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EUA initiatives on Open Access

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EUA initiatives on Open Access

Outline of presentation

- Main policy messages from EUA
  - EUA Statement on Open Science to EU Institutions and National Governments (October 2017)
  - Towards OA to research publications (June 2017)
  - Towards OA to research data – RDM and TDM (October 2017)

- Outcomes of the EUA OA institutional survey 2016/2017 (report to be published in February 2018)

- Preview of outcomes of EUA Big Deals Survey (report to be published in Spring 2018)

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Key messages for EU institutions

- **Embed Open Science** in all parts of the **next Framework Programme** (FP9)
- Support the creation of **new European infrastructures** (e.g. EOSC) and a possible European-wide publishing platform, ensuring that it is **accessible and open** for **all** relevant **stakeholders**
- **Support** the ongoing **development** of **existing infrastructures** supporting Open Science (e.g. OpenAIRE)
- **Support** the development and implementation of **new research assessment approaches**
- Craft a **coherent EU legislation package** that ensures **lawful access**, **use** and **re-use** of both **research publications** and **research data**, including **text and data mining** (**TDM**).

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EUA Statement on Open Science to EU Institutions and National Governments

Achieving Open Access to Research Publications and Research Data Must be a Priority for Europe

Key messages for national governments

- **Embed Open Science** in all nationally funded research projects
- Ensure the **compatibility** of **national policies** and regulations with **EU policies**
- **Support** both the **gold** and **green OA routes**, or other convenient routes
- Incentivise **researchers** to adopt **open practices**
- Include **open science** practices as part of the **pre- and post-evaluation** of research projects
- **Contribute** to **additional costs** incurred by institutions and researchers related to open access to publications
- Provide **political support** for open access to research publications and data
- Take a **proactive role** in adopting national **legislation** that **facilitates OA to research outputs** (publications and data)

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Towards Open Access to Research Publications

Recommendations for university leaders and NRCs –

Research Publications

- **The transition towards full and immediate OA must be as short as possible**
  - Both ‘gold’ and ‘green’ OA routes have their advantages and should be pursued
  - **Cost transparency** in the scientific publishing market is a non-negotiable requirement
- **Institutional leaders** play a crucial role in leading the transition of the current publishing system into a full OA publishing system
- Achieving full OA requires the **mobilisation of all researchers**, including robust **incentive** and **rewards** systems
- The development of policies favourable to open access to research results requires **new competences** at both university and country levels
- **Research assessment systems** need to evolve to recognise a variety of approaches and activities in open science
- The **negotiation of ‘big deal’ contracts** should include provisions for **protecting institutions’ current and future interests**, in terms of overall costs and possibility to use and re-use information.

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Recommendations for university leaders and NRCs

RDM and TDM

- Engage in **dialogue** with other relevant national bodies to support the development of policies and guidelines that facilitate RDM and TDM.
- Establish **policies and guidelines for RDM and TDM**, including:
  - Raising **awareness** at **institutional** and **researcher** levels of the importance of RDM and TDM for the advancement of science and knowledge
  - Ensuring that **ownership of research data** remains with researchers and their institutions
  - Investing in and supporting **human resource skills training**
  - Adopting, recognising and **rewarding** standards and good practices in RDM and data analysis
  - Supporting and investing in the development and sustainability of **infrastructures** and **support services for RDM and TDM** at institutional, national and EU-levels

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Questionnaire on Open Access

Key Characteristics

Focused on the degree of implementation of institutional policies on:

- Open Access to research publications
- Research Data Management
- Open Access to research data

Deadline for responses: 31 March 2017

Respondents:

- 338 universities from 39 countries (2015/16: 169 institutions; 2014: 106 institutions; 100% increase compared to 2015/16)

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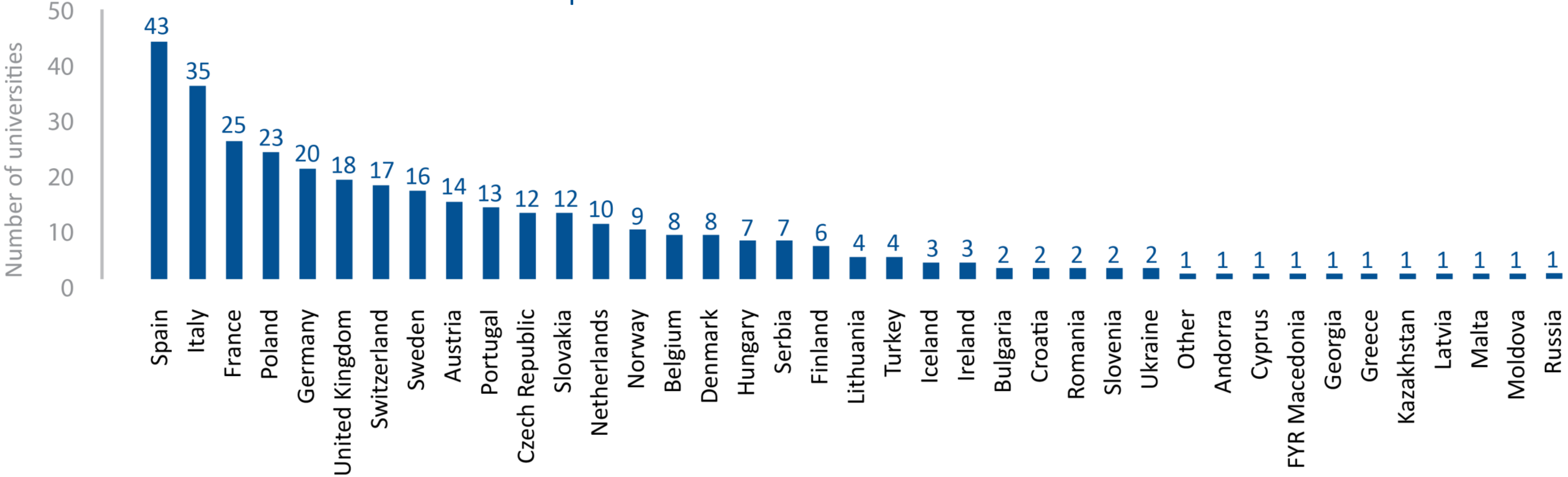
EUA questionnaire on Open Access

Results survey 2016/17

Questionnaire on Open Access 2016/17

Participants: **338** universities from **39** countries



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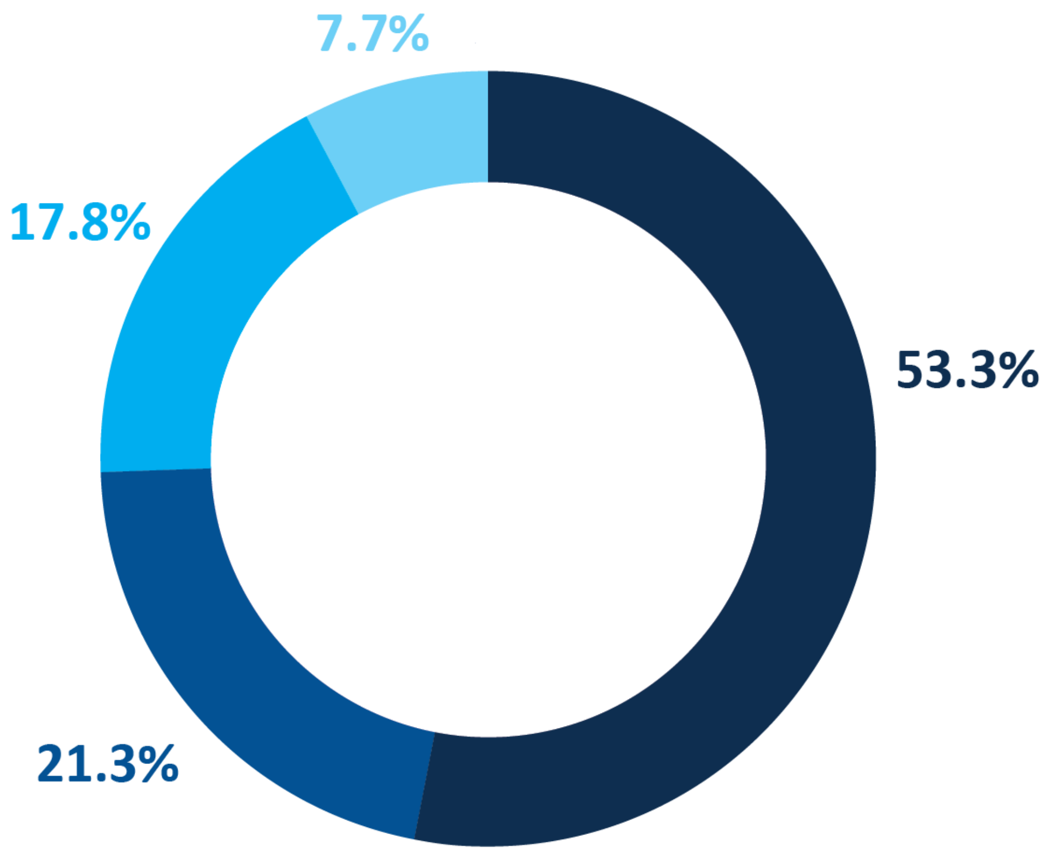
Institutional policies on Open Access

Share of institutions which have a policy of Open Access (OA) to research publications



- ■ Yes
- ■ My institution is in the process of developing an Open Access policy (and expects to have one in place within 12 months)
- ■ My institution is planning to develop an Open Access policy (but does not expect to have a policy in place within 12 months)
- ■ My institution is not planning to develop an Open Access policy

Number of respondents: 338/338

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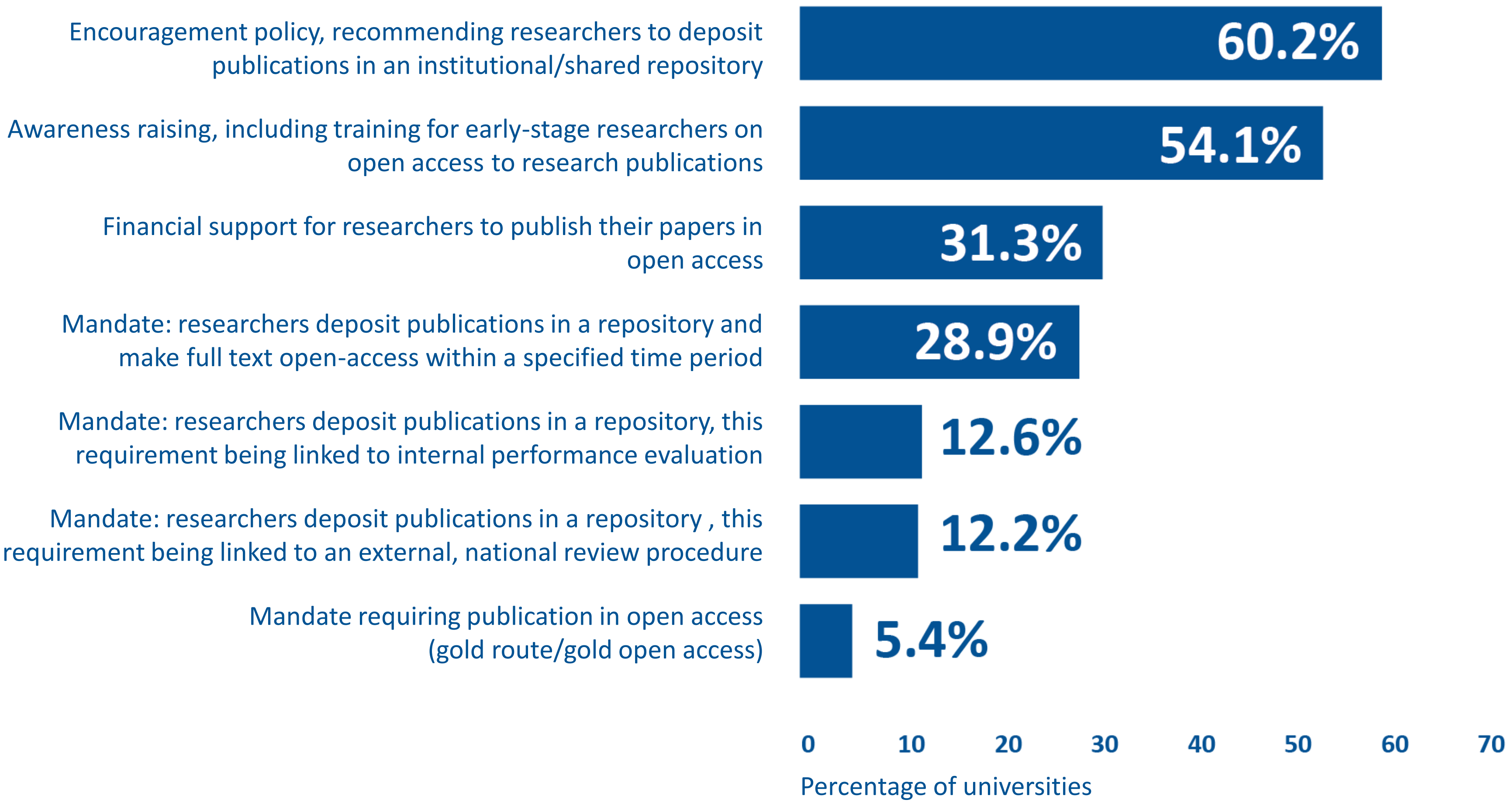
EUA questionnaire on Open Access

Results survey 2016/17

Key elements of institutional OA policies for research publications



Number of respondents: 294/312. Question only applicable to institutions who replied "Yes", "In the process of developing and OA policy" or "Planning to develop an OA policy" to Q1 (see slide 4). Multiple-choice question.

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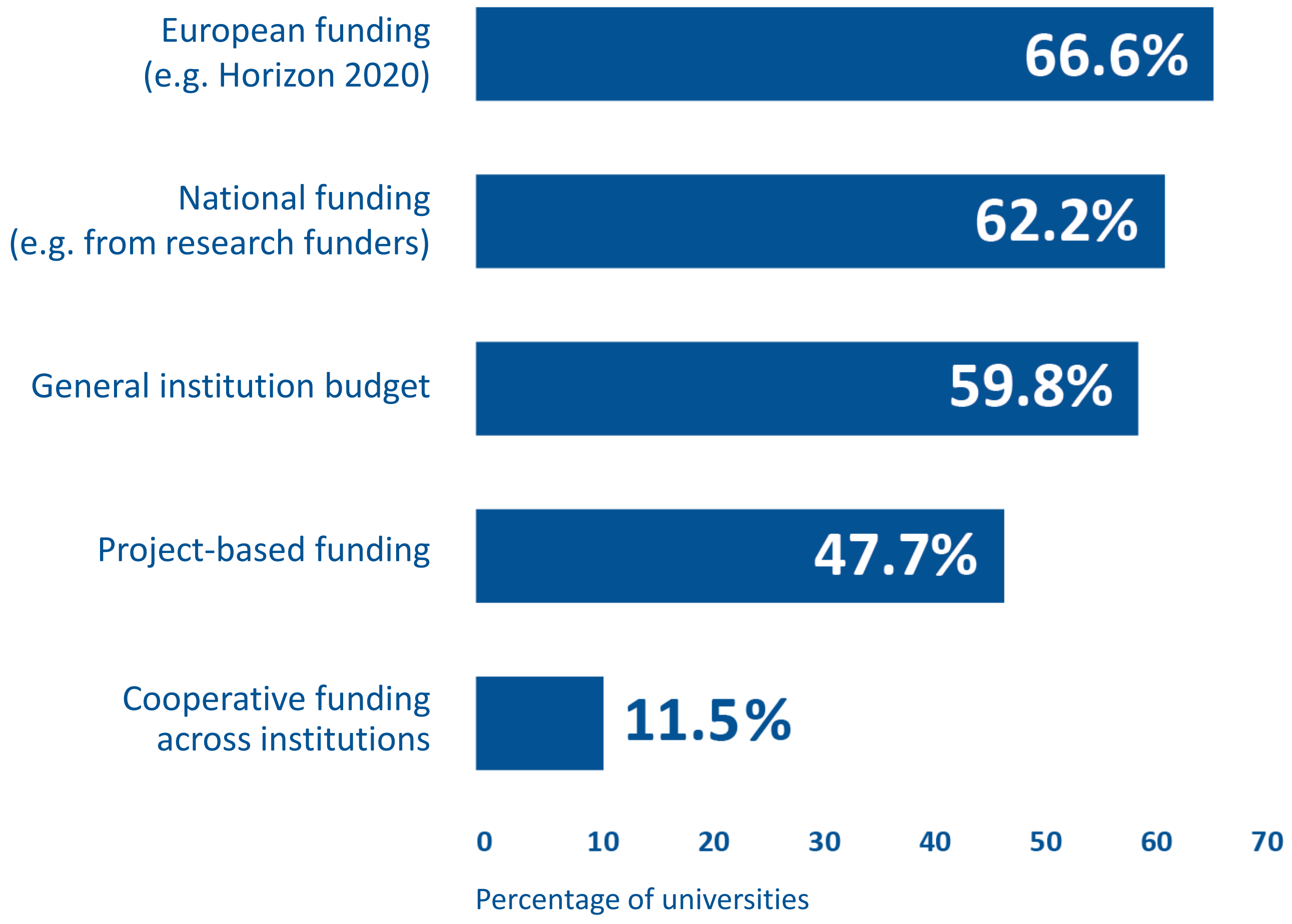
EUA questionnaire on Open Access

Results survey 2016/17

Available funding sources for supporting Open Access to research publications



Number of respondents: 323/338.
Multiple-choice question.

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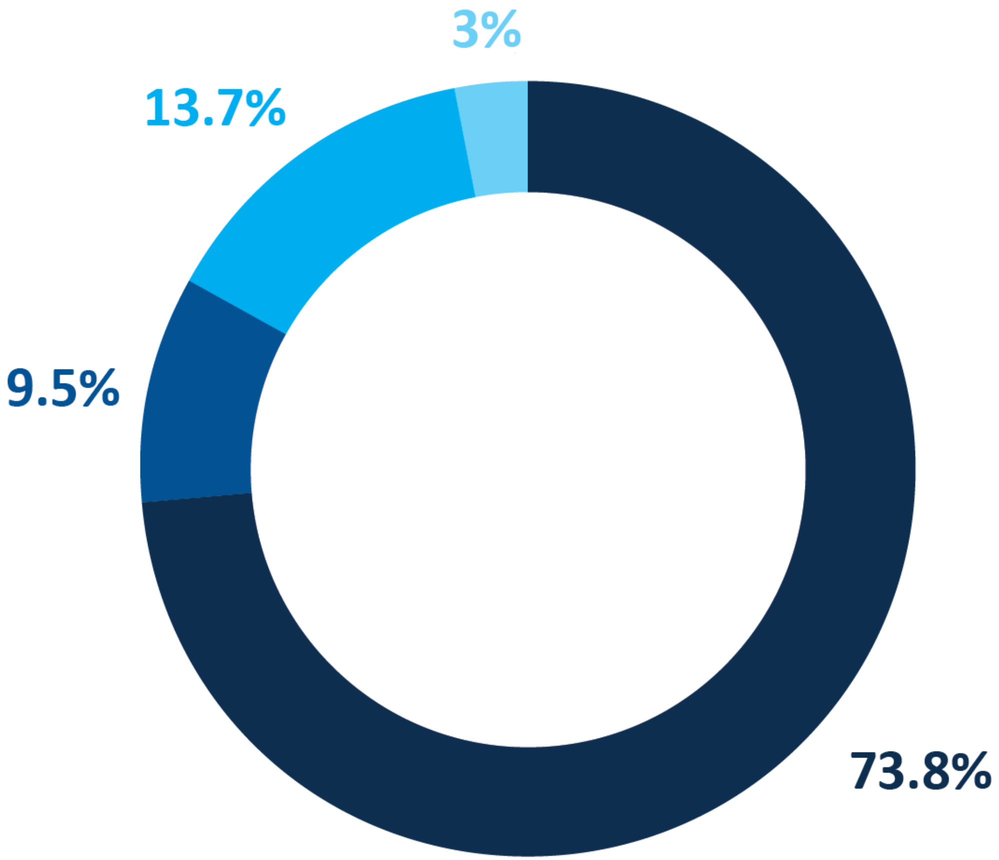
Institutional repositories



■ Yes, my institution has an institutional repository

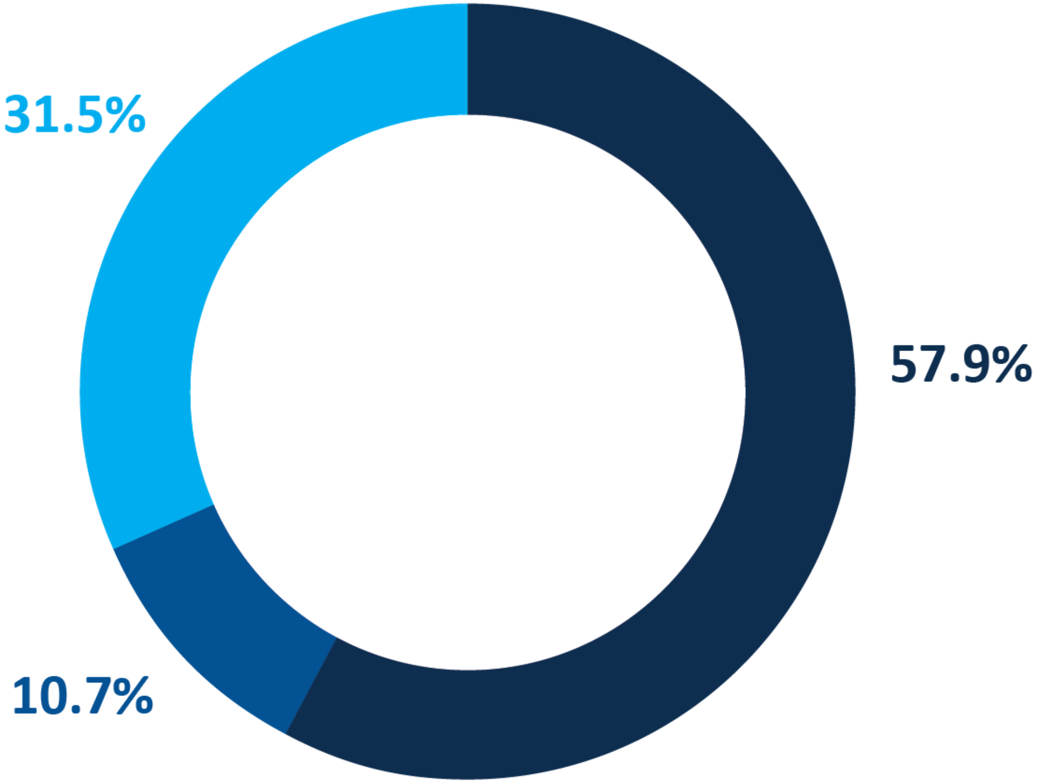
■ Yes, my institution participates in a shared repository

■ No

■ Don’t know

Number of respondents: 336/338

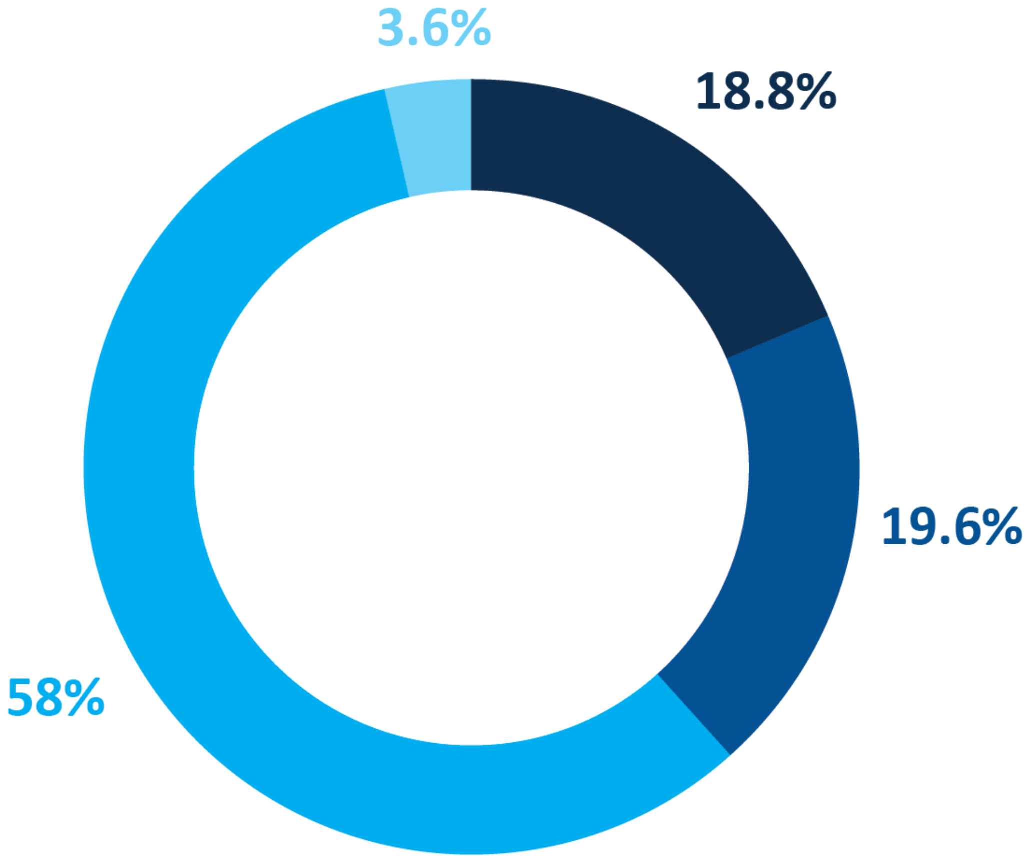
Increase in deposit rate of research publications in the repository since OA policy adoption



- ▬ Yes
- ▬ No
- ▬ Don’t know

Number of respondents: 178/180. Question only applicable to institutions who replied “Yes” to Q1 (see slide 4).

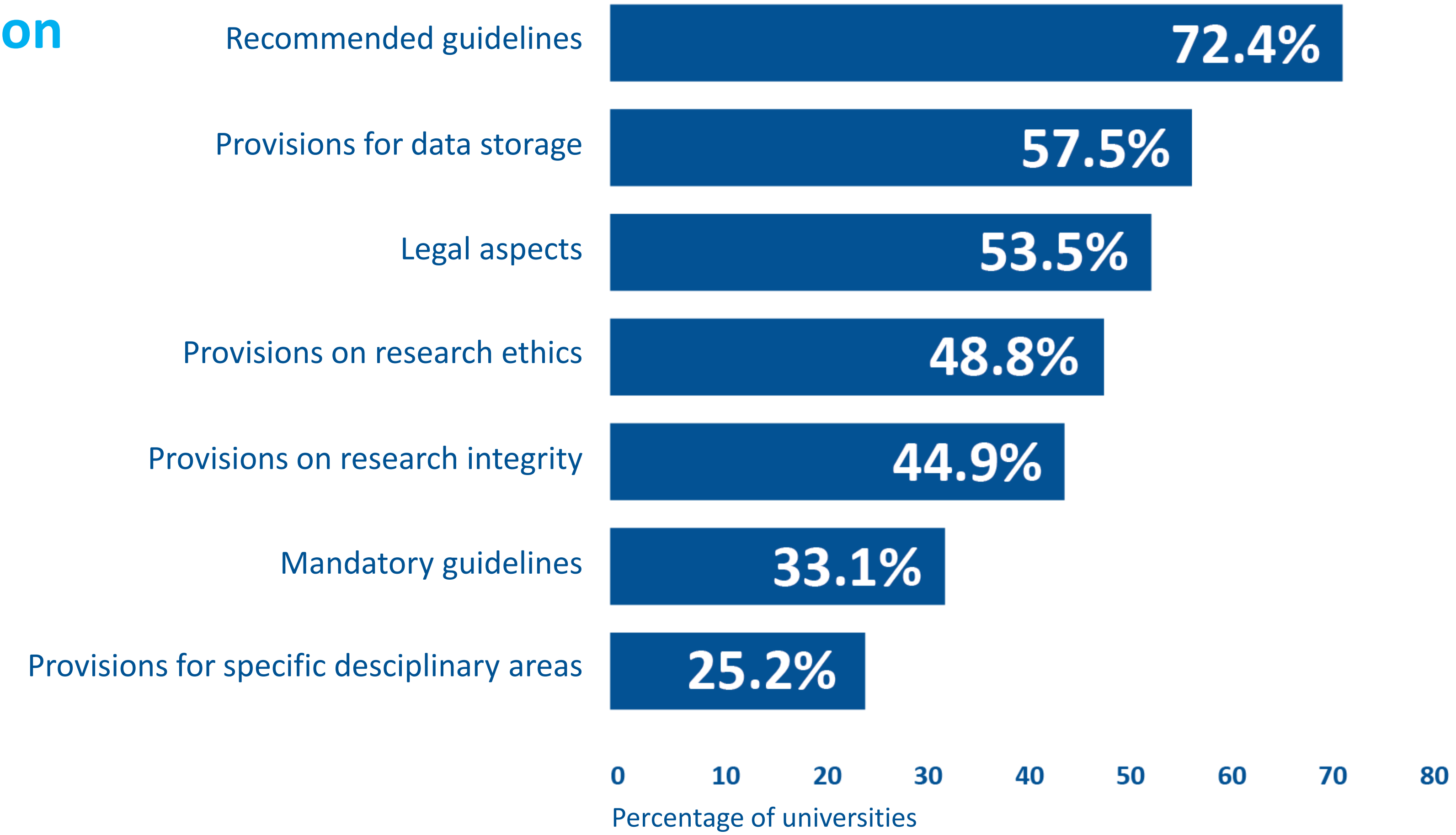
Existence of institutional guidelines on research data management



- ■ Yes, institutional guidelines
- ■ Yes, informal guidelines (guidelines not institutionally formalised, but apparent in the institutional practices)
- ■ No
- ■ Don’t know

Number of respondents: 336/338

Key elements of guidelines on research data management



Number of respondents: 127/129.
Question only applicable to institutions who replied "Yes" to Q14 (see slide 9).
Multiple-choice question.

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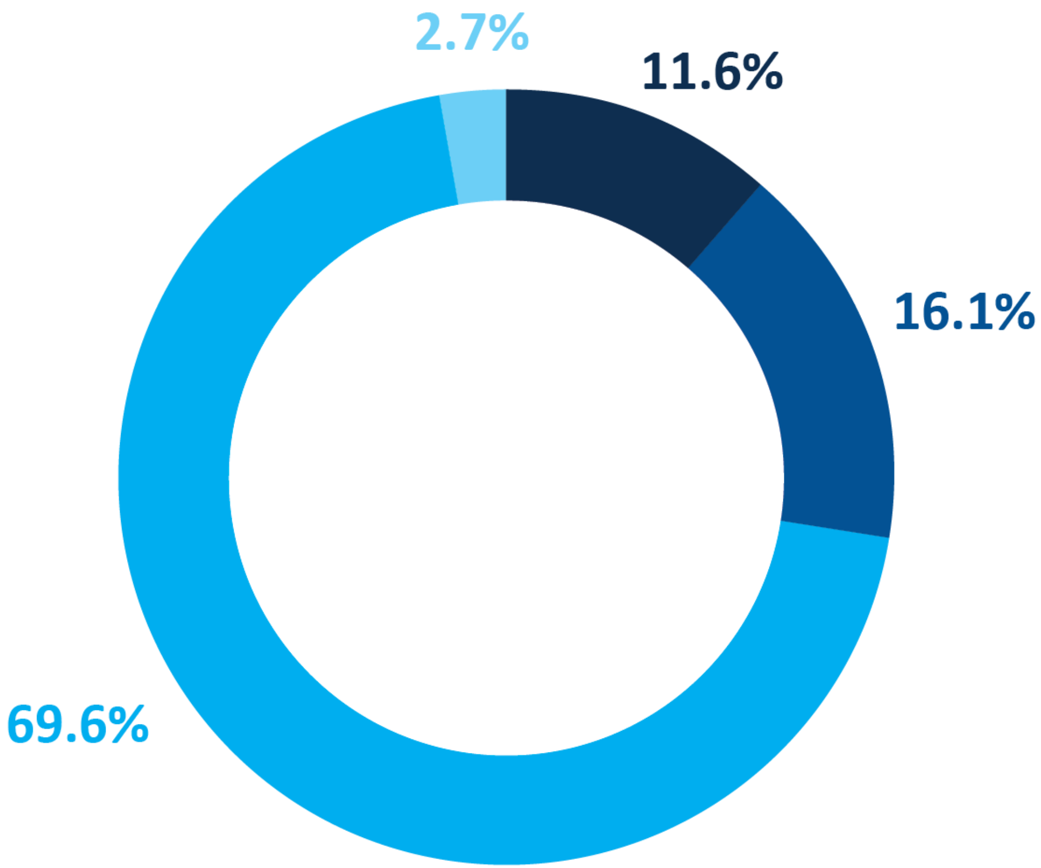
Existence of institutional guidelines on OA to research data



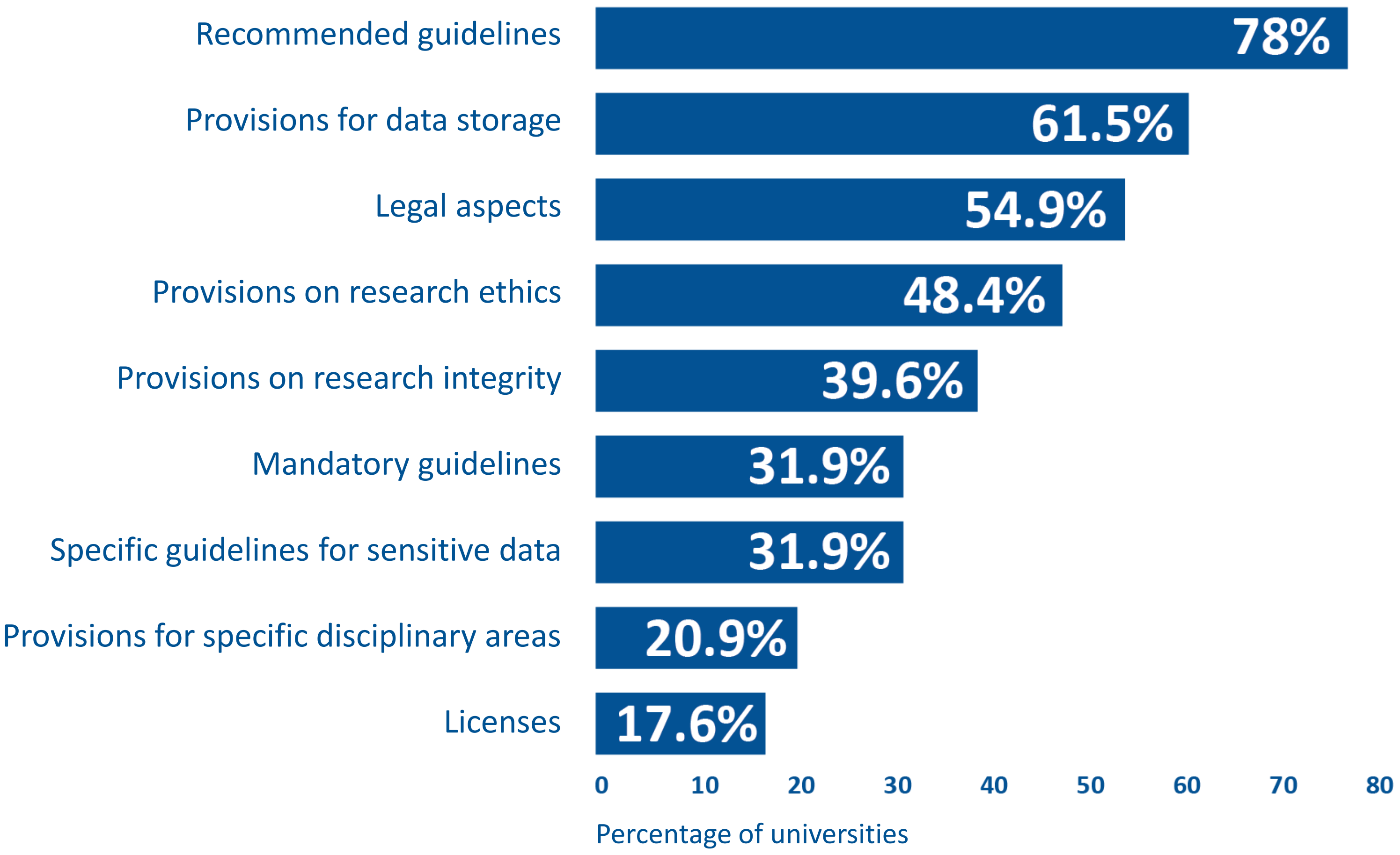
- ■ Yes, institutional guidelines
- ■ Yes, informal guidelines (guidelines not formalised, but apparent in the institutional practices)
- ■ No
- ■ Don’t know

Number of respondents: 336/338

EUA questionnaire on Open Access

Results survey 2016/17

Key elements of guidelines on OA to research data



Number of respondents: 91/93.
Question only applicable to institutions who replied "Yes" to Q15 (see slide 11).
Multiple-choice question.

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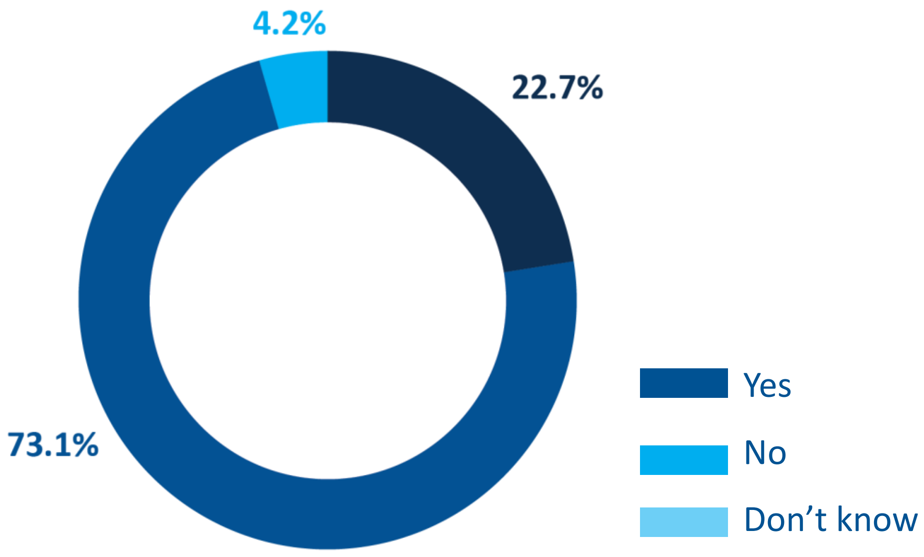
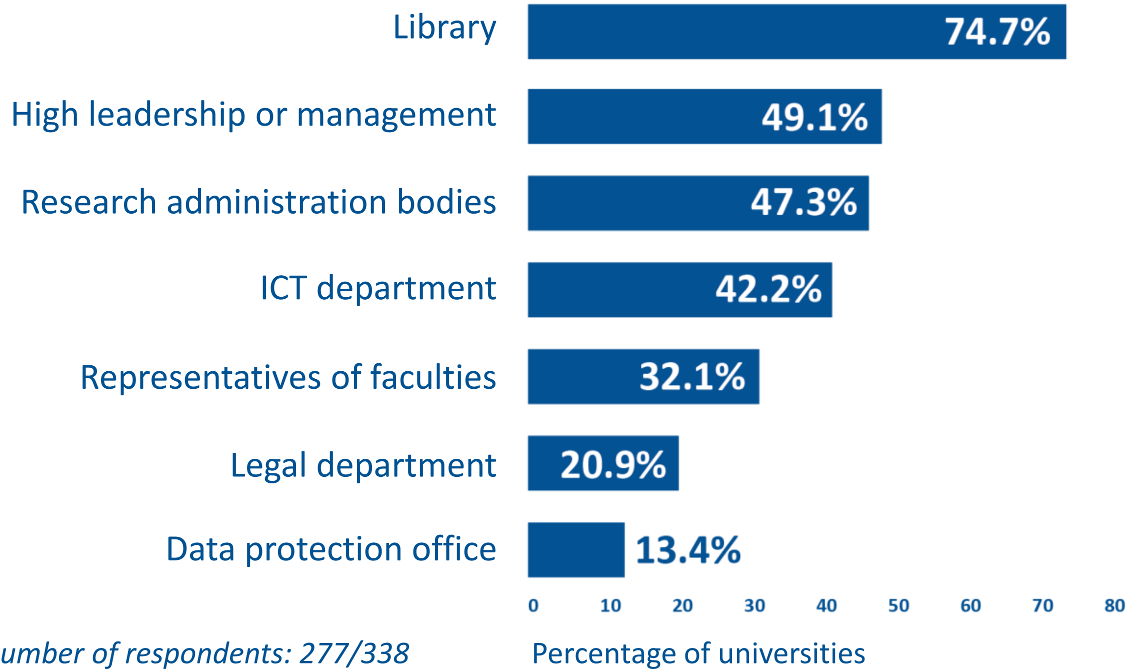
Results survey 2016/17

Existence of an institutional permanent Open Research Data working group or committee



Number of respondents: 331/338

Composition of institutional governance structure dealing with research data management/OA to research data



Number of respondents: 277/338

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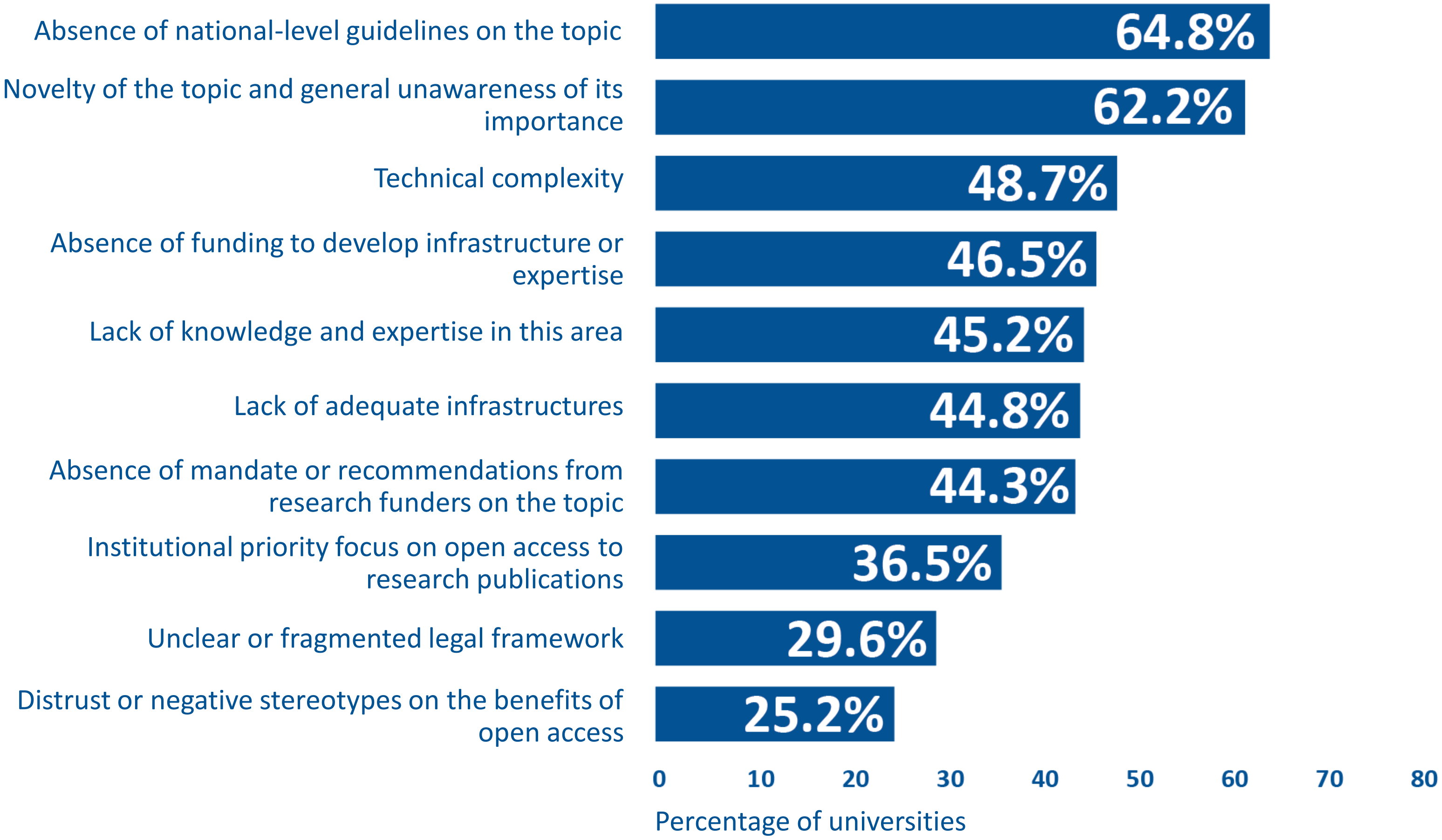
Reasons accounting for the absence of institutional guidelines on RDM and/or OA to research data



Number of respondents: 230/244.
Question only applicable to institutions who indicated not having guidelines on RDM and/or OA to research data.
Multiple-choice question.

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Support provided by the institution to researchers interested in OA to research data (I)

- Some institutions **currently do not provide support** to researchers interested in OA to research data, but they are **planning to do so in the near future** (26%)
- Some institutions provide **training to researchers and support staff** (e.g. workshops on RDM, training on H2020) on a regular basis or ad-hoc, depending on demand (22.6%)
- **Training for graduate students**, including doctoral candidates: some institutions provide courses, workshops or specialised training on open science, research data management, as well as legal and ethical matters. A few institutions provide doctoral candidates with individual support in creating Data Management Plans. (22.6%)
- **Support services provided by the library staff or other specialised staff, typically on a one-on-one basis**. This type of support typically focuses on legal issues, technical help (e.g. archiving, managing data, open access to data, advice on data repositories, information on policies relevant to RDM and/or OA to data) and information on relevant policies. (20.8%)

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Support provided by the institution to researchers interested in OA to research data (II)

- **Institutional website** with information on RDM and OA to research data, blogs, newsletters (13%)
- Some institutions have a **dedicated office or service** available for supporting researchers. Examples include an Open Access office, helpdesk, RDM support desk, university data centre. Support typically focuses on the technical area, legal matters and information on relevant policies. (9.9%)
- **Information events** focusing on RDM and/or OA to research data (6.7%)
- **Financial support to researchers**, including doctoral candidates, to attend events on OA to research data and/or to publish articles in OA (1.8%)

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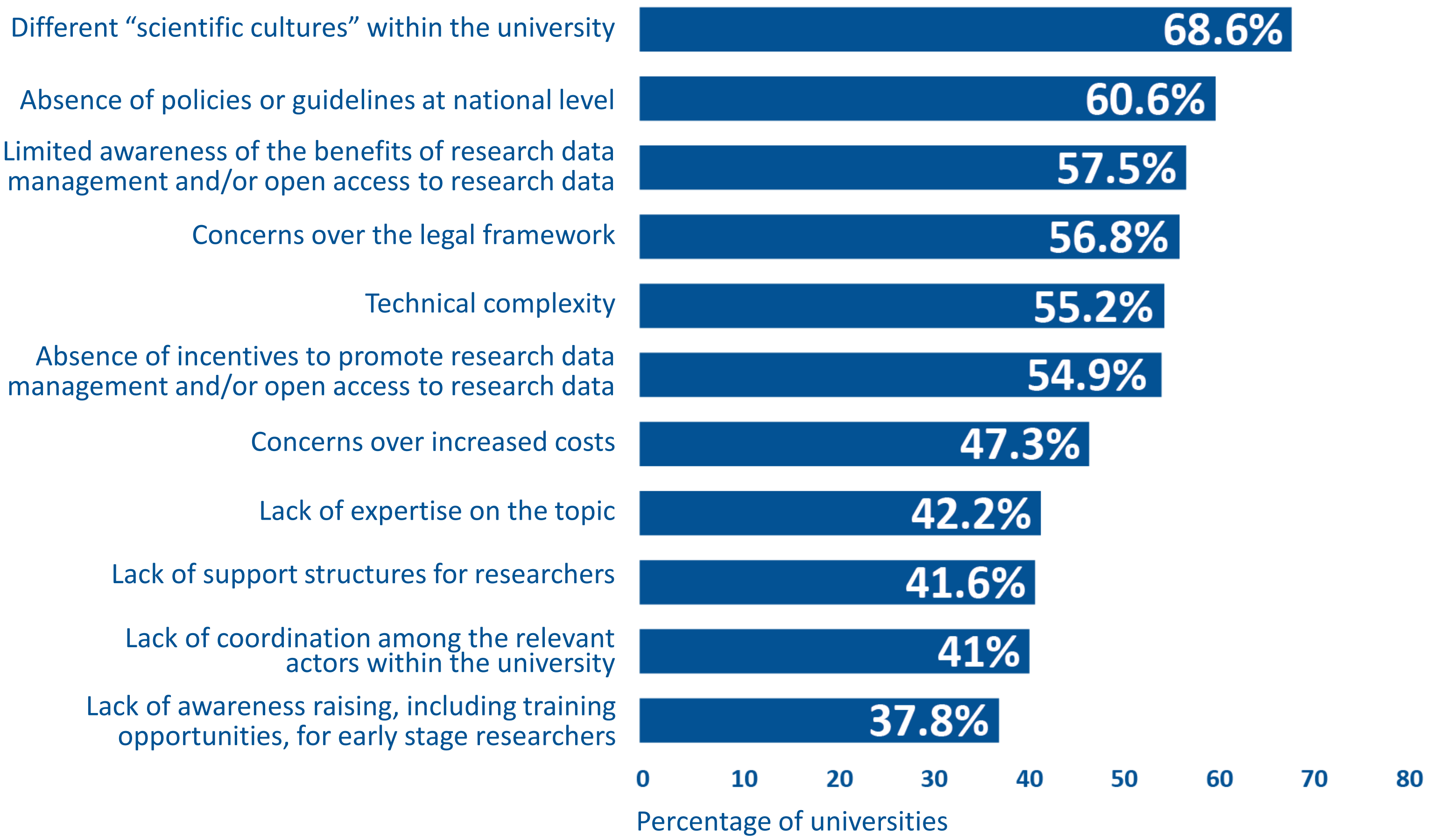
Results survey 2016/17

Main barriers at institutional level in promoting RDM and/or OA to research data



Number of respondents: 315/337.
Multiple-choice question.

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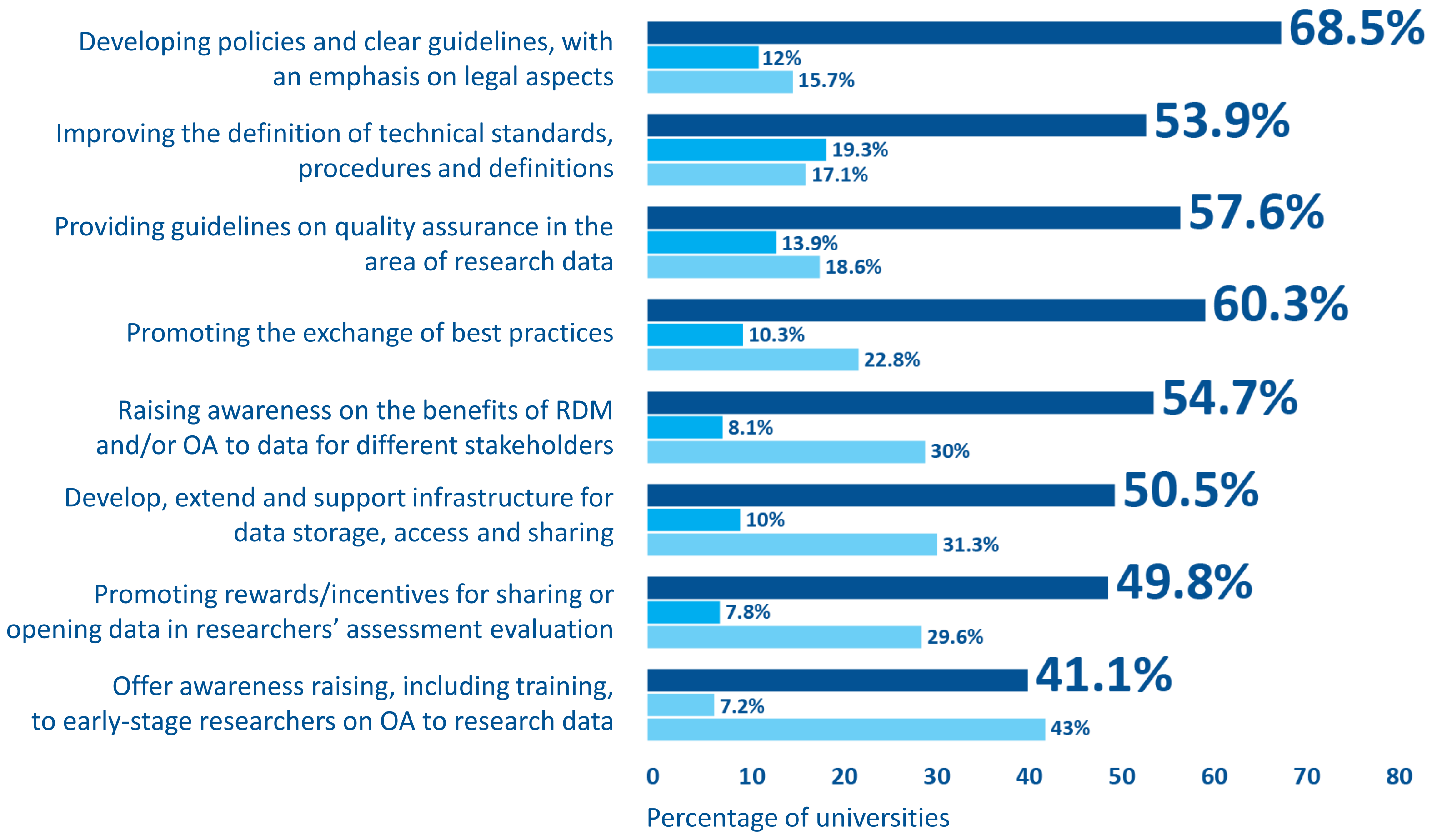
Importance of actions in the transition to RDM and/or OA to research data



- ▬ EU + national level
- ▬ EU level
- ▬ National level

Number of respondents: 319-324/338.
Multiple-choice question.

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EUA Big Deals survey

Survey Key characteristics

- National experts nominated by their respective NRCs
- Data collection: summer 2016-june 2017
- Respondents:
  - 28 NRCs from across Europe, representing 27 countries

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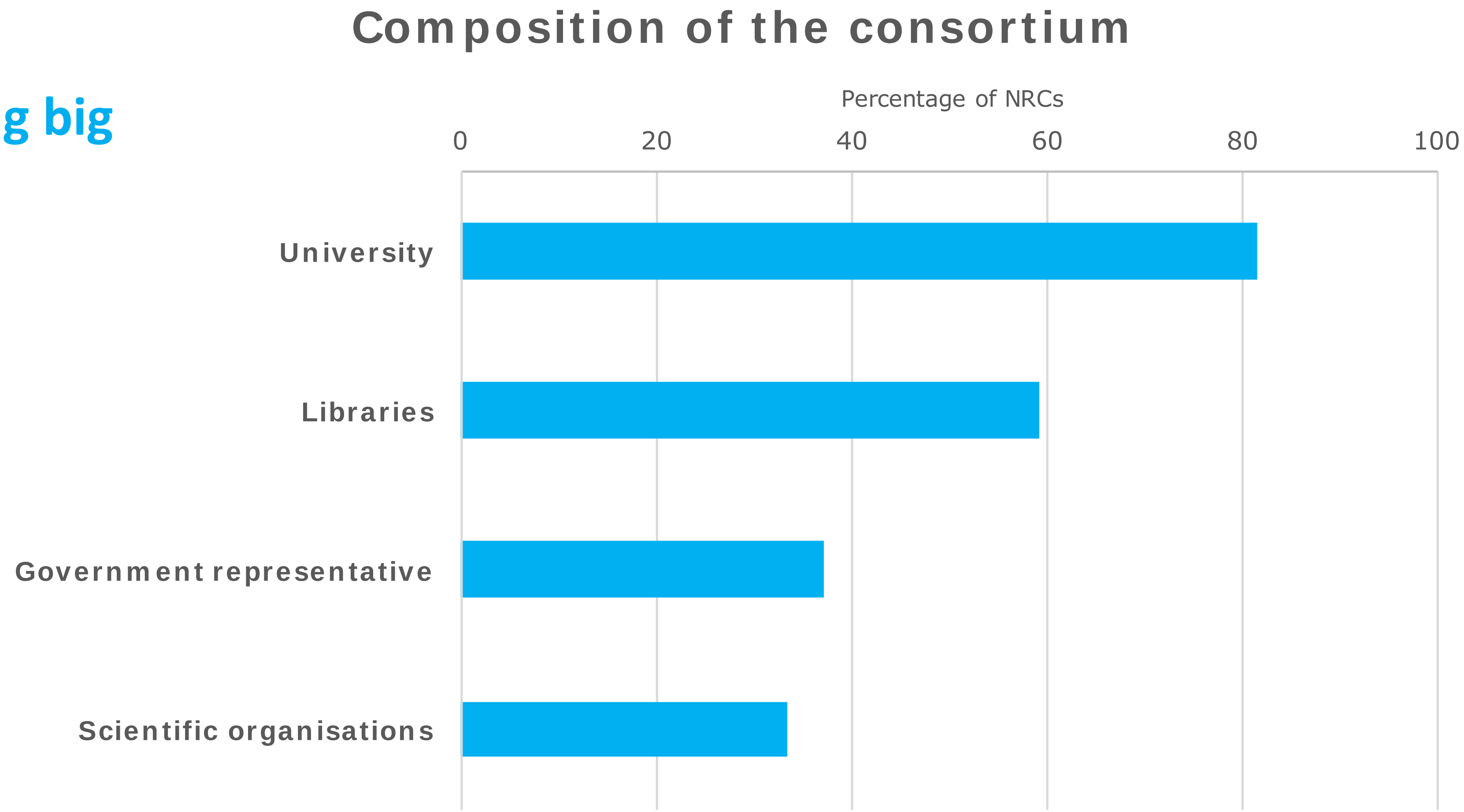
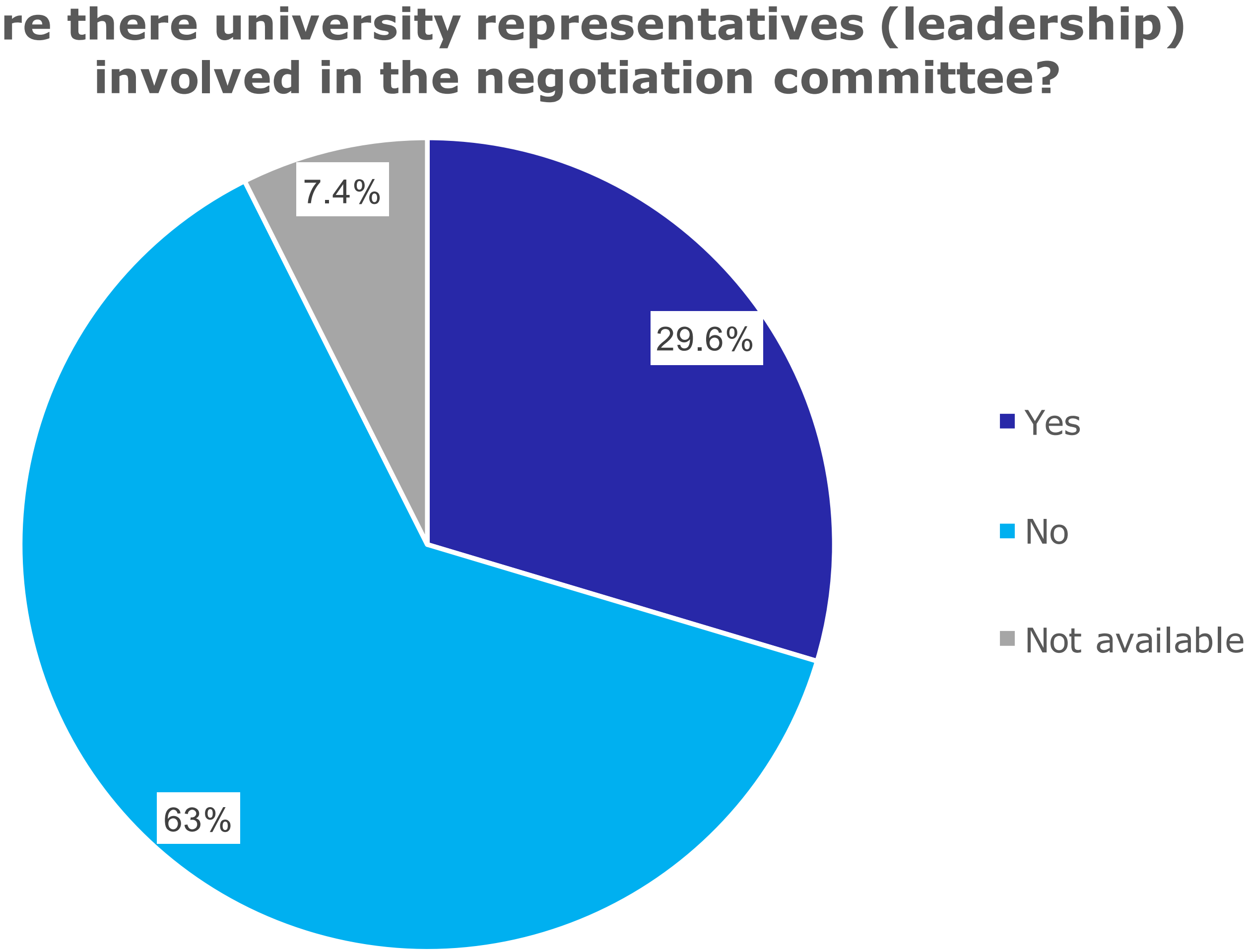
EUA Big Deals survey

Consortia negotiating big deals



Number of NRCs: 27/28
Multiple-choice question

Consortia negotiating big deals



Number of NRCs: 27/28

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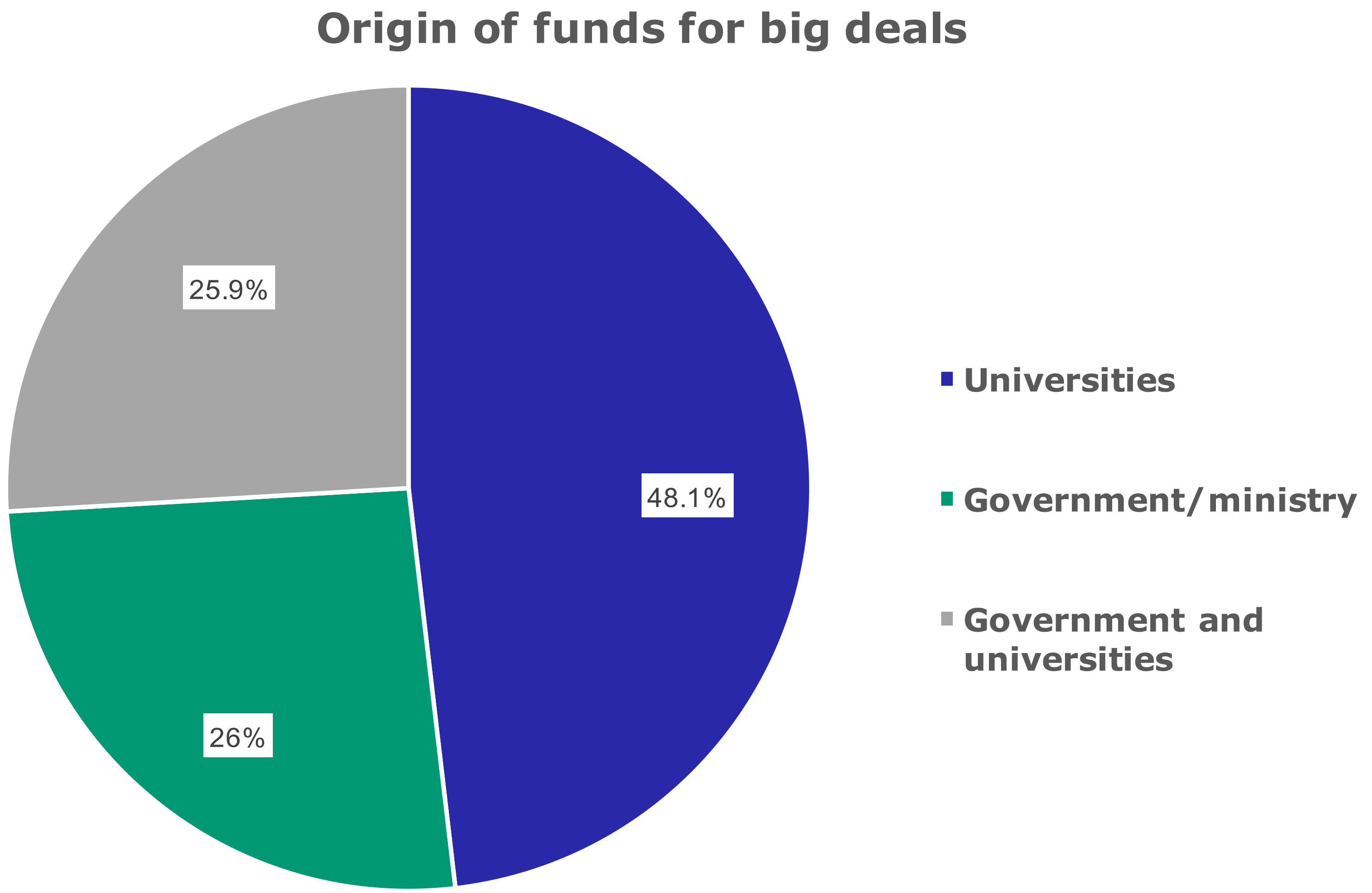
EUA Big Deals survey

Consortia negotiating big deals



Number of NRCs: 27/28

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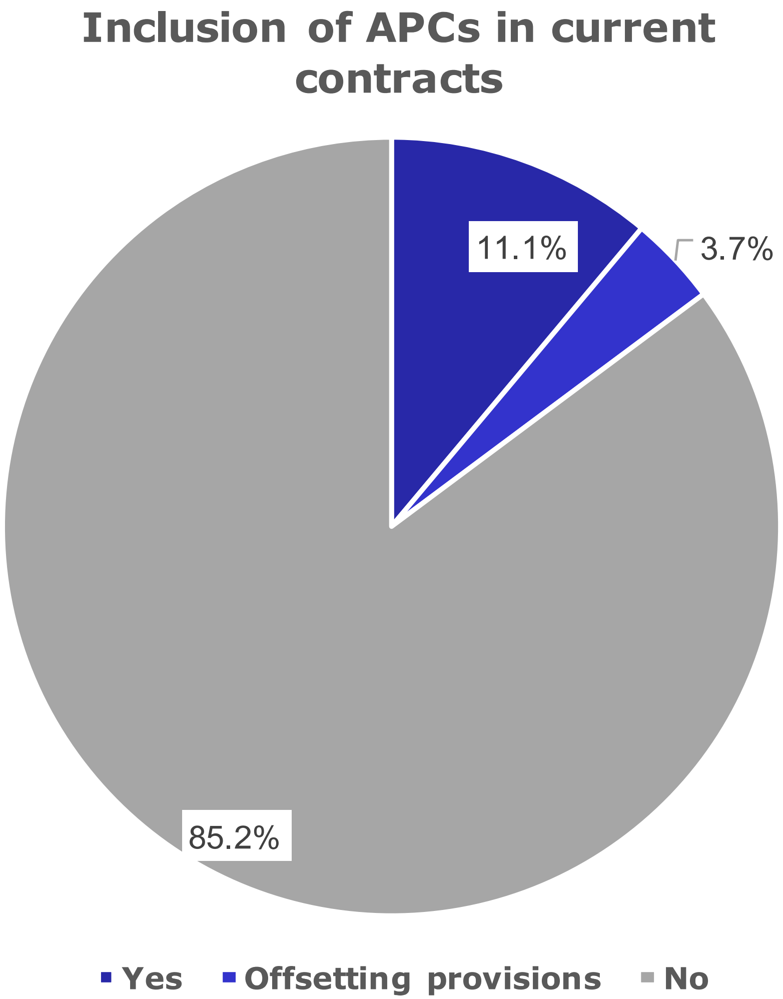
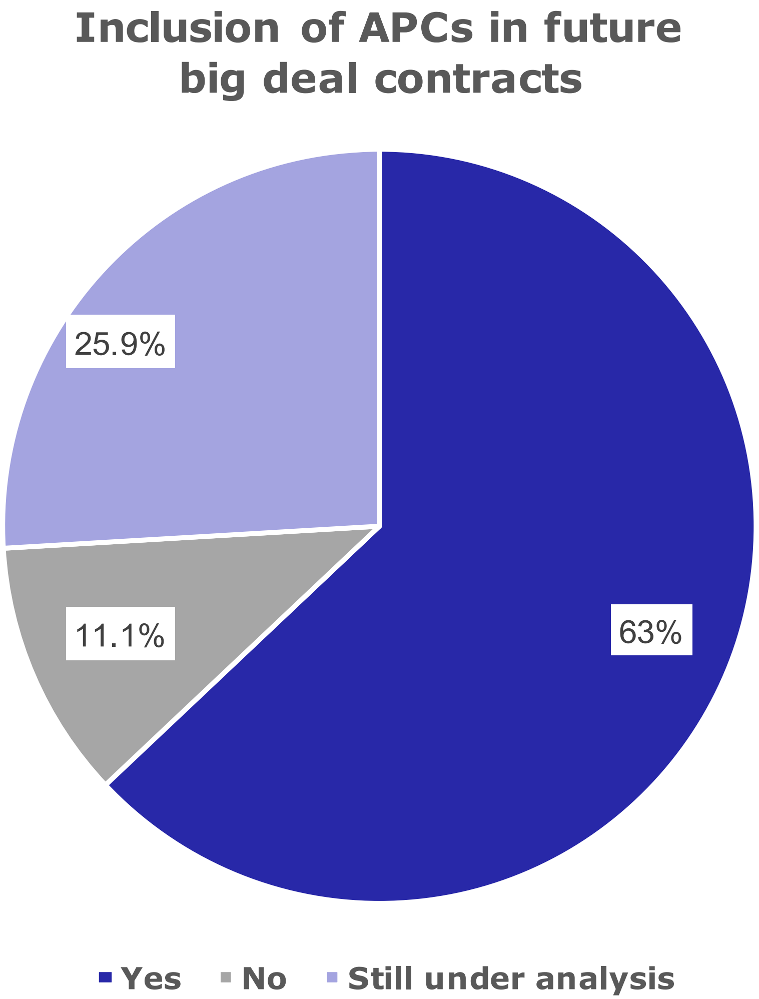
Consortia negotiating big deals





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Number of NRCs: 27/28

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Thank you for your attention

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