



Working together to promote open access policy alignment in Eastern Europe

Library and Information Centre, Hungarian Academy of Sciences, Budapest, Hungary
October 29-30, 2015

Over 50 research funders and representatives of research performing organizations from 15 countries (Austria, Belgium, Croatia, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Myanmar, Poland, Portugal, Romania, Slovakia, Slovenia and the UK) have met in Hungarian Academy of Sciences (Budapest) on October 29-30, 2015 to revisit the Horizon 2020 Open Access (OA) mandate, examine OA policy developments in Europe, and learn from the best practices in OA policy development and implementation at the national, funder and institutional levels. They have also discussed the importance of aligning national OA policies with the Horizon 2020 OA mandate.

All conference presentations are available here: <http://openaccess.mtak.hu/en/meeting-presentations>.

And as a result of the meeting research funders and research performing organizations in Eastern Europe were empowered to develop/fine-tune their OA policies aligned with the Horizon 2020 OA policy. OA policy developments in most of these countries are still in the early stages and the workshops created a good opportunity to catch up quickly with other EU countries, where OA policies are already a new norm in scholarly communication.

Some highlights from the Eastern European workshop presentations (in alphabetical order by the names of the countries)

László Lovász, the President of the Hungarian Academy of Sciences, opened the workshop reminding that the term “open access” was coined in Budapest in 2002 ([Budapest Open Access Initiative](#)) and called for a collective action of researchers, publishers and libraries to move on with OA policies development.

Croatia

Rectors Council has issued new recommendations strongly promoting OA and open science and suggesting a new look at research evaluation in the country – Jadranka Stojanovski, Rudjer Boskovic Institute and National Point of Reference (NPR) for OA in Croatia. An overview of OA infrastructure in Croatia is [here](#).

OA mandate at Ruđer Bošković Institute – Bojan Macan ([Slides](#)): On April 14th, 2015 the first

institutional OA mandate in Croatia has been adopted at the Ruđer Bošković Institute (the largest Croatian research institute):

- OA self-archiving mandate in Full-text Institutional Repository of the Ruđer Bošković Institute – FULIR (<http://fulir.irb.hr/>) that currently has >1,500 records with full-text (89% OA) and is OpenAIRE compatible (the first in Croatia), contains citation data from the Web of Science Core Collection, Scopus and InSPIRE-HEP and altmetric scores from Altmetric.com as well as usage statistics.
- It's mandatory to deposit the following digital copies of publications into the FULIR: journal articles and conference proceedings, book chapters, monographs and other book types, thesis, presentations and posters, learning materials, technical and other reports (accepted manuscripts or published versions) and OA should be ensured according to publishers' policies; the policy encourages authors to retain certain rights (using Author Addendum); deposition is required at the moment of acceptance for publishing and/or presentation date and there is a possibility for opting-out

Before the OA mandate has been introduced, 31% of researchers' journal articles were OA (in Croatia as a whole this figure was 44%).

Current challenges of the OA mandate implementation:

1. How to ensure researcher's compliance with the mandate? Some approaches: increasing awareness about benefits of OA; training and education of research staff; carrots and sticks methods: rewards for scientists/departments; promotion of researchers/research groups with the most OA records; only articles deposited in FULIR should be considered for internal research evaluation procedures.
2. Copyright issues: versions of publications to be archived into FULIR; importance of retaining certain rights: Copyright Transfer Agreements, Author Addendum and Creative Commons license.
3. Moving towards open research data: raise awareness among researchers; build infrastructure; provide support.

Czech Republic

OA policy at the Czech Academy of Sciences (CAS) – Martin Lhoták ([Slides](#)): The OA policy has been adopted in 2010 and requires deposit in the repository and make the best effort to provide OA via CAS OpenAIRE compatible repository. Currently 44% articles of CAS researchers are OA (published in 2012-2015).

CAS repository has been used in research assessment and evaluation exercise that covers a five year period – currently 2010-2014 and includes evaluation of selected research outputs (articles and books). CAS repository provides publications to referees.

Estonia

Support from the government and national Open Science consultation – Martin Eessalu, Ministry of Education and Research, Republic of Estonia ([Slides](#)): "OA should be made a prerequisite for research using public funding and OA policies should be aligned in EU," is the position of the government of Estonia. "Open Data developments are to be supported, but the investments in infrastructure have to

be weighed, and Open Data has to have clear added value. But OA should not be taken into account in career evaluation.”

Research, Development and Innovation strategy ‘Knowledge-based Estonia 2014-2020’ encourages OA to public-funded research results and research data /.../ and ensures access to the most important research databases.” For personal and institutional research funding: self-archiving is mandatory (Green OA), but article processing charges (APC) are also eligible costs.

Most scholarly journals in Estonia are OA and all Estonia Academy of Sciences journals are OA. These journals are subsidized by the government, not a single journal charges APCs.

There is no OA national policy document, but there is a layer of openness going through the R&D system. Estonian Research Council has issued draft OA policy recommendations, work in progress. And public consultations on Open Science Recommendations have been launched: <http://www.etag.ee/teadusagentuur/olulised-teemad-ja-dokumendid/avatud-teadus/> (English version is forthcoming).

Flexibility is one of the good practice recommendations: the researcher chooses the way of dissemination (gold or green). And in research assessment/evaluation the Journal Impact Factor is not taken into account.

Hungary

OA mandate at Magyar Tudományos Akadémia (MTA)/Hungarian Academy of Sciences – Gábor Makara, Sándor Soós, András Holl, MTA ([Slides](#)): OA mandate at Magyar Tudományos Akadémia (MTA)/Hungarian Academy of Sciences is the oldest and still the most efficient and the strongest OA mandate in the region with about 60% compliance rate in 2014.

MTA OA mandate (effective since January 1st, 2013) features:

- Deposit mandate for postprints or publishers PDFs in REAL (Repository of the Academy's Library), embargo possible, monitoring is a part of the OA policy;
- Support efforts: advocacy and helpdesk;
- Proposed amendment: longer embargoes for HSS (Hungarian language market is small!), waivers by the directors of institutes and research centers, CC BY NC ND license.

MTA OA policy for journal and book publishing grants:

- OA for journals: mandatory archiving either article by article or for the whole issue, OA with embargo possible – 1 / 2 years or 2 / 3 years;
- OA for books: deposit mandate with long embargoes (closed access is also possible).

Other national OA mandates in the country: Hungarian Scientific Research Fund (OTKA) mandate and state mandate for PhD theses. An overview of the OA policy landscape in Hungary is available in PASTEUR4OA [case study](#) and 2015 updates to MTA mandate are described [here](#).

Latvia

Open Science Agenda – Iveta Gudakovska, University of Latvia and NPR for Latvia: The Latvian EU Presidency in 2015 was a good impulse for the Ministry of Education and Science to start thinking

about OA policy and strategy. Policy debates in March 2015 (when EU Member States research ministers renewed Digital Single Market Strategy) resulted into the COMPET Council May conclusions “Towards open and data intensive research as a driver for faster and wider innovation” emphasising a strong support from many EU Member States to the idea of developing a European Open Science Agenda. The ministers highlighted the relation between Open Science and the Digital Single Market and called to reaffirm the broad political support from EU Member States for setting better framework conditions for data-driven research-based innovations. And the Council stressed the need to foster cooperation along the whole data value chain in Europe. The ministers have also recognized a need for further reflection on the current science metrics and incentives for researchers to publish in OA and noted the need to promote innovation driven by Text and Data Mining. They also welcomed the development of the European Science Cloud, and highlighted the importance of open standards, especially in the global research data exchange. Ministers underlined the importance of appropriate e-infrastructure and better coordination. The Council conclusions “Open, data-intensive and networked research as a driver for faster and wider innovation” have been adopted at the Conference OPENING UP TO AN ERA OF INNOVATION BRUSSELS on 22-23 June, 2015.

OA mandate at Riga Technical University (RTU) – Daina Ostrovskā ([Slides](#)): RTU OA policy has been ratified by the Vice-Rector for Research on 10 December, 2012 and requires that RTU researchers deposit their research articles published in peer reviewed journals, conference proceedings and books in the RTU Publication Register ORTUS as soon as possible after they have been published and, where copyright allows, made them publicly available at the RTU OA Repository (complying with publishers embargoes).

RTU uses its Research Information Management System <http://science.rtu.lv> (CERIF compliant, integrated with SCOPUS and ORCID) as an OA repository. Currently it includes 17,022 publications (4,391 are OA), 366 doctoral thesis (138 are OA), 457 patents and 10 commercialization proposals.

RTU also maintains an Open Journal Systems platform that hosts 12 OA journals and four conference proceedings with DOIs and authentication with ORCID.

Lithuania

The Lithuanian Research Council (RCL) OA policy discussions – Rūta Petrauskaitė, RCL ([Slides](#)): RCL is still drafting its OA and Open Research Data Policy and used this meeting as an opportunity to discuss the drafts with the audience: Green OA will be mandatory with 6/12 months embargo periods (sciences/social sciences and humanities) and support will be provided for Gold OA. Legal aspects of re-use and licensing will be addressed as well: search for and re-use of the content of published papers both manually and using automated tools (such as those for text and data mining) provided that any such re-use is subject to full and proper attribution and does not infringe any copyrights to third-party material included in the paper. RCL will require data management plans with strategies/policies for the long-term curation and preservation.

Planned approaches to compliance and monitoring: a certain degree of flexibility in OA policy implementation will be allowed (the length of embargo periods during transition, negotiations with publishers, waiving of OA requirement in some special cases). Evidence-based review of the implementation is planned and there will be subsequent periodical reviews. The RCL has the right to withhold funding if OA policy is ignored.

The policy will be mandatory for RCL, but all researchers and their institutions in the country, regardless of the source of their funding support, will be encouraged to adhere to this policy. RCL maintains a national website on OA: http://www.lmt.lt/lt/atviroji_prieiga.html (in Lithuanian language).

Poland

Recommendations on OA and open data – Ewa Majdecka, Centrum Cyfrowe: The Ministry of Science and Education released OA and open data recommendations ([Kierunki rozwoju otwartego dostępu do publikacji i wyników badań naukowych w Polsce](#)) on October 26, 2015 encouraging universities and research organizations to develop their OA and open data policies.

As a result of FOSTER co-funded training, National Science Centre (one of major research funding agencies in Poland) included mandatory OA into one of its funding programmes.

Romania

OA as a part of Open Government Partnership (OGP) National Action Plan – Nicolaie Constantinescu, Kosson: The National Action Plan for OGP together with the National Strategy for Research, Development and Innovation created a framework for OA policy developments. See a [blog post](#) about the National Strategy's priorities to ensure and sustain OA to research results. The case for OA in the country has been presented using good practice examples from open public sector information and open data.

Slovakia

OA and Open Research Data as a part of OGP initiative – Lubomir Bilsky, Slovak Centre of Scientific and Technical Information ([Slides](#)): OGP Action Plan 2012-2013 had a focus on Open Data and the Open Data Portal has been launched. In 2015, new areas – Open Education and OA to the results of scientific research have been included into the National Action Plan prepared by the Office of the Plenipotentiary for the Development of the Civil Society (more details are [here](#)).

Current activities:

- Mapping of existing OA repositories, evaluating conditions for creation of centralised, nationwide OA repository;
- Identification of barriers to full OA implementation in Slovakia;
- Making major Slovak publications (full texts) recorded in the central registries freely accessible to the public;
- Propose a mechanism for voluntary publication of data related to scientific publications as Open Data;
- Raising awareness on OA benefits to researchers and society;
- Formulation of OA strategy in Slovakia, using experiences of other European countries.
- Slovak Centre of Scientific & Technical Information negotiates OA conditions as a part of subscription negotiations.

Slovenia

A national strategy of OA to scientific publications and research data – Urban Krajcar, Ministry of Education, Science and Sport, Slovenia ([Slides](#)): [A national strategy of OA to scientific publications and research data in Slovenia 2015-2020](#) has been adopted by the government in September 2015 as a

result of the following strategy development process:

- Nomination of a NPR in 2013 (requirement in EC Recommendation of 17. 7. 2012 on access to and preservation of scientific information).
- Nomination of OA working group (composed of different stakeholders) in 2014.
- The first draft of the Strategy released in May 2015.
- Public consultation (report on the public consultation produced).
- Consultation with all the ministries.
- Adoption of the Strategy in September 2015.

A national strategy is fully aligned with the EC's OA policy in Horizon 2020: publicly funded research beneficiaries must ensure OA to all peer-reviewed scientific publications. The national strategy proposes that 80% of scientific publications resulting from publicly funded research and published in 2017 become OA by 2018. All publicly funded scientific publications, published in 2020, become openly accessible in 2021. A national pilot programme on OA to research data will be carried out and research data presented in research articles must also become openly available. Journal publishers based in Slovenia that receive national public funding for their activities have to make their research articles openly accessible. More details about this are [here](#).

Next steps: further promoting of importance of OA (conferences, workshops); integration into Act on Research and Development Activities; and developing an Action plan (with all measures, responsible entities and deadlines).

Slovenian Research Agency has a mandate that e-versions of publicly co-financed printed Slovenian subscription journals and the final reports of research projects should be deposited in the Digital Library of Slovenia.

Other topics/issues that have arisen from the workshop discussions:

- How to manage the transition from the current publishing system to OA publishing – one of the challenges for OA policy development;
- With the national level initiatives how to make sure that universities participate? And sometimes it's difficult to coordinate national stakeholders, they are afraid of losing their uniqueness in OA;
- How do you start when there is no OA infrastructure: with national OA policies first and then build an infrastructure or with the infrastructure first and then adopt OA policies? It was agreed that it's better to start with OA policies and use shared repository services;
- Open research data – recommendations or requirement, what type of data, where to deposit, for how long should the data be preserved, etc.? It's important to have a clear policy that will be easy to comply with.
- Open Science policy developments.
- Scholarly communication costs should be driven down (e.g. APCs), and other OA models (not-APCs) should be more supported.
- Eastern Europe – green model more viable.
- Most of OA policies in the region are very new and it's not possible yet to measure impact.
- More attention should be paid to independent OA journals and perhaps PASTEUR4OA could develop a briefing paper about this.

- OA publishing funds are allocated only to APC based journals, OA journals from Eastern European countries, which are not charging APCs, remain without any support from the European Commission and other national and international funders, although there is this initiative from the OpenAIRE project: [“Not Just APCs”: the FP7 Post-Grant OA Pilot’s alternative APC-equivalent funding mechanism.](#)
- There is a fear that a lack of such support will switch scholarly communications system in Eastern European countries towards APC business model and all possible consequences are still not known.
- We don't have a guarantee that in the future publishers won't be charging a lot for a publication in “prestige” journals.
- Changing research evaluation procedures: Bernard Rentier (Rector Emeritus, Université de Liège) has shared some reflections on the way forward: as long as there are prestigious journals, the freedom of reading and publishing won't exist. Therefore we need to change research evaluation based on journal prestige and evaluate the real quality of researcher's work (evaluating researchers by the Journal Impact Factor is like judging people by the restaurant where they eat and how much money they have). We are still stuck in the publishing system of the XVIII-XIX century, but at least we already know what the problems are and we have the tools and intelligence to change the way we evaluate research, let's do this now. For example, anonymity in peer-review should disappear. In research evaluation figures are a religion (it's crazy and shame); let's change this using the technology we already have. We still think in terms of papers/articles and we need a public platform/system of evolving research works ([Slides](#))
- Wish for the future is that all types of research work in all media, including data are openly available and different metrics tools and visualizations are used for accessing real impact.

All participants gave a positive feedback on overall workshop satisfaction and relevance of the presentations and workshop materials.

Full report that includes other highlights from the workshop programme: OA in Horizon 2020 and the European Commission Recommendations to EU Member States presented by Jean-Francois Dechamp, European Commission; good practice examples from other regions – Austrian Science Fund (FWF) presented by Katharina Rieck; FCT, Fundação para a Ciência e a Tecnologia (Portugal) presented by Eloy Rodrigues (University of Minho); and FRS/FNRS Belgium presented by Bernard Rentier (Rector Emeritus, Université de Liège); a report from PASTEUR4OA Southern Europe regional meeting for the research funders; institutional OA policies in Brno University of Technology (Czech Republic) presented by Jan Skupa, Mykolas Romeris University (Lithuania) presented by Natalija Popkova, Liege University (Belgium) OA mandate presented by Bernard Rentier, UCL OA mandate (UK) presented by Paul Ayris, and University of Minho OA mandate (Portugal) presented by Eloy Rodrigues; as well as comments and feedback from the participants are available in Appendix 1 below.

Appendix 1: Other highlights from the workshop programme and comments and feedback from the participants

Day 1 (with a special focus on research funders)

OA in Horizon 2020 and the European Commission Recommendations to EU Member States:

Jean-Francois Dechamp, European Commission (EC), provided an overview of OA in Horizon 2020 and the European Commission Recommendations to EU Member States ([slides](#)). He showed the figure: 42% OA in FP7 (during all the years). But if we look at individual years, OA publications have significantly increased in recent years: 56% in 2014 58% in 2015. Could this be an indicator of the growing support towards OA in scholarly community?

Jean-Francois shared some data about the Open Research Data Pilot take-up in the first Horizon 2020 calls (3,699 H2020 signed grant agreements) – a unique opportunity to help shape future open science policies:

- 65,4% of projects in the core areas participate in the Pilot;
- 34,6% of projects (149/431) opted out for the following reasons: no data generated, IPR protection, confidentiality, privacy, openness jeopardizes the main objective;
- In other areas (not covered by the Pilot) 11,9% of projects (409/3268) voluntary opted in.

In summary, OA is recognised as a means to improve knowledge circulation and provide value for the taxpayers' money. OA is embedded into Open Science and Responsible Research and Innovation and is one of the pillars of the priorities of Commissioner Moedas. Horizon 2020 addresses ambitious yet pragmatic on aspects of OA: mandatory OA to publications; limited pilot for OA to research data (opt-in/opt-out).

Three key EC documents mentioned as the background:

- Communication 'A reinforced European Research Area partnership for excellence and growth'
- Communication 'Towards better access to scientific information: boosting the benefits of public investments in research'
- Recommendation on access to and preservation of scientific information: translations in all EU official languages available

The issues around OA are getting more technical: e.g. Text and Data Mining (copyright issues), Data Management Plans etc.

And Horizon 2020 is stronger on OA: the question is not whether but how. Horizon 2020 also co-finances projects that dig deeper into the question of OA.

EU Member States now share their experiences and views, as they welcomed OA in H2020 (e.g. National Points of Reference (NPR) on scientific information).

Some suggestions on working together in Europe:

- Get more knowledge on open research data, including European Research Cloud, FAIR data (Findable, Accessible, Interoperable, Re-usable);
- Mainstream OA and reach towards harmonised policies and common standards on a global scale, e.g. Dutch Council Presidency (First semester 2016);
- Develop more and better interactions with stakeholders, e.g. Open Science Policy Platform;
- Find a European legal solution for Text and Data Mining. i.e. EU copyright reform;
- Explore *inter alia* alternative OA publishing models and alternative metrics, e.g. Call *GARRI.4.2015* "Innovative approach to release and disseminate research results and measure their impact".

Good practice examples from Austria, Belgium and Portugal

The session included the overview of good practice examples from other regions – Austrian Science Fund (FWF) presented by Katharina Rieck; FCT, Fundação para a Ciência e a Tecnologia (Portugal) presented by Eloy Rodrigues (University of Minho); and FRS/FNRS Belgium presented by Bernard Rentier (Rector Emeritus, Université de Liège).

Austria: [OA policy for FWF-funded projects](#) = self-deposition of the author's accepted manuscript (after peer-review but prior to publishers copy editing and production) in any sustainable subject or institutional repository after a period of no longer than 12 months.

Concerns:

- preprints or working papers are not OA, only peer-reviewed versions; in most cases not the original version of record but only the *accepted manuscript* can be archived;
- different publishers' embargo policies (0 to 48 months);
- no influence on publishers pricing policies so far.

More information is available in PASTEUR4OA Case Study of the Austrian Science Fund (FWF): http://pasteur4oa.eu/sites/pasteur4oa/files/resource/FWF_FINAL.pdf

The FWF enforces the transition to 100% Gold OA by:

- Providing OA funding for all publication formats coming out of FWF funded projects;
- Negotiating OA deals with publishers together with Austrian libraries;
- Funding national and international non-commercial publication models and OA infrastructure;
- Close cooperation with the Netherlands, UK, Max-Planck Society and others in order to reach this goal within the next 10 years.

[Slides](#)

Portugal: The OA Policy of FCT – Fundação para a Ciência e a Tecnologia – is based on the repository deposit approach and is in line with the EC recommendations. A well-established OA repository infrastructure (Repositório Científico de Acesso Aberto de Portugal (RCAAP): <https://www.rcaap.pt/>) is the integral part of this approach.

Support services are provided and support materials are available: the helpdesk (FCT+RCAAP Network); "Decision Tree", FAQs and tutorials; presentations, webinars, e-learning, etc.

And the OpenAIRE Project List Addon is used to check policy compliance.

[Slides](#)

Overview of Portugal OA policy landscape is available [here](#).

Belgium: The FNRS OA policy details: the Regulation on the implementation of the policy of "free access" to scientific publications resulting from FNRS funding:

⇒ outputs resulting from research projects carried by FNRS researchers/research projects (CDR, PDR, EQP, MIS) funded by the FNRS must be self-archived in their host institution's repository and made accessible no later than 6 months after the publication (12 months in SSH);

⇒ funded researchers who wish to publish directly in an OA format (Gold OA) can claim the costs of the publication to a limit of 500 EUR per article (only for journals not listed in the Beall's list);

⇒ cost for hybrid journals are not eligible.

Research-funded results are defined as any peer-reviewed journal articles, conference proceedings, participation in symposiums, seminars, which have been subject to scientific publications.

Communication to the researchers and promoters makes an important part of the OA policy implementation: a FAQ section is available on the FNRS website and the policy is also described in granting letters.

[Slides](#)

The overview of the OA policy landscape in the country is available [here](#).

PASTEUR4OA OA advocacy resources

Gwen Franck, EIFL, provided an overview of PASTEUR4OA OA advocacy resources:

<http://pasteur4oa.eu/resources> and visualisations: <http://pasteur4oa-dataviz.okfn.org/>. [Slides](#)

Report from PASTEUR4OA Southern Europe regional meeting for the research funders

Eloy Rodrigues (University of Minho) reported about PASTEUR4OA Southern Europe regional meeting for the research funders that took place in September 2015. The following funders attended: the National Research Council (CNR) and CINECA from Italy, Malta Council for Science and Technology (MCST), Foundation for Science and Technology (FCT) from Portugal; National Research Council (CSIC) and the Ministry for Economy and Competitiveness (MINECO) from Spain.

OA policy developments in the region:

- the National Research Council (CNR) from Italy is developing a policy for Open Science with the focus on Research Data; and
- Malta Council for Science and Technology (MCST) is considering a national OA policy, based on institutional OA policy of the University of Malta.

Critical points identified and discussed:

- Monitoring compliance and measuring impact of OA policies: linking depositing compliance with the reporting for funding application is the most efficient approach. However, in some cases, publications appear two years after the end of the project.
- APC's: how to consider them in OA policies;
- Embargo periods: how to deal with longer embargo periods, and the move of some publishers to extend the embargo periods pushing researchers to pay APCs in hybrid journals. Some recommendations: include embargo limits in national "big deal" negotiations; be flexible with researchers/grant recipients on embargo periods.

The participants expressed a need for advocacy and support materials and activities (including the identification of best practices and development of recommendations) in the critical areas identified (monitoring, APCs and embargoes) to promote the development and implementation of aligned OA policies.

[Slides](#)

How to design an effective OA policy for a funder

The next session (a presentation and a group work) covered good practice approaches to designing an effective OA policy for a funder – wording, implementation, etc. – using PASTEUR4OA [OA policy effectiveness: A briefing paper for research funders](#) and [OA Policy Guidelines for Funders](#). During this session research funders have been empowered to develop/fine-tune their OA policies aligned with the Horizon 2020 OA policy. [Slides](#)

Some comments/feedback from the participants:

What did you hope to get out of this event?

- more knowledge on OA policies development and implementation;
- clear guidelines on how to design a national OA policy and what should be included;
- guidelines on how to start and how to adopt a national OA policy;
- information about practical steps to make;
- problems/issues discussions related to OA policy development/implementation;
- better understanding on how OA policies will influence research performing institutions in the near future;
- overview of OA policies in Europe and efforts for alignment with OA in H2020;
- "I hoped to get a chance to talk with experts from different countries and to clarify certain practical challenges I am dealing with in my country".

Most valuable aspects of the event:

- discussions;
- small group discussions;
- good practice examples from other countries;
- PASTEUR4OA OA policy template;
- discussion about OA infrastructures;
- sharing experiences with colleagues during the breaks;
- different approaches to similar issues;

- Bernard's Rentier's speech.

What did you learn that will help you in your further work?

- “Discussions with representatives from different countries sharing different experiences provided a great opportunity to frame our new OA policy”;
- “Learnt a lot about OA policies on the national and institutional level and about support actions/documents required”;
- “I got a lot of information. I will try to implement some OA policies into our national projects and will also provide support to OA publishing”;
- “Societal benefits are not possible without OA to knowledge and research infrastructures”;
- “Most valuable aspects of the event: personal experiences, revolutionary ideas and a wide context in the presentations”;
- “OA mandate is crucial. Funders have to implement it with respect to EC recommendations”;
- “As s somewhat a beginner in OA policy issues, although coming from a research funding organization, I hoped to receive and I did receive a good basis to start OA policy developments and take back good examples from other countries”;
- “I realized the importance of OA policy alignment in EU”;
- “Proposals concerning the new approach to assessment/evaluation of scientific journals, researchers and research institutions”.

What could be improved:

- small group discussions should be more guided/moderated by the organizers; have more time for group discussions;
- a more general overview of different policy actions should be provided (some approaches presented have been controversial);
- probably another event on a higher level could be organized;
- too much attention was given to the local publishers;
- systematic approach to presenting/grouping problems/challenges;
- provide a list of acronyms used in OA movement on PASTEUR4OA website (for a newcomer sometimes it's difficult to follow all the discussions).

Day 2: (with a special focus on research performing organizations)

Other institutional OA policies in Eastern Europe

The session has also covered other institutional OA policies in Eastern Europe: University of Szeged (Hungary) – Peter Mezei; Brno University of Technology – Jan Skupa; and Mykolas Romeris University (Lithuania) – Natalija Popkova.

Czech Republic: OA policy at Brno University of Technology

Brno University of Technology (BUT) has adopted its OA policy in 2013 and provides recommendations only (not an OA mandate). Unfortunately until now BUT researchers have only self-archived 33 articles; more than 1,000 articles have been uploaded from OA journals.

[Slides](#)

BUT plans to adopt stronger OA mandates and participate in national level OA policy discussions in

Czech Republic.

Lithuania: OA policy at Mykolas Romeris University

The university supports nine MRU OA journals that are published on the Open Journals Systems platform (http://www.mruni.eu/en/research/leidiniai/mokslo_zurnalai/) and OA books platform <http://ebooks.mruni.eu> created together with Lithuanian Association of periodicals and Vilnius Gediminas Technical University. There are over 200 OA books on the portal and their number is growing. Through 2014, books have been accessed 885,456 times and 6912 unique visitors registered from 99 countries (Lithuania, USA, Germany, United Kingdom, China, Netherlands, Korea, India, Ireland, etc.).

OA policy helps MRU in international cooperation; enhances researchers' networks and supports new interdisciplinary studies and innovations; brings returns on investments (has financial benefits) and popularizes science.

OA policy support: library promotes the policy among researchers and organizes training and workshops on compliance; senior management has championed the policy; research office funds and supports OA books and OA journals platforms and also promotes the policy.

The OA repository includes 3704 records (as of 27 October 2015) and 99% of them are OA.

[Slides](#)

The policy will be revised as a stronger OA mandate.

Good practice examples of OA mandates from Belgium, Portugal and the UK

Good practice examples of OA mandates from other regions have been provided: Liege University OA mandate – Bernard Rentier, UCL OA mandate – Paul Ayris, and University of Minho OA mandate – Eloy Rodrigues.

UK: UCL (University College London) OA mandate

There has been a sizeable increase in deposits in UCL Discovery, the institutional repository, in response to recent national OA policies. UCL Discovery contained 10,000 OA items in 2011 and 14,000 OA papers in 2013. OA content increased sharply to 22,500 papers by September 2015. UCL Discovery contains both full-text and metadata-only records. 42% of the records for outputs published thus far in 2015 are live with full text. 76% of these (or 32% of total outputs for 2015) are OA.

The Research Councils UK (RCUK, 2013) and Research Excellence Framework (REF, 2014) OA policies have been key drivers for depositing in UCL Discovery and engaging with OA generally. Annual download totals have grown from under 200,000 per year in 2008 to over 1.8 million per year in 2014; the average number of downloads per item has more than quadrupled, from 146 in 2008 to 604 in 2014.

Two key principles underpin UCL's publications policy (OA mandate):

1. That, copyright permissions allowing, a copy of all research outputs should be deposited in the UCL institutional repository (UCL Discovery) as OA;
2. That individual UCL academic researchers should be directly responsible for providing and maintaining details of their publications in order that UCL can keep an accurate record of its research outputs.

The policy applies to all UCL's research publications in all disciplines and states that it is the responsibility of every UCL researcher to ensure that his or her publications record is up to date. It also lists explicit benefits to researchers.

UCL Library Services coordinates diverse and comprehensive support for UCL's and funders' OA policies. Support proportionate to the scope and volume of UCL in terms of research is delivered by the UCL Discovery team, UCL's OA Funding Team and UCL Press – the first fully OA University Press in the UK, that publishes OA scholarly monographs, scholarly editions, textbooks, edited collections and journals (<http://www.ucl.ac.uk/ucl-press>). UCL Library Services and the Office of the Vice-Provost (Research) communicate OA requirements throughout UCL.

PASTEUR4OA Case Study “Institutional policy implementation at UCL” is available [here](#).

Gold OA on its own is simply too expensive, even for well-off universities and OA policies should take this into account. The League of European Research Universities (LERU) calls for offsets of APCs against subscription costs: <http://www.leru.org/index.php/public/extra/signtheLERUstatement/>.

In January 2015 UCL has [signed](#) the [San Francisco Declaration on Research Assessment \(DoRA\)](#), which acknowledges weaknesses in the use of the Journal Impact Factor (JIF) as a measure of quality, since this measure relates to journals as a whole and not to individual articles. And in March the League of European Research Universities (LERU) has also [become a signatory](#) to the [San Francisco Declaration on Research Assessment](#). LERU agrees that, alongside quantitative metrics, qualitative measures of assessment should be used to evaluate research outputs on their own merit. LERU also strongly endorses the statement that any research assessment should be transparent and explicit about the criteria which are being used for evaluation. And advocates that further work be done, led by universities themselves, to identify what new research metrics are useful and applicable in a digital age.

[Slides](#)

Other UK-related PASTEUR4OA resources:

- [From policy development to effectiveness and alignment: An analysis of the UK's Higher Education OA policy landscape](#);
- [OA policy effectiveness: A briefing paper for UK Higher Education Institutions](#);
- [OA in the UK: Briefing on the UK OA Case Study](#); and
- [UK OA Case Study](#).

Portugal: University of Minho (UMinho) OA mandate

UMinho self-archiving policy (2004) has been established by a Rectoral Document, in the first anniversary of RepositóriUM (OA institutional repository) following the signature of the Berlin

Declaration in November 2004 and has been implemented from January 1st 2005. It required that

- University of Minho staff must archive their publications and documents into RepositóriUM, and make them available in OA whenever possible;
- The organisational units (research centres, departments) must sign and adopt self-archive policies for the scientific output of their members, based upon a general model;
- Authors of thesis and dissertations approved by the University of Minho must authorise the deposit of their thesis or dissertation into the RepositóriUM.

In 2005 the Rectory provided a financial supplement to departments and research centres, proportional to their compliancy to the policy of OA self-archiving in RepositóriUM. In 2006, there was also a financial supplement, but it's value was significantly smaller (around 1/3). The incentive disappeared after 2006.

In 2010 UMinho upgraded its OA policy, which requires:

- All academic staff to mandatory deposit into RepositóriUM a copy of all peer reviewed publications dated after January 2011;
- From January 2011, all official publication lists or reports, from individual researchers and research units, submitted internally at UMinho, must contain a link to the version archived at RepositóriUM

Implementation of UMinho OA mandate:

- 1st quarter 2011: Roadshow on the new policy in all the Schools/Institutes [Faculties] of UMinho;
- In the end of the 1st quarter 2011: monitoring of policy compliance (initially quarterly, now bi-annually).

Current work and future directions:

- OA is again part of UMinho Strategic Plan (2013-2020). UMinho wants to remain on the frontline of OA.
- RepositóriUM will be the only information source, about publication output, for the University Information System, for reporting, management and evaluation in the University.
- Experimenting with research data curation and access (started).
- Experimenting with OA journal and book publishing (planning).

[Slides](#)

PASTEUR4OA Case Study: [Institutional OA policy implementation at University of Minho.](http://pasteur4oa.eu/sites/pasteur4oa/files/resource/Case%20Study_UMinho.pdf)
http://pasteur4oa.eu/sites/pasteur4oa/files/resource/Case%20Study_UMinho.pdf

Belgium: OA mandate at the University of Liege

The policy came into effect in November 2008 and has become the most effective OA policy in the world at present, with 87% of the University's research articles currently being deposited in the repository. Practical support for the policy is provided by top management and by the Library. This, plus added-value author services built by the Library for ORBi and other advocacy activities, have

helped to increase author engagement.

The mandatory OA policy at the University of Liège was passed by the Board of Administrators in May 2007, preceding the official launch of the repository and policy in November 2008.

The policy was innovative at the time (though it has been copied many times since), requiring deposit of research articles immediately upon acceptance for publication: where a publisher requires an embargo, the full-text of the item remains restricted until the end of the embargo period. Restricted items are fully accessible for University members, but people outside the University need to use the request-a-print button to ask authors to email the item to them: items that are Restricted Access are usually ones under a temporary embargo.

The descriptive metadata, which cannot be embargoed, are open from the point of deposit. The metadata include the article title, author names, affiliations, and so forth are not under publisher 'ownership', and having them open from the time of deposit enables search engines to index an item and make it discoverable by would-be users. These users can then contact the author to obtain a copy of the article during the embargo period.

Keen to maximise compliance with the policy, the Board of Administrators made it clear that only items that were in ORBi would be taken into account in any individual and collective assessment processes within the University. This includes assessments for promotion, tenure and the like.

The policy's main conditions are as follows:

- Peer-reviewed research outputs must be deposited in ORBi
- Deposit must be at acceptance for publication
- This deposit step cannot be waived
- Items should be made OA but publisher embargoes may be respected (the full-text is opened up at the end of the embargo period)
- Deposit of outputs is a precondition for research evaluation or assessment

The University of Liège OA policy is supported by the energetic advocacy of top management and by activities and services from the Library. A number of technical enhancements and features have been added to the repository, ORBi, to smooth the author experience when depositing items. And ORBi provides feedback to authors on the views and downloads of their outputs. 34% of researchers are very satisfied and 57% are satisfied with their OA repository.

PASTEUR4OA Case Study: [Institutional policy implementation at the University of Liège, Belgium](#)

How to design an effective OA policy for a research performing institution

The next session (a presentation and a group work) covered good practice approaches to designing an effective OA policy for a research performing organization – wording, implementation, etc. – using PASTEUR4OA [OA policy effectiveness: A briefing paper for research institutions](#) and [OA Policy Guidelines for Research Performing Organizations](#). During this session representatives of research performing organizations stated that they would like to revise their weak OA policies/develop strong OA mandates aligned with the Horizon 2020 OA policy. The content and the structure of such policies have been discussed.

The Day 2 ended with a closing panel on the lessons learnt and the way forward with Leonas Balasevicius (Kaunas Technical University, Lithuania), Edit Görögh (University of Debrecen, Hungary) and Mojca Kotar (University of Ljubljana, Slovenia). Edit Görögh presented a newly adopted University of Debrecen OA policy and Leonas Balasevicius and Mojca Kotar talked about fine-tuning their OA policy drafts using good practice examples presented at the meeting.

Some comments/feedback from the participants:

What did you hope to get out of this event?

- An overview of institutional OA policies;
- Best practice examples;
- How different policies (national and institutional) should be aligned in Europe;
- What should be included in the OA policy;
- How to communicate and promote OA policy at the university;
- A chance to talk with other experts about their experiences; contacts and networking;
- Some interesting ideas about changing scientific publications;
- Independent OA journals should have more attention;
- Different views, ideas and experiences.

Most valuable aspects of the event:

- Valuable experiences from other institutions; good practice presentations; a lot of good examples; lot's of useful practical information; case studies are very helpful;
- Discussions and small group discussions;
- A presentation from the UCL/UK with a deeper and more conceptual analysis, then just a presentation of facts; the same goes for the University of Liege presentation; good practice from Portugal;
- Institutional policy template;
- Research data management discussions.

What did you learn that will help you in your further work?

- It's crucial to have an OA mandate in place;
- Every OA policy should be supported with a relevant elaborate budget, and calculations of the cost-efficiency;
- That the current model of publishing is not sustainable any more;
- The Gold OA obstacles.

What could be improved?

- More focused presentations from the countries: more speakers, more representatives, use similar presentations structure;
- In order to be able to compare institutional policies a questionnaire could be drafted and shared among all presenters (in advance or after the event); an analysis and a systematic overview of status quo of OA policies could be produced;
- More group discussions in larger groups;
- The ability to use the desk and plug the laptop (for electricity).

Is there anything more the project can provide that can help you?

- Some suggestions on how to change evaluation model of research.