Enabling Access to Research:
Essential Aspects in Effective Policy Design for Research Funding and Research Performing Institutions

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Routes to Open Access

- **Green**: using repositories (institutional or subject-based)
- **Gold**: using Open Access journals (can incur a charge, and charges can be high)
- **Mandatory policies are normally about GREEN Open Access so as not to interfere with the academic freedom of authors to publish where they choose**
Open Access mandatory policies

Enabling Open Scholarship
Institutional mandates
Funder mandates
The effect of a mandatory policy

![Percentage of Open Access Chart](chart.png)

<table>
<thead>
<tr>
<th>Institution</th>
<th>2002</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minho</td>
<td>60%</td>
<td>65%</td>
<td>70%</td>
<td>75%</td>
<td>80%</td>
</tr>
<tr>
<td>CERN</td>
<td>55%</td>
<td>60%</td>
<td>65%</td>
<td>70%</td>
<td>75%</td>
</tr>
<tr>
<td>Queensland</td>
<td>50%</td>
<td>55%</td>
<td>60%</td>
<td>65%</td>
<td>70%</td>
</tr>
<tr>
<td>Southampton</td>
<td>45%</td>
<td>50%</td>
<td>55%</td>
<td>60%</td>
<td>65%</td>
</tr>
<tr>
<td>4 institutions</td>
<td>40%</td>
<td>45%</td>
<td>50%</td>
<td>55%</td>
<td>60%</td>
</tr>
<tr>
<td>Non Mandated</td>
<td>35%</td>
<td>40%</td>
<td>45%</td>
<td>50%</td>
<td>55%</td>
</tr>
</tbody>
</table>

Enabling Open Scholarship
H2020 and Open Access

Mandatory [non-policed mandate on 20% FP7 research]

‘Green’ OA mandate:

- Authors deposit into local repositories within 6 (or 12) months
- ‘Harvested’ by OpenAIRE (Commission-funded European repository)
- Shop window for European research

Permits payments from grants for ‘Gold’ OA
New OA policies in Europe, 2012

Institutional mandates:

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

Funder mandates:

- EU: European Research Council (updated guidelines 2012)
- Denmark
- Ireland
- UK: RCUK: revised policy
- EU: European Commission: Horizon 2020
Policy alignment

- Irons out dissonances for researchers working in interdisciplinary areas or on international teams
- Supports EU harmonisation agenda (research conditions, researcher mobility, etc)
- Key issue in changing author practices and norms
- Allows generic infrastructural services to be established in support of policy
- Alignment, bar detail, across all national policies (and H2020) so far ....
- Except UK
Is RCUK's open-access cash a 'reckless' road to ruin?

15 November 2012

By Paul Jump

Senior scientists critical of allocation rules and assumptions behind £100m grant for 'gold' fees, writes Paul Jump

Research Councils UK's announcement of how it will allocate more than £100 million in block grants for open-access publishing has met with a lukewarm reception.
Finch access plan unlikely to fly across the Atlantic

6 December 2012
By Paul Jump

Report draws US notice but experts say journals will not 'play RCUK game'. Paul Jump reports

Felice Levine, executive director of learned society the American Educational Research Association, told the Academy of Social Science’s Implementing Finch conference last week that the Finch report on open access had been "noticed" in the US.

However, she said she did not expect its strong preference for author-pays gold open access over self-archiving green open access - which has been endorsed by the UK government and the research councils - to be echoed in US policy.
UNESCO policy guidelines (2012)
Policy development

- Rights: who holds the rights?
  - Publisher
  - Author
  - Institution

- Waiver?

- Embargo period

- Compliance mechanisms
A successful funder policy - NIH

- Born as a voluntary policy in 2005
- Changed to mandatory by decree of the US Government, 2007
- Gathering about 75% of target content
- October 2012: strengthening the policing of the policy (to increase compliance)
- Will hold continuation awards until compliance is effected
A successful institutional policy: Université de Liège

- You must deposit your articles in ORBi
- Immediately upon acceptance for publication
- Your own final version of the manuscript
- If publisher allows, it should be fully open from time of deposit
- If publisher demands an embargo, comply
- The metadata are open from deposit
- The ‘eprint request’ button delivers the full-text
A well-filled repository
Universite de Liege OA policy

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People deposit
And it gets used
University of Edinburgh Strategic Plan 2008-12

“The mission of our University is the creation, dissemination and curation of knowledge.”
University of Edinburgh Strategic Plan 2008-12

“The mission of our University is the creation, dissemination and curation of knowledge.”
Thank you for listening

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www.sparceurope.org
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