Funder mandates and OA realities

Marika Meltsas
Open Access Week, 2013
Estonian Research Council

• Established March 1th, 2012, to create one single research funding and research policy implementing institution

• Established on the basis of Estonian Science Foundation and part of Archimedes Foundation (Research Cooperation Centre)

• Estonian Research Council is a founding member of Science Europe – assembly of European research funding and research performing organisations

• Estonian Research Council participates in Science Europe Open Access Working Group
Estonian Research Information System
ETIS

• A state register (R&D related institutions, persons, financing and evaluation, output)
• A gateway to Estonian research landscape
• An information channel and a tool for researchers and R&D institutions
• A grant application and processing system
• A research management tool
• A repository of documents, contracts, data and publications
Research funding

- **Institutional research funding** is support allocated for financing high level research activities of a R&D institution. 75 applications were submitted for the first IRF call for applications in 2012 and 31 of these received funding.

- **Personal research funding** support to single researchers or small groups (up to 3 researchers). 194 applications were submitted in the first PRF call for applications. 42 projects funded (26 exploratory research and 16 start-up research projects).
Regulation - Institutional research funding

• § 10. Publication of results of the research theme

• (1) The publications that result from the implementation of the research theme shall be **freely available to the public in ETIS**, unless set forth otherwise in the conditions for publication, or protection of copyright and intellectual property rights.

• (2) If a publisher establishes temporal access restrictions on publications that on the basis of subsection 1 of this section are available to the public, the publications that result from the implementation of the research theme shall be made **freely available to the public in ETIS** immediately after the restriction ends, unless set forth otherwise in the publisher’s conditions.

• (3) Upon publishing the results of implementing a research theme, the publication shall note which research funding was used to finance the implementation of the research theme.
Regulation - Personal Research Funding

- 22. Publication of results of research project
- 22.1. Consolidated texts of publications drawn up as a result of the implementation of a research project are made **freely available to the public via ETIS** by the host institution, unless the conditions of publication, copyright or intellectual property protection state otherwise.

- 22.2. If a research publishing house temporarily restricts access to the public publications on the basis of Section 21.1, the consolidated texts of the publications drawn up as a result of the implementation of the research project will be **made freely available via the ETIS by the host institution after the expiry of the restriction.**
- 22.3. Upon publication of the results of implementation of a research project, it is indicated which funds of the grant the implementation of the research project has been financed.
ETIS as repository
ETIS and OA dynamics

2008
78 000 publications
12 000 with fulltext
5 000 openly available - 6.4%

2010
100 000 publications
23 470 with fulltext
9 800 openly available - 9.8%

2012
134 142 publications
33 034 with fulltext
16 414 openly available - 12.2%

2013
152 523
40 297 with fulltext
20 656 openly available - 13.5%
ETIS and open access

Published in 2011:
- 11,285 bibliographic records
- 4,841 with fulltext
- 2,698 openly accessible – 24%

Articles in international journals 2011-2012:
- 6,458 bibliographic records
- 3,959 with fulltext – 61%
- 1,907 openly accessible in ETIS – 30%
Articles in Gold OA journals

2011-2012

• 6458 articles in international peer-reviewed journals
• 1074 belong to DOAJ OA journals
• 332 belong to journals that charge APC-s
## Proportion of OA papers per country, 2008-2011

<table>
<thead>
<tr>
<th>Group</th>
<th>Country</th>
<th>Papers in Sample</th>
<th>Green &amp; Hybrid Papers</th>
<th>Green &amp; Hybrid %</th>
<th>Gold Papers</th>
<th>Gold %</th>
<th>OA Papers</th>
<th>OA %</th>
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<tr>
<td>EU28</td>
<td>Austria</td>
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<td>105</td>
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<td>479</td>
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<td>9 ± 2</td>
<td>576</td>
<td>55 ± 3</td>
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<td>11 ± 3</td>
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<td>5,828</td>
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<td>Total EU28</td>
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<td>20,204</td>
<td>37 ± 0.4</td>
<td>4,192</td>
<td>8 ± 0.2</td>
<td>24,396</td>
<td>45 ± 0.4</td>
</tr>
</tbody>
</table>

Science Europe

• Association of major public research organisations in Europe;
• 53 member organisations from 27 countries;
• Research funding and research performing organisations
• SE Working group on Open Access
• Principles on the Transition to Open Access to Research Publications (April, 2014)
SCIENCE EUROPE - A survey among the European Research Funding and Research Performing Organizations (2012)

**Both Roads**
- Denmark
- Hungary
- Ireland
- Finland
- Spain
- UK * (e.g. Finch report)
- Germany *
- Austria *
- The Netherlands *
- Sweden *

**Green Road**
- Belgium
- France
- Norway
- Switzerland

**Gold Road**
- Czech Republic

**Other policies**
- Italy
- Luxembourg
- Poland
- Slovakia
- Slovenia
- Portugal,
- Iceland

* Both Green and Gold but with emphasis on Gold
SE Principles on the transition to Open Access to Research Publications

• Publication and dissemination of results are an integral part of the research process. The allocation of resources within the research system must take this into account.

• The move towards OA means replacing the present subscription system with other publication models whilst redirecting and reorganizing the current resources accordingly.
SE Principles on the transition to Open Access to Research Publications

• SE Member Organisations will continue to support any valid approaches to achieve Open Access, including those commonly referred to as the ‘green’ and ‘gold’ routes;
• recognise repositories and related facilities as key strategic research infrastructure which should comply with high quality standards
SE Principles on the transition to Open Access to Research Publications

- SE Member Organisations stress that the hybrid model, as currently defined and implemented by publishers, is not a working and viable pathway to OA.
- Any model supported by Science Europe must prevent ‘double dipping’ and increase cost transparency
Gold route from Estonian perspective

- Reallocation of resources for supporting "gold" route is not feasible unless the resources are tied to subscription of major research information databases and journal packages of leading research publishers. The cancellation of the subscriptions should take place in a coordinated way on global level to enforce the publishers to change the business model.

- To avoid the shift from accessibility problem to affordability to publish problem a fair business model to cover publishing costs should be put in place.
Challenges today

• Predatory Open-Access Publishers (Beall’s list of over 300 publishers)
• No overview of publication costs today
• Commercial publishers have found new opportunities to make profits on scholarly communication
• Diversity and lack of clarity of publishers’ policies on self-archiving, researchers need more information and assistance
Preparing for the future

• Dynamic growth of OA Gold business model
• A need for central coordinated way to handle APC-s?
• Central funding or grant money?
• What services are paid for?
• What are the quality criteria?
• Allocation of costs?
• Who takes responsibility?