

# **OA 2020 from the perspective of the European University Association (EUA)**

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# Open Science

## An active role for universities

- EUA, as a major university stakeholder, has a key role at multiple levels:
  - **Policy-level:** from national to European-level
  - **Economic and financial level:** regaining 'scientific sovereignty'
  - **University-level:** supporting universities' digital policies



**EUA ROADMAP ON  
OPEN ACCESS TO RESEARCH  
PUBLICATIONS**

February 2016

## EUA Roadmap on OA - Objectives:

- Promoting and supporting the adoption of OA policies, infrastructures and initiatives by European universities, in dialogue with stakeholders
- Considering alternative and sustainable OA business models
- Addressing intellectual property rights and copyright policies
- Encouraging, supporting and eventually monitoring the establishment of comprehensive standards for institutional OA policies concerning research publications and teaching materials

# EUA MAIN OUTCOMES on OA/OS Since SEPTEMBER 2015 (1/2)

- EUA is now a recognized player in Open Science at European level
- Inform and influence EC policy through Open Science Policy Platform (represented by EG member Prof. Norbert Lossau)

Actions and policy papers (endorsed by EUA Council):

- Roadmap on Open Access to Research Publications (Feb 2016)
- Support to the San Francisco Declaration on Research Assessment (DORA) (Feb 2016)
- Endorsement of the Expression of Interest “Large-scale implementation of Open Access to Scholarly Journals” of the Max Planck Digital Library (Feb 2016)

## EUA MAIN OUTCOMES on OA/OS Since SEPTEMBER 2015 (2/2)

Action and policy papers (cont.):

- Support to Amsterdam Call for Action (April 2016)
- Input to draft copyright EU directive development (February 2016, November 2016, February 2017)
- Currently addressing at EU-level:
  - University Institutional Policies (Survey 2016-17 open until 31 March –Open Access)
  - Big deals, APCs, Off-set agreements
  - Research assessment in career progression tracks
  - Research Data Management
  - Text and Data mining
  - Citizens Science

## Current trends

- **Transition to OA**
- While scientific journals are available via subscriptions, **support** is needed for the two main OA routes: green and gold.
- The **involvement of researchers** is important in **research assessment procedures**. As long as they are being judged on traditional criteria, such as journal impact factors, there is no hope to witness any change. The scientific community must regain its 'scientific sovereignty', including economic and financial aspects.

## Current trends

- **Transition to OA**
- **On green OA:** in each country that has not yet adopted a law limiting embargo periods, measures should be taken to ensure the establishment of **embargo periods in accordance with the recommendations of the European Commission** (6 months for STEM; 12 months for SSH).
- **On gold OA:** transparency on overall costs for Article Processing Charges (APCs) is needed, by finding better dialogue avenues with publishers. Moreover, it is also necessary, at both institutional and national level, to be **aware APCs costs** and how to control them. The evolution of the market for 'gold OA' is very uncertain.

## Current trends

- **Involvement of researchers**
- Achieving full OA requires the **mobilisation of researchers' communities at large**. This should be based on novel models for research and career assessment. It needs to include robust incentive systems and it is necessary to ensure a quick **transition and take-up of OA across disciplines**.
- Researchers should be encourage to Exchange views and experiences on OA on a broad base and perceive this dialogue as an **integral part of their activity**.
- Impact on researchers careers and **involvement to some extent in the negotiation processes of deals with publishers**.



## Current trends

- **Involvement of Institutions towards OA**
- Developing **platforms for the open presentation of publications**, for each institution or groups of institutions (open institutional repositories) and at national-level;
- **Incentivise researchers to publish in OA**, including compliance measures
- Need to modify the almost exclusive use of bibliometrics in the research assessments for career progression, and **propose a more complete assessment process more independent of impact factors.**

## Current trends

- **Research Data**
- Establish an **institutional policy for the management of research data** (validation, conservation, availability).
- Develop **tools and guidelines for the management, curation of data and metadata.**
- **Provide legal advice, training and incentives for researchers** to deposit their data.

## Current trends

- **Collectivity – collaboration : Negotiations of ‘big deals’ with publishers**
- **Discussion on models of big deals including or not subscriptions and APC-related costs.** The APC costs referring not only to hybrid journals, but to all the APC-related costs at institutional or national level (currently 8-10% big deals combine subscriptions and APCs)
- It is necessary to obtain a **non-restricted usage of journals** during and after the contract period and, eventually, the possibility to transfer copies to a national platform (particularly needed in case of a subsequent contract breach, takeover or bankruptcy of a publisher, to avoid loss of investments).
- **The ability to perform TDM, using own algorithms, should be guaranteed for all the articles bought**, i.e. without being restricted to the use the algorithms provided by publishers, namely Application Programming Interfaces (APIs).

## Current trends

- **Human resources**
- The development of an active policy favourable to open access to research outcomes requires an **increase in the competences of people dealing with research publications** at both university and country levels:
  - ✓ Negotiations
  - ✓ Legal matters (copyright, data property)
  - ✓ Management of platforms (access, security, application development)
  - ✓ Management of research data



# **EUA Annual Survey on Institutional Open Access and Research Data Policies**

***Key Results survey 2015/2016***

# Questionnaire on Open Access to research publications

## Key Characteristics

**Focused on the degree of implementation of institutional Open Access policies for research publications and research data**

### **The respondents**

- **169 universities** from **33 European countries**  
**November 2015-January 2016**

### **Response rate**

- 22% of EUA universities
- Responses show progress on universities participation in the EUA Open Access survey, but comparisons across countries and generalisations to the European-level are limited.
- This year survey, 2016-17, response rate expected is over 40%

# Key results

## Open Access to research publications

- Almost 80% of institutions had a **policy** on Open Access to research publication or was actively developing one
  - Main element: *encouragement* or *recommendation*
  - 24.4% of institutions provided financial support to researchers
- 88% of institutions had an institutional or shared **repository**
- Deposit rates in repositories increased in 60% of institutions, but difficult to gather data
- Actions needed to **increase self-archiving**:
  - increase the number of citations
  - maximise the visibility of research
  - existence of a mandate from the funding bodies
- **Researchers' concerns** on self-archiving:
  - Uncertainty about publishers' policies
  - Concerns over copyright infringements

# Key results

## Open Access to research publications

- **Awareness** of the scientific publishers' policies on Open Access was assessed as "very good" or "good" for librarians by 88% of institutions, but only so for 54% of the institutional leadership and for 32% of researchers
  - Similar pattern for OA rules in H2020 and Open Research Data Pilot
- **Actions** needed at national and European-levels
  - Developing additional incentives for researchers
  - Guidelines on linking, sharing and re-using OA content



# Key results

## Open Access to research data

- About 25% of institutions have formal or informal guidelines
  - *Research data management*
  - *Recommendations*
- Reasons for the absence of guidelines/policies
  - Examples: novel topic; priority to OA to publications; no mandate from funders; no national-level policy; lack of awareness; legal concerns
- Barriers for OA to research data:
  - Uncertainty
  - Complex area (technical, legal)
  - Concerns over costs
  - Reduced awareness

# Key results

## Open Access to research data

### Actions (focus on European level)

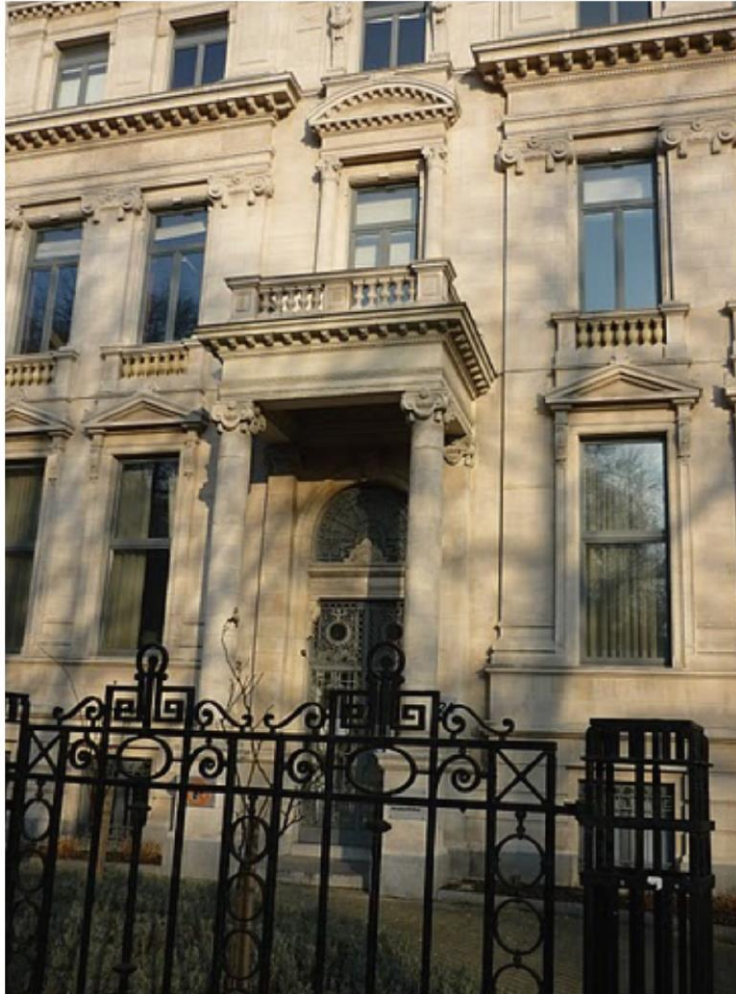
- **Policies and guidelines**, covering legal issues (e.g. copyright, data protection, TDM), quality assurance
- **Awareness** raising activities, sharing best practices
- Supporting the **copyright reform** in favour of research, making exceptions for TDM
- Extending the research data pilot in H2020 to all areas
- Making open access to research data mandatory for all projects funded by the EC
- Taking into account “openness” in the evaluation of European projects
- Developing, extending and supporting European-level **infrastructure** for data storage, access and sharing
- Promoting **rewards/incentives** for OA to research data (**assessment**)
- Technical level: definition of standards and procedures

# Conclusions of the survey

- European universities are increasingly adopting **OA to research publications** (policies, repositories)
  - It is important to make an effort to gather reliable data at institutional level to better assess progress towards OA
  - Inclusion of OA in assessment exercises is not well developed
  - Concerns over publishers' policies on OA, legal infringements still persist
  - Need to continue raising awareness, especially amongst researchers
- **Open Access to research data** not yet as mature as OA to publications
  - Institutions are addressing research data management, developing guidelines and other activities
  - Complex area, concerns over legal infringements
  - Lack of information on best/good practices (e.g. TDM)

## Final Remarks

- Role of funders and governments committing to an affordable transition to OA is essential for the broad range of disciplines.
- Better dialogue at many levels is necessary: researchers, institutions, publishers, funders
- Universities and research institutions have a crucial role. They should strengthen dialogue with publishers and funding agencies/governments to change research assessment systems for researchers career progression.
- Transition to Open Access is an unstoppable process but it must result in a system that brings overall benefit for society, particularly regarding the use of public funds.



***Thank you for your  
attention !***