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Facilitate Open Science Training for European Research



**University of Malta**  
**L-Università ta' Malta**





# OPEN ACCESS POLICIES: ALIGNING STRATEGIES AND SERVICES

29 May 2015, Valletta, Malta  
Dr Birgit Schmidt, Göttingen  
State and University Library



# What to expect from this talk

- OA policies and mandates in general
- A funder example: Wellcome Trust
- Institutional policies
- National strategies & their coordination
- Publishers' policies
- Conclusions

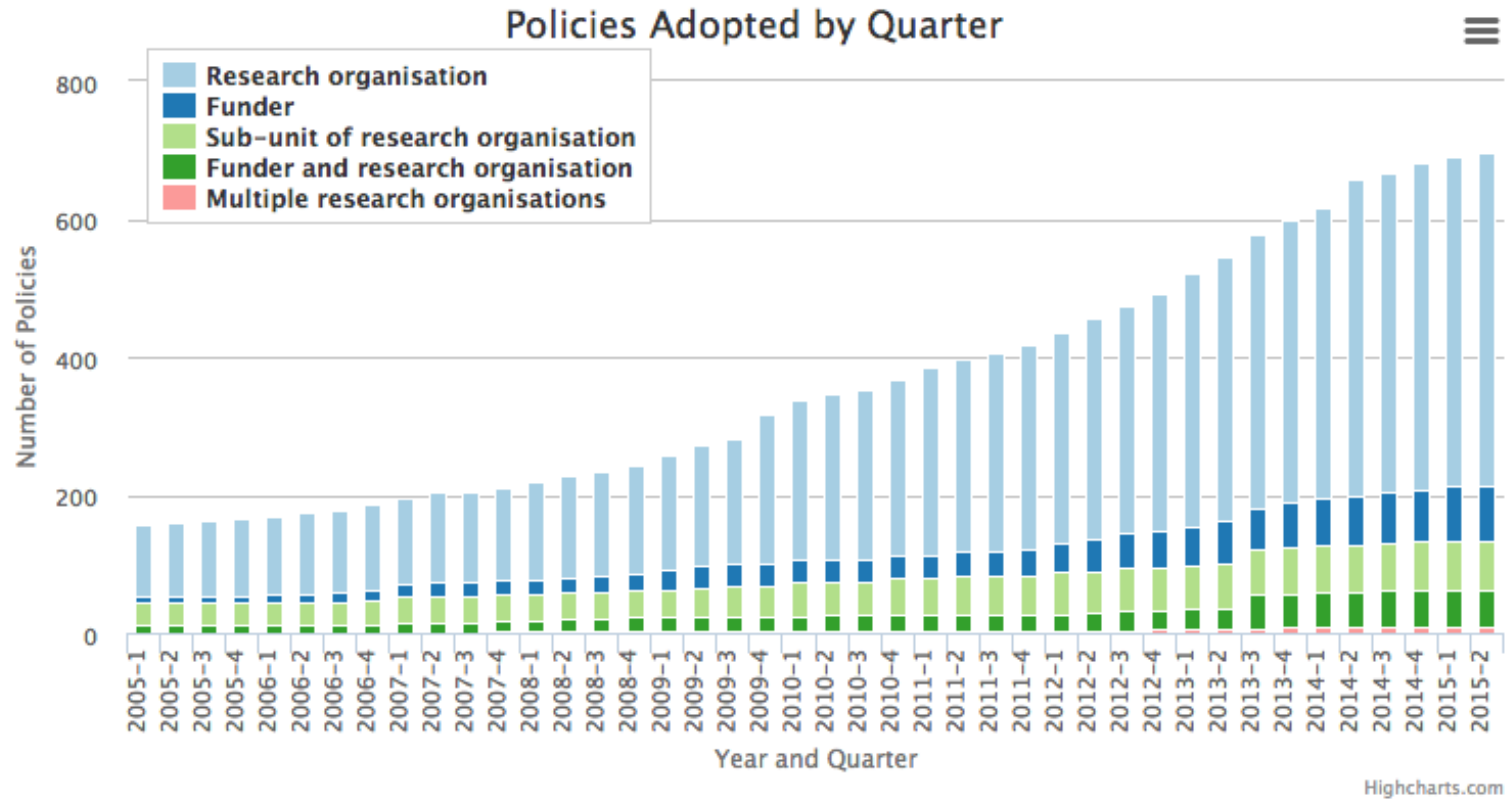
It is not **IF** Open  
Access

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It is **HOW** Open  
Access



# There are many OA mandates and policies world-wide



<http://roarmap.eprints.org/>

# Why care about OA policies?

*1 Formulating a goal for the institution.*

>> maximize access, dissemination & (re)use of research results via open access

*2 Setting a framework for the implementation.*

>> who should act how, who supports (via infrastructure, services)

*3 Working together to realize an ambition.*

>> what has to change, how will we know that it has been achieved, who monitors/assesses the progress

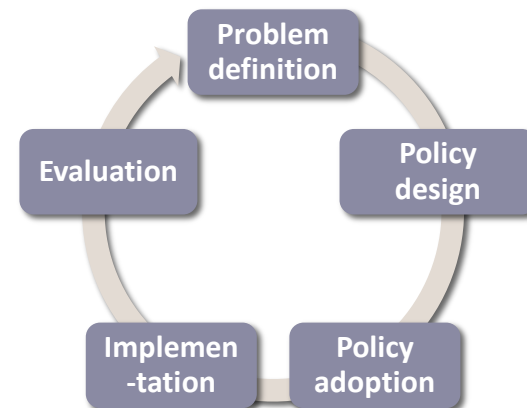


# OA policies - Key questions



- Who is responsible?
- What is the context?
- What strategy is applied?
- Who does what?
- How strong is the policy?
- How is the policy monitored?

## Policy cycle



# Policies are a joint exercise.

*Think about your stakeholders, e.g.*

Researchers

Funders

Institutions

Communities (domain-based,  
interdisciplinary)

Administrators

Libraries

Publishers



Source: <http://blog.fluxx.io>



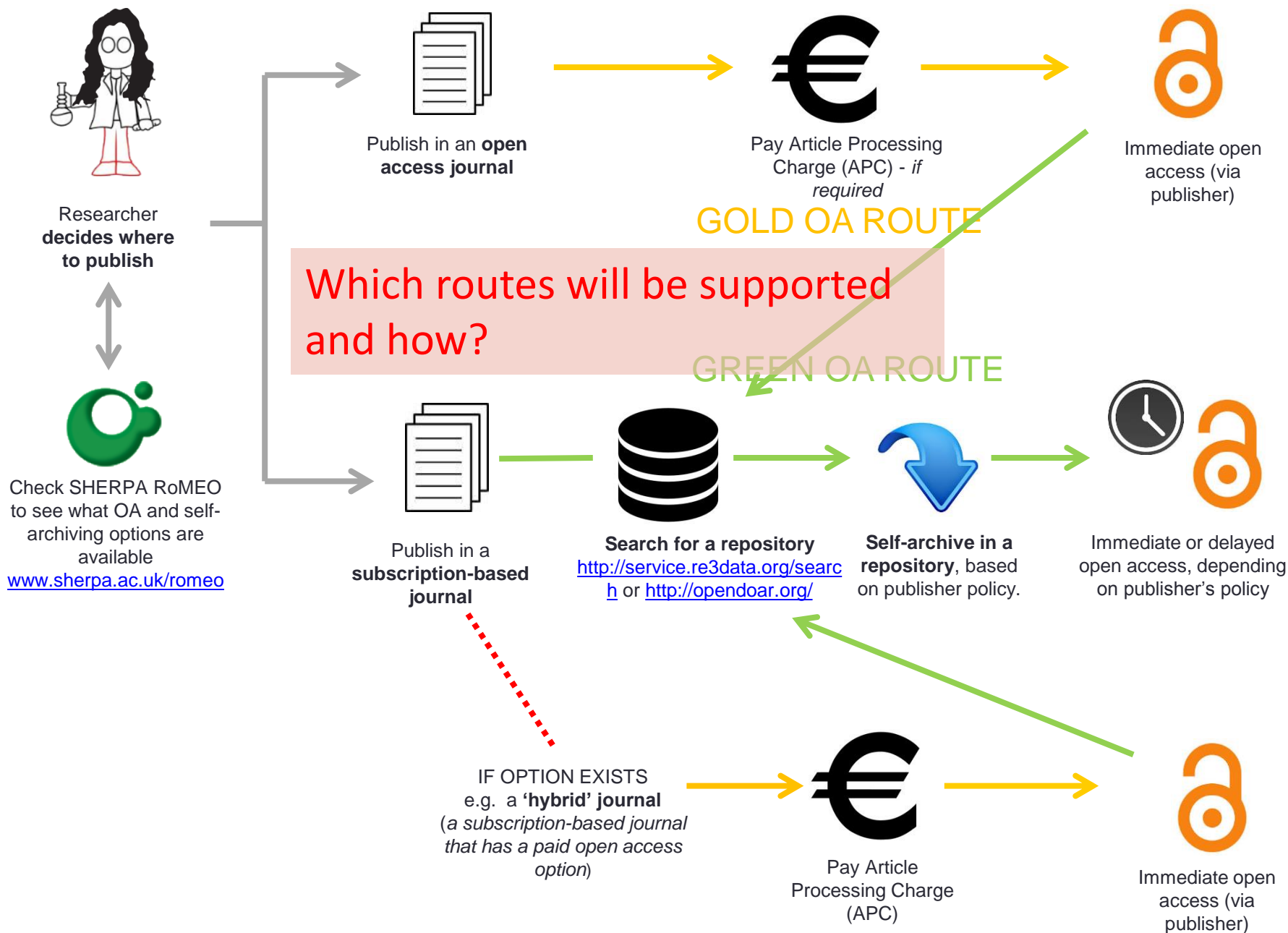
# What is the underlying strategy of the OA policy?

*So now you have a policy, but:*

*Just passing a policy does not, on its own, change faculty attitudes regarding Open Access or deposit practices.*

Implementation depends on resources & willingness to engage:

- High- and working-level support: Who endorses and reminds on the policy?
- Human resources: central, decentral?
- Infrastructure: a research information system (CRIS) and/or an institutional repository?
- Financial: Do you have resources to set up and maintain a publication fund?



# How strong is the policy?



The Open Academic Tidal Wave

1. **Recommended** open access to **scholarly papers** of publicly funded research
2. **Recommended** open access to all **digital outputs** of publicly funded research
3. **Mandated** open access to **scholarly papers** of publicly funded research
4. **Mandated** open access to all **digital outputs** of publicly funded research
5. **Enforced, mandated** open access to **scholarly papers** of publicly funded research
6. **Enforced, mandated** open access to all **digital outputs** of publicly funded research

[http://figshare.com/blog/2015 The year of open data mandates/143](http://figshare.com/blog/2015%20The%20year%20of%20open%20data%20mandates/143)



# Policies imply costs: E.g. staff hours comparing green vs. gold OA

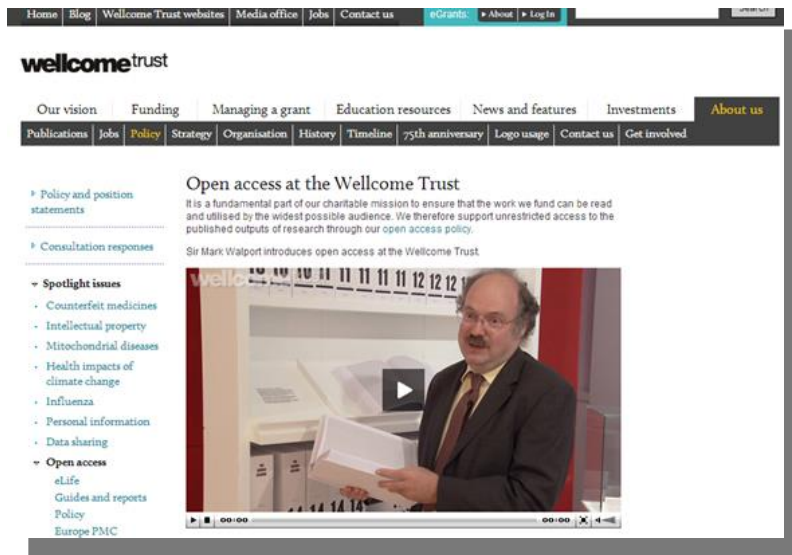


<http://www.researchconsulting.co.uk/wp-content/uploads/2014/11/Research-Consulting-Counting-the-Costs-of-OA-Final.pdf>

# Research funders

- E.g. Wellcome Trust, European Commission, RCUK, FWF, DFG
- **Global Research Council member survey (2014):**
  - **60% of respondents have an OA policy in place, 25% prepare a policy**
  - Challenges: aligning policies to achieve greater clarity for researchers, effectiveness of implementation, monitoring compliance, increasing transparency of APC costs and pricing, assess quality and impact, rewarding researchers, etc.
- Various **strategies to support the implementation:**
  - Combining support, infrastructures and monitoring
  - Rules for funded institutions / researchers: green OA deposit and/or gold OA publishing, rules about licensing
  - Funds for OA publishing during project period (and beyond)
  - Additional support measures on the institutional level, e.g. co-funding of publication funds, support for transformation of journals

# Policy implementation - Wellcome Trust



- Large science funder
- **2006: OA policy**
- **2007: Data policy**
- Encourages data sharing
- Deposit via UK PubMed Central, vast majority via publisher deposit
- Pays OA APCs (incl. hybrid OA)
- Agreements with Publishers
- Compliance rate of 69% (up from 55% in March 2012)
- Stricter enforcement since June 2012

# Open access policy

## Position statement in support of open and unrestricted access to published research

The mission of the Wellcome Trust is to improve health by supporting bright minds in science, the humanities and social sciences, and public engagement.

The main output of this research is new ideas and knowledge, which the Trust expects its researchers to publish as high-quality, peer-reviewed research articles, monographs and book chapters.

The Wellcome Trust believes that maximising the distribution of these publications, by providing

## II. What happens if papers are not compliant with the policy?

Where Trust-funded researchers have not complied with our open access policy, three sanctions will apply:

- Where non-compliant papers are identified in an End of Grant Report, the Trust will withhold the final 10 per cent of the 'total transferable funds' budget on the grant until all papers comply. See [10 per cent retention policy](#).
- Applicants will be required to ensure that Trust-funded papers resulting from current or previous grants are compliant before formal notification of any funding renewals or new



**Robert Kiley** PERMALINK

17 Mar, 2015 1:23 pm

👍 👎 🗨️ ⚙️ Rate This

Thanks for your comment.

Yes, the Wellcome Trust does apply sanctions for non-compliance with our OA policy.

Specifically, the final payment on grants (Sanction 1) has been withheld on 111 occasion to date (44 times in 2013, 48 times in 2014 and 19 times so far in 2015). In many cases this funding has been released after papers have been made available from Europe PMC.

To date we have not yet needed to use other sanctions. However, several researchers seek guidance on how to make papers compliant either before or during the application process, on being advised that these sanctions could be applied.

Wellcome-funded papers will be removed from the archiver's track record.

Removed from 1 October 2009 onwards of scholarly monographs

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Specific details of  
found in the [auth](#)  
can be found in t

Information for publishers can be found in the [publishers guide](#) (PDF 3/KB).

This policy will be kept under review.

<http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002766.htm> ;  
[http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Guides/WTD018855.htm#\\_ftn15](http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Guides/WTD018855.htm#_ftn15)  
[What happens](#)

## Policy on data management and sharing

The Wellcome Trust is committed to ensuring that the outputs of the research it funds, including research data, are managed and used in ways that maximise public benefit. Making research data widely available to the research community in a timely and responsible manner ensures that these data can be verified, built upon and used to advance knowledge and its application to generate improvements in health.

We believe that success in maximising the value of research data depends crucially on fostering a culture in which both data generators and data users adopt good research practice, and act with integrity and transparency in managing, using and sharing research data. Researchers, research institutions, resource providers, funders and publishers all have important roles to play in helping to develop this enabling environment and in developing the resources and systems required.

There is a growing international consensus on the need to preserve and share research datasets in a manner that maximises their long-term value. This has been articulated in key documents such as the OECD Principles and Guidelines for Access to Research Data from Public Funding (2007); the Fort Lauderdale Principles (2003) and the Toronto Statement (2009).

Our policy on data management and sharing reflects the principles set out in these statements. It is consistent with the Trust's position on [open and unrestricted access to published research](#), our [guidelines on good research practice](#) and our [policy on intellectual property and patenting](#).

The policy should be read in conjunction with the [associated guidance](#). We will keep both our policy and guidance under review.

### Policy statement

1. The Wellcome Trust expects all of its funded researchers to maximise the availability of research data with as few restrictions as possible.
2. All those seeking Wellcome Trust funding should consider their approach for managing and sharing data at the research proposal stage. In cases where the proposed research is likely to generate data outputs that will hold significant value as a resource for the wider research community, applicants will be required to submit a data management and sharing plan to the Wellcome Trust prior to an award being made.
3. The Wellcome Trust will:
  - review data management and sharing plans, and any costs involved in delivering them, as an integral part of the funding decision
  - work with grant holders on an ongoing basis to support them in maximising the long-term value of key datasets resulting from their research.
4. The Wellcome Trust expects all users of research data to acknowledge the sources of their data and to abide by the terms and conditions under which they accessed the original data.
5. The Wellcome Trust will foster an environment that enables researchers to maximise the value of research data. Specifically, we will work in partnership with others to:
  - ensure that key data resources are developed and maintained for use by the research community
  - recognise the contributions of researchers who generate, preserve and share key research datasets
  - develop best practice for data sharing in different fields - recognising that different data types raise distinct issues and challenges.

<http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTX035043.htm>



# Wellcome Trust: Where to deposit

The screenshot shows the Europe PubMed Central website. At the top, there is a navigation menu with links: About, Journal List, Grant Lookup, Resources, Help, Europe PMC plus, and Europe PMC labs. Below the menu is the Europe PubMed Central logo and a search bar with the text "search for...".

**Europe PMC**  
is a unique, free, information resource for biomedical and health researchers

**Search**  
30 million+ abstracts and 3 million+ full text research articles from PubMed and PubMed Central

**Discover**  
who is citing who, find related data resources and browse summaries of key terms

**Access**  
additional content including biological patents, clinical guidelines, PhD theses and research reports

**Search Tips**

- Search for an author by using last name followed by initials
- Filter searches by author or journal names by clicking on those names in a results list
- Use "Times Cited" sort order to show the most highly cited articles at the top of the results

**Articles**    Recent    Popular

Osteoarthritis in the XX1st Century: Risk Factors and Behaviours that Influence Disease Onset and Progression

Ameliorative Effects of PACAP against Cartilage Degeneration. Morphological, Immunohistochemical and Biochemical Evidence from in Vivo and in Vitro Models of Rat Osteoarthritis

Protection against Streptococcus pneumoniae lung infection after nasopharyngeal colonisation requires both humoral and cellular immune responses

Perceived weight discrimination in England: a population-based study of adults aged 50 and older

Validating the fragment-based drug discovery strategy for targeting biological RNAs: Lead fragments specifically bind and remodel the TPP riboswitch

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Europe PubMed Central is a service of the Europe PMC Funders' Group working in partnership with the European Bioinformatics Institute, JISC, University of Manchester and the British Library in cooperation with the

[Feedback](#)

# Wellcome Trust: Monitoring the policy

The screenshot shows the Wellcome Trust blog interface. The main article title is "The Reckoning: An Analysis of Wellcome Trust Open Access Spend 2013-14" dated 3 MAR, 2015. The author is Wellcome Trust. The article features a large image of various British banknotes (£10, £20, £50) with an "OPEN ACCESS" logo overlaid. Below the image, a caption reads: "To help make the costs around open access more transparent, the Wo...". The right sidebar contains a search bar and a list of recent posts.

	2012-13	2013-14
<b>Number of articles for which an APC was paid</b>	2126	2556
<b>Total spend on APCs</b>	£3,884,788	£4,694,428
<b>Total Wellcome Trust spend on APCs (some APCs' costs were split between Wellcome and another funder)</b>	£3,884,788	£4,383,939
<b>Average APC</b>	£1821	£1837
<b>Median APC</b>	£1837	£1800

Table 1: APC spend 2012-13 v 2013-14

	Fully OA journals	Hybrid journals	Unknown
<b>Number of articles published in:</b>	607	1894	55
<b>Average APC:</b>	£1,241	£2,030	£1,763

Basic compliance	Number	%
<b>Articles for which an APC has been paid</b>	2556	100%
<b>Number of these articles available via Europe PMC as full text (as of 1<sup>st</sup> February 2015)</b>	2221	87%
<b>Number of these articles NOT available as full text in Europe PMC</b>	335	13%
Licence compliance		
<b>Number of articles with a CC-BY (or CC-0) licence:</b>	1679	66%
<b>Number of articles with other licence (or no licence)</b>	877	34%
Full compliance		
<b>Total number of papers with full text in Europe PMC, and CC-BY licence</b>	1565	61%

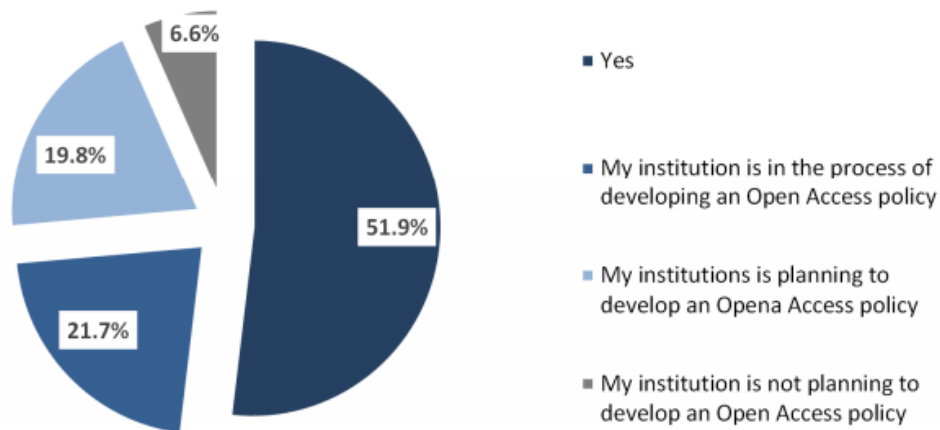
Table 4: APC content: overall compliance with our policy – as of 1<sup>st</sup> February 2015

# Institutional policies

- Typically combining green and gold OA
- Green OA often the underlying principle
- Gold OA is „easier“ to get started: they will come to you, however, involves to set up new workflows
- Context of the policy on the institutional, national, international level

# European University Association (EUA) Survey on OA (Oct. 2014)

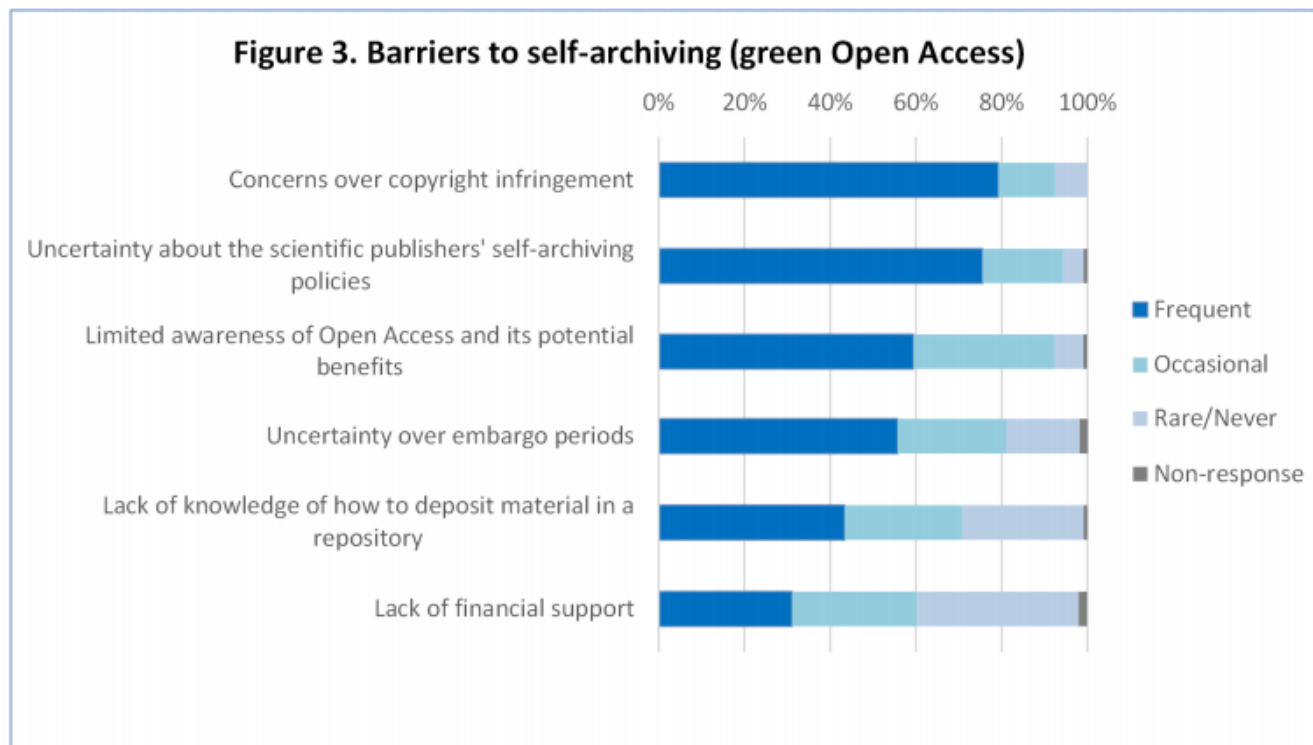
Figure 1. Existence of an institutional policy on Open Access to research publications



[http://www.eua.be/Libraries/Publications\\_homepage\\_list/Open\\_access\\_report\\_v3.sflb.ashx](http://www.eua.be/Libraries/Publications_homepage_list/Open_access_report_v3.sflb.ashx)

- Response rate of 13,5% (106 of 783 members)
- **9 in 10 universities (93%)** have an Open Access policy in place, are in the process of developing one or planning its development
- Encouraging researchers to **deposit their publications in an institutional or shared repository (62%)** is the main element of their OA policy
- 8 in 10 have an institutional or shared repository in place
- 12% only support the green route, 64% support both OA routes, 3% only gold OA

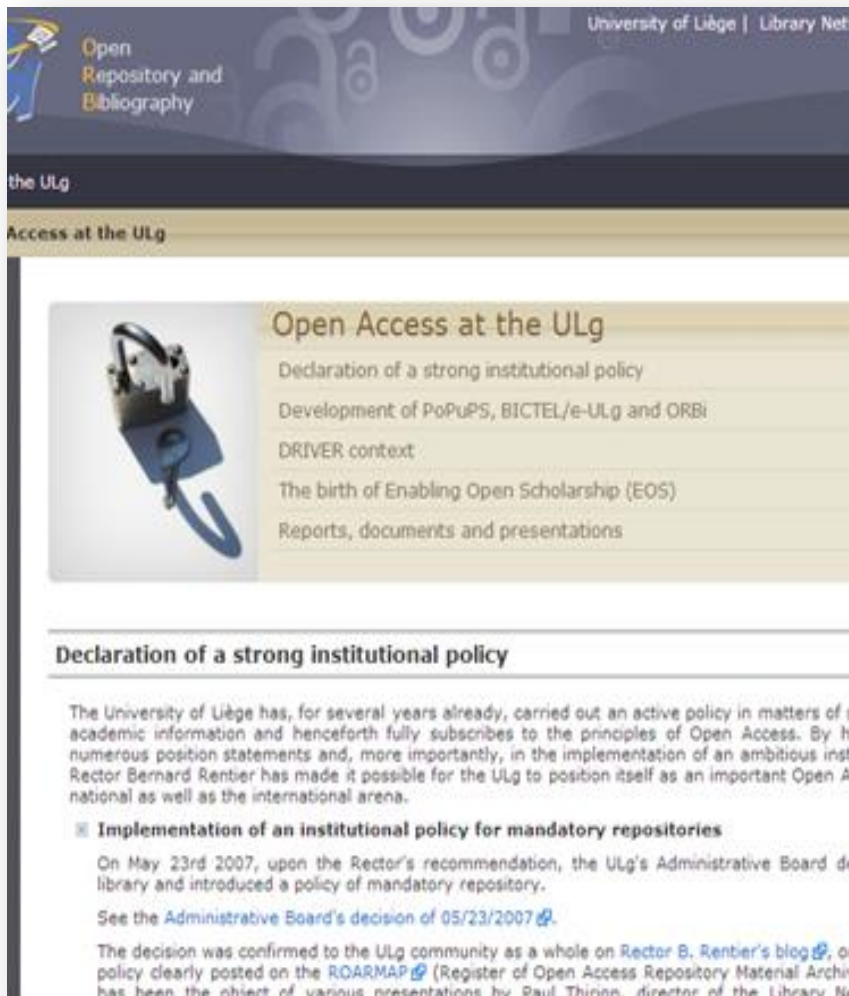
# EUA Survey on OA - II



- Awareness of the scientific publishers' policies on Open Access was assessed as "excellent" or "very good" for librarians by 67.9% of respondents, for the institutional leadership by 25.5% of respondents and for researchers by 9.4% of respondents.
- **Most important action needed on the national and European level: provision of guidelines to clarify legal issues related to Open Access**

[http://www.eua.be/Libraries/Publications\\_homepage\\_list/Open\\_access\\_report\\_v3.sflb.as hx](http://www.eua.be/Libraries/Publications_homepage_list/Open_access_report_v3.sflb.as hx)

# A University Mandate - Liège, Belgium



University of Liège | Library Network

Open Repository and Bibliography

the ULg

Access at the ULg

## Open Access at the ULg

Declaration of a strong institutional policy

Development of PoPuPS, BICTEL/e-ULg and ORBI

DRIVER context

The birth of Enabling Open Scholarship (EOS)

Reports, documents and presentations

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### Declaration of a strong institutional policy

The University of Liège has, for several years already, carried out an active policy in matters of academic information and henceforth fully subscribes to the principles of Open Access. By his numerous position statements and, more importantly, in the implementation of an ambitious institutional strategy, Rector Bernard Renbier has made it possible for the ULg to position itself as an important Open Access institution at the national as well as the international arena.

■ **Implementation of an institutional policy for mandatory repositories**

On May 23rd 2007, upon the Rector's recommendation, the ULg's Administrative Board decided to create a library and introduced a policy of mandatory repository.

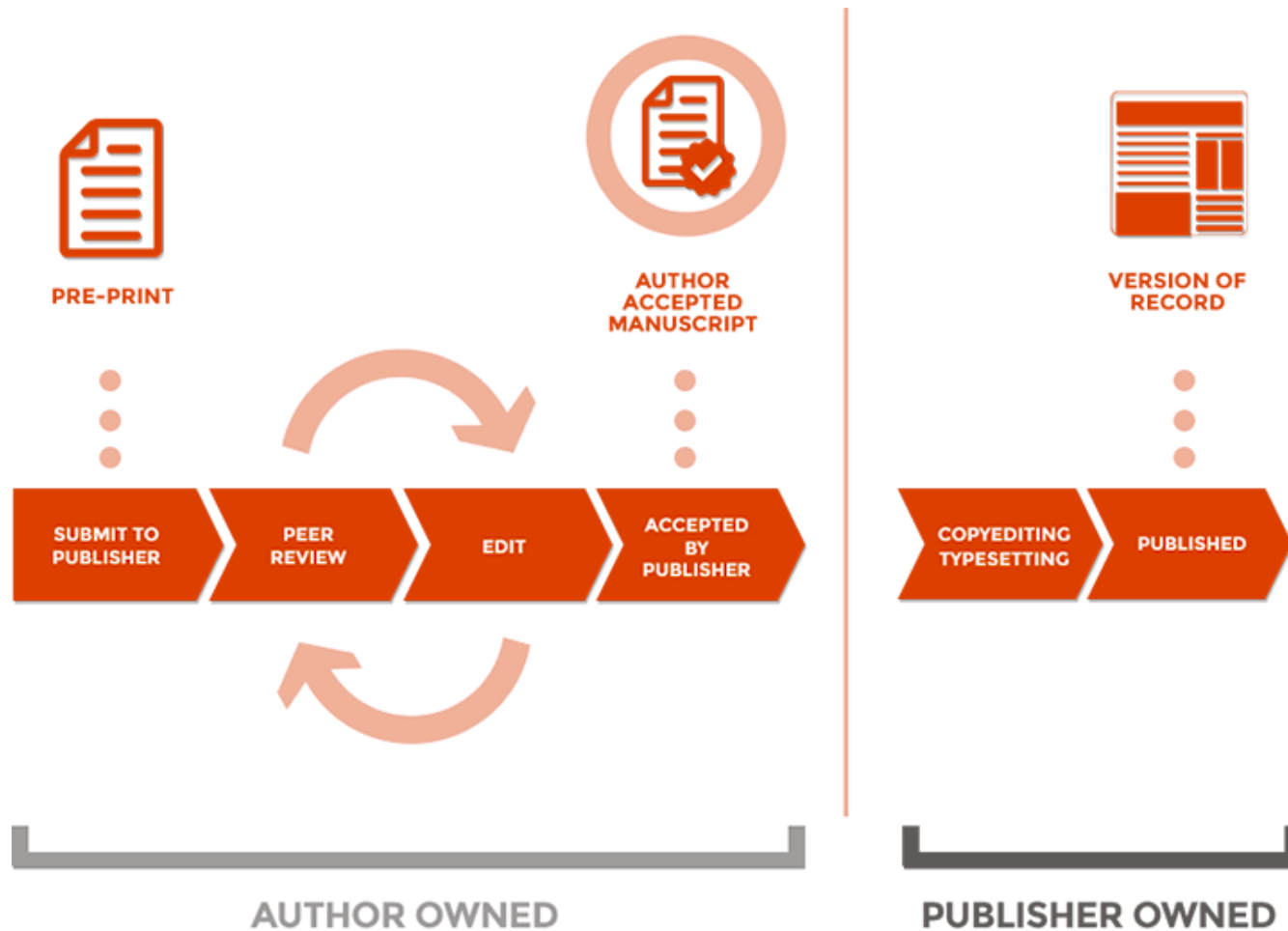
See the [Administrative Board's decision of 05/23/2007](#).

The decision was confirmed to the ULg community as a whole on Rector B. Renbier's [blog](#), on which the policy clearly posted on the [ROARMAP](#) (Register of Open Access Repository Material Archiving) has been the object of various presentations by Paul Thirion, director of the Library Network.

- Mandate
  - Introduced in 2007
- Focus on ,deposit‘
  - All authors obliged
- Success
  - Helps research evaluation
- Support
  - Comes from top-down, Rector



# What to deposit



# When to deposit: Immediate Deposit / Optional Access (ID/OA)

← → ↻ 🏠 openaccess.eprints.org/index.php?archives/71-guid.html ☆ 🖨️ 📄 📱 📡


## The Immediate-Deposit/Optional-Access (ID/OA) Mandate: Rationale and Model

Open Access Archivangelism

Monday, March 13, 2006

### The Immediate-Deposit/Optional-Access (ID/OA) Mandate: Rationale and Model

**EXECUTIVE SUMMARY:** *Universities and research funders are both invited to use this document to help encourage the adoption of an Open Access Self-Archiving Mandate at their institution. Note that this recommended "Immediate-Deposit & Optional-Access" (IDOA) policy model (also called the "Dual Deposit/Release Strategy") has been specifically formulated to be immune from any delays or embargoes (based on publisher policy or copyright restrictions): The deposit -- of the author's final, peer-reviewed draft of all journal articles, in the author's own Institutional Repository (IR) - - is required immediately upon acceptance for publication, with no delays or exceptions. But whether access to that deposit is immediately set to Open Access or provisionally set to Closed Access (with only the metadata, but not the full-text, accessible worldwide) is left up to the author, with only a strong recommendation to set access as Open Access as soon as possible (immediately wherever possible, and otherwise preferably with a maximal embargo cap at 6 months).*



*This IDOA policy is greatly preferable to, and far more effective than a policy that allows delayed deposit (embargo) or opt-out as determined by publisher policy or copyright restrictions. The restrictions apply only to the access-setting, not to the deposit, which must be immediate. Closed Access deposit is purely an institution-internal book-keeping matter, with the institution's own assets, and no publisher policy or copyright restriction applies to it.*

*[In the meanwhile, if there needs to be an embargo period, the IR software has a semi-automated EMAIL EPRINT REQUEST button that allows any would-be user to request (by entering their email address and clicking) and then allows any author to provide (by simply clicking on a URL that appears in the eprint request received by email) a single copy of the deposited draft, by email, on an individual basis (a practice that falls fully under Fair Use). This provides almost-immediate, almost-Open Access to tide over research usage needs during any Closed Access period.]*

#### 1. Research Accessibility

**1.1** There exist 24,000 peer-reviewed journals (and conference proceedings) publishing 2.5 million articles per year, across all disciplines, languages and nations.

**1.2** No university anywhere, not even the richest, can afford to subscribe to all or most of the journals that its researchers may need to use

**1.3** Hence no article is accessible to all of its potential users, and hence all articles are losing some of their research impact (usage and citations).

#### 2. Research Impact: Usage and Citations

**2.1** This is confirmed by recent findings, independently replicated by many investigators, showing that articles for which their authors have supplemented subscription-based access to the publisher's version by self-archiving their own final drafts free for all on the web are downloaded and cited twice as much across

#### EnablingOpenScholarship (EOS)

#### Federal Research Public Access Act (FRPAA)


#### Alliance for Taxpayer Access (ATA)


#### Creative Commons License:



#### Quicksearch

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-  [RSS 2.0 Comments](#)
-  [OPML 1.0 feed](#)



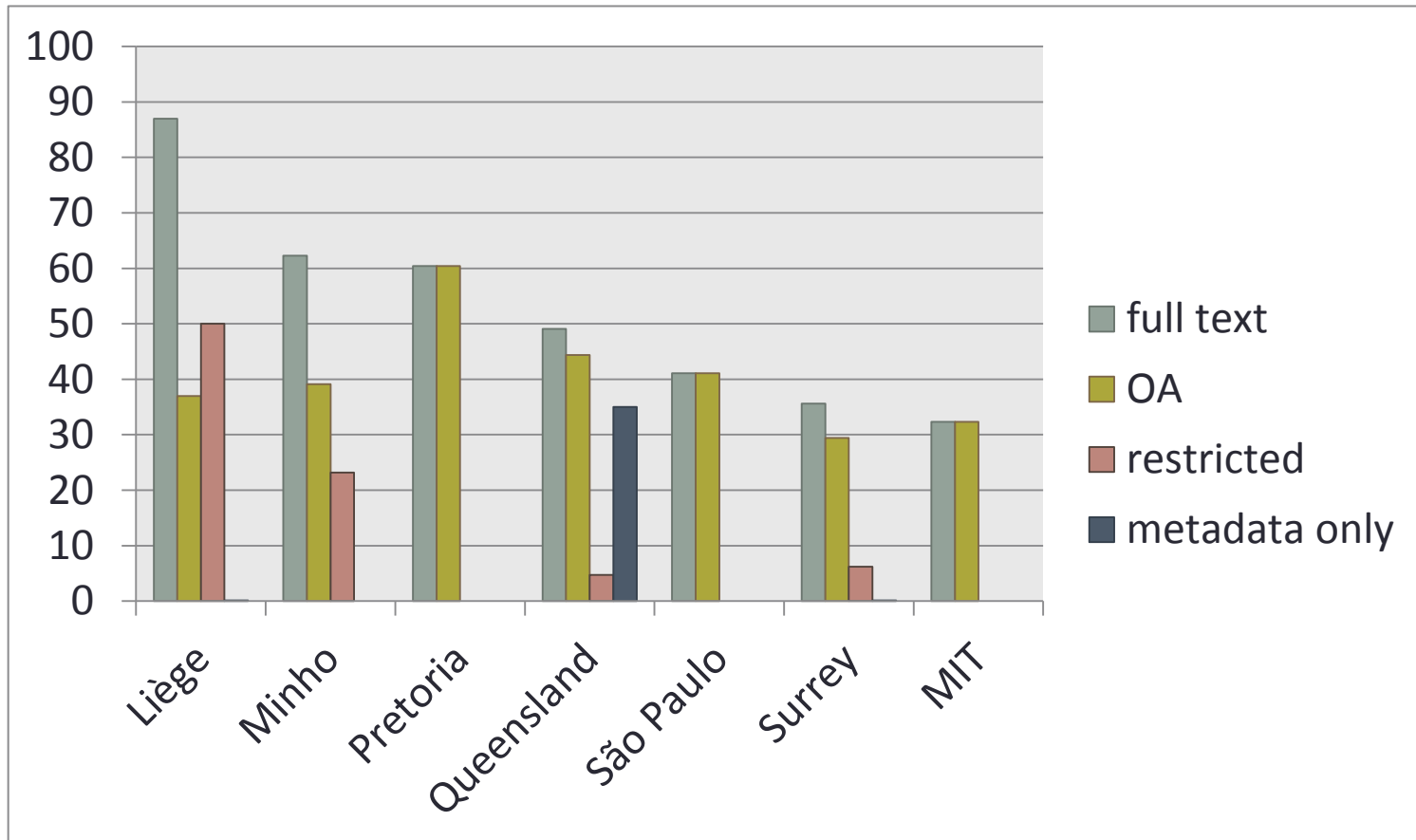
#### Materials You Are Invited To Use To Promote OA Self-Archiving:

- PPTs -- PDFs about Green OA Mandates and Metrics
- Videos:**
  - OA Policy & Management (Brussels 2011)
  - OA Impact Metrics (Uppsala 2010)
  - 2010 UNT Green OA Mandate Policy Symposium: Keynote
  - 2010 E-Democracy: 5 Questions
  - Access2009 (Prince Edward Island)
  - 3.ª Conferência sobre acesso livre ao conhecimentos
  - ELPUB 2008 mandates & Keynote Video
  - Liege Mandates/Metrics Video
  - DRIVER Summit Video
  - FEST Trieste Video





# Content in repositories with OA mandates (2014)



Source: PASTEUR4OA (2015). Report on policy recording exercise, including policy typology and effectiveness and list of further policymaker targets, Deliverable 3.1, <http://www.pasteur4oa.eu/deliverables>

# How to handle restricted access

The screenshot shows a web browser window with the URL `eprints.soton.ac.uk/351873/`. The page header includes the University of Southampton logo and a search bar. A left sidebar contains navigation links: University Home, ePrints Soton, Policies, Latest Additions, Browse by Year, Browse by Subject, Browse by School, and Login. Below the sidebar are RSS 1.0, RSS 2.0, and Atom feeds.

The main content area displays the title **Size at birth, morning cortisol and cardiometabolic risk markers in healthy Indian children** with a 'Share' icon. Below the title is the citation: *Krishnaveni, G. V., Veena, S. R., Dhube, A., Karat, S. C., Phillips, D. I. W. and Fall, C. H. D. (2013) Size at birth, morning cortisol and cardiometabolic risk markers in healthy Indian children. Clinical Endocrinology (doi:10.1111/cen.12143). (PMID:23297873).*

A red circle highlights the 'Download' link (which is disabled), the text 'Full text not available from this repository.', a 'Request a copy' button, and the 'Description/Abstract' link.

The abstract text is as follows:

**OBJECTIVE:** Prenatal programming of the hypothalamic-pituitary-adrenal (HPA) axis may link reduced fetal growth with higher adult chronic disease risk. South Asians have a high prevalence of low birth weight and a thin-fat phenotype which is associated with subsequent type 2 diabetes and the metabolic syndrome. Altered HPA activity could be one of the pathological processes underlying this link. **METHODS:** Plasma morning cortisol and corticosteroid binding globulin (CBG) concentrations were determined in 528 children aged 9.5 years from a prospective birth cohort in India. They had detailed anthropometry at birth, and current measurements of anthropometry, plasma glucose, insulin and lipid concentrations and blood pressure. Insulin resistance (Homeostasis Model Assessment) and insulin secretion (the 30-minute insulin increment) were also assessed. **RESULTS:** None of the birth measurements were associated with cortisol concentrations, but both birth weight ( $P=0.03$ ) and length ( $P=0.004$ ) were inversely associated with CBG concentrations. Cortisol concentrations were inversely associated with current body mass index ( $P=0.02$ ), and positively associated with glucose (fasting:  $P<0.001$ ; 30-minute:  $P=0.002$ ) concentrations, and systolic blood pressure ( $P=0.005$ ) but not insulin resistance or the insulin increment. **CONCLUSION:** Higher morning cortisol is associated with higher cardiometabolic risk markers in Indian children. Although cortisol concentrations did not appear to be related to birth size, small size at birth was associated with higher CBG levels, and may be one of the processes by which fetal undernutrition affects adult health. The findings suggest a need for dynamic testing of HPA axis activity (such as measuring stress responses). © 2013 Blackwell Publishing Ltd.

Item Type: Article

ISSNs: [0300-0664 \(print\)](#)  
[1365-2265 \(electronic\)](#)

Related URL: <http://onlinelibrary.wiley.com/doi/10.1111/cen.12143/pdf>

Subjects: [R Medicine > R Medicine \(General\)](#)  
[R Medicine > RJ Pediatrics](#)

Divisions: [Faculty of Medicine](#)

Item ID: 351873

Date Deposited: 25 Apr 2013 15:13

Last Modified: 25 Apr 2013 15:14

# CERN headed for 100% OA

Approved by the Director-General - 16.10.2014

## Open Access Policy for CERN Physics Publications

CERN is committed to Open Access, it represents values written in our Convention sixty years ago, and it is increasingly important for our Member States. For over twenty years, most of our Physics publications have been immediately available online as CERN-PH-TH or CERN-PH-EP preprints before publication in journals. This is generally called “Green” Open Access.

“Gold” Open Access journals go a step further and make articles available to readers free of charge. These journals are financed by a per-article fee, called Article-Processing Charge. Through 2013, the Scientific Information Service has centrally covered such fees for certain journals. In addition, thanks to partnerships with most publishers, all LHC experimental articles have been published as Gold Open Access since 2010.

As of January 2014, CERN and international partners in over 38 countries launched the SCOAP3 initiative, which has converted to Gold Open Access most journals in the field at no cost for any author worldwide. Recently, CERN and the American Physical Society (APS) announced a partnership<sup>1</sup> to publish all CERN articles in APS journals Gold Open Access in 2015 and 2016.

**CERN authors<sup>2</sup> are now requested to publish all their results Gold Open Access.**

While all LHC physics articles are Gold Open Access, only 60% of CERN physics results were published as Gold Open Access in 2013. Thanks to the SCOAP3 initiative and the additional partnership with APS this figure will rise to 90-95% in 2015. CERN now aims to reach 100% Gold Open Access for all its original High-Energy Physics results<sup>3</sup>, experimental and theoretical, by the end of 2016.

The easiest way to publish Gold Open Access is to prefer journals covered by SCOAP3<sup>4</sup> [<http://scoap3.org/scoap3journals>] or through Open Access arrangements where no additional fee should be paid by CERN. The Scientific Information Service can help to understand the situation.

When circumstances require publication in any other journal, Open Access fees can be paid with funds external to CERN, e.g. E.U. projects. Where this is not possible, authors are requested to get permission from their Department Head.

<https://cds.cern.ch/record/1955574/files/CERN-OPEN-2014-049.pdf>

# SCOAP3: Correlation of gold OA journal APCs and JIF



Figure 1. Article Processing Charges (2014) as a function of Impact Factors (2012) for Gold Open Access journals, and comparison with the SCOAP3 titles. The correlation coefficient is 0.71 (n=89) and corresponds to the line.



# SCOAP3: Average APCs

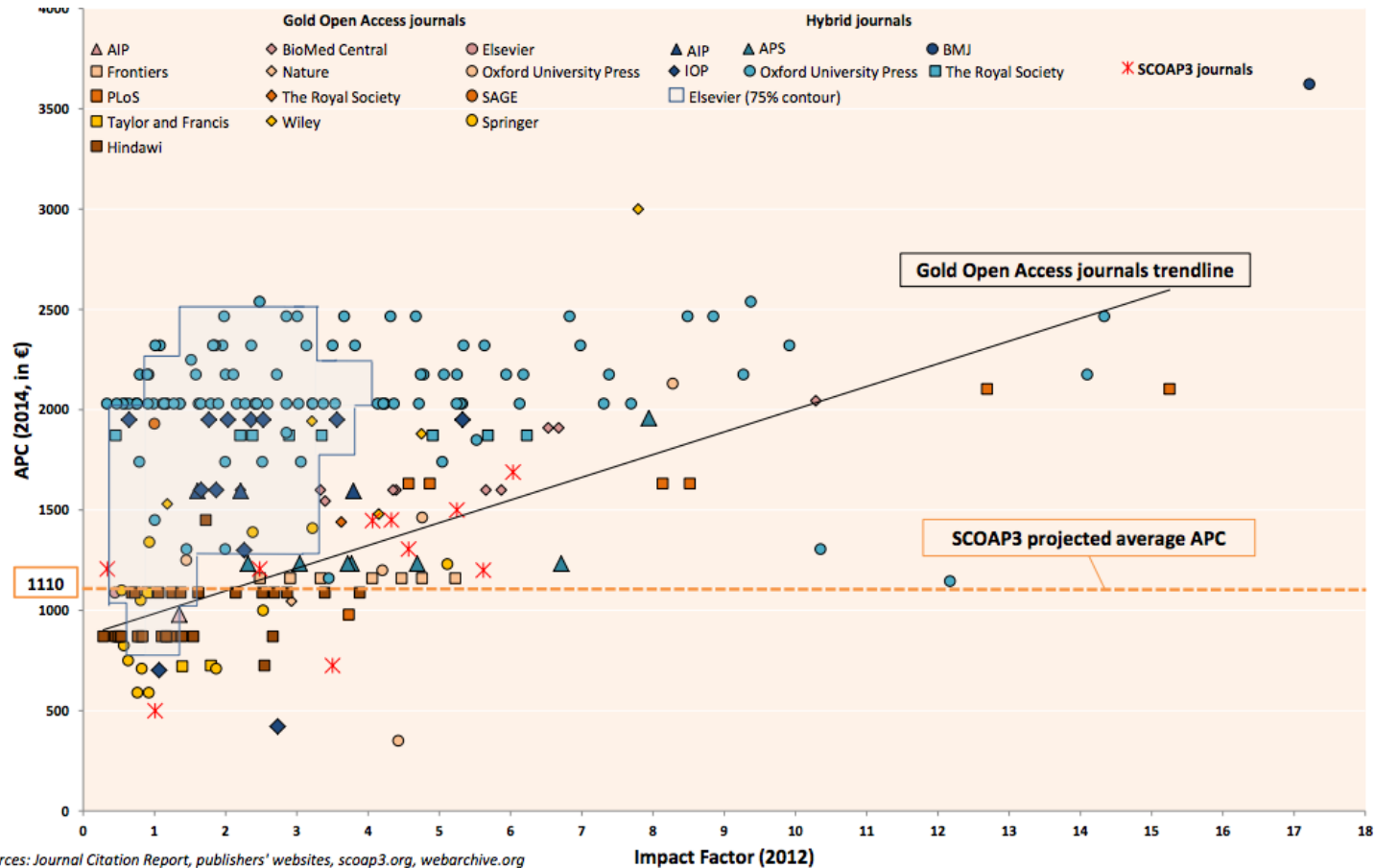


Figure 4. Article Processing Charges (2014) as a function of the Impact Factor (2012) for all journals in the sample ( $n=1'410$ ), and comparison with the projected average APC SCOAP3 will pay in 2014 (€1'110, horizontal dashed line). The jagged line indicates the 75% contour for the distribution of the 1'182 Elsevier titles. It is built by using steps of 0.25 in IF and €250 in APC, starting from the population maximum, and connecting contiguous cells in decreasing order of population, till 75% of the sample is included. The continuous line represents the 0.71 ( $n=89$ ) correlation coefficient for the Gold Open Access journals.



## Die Open Access Politik der Georg-August-Universität Göttingen

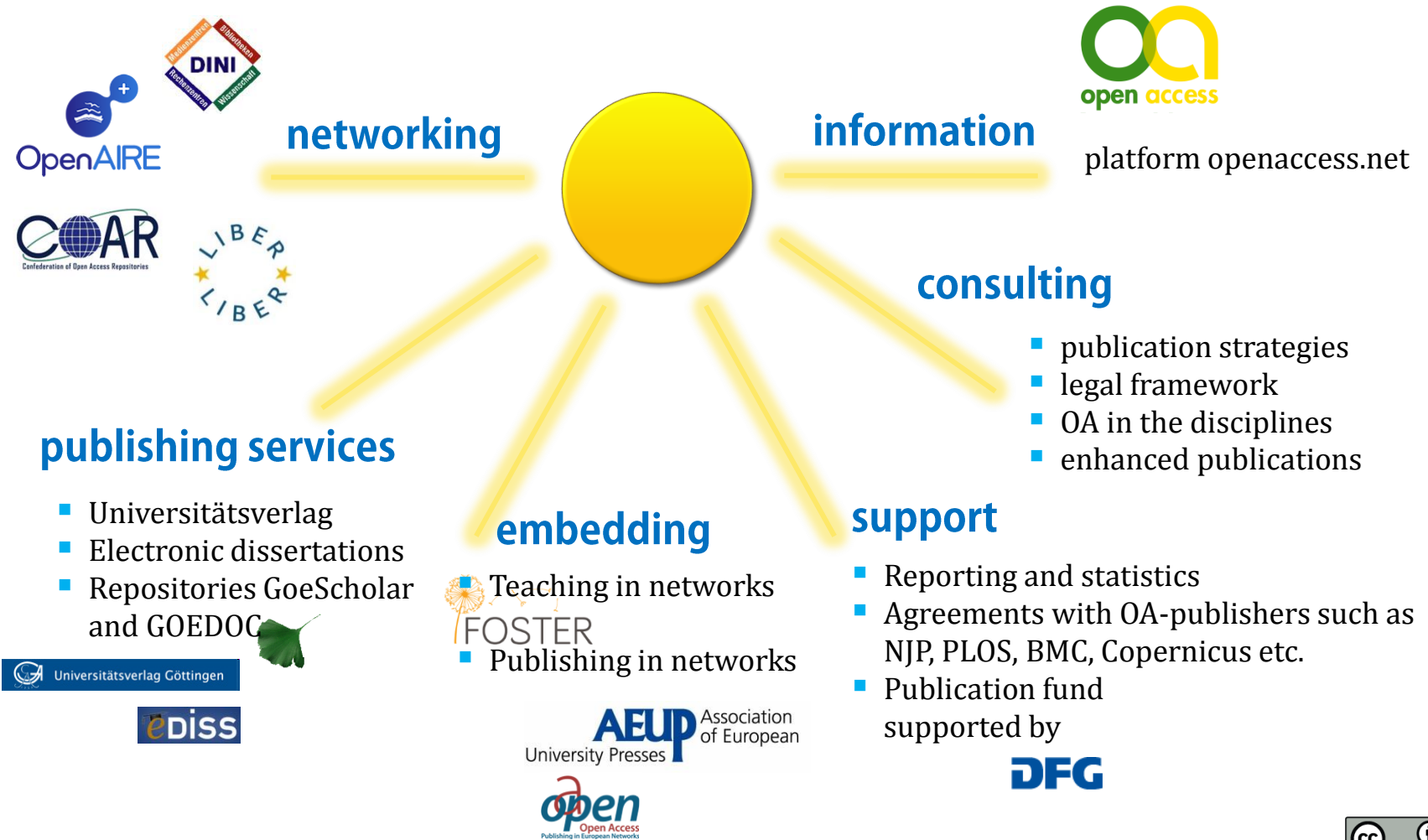
Das Internet als Kommunikations-, Informations- und Publikationsmedium ist inzwischen für die globale Wissenschaftsgemeinschaft ein unverzichtbares Werkzeug. Gleichzeitig ist das wissenschaftliche Kommunikations- und Publikationswesen von einer zunehmenden Abhängigkeit vom kommerziell dominierten Verlagsmarkt gekennzeichnet. Die überproportionalen Preisanstiege für wissenschaftliche Zeitschriften und Monographien belastet werden. Da viele Titel abbestellt werden müssen, wird der Zugang zu relevanten wissenschaftlichen Literatur zunehmend erschwert. Weltweit wird nach dem Prinzip des Open Access gefordert, dass alle relevanten wissenschaftlichen Dokumente

Since 2005  
encouraging and „soft“  
Open Access mandate  
including support and  
infrastructure

Das Präsidium der Universität Göttingen empfiehlt den Autoren und Autorinnen der Universität nachdrücklich, veröffentlichte, wissenschaftlich referierte Artikel, soweit rechtlich zulässig, als Kopie auf den Publikationenserver der Universität bei der SUB Göttingen abzulegen. Dies betrifft die Publikationen einer großen Zahl von Verlagen, die dieser Selbst-Archivierung durch Autoren an ihren Institutionen zustimmen.

Im Online-Verzeichnis SHERPA/ROMEO können Sie nachlesen, welche wissenschaftlichen Verlage Ihnen das Selbstarchivieren unter welchen Bedingungen gestatten. Hierzu gehören große Verlagskonsortien wie Elsevier und Springer. Gemäß § 38a des UrhG fällt nach einem Jahr das Recht, einen Zeitschriftenartikel anderweitig zu veröffentlichen, an den Autor zurück, sofern es

# Implementing Open Access in Göttingen



# What works at UGOE?

- High-level reminders, e.g. large collaborative research projects are asked to develop an OA strategy
- Services for gold OA publishing, combined with OA deposit: publication funds, agreement with publishers, own university press
- On-demand consultation on OA and IPR
- Collaborations, e.g.
  - Research Office on implementation of the EC's OA policies
  - Göttingen eResearch Alliance: linking policies on research data and publications
  - National and international networks of OA initiatives and services
- Training activities, for librarians and young researchers



# Research Data Policy of the Georg-August Universität Göttingen

- Officially issued on 28th August 2014
- One of the first German universities with such a policy
- Topics addressed:
  - Research Data, Research Data Management and its purposes
  - Data Management Plans
  - Support, training and provision of services
  - Storage location
  - Ethical and legal standards
  - Open Access
- eResearch Alliance: support and advice on the implementation of the RDP for the Göttingen Campus

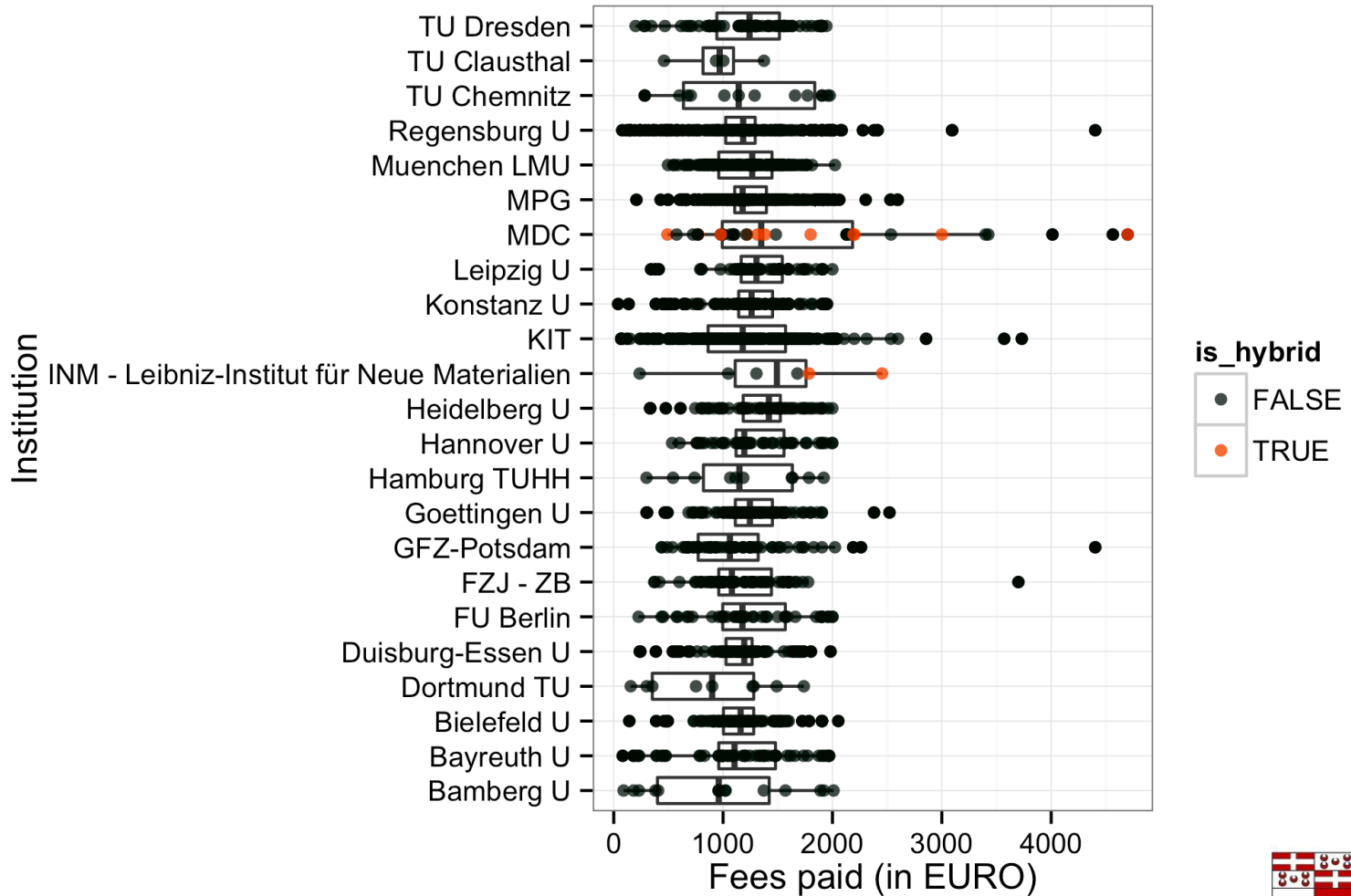


GEORG-AUGUST-UNIVERSITÄT  
GÖTTINGEN

# Publication funds in Germany

- Co-funded by the German Research Foundation
- Up to 2,000 EUR/article, no hybrids
- Currently institutions develop strategies to sustain the funds
- Joint collection of APC information on GitHub
  - inspired by Wellcome Trust publishing APC information in 2014
  - coordinated by U Bielefeld
  - 18 participating universities, 5 research organisations / centres
  - 2014 dataset: Median APCs (universities only) c 1,200 EUR/article; overall 3,77 mio. EUR for 3,064 articles in 2014
  - <https://github.com/OpenAPC/openapc-de>

# OpenAPC-DE: Fees paid by institution



# National policies are emerging

Ireland, UK, Spain, Argentina, Portugal, ...

e.g. Ireland

*“Peer reviewed journal articles and other research outputs resulting in whole or in part from publicly-funded research should be deposited in an Open Access repository and made publicly discoverable, accessible and re-usable as soon as possible and on an on-going basis.”*

<http://www.ndlr.ie/artefact/file/download.php?file=21093&view=384>

# Norway - Norwegian Research Council



The screenshot shows the website of The Research Council of Norway. The header includes the logo and a search bar. The main navigation menu contains: APPLY FOR FUNDING, EVENTS, NEWS, POLICY AND STRATEGY, INTERNATIONAL, FOR INDUSTRY, and THE RESEARCH COUNCIL. The breadcrumb trail reads: You are here: Home page > News. The article title is "A boost for open access to research" under the heading "FUNDING SCHEME FOR SCIENTIFIC PUBLICATIONS:". The text states: "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." A quote from Arvid Hallén, Director General, follows: "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. An illustrative photo shows a hand holding a tablet with papers and letters floating around it. A caption below the photo reads: "Ensuring open access to scientific publications is an overall research policy objective in an international context. (Illustrative photo: Shutterstock)". The right sidebar contains sections for "See also" (linking to "The Research Council's Principles for Open Access to Scientific Publications"), "Attachments" (linking to a PDF of the same principles), "Contact" (listing Rune Rambæk Schjølberg and Johannes Waage Løvhaug), "Share" (with social media icons), and "Send to a friend".

- Revised policy announced in 2014
- Five-year funding scheme for gold OA
- Covering significant share of APCs (up to 50%)
- Only OA journals that are registered in DOAJ (i.e. no hybrids)
- Quality journals (level 1 or 2 of the publications registry of the Norwegian Association of HE Institutions)
- Universities are required to establish their own publication funds

[http://www.forskningsradet.no/en/Newsarticle/A\\_boost\\_for\\_open\\_access\\_to\\_research/1253997204\\_282?lang=en](http://www.forskningsradet.no/en/Newsarticle/A_boost_for_open_access_to_research/1253997204_282?lang=en)

# Coordinating national policies

- EC Communication of 2012 encourages alignment of OA policies of EU Member States
- PASTEUR4OA: EC-funded support project
- Survey results:
  - all the Nordic countries OA policies are aligned with that of the EC (100%)
  - 75% of the countries within South Western Europe
  - 43% within the North Western European region
  - 33% within the Eastern European region have their policies aligned with the EC's policy

PASTEUR4OA (2014): Briefing paper for experts' meeting,  
<http://www.pasteur4oa.eu/sites/pasteur4oa/files/deliverables/Deliverable%205.3%20Briefing%20paper%20for%20experts%20meeting.pdf>

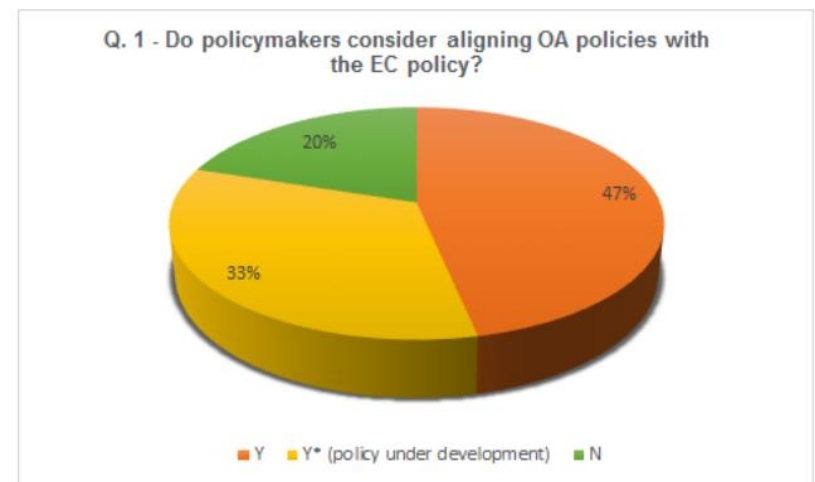


Figure 1 – OA Policy Alignment

# PASTEUR40A: Update on policy effectiveness

- Revision and expansion of ROARMAP database
- Policies world-wide: almost 60% based in Europe (400+ of nearly 700)
- Deposit in repositories required by c 57% of all policies

## Deposit in repositories: What works?

- Significant correlation between deposit rate and
  - „must deposit“ or „cannot waive deposit“ (for both OA or restricted deposits)
  - research evaluation (full-text deposits, not necessarily OA)
- OA items tend to be deposited later than restricted items. Deposit tends to be earlier in a non-mandated environment (likely bec. self-motivated).

Source: PASTEUR40A (2015). Report on policy recording exercise, including policy typology and effectiveness and list of further policymaker targets, Deliverable 3.1, <http://www.pasteur4oa.eu/deliverables>

## RoMEO Statistics

English | [Español](#) | [Magyar](#) | [Nederlands](#) | [Português](#)

### Statistics for the 1831 publishers in the RoMEO database

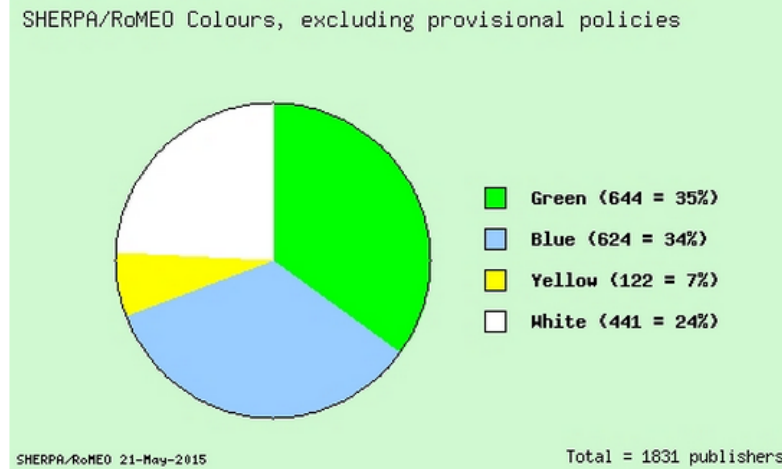
These statistics are for publishers' default policies, and exclude both provisional policies and special policy exceptions.

Provisional records for 0 additional publishers have been excluded. You may redisplay these statistics to [include the provisional policies](#).

RoMEO has 261 additional policies for special exceptions.

RoMEO colour	Archiving policy	Publishers	%
<a href="#">green</a>	Can archive pre-print and post-print	644	35
<a href="#">blue</a>	Can archive post-print (ie final draft post-refereeing)	624	34
<a href="#">yellow</a>	Can archive pre-print (ie pre-refereeing)	122	7
<a href="#">white</a>	Archiving not formally supported	441	24

Summary: **76%** of publishers on this list formally **allow** some form of self-archiving.





# Elsevier's OA Policy

Policy update in 2015: makes long embargos the general principle for green OA, requires CC-BY-NC-ND for self-archived final author manuscripts



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There are a number of ways you can make your research open access when submitting and publishing in Elsevier journals outlined below. In addition to this we have a number of agreements with funding bodies and institutions to help authors comply with open access policies. [Read more](#)

### What are my open access options?

	Open access publishing (gold open access)		Sharing your subscription article (green open access)
<b>Options</b>	Open access journals	Journals which support open access	<ul style="list-style-type: none"> <li>Link to your article.</li> <li>Selected journals feature open archives</li> <li>Self-archive a version of your article</li> </ul>
<b>Access</b>	<ul style="list-style-type: none"> <li>Public access is to the final published article</li> <li>Access is immediate</li> </ul>		<ul style="list-style-type: none"> <li>Free access to a version of your article</li> <li>Time delay may apply (<u>embargo period</u>)</li> </ul>
<b>Fee</b>	<ul style="list-style-type: none"> <li>Open access fee is paid by the author, or <u>on their behalf</u></li> <li>Fees range between \$500 and \$5,000 US Dollars depending on the journal.</li> </ul>		<ul style="list-style-type: none"> <li>No fee is payable by the author as costs are covered by library subscriptions.</li> </ul>
<b>Use</b>	<ul style="list-style-type: none"> <li>Authors can choose between a commercial and noncommercial user license.</li> </ul>		<ul style="list-style-type: none"> <li>Accepted manuscripts should attach a CC-BY-NC-ND user license</li> <li>Authors retain the right to reuse their articles for a wide range of purposes</li> </ul>

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Major international associations reaffirm their support for immediate open access to research articles

COAR, CASRAI and regional repository

« COAR-SPARC conference 2015 report

## New Policy from Elsevier impedes Open Access and Sharing

May 20, 2015

*Global coalition of organizations denounce the policy and urge Elsevier to revise it*

**Washington, DC and Göttingen, Germany** – Elsevier’s new sharing and hosting policy represents a significant obstacle to the dissemination and use of research knowledge, and creates unnecessary barriers for Elsevier published authors in complying with funders’ open access policies, according to an analysis by the Scholarly Publishing and Academic Resources Coalition (SPARC) and the Confederation of Open Access Repositories (COAR).

“Elsevier’s policy is in direct conflict with the global trend towards open access and serves only to dilute the benefits of openly sharing research results,” said Heather Joseph, Executive Director of SPARC and Kathleen Shearer, Executive Director of COAR, in a joint statement. “Elsevier claims that the policy advances sharing but in fact, it does the opposite. We strongly urge Elsevier to revise it.”

The new stance marks a significant departure from Elsevier’s initial policy, established in 2004, which allowed authors to self-archive their final accepted manuscripts of peer-reviewed articles in institutional repositories without delay. While the stated purpose of the new revision is, in part, to roll back an ill-conceived 2012 amendment prohibiting authors at institutions that have adopted campus-wide Open Access policies from immediate self archiving, the net result of the new policy is that Elsevier has placed greater restrictions on sharing articles.

Twenty-three groups today released the following statement in opposition to the policy:

*COAR as a global repository network provides effective support to our University’s research and researchers increasing the impact of their research output, by increasing its visibility.*

—Konstanze Söllner, Library Director, Friedrich-Alexander University Erlangen-Nürnberg, October 2014

*University of Nairobi’s membership to COAR is a milestone in its effort to increase the visibility and impact of its research outputs as well as enhancing its collaboration with the global research community and will act as an impetus to other institutions at the national and regional level to promote the open access initiative.*

—Agatha N. Kabugu, Deputy Director (Planning), University of Nairobi Library and Information Services, June 2014

*I feel COAR is an excellent opportunity to bring more visibility to regional and national initiatives on Open Access. It is also an ideal space for exchanging experiences and continuous learning about what institutions and countries are developing around the open access movement.*

—statement of a member in the last

# Conclusions

*Policies are never final.*

Monitoring the uptake, rethinking the strategy, involving wider circles of stakeholders, etc.

*Policies are linked to each other.*

Alignment needed, to avoid confusion and to release of burden.

*It's all about changing people's behaviour.*

Take and apply the policy in your own situation (which will look different depending on context). Offering support and reminders helps.

Thank you for your interest and attention.  
Grazzi għall-attenzjoni tiegħek.

If you have any questions: [bschmidt@sub.uni-goettingen.de](mailto:bschmidt@sub.uni-goettingen.de)



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