

# "Important characteristics of efficient open access policies".

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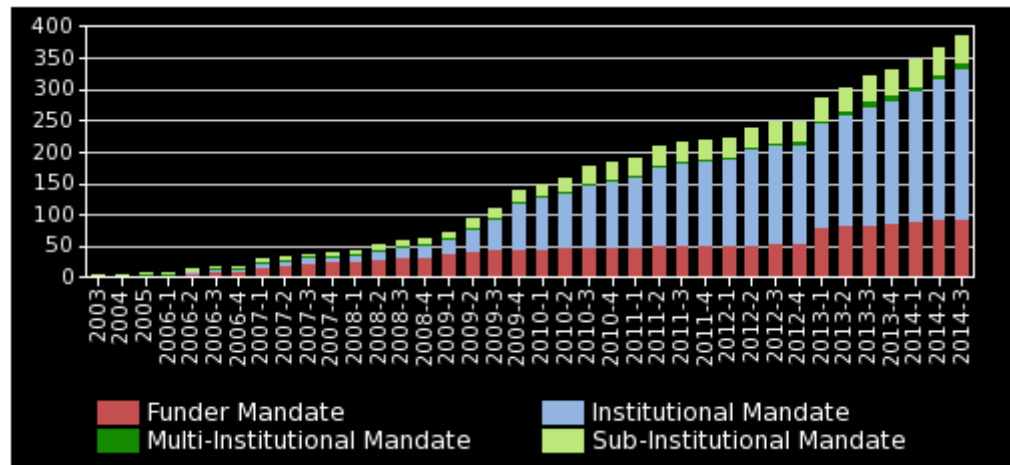


# Open Access Policies

- Increasing numbers
- Difficult to get an overview
- Difficulties in providing evidence of which OA-policies work!



# ROARMAP



## Total Mandates to Date (by type)

**Institutional Mandates (238)**      Proposed Institutional Mandates (9)  
**Sub-Institutional Mandates (46)**      Proposed Sub-Institutional Mandates (4)  
**Multi-Institutional Mandates (8)**      Proposed Multi-Institutional Mandates (5)  
**Funder Mandates (90)**      Proposed Funder Mandates (10)  
**Thesis Mandates (121)**



# H2020 and Open Access

- Mandatory for peer-reviewed publications
- **'Green' OA** mandate (repositories)
  - Publish as normal in subscription-based journals
  - Place author's copy in OA repository
- Permits payments from grants for OA journal publication:  
**'Gold' OA**
- Mute on **monographs**, but may be quite progressive on this in practice
- Definite on data, announcing an **open data pilot** for H2020



# FP7 >> H2020

| FP7                                      | H2020                                |
|--|--------------------------------------|
| ‘Green’ policy: ‘make best efforts...’   | ‘Green’ mandate (obligatory)         |
| ‘Gold’ payments eligible                 | ‘Gold’ payments eligible             |
| Covers 20% of research (selected fields) | Covers 100% of research (all fields) |
| 6/12 month embargoes                     | 6/12 month embargoes                 |
| Mute on monographs                       | Mute on monographs                   |
| Nothing on Open Data                     | Open Data pilot                      |





# PASTEUR4OA


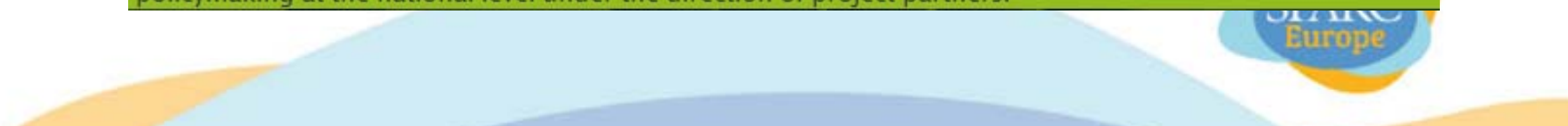
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## PASTEUR4OA/Welcome

Welcome to the PASTEUR4OA website!

PASTEUR4OA (Open Access Policy Alignment Strategies for European Union Research) aims to support the European Commission's Recommendation to Member States of July 2012 that they develop and implement policies to ensure Open Access to all outputs from publicly-funded research.

PASTEUR4OA will help develop and/or reinforce open access strategies and policies at the national level and facilitate their coordination among all Member States. It will build a network of centres of expertise in Member States that will develop a coordinated and collaborative programme of activities in support of policymaking at the national level under the direction of project partners.



Europe

## PASTEUR4OA will:

- Improve coordination in developing OA policies that align to the European Commission's Recommendations and Horizon2020 rules by among other things:
  - recording policies and policy types in order to develop a policy typology
  - policy analysis: effectiveness and growth
  - mapping of existing policies to policymakers



# Author advantages from Open Access

- Visibility
- Usage
- Impact
- Personal profiling and marketing





# Institutional and funder advantages from Open Access

- Visibility, usage
- Impact
- Profiling and marketing
- Outreach to the public: demonstrating social return
- Institutional management information
- Economic benefits



“The case for Open Access within a university is not simply political or economic or professional.

It needs to rest in the notion of what a university is and what it should be .... It is central to the university’s position in the public space”

*Professor Martin Hall, Vice Chancellor of the University of Salford, UK*



“I am asked how many articles my researchers publish each year, and I have to say ‘I have no idea!’”

*Professor Bernard Rentier, Rector, University of Liege, Belgium, explaining one of the reasons why he has built an institutional Open Access repository and introduced a mandatory policy on Open Access*



# Important building blocks of an OA-policy I

- 1<sup>st</sup> decision to make:
  - Recommend or Require?
  - Voluntarily or Mandatory
  - Soft or Strong
- Evidence so far:
  - Mandatory policies are **more challenging** to get accepted, but they are **much more efficient** in terms of compliance!!




# Important building blocks of an OA-policy II

- **Timing** of deposit/archiving the paper in the repository
  - “as soon as possible”
  - At time of publication
  - At time of acceptance and
  - No-deposit opt out!
- Evidence so far: **Deposit at time of acceptance and no-deposit opt-out much more efficient!**

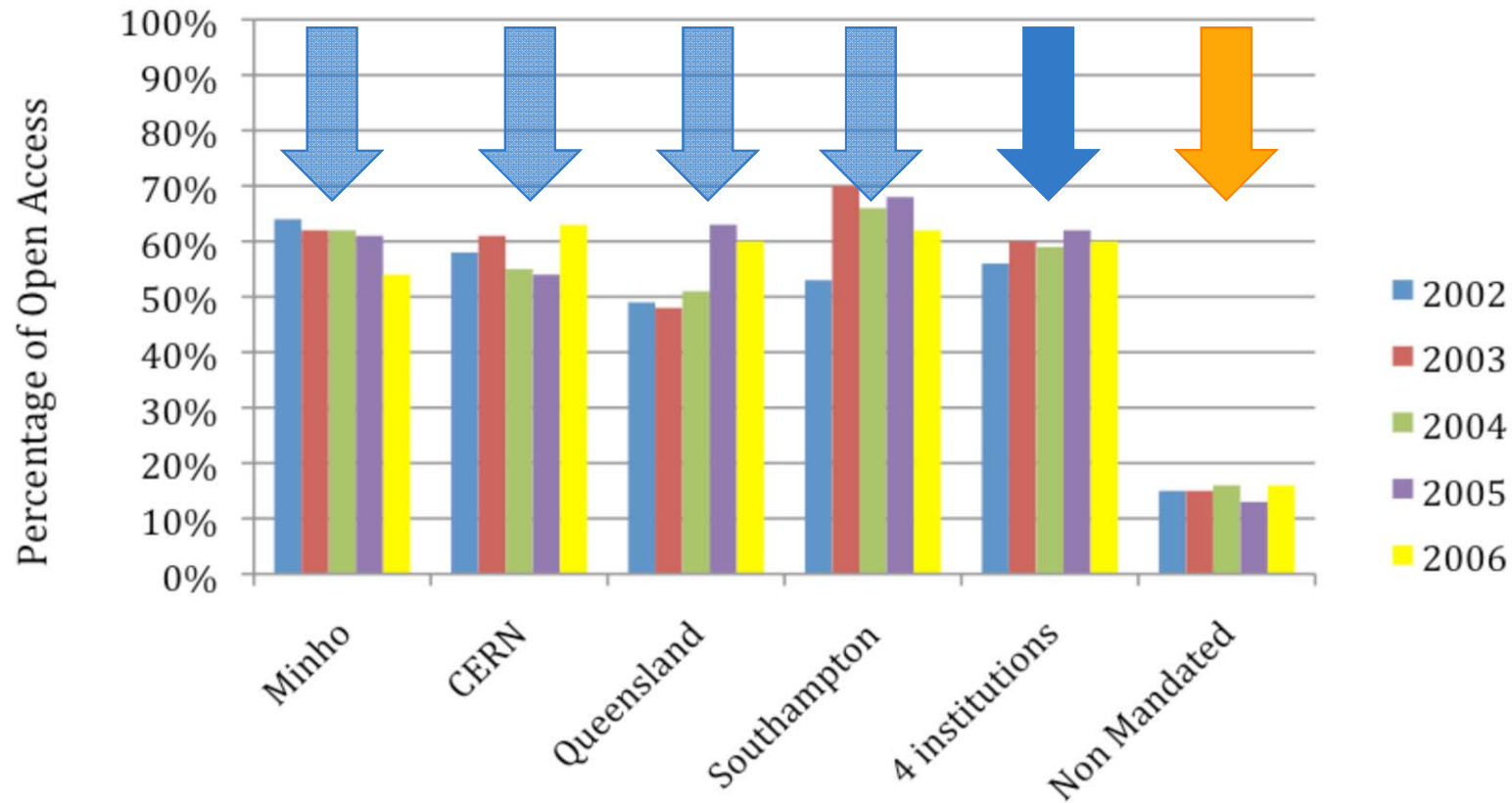


# Important building blocks of an OA-policy

- Making the paper publicly available (Open Access)
  - Allowed embargoes
  - Non-conditional OA opt-out
  - Conditional OA opt-out
  - No embargoes  Gold OA and/or Hybrid OA



# The effect of a mandatory policy



# Important building blocks of an OA-policy

- **Internal use** – research evaluation, promotion, tenure, resource allocation
- Evidence so far:
- OA-policies linked to internal use are **much stronger** in terms of compliance and impact





# So far!!

- An efficient OA-policy is:
  - A strong mandate (requirement)!
  - Requiring deposit at time of acceptance!
  - No opt-out for **deposit**
  - Linked to internal use!
  
- But deposit is not necessarily equal to **immediate** Open Access



# OA-policies requiring immediate OA.

- If the institution wants maximum compliance in terms of **immediate** open access the policy should at least support and make funds available for **Gold Open Access!**
- Gold Open Access eliminates the problems of embargoes
- But exposes other problems!



# Challenges related to Gold Open Access

- **Confusion** of the definition:
- Unfortunately in some cases (funders/countries) where OA-policies mandates Gold Open Access, Gold Open Access includes Hybrid Open Access – which is very unfortunate!
- Hybrid Open Access accelerate the problems and the challenges.



# Three recent policies emphasizing Gold OA

- **WHO:** <http://www.who.int/about/policy/en/>
- **CERN:** <http://cds.cern.ch/record/1955574/files/CERN-OPEN-2014-049.pdf>
  - “CERN authors are now requested to publish all their results Gold Open Access”.
- **Norwegian Research Council:** The Research Council of Norway is introducing a new, five-year funding scheme that will cover a significant share of the costs incurred by research institutions for publication in open access journals.



# The Norwegian Research Council

- “With this scheme we hope to facilitate a more **rapid transition** to open access publishing of Norwegian research. This is important for giving all interested parties free access to new research results **as soon as they are published**,” says Arvid Hallén, Director General of the Research Council.
- “We know that the **institutions** are in the **midst of a costly transition** period in which they must **maintain their journal subscriptions** as well as **pay fees to open access journals**,” says Mr Hallén. “The new funding scheme will make this period manageable for the institutions, and at the same time they can **develop effective systems** for financing open access publishing through dedicated publication funds.”



- The Research Council is now setting aside NOK 8 million per year for the new scheme, which is **open to all Norwegian research institutions** and is **not limited to articles funded by the Research Council**. The scheme's financial framework **may be expanded** if this is warranted by the volume of publications.
- The research institutions may apply for funding to cover up to 50 per cent of their expenses related to publishing in open access journals.
- The most important requirement to receive funding is that the journals in which the articles are published must be **open access journals at levels 1 or 2 in the registry of publication channels** from the Norwegian Association of Higher Education Institutions. In addition, universities and university colleges are **required to have established their own publication funds**.
- [http://www.forskningradet.no/en/Newsarticle/A\\_boost\\_for\\_open\\_access\\_to\\_research/1253997204282?lang=en](http://www.forskningradet.no/en/Newsarticle/A_boost_for_open_access_to_research/1253997204282?lang=en)



# Workflows and costs

- We tend to neglect the costs of the transition
- There are new workflows and costs (as well as benefits of course) associated with the implementation of
  - Green OA
  - Gold OA



# Workflows and costs – Green OA

- Workflows are relatively well developed in relation to Green OA
- Costs related to Green OA are fairly well described, however still to some extent based on limited evidence in that rather few have implemented strong mandates



# Workflows and costs – Gold OA I

- Implementing workflows for Gold OA on a larger scale are still in its early days.
- Challenges are related to
  - administration of APCs.
  - budgeting for and controlling costs.
  - reporting for compliance.



# Workflows and costs – Gold OA II

- Huge challenges where Hybrid OA is supported or even requested:
- Explosion in
  - The number of papers
  - Costs and of course
  - Double Dipping!!
  - Experiences from the UK are not promising!





But....

Let's not forget that the **system we are trying to change** – subscription based academic publishing – is extremely expensive, and since years has proven that **it cannot deliver** what student, research, researchers, industry, innovation, our societies and the people **deserve.**



# That's why strong Open Access policies are so important

OA is inevitable, but admittedly when OA is maturing the challenges become more apparent.

So let's continue the good work!

We can do it!



Thank you for your attention

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Credits to my colleague Alma Swan for some of  
the slides



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# Daniel Coit Gilman

First President, Johns Hopkins University

It is one of the noblest duties of a university to advance knowledge and to diffuse it, not merely among those who can attend the daily lectures, but far and wide.

