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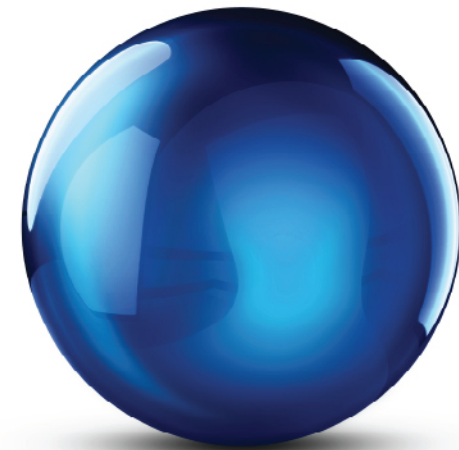## Mediterranean Open Access Network

MedOANet
Guidelines for
implementing open access policies
in Research Performing and Research
Funding Organizations

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Theme	Science in Society
Topic	SiS.2011.1.3.1-1: Reinforcing European strategies on access, dissemination and preservation of scientific information in the digital age
Type	CSA – Support Action
Start date	1st of December 2011
Duration	24 Months (end: 30th of November 2013)
Partners	9 partners: EKT/NHRF (GR), FECYT (ES), UMINHO (PT), CNRS (FR), CINECA (IT), HACETTEPE (TR), ENCES (DE), LIBER (NL), UNOTT (GB)
Coordinator	EKT/NHRF- National Documentation Centre/ National Hellenic Research Foundation

"…access to knowledge generated by the public research base and its use by business and policymakers lie at the heart of the European Research Area, where knowledge must circulate without barriers throughout the whole society." Green Paper: The European Research Area: New Perspectives (COM (2007) 161 final, 3.4)

Aims of the project:

➢ To coordinate strategies and policies in Open Access to scientific information in national and regional level by using current joint achievements of an existing Mediterranean network for the promotion of Open Access

➢ To facilitate the development of explicit and coordinated Open Access strategies and policies in the aforementioned and neighbouring countries

➢ To reinforce regional coordination of strategies and structures among Member States

The MedOANet project:

1. **Set up national task forces** in order to bring together all open access stakeholders and decision makers and coordinate efforts in the development of national policies

2. **Performed surveys to map the open access ecosystem** in the six countries. Of special interest were the policies among research funders, research performing organizations and publishers

3. **Organized national open access workshops** in collaboration with the task forces to bring the main stakeholders in each country together, to increase the awareness of open access issues and facilitate future coordinated action

4. **Developed the open access Tracker**, a tool that tracks the development of open access policies and initiatives (such as funders' policies, repositories, etc), by drawing data from international registries and displaying them for each country, effectively creating a country profile. The tracker provides information and encourages involved stakeholders to register their open access resources with appropriate registries

5. **Facilitated regional coordination by bringing policymakers together in a European workshop** at the University of Minho (02/2013) and a European Conference at the National Documentation Centre (10/2013).

6. **Developed coherent Guidelines and Recomendations** towards implementing open access policies to facilitate the development of national plans and policies aligned to current best practices and the European Commission's policies.

Coordinating policy-development in the six Mediterranean countries - a harmonized approach towards policy development They are directed to policy-makers and policy stakeholders specifically, to Research Performing Organizations and Research Funders.

Key points:

- ✓ **Present main concepts and issues** with respect to open access
- ✓ **Discuss the major steps** that are necessary in the process of **policy development**
- ✓ **Present the important components** of an institutional and funder policy
- ✓ **Present model policies** for research performing and research funding organizations to serve as examples
- ✓ **Present good practices** in policy development for research performing and research funding organizations

The Guidelines also:

- ✓ Provide the definition of Open Access, explain the two main routes to Open Access (self-archiving and open access pubishing) and the benefits for different stakeholders (institutions and authors, researchers, funding agencies, libraries, publishers, small and medium enterprises).
- ✓ Provide the current European policy context (open circulation of knowledge as one of the five priorities if the European Research Area / open access will be required for all peer-reviewed publications resulting from Horizon2020 funding / Horizon2020 will also include a pilot action on open access to research data.

The guidelines are based on:

Documents:

✓ European Commission's Recommendation and Communication on access to and preservation of and dissemination of scientific information (2012)

✓ The planning for Horizon 2020 and FP7 regulations

✓ Policy papers, recommendations and guidelines, produced recently by organizations such as UNESCO, LERU, EUA, Science Europe, etc.

MedOANet actions:

✓ The output from the collaboration with the **national task forces** (open access stakeholders and decision-makers)

✓ The result of the **surveys** that mapped the open access ecosystem

✓ The **Open access workshops** in collaboration with the task forces

✓ The **"Open access Tracker",** a tool that tracks the development of open access policies and initiatives by drawing data from international registries

✓ The regional coordination by bringing policymakers together in a **European workshop**

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- A **consultation and preparation phase:** participation in consultations at the national level lead to national positions/strategies aligned to relevant EU policies.

- Development of the relevant **institutional regulation: mandatory** and tied into the professional advancement procedures; **clearly presented; registered through ROARMAP; organisational and technical support needed;**

- An **institutional repository:** the e-infrastructure providing access to and preservation of the scientific output. It should be developed on software that supports **standards of interoperability** (OAI-PMH) and should interoperate with the national infrastructure and european infrastructures, such as OpenAIRE.

- **Continuous support and advocacy** for the increase of compliance rates. Best RPO service for this task: **library** (training for self-archiving, advocacy, information on copyright, technical support, etc.)

- **Follow up and monitoring**: the **most effective way to ensure compliance** is to link the self-archiving to research assessment processes.

Important components of an effective OA policy

☐ **Immediate self-archiving** in repositories to be required upon acceptance for publication (author final version or publisher version)

☐ **Immediate open access** to **metadata** and immediate open access to **full-text research outputs** if possible (for *universities, research centres* etc.).

☐ **Immediate open access** to **full-text research outputs** with **up to 6 months embargo** periods (**12 for SSH**) for *research funders*

☐ **Peer-reviewed** research covered by the policy, especially journal articles, conference proceedings books/monographs

☐ **Mandatory** character of policy, with compliance checked. Authoritative publication lists for institutions derived only from repositories

☐ Minimally recommend that researchers deposit **research data** that underpin publications in repositories and formulate separate policies.

[Introduction: – Contextual information on the benefits of Open access, on the global context of the policy - e.g. the EC Open access policies in Horizon 2020, the EUA Open access recommendations, other relevant information or initiatives from the national or international contexts – on the motivations for establishing the policy – wider dissemination, maximizing visibility and impact of the research results of the institution - , on the benefits of Open access, on the intention of the institution to be able fully to manage its research and intellectual output, etc.]

Effective [date] the [institution name]:

1. Requires its members to deposit in the institutional repository [name of repository] an electronic copy of the accepted version (either author final manuscript or publisher version) of all peer reviewed articles, books/monographs and conference proceedings [other types of publications and research documents – such as thesis and dissertations, working papers, technical reports, etc. - to be defined as desired by each institution]

2. Requires that the metadata (title, authors, institutional affiliation, name of journal that has accepted the paper, etc.) of all publications defined in 1. be made immediately openly available at the moment of deposit.

3. Requires that the full text of all publications defined in 1. be made openly available at the time of deposit or as soon as possible thereafter. In the case of publications that cannot be made immediately openly available because of publisher restrictions, the deposit mentioned in 1. remains mandatory, but the access will be set to closed until publisher embargo elapses.

4. Will only consider as publications by faculty/staff those whose metadata and full texts are deposited in the institutional repository for purposes of individual or institutional monitoring, assessment and evaluation of research output.

5. Will monitor compliance with this policy comparing the repository content against what is recorded by literature indexing services.

The above regulations apply for all publications produced after this policy comes into effect.

Further, the [institution name]

Encourages its research staff/faculty to retain ownership of the copyright of their publications wherever possible and only license to publishers those rights necessary for the publication [information on author addendums that can be used to retain rights – like the SPARC addendum www.sparc.arl.org/resources/authors/addendum - may be included here] .

Encourages its members to deposit in the institutional repository or in another suitable open data repository [suitable repositories should be defined – offers public access to the research data, enables data citation through persistent identifiers (DOI, or others), provides quality metadata (including acknowledgment of research funding) based on accepted guidelines and standards] all research datasets that serve as evidence for publicly available research reports and/or are referenced in peer reviewed publications.

Final Remarks:

The [institution name] is committed to ensuring the curation and long-term preservation of research results deposited in its institutional repository.

The [institution name] is committed to increasing the number of resources, tools and features of the repository, to facilitate the deposit, to train the researchers to use the repository, to provide information on copyright, to investigate data management plans, and to develop a preservation policy plan.

Although this policy applies only to those publications subsequent to the date in comes into effect, the [institution name] strongly encourages its members to deposit into the institutional repository, the publications authored prior to this date and to make them openly accessible whenever possible.

[others topics can be added]

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[Introduction – Insert some information on the benefits of open access, on the global context of the policy - e.g. the EC open access policies in Horizon 2020, other relevant information or initiatives from the national or international contexts – on the motivations for establishing the policy – wider dissemination, maximizing Return of Investment - on the key principles - e.g. the freedom of researchers to publish wherever they feel is the most appropriate - etc.]

For this purpose, [Name of funding entity] has defined the following open access policy, which must be observed by all recipients of research funding.

1. [Name of funding entity] requires that a copy of the accepted version (either author final manuscript – post-prints or publisher version) of all peer reviewed articles and books/monographs [if applicable, explicit other types of publications – e.g. reports, thesis and dissertations, etc. – which are covered by the policy], supported, either in their entirety or in part by [Name of funding entity] research funding, to be deposited in a suitable open access repository [suitable repositories should be defined here or in a footnote – suggested definition of suitable repositories: institutional repositories, subject repositories widely accepted by the respective research communities, capable of exposing their contents according to the funder requirements] immediately upon acceptance for publication, with the metadata (title, author, affiliation, funder, name of journal, etc.) openly available from the time of deposit.

2. [Name of funding entity] requires that all the publications mentioned on 1. are made openly available immediately, but no later than 6 months after the date of publication [and 12 months for social sciences and humanities]. To enable this, the [Name of funding entity] requires that in negotiating with publishers grantees retain sufficient rights to enable immediate open access or delayed open access of up to 6 months or up 12 months for the social sciences and the humanities.

3. [Name of funding entity] considers as eligible expenses, which may be supported within the grants budget, Article Processing Charges (or similar fees) to publish in peer reviewed open access journals and books. In the case that an Article Processing Charge is supported by the grant budget, the article must be openly available from the moment of publication, under a CC-BY license or equivalent [define additional conditions – limits for the value of APCs, or limits to % of APC costs, considering the total budget of the project, etc.].

4. In all publications mentioned on 1. funding recipients must acknowledge [Name of funding entity] and identify the funding [project name, and/or acronym, and/or number] in the standardized prescribed manner [provide the standardized acknowledgement here, or refer to the appropriate document/webpage where this is defined].

5. [Name of funding entity] requires/encourages [choose the appropriate term] that all research data and associated metadata resulting from [Name of funding entity] funded projects, that serve as evidence for publicly available project reports and deliverables and/or are referenced on peer reviewed publications, to be deposited in a suitable open data repository [suitable repositories should be defined here or in a footnote – Suggested definition of suitable data repository: offers public access to the research data, enables data citation through persistent identifiers (DOI, or others), provides quality metadata (including acknowledgment of research funding) based on accepted guidelines and standards].

6. Institutions/grant holders agree that by receiving financing from [Name of funding entity] they have accepted the terms and conditions of this policy. [Name of funding entity] will monitor the compliance with the present terms and conditions and define [the following – use this in case concrete "sanctions" are defined immediately] sanctions [or implications or consequences] in case of non-compliance [possible sanctions/implications/consequences of non-compliance that may be defined here: withheld the transfer of part of the funds until all publications comply; do not approve new projects/funding until full compliance from previous funding; use previous compliance with open access policy as evaluation/selection criteria for new projects].

This policy comes into force from [date] and applies to all publications resulting from grants awarded subsequent to this date.

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RPOs

- ❖ **The University of Minho:** repository since 2003, institutional self-archiving policy since Jan2005. Since 2004 OA and RepositoriUM: supported by top-level management of UMINHO. The new policy requires a copy of the output immediately after publication and link of the deposited version in RepositoriUM in all official lists of publications.

- ❖ **The Autonomous University of Barcelona:** institutional repository since 2008 and institutional self-archiving policy since 2012 (mandate). The UAB encourages the deposit of educational resources as well. Success due to all staff's involvement and important communication campaigning.

- ❖ **The University of Torino:** developed and published it's OA policy in the summer of 2013, effective as of November 2013: the policy mandated self-archiving of full-text publications and metadata upon publication in the institutional repository (unless there is publisher embargo, co-author refuses or for reasons of public safety, security, privacy) – only deposited publications are considered for internal evaluation.

RFOs

- ❖ **The new National Spanish Law on Science, Technology & Innovation:** released on 2011, contains article on OA for scientific publications (A37)

- ❖ **The Regional Government of Madrid** has a harvester for all 7 Universities' repositories based on Madrid since 2005. In 2009: regular call for R&D funding that included an OA green mandate.

- ❖ **The Regional Government of Asturias** operates a regional repository since 2009 & OA green mandate in its calls for R&D in 2009, 2011 and 2012.

- ❖ **Telethon Foundation and CARIPLO:** private Italian funders with OA mandates since 2010 and 2012 respectively.

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Thank you!

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Questions:

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