

**Open Access Policy Development:
Current Status and Emerging
Trends**

Heather Joseph

Executive Director, SPARC

**Workshop on the Development of Open
Access to Research Policies**

Colombo, Sri Lanka

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In this Session:

- **How to begin framing the development of an Open Access policy;**
- **Examine where/how/when policies have emerged around the world;**
- **Look at commonalities in policy structure and elements;**
- **Examine example of a successful policy, and what outcomes it has achieved.**

**Need to create a policy framework
that supports all stakeholders in
a transition to an Open Access
system of communicating
research results.**

**How do we move from Open
Access as a *concept* to Open
Access as a *policy*?**

Start with the Definition.
We know *What* we want to do...



“By open access, we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search or link to the full text of these articles, crawl them for indexing, pass them as data to software or use them for any other lawful purpose...”

- The Budapest Open Access Initiative – February 14, 2002

www.boai.org

Open Access = Access + Reuse

**...our goals remind us *Why* we
want to do this;**

“Removing access barriers to this literature will *accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity* in a common intellectual conversation and quest for knowledge.”

Budapest Open Access Initiative – February 14, 2002

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**...and if we begin to think about
goals with increasing
specificity...**

**...we can begin to define *How* we
want to get there.**

Governments would boost innovation and get a better return on their investment in publicly funded research ***by making research findings more widely available....*** And by doing so, they would maximize social returns on public investments.”

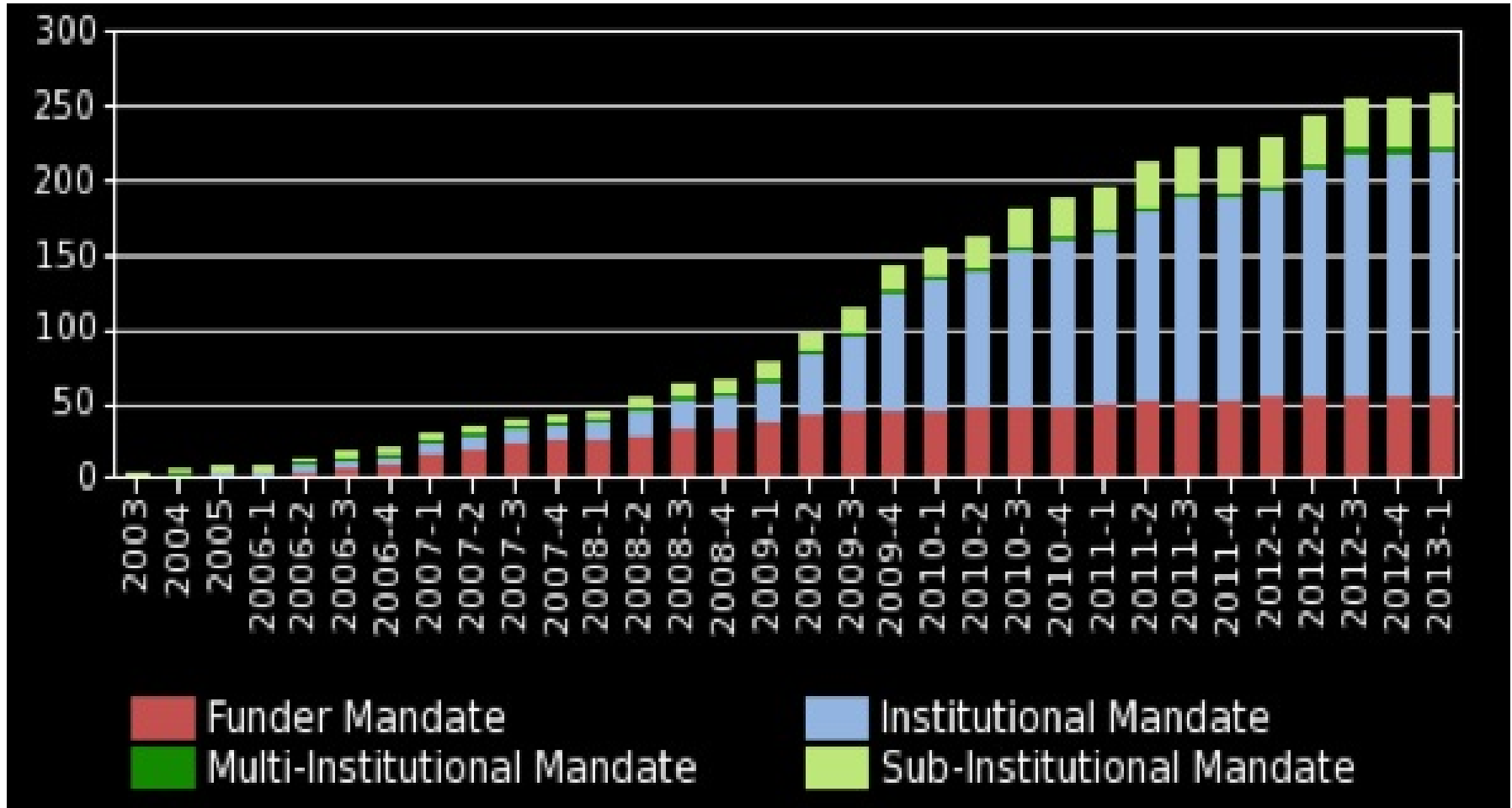
-- International Organization for Economic Cooperation and Development, Report on scientific publishing, 2005

Since 2002, Local, National and International Institutions worldwide have begun to develop and refine effective policies to achieve Open Access.

Important OA Policy “Firsts”

- **First one:** School of Electronics & Computer Science, University of Southampton, UK (2002)
- **First whole-institution one:** CERN (2003)
- **First whole-university one:** Queensland University of Technology, Brisbane, Australia (2004)
- **First funder:** Wellcome Trust, UK (2005)
- **First public funder:** 4 UK Research Councils (2006)
- **First Southeast Asian one:** National Institute of Technology, Rourkela, India (2006)
- **First U.S. Funder:** National Inst. of Health, (2008)

Open Access Policies Worldwide



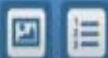
11 Years of Steady Growth

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Policies are from very different types of organizations, from all around the world, yet all share important commonalities.

Common Policy Elements

- **Most require researchers to make articles reporting on their work openly accessible via an open digital repository.**
- **Some also support publication of articles in Open Access Journals as form of compliance;**

Common Policy Elements

- **Many employ an embargo period of delaying public access for 6-12 months after an article's publication**
- **All require sufficient rights be reserved by authors to enable deposit in an open digital repository.**

**Most Common Form of Policy is
*Deposit/Permission Mandate.***

THE LERU ROADMAP TOWARDS OPEN ACCESS

LERU OPEN ACCESS WORKING GROUP

LEAGUE OF EUROPEAN RESEARCH UNIVERSITIES

Universiteit van Amsterdam - Universitat de Barcelona - University of Cambridge - University of Edinburgh - Albert-Ludwigs-Universität Freiburg - Université de Genève - Ruprecht-Karls-Universität Heidelberg - Helsingin yliopisto (University of Helsinki) - Universiteit Leiden - Katholieke Universiteit Leuven - Imperial College London - University College London - Lunds universitet - Università degli Studi di Milano - Ludwig-Maximilians-Universität München - University of Oxford - Université Pierre et Marie Curie, Paris - Université Paris-Sud 11 - Université de Strasbourg - Universiteit Utrecht - Universität Zürich

LERU Roadmap Towards Open Access

- **Presents background and case for OA**
- **Describes “green” and “gold” routes**
- **Explains how Open Access can be achieved through either/both of these routes.**

http://www.leru.org/files/publications/LERU_AP8_Open_Access.pdf

Number of Active Policies Worldwide

• Institutional/University Mandates:	168
• Sub-institutional mandates:	37
• Multi-institutional mandates:	4
• <u>Funder mandates:</u>	<u>80</u>

TOTAL policies: 289

Example: U.S. National Institutes of Health Public Access Policy

**The U.S. National Institutes of Health
funds ~\$30 billion U.S. in basic and
applied biomedical research each
year.**

This represents fully one-half of the U.S. total \$60 billion annual investment in scientific research.

**NIH leadership wanted to share
results of its research quickly
and widely.**

Proposed the following policy:

“The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit to the National Library of Medicine's PubMed Central an *electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication.*”

**Policy Requirements are Not
Complicated...**

**But Outcomes Have Been
Substantial.**

NIH Policy Outcomes

- **More than 2.5 million full text articles are now available through agencies repository.**
- **More than 700,000 unique users access those articles - *every day*.**
- **More than 2/3rds of the users come from outside of the academic community.**
- **Over 80% of eligible researchers comply.**
- **Policy is cost effective – less than 1/100th of 1% of NIH's overall operating budget.**

Another Notable Outcome...

**New Legislation and Executive
Directive Supporting Expansion of
Policy to All Other U.S. Federal
Science Agencies Proposed.**

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Expanding Public Access to the Results of Federally Funded Research

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Posted by [Michael Stebbins](#) on February 22, 2013 at 12:04 PM EDT[E-Mail](#) [Tweet](#) [Share](#) [+](#)

The Obama Administration is committed to the proposition that citizens deserve easy access to the results of scientific research their tax dollars have paid for. That's why, in a policy memorandum released today, OSTP Director John Holdren has directed Federal agencies with more than \$100M in R&D expenditures to develop plans to make the published results of federally funded research freely available to the public within one year of publication and requiring researchers to better account for and manage the digital data resulting from federally funded scientific research. OSTP has been looking into this issue for some time, soliciting broad public input on multiple occasions and convening an interagency working group to develop a policy. The final policy reflects substantial inputs from scientists and scientific organizations, publishers, members of Congress, and other members of the public—over 65 thousand of whom recently signed a *We the People* petition asking for expanded public access to the results of taxpayer-funded research.

To see the new policy memorandum, please

visit: http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdfGIVE FEEDBACK
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Proposed Legislation:
***“The Fair Access to Science and
Technology Act”***

- Covers *final manuscripts* accepted for publication in a peer-reviewed journal.
- Requires deposit in a *stable digital repository* that ensures free access, interoperability, and long-term preservation.
- Requires free public access *no later than six months* after publication.
- Requires that agencies ensure manuscripts are available *in forms and under license terms that enable productive reuse* of content.

“If public funds are used to support research, the public is entitled to access the results of that research.”

**Example in Europe:
The European Commissions FP7
Open Access Pilot Project**

“The Commission objective is to optimize the impact of publicly-funded scientific research, both at European level and at Member State level. This is essential for Europe's ability to enhance its economic performance and improve the capacity to compete through knowledge. One way to get there is open access...”

“Results of publicly-funded research can therefore be disseminated more broadly and faster, to the benefit of researchers, innovative industry and citizens. Open access can also boost the visibility of European research, and in particular offer small and medium-sized enterprises (SMEs) access to the latest research for utilization.”

European Commission Pilot Project Open Access (2008)

- **Mandatory (i.e., “non-policed” mandate on 20% FP7 research)**
- **Requires deposit into local repositories**
- **Papers harvested by OpenAIRE (Commission-funded repository)**
- **Requires 6-12 month embargo**
- **Permits payments for ‘Gold’ OA**

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Objectives

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OpenAIRE's three main objectives are to

- i. **build support structures** for researchers in depositing FP7 research publications through the establishment of the European Helpdesk and the outreach to all European member states through the operation and collaboration of **27 National Open Access Liaison Offices**;
- ii. **establish and operate an electronic infrastructure** for handling peer-reviewed articles as well as other important forms of publications (pre-prints or conference publications). This is achieved through a portal that is the **gateway** to all user-level services offered by the e-Infrastructure established, including access (search and browse) to scientific publications and other value-added functionality (post authoring tools, monitoring tools through analysis of document and usage statistics);
- iii. work with several subject communities to *explore* the requirements, practices, incentives, workflows, data models, and technologies to deposit, access, and otherwise **manipulate research datasets** of various forms in combination with research publications.

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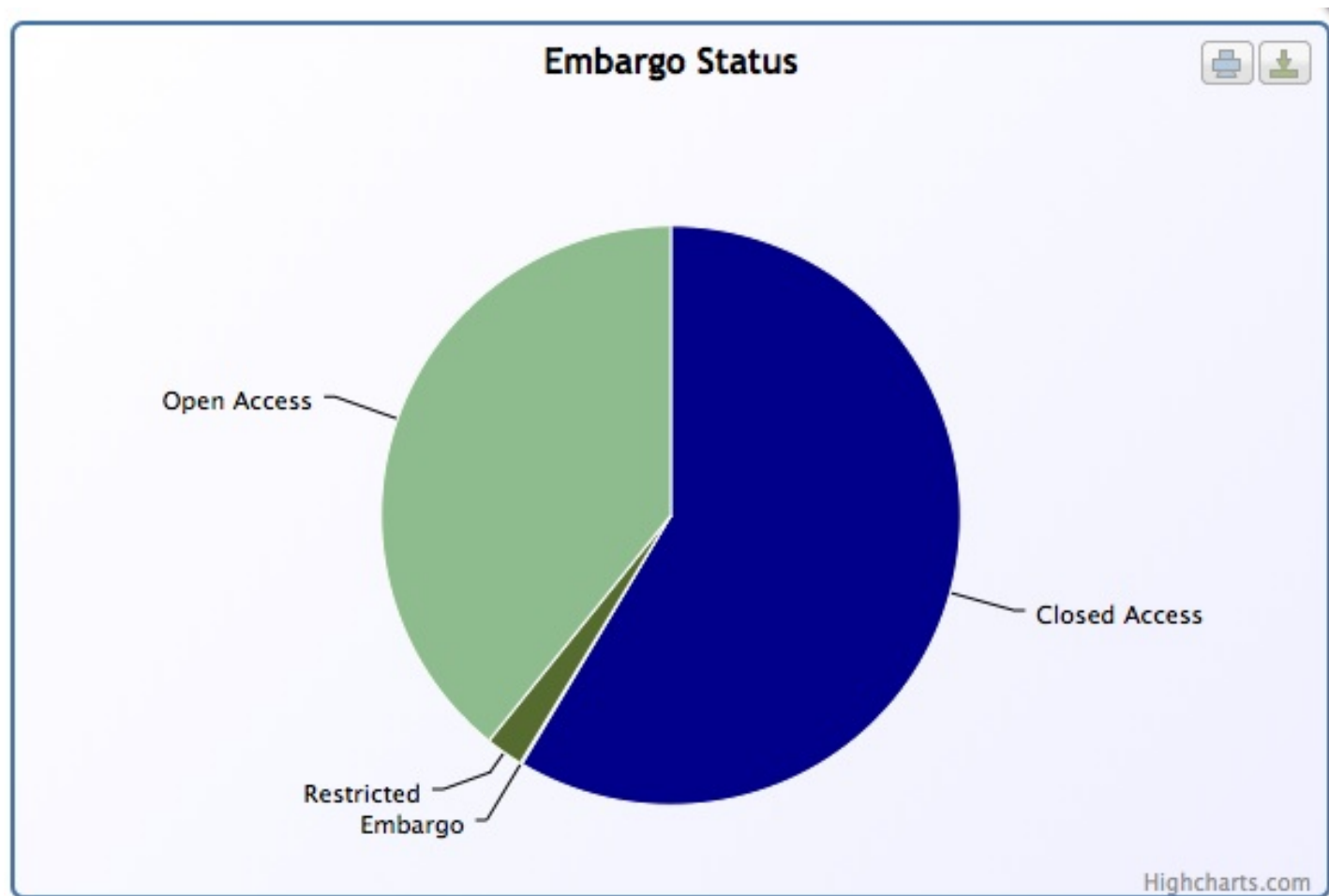
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OpenAIRE

- **Open Database of EU-funded work (so far, from the FP7 programme)**
- **Total number of publications from FP7 projects: 41472**
 - **Open Access articles: 16204**
 - **Articles in embargo period: 25144**
 - **Closed access: 24299**

OpenAIRE: status of articles



European Commission is currently negotiating language to expand this pilot to cover 100% of its funded research in the Horizon 2020 Program.

- **Growing number of policies with common approaches and elements provide framework for policy development.**
- **Data from established policies beginning to emerge, providing further guidance on policy implementation and refinement.**

Thank You

Heather Joseph
Executive Director, SPARC
21 Dupont Circle, Ste. 800
Washington DC 20036 USA
heather@arl.org
(202) 296-2296
<http://www.arl.org/sparc>