

PASTEUR4OA

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# How to design an effective open access policy for a funder

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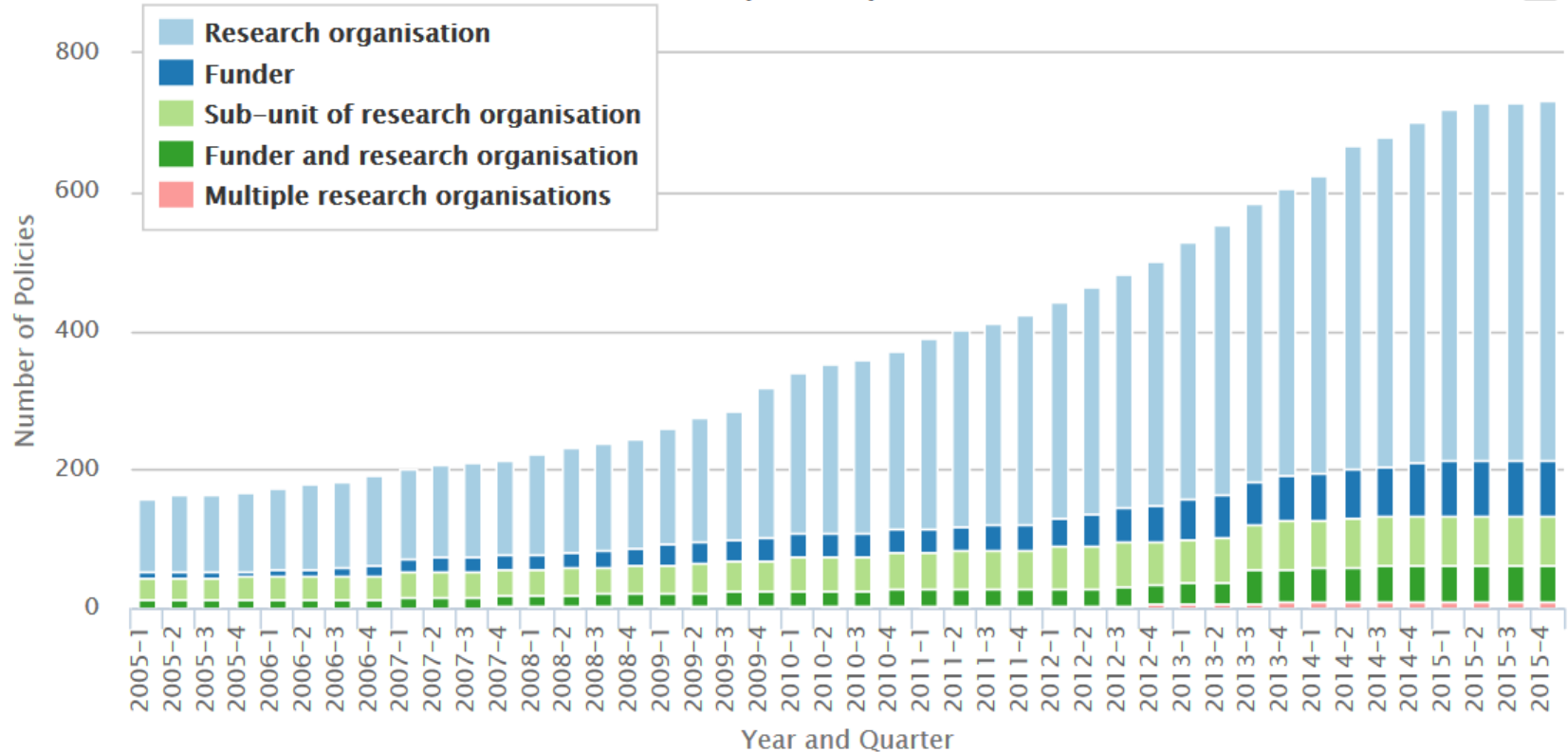
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“Working Together to Promote Open Access Policy Alignment in Europe”,  
October 29, 2015, Hungarian Academy of Sciences, Budapest



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## Policies Adopted by Quarter



Highcharts.com

The alignment of OA policies

PASTEUR4OA

21.7.2012

EN

Official Journal of the European Union

L 194/39

# RECOMMENDATIONS

## COMMISSION RECOMMENDATION of 17 July 2012 on access to and preservation of scientific information (2012/417/EU)

THE EUROPEAN COMMISSION,

scientific publishing and the preservation of research results, examining relevant organisational, legal, technical and financial issues.

Having regard to the Treaty on the Functioning of the European Union, and in particular Article 292 thereof,

Whereas:

(1) The Communication from the Commission Europe 2020<sup>(1)</sup> puts forward the development of an economy based on knowledge and innovation as a priority.

(2) The targets set by the Europe 2020 strategy are given in more detail in particular in the Flagship Initiatives 'Digital Agenda for Europe'<sup>(2)</sup> and 'Innovation Union'<sup>(3)</sup>. Among the actions to be taken under the 'Digital Agenda', publicly funded research should be widely disseminated through open access publication of scientific data and papers. The 'Innovation Union' initiative calls for a European Research Area (ERA) framework to be set up

(4) The Communication was followed in November 2007 by Council Conclusions on scientific information in the digital age: access, dissemination and preservation. The Conclusions invited the Commission to experiment with open access to scientific publications resulting from projects funded by EU research framework programmes and included a set of actions to be undertaken by the Member States. There have been advances in some of the areas dealt with in the Conclusions, but not all targets have been met and progress has been uneven among Member States. EU action is needed to make the most of Europe's research potential.

(5) Open access policies aim to provide readers with access to peer-reviewed scientific publications and research data free of charge as early as possible in the dissemination process, and enable the use and reuse of scientific research results. Such policies should be implemented taking into account the challenge of intellectual property rights.

**HEREBY  
RECOMMENDS THAT  
MEMBER STATES:**

**Open access to  
scientific publications**

Ensure that,  
**there should be open access to  
publications resulting from publicly  
funded research as soon as possible,  
preferably immediately and in any case  
no later than six months after the date of  
publication, and 12 months for social  
sciences and humanities;**

Ensure that,  
**licensing systems contribute to open access to scientific publications resulting from publicly-funded research in a balanced way**, in accordance with and without prejudice to the applicable copyright legislation, and **encourage researchers to retain their copyright while granting licences to publishers**;



Ensure that,  
**the academic career system supports and rewards researchers who participate in a culture of sharing the results of their research, in particular by ensuring open access to their publications and by developing, encouraging and using new, alternative models of career assessment, metrics and indicators;**



**Ensure that research funding institutions** responsible for managing public research funding and academic institutions receiving public funding **implement the policies by:**

- defining institutional policies for the dissemination of and open access to scientific publications;**
- establishing implementation plans at the level of those funding institutions;**

**adjusting the recruitment and career evaluation system for researchers and the evaluation system for awarding research grants to researchers so that those who participate in the culture of sharing results of their research are rewarded.** Improved systems should take into account research results made available through open access and **develop, encourage and use new, alternative models of career assessment, metrics and indicators;**

**giving guidance to researchers on how to comply with open access policies, especially on managing their intellectual property rights to ensure open access to their publications;**



## Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020

Version 1.0  
11 December 2013

h2020-mga-gga-multi\_en.... x +


ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi\_en.pdf

google calendar

Page: 1 of 152 Automatic Zoom


Grant Agreement number: [insert number] [insert acronym] [insert call/sub-call identifier]

H2020 Model Grant Agreements: H2020 General MGA — Multi: September 2014



EUROPEAN COMMISSION  
DG/EXECUTIVE AGENCY

[Directorate]  
[Unit][Director]



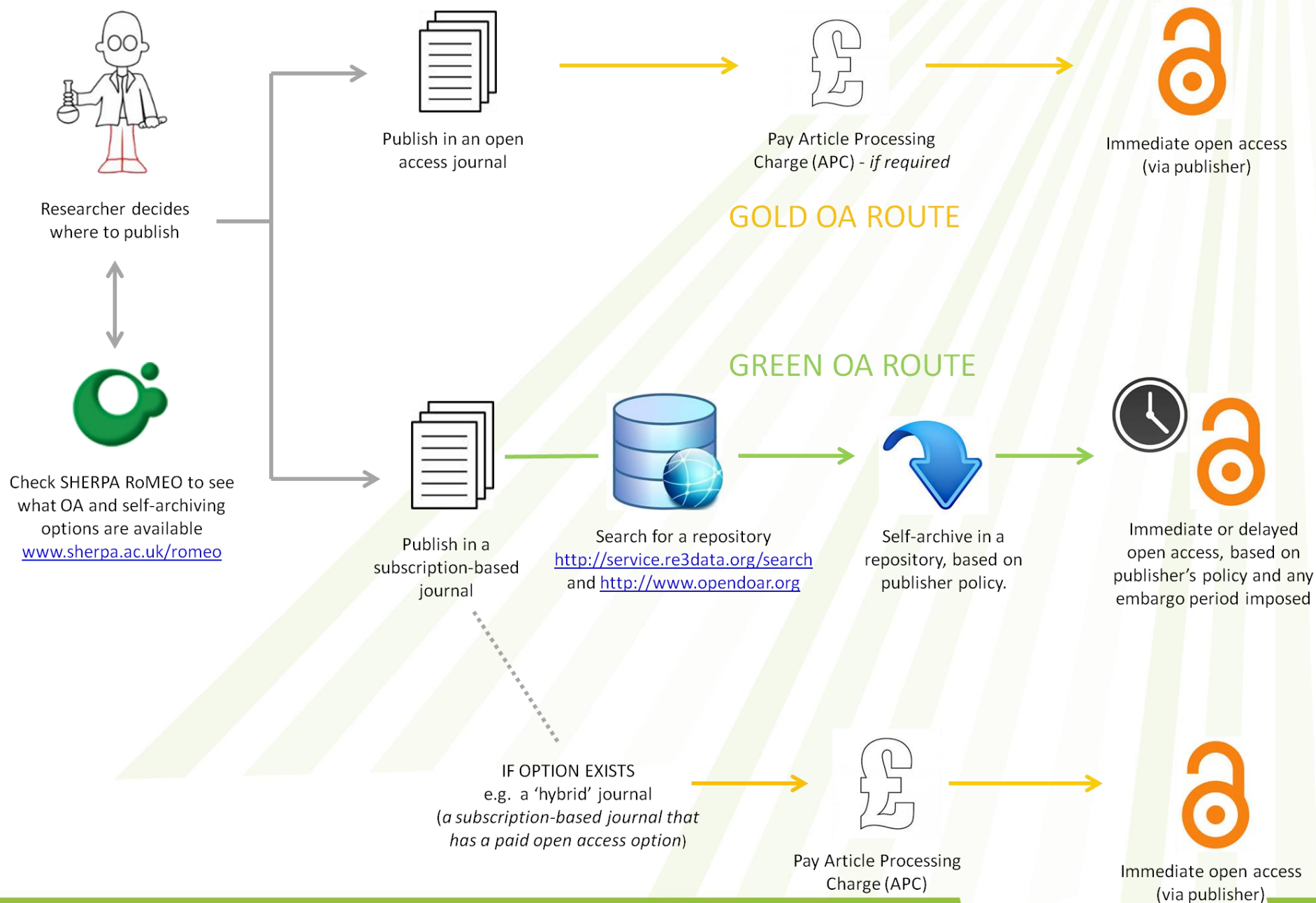
**GENERAL MULTI-BENEFICIARY MODEL GRANT AGREEMENT FOR THE  
HORIZON 2020 PROGRAMME<sup>1</sup> (H2020 GENERAL MGA — MULTI)**

- Footnotes in blue will not appear in the text generated by the IT system for signature (since they are internal instructions only).
- For options *[in italics, in square brackets]*: the applicable option must be chosen in the IT system. Options not chosen will automatically either not appear or appear as 'not applicable'. Options chosen will appear *in italics* without brackets and without the Option title (to allow beneficiaries to easily spot that a specific rule applies).
- For fields in *[grey in square brackets]* (even if they are part of an option as specified in the previous item): enter the appropriate data in the IT system.
- The IT system will generate a data sheet confirming the options chosen and the data entered.

The main changes compared to version 1 of the model grant agreement are as follows:

- Article 20.6 "Currency for financial statements and conversion into euro" in order to allow





# OA policy alignment check-list (draft)

Are beneficiaries required to deposit and ensure Open Access?

What to deposit?

Where to deposit?

When to deposit?

When should Open Access be provided?

Policy monitoring and compliance





## Where to deposit?



Institutional repository



Subject-based repository



Centralised repository

**Copyright management:**  
In all cases, the authors should be encouraged to retain their copyright and grant adequate licences to publishers. Creative Commons offers useful licensing solutions in this regard (e.g. CC-BY, see Creative Commons Licenses).

If a beneficiary breaches any of its obligations, the grant may be reduced.

## What to deposit?

Should include all modifications from the peer review process

OR



A machine-readable electronic copy of the published version:



A final peer-reviewed manuscript accepted for publication

## When to deposit?

Each beneficiary must deposit as soon as possible and at the latest on publication

OR



On publication



Within 6 months of publication.  
12 months for publications in the social sciences and humanities

## Metadata to include:

- the terms ["European Union (EU)" and "Horizon 2020"] ["Euratom" and Euratom research and training programme 2014-2018];
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable,
- a persistent identifier.

# OA publishing

If your organization supports Open Access publishing in full Open Access journals, where the case, the Article Processing Charges (APCs) incurred by beneficiaries are eligible for reimbursement during the duration of the project.

## OA publishing (2)

The hybrid model, as currently defined and implemented by publishers, is not a working and viable pathway to Open Access.

Any model for transition to Open Access must prevent 'double dipping' and increase cost transparency.

## Principles on Open Access Publisher Services – adopted April 2015

Science Europe Member Organisations have adopted the following minimum expected services from publishers, which are applicable when providing payments/subsidies for Open Access venues:

### 1 Indexing

Journals must be listed in standard databases, such as (Europe) PubMed Central<sup>2</sup>, Directory of Open Access Journals (DOAJ)<sup>3</sup>, Web of Science<sup>4</sup> or Scopus<sup>5,6</sup>.

In the case of books, collected volumes, proceedings and other academic publishing venues, basic technical information and information about peer review procedures must be available in a transparent way on the website of the publishing venue.

### 2 Copyright and Re-use

Authors hold copyright of their publication with no restrictions. All publications must be published under an open license, preferably the Commons Attribution CC BY<sup>7</sup>. In all cases, the license applied should fulfil the requirements defined by the Berlin Declaration<sup>8</sup>.

### 3 Sustainable Archiving

Publishers must make copies of the publication automatically available in registered third-party repositories immediately upon publication. Furthermore, authors must receive all relevant information and support services necessary in order to access the archived publication. Sustainable archiving of the publication must be demonstrated by the provision of a persistent address where the full content of the publication can be accessed, read and downloaded. Authors may archive any version of the publication to any registered third-party repository or website with no delay.

### 4 Machine Readability

The publication's full text, the metadata, the supporting data (whenever published), the citations and the status of the publication as Open Access must be made available in a machine-readable form via open stan-

## OA publishing (3)

If your organization supports journals/monographs publishing, these journals/monographs should be published in Open Access.



## Open Access policies: policy effectiveness

Alma Swan



This project is funded by the European Union  
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## Policy effectiveness

- Repository content measured
- Regression analysis carried out using policy criteria



# Policy conditions recorded in ROARMAP: original set of 13

Condition		
Must deposit		
Cannot waive deposit		
Deposit immediately		
Must make item OA		
Cannot waive making item OA		
Link deposit with research assessment / evaluation		
Must make item OA immediately		
Permitted embargo period specified (STEM)		
Permitted embargo period specified (HaSS)		
Must retain rights to make item OA		
Cannot waive retention of rights		
Age of mandatory policy		
Requirement for open licensing		

# Policy conditions: eliminated those with small numbers

Condition
Must deposit
Cannot waive deposit
Deposit immediately
Must make item OA
Cannot waive making item OA
Link deposit with research assessment / evaluation
Must make item OA immediately
Permitted embargo period specified (STEM)
Permitted embargo period specified (HaSS)
Must retain rights to make item OA
Cannot waive retention of rights
Age of mandatory policy
Requirement for open licensing

# Policy conditions: working set of 6 policy conditions

Condition
Must deposit
Cannot waive deposit
Must make item OA
Cannot waive making item OA
Link deposit with research assessment / evaluation
Cannot waive retention of rights

# Regression analysis

- Statistical tool
- Looks at the relationships between variables in an experiment
- Can measure effect of more than one variable at a time
- Can infer causal relationship (though care needed!)
- Correlation *versus* significance
- In this study we were looking for both

# Policy conditions: regression analysis

Condition	Correlation with deposit rate
Must deposit	✓
Cannot waive deposit	✓
Must make item OA	✓
Cannot waive making item OA	✓
Link deposit with research assessment / evaluation	✓
Cannot waive retention of rights	✓

# Correlation with deposit action

Policy criterion	Positive correlation	Significant correlation
Must deposit	✓	✓
Cannot waive deposit	✓	✓
Link deposit to research evaluation	✓	✓
Must make deposit Open Access	✓	
Cannot waive making item Open Access	✓	
Where policy stipulates authors should retain relevant rights, this cannot be waived	✓	

# Significant correlations with deposit rate

- Must deposit
- Cannot waive deposit
- Research evaluation
- Must make deposit Open Access
- Cannot waive making item Open Access
- Where rights are retained, this cannot be waived



# Budapest Open Access Initiative

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## Ten years on from the Budapest Open Access Initiative: setting the default to open



### Prologue: The Budapest Open Access Initiative after 10 years

Ten years ago the Budapest Open Access Initiative launched a worldwide campaign for open access (OA) to all new peer-reviewed research. It didn't invent the idea of OA. On the contrary, it deliberately drew together existing projects to explore how they might "work together to achieve broader, deeper, and faster success." But the BOAI was the first initiative to use the term "open access" for this purpose, the first to articulate a public definition, the first to propose complementary strategies for realizing OA, the first to generalize the call for OA to all disciplines and countries, and the first to be accompanied by significant funding.

Today we're no longer at the beginning of this worldwide campaign, and not yet at the end. We're solidly in the middle, and draw upon a decade of experience in order to make new recommendations for the next ten years.

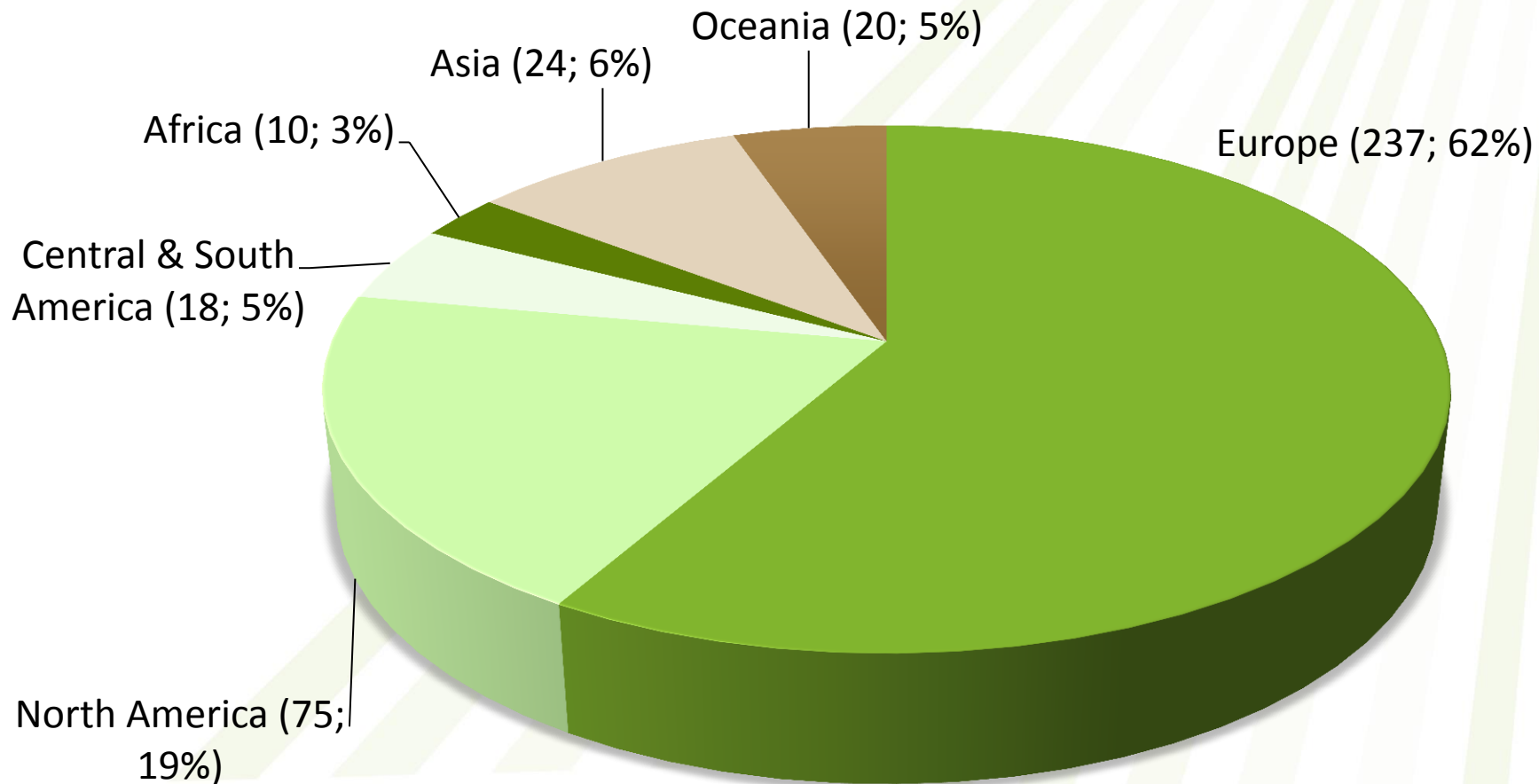
We reaffirm the BOAI "statement of principle," "statement of strategy," and "statement of commitment." We reaffirm

# Research evaluation

Universities with institutional repositories should require deposit in the repository for all research articles to be considered for promotion, tenure, or other forms of internal assessment and review.

Similarly, governments performing research assessment should require deposit in Open Access repositories for all research articles to be reviewed for national assessment purposes. Neither policy should be construed to limit the review of other sorts of evidence, or to alter the standards of review.

# Open Access mandates worldwide



# Policies with the significant criteria

- 18 policies
- 5 funders
- 13 institutions

# Funders

- European Commission: Horizon 2020 policy
- Austria: FWF (Fonds zur Foederung der Wissenschaftlichen Forschung)
- UK: HEFCE (Higher Education Funding Councils)
- US: NIH (National Institutes of Health)
- South Africa: National Research Foundation of South Africa

# Research institutions

- Ghent University (Belgium)
- INRIA (France)
- Ifremer (France)
- Laboratoire de psychologie et neurosciences cognitives (France)
- Pwani University (Kenya)
- Saint-Loius University Brussels (Belgium)
- Universidade do Minho (Portugal)
- Università degli studi di Trieste (Italy)
- University of Liege (Belgium)
- University of Luxembourg (Luxembourg)
- University of Mons (Belgium)
- University of Reading (UK)
- University of Strathclyde (UK)

# Highest deposit rates (research-intensive institutions\*)

Institution	Number of articles published 2011-2013	% articles deposited in the repository
University of Liege (Belgium)	4240	87 %
Universidade do Minho (Portugal)	3021	62 %
University of Pretoria (South Africa)	3335	60 %
Queensland University of Technology (Australia)	3558	49 %

\* Published more than 3000 articles in the 3-year test period



# Other things that help policy success

- Policy champion
- Library/Research Office activism in support of the policy
- Department/faculty strategy
- Training programme
- Promotional events (e.g. Open Access Week)
- Promotional materials
- Technical tools (e.g. impact tools, etc)
- Other suggestions to share

# References

- July 2012 [Commission's Recommendations](#) on access to and preservation of scientific information
- The [Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020](#) adopted in December 2013
- [Science Europe Principles on Open Access to Research Publications](#) updated in May 2015
- [PASTEUR4OA report on the Open Access policy-effectiveness](#)
- [BOAI 10 Recommendations: Ten years on from the Budapest Open Access Initiative: setting the default to open](#)

# Credits

- OA Policy Alignment Checklist created using [Presenta Board](#) by Marieke Guy
- “Open Access policies: policy effectiveness” slides by Alma Swan

# Thank you!

# Questions?

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