



# **REPORT**

## **MedOANet Final Open Access Conference**

**Athens, October 17 and 18, 2013**

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## Index

|  |           |
|--|-----------|
| <b>Introduction: MedOANet and the Final Project Conference</b>   | <b>4</b>  |
| <b>Executive Summary</b>   | <b>6</b>  |
| <b>MedOANet in Context: Project Accomplishments</b>  | <b>10</b> |
| <b>Implementing National Policies for Open Access to Scientific Information: the National Perspectives</b> | <b>14</b> |
| <b>Implementing Open Access Policies for Research Funding Organisations</b>                                | <b>17</b> |
| <b>Building Capacity for Open Access in Europe: e-Infrastructures, Policies and People</b>                 | <b>20</b> |
| <b>Open Access and the European Research Area</b>  | <b>23</b> |
| <b>Implementing Open Access Policies among Research Performing Institutions</b>                            | <b>26</b> |

## Introduction: MedOANet and the Final Project Conference

The Mediterranean Open Access Network is a project funded by the European Commission's 7<sup>th</sup> Framework Programme. It ran for 24 months and concluded in the end of 2013. MedOANet supported the coordination of open access strategies and, especially the development of policies and structures in six Mediterranean countries. All project outcomes, documents and resources are available at the project's website, [www.medoanet.eu](http://www.medoanet.eu)

The project was designed along three lines of work:

- First, it mapped the open access ecosystem in the six countries by performing surveys in order to obtain a nuanced understanding, especially regarding open access policies, and provide a basis for policymaker engagement and coordination at the national level. It also developed an online tool, the Open Access Tracker. The tool tracks the development of open access policies and initiatives (such as funder policies, repositories, etc.), by drawing data from international registries and displaying them for each country, effectively creating a country profile.
- An important line of project work was to facilitate coordination at the national level: project partners engaged national policymakers, developed task forces that brought together the major national stakeholders, and organised national workshops.
- A third line of work comprised regional and European coordination: Aside from project partner interaction, this was achieved through a workshop with the participation of policymakers from all six countries, as well as the development of guidelines for policy development, directed to funder and institutional policymakers in the six countries and available in all six local languages other than English.

On October 17<sup>th</sup> and 18<sup>th</sup> the project organised its final conference, in Athens, Greece, where the Coordinator, the National Documentation Centre, is based. Aim of the conference was to present the project outcomes and, most importantly, provide a forum for further coordination of developments. The project final conference was part of a larger conference dedicated to open access, the third international open access conference organised by the National Documentation Centre. The first day (October 16<sup>th</sup>) focused on recent policies and

initiatives supporting open access with regard to public sector information and scientific research, with a particular focus in Greece. The second and third day comprised the final conference of the project and focused on developing open access policies to scientific information in particular.

The final conference of the project successfully managed to bring together research policymakers from all over Europe. It provided the opportunity for presentations and fruitful discussion on the state of open access at the national level and the progress in policy development and coordination in the six countries and in Europe and beyond. Research Funders, University and research center policymakers provided an in-depth understanding of their policies and practices. Open access was, further, discussed within the context of the European Research Area amongst important stakeholder organisations, such as the European Association of Universities, Science Europe and the League of European Universities. Finally, European Commission policies and funded projects were presented that support the development of an openly accessible scientific output for Europe.

The conference was attended by 300 visitors, while 500 people followed the event through livestreaming. The event's hashtags #OAconf13 #MedOANet were a trending topic in the Greek Twitter for several hours during the event. All presentations and videos are available at [www.openaccess.gr/conference2013](http://www.openaccess.gr/conference2013)



## Executive Summary

The final conference of the project took place at a **turning point for open access**: as the Commissioner for Research, Innovation and Science Máire Geoghegan-Quinn indicated in her videotaped speech, around **50% of papers published in 2011 globally are now available for free**. At the same time, the European Commission formulated the **rules for participation in Horizon 2020** (the first Calls were just released last December) in which **open access through depositing in repositories is obligatory** for all publications resulting out of partial or full financial subsidy by it. Further, in July 2012 the European Commission already published its **Recommendation on Access to, Dissemination of and Preservation of Scientific Information towards Member States**, recommending that Member States essentially render publicly accessible research that is paid with public national funds, that they bring together the necessary financial, technical and other resources to do this, and that this is done in a coordinated fashion among them. The presentations and discussions during the conference rendered clear the catalyst influence exerted by these policies on the development and implementation of national and institutional policies. At the same time **a wealth of different approaches adopted by Member States aligning to these policies** also became apparent; they reflect the conditions and particularities of the systems of their respective countries.

A significant progress at the national, funder and research institution level, was noted at the conference. The conference provided the forum to present the **national and/or major national funder policies** of nearly one third of the Member States of the European Union, specifically of Greece, Italy, Portugal, Spain, France, Denmark, the United Kingdom, Ireland and Belgium. It became apparent that open access through self-archiving in repositories (Green open access) is becoming prevalent as the preferred way of implementing open access policies. This is probably largely because resources have already been invested in the relevant e-infrastructures, that is repositories, such technological advances demonstrably preceding policy development. Different approaches in terms of policy-development were observed, however. Several countries have already moved forward and included open access as an obligation in recently passed laws (Spain, Italy), or are planning to do so in the near future (Greece). These countries are thus seeking for ways to implement a top-down legal approach. Other countries have implemented open access policies by making open access a funding requirement of their main funding councils/instruments, such as the United Kingdom, Denmark, Portugal, Ireland, Belgium. These countries have mostly chosen to

follow a long, and in many cases efficient, consensus-building process, which gradually brings a culture change in the entire research ecosystem.

The session on developing **policies for research institutions** demonstrated that developing and implementing open access policies is a long process, which can be successful if, on the one hand, it is an obligation for researchers, and on the other it provides incentives for them. The session included presentations by institutions with longstanding policies, such as the University of Minho, in Portugal, and institutions with recently developed policies, such as the University of Turin and the Hungarian Academy of Sciences. The first is in a mature phase of open access policy-development and value-added services for its researchers having just recently revised its policy into a mandatory one. In the more recent cases, the process of developing the recently mandated university policy for the University of Turin took approximately three-years and involved intense deliberations of the various institutional stakeholders, including management. Both the University of Turin and the Hungarian Academy of Sciences, as well as the University of Minho, have implemented mandatory policies that connect self-archiving to performance evaluation. The mandatory character of policies and its connection to performance evaluation clearly emerged as important features of effective policies during the conference. MedOANet presented its model open access policy for research performing institutions, which aims at being a succinct means of information for policymakers, and one that allows institutions to develop aligned policies. It is a mandatory policy based on current best practices and included in the project Guidelines. It is available in seven languages, including English, for universities and research centers to use in policy development.

The role of **Open Access in the European Research Area** and the positions of major stakeholder organizations in the ERA were explored in the relevant session. Open circulation of knowledge is one of the five priorities for the ERA, and the European Commission presented open access as an 'acquis', with the question now being shifted from whether to implement it to how to implement it. All three stakeholder organizations present in the discussion, namely the European University Association, The League of European Universities and Science Europe agreed on the necessity of open access. They presented the views, positions and activities of their respective organizations on open access. The necessity for innovative cost models for publishing were highlighted by EUA, along with the recent publication of the principles for transition to open access research publications published by

Science Europe and the roadmaps to open access to publications and research data issued by LERU.

The conference provided, further, the opportunity to bring together and present the work of **four projects funded by the European Commission** and dedicated to promoting the uptake of open access in Europe at the level of e-infrastructures, policies and people. OpenAIRE, the European e-infrastructure for scientific information presented its work and the new platform to be launched. Emphasis on integrating research data and publications, especially stemming from FP7 and Horizon 2020 funding are at the core of its operation. Developing policy recommendations for research data is the aim of the RECODE project, while policy alignment along Member States and research institutions for open access policies is the aim of the PASTEUR4OA project, a successor project to MedOANet. Finally, FOSTER presented the layout of its work, aiming at activating and educating networks of people to potentiate open access, mostly based on the ‘training the trainers’ principle.

The presentations and rigorous discussion at the conference rendered very clear the fact that we are entering into **a new phase in the history of open access**. Institutions, funders and countries are gradually implementing policies, now for the greatest part mandatory. The question being asked has moved from whether open access is the principle way to go in communicating research to how best to implement and monitor open access policies, how to measure the uptake and the effects of open access as a systemic change in the research process, how best to integrate it organizationally, financially, technically and plan for the necessary changes.

**Open access in the context of ethics** was a recurring theme at the conference, especially with regard to open access to research data. Open access is integral to the research process and very close to the mission of researchers, for whom dissemination of the research results is essential. With regard to research data, access to the research data on which publications and conclusions are based should be obligatory and is a characteristic of responsible research practice; the European Commission will be requiring this in the upcoming pilot to research data.

**Open access publishing** frequently became the subject of discussion subsequent to the various presentations especially with regard to paying Author Processing Charges (APCs) to publish in open access. While the United Kingdom initially experimented with Gold open access as the main way to satisfy the open access mandates of the seven Research Councils,

the success of this experiment is yet to be evaluated. Meanwhile, elsewhere in Europe institutions are demonstrably unable to pay for APCs and for the greatest part do not have the relevant mechanisms in place. Discussion also focused around unfair hybrid publishing models and double-dipping, as well as on the fact that embargoes for publications in the Social Sciences and the Humanities should not exceed 12 months.

**Open Access is emerging as a catalyst that is transforming the scholarly communication system.** However, it became clear in the conference that such changes require time to become embedded in the working system and to become part of the daily routines of all stakeholders involved in the research ecosystem. Thus, while innovative and forward-looking policies developed at the top level are necessary, so are actions that support the culture change required at the level of researchers.

Dr Paul Ayris, President of LIBER, closed the conference by highlighting the potential of open access to pave new waves in research by enabling new techniques such as text and data mining and other ways of computationally enabled research. In this, the unique role of the research libraries, especially with regard to research data management, also emerged.

- [www.openaccess.gr/conference2013](http://www.openaccess.gr/conference2013) for videos and presentations
- [www.medoanet.eu](http://www.medoanet.eu) for all MedOANet deliverables, project activities, and the Open Access Tracker

## October 17<sup>th</sup>: Conference Day 1

### MedOANet in Context: Project Accomplishments

#### Presenters

- Evi Sachini, Director, National Documentation Centre (EKT/NHRF)
- European Commissioner for Research, Innovation and Science, Máire Geoghegan-Quinn (Videotaped Message )
- Jean-Francois Dechamp, Policy Officer, Directorate-General for Research and Innovation, European Commission
- Victoria Tsoukala, National Documentation Centre (EKT/NHRF) / Coordinator MedOANet

**Dr Evi Sachini, Director of the National Documentation Centre** opened the conference and welcomed the participants. She provided an overview of the role of the National Documentation Centre, the national organisation charged to aggregate, preserve and disseminate the research produced in Greece and its long journey in the international arena of open access. She contextualised the organization's important current open access activities both at the level of policies and e-infrastructures and provided an overview of the open access conferences organised by EKT, leading to the present, third international conference since 2008.

**Knowledge must circulate. The more it circulates, the more it increases**

**Dr. Evi Sachini, Director, National Documentation Centre**

**Maire Geoghegan-Quinn, the Commissioner for Research, Innovation and Science,** opened the Conference with a videotaped message. The Commissioner stressed the

significance of open access in contributing to innovation and strengthening our knowledge-based economy and the fact that Open Access has reached a tipping point with around 50%

**“Open Access is here to stay”**

**Commissioner for Research, Innovation and Science,  
Maire Geoghegan-Quinn**

raising among policy makers and a high level of coordination of OA policies at regional and national level. The Commissioner highlighted the significance of making available in open access the results of research published in languages other than English for the integration of this scholarship in the international research arena.

of scientific papers published in 2011 globally now available online for free.

She hailed the MedOANet project for achieving a high level of awareness-



**Dr Jean-Francois Dechamp, policy officer in DG Research and Innovation of the European Commission and supervising officer of MedOANet** presented the European Commission’s policies on open access in Horizon 2020. Dr Dechamp stressed that open access will be obligatory and will be provided through self-archiving in repositories for all publications resulting from Horizon 2020 funding. A pilot for

**J.F. Dechamp: Metrics for measuring impact and Text and Data Mining are some of the biggest challenges ahead for #OA @MedOANet #OAconf13**

open access to research data on which publications are based will also be launched. Dr Dechamp underscored the overall positive global trend for open access that is shaping with initiatives such as the Global Research Council where the EU is involved and the G8 joint statement in support of Open Access. He identified major challenges, such as monitoring the implementation of open access mandates, developing reliable metrics to measure success of open access in various areas and developing legal and other solutions that will enable Text and Data Mining of openly accessible scholarship. Finally, he discussed MedOANet's significant contributions in pushing forward the agenda for open access policy development and coordination in the Mediterranean countries involved in the project.

**Dr Victoria Tsoukala, coordinating person of MedOANet,** run the audience through the main results of the project. MedOANet comprised activities aimed at national and

**“Self-archiving is the most appropriate means for implementing open access mandates in the countries of Mediterranean Europe”**

**Victoria Tsoukala, National Documentation Centre/Coordinating person, MedOANet**

regional coordination. The project run surveys that provided a thorough mapping of the open access ecosystem in the six countries involved in the project and created expert centers responsible for

the promotion of OA in their respective countries. Through workshops and policymaker engagement activities, each of the partners intensified the flow of information to policymakers in the six Mediterranean countries. The project developed the Open Access Tracker, an online tool that draws data on policies and open access initiatives in the six countries from established international registries, thus creating a profile for each country. Finally, the project developed guidelines for the development of open access policies among research funders and research performing organizations. Dr Tsoukala underlined the fact that the project supports self-archiving, as the most appropriate means for implementing open access mandates in these Mediterranean countries on account of the benefits of self-archiving for the research institutions and researchers themselves, as well as because all countries possess to a large extend the relevant e-infrastructures.

Dr Tsoukala concluded that a lot has been done in terms of raising awareness and developing guidelines for open access, work to which MedOANet has contributed significantly, and that work from now on needs to focus on fine-tuning the implementation

of open access on the basis of the requirements of the relevant recommendation by the European Commission and Horizon 2020.



# Implementing National Policies for Open Access to Scientific Information: the National Perspectives

## Presentations and Roundtable Discussion

### Participants:

- **Eleni Stavrianoudaki, General Secretariat for Research and Technology, Athens**
- **Juan Carlos De Martin, Associate Professor/NEXA Center for Internet and Society, Politecnico di Torino, Italy/Faculty Fellow, Berkman Center for Internet and Society, Harvard University**
- **Vasco Vaz, Information Society Department, National Foundation For Science and Technology, Portugal**
- **Clara Eugenia Garcia, Deputy Director, Planning and Monitoring, Ministry of Research, Development and Innovation, Spain**
- **Michel Marian, Ministry of Higher Education and Research, France**

**Session Chair: Victoria Tsoukala, National Documentation Centre/Coordinator, MedOANet**

The second session of the first day focused on the development and implementation of open access policies in the Mediterranean countries involved in the project. Its aim was to highlight the different strategies adopted by the countries in policy development. Panellists comprised representatives of the organisations designated as national reference points for monitoring the implementation of the EU's Recommendation on Scientific Information.

**Eleni Stavrianoudaki of the Greek General Secretariat for Research and Technology** discussed the initiatives of GSRT regarding promoting the adoption of open access in Greece, including a new law that is under way, which will mandate open access for publicly funded research through self-archiving in institutional repositories.

**Juan Carlos De Martin, Associate Professor/NEXA Center of Internet and Society and Faculty Fellow, Berkman Center for Internet and Society** highlighted the significance of EU-funding in Italy, and therefore the high influence of the EC as a funder who sets the rules, when it comes to open access. Italy, as most countries, is generally in favor of open access and advanced in repositories that are nowhere near full. A new law was passed in Italy in the summer and early fall of 2013. It requires Green open access and allows extended embargo periods of 18 to 24 months. While the money for research derives from the Ministry of Research, the law that includes an open access clause came from the Ministry of Culture. Beyond the rules imposed by funders and institutions, Prof De Martin underlined the significance of a bottom-up approach in terms of promoting the uptake of open access. Open Access is truly close to researchers' mission, which is to maximize the dissemination of their research. Discussing with the researchers helps them formulate this intrinsic motivation that will lead to the long-term success of open access. Prof De Martin highlighted the low levels of awareness around research data and long term preservation in his country.

**Vasco Vaz, of the National Foundation for Science and Technology (FCT)**, the main funder of research in Portugal, presented the current situation regarding open access in his country and the open access policy proposal by FCT. Mr Vaz presented a country whose performance in open access stands out among the Mediterranean countries: Portugal has advanced in terms of repositories, so that all Portuguese Universities now possess one, along with a federated aggregator

(RCAAP) and repository service provider and e-journal services. The proposal by FCT is for a mandatory open access policy via deposit in any of the

**“Portugal is sufficiently mature for the adoption of a mandate towards the availability in OA of research results obtained through public funding”**

RCAAP repositories of peer-reviewed publications stemming as a result of a partial or full financial support by FCT, and will encourage open access to research data. The public consultation for the policy ended at the end of July 2013.

**Vasco Vaz, National Foundation for Science**

**Clara Eugenia Garcia, Deputy Director of Planning and Monitoring, State Secretariat for Research and Innovation, Ministry of Economic Affairs and**

**Competitiveness, Spain** presented the open access landscape in her country; Spain, along with Portugal is well advanced in terms of open access infrastructures, and increasingly so in policies; more than 80% of the universities in Spain possess institutional repositories and a national federated harvester and repository evaluation service exists. An article in the national law of 2011 on Science, Technology and Innovation, mandates open access through repositories for publicly funded research. The challenge now is to implement the 2011 article on open access and to coordinate the diverse efforts taking place in the country, including the development of the relevant regulations at the level of the regional governments.

**Michel Marian, of the Ministry of Higher Education and Research in France,** indicated that the country committed itself to providing open access to publicly funded research according to the Recommendation of the European Commission already in January 2013, through the Minister of Higher Education. France has progressed significantly in terms of e-infrastructures for open access, already having developed a centralized repository for French research, HAL, which contains more than 200.000 full text openly accessible documents. Open access in France is promoted mainly through the Digital Library of Science, which brings together the most important actors at the level of policy and infrastructures. France is stressing the significance of the multitude of ways for open access, while assuming the Green road as a priority in the plan of actions.

In the subsequent discussion panellists stressed that there is an apparent progress with regard to open access and that the time is ripe for the development and implementation of policies. Institutional and national mandates are slowly being taken up, but also the biggest challenges lie in the implementation of the policies. Open access entails a culture change for researchers and thus raising awareness from the bottom up is very significant as well.

# Implementing Open Access Policies for Research Funding Organisations

## Presentations and Roundtable discussion

### Participants:

- **Grete Kladakis, Head of Division, Ministry of Science, Innovation and Higher Education, Denmark**
- **Neil Jacobs, Programme Director, Digital Infrastructure, JISC**
- **Patricia Clarke, Senior Policy Analyst, Health Research Board, Ireland**
- **Jean-Claude Kita, Senior Officer, Fund for Scientific Research (FNRS), Belgium**

### Session Chair: Neil Jacobs, Programme Director, Digital Infrastructure, JISC

**Grete Kladakis, Head of Division at the Ministry of Science, Innovation and Higher Education in Denmark** sketched out the Danish open access landscape. Denmark has a small research community which is though very well represented in highly established publications. The five research councils of Denmark have a joint best effort open access policy, in which most private funders are also interested in participating. Most of the eight Danish universities have an open access policy and all have repositories. The Danish ministry has a joint information system to collect and publish all research outputs from Universities that are rewarded with supplementary funding to encourage deposit. There has not been an official national policy primarily because major funders and universities are already implementing OA favoriting Green OA. Solutions are being sought for Gold OA in a way that doesn't obstruct researchers' career paths but also doesn't redirect funding from research to publishing.

**Neil Jacobs, Jisc's Digital Infrastructure Programme Director**, highlighted the dual approach currently followed in the UK by the Research Councils on the one hand and the [Report on the MedOANet European Conference](#) • Athens, 17 and 18 October 2013

Funding councils on the other. The first ones, fund projects and have chosen to support the

**“Monitoring of compliance will in practice scale up over time”**

**Neil Jacobs, Programme Director, Digital Infrastructure**

Gold road through their policies, while the Funding Councils fund institutions and support the Green road. One year has passed since the mandatory Gold open access policy of the seven Research

Councils, and information on its uptake is eagerly awaited. The Funding Councils launched a consultation that favors Green open access policy but justifies expenses for APCs. The Research Councils, by contrast, allocated block amounts for APCs to British Universities. The UK stands out in terms of the availability of policies among public, as well as private funders. More work is necessary on the improvement of the systems that support the policies, to improve their efficiency and avoid repeatedly asking for the same information out of researchers. Further, effort is necessary for monitoring compliance and measuring the success of implementing those policies.

**Patricia Clarke, Senior Policy Analyst at the Health Research Board in Ireland**

reported on the consensus achieved in her country in setting a common national agenda for open access. Ireland is country with significant progress at the level of repositories, as well as that of open access policies at the individual funding agency and research institution level.

In 2013 the country moved to adopt national open access principles, the signatories for which were the major funders, research universities and institutions of the country via a National

**Graham Steel @McDawg: +1000  
"Hybrid #openaccess model rejected for double dipping reasons"**

Steering Committee for Open Access. The consultation for the national principles took three months. The policy principles favour the Green route to open access and Dr Clarke expressed satisfaction that compliance is steadily growing; they reaffirm researcher freedom, the desire to increase the visibility of and access to Irish research, the support for international interoperability, facilitation of teaching and learning and open innovation. Emphasis was also placed on the development of e-infrastructures, advocacy and coordination, exploiting open access and having sustainable solutions long-term.

**Jean-Claude Kita, Senior Officer at the Fund for Scientific Research** which is the main

organisation in Belgium funding basic research at community level. Since the introduction of

open access in 2002 there has been a rapid adoption of open access in the country. There are three major institutional repositories with very strong open access policies providing incentives and sanctions to ensure compliance for the deposit of publications. The Green route is the main path followed in Belgium as well. In 2013 FNRS proceeded into a strong open access mandate with a self-archiving requirement for all research funded by the institution. Overall progress and compliance are deemed satisfactory with some major challenges still lying ahead like the evaluation process in the Green route, how to pay for open access, how to fund a fair Gold model and how to deal with open access in the Humanities and Social Sciences.



## Building Capacity for Open Access in Europe: e-Infrastructures, Policies and People

### Presentations

#### Participants:

- **Birgit Schmidt, Goettingen State and University Library, University of Goettingen**
- **Rachel Finn, Associate Partner, Trilateral Research/Coordinator RECODE**
- **Eloy Rodrigues, Director of Documentation Services, University of Minho**
- **Victoria Tsoukala, National Documentation Centre(EKT/NHRF)/Coordinator, PASTEUR4OA**

**Session Chair: Prof. Yasar Tonta, Department of Information Management, Hacettepe University**

The session focused on EC-funded projects, either ongoing ones or newly approved ones, aiming at contributing to Europe-wide coordination of policies, to providing researcher and other stakeholder education on open access, as well as providing a Europe-wide e-infrastructure for scientific information. These projects, individual, yet intertwined in their focus and activities and working in synergy, demonstrate a great potential to contribute efficiently to the uptake of open access in Europe.

**Birgit Schmidt of the Göttingen State and University Library, University of Göttingen** discussed the role of OpenAIRE (Open Access Infrastructure for Research in Europe - [www.openaire.eu](http://www.openaire.eu)) in providing a large scale e-infrastructure for Open Access in FP7 and in Horizon 2020. Dr Schmidt provided an overview of the background to the project, the services that the e-infrastructure offers, the user groups, how different stakeholders can get involved, as well as the project's future developments. OpenAIRE is based on openness through its participatory design and the development of practices and standards together with communities: OpenAIRE provides open access to research publications funded through FP7 and Horizon 2020. It helps the stakeholders through easy workflows, by reducing the administrative burden and the discovery and (re)use of content and by linking publications

& research data. The infrastructure is facilitated by the OpenAIRE Guidelines that work as the glue for repository interoperability and by the data curation services. Birgit Schmidt also emphasized the human support network, created by linking institutional, national and European stakeholders and promoting policies and practices that lead to change of behavior and infrastructures for Open Access. The project, now in its second phase (OpenAIREplus), will provide support for the integration of research data in the OpenAIRE infrastructure and for the pilot planned in H2020.

**Rachel Finn of Trilateral Research and Consulting and Thordis Sveinsdottir of the University of Sheffield**, presented the RECODE project, coordinated by Trilateral ([www.recodeproject.eu](http://www.recodeproject.eu)) and focusing on research data. The project leverages existing networks, communities and projects to address challenges within the open access and data dissemination and preservation sector and produce policy recommendations for open access to research data based on existing good practices. The RECODE project's main objectives are to reduce stakeholder fragmentation, to identify stakeholder values and inter-relations, to identify gaps, tensions & good practice solutions, to evaluate grand challenges using five case studies and finally to produce policy guidelines. Specific research communities in the Archaeology, Bioengineering, Environmental research, Health and Clinical Research, Particle Physics and Particle Astrophysics fields have been selected to work with in understanding the particularities of different fields with regard to research data and providing open access to it.

**Eloy Rodrigues, Director of Documentation Services of the University of Minho** discussed the FOSTER project (Foster Open Science Training for European Research - [www.fosteropenscience.eu](http://www.fosteropenscience.eu)). The project will deliver training programmes for researchers and other stakeholder groups, as well as "training the trainers" workshops to assist the various stakeholder groups in complying with Open Access in the context of the European Research Area (ERA). FOSTER will support different stakeholders, especially young researchers, in adopting open access and in complying with the open access policies and rules of participation set out for Horizon 2020. It will help them integrate open access principles and practices in their current research workflow and strengthen institutional training capacities in achieving compliance with the open access policies of European Commission and Horizon 2020 rules (beyond the FOSTER project). Finally, it will facilitate the adoption, reinforcement and implementation of open access policies by other European funders, in line with the EC's Recommendation.

**Victoria Tsoukala of the National Documentation Centre** introduced the PASTEUR4OA project ([www.pasteur4oa.eu](http://www.pasteur4oa.eu)), a follow up project of MedOANet, aimed at scaling up policy coordination for Open Access in Europe and at expanding the geographical spread of countries represented previously in MedOANet to include countries from Eastern Europe. PASTEUR4OA (Open Access Policy Alignment Strategies for European Union Research) will engage research funder and research performing institution policymakers across Europe to contribute towards open access policy alignment along the requirements of the European Commission. It will do so by developing a network of expert organisations in Member States, a Knowledge Net, that will assist locally with advocacy activities. Aim of the project is to help increase compliance to the Horizon 2020 rules and to contribute to the development of coordinated national, funder and institutional policies among Member States according to the requirements of the 2012 EC Recommendation on Access to, Dissemination of and Preservation of Research.



## October 18<sup>th</sup>: Conference Day 2

### Open Access and the European Research Area

#### Welcome Addresses

- Christos Vasilakos, General Secretary for Research and Technology, Greece
- Vasilis Gregoriou, Director, National Hellenic Research Foundation, Greece

#### Key note speech

- Octavi Quintana-Trias, Director "European Research Area", Directorate-General for Research and Innovation, European Commission

#### Presentations/Roundtable discussion

##### Participants:

- Sijbolt Noorda, President, Academic Cooperation Association (ACA)/European University Association (EUA)
- Paul Ayris, Director of UCL Library Services & UCL Copyright Officer, President of LIBER (Association of European Research Libraries)/League of European Research Universities (LERU)
- Stephan Kuster, Head of Policy Affairs, Science Europe

**Session Chair: Jean-Francois Dechamp, Policy Officer, Directorate-General for Research and Innovation, European Commission**

The morning session examined the state-of-the-art with regards to OA from the European perspective. Invited speakers represented major stakeholder groups, i.e. the European University Association, the League of European Research Libraries and Science Europe.

**Dr Vassilis Gregoriou, President of the National Hellenic Research Foundation and Dr Christos Vassilakos, Secretary General for Research and Technology** each addressed a welcome speech. Dr Vassilakos referred to the central role of the General Secretariat for Research & Technology (GSRT), the main Greek research funder of public research centers and competitive funder, and policy design institution, in implementing the European Commission's [2012 Recommendation on Access to and Preservation of Scientific Information](#). Dr. Gregoriou discussed the significant role of the National Hellenic Research Foundation, founded in 1958, in promoting research in Greece. In particular he discussed the fact that the institution is at the forefront of developments with respect to open access, and the fact that it is considering adopting an open access policy based on the MedOANet model policy.

**Dr Octavi Quintana-Trias, Director of the European Research Area, Directorate-General for Research and Innovation, European Commission** discussed the role of Open Access in the ERA. He confirmed the Commission's steady support of open access and said that the discussion has shifted from whether open access needs to happen to how to make it happen. Open access is an EU "*acquis*" and it offers a way to achieve better science, improve knowledge, competitiveness and growth. Researchers & knowledge should circulate freely and the systems should be interoperable. Horizon 2020 will support both Green and Gold roads to open access. Data management plans should become an integral part of every project, although they can significantly add to the costs of project -this will be a new area to be explored within H2020 within a pilot, said Dr Quintana-Trias, who concluded that a new culture of sharing data needs to emerge.

**Dr Sijbolt Noorda from the European University Association and Academic Cooperation Association** stressed the fact that open access brings added value to scientific research, but to fully embrace the benefits of open access, modernisation is required across the board among all stakeholders -the publishing industry, universities, libraries and the research practice. Some proposals made by Dr Noorda for innovating the sector were that research funders should include the cost of open access to peer reviewed publications in their arrangements, and that institutions should be paying for lower fees to publish, if they are already paying for access to the publications, and the other way around. All stakeholder categories should overcome the uncertainty and the wrong assumptions and find a doable way ahead. He finally stated that an international roadmap should be created.

**Dr Paul Ayris, Director of UCL Library Services & UCL Copyright Officer, President of LIBER (Association of European Research Libraries)/League of European Research Universities (LERU)**, highlighted the fact that Horizon 2020 provides a significant opportunity for Libraries to reinvent themselves and that libraries and universities should partner to entertain a major role in the overall European research infrastructure of H2020 and in the available 70 billion euros earmarked for research. He mentioned the LERU proposed roadmaps to open access publications and to research data, which offer useful guidance for universities to embed open access in their operations and that LERU and LIBER will work further on aligning strategies across the institutions they represent.

A large scale survey on open access carried out by Science Europe among its members, mainly research funders and research performing organisations presented by **Mr Stephan Kuster, Head of Policy Affairs**, revealed a growing adoption of open access with 2012 being a turning point, since there were a lot of EU-related developments in the field. A minority of institutions, however, have processes in place (42%) for paying Open Access Processing Charges. Science Europe has issued a set of common principles for the transition to Open Access of Research Publications, where the Gold road is supported with embargoes not exceeding 12 months for social sciences and humanities and with a strong statement against unfair hybrid publishing models and double-dipping. In general, research publications should either be published in an Open Access journal or be deposited as soon as possible in a repository, and made available in Open Access in all cases no later than six months following the first publication.



## Implementing Open Access Policies among Research Performing Institutions

### Presentations

#### Participants:

- Eloy Rodrigues, Director of Documentation Services, University of Minho
- Elena Giglia, Open Access Coordinator, Università degli Studi di Torino
- Andras Holl, Informatics Adviser, Hungarian Academy of Sciences
- Vasso Kalaitzi, National Documentation Centre (EKT/NHRF)

#### Session Chair: Eloy Rodrigues, Director of Documentation Services, University of Minho

The last session of the Conference centred on policies implemented by Research Performing Organisations.

**Eloy Rodrigues, Director of Documentation Services at the University of Minho,** presented interesting findings from the UMINHO's experience in implementing an open access policy. The University's advanced open access policy (all researchers are required to deposit into RepositoriUM, the University's open access repository, a copy of all peer reviewed publications dated after Jan 2011)

is accompanied with services for the researchers, integrated in the University's workflow. As of the following year the only source of information for internal assessment and evaluation of researchers

**+1 E.Rodrigues: institutional repositories success factors: 1. mandate (the stick), 2. services (the carrot), 3.support #OAconf13 #medoanet by @evamen**

will be the RepositoriUM who has had 2m downloads this year only, with large traffic also coming from a wider public. The institutional repository is the "window of the University to the society" said Eloy Rodrigues. He added that, interestingly, downloads increase steadily as depositing delay decreases. Eloy Rodrigues stressed the importance of working both on advocacy and on enforcement, on "the carrot and the stick" as he said.

**Elena Giglia, Open Access Coordinator, Università degli Studi di Torino** discussed the 3-year experience of developing the University of Turin's institutional policy on OA which was adopted over the summer. She emphasized that it is important to talk to the different stakeholders- the rectors, the publishers, the researchers in their own language for convincing them about the importance of open access. Additionally, the development of services the faculty needs makes them deposit more willingly, and in particular the provision of statistics about downloads, usage, etc. According to Art.4 of the mandate, in order to be eligible for evaluation, all research products have to be accompanied by their own Open Access version. That version, as allowed by the publisher and after the embargo period stated in the SHERPA-RoMEO database, must be deposited in the institutional repository, AperiTO. Ms. Giglia also stated that there is a strong linkage between Open Access deposit and internal research evaluation.

**Andras Holl, Informatics Adviser, Hungarian Academy of Sciences** presented the "Open Access Mandate of the Hungarian Academy of Sciences", the historical background, and the present open access landscape in Hungary. The existing policy of the Hungarian Academy of Sciences was reviewed and a mandate has been effective since the beginning of 2013. It is a rather strong mandate, detailed, with interpretation/explanation, it includes provisions for monitoring (MTMT, where all publications should be recorded) and enforcement (research centres, institutions are responsible). The results of the first year of implementation are keenly awaited for the evaluation of the policy.

**Vasso Kalaitzi, National Documentation Centre (EKT/NHRF)** presented the MedOANet Guidelines for Implementing Open Access policies for Research Performing Organisations. These Guidelines are a set with the guidelines for research funders, both comprising a deliverable of the project. The main guidelines include major steps in the process of policy development, important points to consider in developing a policy, a model open access policy and good practices. The online and printed editions can be found in 7 languages: English, Greek, Italian, French, Portuguese, Spanish and Turkish. Particular attention was paid to the model policies, offering research and funding institutions an example of how to word their policies and what points to include.

In the discussion that followed the "contaminating" effect of having an institutional policy in place was discussed -experience shows that once an institution adopts a policy, others follow more willingly. Some factors for the successful adoption and implementation of OA

were raised; linking evaluation of researchers with compliance, developing a mandate with no exceptions and offering value-adding services to the academic community were some of them. On a more technical level, developing reliable services, for example, having in place persistent identifiers for authors and objects was considered important.

