

Open Access Policy Alignment Strategies
for European Union Research

PASTEUR4OA



Υποστηρίζοντας τις πολιτικές Ανοικτής Πρόσβασης στα κράτη μέλη της ΕΕ

Μαρίνα Αγγελάκη, ΕΚΤ

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Grant Agreement



- **PASTEUR4OA:** Open Access Policy Alignment Strategies for European Union Research
 - **Grant Agreement:** 611742
 - **Theme:** Science in Society
 - **Topic:** SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of Open Access strategies and policies and to their coordination in the European Research Area;
 - **Type :** CSA
 - **Duration:** February 2014 – July 2016 (30 months)
 - **Partners:** 15 partners from 10 countries
 - **Website:** <http://www.pasteur4oa.eu/>
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Joined forces by 15 PASTEUR4OA partners



The aim

To stimulate and support open access policies across Europe,
which are aligned to H2020

What framework for Open Access policy implementation?



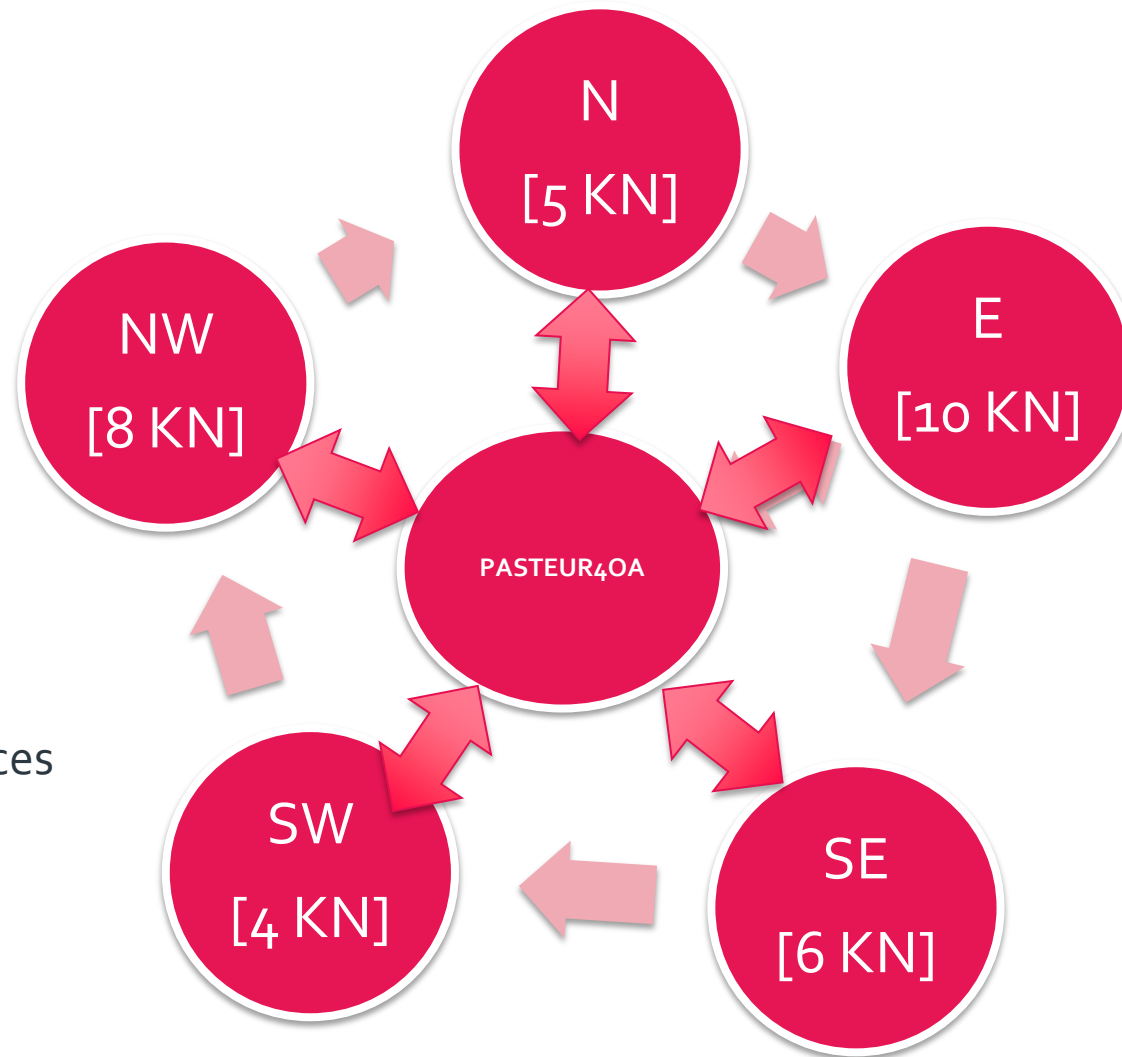
- » Policy model: Horizon 2020 Open Access policy
 - » Rationale: to promote the implementation of aligned Open Access policies
 - Why?
 - To create a simpler policy landscape for academics and researchers;
 - To encourage researchers compliance with Open Access policies;
 - To streamline the processes of monitoring and reporting on Open Access policy compliance;
 - To increase consistency between institutional and funders Open Access policies both at the national and European levels.
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The means

1. **Engage policymakers** (directly and indirectly through Network)
 2. Develop **evidence-based policy** advocacy materials , research and good practice case studies
 3. **Knowledge Net-A** coordinated network of expert organizations across Europe to work together - to promote, coordinate and contribute to aligning policies
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The Knowledge Net



SE Group

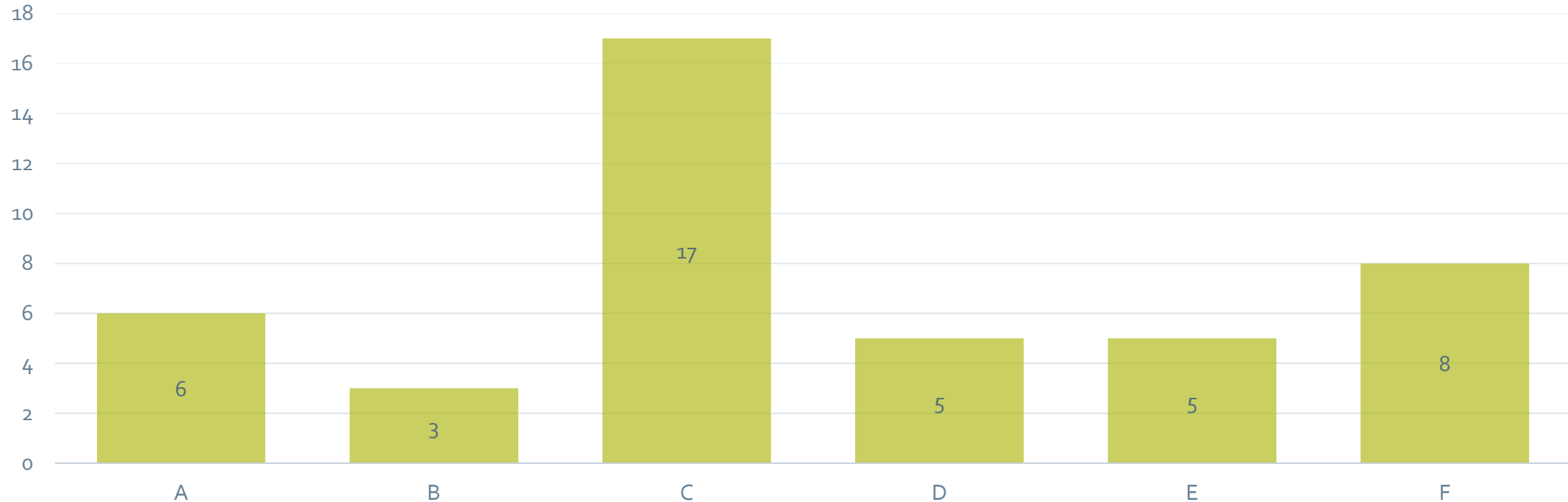
- Bulgarian Academy of Sciences
- University of Cyprus
- **EKT/NHRF**
- Hacettepe University
- Metamorphosis Foundation

Key Nodes=Member organizations
1KN=1 country

» What factors contribute towards an increase of Open Access policies in European countries?

- › Path towards implementation of OA policies is not a one-size fits all:
 - International funders policies (e.g. Horizon 2020 Open Access policy);\
 - National funders incentives and policies (e.g. UK's Funding Councils);
 - Government led strategies (e.g. Slovenia);
 - University led initiatives (e.g. University of Minho);
 - OA working groups led initiatives (e.g. Cyprus).
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Challenges in further advancing Open Access in Europe



A) The concept and benefits of openness are misunderstood by national stakeholders;

B) Developing OA policies is difficult;

C) OA appears to have low priority with research performing organisations and funders;

D) Maintaining and sustaining effective coordination at national and EU levels is difficult;

E) Current infrastructure constrains effective OA;

F) Arrangements with publishers to secure deposit rights and short embargo periods are fragmentary and inconsistent.

But are these challenges equally relevant in all European regions?

» Overarching challenges in *South East Europe*:

- › Low levels of awareness about Open Access;
- › Open Access appears to have low priority with research performing organisations and funders.

» Most pressing challenge in the *Nordic* region:

- › The need for European countries to develop more cohesive approaches to negotiate deposit rights and short embargo periods with publishers.

Addressing challenges in South East Europe: ways to move forward



Challenges	Ways to move forward
'The benefits of open access to the research community are still not clear'	<ul style="list-style-type: none">✓ Institutional policymakers (e.g. Universities rectors, research committees) and institutional stakeholders (e.g. librarians, research administrators) are encouraged to:<ul style="list-style-type: none">- Engage in dialogue about Open Access and establish an Open Access working group;- Initiate the internal process of consultation and preparation of an Open Access policy³;- Consult online resources¹ to increase their awareness about the benefits of Open Access;- Engage with PASTEUR₄OA Regional Coordinators and national points of contact (Key Nodes)² to request for more information and support on Open Access;- Organise activities⁴ which involve communicating the benefits of Open Access to academics and researchers.

¹ Briefing paper on Open Access ([link](#)); FOSTER training portal an online course on Open Science and Open Access ([link](#)).

² A list of national points of contact, Key Nodes, is available in [here](#).

³ Open Access Policy Guidelines for Research Performing Organizations ([link](#)); Practical Information for Research Performing Organizations on Policy Development, Implementation, Effectiveness and Alignment ([link](#)).

⁴ Advocating Open Access: A toolkit for librarians and research support staff ([link](#)).

Addressing challenges in South East Europe: ways to move forward

Challenges	Ways to move forward
'Having repositories ¹ is not sufficient to guarantee the adoption of Open Access policies at a higher level'	<ul style="list-style-type: none">✓ In the cases where universities already have open access repositories², institutional policymakers and stakeholders – e.g. University rectors, senior management staff – must be made aware that without Open Access policies the number of research outputs deposited and made available through the repositories is likely to remain low.✓ When planning the development of an Open Access policy, Open Access working groups must inform institutional policymakers and stakeholders of the importance and benefits of mandatory policies which are more likely to be effective³, to result in higher compliance rates and to accumulate higher amounts of resources in a repository than non-mandatory policies (i.e. soft policies that only encourage researchers to do their best).

¹ Repositories are digital collections of the research outputs created within a particular university and that are available on open access . The Directory of Open Access Repositories ([OpenDOAR](#)) lists all the existing open access repositories by country and organisation type.

² Open Access institutional repositories: A briefing paper ([link](#)); Assessing Readiness for Open Access Policy Implementation across Europe ([link](#)).

³ Open Access policy typology: A briefing paper for research institutions ([link](#)).

Addressing challenges in South East Europe: ways to move forward

Challenges	Ways to move forward
'Difficulties in understanding more complex issues such as licensing '	<ul style="list-style-type: none">✓ During the process of preparation and development of an institutional Open Access policy, policymakers and stakeholders must become aware of technical requirements related to licenses¹ (i.e. public copyright licenses which enable the free distribution of an otherwise copyrighted work) and embargo periods² (i.e. length of time before a research output is made publicly available online)✓ Open Access policies must therefore clarify which licence(s)³ should be applied to the research outputs to be made openly available as well as the maximum allowed embargo⁴ periods after which the deposited outputs must become freely available online.✓ Following the implementation of an Open Access policy, academics and researchers must be made aware of their rights to retain ownership of copyrights⁵, of the policy's recommendations on licenses, and of the policy's maximum allowed embargo periods.

¹ Creative Commons licenses ([link](#)).

² Definition of embargo (academic publishing) ([link](#)).

³ Open Access Policy Guidelines for Research Performing Organizations, Article 3, Item 6, ([link](#)).

⁴ Open Access Policy Guidelines for Research Performing Organizations, Article 3, Item 2, ([link](#)).

⁵ Authors rights: Using the SPARC Author Addendum to secure your rights as the author of a journal article ([link](#)).

Addressing challenges in South East Europe: ways to move forward



Challenges	Ways to move forward
'Changes in political posts have led to an absence of policy continuity. On many occasions OA advocates have to re-start their work when governments change'	<ul style="list-style-type: none">✓ National Open Access working groups and/or stakeholders (e.g. Universities rectors, librarians, research administrators, academics) engaged in promoting Open Access are encouraged to have determined checks in place to ensure that:<ul style="list-style-type: none">- A coordinated approach and systematic engagement with new governments takes place;- Relevant information and developments on Open Access are communicated to new governments cabinets.
'Some countries are latecomers to Open Access'	<ul style="list-style-type: none">✓ Countries that are new to Open Access can catch-up on what Open Access is, what its benefits are and how it can be promoted by accessing the extensive collection of information that is available online on Open Access¹ and Open Science².✓ Countries new to Open Access can also learn lessons from universities, research funders and governments that have already implemented Open Access policies and strategies, and adjust some of these strategies to meet their local requirements.

¹ PASTEUR4OA advocacy resources ([link](#)).

² Open Science ([link](#)).

Targeted advocacy resources

- » Policy guidelines for RFOs and RPOs
 - » Institutional case studies
 - » National case studies
 - » Funder case studies
 - » Briefing papers (monitoring, impact assessment, practical info on policy development, APCs, among others)
 - » Evidence-based studies on designing effective policies
 - » <http://pasteur4oa.eu/resources>
 - » Also in <https://zenodo.org/collection/user-pasteur4oa>
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What happens next...

- » Policy work to be carried out by OpenAIRE project
 - » OpenAIRE NOADs as national nodes for stimulating, supporting and assisting the adoption and alignment of OA policies
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Contact...

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