OpenAIRE and the Alignment of European Open Access Policies

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OpenAIRE

European Commission

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www.openaire.eu

OpenAIRE implements the

OPEN ACCESS & OPEN DATA

EC requirements

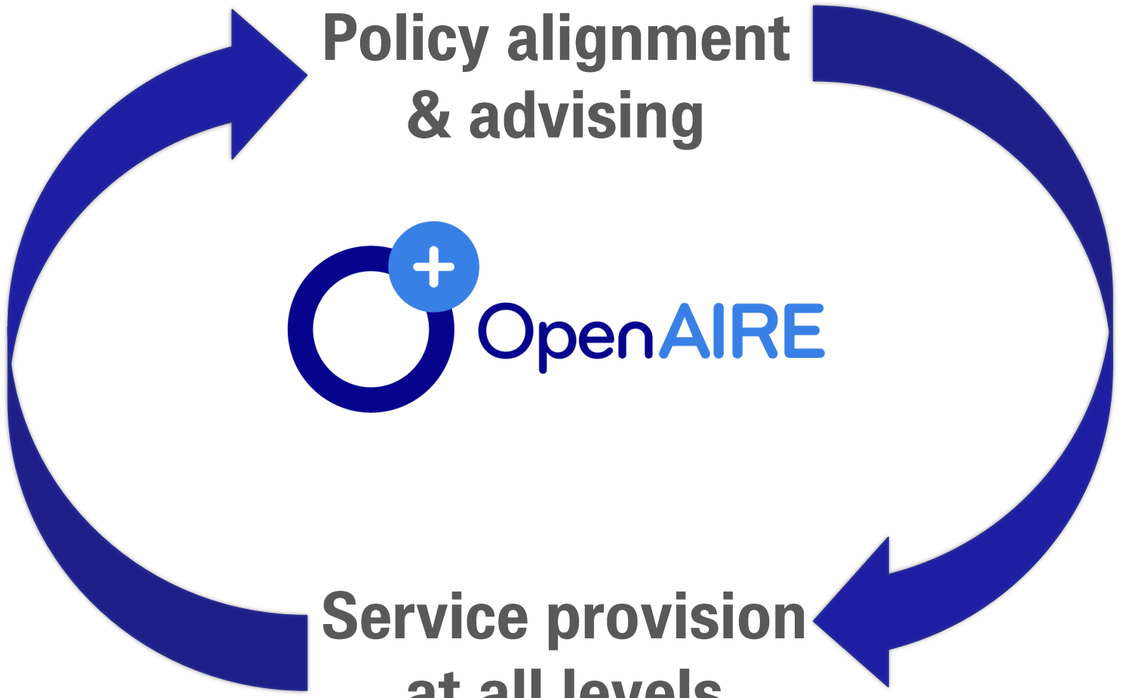
& supports OA policy alignment in Europe

OA is here to stay.

Policies and **practices**

hand in hand for a

sustainable OA



Who we are

- **In 24x7 operation since Dec 2010**
- **EC funding (2009-2020)**
  - OpenAIRE (2009-2012)
  - OpenAIREplus (2012-2014)
  - OpenAIRE2020 (2015-2018)
  - OpenAIRE Advance (2018-2020)
- **Consortium of 50+ partners**
- **A legal entity in 2018**

- Open Access / Science experts
- Information & Computer Science experts
- Legal experts
- Data communities
- Open Innovation experts
- Citizen Science (schools)

OpenAIRE: what we do

Support – Accelerate – Monitor Open Science

Train for Open Science

Implement and align Open Science policies across Europe and the world

Deploy services to embed Open Science into researcher daily workflows

Foster innovation for added value services based on open research

Build global common standards for linking and contextualizing all research

Monitor Open Science in Europe

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Two faceted e-Infrastructure

Human Network

34 expert nodes all over Europe: Open Science training & support, OA policy alignment, Technical assistance…

Integrated Scientific Information System with access to: 23,163,698 publications; 616,224 datasets; 1,028 data providers, 800K publications linked to projects from 15 funders

Digital Network

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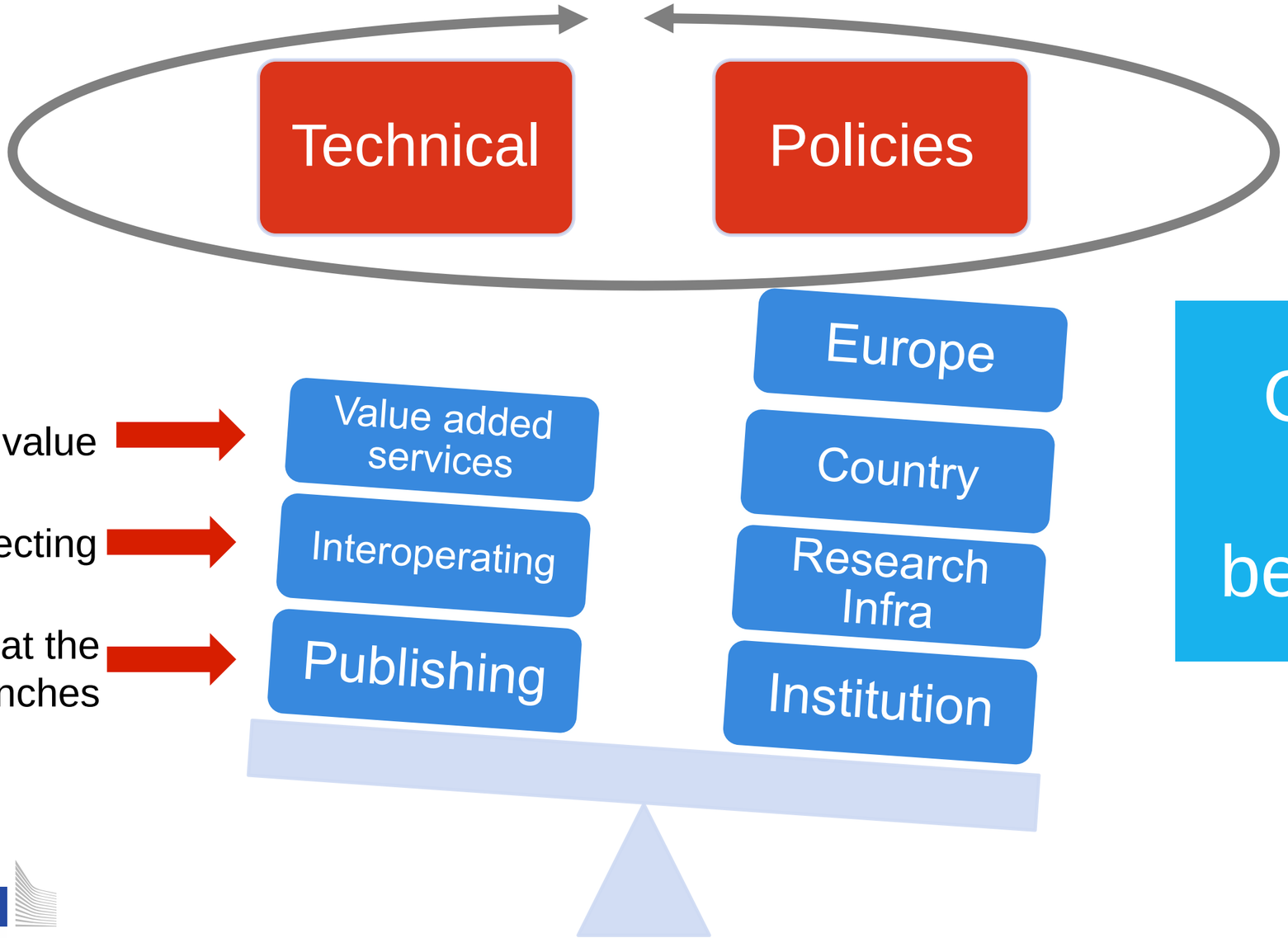
Working at different levels of the research ecosystem



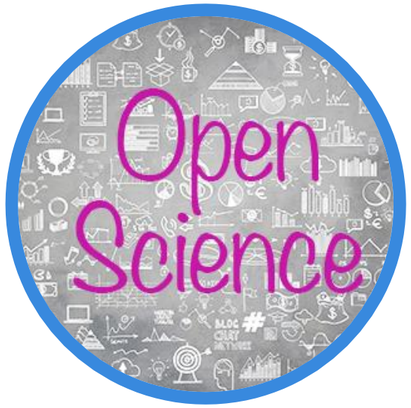
Upper layer: showing the value

Middle layer: connecting

Bottom layer: work at the trenches

Culture and behaviour

Open Science services for all



RESEARCHERS & RESEARCH COMMUNITIES

CONTENT PROVIDERS MANAGERS

FUNDERS & RESEARCH ADMINISTRATORS

3rd party SERVICE PROVIDERS

Services at all levels of e-Infrastructure.
Services that cover all research life-cycle.

Dashboards for funders, content providers, research communities and institutions.

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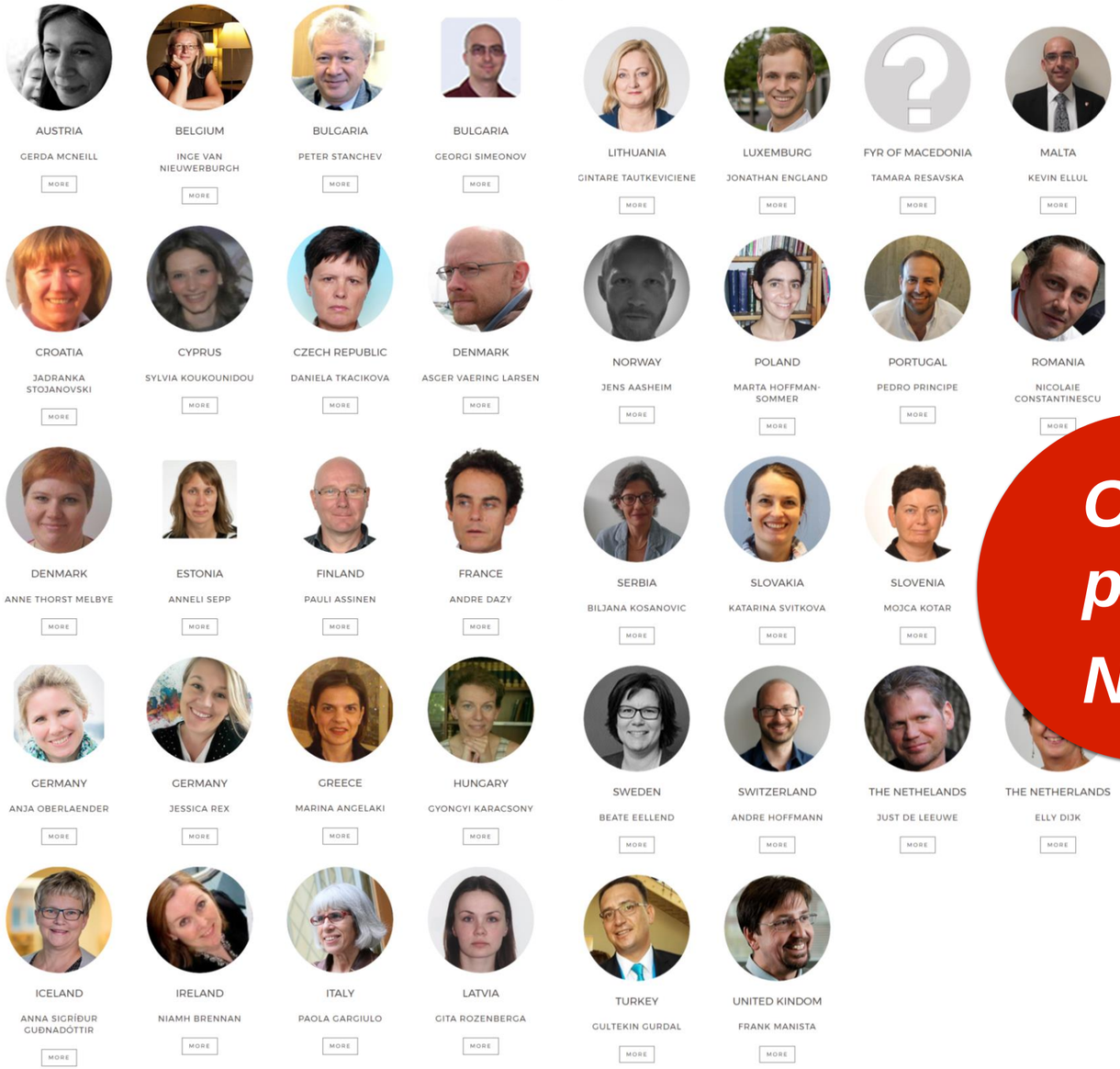
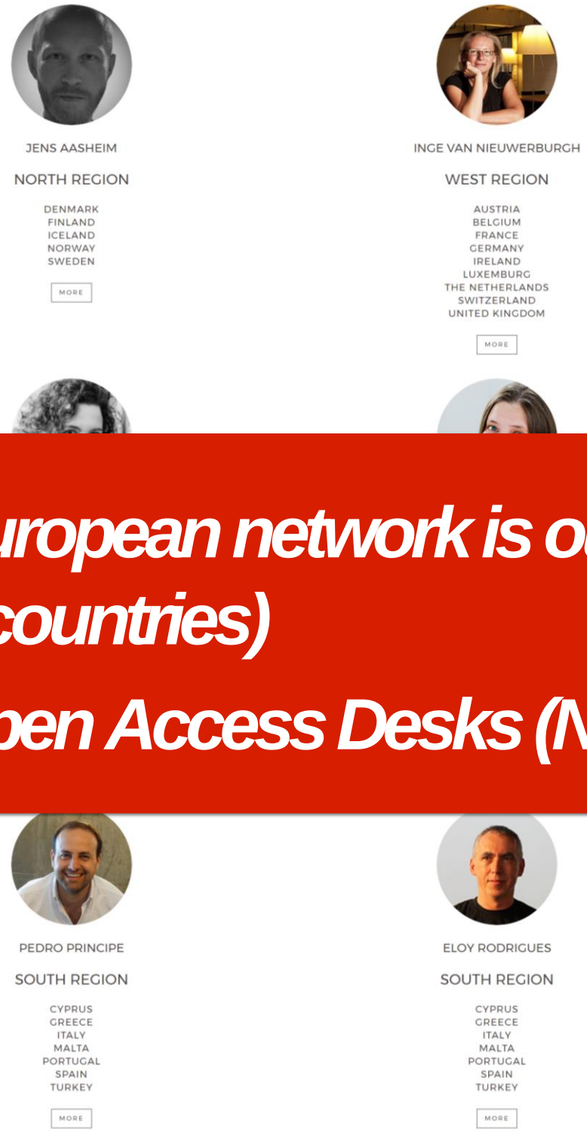
Behind the scene





Our pan-European network is our power (34 countries)

National Open Access Desks (NOADs)

A pan European Support & training service for Open Science

HELPDESK

Ask a question

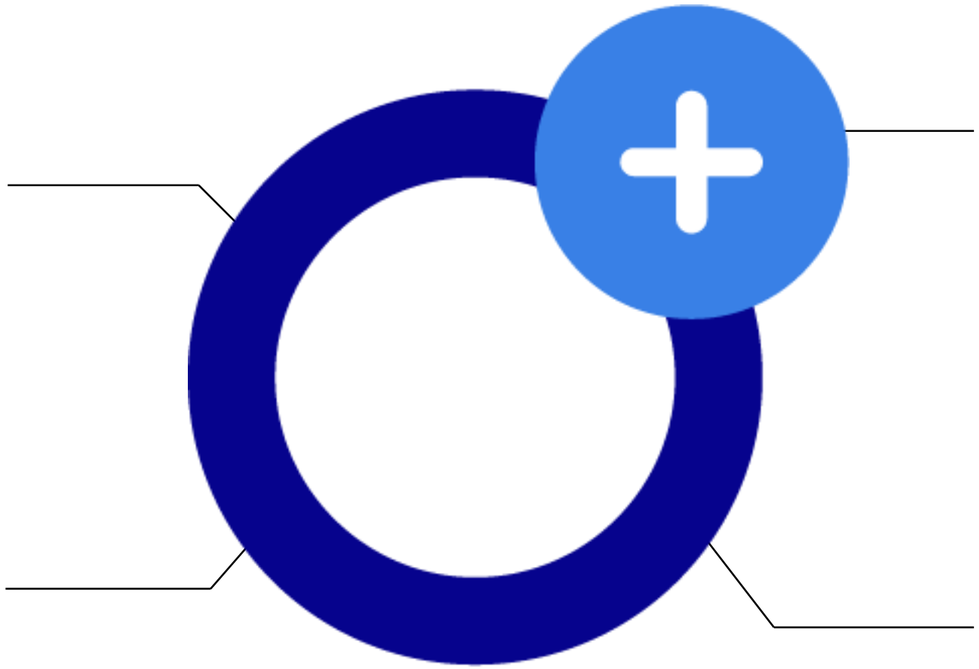
FAQs

RESOURCES

Guidelines

Copyright Issues

H2020 factsheets



TRAINING

Webinars

Workshops

Demos

CONSULTATION

Legal

Policy

Technical

Open Access is the DEFAULT for research results in H2020

10 years to become open

2008

FP7

OA **Green** or **Gold** + **Green** **Pilot**

2014

H2020

OA **Green** or **Gold** + **Green** **obligation**

& ORD **Pilot**

From 2017

H2020

OA **Green** or **Gold** + **Green** **obligation**

& ORD **by default**

Slide by Jean-Claude Burgelman and Daniel Spichtinger (DG RTD EC) presented at the OpenAIRE workshop - Legal issues in Open Research Data, April 4, Barcelona.

Open Access requirements and who is covered by them?

All beneficiaries of H2020 funding must provide open access (free of charge, online access for any user) to all peer-reviewed publications by depositing them into a repository

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

www.openaire.eu/h2020openaccess

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RESEARCHER DECIDES WHERE TO PUBLISH

Open Access Journals
doaj.org

Check for Article Processing Charges

IMMEDIATE OPEN ACCESS

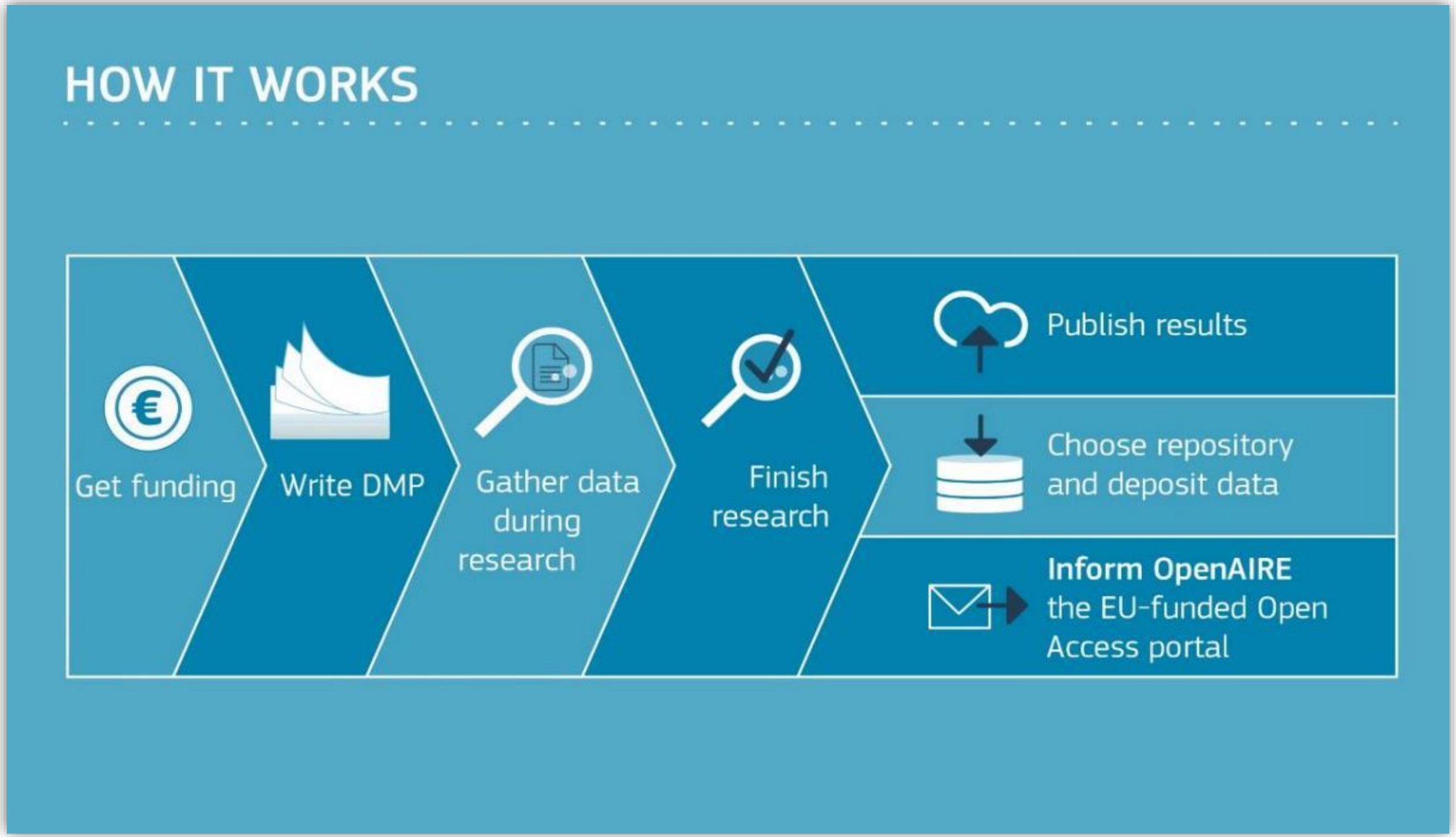
Subscription-based journal

Self-archive in a repository
Find at: openaire.eu

IMMEDIATE OR DELAYED OPEN ACCESS

Check publishers policies on
www.sherpa.ac.uk/romeo

H2020 Open Access Mandate



Open Research Data in H2020

Multi-beneficiary General Model Grant Agreement

- 29.2 Open access to scientific publications
- 29.3 Open access to research data

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

OpenAIRE goal

Place Open Science in the agenda of every funder or research performing organization in a tangible manner

21.7.2012 EN Official Journal of the European Union L 194/39

RECOMMENDATIONS

COMMISSION RECOMMENDATION

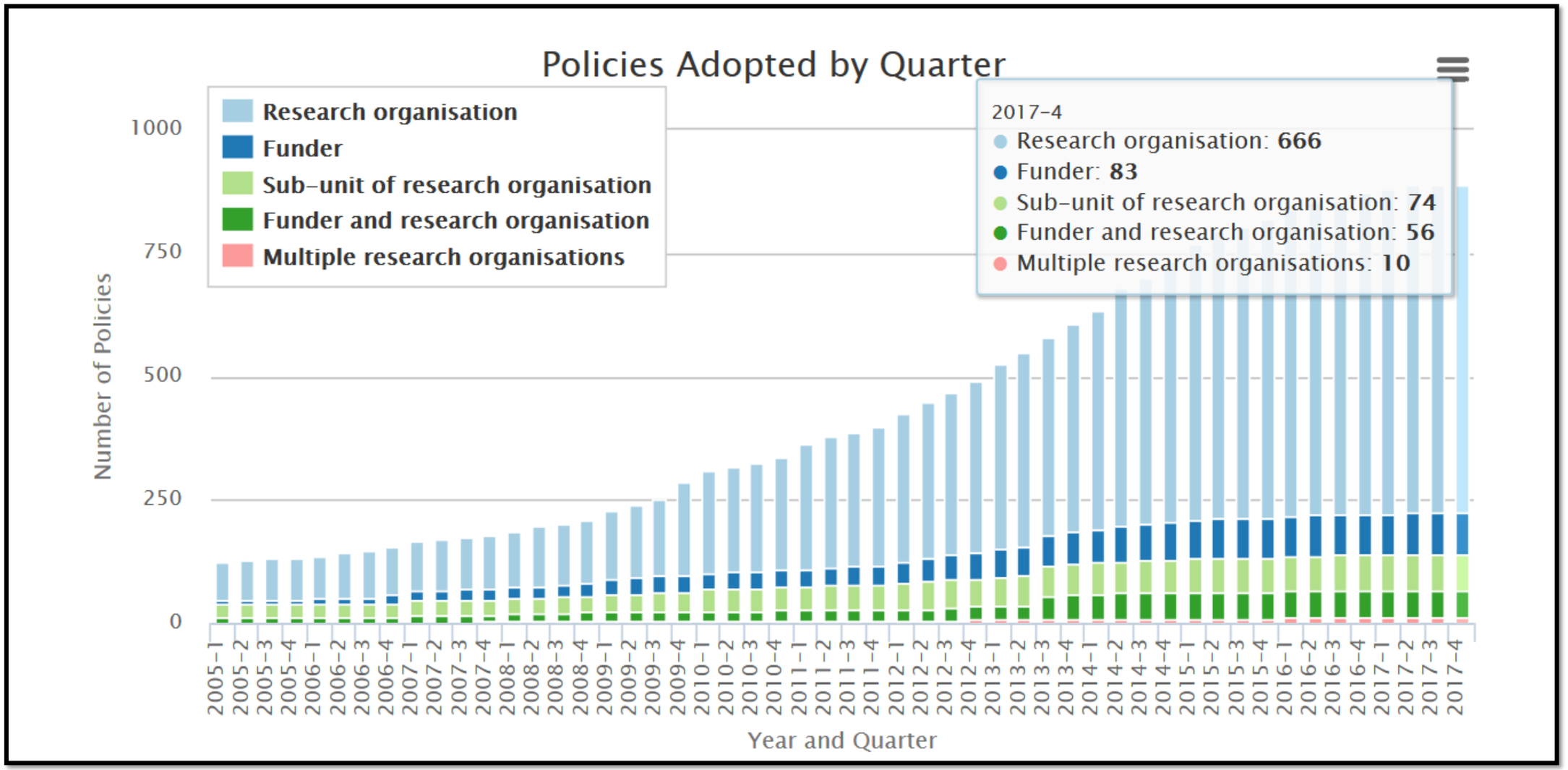
of 17 July 2012

on access to and preservation of scientific information

(2012/417/EU)

OpenAIRE network supports the aim of encouraging the development of matching policies on Open Access and Open Data in the European Union, according to the European Commission's Recommendation on "Access to and preservation of scientific information" (July 2012) and in view of maximizing alignment with the Horizon 2020 policy on access to the research funded by the Commission.

Why do Institutions & funders define OA and OD policies?



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Why do funders define OA and OD policies?

Better science!

Improved monitoring and transparency of the results of funding.

Higher visibility and impact from their funding in research and society in general.

Maximized return on investment.

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Content

Definition and Implementation Process

Monitoring

What elements make successful Open Access, Open Data, Open Science policies and How to design them?

Results of the policy analysis assessment

- ROARMAP content measured
- 122 mandatory policies (institutions)
- Regression analysis carried out using policy criteria

Condition	Correlation with deposit rate
Must deposit	✓
Cannot waive deposit	✓
Must make item OA	✓
Cannot waive making item OA	✓
Link deposit with research assessment / evaluation	✓
Cannot waive retention of rights	✓

Data: Report on policy recording exercise: http://goo.gl/AI03ET

PASTEUR4OA

http://www.pasteur4oa.eu

A list of important policy criteria

- Must make deposit Open Access
- Cannot waive making item Open Access
- Where rights are retained, this cannot be waived
- **Must deposit ✓**
- **Cannot waive deposit ✓**
- **Linked to research evaluation ✓**

✓ Significant correlations with deposit rate

PASTEUR4OA

Monitor Open Science Policies – why and how?

Monitoring policy compliance is important because it enables policy makers to:

i. assess which authors are adhering to the policy;

ii. decide whether additional advocacy practices and communication activities are required to raise awareness about the policy and increase compliance rates;

iii. observe whether any additional infrastructure or tools need to be used to collect evidence on compliance;

iv. determine whether any sanctions need to be implemented to enforce a systematic compliance with the policy;

v. and start the process of assessing the benefits that OA is bringing to the institution as levels of OA outputs grow.

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Monitor Open Science Policies – why and how?

To monitor compliance with OA policies the process must be able to identify:

- **The key feature of monitoring compliance is to measure the proportion of research outputs that have been made (or will be) Open Access and that effectively comply with the OA policy requirements.**
  i. total number of research outputs subject to the policy,
  ii. total number of full-text OA research outputs in the repository,
  iii. the number of embargoed full-text items that will become OA at a later date.

- Monitor compliance with policy by comparing repository content with indexed records in bibliographic reference databases such as ISI WoS and Scopus, …

- Monitor policy in a systematic way
- Involve researchers and project managers

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Funders OA policies related activities in OpenAIRE

Align and support OA policies

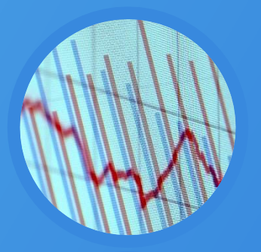
Sync infrastructures and Support national e-infrastructures

Guidelines for metadata funding info

Monitor mandate compliance

APIs with projects list for repository software

Text mining and inference



Statistics and reporting

Analytics and trends

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FCT - *Fundação para a Ciência e Tecnologia*

"the Portuguese Foundation for Science and Technology"

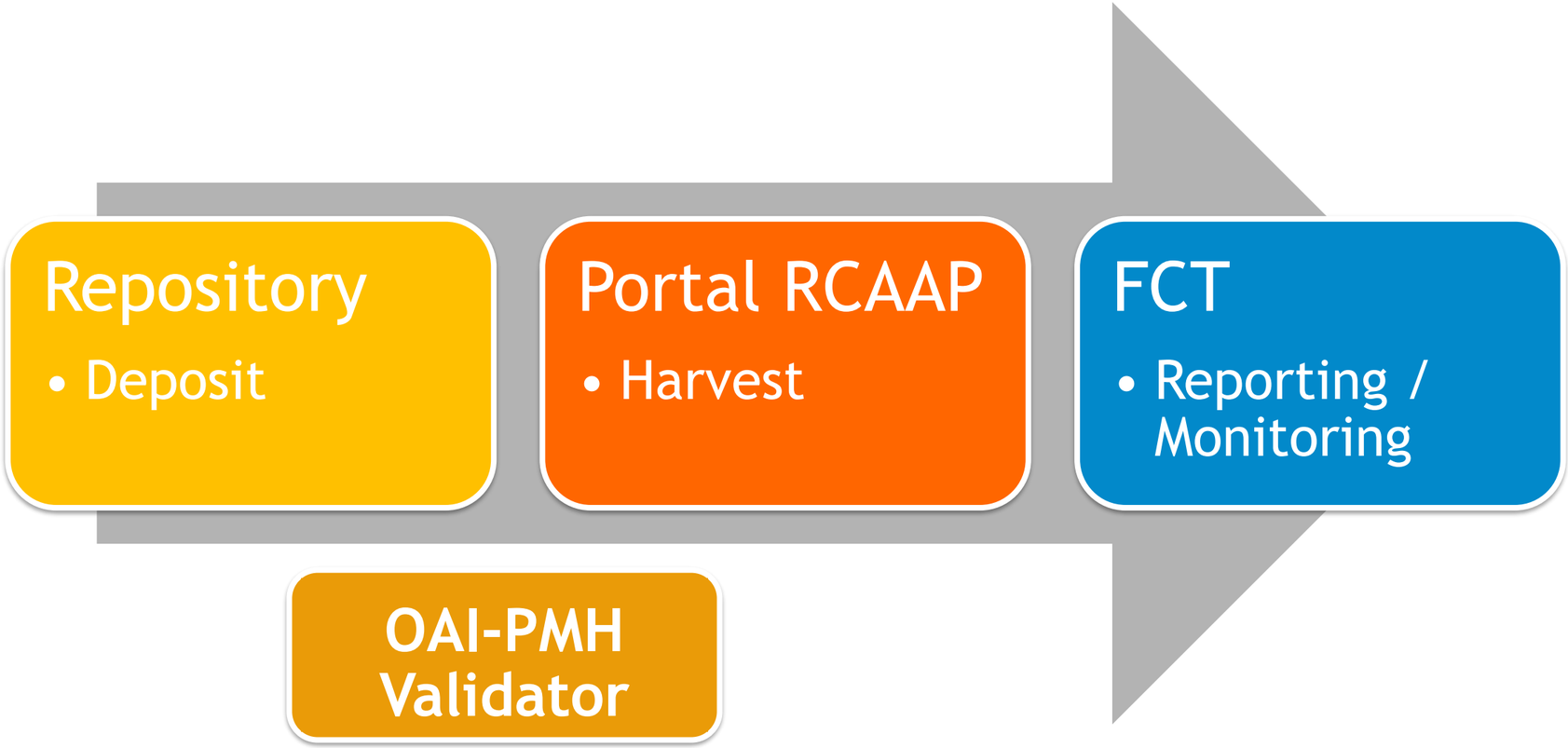
Main science funder in Portugal

FCT
Fundação para a Ciência e a Tecnologia
MINISTÉRIO DA CIÊNCIA, TECNOLOGIA E ENSINO SUPERIOR

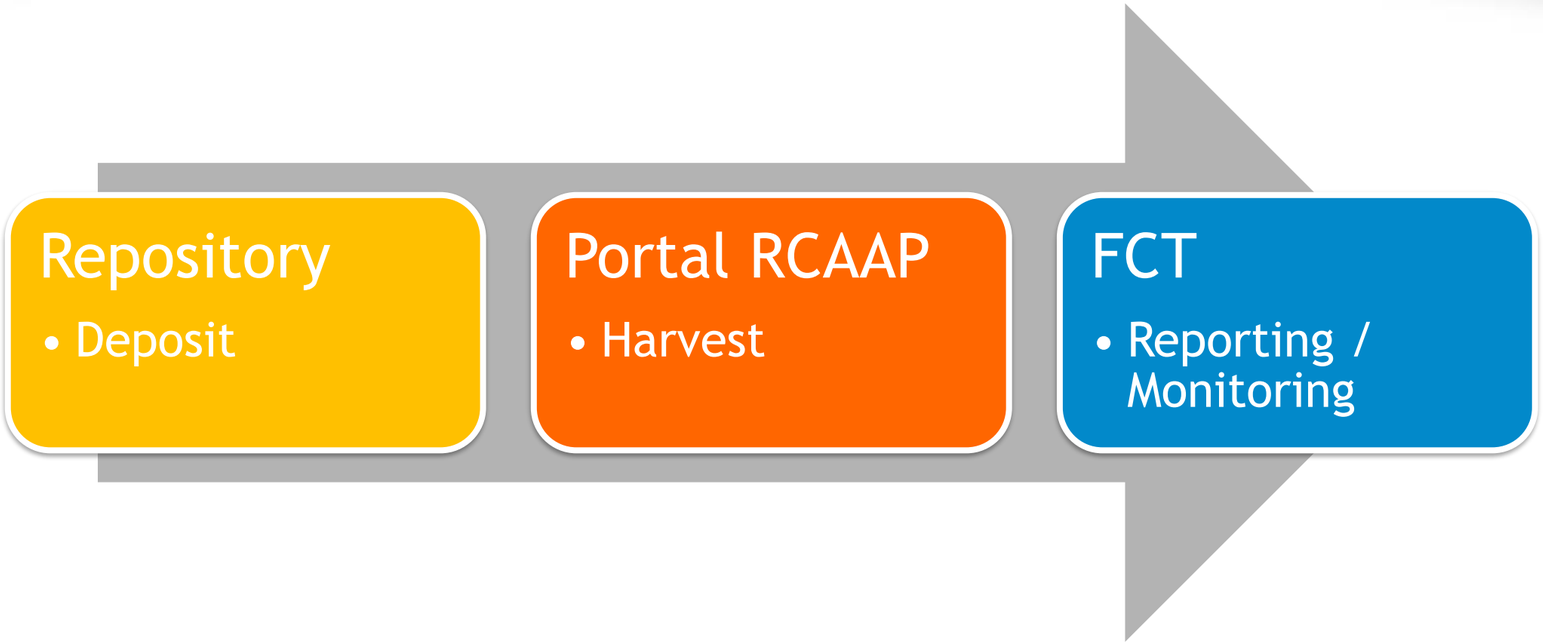
The FCT OA Mandate (main points)

- Deposit in IR is mandatory
- Allows embargo periods
- Allows APC payments
- Creative Commons licenses
- Aligned internationally (H2020)
- Defined on an existing infrastructure (RCAAP)

RCAAP Infrastructure: Monitoring Overview



Institutional Repositories



INSTITUTIONAL REPOSITORIES

OA RESEARCH

24 mi
OA PUBLICATIONS
800,000 linked to grants

615 K
data objects

19 FUNDERS
From 15 countries

1.7 MI EUROS
1,004 post-grant FP7 publications

OUTREACH

12 NATIONAL WORKSHOPS
1200 PARTICIPANTS

26 webinars
1890 PARTICIPANTS

1021 DATA PROVIDERS
161 new

170 presentations
FROM NATIONAL OPEN ACCESS DESKS

70 blog posts

SOCIAL ENGAGEMENT

25 new videos
4K downloads
+35%

8,011
FOLLOWERS
+33%

+24%
1,572
members

55 new slide presentations
1200 DOWNLOADS
45K VIEWS
+55%

OpenAIRE

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