Open Access
Policy Guidelines & Template for Funders

September 2015

Authors:
Victoria Tsoukala, Marina Angelaki (EKT)

Reviewers:
Alma Swan (EOS), Mafalda Picarra (Jisc), Eloy Rodrigues (U Minho)

Graphic Design:
Vasilis Doumanis (EKT)

Contents

Aims and scope

The present guidelines aim to assist in the development of efficient Open Access policies among Funders. They have been prepared by the National Documentation Centre and SPARC Europe as part of the work of the PASTEUR4OA project. They provide the context, the process and a model policy that will enable Funders to develop and implement their own Open Access policy. The proposed policy draws heavily on the UNESCO Open Access policy development guidelines, the MedOANet guidelines for Open Access, PASTEUR4OA work on the effectiveness of existing Open Access policies, and the RECODE project policy recommendations for Open Access policies to research data. It follows current good practices in institutional and funder policies, as they emerged from PASTEUR4OA research on policy effectiveness, suggesting an obligatory and non-waivable deposit in repositories as the most successful way leading to the growth of Open Access to scientific information. Finally, the proposed policy aims at helping align institutional policies with the 2012 Recommendation of the European Commission and the Horizon 2020 requirements.

Background Information

What is Open Access?

Open Access addresses the limited access to scholarly outputs, usually caused by high journal subscription rates. It is **the practice of providing online access to scientific information (articles, monographs, research data and other research outputs) that is free of charge to the reader, and licensed** so that they can be further used and exploited by researchers, the industry, and citizens.

Milestone definitions of Open Access include those of the Budapest Open Access Initiative (2002) and the Berlin Declaration (2003) on Open Access.

How to provide Open Access

Self-archiving (the Green route): Authors publish their research in their preferred venue and upon acceptance archive an electronic copy of their peer-reviewed publication and related research data in an institutional or subject repository (online open access archive) through which it is freely available to everyone.

Open Access publishing (the Gold route): Authors publish their scholarship in Open Access journals or monograph series. These publications are freely available to the end users on the Internet. Copyright is usually retained by their authors. Open Access publications follow the same processes as toll access publications (i.e. peer review), but provide Open Access to the content of the publications. There is no correlation between the quality of a publication and access to it.

The benefits of Open Access for funders

By removing legal, commercial and technological barriers to access of scientific information the research process becomes more efficient and the research results more visible. Furthermore, Open Access prevents duplication, fosters knowledge and technological transfer and promotes innovation.

More specifically, by requiring Open Access to the research they fund, funding agencies:

- Are better able to monitor the quality and transparency of the research they fund.
- Enhance the innovation potential of research institutions and research-intensive SMEs.
- Enable new and innovative ways of performing research, such as, for example, Text and Data Mining and machine-intensive research methods.
- Enable new collaborations and the paving of new, interdisciplinary and internationally-driven research paths.
- Foster science-literate and research-literate citizens and enhance citizen science.

- Gradually may expect to save financial resources otherwise spent on expensive subscriptions.
- Overall obtain a higher return on their investment on research through Open Access both by the re-use and by the higher visibility of the results of the research they fund.

The Current European Policy Context

The recent worldwide turn of interest towards Open Access policies follows many years of work in promoting the concept of Open Access by advocates of Open Access and researchers themselves. It also follows advances in e-infrastructures brought forward by developments in information and communication technologies. Improved understanding regarding the benefits of Open Access by research funders and institutions and the widely supported idea that publicly funded research should be available to all citizens as a means of enabling social and economic development and transparency lead to an increasing interest in developing Open Access policies to secure openness as the standard practice for research dissemination in Europe and the world.

As a funder, the European Commission supports Open Access as the standard way of disseminating publicly funded research in the European Union and includes **open circulation of knowledge as one of the five priorities of the European Research Area** (COM(2012) 392 final), an important component of Responsible Research and Innovation (RRI), and a constituent part in the path toward Open Science. In 2012 the European Commission recommended that Member States develop national policies that will provide Open Access to publicly funded research and that research funders and research performing organizations accordingly develop their own policies, coordinated at the national and European level (C(2012) 4890 final). Additionally, **Open Access is required (mandatory) for all peer-reviewed publications resulting from Horizon 2020 funding**. This decision follows the pilot action on Open Access, which was implemented in FP7 for part of the funding period. **Horizon 2020 also includes a pilot action on Open Access to research data**. Open Access to research data is a topic that has received increased attention recently and for which policies are still at a relatively early stage.

The most significant policy development among Member States is the growing number of research funders and research performing organizations implementing Open Access. The largest growth in mandatory policies can be, understandably, observed with the research institutions, counting two-thirds of the policies contained in the ROARMAP registry of Open Access policies, recently revamped by PASTEUR4OA (http://roarmap.eprints.org/). Nonetheless, a significant growth in policies can equally be observed among European funders, also driven by the interest to support policies that align with Horizon 2020 and provide a consistent framework to researchers for easy implementation of policies across countries, and continents, if possible.

The United Kingdom has strong policies for open access to research publications and research data, with all seven research councils (RCUK) having relevant policies. The preference towards

mandatory gold open access policies of the RCUK was recently largely moderated by the HEFCE requirement towards Universities for evaluation purposes to provide open access to their research publications through their repositories. Most funders in Europe, however, require open access through repositories (green open access). Countries such as Norway, Denmark, Belgium, and others, moved early on to define open access policies, which are, however, for the most part not mandatory, while more recent policies, such as that of the Portuguese Foundation for Science and Technology (FCT) or the Austrian Science Fund (FWF) are mandatory for grant recipients. Research shows that mandatory policies are the ones that secure compliance and the gradual development of a more open research culture overall.

The PASTEUR4OA Open Access Policy Template for Funders

Introduction —
[Insert information regarding the [**Name of funding entity's**] motivations for the policy (e.g. wider dissemination, maximizing return on investment, public access to publicly funded research, alignment with European Commission's policies etc.) and any other relevant information.

For this purpose, **[Name of funding entity]** has defined the following Open Access policy, which must be observed by all recipients of research funding as of [**date**].

1-**[Name of funding entity]** requires that a copy of the accepted version (either author final manuscript – post-print- or publisher version) of all peer reviewed articles and books/monographs produced as a result of research supported, either in entirety or in part by **[Name of funding entity]** research funding, be deposited in a suitable[1]Open Access repository. The deposit of these materials should be made immediately upon acceptance for publication and their metadata made fully open, searchable and machine-readable from the time of deposit.

2 -**[Name of funding entity]** requires that the full-text of all such publications be made openly available immediately where possible and in any case no later than 6-months after publication in Science, Technology, Engineering and Mathematics (STEM) or 12 months after publication

---

[1] *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. While a government may want to develop a national repository, for some research areas, e.g. Medicine, it is best to allow deposit in the established subject repositories, e.g. PubMed etc., which are most useful to the research community, thus the choice of a 'suitable' repository.*

in the Social Sciences and Humanities (SSH). If a journal's permitted embargo period is longer than these, authors should either negotiate with the publisher to retain the rights they need to comply with this policy, or find a journal that enables them to comply without the need for negotiation.

3 – **[Name of funding entity]** requires that the research data supporting research publications resulting entirely or partly from its funding are made openly available at the same time as the publication. These datasets should be made available in Open Access in suitable repositories and linked to the publication itself.[2]

4- **[Name of funding entity]** requires that a plan for addressing the present open access requirements to research publications and research data produced as a result of its funding be provided during the grant application process.

5 – **[Name of funding entity]** will recognise article processing charges (APCs), book processing charges (BPCs) for publishing in fully Open Access journals or books and costs for data storage and curation and other Data Management Costs as eligible research costs according to the funding guidelines. APCs towards Open Access to publications in 'hybrid' (subscription-based) journals are not eligible research costs.

6 – **[Name of funding entity]** requires that all articles in Open Access journals where an APC has been paid are published with a Creative Commons CC-BY license. Where an APC has not been paid, a Creative Commons license is still recommended. It is recommended that all deposited publications and data are licensed, preferably with a Creative Commons license.

7- In all publications 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, e.g. Guidelines for Grant Applicants].*

8-**[Name of funding entity]** will take the grant holder's compliance with this policy into account when assessing research performance and when future applications for funding are received from the grant holder. Reporting on compliance will be required during and at the end of the funding periods for projects receiving support.

9--**[Name of funding entity]** will systematically monitor the implementation of this policy and revise, provide public accounts of its progress, and revise, if necessary.

---

[2] *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.*

The Content of the Policy Template

This section discusses the significance of important policy characteristics proposed by PASTEUR4OA:

- The proposed policy is **mandatory** since research shows that this is the most effective kind of policy and is the most likely to induce compliance with the researchers. PASTEUR4OA and other research shows that if the policy is voluntary, only a small percentage of researchers is expected to comply. A mandatory policy carries an obligation for the funder to monitor its uptake and revise, where necessary, also provisioned in the policy.

- The policy requires **self-archiving of peer-reviewed publications** in repositories: therefore it does not interfere with the researchers' freedom of choosing his/her publication venue (journal, monograph publishing venue), while at the same time it gives research institutions the power to manage their own output, using infrastructures (repositories). In such a context, universities assume the responsibility to support the access to the research they produce for the benefit of the research community and society. Subject repositories may be used for those disciplines with established relevant infrastructures though this may not be available in many cases. The policy, therefore, does not require deposit in a specific repository. This requirement is modeled after the mandate of the European Commission in Horizon 2020 and is the same as that of many important public funders worldwide.

- **Self-archiving of final author or publisher version of the work** should take place **immediately upon acceptance for publication and certainly no later than the publication of the work**; it is during this phase that the researchers are more likely to perform this task since this is the moment when they are dealing with the publication for the final time. A 6-month or 12-month embargo period for Open Access to the full text of the publication can be accommodated if it is a publisher requirement for Science, Technology, Engineering and Mathematics (STEM) and Social Sciences and Humanities (SSH) fields, respectively. This is in alignment with most other policies including the European Commission's Horizon 2020 requirements. Publication **metadata should be openly accessible from the outset**.

- **The policy requires open access to research data that support and validate publications by archiving them in suitable repositories. This is a policy modeled on that of the most significant research funders around the world, such as the European Commission, the NIH, the NSF, all seven of the UK's Research Councils, the Gates Foundation, etc. Exception to this policy should be made when necessary (e.g. for reasons of security) and explicitly stated in the guidelines document and in the grant agreement document.**

- **The policy encourages, but does not require, publishing in Open Access journals or monograph series. It renders article processing charges (APCs) and book processing charges (BPCs) are eligible project costs, as well as costs for data management. This entails setting aside the relevant funds and specifying, in the grant application guide the amount that can be spent per project. This is a measure to incentivize the transition to**

an Open Access publishing system (vs. a subscription system). The requirement for Open Access self-archiving still needs to be met.

- **The policy requires that all publications in Open Access journals funded by the funder are licensed under Creative Commons licenses, CC-BY. This will allow true Open Access, in other words, legally re-usable publications and research data (the so-called libre-Open Access). It also recommends CC licenses for items not published in Open Access but deposited in repositories (publications, books, data), without determining the precise licensing terms.**

- **Compliance with the policy is connected to project reporting, future funding requests and performance evaluation (**where applicable). Connecting compliance with project reporting, future funding and performance evaluation is critical in achieving high rates of compliance.

- **The policy effectively requires the author to retain the rights necessary to make her/his work Open Access** under the requested terms and embargo allowance and deters researchers from the standard practice of transferring their copyright to publishers. It is possible for authors to negotiate with publishers, licensing to them only those rights necessary for the publication, and relevant resources should be provided for researchers (e.g. negotiation tools, author's contract addenda). Authors are requested to seek another publisher if the proposed publisher does not allow them to meet the terms raised by the funder.

A Practical Guide for implementing an Open Access Policy

Important steps in implementing an Open Access policy

- **PREPARATION/CONSULTATION PHASE.**
  - **Researching international policies** is essential to assess position and standing of the funder in terms of policies, infrastructures, practices and degree of participation in international fora.
  - **Assessment of infrastructure (repository) for deposit in Open Access**. The policy will be strong if, among other things, the infrastructure that will serve it exists either among all institutions or at the national level. A national harvester can provide a 'shop window' for the funder's research, as well as a means of analysing and monitoring the research it funds. Lack of infrastructures should be addressed.
  - **Assessment of costs and financial planning** for the preparation and implementation of the policy, including funding for infrastructure (if this is necessary), funding for APCs, BPCs, research data management, training and awareness-raising (where applicable).
- **POLICY DEVELOPMENT PHASE**
  - **Development of policy content along the lines of current good practices at the international level.**
  - **Development of supporting infrastructure to enable researchers to self-archive.**
  - **Development of internal supporting and monitoring mechanism**
    - Assigning roles within organisation regarding policy procedures (e.g. implementation and monitoring) and developing related mechanisms
  - **Preparation of information materials and revision of internal documents**
    - Revision of existing grant application forms to include the request for planning for open access to publications and research data by applicants
    - Revision of existing grant agreements to include a clause for Open Access
    - Revision of existing reporting forms with requirements to report on open access
  - **Preparation of policy supporting actions to help with policy implementation**
    - Guidelines for applicants with clear instructions on what to do to comply and when and eligible costs
    - Information materials for grantees on how to comply with the requirements
    - Potential supporting actions for APCs, enhancing Open Access publishing, self-archiving
    - Awareness-raising actions (workshops etc)
- **POLICY IMPLEMENTATION PHASE**
  - **Policy adopted by the Ministry and/or the Funder (see section below on policy template). A clear and explicit policy from the funder should be made publicly available through the funder's website as a means of demonstrating the commitment to the principle of Open Access.**
  - **Monitoring of compliance by the funder through reporting and other means (e.g. intelligent systems). Measures should be taken (e.g. withdrawal of funding)**

if compliance is not taking place and non-inclusion of missing deposits in evaluation lists.

- **Assessment of policy after a couple of years by the funder: revision where appropriate**

Policy Implementation Checklist

- Have you researched relevant international funder policies for Open Access to publications and research data?
- Have you engaged all relevant stakeholders in the policy development process?
- Have you assessed the available/ existing infrastructure necessary for the implementation of your policy?
- Have you estimated the policy implementation-related costs?
- Does your policy include statements on:
  - Mandatory Open Access and self-archiving
  - Open Access as the default status for peer-reviewed outputs?
  - Self-archiving as the primary way of achieving this?
  - Distribution of responsibilities between involved parties
  - Time and locus of deposit
  - Technical specifications
  - Eligible costs
  - Licensing
  - Compliance and Monitoring mechanisms
- Do you have an Open Access clause in your Grant Agreements?
- Do you offer guidance to your researchers to enable them to comply with your policy (e.g. Q &As, information resources on research data management plans)?
- Have you established a monitoring and compliance mechanism?
- Have you set up a process for evaluating the efficiency of your policy?

Model Grant Agreement clause for Open Access

The Funder should include clauses for Open Access in the grant agreement. The following model grant agreement is based on the one used in Horizon2020 and encompasses the criteria that PASTEUR4OA research showed to make a policy most effective:

Grant Agreement clause [xxx] Open Access to scientific publications

Each beneficiary [or the undersigned grantee] must ensure Open Access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results. In particular, the beneficiary must:

a) deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication, at the time of that acceptance, in a repository for scientific publications; the beneficiary must deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.
b) ensure Open Access to the deposited publication — via the repository — at the latest: (i) on acceptance for publication, if the publisher does not impose an embargo (ii) on publication, if an electronic version is available for free via the publisher, or (iii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
c) ensure Open Access — via the repository — to the bibliographic metadata that identify the deposited publication. The bibliographic metadata must be in a standard format and must include all of the following: Grant Number or Code: [insert number]; Project name : [insert name]; Project acronym: [insert acronym]; Call identifier: [insert call/sub-call identifier]; - publication date, and length of embargo period if applicable, and - persistent identifier.

GA clause [xxx] Open Access to research data

Each beneficiary [or the undersigned grantee] must ensure Open Access to all research data supporting research publications. In particular, the beneficiary must:

a) deposit in a suitable research data repository and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate — free of charge for any user — the supporting research data, including associated metadata, needed to validate the results presented in scientific publications as soon as possible, and no later than the associated publication.
b) provide information — via the repository — about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (and — where possible — provide the tools and instruments themselves). As an exception, the beneficiaries do not have to ensure Open Access to specific parts of their research data if the achievement of the action's main objective, as described in the Description of Work (DoW), would be jeopardised by making those specific parts of the research data openly accessible. Additionally, they are not obliged to provide open access for reasons of breach of confidentiality in cases where commercial exploitation of results is planned, if the release of the data in Open Access can threaten public security. Finally, Open Access can be waived where personal data must be protected.
c) If the project is to generate important research data on which the publications will be based, a Research Data Management Plan should be developed in the first six months of the project as a project deliverable.

Open Access
Policy Guidelines &
Template for **Funders**

PASTEUR4OA

pasteur4oa.eu