Support Program is now our strongest internal partner and several national foundations and spin-offs are beginning to work on OER. Kyrgyzstan included OER in its strategy (with \$100,000 in its budget for 2014) and Tajikistan has proposed collaboration at the regional level. However, we did not learn of the interest from the national foundations until earlier this year, which is not optimal, given that much capacity building is needed when working with new OSF units.

- Caution needed with high-level policy development: In 2012 we worked with the U.S. Department of Education and Creative Commons to advocate for the development of OER policy by the OECD. While many countries supported the policy, it was defeated in the end. In hindsight, this was probably for the best, as I believe more grassroots awareness raising and community building is needed at the country level instead of quick policy wins.
- Importance of development of National OER Advocacy Coalitions: Our grantees in Poland and Brazil developed national coalitions of grassroots activists to advocate for OER.¹¹ This model is now being replicated in other OSF target countries, as well as in countries where OSF does not support work.
- Caution needed when replicating projects across fields: While we have seen success in building synergies between the OA and OER movements, especially around advocacy, we have supported OER projects which have tried to replicate key OA tools, without success. These include the OER policy registry, which was created by Creative Commons based upon ROARMAP, a tool which tracks the development of OA policies. What we've found is that an OA policy is much easier to define, whereas it is harder to set the parameters of an OER policy and properly categorize it. Likewise, we supported the development of OER News, based upon the successful OA News written by Peter Suber. OER News, while written by David Wiley, one of the founders of the OER movement, never gained the same traction as OA News; I believe this is because OA News started before the OA movement, whereas OER News began when the movement was already established. In the future, we will continue to build synergies between the movements but will not try to directly replicate projects.
- Better research on OER platforms should have been conducted before entering field: The delay in providing an internationalized platform may have delayed uptake of OER in some countries.
- In our OER pilot countries of Poland and Brazil, we were able to identify early adopters to support awareness raising, community development, and advocacy. Going forward we will apply additional criteria for the selection of new countries. The factors the Education Support and Information Programs have identified thus far are:
 - Number and level of commitment of potential OER advocates within a country at different levels of education;
 - Presence of open communities (i.e. Creative Commons national chapters, Open Access, Open Data, Open Government, and Open Culture leaders) which could build synergies and further support OER development;
 - The flow of public funding for the development of textbooks as well as the costs of textbooks within a country which can encourage cost efficiency considerations in favor of OER; and

¹¹ Coalition for Open Education in Poland, <http://koed.org.pl/english/>; OER-Brazil, <http://www.rea.net.br/site/>.

- The quality and quantity of educational resources available at the different levels of education; the lack of which can encourage the development of OER.

Reflections on our work

- Branding of our work: When OSF launched the BOAI in 2002, we tried to recruit other funders to partner with us, as we hoped to demonstrate broad support for the concept of OA from the beginning. We were spectacularly unsuccessful in bringing other funders onboard, and as a result, when the BOAI was released, OSF independently pledged \$3 million to the development of OA, resulting in the movement becoming closely identified with George Soros and OSF. However, by 2003, OSF had developed the public access strategy¹² and saw that it would be disadvantageous for OA to be closely associated with Soros, given the politics involved. We then curtailed our public profile and began to put forward our grantees. In hindsight it is difficult to say if our close association with OA from the beginning was the wrong approach. Certainly the participants at the BOAI meeting were clear that for OA to be taken seriously it needed a large funder to publicly support it.
- Target country strategy for OER: in 2007, our advisory board asked that the program begin to explore what role OSF could play in the growing field of OER. As the Hewlett Foundation had defined OER in 2002 and was spending millions annually to create a field around, it was not obvious what OSF could do with our limited funding. However, after researching the field it was clear that Hewlett was supporting large institutional projects, predominantly in the US. We followed the same pattern as we had with OA and, together with the Shuttleworth Foundation, brought together leaders in the field to strategize on the steps needed to further develop the movement. As mentioned earlier, the meeting produced the Cape Town Open Education Declaration, which first offered the strategy of advocating for public access to publicly funded educational materials. To test the strategy, we needed to identify pilot countries which were interested in the model and were fortunate to have strong OER advocates in Poland and Brazil. We supported these leaders to first introduce the OER model in their country and then build a community around it. Looking back, it is difficult to determine if this was the right approach. It did offer an alternative (and less expensive) strategy to Hewlett's, and for OER to succeed I believe government funding needs to be redirected, for it is impossible to support a movement of this kind solely through philanthropic funding.

As mentioned, we are transitioning to provide support to the field for this portfolio in 2014-2017. However as this review is of our work from 2011-2013, during which time our support was almost exclusively project funding, questions on concept/initiative are addressed.

Progress towards achieving goals

The public access strategy for research outputs has seen success; as cited earlier, today nearly 30% of journal articles are openly available. However to reach the tipping point of 50%, a mark agreed upon by the OA movement and OSF, greater incentives for researchers to make their work OA must be developed and adopted at the institutional level. This is an area OSF proposes to explore and is discussed below.

¹² The Public Access strategy for Open Access arose from a meeting with Mort Halperin, Peter Suber, Gigi Sohn (of Public Knowledge), and the Information Program.

As applied to educational materials, the public access strategy is beginning to show results, albeit at a slower pace than that of research outputs. Within our target countries, it may be necessary to switch partners in Brazil or to augment the work being done by our grantee, IED. We have been exploring this option for several months, but are struggling to identify the right partner to bring onboard.

Interestingly, in Poland, our grantee, Centrum Cyfrowe Projekt:Polska, is grappling with its success, after achieving their goal of developing open textbooks for K12. As this was done through a government project (with funding set to expire in 2015) instead of the adoption of new policy, they feel it necessary to continue to advocate for real policy change, which would be achieved through the passage of the Bill on Open Resources.

The Way Forward

Over the years, our work has targeted publishers and then research funders to advocate for open policies. Now we would like to explore creating greater incentives for academics to make their work openly available. When considering the carrot and stick approach, the majority of our work has been focused on applying pressure to make content open, and now, in order to reach the tipping point, more incentives for academics to make their work open need to be developed and adopted at the institutional level. The current system of academic evaluation relies heavily on the journal impact factor, which, beyond being a flawed measurement,¹³ is outdated given the current outputs of academics go far beyond simply publishing in journals.

Bernard Rentier, the Rector at the University of Liege in Belgium, developed an enlightened approach to OA by linking it to the tenure and promotion process. All work to be considered by the tenure and promotion committee in Liege must be deposited in the university's repository, thereby making it OA. OSF has done some work on the development of alternative or enhanced metrics, including supporting the Beyond Impact project in 2011 out of which the leading alternative metrics project, Impact Story, was developed. One idea is to create a new concept around the development and adoption of alternative metrics targeted to a specific field, such as economics. The Institute for New Economic Thinking has expressed its frustration with the current model of academic evaluation and would like to explore collaborations in this area.

Today we are working with other OSF units (i.e. national foundations, network programs, and spin-offs), to select target countries for the development of national OER policies. Several national foundations in Central Asia are considering developing a regional initiative on OER. While the growing interest in OER is encouraging, much capacity-building is needed in the region.

One slightly modified approach to OER we are considering is supporting the development of quality content in a country which could lead to OER policies as opposed to supporting the development of OER policies which then support the development of content. Siyavula created high quality open textbooks which are printed and distributed by the South African government. Siyavula has approached OSF as they are interested in exploring the use of their content beyond South Africa.

In addition, one interesting area we are beginning to explore is the intersection of Big Data and OER. The field of personalized learning, currently being targeted by the OER community as a possible revenue stream, runs the risk of collecting untold amounts of data on students, who are more than willing to share their private details in exchange for a free education. We would like to see what OSF could do to work with the OER community to highlight concerns of open data

¹³ Mike Rossner, "Show me the data," *The Journal of Cell Biology* (December 2007), <http://goo.gl/5h5AUl>.

analytics for personalized learning. This could fall within the Information Program's initiative on Big Data and Open Society.

Questions for Discussion

- Branding of our work: As discussed under Lessons Learned, OSF closely associated ourselves with OA when we launched the BOAI in 2002, only to reign in our public profile a year later when the public access strategy was developed. However OA remains closely associated with Soros and OSF which raises the general question of the branding of OSF's work. How closely does OSF wish to be identified with issue areas it supports?
- Should we do more to support alternative metrics of academic evaluation?
- OER strategy: Does the pilot/target country approach for OER policy development seem appropriate? Planned expansion in Central Asia, Central and Eastern Europe, and possibly Latin America.
- Field vs. concept: Have we properly categorized this body of work going forward as support to the field? Would a better description be "targeted field support"? OSF does play a role (as exhibited by the BOAI10 meeting) beyond providing support to major players in the field.
- MOOCs: We have not engaged with MOOCs, beyond advocating for the use of open licenses. Is there more we should be doing?

Annex 1 | Elements of Public Access Portfolio 2011-2013

GRANTEE	PROJECT NAME	AMOUNT (\$)	DESCRIPTION
2011 Project Grants			
Association of Research Libraries	Open Access Education and Communication	70,000	to support SPARC's Open Access (OA) advocacy and communication efforts
Stichting eIFL.net	EIFL Open Access Program	91,354	to support the EIFL OA program to advocate for OA in 47 developing countries
Association of Research Libraries	R2RC Engagement and Resource Building Campaign	45,000	to support the Right to Research Coalition, under the umbrella of ARL/SPARC, to promote OA and OER through mobilizing students; co-funded with Youth Program (\$45,000)
Public Library of Science	Research Funders' workshop	17,010	to support the Public Library of Science to organize a workshop to advocate for the development of OA policies by private research funders
Open Knowledge Foundation Deutschland e.V.	Wikimedian in Residence on Open Access Year 1	47,850	to raise awareness of OA within the Wikipedia community
Creative Commons Corporation	OER Video Competition	80,852	to develop a video competition which will produce a set of high quality videos that communicate what Open Educational Resources (OER) are and why they are important
William Marsh Rice University	Redesign & Internationalization of the Connexions platform	183,000	to support the re-design and internationalization of the Connexions OER platform; co-funded with IP's Toolsets portfolio (\$50,000), Hewlett (\$275,000), & Google (\$220,000)
Creative Commons Corporation	OER Policy Registry	40,000	to develop a registry of OER policies
Open Knowledge Foundation	Panton Fellowships	40,200	to support the development of a fellowship program to promote the use of the Panton Principles for Open Data in Science
Instituto Educadigital	OER Brazil	78,850	to support awareness raising, community development and advocacy for OER in Brazil; co-funded with LAP (\$40,000)
OSI Macedonia	OER Macedonia	36,748	to support awareness raising and the development of an OER coalition in Macedonia; co-funding with OSI Macedonia (\$11,012)
Modern Poland Foundation	Promotion of Open Education in Poland	32,800	to support awareness raising and community building around OER in Poland by the Coalition for Open Education
Foundation Projekt: Polska	Open Public Resources Policy in Poland	39,400	to advocate for public access to publicly funded educational and research materials in Poland
Foundation Projekt: Polska & David Wiley	OER Policy Meeting	4,446	to support three out-of-town participants to attend an OER policy meeting organized by OSF in DC
SF Isle of Man Limited (Shuttleworth Foundation)	Connexions Conference	21,685	to support Siyavula staff from South Africa to attend the Connexions conference in Houston

GRANTEE	PROJECT NAME	AMOUNT (\$)	DESCRIPTION
2012 Project Grants			
SPARC Europe	Advocacy for Open Access policy development in the EU	20,000	to advocate for the inclusion of OA mandates in the EU's Horizon 2020 Program
Association of Research Libraries	SPARC Open Access and Education Project	40,000	to support SPARC's OA advocacy and communication efforts
Association of Research Libraries	R2RC Engagement and Resource Building Campaign	45,000	to support the Right to Research Coalition, under the umbrella of ARL/SPARC, to promote OA and OER through mobilizing students; co-funded with Youth Program (\$45,000)
Public Library of Science	Alternative and Article Level Metrics Workshop	19,000	to support Public Library of Science in the organization of a workshop on enhanced metrics of academic evaluation
Stichting eIFL.net	EIFL-OA programme for 2013-2014	126,000	to support the EIFL Open Access program to advocate for Open Access in 47 developing countries
The Big Innovation Centre	Open Access for Scholarly Books	39,576	to develop a sustainable funding and publishing model for scholarly books
Knowledge Unlatched	Knowledge Unlatched Pilot Project	100,000	to support a pilot project which will test a new model for publishing scholarly books. Knowledge Unlatched spun-out of The Big Innovation Centre
Open Knowledge Foundation Deutschland e.V.	Wikimedian in Residence on Open Access Year 2	49,680	to raise awareness of Open Access within the Wikimedia community and to facilitate collaboration between the Wikimedia and Open Access communities
Commonwealth of Learning	Arab States OER Policy Forum	30,000	to organize an Arab States regional policy forum as part of stakeholder engagement leading to the Paris Declaration on OER in June 2012; co-funding from Hewlett which supported four other regional forums
Modern Poland Foundation	Promotion of Open Education in Poland / Coalition of Open Education	42,250	to support awareness raising and community building around OER in Poland by the Coalition for Open Education
Foundation Projekt: Polska	Open Public Resources in Poland	89,650	to advocate for public access to publicly funded educational and research materials in Poland
Instituto Educadigital	OER - Brazil	88,580	to support awareness raising, community development and advocacy for OER policies in Brazil by OER-Br; co-funded with LAP (\$10,000)
OSI Macedonia	OER Macedonia	24,000	to support awareness raising and the development of an OER coalition in Macedonia; co-funded with OSI Macedonia (\$17,440)
New Policy Institute	Introducing OER concepts in Mongolia	34,290	to advocate for public access to publicly funded educational materials in Mongolia; co-funding from IDRC
26 participants	BOAI10 Meeting	48,000	to support 26 participants to attend the BOAI10 meeting in Budapest in February 2012, which produced the BOAI10 Recommendations
American University	Global Congress on Intellectual Property and the Public Interest	13,500	to support OER advocates to participate in the 2012 Global Congress on Intellectual Property and the Public Interest in Brazil
Siyavula	Open Education Conference	3,300	to support Siyavula staff from South Africa to attend the Open Education conference

GRANTEE	PROJECT NAME	AMOUNT (\$)	DESCRIPTION
2013 Project Grants			
SPARC Europe	Open Access Advocacy in the European Union and the UK	80,000	to advocate for the adoption of sound OA policies by the EU and the adoption of similar policies by its Member States. This includes countering the UK's current policy and preventing the spread of the British model
Open Knowledge Foundation	Omnibus/Multi-Program Support/2013-2015 (Open Access Policy in the UK)	100,000	to support the development of progressive OA policies in the UK
Association of Research Libraries	Right to Research Coalition Engagement and Resource Building Campaign	150,000	to support the Right to Research Coalition, under the umbrella of ARL/SPARC, to promote OA and OER through mobilizing students
Association of Research Libraries	Open Access Education and Communication	30,000	to support SPARC to expand public understanding of the benefits of OA
Wikimedia Deutschland e.V.	Open Access signalling project in Wikipedia	23,500	to develop a project which will signal the openness of scholarly references cited in Wikipedia articles, thereby raising awareness of (and appreciation for) OA in the Wikipedia community
Creative Commons Corporation	Institute for Open Leadership	40,000	to support the development of the Institute for Open Leadership which will train new leaders to spearhead the development of open policies globally; co-funded with the Hewlett Foundation (\$200,000)
Instituto Educadigital	OER Brazil 2014	93,710	to support awareness raising, community development and advocacy for OER policies in Brazil by OER-Br
Modern Poland Foundation	Promotion of Open Educational Resources in Poland	49,900	to support awareness raising and community building around OER in Poland by the Coalition for Open Education
Foundation Projekt: Polska	Study of K12 textbook production and funding models	8,500	to conduct a survey of K12 textbook production and funding models in the 28 EU Member States.
Soros Foundation Romania	Open Educational Resources in Romania	46,220	to support awareness raising and community building for OER in Romania; co-funded with Soros Foundation Romania (\$35,500)
OSI Macedonia	OER Macedonia	20,000	to support awareness raising and the development of an OER coalition in Macedonia; co-funded with OSI Macedonia (\$20,130)
Fundacion Karisma	Mapping public funding of educational resources in Latin America	49,740	to map the flow of public funding for educational resources in up to 8 countries in Latin America in order for the OER community to gauge best target countries for policy development
University of Kwa Zulu Natal	Human Rights, Intellectual Property & Access to Medicines course development	6,664	to develop a new course on human rights, intellectual property and access to medicines at the University of KwaZulu-Natal; co-funded with PHP (\$13,328)
Creative Commons Corporation	OER Strategy Meeting	5,113	to support OER leaders to attend an OER policy meeting focused on the international expansion of the movement in DC

GRANTEE	PROJECT NAME	AMOUNT (\$)	DESCRIPTION
European Organization for Nuclear Research/CERN	OAI8 conference	10,000	to support Wikimedians (those working on Wikipedia) to participate in the CERN Workshop on Innovations in Scholarly Communication (OAI8) in Geneva
The Governing Council of the University of Toronto	Wikimania	12,175	to support OA advocates to participate in Wikimania (the conference of the Wikipedia community) in Hong Kong
Fundação de Apoio à Universidade Federal de São Paulo	SciELO 15 Year International Conference	17,556	to support representatives from India and South Africa to participate in the SciELO 15 Years International Conference in Brazil
Siyavula	Open Education Conference	6,150	to support two Siyavula staff members to attend the Open Education Conference in Utah
University of Cape Town	Global Congress on Intellectual Property and the Public Interest	15,000	to support an OER track at the 2013 Global Congress on Intellectual Property and the Public Interest in South Africa
Open Knowledge Foundation	OKCon	15,000	to support an OER session at the OKConference in Geneva

Advocacy

OSPC has provided two grants to Association of Research Libraries/SPARC to advocate for Open Access policies in the US:

- \$25,000, February 2013
- \$80,000, November 2013

Communications

Cape Town Open Education Declaration, 2008 (included in list of elements as it was a pivot point for our strategy)

- Development of website for Cape Town Open Education Declaration: <http://www.capetowndeclaration.org/>
- Press release for Cape Town Education Declaration: <http://www.capetowndeclaration.org/press/english-press-release>
- Op-ed placed in the San Francisco Chronicle:
<http://www.sfgate.com/education/article/Bringing-open-resources-to-textbooks-and-teaching-3230246.php>

Meeting of leaders of the Open Access movement to develop strategies for the next ten years, BOAI10 Recommendations, 2012

- Updated BOAI site: <http://www.budapestopenaccessinitiative.org/boai-10-recommendations>
- Press release for BOAI10 Recommendations:
www.opensocietyfoundations.org/press-releases/scientists-foundations-libraries-universities-and-advocates-unite-and-issue-new
- Op-ed placed in Chronicle of Higher Education: <http://chronicle.com/article/Open-Access-to-Research-Can/136065/>

Annex 2 | Key Players

Current grantees (shifting to general support for *)

1. SPARC Europe*: a membership organization of European libraries which advocates for OA. Alma Swan, the director, is the leading advocate for OA in Europe.
2. Association of Research Libraries/SPARC*: a membership organization of North American libraries which advocates for OA and OER. Currently SPARC is housed in the Association of Research Libraries (ARL), but will soon spinout. SPARC is led by Heather Joseph.
3. Centrum Cyfrowe Projekt:Polska*: labels itself as a “think-and-do tank” focused on the development of open models for education, science, culture, and public information in Poland. Alek Tarkowski developed Centrum Cyfrowe (or the Digital Center) and is a leading advocate for OER and OA in Europe.
4. EIFL-Open Access Program*: EIFL, an OSF spin-off, raises awareness of OA in developing countries of the materials which are available through OA, as well as builds capacity in these regions to make their own academic content openly available. Iryna Kuchma heads the EIFL-OA Program.
5. Creative Commons (CC): founded by Larry Lessig, CC developed open licenses which are widely used by the OA and OER communities. CC was recently led by Cathy Casserly, the former program officer at the Hewlett Foundation who developed OER. Under Cathy’s leadership, CC became a strong advocate for OER.
 - Open Policy Network: CC recently launched the Open Policy Network, a membership organization, which works to support the development of open policies globally.

Previously supported

1. Peter Suber: de facto leader of the OA movement. OSF provided support to Suber for ten years until 2011 when he received funding from the Arcadia Fund. Last year Suber was named the Director of Scholarly Communication at Harvard.
2. Public Library of Science: Leading OA publisher. OSF supported the development of PLOS One, the first “mega journal” which now generates revenue to sustain the whole organization.
3. Connexions/OpenStax: founded by Rich Baraniuk, Connexions is a leading open textbook platform, which recently transformed itself into a non-profit open textbook publisher. Rich is one of the founders of the OER movement and participated in the Cape Town meeting.
4. David Wiley: a founder of the OER movement and currently a Shuttleworth Fellow. David participated in the Cape Town meeting.
5. Siyavula: founded by Mark Horner, Siyavula is one of the most innovative open textbook publishers. OSF is exploring supporting Siyavula’s expansion in Africa. Mark participated in the Cape Town meeting.
6. Bioline International: founded by Leslie Chan, Bioline International supports journals in low- and middle-income countries to convert to OA. Leslie participated in the BOAI meeting and has been a key partner in advocating for OA in low-and middle-income countries.
7. Directory of Open Access Journals: OSF supported Lund University Libraries in Sweden to develop a directory of OA journals.
8. Directory of Open Access Repositories: OSF and JISC (higher education funding body in the UK) supported the development of a directory of OA repositories.

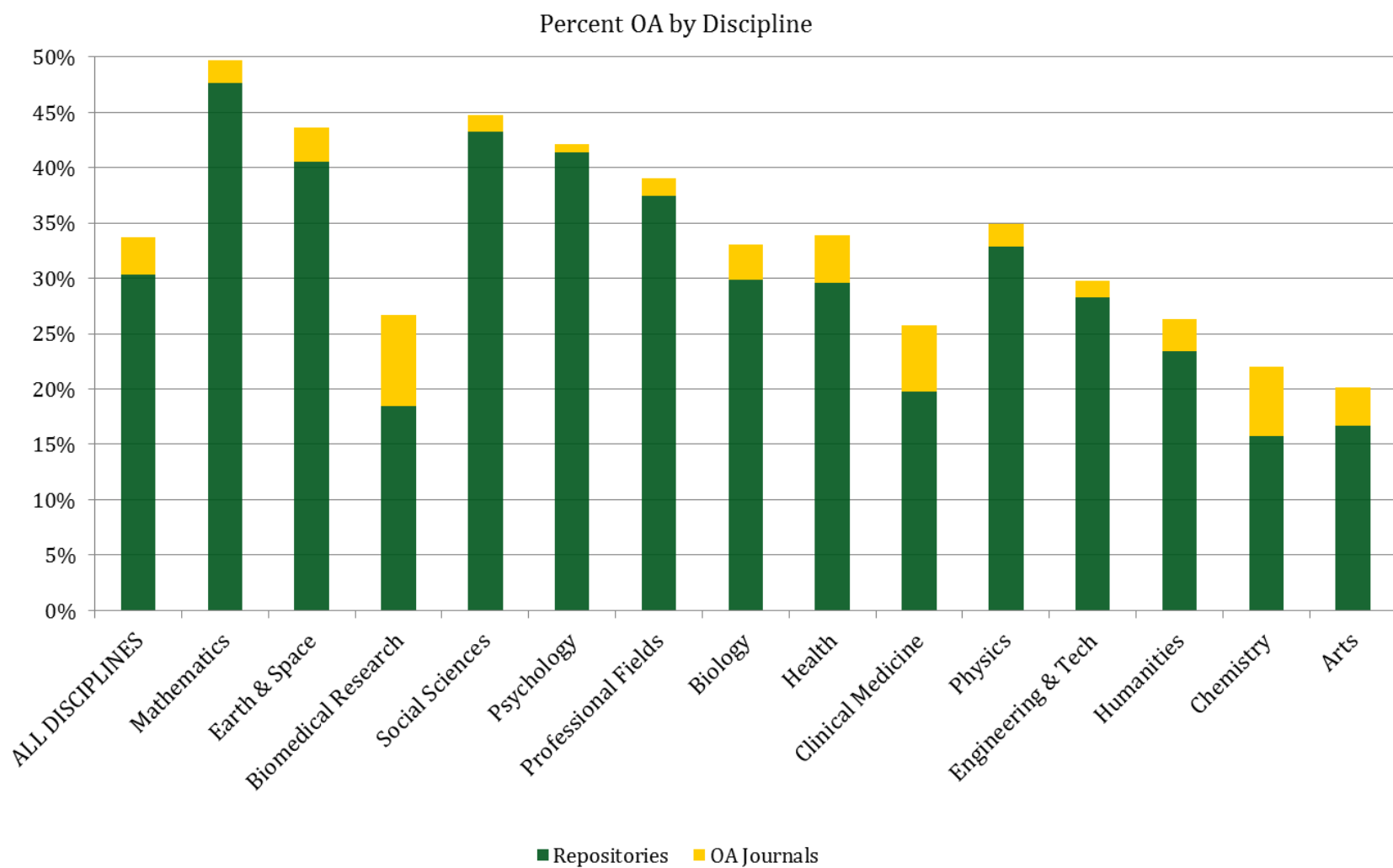
Never supported (the below list represents a sampling of OA and OER projects we do not support)

1. eLIFE: a new OA publisher launched with substantial funding from the Wellcome Trust, Howard Hughes Medical Institute, and the Max Planck Society.
2. ArXiv: a subject-based repository used by the High-Energy Physics community. ArXiv is the best-known subject-based repository and its success was an impetus for OSF to convene the meeting which led to the BOAI.
3. SCOAP3: a partnership of libraries and funding agencies which have raised funds to convert leading journals in the field of High-Energy Physics to OA.
4. Confederation of Open Access Repositories (COAR): a confederation of over 100 institutions, working globally to strengthen OA repositories.
5. OER Africa: works with higher education institutions in Africa to develop and use OER. Leading grantee of the Hewlett Foundation.
6. UNESCO, Knowledge and Information Societies Division: has programs focused on OER and OA, however they have limited funding and are generally mismanaged.

As a general rule, we have not supported the development of infrastructure, content, or platforms, with two notable exceptions.¹

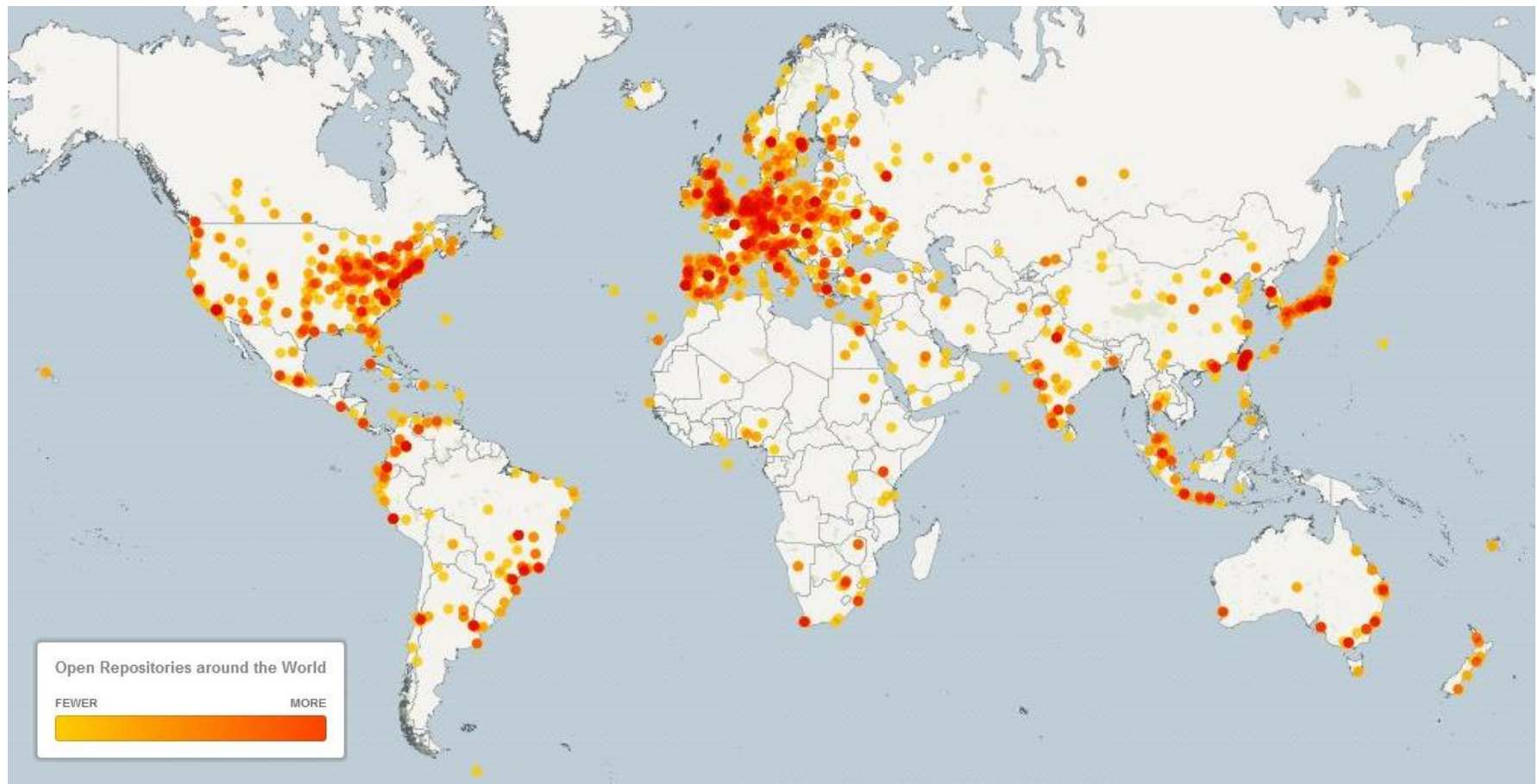
¹ In 2006 the President's office and the Information Program provided \$577,000 for the development of PLOS One, the first open access mega-journal, which has gone on to generate a revenue stream for PLOS; in addition, in 2011, the Information Program provided \$233,000 for the redesign and internationalization of the Connexions/OpenStax OER platform.

Annex 3 | State of OA Movement as of September 2013



Source: Yassine Gargouri and Stevan Harnad, *State of OA Movement as of September 2013*

Annex 4 | Map of Open Repositories



More than 12 million items are held in 3,045 repositories throughout the world.

Source: Repository 66 <http://maps.repository66.org/>