Proposal for an
Open Access Policy

Open Access
Policy Guidelines for
Research Performing
Organizations

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Open Access Policy for [name of Research Institution]

The present guidelines aim to assist in the development of efficient Open Access policies among Research Performing Organisations. 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 the institutions to devise 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 efficiency of existing Open Access policies, and the RECODE project policy recommendations for Open Access policies to research data. The proposed policy aims at aligning institutional policies with the 2012 Recommendation of the European Commission and the Horizon 2020 requirements. It follows current good practices in institutional and funder policies, as they emerged from PASTEUR4OA research on policy efficiency, suggesting and obligatory and non-waivable deposit in repositories as the most successful way leading to the growth of Open Access to scientific information.

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 by researchers themselves. It also follows advances in e-infrastructures, such as repositories and journals, 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 render the development of relevant policies that will secure Open Access as the standard practice for the dissemination of research urgent.

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), as well as one of the constituent parts of Responsible Research and Innovation (RRI), strongly emphasized in Horizon 2020. In the summer of 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). Furthermore, **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 is receiving increased attention recently and for which policies are still at a relatively early stage.

The most significant developments at the policy level are the growing number of research funders and research performing organizations implementing Open Access policies throughout the world and in Europe. Major research institutions are increasingly adopting mandatory Open Access policies, thus effectively building the foundations for Open Access to become the standard way of communicating research. The ROARMAP registry of journal Open Access policies, recently revamped by PASTEUR4OA, counts more than 700 Open Access policies, two-thirds of which in universities and research institutions and more than half of them in Europe. It also shows an exponential growth of Open Access policies in the recent years worldwide (roarmap.eprints.org).

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 (BOAI) and the Berlin Declaration (October 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 through which it is freely available to everyone.

A repository allows the institution to manage, preserve and showcase its scientific output. The repository is a valuable tool in an institution's research information system and evaluation process, and one that offers added value services for the scientific community.

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 an Open Access Policy

The formal adoption of Open Access through an institutional policy allows institutions to become part of the evolving research and academic ecosystem where access to research is immediate and open to the benefit of both researchers and citizens.

An institution and its researchers may expect multiple benefits from the implementation of an efficient Open Access policy:

The Institution:

- Collects and preserves its scientific output and disseminates it through its repository
- Provides the possibility of indexing and tracking the scientific output of the institution from international search engines on the internet, like google etc.
- Monitors the number of visits and use and collects data and indicators that can be used in institutional planning, and the search for sources of funding etc.
- Provides opportunities for the use and re-use of the institution's output for scientific purposes (CVs, publications, excellence reports, indicators, institutional websites, personal websites etc.)
- Strengthens international communication and collaboration channels and the institution's international profile

The researchers:

- Increase the visibility of their research and their citations
- Increase the usage of their research
- Increase the impact of their research
- Obtain a permanent link for each of their research outputs

The policy content at a glance

The proposed Open Access Institutional policy aligns with the European Commission Recommendation for Open Access to scientific information (C(2012) 4890 final) in requiring deposit and Open Access through repositories, institutional or subject based. It is, in other words, what is known as a "Green" Open Access policy. This alignment facilitates policy compliance among researchers from different countries who co-author articles and other publications and with the requirement of most other national and private research funders.

The policy is mandatory, it requires immediate deposit of the author's (or publisher's where allowed) version of the publication in the repository at the time of acceptance for publication and deposit **is linked to research evaluation**. The policy stipulates that depositing the publications in the repository **cannot be waived**. PASTEUR4OA research on policy effectiveness showed that the most effective policies are those bearing the aforementioned characteristics and for this reason we recommend that they are included in all policies.

Finally, **the policy requires immediate Open Access** to research articles wherever possible, but permits an embargo on Open Access itself (that is, the full-text of the deposited articles may be kept closed off) for up to 6 months in Science, Technology, Engineering and Medicine disciplines or up to 12 months for the Social Sciences and Humanities. In this case, article metadata (bibliographic details) will be made immediately available as these details cannot be subject to embargo. These bibliographic details will be indexed by web search engines, making the article discoverable even during the period of embargo on the full text of the document. In the case of monographs the policy requires access to the bibliographic metadata and encourages researchers to provide Open Access taking into consideration the restrictions set by the publisher.

What is required to implement an Open Access Policy

The following **processes and tools** are required for the implementation of an Open Access policy by **[name of the institution]**.

1. **Assessment of international policies** and positioning of organization within the international context of scholarly communication and publishing practices.
2. **Participation in dialogue and collaboration** among stakeholders within the institution and outside of it for policy development. Developing an Open Access Working Group and an Open Access Implementation Group with all parties represented.
3. **E-infrastructure, i.e. repository for Open Access.** Provisions for an institutional repository or other arrangements that support policy implementation through economies of scale and collaborative initiatives.

4. **Policy Content Development** with clear description of roles and responsibilities of the stakeholders involved (e.g. the present recommended policy).

5. **Guidance and training for the researchers** (one-to-one and seminars for researchers for the repository, Open Access and copyright, templates and information materials etc.). University libraries usually undertake to run repositories and to train researchers in depositing their outputs, as well as informing on how to comply with funder and institutional policies (such as the one suggested here).

6. **Provision of incentives and rewards to researchers** (added-value services: dynamic reports, reports by School/Department/Institute etc., statistics on progress and impact, inclusion of open access publishing in career advancement criteria for young researchers etc.)

7. **Policy implementation and compliance monitoring mechanism(s).** A plan for implementing the policy, whereby progress is checked. Monitoring compliance through the services provided by the repository and comparison with the institution's annual publications list (recorded in institutional systems, such as a CRIS, or found in commercial indexing services). Publication of related reports.

8. **Provision of resources to ensure the long term sustainability of these services and activities.** Long-term funding and organizational (human) resources should be assigned for the success of the policy in changing around institutional practices regarding open access to scientific information.

Practical Checklist for Research Institutions

- Have you mapped relevant international institutional policies for Open Access to publications and research data?
- Have you involved stakeholders both within and outside your institution in developing the policy (e.g. have you formed an open access working group)?
- Have you assessed your infrastructure and services and have you considered potential collaborations in addressing infrastructure issues (for example, participating in a collaborative repository with other institutions, receiving repository services as software services)
- Does your policy include statements on:
  - Open Access as the default status for peer-reviewed outputs?
  - Self-archiving in the institutional or other appropriate repository as the primary way of achieving this?
  - Distribution of responsibilities among involved parties?
  - Time and locus of deposit?
  - Technical specifications?
  - Licensing?
  - Compliance and Monitoring statement?
- Do you offer or are you planning to offer guidance and support to researchers for making their publications and research data open?
- Have you made provisions to reward researchers for making their research outputs open? (e.g. Open Access as formal criterion for career progression) and, conversely, does your policy indicate that if they fail to make their outputs Open Access as the default state, there will be career progression implications?
- Have you established a monitoring and compliance mechanism?
- Have you decided how and when to evaluate the efficacy of your policy?
- Have you developed a resourcing and sustainability plan for supporting the Open Access policy within the institution (roles, responsibilities, resources)?

Model Open Access Policy

OPEN ACCESS POLICY OF [NAME OF INSTITUTION]

[Name of Institution] adopts an Open Access Policy based on the following principles

Article 1
General Principles

1. **[Name of the Institution]** Open Access policy aims at providing free online access to the outputs of publicly funded research supported.
2. Open Access to scientific results is based on the recognition of knowledge as a public good and the social and economic benefits derived.
3. The efficient and wide dissemination of scientific outputs constitutes a significant part of the **[Name of the Institution]** role as a public research organization.
4. The increase in the visibility of the scientific outputs resulting from Open Access leads to an increase of the impact of publications.
5. Deposit in the institutional repository ensures curation, long-term preservation, and further dissemination of the scientific output of **[Name of the Institution]** and access to them for the conduct of internal and external evaluation.

Article 2
Definitions

- A **Publication** is defined as the peer-reviewed published (or under publication) work of researchers based in the institution (indicatively this comprises articles, monographs, book chapters, reports, conference presentations).
- A **Researcher** is any member of the research staff of **[name of the Institution],** of all levels and irrespective of their employment status.
- An **Institutional Open Access Repository** is **[name of the Repository]** established at **[name of the Institution]** according to international standards, containing digital content from various disciplines and providing advanced tools for search, navigation and Open Access to its digital collections.
- A **Digital copy** is the electronic copy of the publication in its final stage (either the author's final manuscript after peer review or the publisher's version).
- **Research Data** is the data (such as statistics, results of experiments, measurements, observations, interview recordings, images, etc.) used to validate the results presented in scientific publications.
- An **Embargo** is the period during which a publication can be 'closed' while deposited in the repository (i.e. the publication is not openly available).
- **Metadata** are the descriptors used for describing, tracing, use and management of the deposited item (indicatively: title of publication, author(s), institutional affiliation, name of journal where the publication has been accepted).
- **A suitable Repository** is one that provides Open Access to scientific results, enables citation through permanent identifiers (DOI or other) and provides qualitative metadata (including acknowledgment of research funding) based on accepted guidelines and standards.

Article 3
Policy

From **[date] [name of the Institution]**:

1. Requires its researchers to deposit in the institutional repository a digital copy of the full text, as well as the related   metadata of all publications (author final manuscript of publisher version) upon acceptance for publication. Researchers are held responsible for the timely deposit of their publications in the institutional repository.
2. Requires the full text of all publications referred to in 1 to be made openly available upon deposit or as soon as possible following deposit. In all cases, metadata should be openly

accessible. For peer-reviewed publications, the deposited item can remain closed for up to 6 months (or for up to 12 months for publications in the social sciences and humanities). For monographs deposit referred to in 1.B remains mandatory, but access is closed until publisher embargo elapses.

3. Requires the deposit of the abstract of the publication to be made openly accessible in the case of 'closed' publications with the aim to increase their visibility.

4. For purposes of individual or institutional evaluation of the research output of the institution and its members, **[name of the institution]** will only consider as publications those whose metadata and full texts are deposited in the institutional repository according to the requirements stated above.

5. Encourages researchers to deposit the research data supporting their publications in the institutional repository or in any other suitable Open Access Data repository.

6. Encourages its members to retain ownership of copyright and to licence to publishers only those rights necessary for publication. This is possible through the use of addenda to the publishing contract. Templates are available at **www.sparc.arl.org/resources/authors/addendum** and **copyrighttoolbox.surf.nl/copyrighttoolbox/index.html**

7. Encourages researchers to deposit in the institutional repository publications authored prior to the date of effect of the current policy and make them openly accessible whenever possible.

Article 4
Support and Monitoring of the Open Access Policy

[Name of the institution]

1. Enables the adoption of Open Access through the organization of seminars, events, awareness-raising actions, and education and training on Open Access issues.

2. Monitors policy compliance by comparing the content of the repository with information gathered from indexing services and through data on the use (access and downloads) per publication/ department/unit/ institute etc.

3. Provides the necessary human resources and the required infrastructure for the support of the Open Access policy.

4. Provides links and interoperability with other databases like Google Scholar.

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