

Open Access seminar
Braga, Portugal, 7 February 2013

Open Access policies in Europe: where are we now?

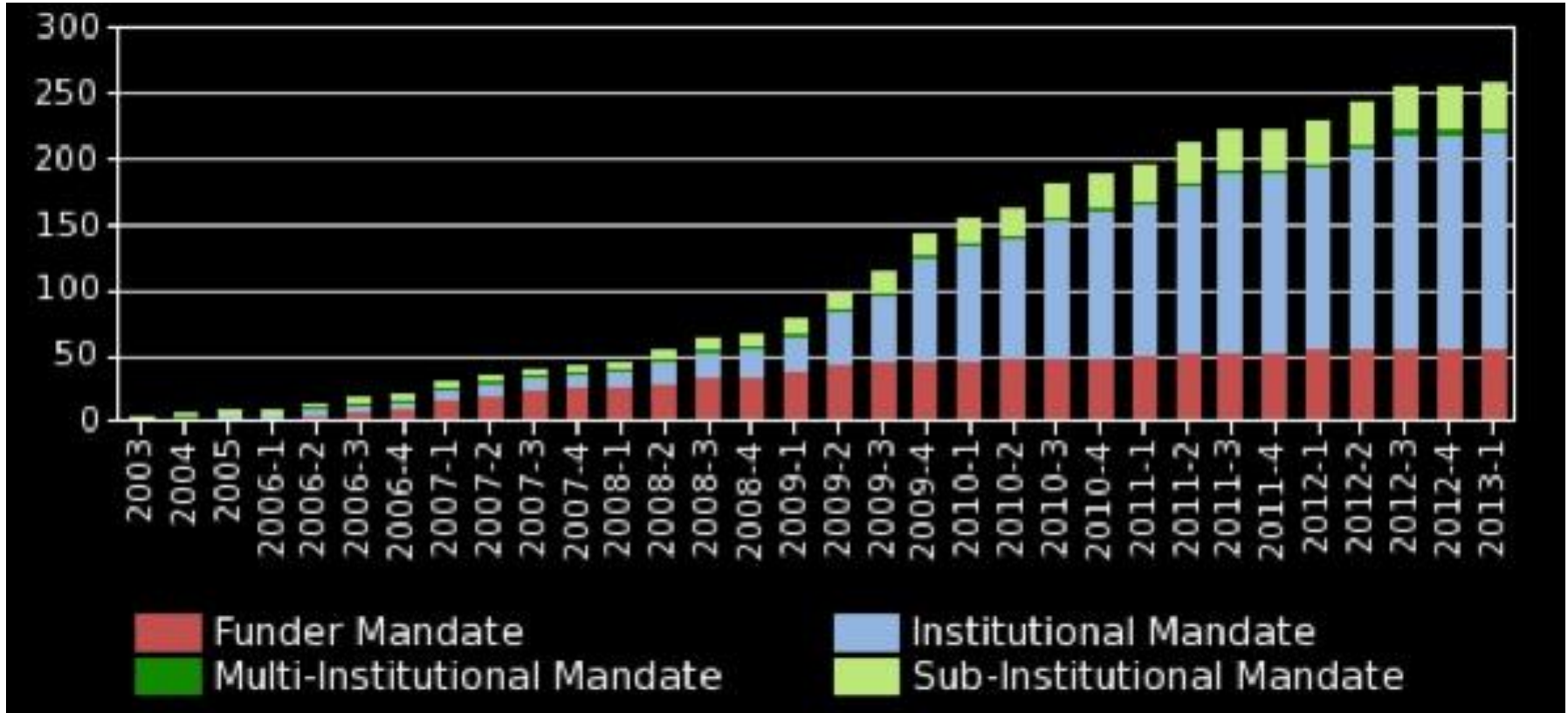
Alma Swan

Director of Advocacy, SPARC Europe
Convenor, Enabling Open Scholarship
Director, Key Perspectives Ltd



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Open Access mandatory policies



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New OA policies in Europe

Institutional mandates:

- Belgium 1
- Portugal: 3
- Spain: 1
- UK: 1
- Ukraine 1

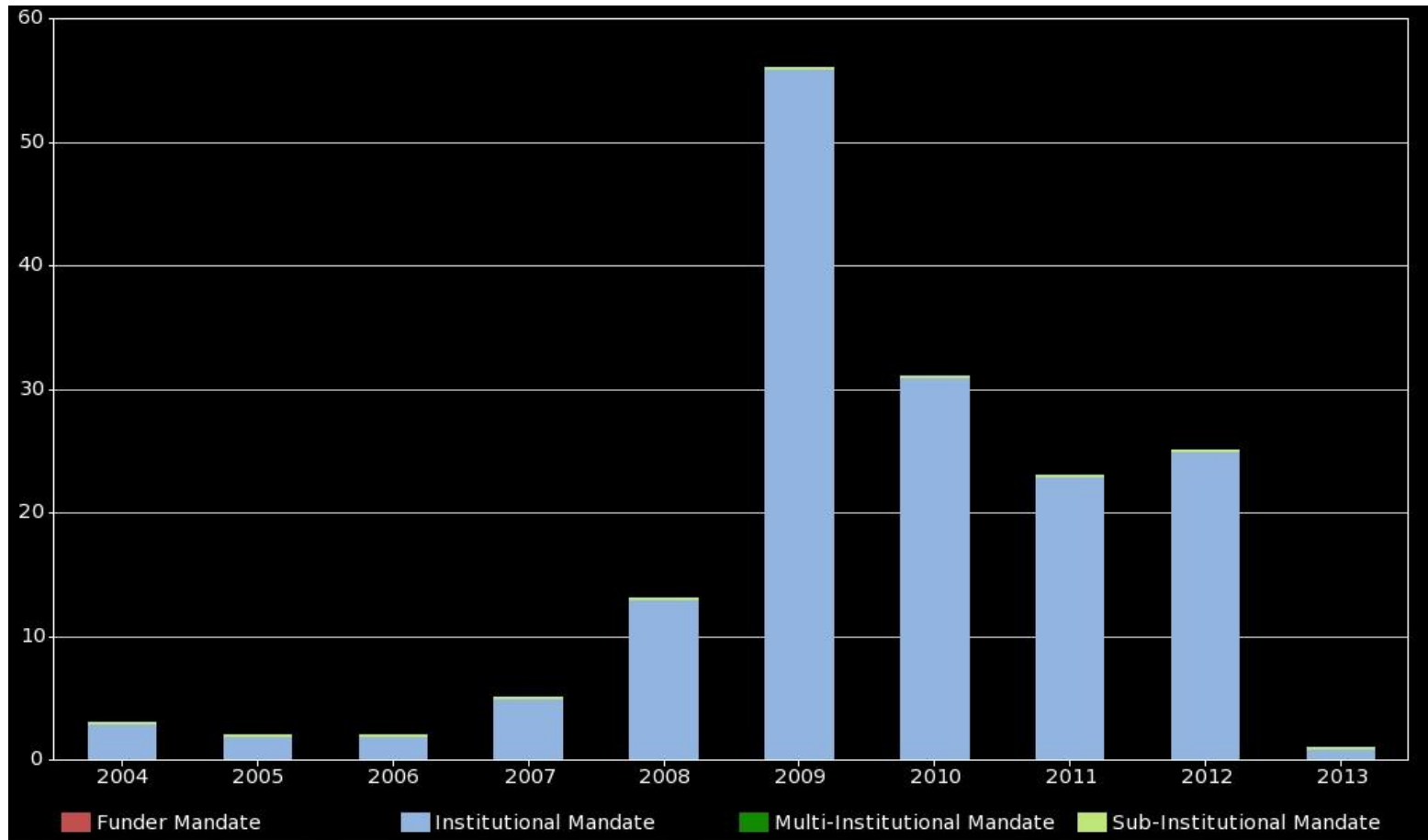
Funder mandates:

- Denmark (joint policy from 5 national funders)
- Ireland (joint policy from 17 organisations, including RPOs and funders)
- EU: European Research Council: Updated guidelines (2012)
 - » 6 months embargo
 - » including primary data
- UK: RCUK: revised policy
- EU: European Commission: Horizon 2020



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Institutional mandates



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THE LERU ROADMAP TOWARDS OPEN ACCESS

LERU OPEN ACCESS WORKING GROUP

LEAGUE OF EUROPEAN RESEARCH UNIVERSITIES

Universiteit van Amsterdam - Universitat de Barcelona - University of Cambridge - University of Edinburgh - Albert-Ludwigs-Universität Freiburg - Université de Genève - Ruprecht-Karls-Universität Heidelberg - Helsingin yliopisto (University of Helsinki) - Universiteit Leiden - Katholieke Universiteit Leuven - Imperial College London - University College London - Lunds universitet - Università degli Studi di Milano - Ludwig-Maximilians-Universität München - University of Oxford - Université Pierre et Marie Curie, Paris - Université Paris-Sud 11 - Université de Strasbourg - Universiteit Utrecht - Universität Zürich



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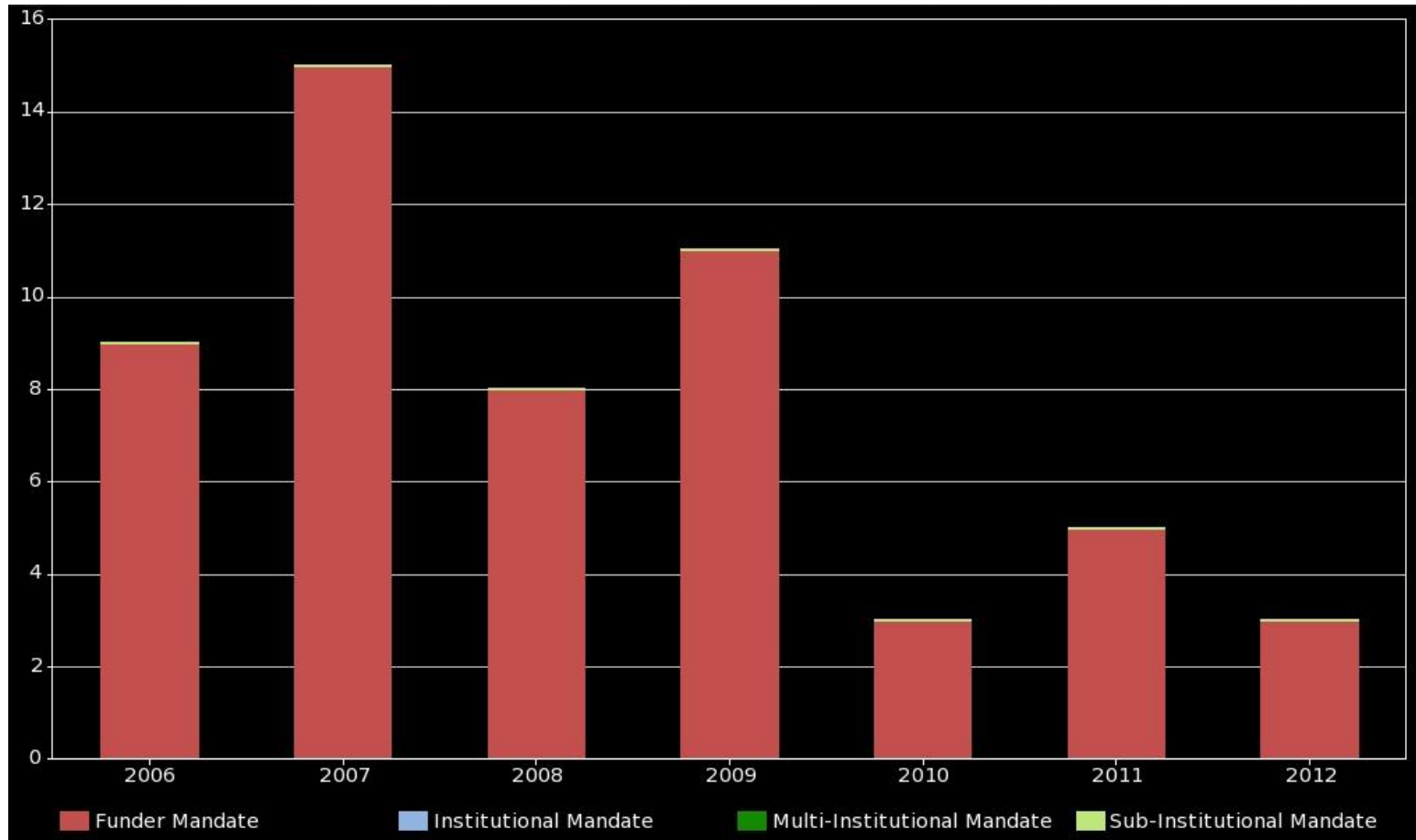
LERU Roadmap Towards Open Access

- Laid out the background and case for OA
- Described the two routes ('Green' and 'Gold')
- Explained how universities can achieve OA through either (or both) of these routes



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Funder mandates



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H2020 and Open Access

- Mandatory (non-policed mandate on 20% FP7 research)
- ‘Green’ OA mandate:
 - Authors deposit into local repositories
 - ‘Harvested’ by OpenAIRE (Commission-funded European repository)
 - Shop window for European research
- Permits payments from grants for ‘Gold’ OA



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Scientific data

- “Our vision is a scientific e-infrastructure that supports seamless access, use, re-use and trust of data. In a sense ... the data themselves become an infrastructure – a valuable asset on which science, technology, the economy and society can advance.” (Neelie Kroes, 2011)
- H2020 has a **proposed DATA PILOT**



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After the legislation...?

- Coordination across the Union
- 27 Member States (some of which already have policies of their own)
- Some have centres of expertise
- Many do not
- Even amongst those that are fairly OA-aware there is a high level of misconception and lack of understanding
- Coordination is key



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Policy alignment

- Irons out dissonances for researchers working in interdisciplinary areas or on international teams
- Supports EU harmonisation agenda for ERA (research conditions, researcher mobility, etc)
- Key issue in changing author practices and norms
- Allows generic infrastructural services to be established in support of policy
- Alignment in general terms across all national policies (and H2020) so far
-Bar one



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Already +/- aligned in the ERA

- Austria (Austrian Research Council, 2006)
- Belgium (Flanders, 2007)
- Belgium (Wallonia, 2013)
- Denmark (the 5 research councils, 2012)
- Hungary (Hungarian Research Fund, 2009)
- Ireland (the 4 research funders 2007, 2008, 2009: research organisations, 2012)
- Norway (Norwegian Research Council, 2009)
- Spain (National Government policy 2011)
- Sweden (the 2 research councils, 2009, 2010)
- Switzerland (Swiss National Science Foundation, 2007)



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Policy analysis

49 mandatory policies in ROARMAP

Type	Number
Green OA mandate	36
Green OA mandate with Gold option	12
Gold mandate with Green option	1

Gold costs can be paid from research grant or claimed from funder = 19



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Finch Report

- Recommended 'Gold' OA for the UK
- Assigned 'Green' repositories a role in preservation, and in disseminating theses and grey literature
- UK currently provides OA to around 40% of its outputs
- 35 of that 40% is 'Green' OA (repositories)
- Ignores:
 - relative success of 'Green' OA in the UK
 - sunk costs
 - economic implications for the UK
 - all other policies around the world (institutional and funder)



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RCUK

- 🌍 Policy built on Finch recommendations
- 🌍 Favours 'Gold' OA, and is expensive (100 million GBP will be handed to publishers over 5 years)
- 🌍 Based on:
 - Acquiring rights for re-use
 - Protecting publishers
- 🌍 No real attempt by Finch or RCUK to protect the UK research community from escalating publishing costs



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Budapest Open Access Initiative

An old tradition and a new technology have converged to make possible an unprecedented public good.

Westminster Open Access Initiative

An old tradition and a new technology have converged to make possible an unprecedented injection of public cash.

Dr Les Carr, University of Southampton, 2013



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RCUK

- Policy built on Finch recommendations
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- Based on:
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 - Protecting publishers
- No intelligent attempt by Finch or RCUK to protect the UK research community from escalating publishing costs
- **Big Deals, Big Deals ...**



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RCUK takes open-access green targets off fast track

f Like 0

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7 February 2013

By Paul Jump

Policy continues to worry academics despite research councils' concession. Paul Jump writes

Research Councils UK's confirmation last week that it will not fully enforce its new open-access policy for five years has failed to assuage the concerns of universities, academics and publishers.



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Future policy development

- Commission's Recommendations to MS (July 2012)
- Advocacy work will focus on encouraging policy development in all MS
- Aligned with H2020 policy
- Universities also waking up to issues and implications
- And researchers themselves
- And students (Right To Research Coalition – R2RC)



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Thank you for listening

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www.sparceurope.org

www.openscholarship.org

www.openoasis.org

www.keyperspectives.co.uk



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Research Councils UK (RCUK)

- Authors must use 'RCUK-compliant' journals:
 - Offer a Gold option, or
 - Where a journal does not offer Gold it must offer the Green option with an embargo of <6 months
 - Or both Gold and Green (author can choose either option)



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Perverse consequences

- Subscription journals lengthen their embargoes to >6 months
- Subscription journals offer a Gold option = hybrid journals
- UK authors must pay for this
- No upper limit on APCs
- Funds will be given from RCUK to universities to administer...
- This is NOT a policy for others to follow!



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