Open Access (OA) policies in the European Union

Iryna Kuchma
EIFL Open Access Programme Manager

Presentation at the OA Week 2013 conference, 25th of October, the University of Tartu Library, Estonia

www.eifl.net

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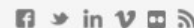
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5,970,466 Publications from 386 repositories and 53 OA journals

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Funding Agencies

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> Link research to funder/project

> Register & validate content
> Get guidelines for interoperability

> Learn about EC & national policies
> Create project reports

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OPEN ACCESS

Open access refers to the practice of granting free Internet access to research articles. As all research and innovation builds on earlier achievements, an efficient system for broad dissemination of and access to research data and publications can accelerate scientific progress.

The Commission objective is to optimise the impact of publicly-funded scientific research, both at European level (FP7, Horizon 2020) 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 utilisation.

The Commission strategy is to develop and implement open access to research results from projects funded by the EU Research Framework Programmes, namely FP7 and Horizon 2020. Open access requirements are based on a balanced support to both 'Green open access' (immediate or delayed open access that is provided through self-archiving) and 'Gold open access' (immediate open access that is provided by a publisher).

The Commission strategy is also to encourage national initiatives at Member State level and contribute to their co-ordination within the European Research Area. The Commission also provides funds for research and supporting activities in the area of open access. During the course of Horizon 2020, the Commission will continue to engage with stakeholders, while continuing to encourage a culture of sharing scientific publications and, with due respect to the rights of all concerned, research data.

Máire Geoghegan-Quinn, European Commissioner for Research, Innovation & Science: "**Putting research results in the public sphere makes science better & strengthens our knowledge-based economy**. The European **taxpayer should not have to pay twice for publicly funded research.** That is why **we have made OA to publications the default setting for Horizon 2020**, the next EU research & innovation funding programme."

en | 6:52 PM | Iryna

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Open Access to scientific information

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Digital Science (Unit C.3)

Mandate

Vision:
Our vision is that all scientific information should be available online free of charge (= open access). In particular, peer-reviewed publications and research data resulting from public funding must be circulated rapidly and widely, using digital media. This can accelerate scientific discovery, enable new forms of data-intensive research and allow research findings to be taken up by businesses in order to develop new products and services.

Situation

What is the situation we have decided to change:
The internet and the emerging infrastructures for scientific information should give researchers across the world access to the latest research results. There are, however, barriers in place that need to be tackled in order to fulfil the vision of open access (OA) to scientific information.

Publications: Further access to and use of scientific publications is currently limited because of high and increasing prices of journals, a problem that will grow because of the reduced budgets of libraries due to the crisis. The underlying issues are the funding of research dissemination and the viability of traditional publishing models in the internet age. Publishers and scientists should agree on the way forward reconciling the interests of all different stakeholders.

Data: Research data is currently not made widely available online. When it is made available, it is often not presented in a format that facilitates (re)use. This obstructs knowledge diffusion and results in a huge loss in efficiency of research investments.

Vice-President of the European Commission
Neelie KROES
(website)

Director General
Robert MADELIN
(biography)

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⊟ Outputs

Open Access takeup under Horizon 2020 and in the Member States

In general terms, we strive to implement the commitments regarding open access made in various policy documents (most recently and specifically: COM(2012) 401, C(2012) 4890; also: Digital Agenda, European Research Area Communication COM(2012) 392, Innovation Union).

Expected outputs relate to the rules and activities on open access to be established in Horizon 2020 and to encouraging Member States to implement Recommendation C(2012) 401:

- Make open access to scientific publications mandatory in the Horizon 2020 programme (baseline: pilot on open access in FP7 – 20% of FP7)
- Maintain the possibility of reimbursing open access publishing fees as part of the Horizon 2020 programme and make it easier to trace / measure (baseline: possibility exists in FP7, but cannot be traced)
- Develop and implement a Pilot scheme on open research data in Horizon 2020 (baseline: no such possibility exists at the moment)
- Establish a list of National Points of Reference (nominations) on scientific information in the Member States
- Put in place mechanisms to follow up on Recommendation C(2012) 401 to the Member States on access to and preservation of scientific information
- Launch a feasibility study on the economic impact of open access and open data (Data gap)

(Together with C1: eInfrastructures and RTD.B6: Ethics & Gender)

Timeframe: 2014: Rules on OA to publications in place

Indicators

take-up of open access practices (number of Member States with national policies or strategies on open access) (lead indicator)

Baseline	13 MS in 2010/2011
Target	28 MS *(2014)*

Scientific publications of the Horizon 2020 programme in open access

Baseline	Pilot on open access in FP7: 20% of FP7
Target	100% *(2020)*

ec.europa.eu/digital-agenda/node/67533

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Results of the consultation on Open Research Data

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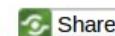
Open enquiry is at the heart of scientific endeavour, and rapid technological change has profound implications for the way in which science is conducted and communicated. Research is being transformed in particular by the increasing availability of digital data and new technologies for gathering, processing and generating digital resources.

In the Communication 'Towards better access to scientific information', the Commission announces that it will 'provide a framework and encourage open access to research data in Horizon 2020, taking into account any restrictions that may be needed in order to protect intellectual property or legitimate commercial interests'.

On 2nd of July 2013, the EC held a one-day public consultation on open research data in Brussels to obtain the input of all concerned stakeholders on this important and sensitive issue. Attendees included stakeholders from the research and publishing communities, as well as libraries, universities and industry representatives. The outcomes of the consultation will help the Commission to develop its policies on open research data.

Search the s

EUROPEAN COMMISSION

Brussels, 17.7.2012
C(2012) 4890 final

COMMISSION RECOMMENDATION

of 17.7.2012

on access to and preservation of scientific information

{SWD(2012) 221 final}
{SWD(2012) 222 final}

"**Policies on OA to scientific research results should apply to all research that receives public funds**. Such policies are expected **to improve conditions for conducting research by reducing duplication of efforts and by minimising the time spent searching for information and accessing it.** This will **speed up scientific progress and make it easier to cooperate across and beyond the EU**. Such policies will also respond to calls within the scientific community for greater access to scientific information." http://bit.ly/Q3sDJ9

"**OA is a key feature of Member States' policies for responsible research and innovation** by making the results of research available to all and by facilitating societal engagement..."

"**Businesses will also benefit from wider access to scientific research results**. Small and medium-sized enterprises in particular will improve their capacity to innovate. Policies on access to scientific information should therefore also facilitate access to scientific information for private companies..." http://bit.ly/Q3sDJ9

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Par le Sieur DE HEDOVVILLE.

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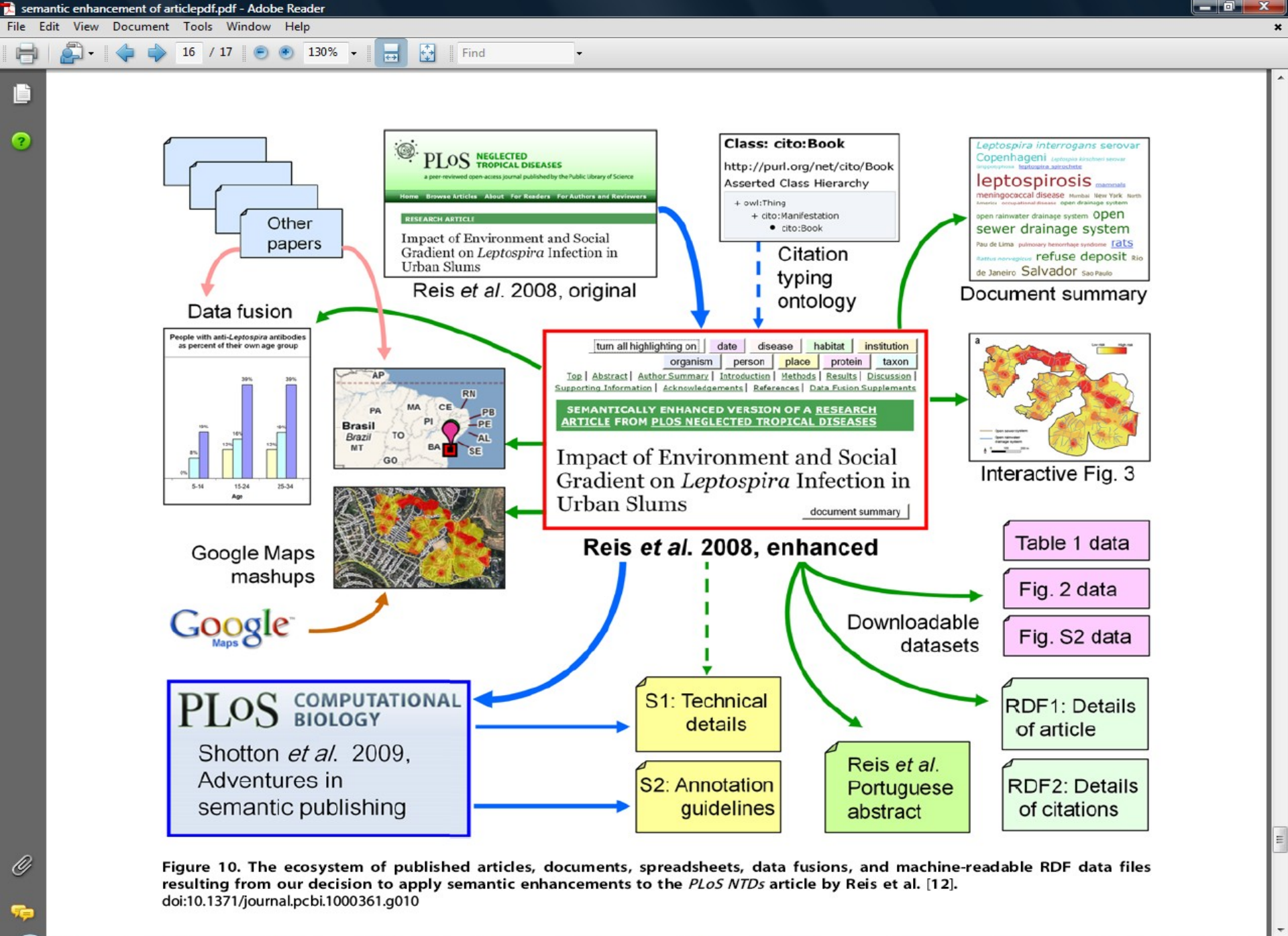ge de S. Iean Baptiste.

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GIVING SOME
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CONSIDERABLE PARTS
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WORLD.

Vol I.
For *Anno* 1665, and 1666.

In the *SAVOY,*
Printed by *T. N.* for *John Martyn* at the Bell, a little with-
out *Temple-Bar*, and *James Allestry* in *Duck-Lane,*
Printers to the *Royal Society.*

Figure 10. The ecosystem of published articles, documents, spreadsheets, data fusions, and machine-readable RDF data files resulting from our decision to apply semantic enhancements to the *PLoS NTDs* article by Reis et al. [12].
doi:10.1371/journal.pcbi.1000361.g010

📁 Zijdeman, R.L. 2009. Like my father before me: intergenerational occupational status transfer during industrialization (Zeeland, 1811-1915)

Document

Article

Like my father before me: intergenerational occupational status transfer during industrialization (Zeeland, 1811–1915)

Event

Conference

7th European Social Science History Conference Lisbon, Portugal March 2008

Aggregation

Zijdeman, R.L. 2009. Like my father before me: intergenerational occupational status transfer during industrialization (Zeeland, 1811-1915)

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http://purl.utwente.nl/ns/escape-pubtypes.owl#Datafile

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Marriage records of the Civil Register from all municipalities in the Dutch province of Zeeland in the period 1811-1915

http://purl.utwente.nl/ns/escape-pubtypes.owl#Datafile

Secondary Education, Zeeland, 1860-1915

http://purl.utwente.nl/ns/escape-pubtypes.owl#Datafile

Train stations, Zeeland, 1860-1915

http://purl.utwente.nl/ns/escape-pubtypes.owl#Datafile

Steam Engines, Zeeland, 1851-1890

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Post Offices, Zeeland, 1803-1918

"Michael Faraday's advice to his junior colleague to: "Work. Finish. Publish." needs to be revised. It shouldn't be enough to publish a paper anymore. If we want open science to flourish, we should raise our expectations to: "**Work. Finish. Publish. Release.**" That is, your research shouldn't be considered complete until the data and meta-data is put up on the web for other people to use, until the code is documented and released, and until the comments start coming in to your blog post announcing the paper. If our general expectations of what it means to complete a project are raised to this level, the scientific community will start doing these activities as a matter of course."

(What, exactly, is Open Science? by Dan Gezelter: http://www.openscience.org/blog/?p=269)

"The Internet has fundamentally changed the world of science and research. For instance, research communities have been experimenting with new ways to register, certify, disseminate and preserve scientific publications. **Research and funding policies need to adapt to this new environment. It should be recommended to Member States to adapt and develop their policies on OA to scientific publications**."
http://bit.ly/Q3sDJ9

"OA to scientific research data enhances data quality, reduces the need for duplication of research, speeds up scientific progress and helps to combat scientific fraud. In its final report 'Riding the wave: How Europe can gain from the rising tide of scientific data'5 in October 2010, the High Level Expert Group on Scientific Data emphasised the critical importance of sharing and preserving reliable data produced during the scientific process. **Policy action on access to data is therefore urgent and should be recommended to Member States.**" http://bit.ly/Q3sDJ9

HEREBY RECOMMENDS THAT MEMBER STATES:

Open access to scientific publications

1.   Define clear policies for the dissemination of and open access to scientific publications resulting from publicly funded research. These policies should provide for:

  –   concrete objectives and indicators to measure progress;

  –   implementation plans, including the allocation of responsibilities;

  –   associated financial planning.

Ensure that, as a result of these policies:

  –   there should be open access to publications resulting from publicly funded research as soon as possible, preferably immediately and in any case no later than six months after the date of publication, and twelve months for social sciences and humanities;

  –   licensing systems contribute to open access to scientific publications resulting from publicly-funded research in a balanced way, in accordance with and without prejudice to the applicable copyright legislation, and encourage researchers to retain their copyright while granting licences to publishers;

  –   the academic career system supports and rewards researchers who participate in a culture of sharing the results of their research, in particular by ensuring open access to their publications and by developing, encouraging and using new, alternative models of career assessment, metrics and indicators;

  –   transparency is improved, in particular by informing the public about agreements between public institutions or groups of public institutions and publishers for the supply of scientific information. This should include agreements covering the so-called 'big deals', i.e. bundles of print and electronic journal subscriptions offered at discounted price;

  –   small and medium-sized enterprises and unaffiliated researchers have the widest and cheapest possible access to scientific publications of the results of

2. Ensure that research funding institutions responsible for managing public research funding and academic institutions receiving public funding implement the policies by:

– defining institutional policies for the dissemination of and open access to scientific publications; establishing implementation plans at the level of those funding institutions;

– making the necessary funding available for dissemination (including open access), allowing for different channels, including digital e-infrastructures

where appropriate, as well as new and experimental methods of scholarly communication;

– adjusting the recruitment and career evaluation system for researchers and the evaluation system for awarding research grants to researchers so that those who participate in the culture of sharing results of their research are rewarded. Improved systems should take into account research results made available through open access and develop, encourage and use new, alternative models of career assessment, metrics and indicators;

– giving guidance to researchers on how to comply with open access policies, especially on managing their intellectual property rights to ensure open access to their publications;

– conducting joint negotiations with publishers to obtain the best possible terms for access to publications, including use and re-use;

– ensuring that results of research that receives public funding are easily identifiable by appropriate technical means, including through metadata

Open access to research data

3. Define clear policies for the dissemination of and open access to research data resulting from publicly funded research. These policies should provide for:

    –   concrete objectives and indicators to measure progress;

    –   implementation plans, including the allocation of responsibilities (including appropriate licensing);

    –   associated financial planning.

    Ensure that, as a result of these policies:

    –   research data that result from publicly funded research become publicly accessible, usable and re-usable through digital e-infrastructures. Concerns in particular in relation to privacy, trade secrets, national security, legitimate commercial interests and to intellectual property rights shall be duly taken into account. Any data, know-how and/or information whatever their form or nature which are held by private parties in a joint public/private partnership prior to the research action and have been identified as such shall not fall under such an obligation;

    –   datasets are made easily identifiable and can be linked to other datasets and publications through appropriate mechanisms, and additional information is provided to enable their proper evaluation and use;

    –   institutions responsible for managing public research funding and academic institutions that are publicly funded assist in implementing national policy by
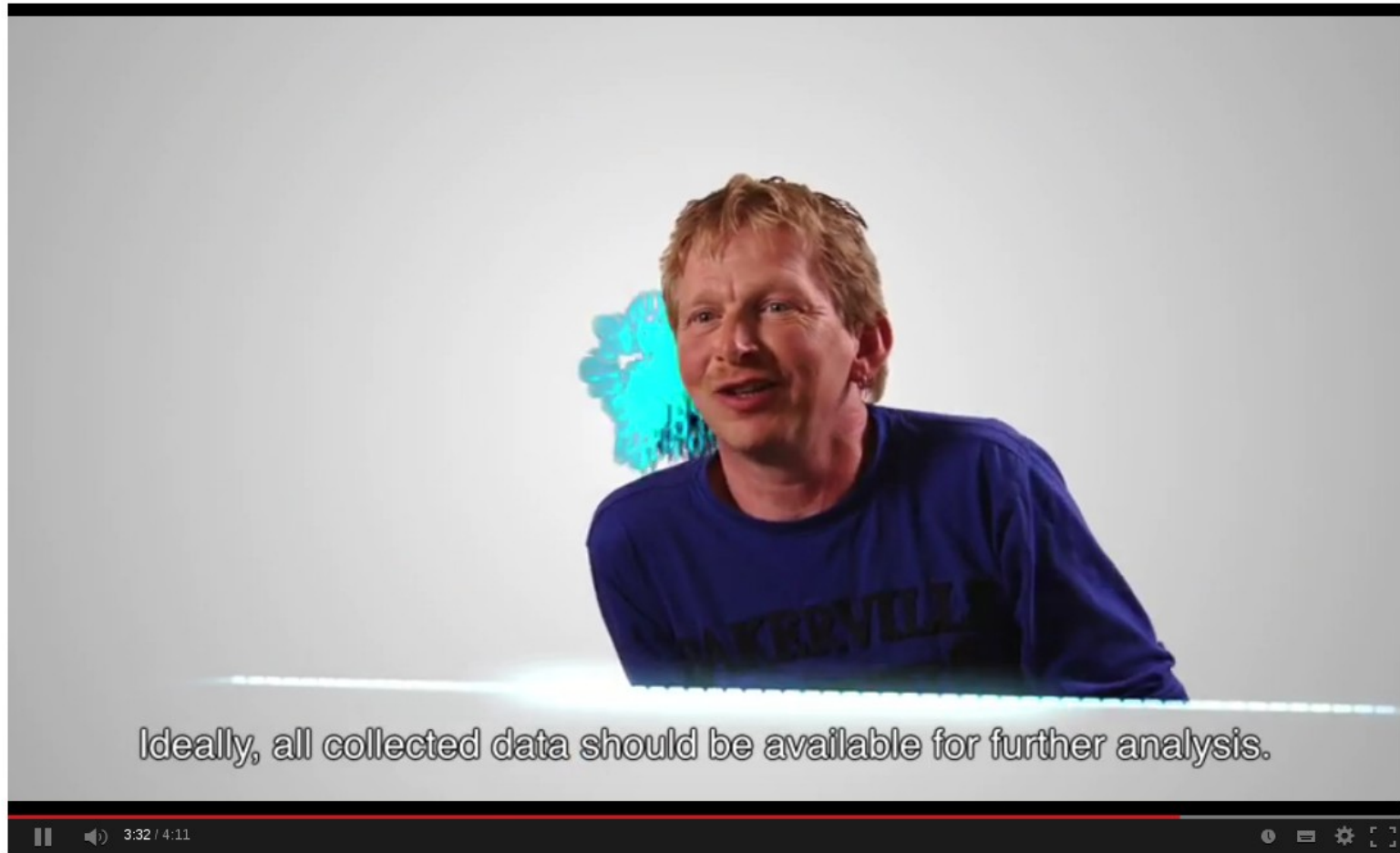
putting in place mechanisms enabling and rewarding the sharing of research data;

    –   advanced-degree programmes of new professional profiles in the area of data-handling technologies are promoted and/or implemented.
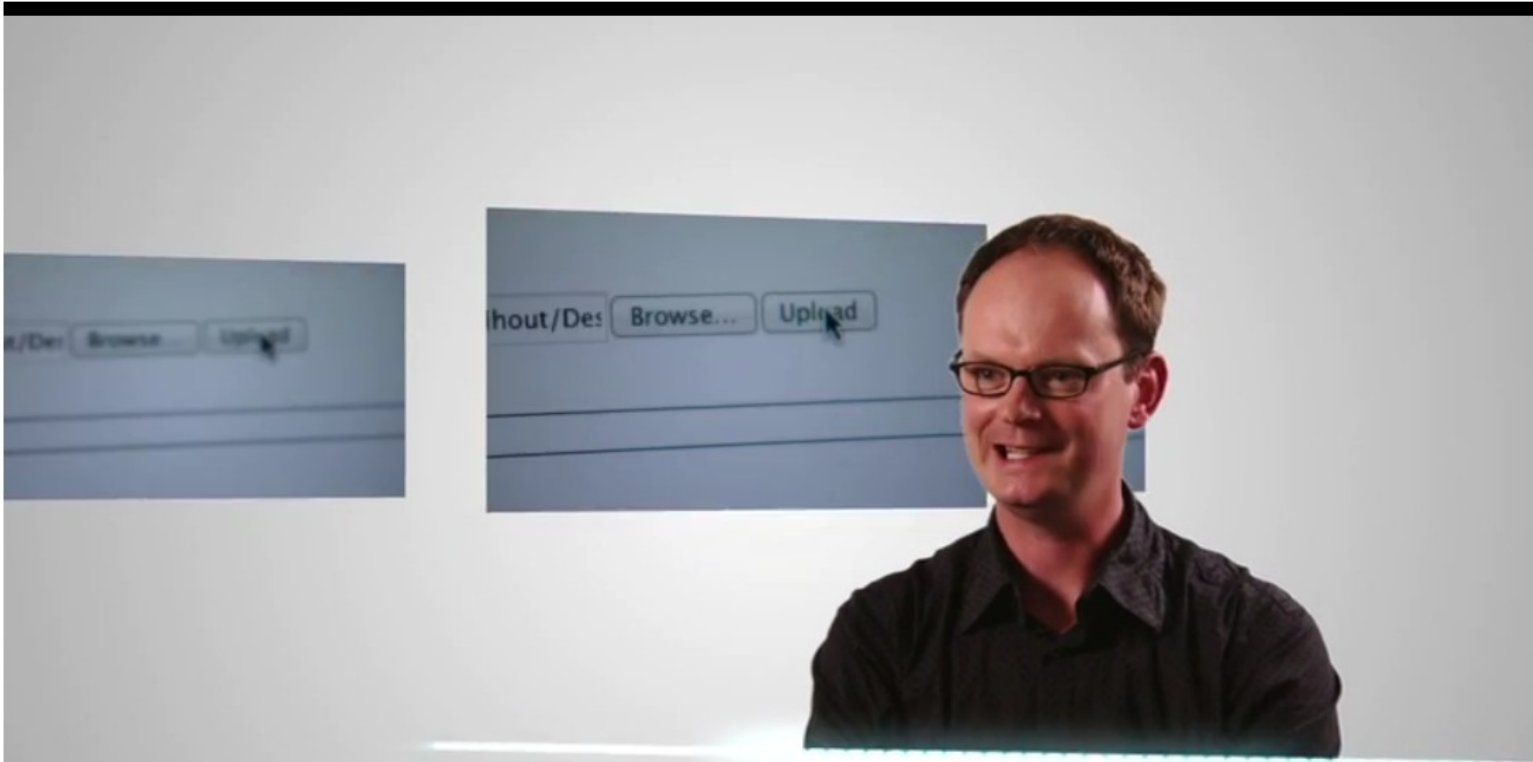
Opera | ► Sharing data: g... ×

Web | www.youtube.com/watch | DANS data sharing video

Ideally, all collected data should be available for further analysis.

II ◄)) 3:32 / 4:11

Sharing data: good for science, good for you

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I estimate that 80% of all data is collecting dust
in drawers or is dying on a hard disk.

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Multi-stakeholder dialogue at national, European and international level

7.   Participate in multi-stakeholder dialogues at national, European and/or international level on how to foster open access to and preservation of scientific information. Participants should in particular look at:

–   ways of linking publications to the underlying data;

–   ways of improving access and keeping costs under control, e.g. through joint negotiations with publishers;

–   new research indicators and bibliometrics encompassing not only scientific publications but also datasets and other types of output from research activity and the individual researcher's performance;

–   new reward systems and structures;

–   the promotion of open access principles and implementation at international level, especially in the context of bilateral, multilateral and international cooperation initiatives.

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Institutional Mandates (183) — Proposed Institutional Mandates (6)

Sub-Institutional Mandates (41) — Proposed Sub-Institutional Mandates (4)

Multi-Institutional Mandates (8) — Proposed Multi-Institutional Mandates (5)

Funder Mandates (83) — Proposed Funder Mandates (12)

Thesis Mandates (107)

COUNTRY   INSTITUTION(s) or FUNDER(s)   REPOSITORY URL(s)   Policy details
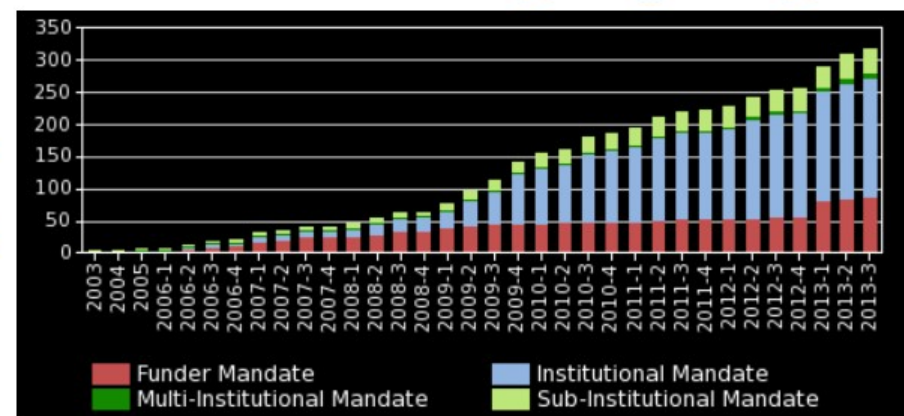
National Principles for Open Access Policy Statement

Open Access adds value to research, to the economy and to society. The outputs from publicly-funded research should be publicly available to researchers, but also to potential users in education, business, charitable and public sectors, and to the general public.

National Steering Committee on Open Access Policy

A Committee of Irish research organisations is working in partnership to coordinate activities and to combine expertise at a national level to promote unrestricted, online access to outputs[1] which result from research that is wholly or partially funded by the State.

Ireland already has considerable expertise in developing Open Access to publicly funded research, aligned with international thinking and initiatives, and is now seeking to strengthen its approach to support international developments on Open Access led by the European Commission, Science Europe and other international agencies.

Definition of Open Access

We define Open Access as[2]:

> "...free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited".

Common Principles

The Committee adopts the following common principles on Open Access policy which provide an overarching framework for individual research organisations policies on Open Access. Please note that individual organisation policies on Open Access may include more specific conditions.

1. This policy confirms the freedom of researchers to publish wherever they feel is the most appropriate.

2. This policy is intended to increase the visibility of, and improve access to, the outputs of research funded by the Irish State, where such research is published by the researcher(s) concerned.

3. This policy is designed to support the free flow of information across national and international research communities; to support the principle of research-enabled teaching and learning and the generation of Open Educational Resources (OER); to contribute to Open Innovation through richer and more effective knowledge transfer and diffusion; and to support greater transparency, accountability and public awareness of the results of publicly funded research.

en | 12:17 PM | Iryna

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European Commission

A study funded by the European Commission (EC) suggests that OA is reaching the tipping point, with around **50% of scientific papers published in 2011 now available for free**.

"The tipping point for OA (more than 50% of the papers available for free) has been reached in several countries, including Brazil, Switzerland, the Netherlands, the US, as well as in biomedical research, biology, and mathematics and statistics."

Eric Archambault, Didier Amyot, Philippe Deschamps, Aurore Nicol, Lise Rebout & Guillaume Roberge: Proportion of Open Access Peer-Reviewed Papers at the European and World Levels—2004-2011 (August 2013)

http://www.science-metrix.com/pdf/SM_EC_OA_Availability_2004-2011.pdf

OA policies: the majority of 48 major science funders considered both OA publications in journals & self-archiving in OA repositories.

More than 75% accepted embargo periods of between six to 12 months.

Eric Archambault, Didier Amyot, Philippe Deschamps, Aurore Nicol, Lise Rebout & Guillaume Roberge: Proportion of Open Access Peer-Reviewed Papers at the European and World Levels—2004-2011 (August 2013)

http://www.science-metrix.com/pdf/SM_EC_OA_Availability_2004-2011.pdf

blogs.lse.ac.uk/impactofsocialsciences/2013/10/22/swan-eu-open-access-policy/

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Oct 22 2013

As the European Commission paves the way for open access, a consistent policy environment is needed across the EU.

Blog Admin

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The European Commission has extended and solidified its open access policy for the upcoming Horizon 2020 research funding programme. Alma Swan welcomes the clear signal from Brussels which has issued a Recommendation for Member States to follow its lead. But the policy picture across the Union is patchy and there is a need for a simple, consistent set of requirements to create a harmonised research environment across the EU.

From the perspective of the UK, it may seem that Open Access policy development is caught in a whirlpool and, indeed, within the UK it is. But elsewhere in Europe the landscape is relatively uncomplicated and the signposts are clear. In July 2012, the European Commission released two documents. One was an official Communication, an expression of its own policy intent. It stated that there would be a mandatory Open Access policy covering all areas of research funded under the Horizon 2020 programme. Horizon 2020 (H2020) is the next European research funding programme and will run from January 2014 to December 2020.

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Does the expectation to b[e]
continuously relevant
undermine our ability to b[e]
able to compare and
contextualise?
bit.ly/1ed6HVG

Dominique Babin[i]
@dominiquebabini

the academic reward
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Goals	Promotion of stand-alone scientific publications in a satisfactory yet economical manner in order to make them available to a broader public
Requirements	Presentation of results of basic scientific research
Level	- Lump-sum grant in the amount of EUR 14,000.00 for production, simultaneous open access publication and editing - Lump-sum grant in the amount of EUR 18,000.00 for production, simultaneous open access publication and foreign language editing or translation - Additional grant of EUR 2,000.00 if the publisher itself conducts the peer review
Applications	- Accepted continuously, no application deadlines - With a proofreadable version of the text / the text in the original language
Allocation	By the FWF Board based on an international review process
Processing time	Approx. 4-6 months (or 2 months if the publisher itself conducts the peer review)

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Tue, Apr 23rd 2013
11:59pm

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from the *not-bad* dept

Traditionally, there has been a blithe assumption that more innovation occurs when patents are granted than when they are not. But as Techdirt has reported, people are finally beginning to call that into **question**. A forthcoming paper from an economist at MIT, Heidi Williams, provides another example of where that is not the case: in the field of genomics (via **@gsDetermination**).

Williams has looked at the academic papers that flowed from two major competing projects: the global Human Genome Project (HGP), which placed all its result in the public domain, and Craig Venter's company Celera, which sought to patent as much as it could of the sequences that it obtained. Here's how National Journal's **Brian Fung describes her results**:

> Using a standard measure of academic-knowledge production, she compared the number of papers published using HGP data and Celera data. By 2009, genes that had been sequenced in 2001 from HGP had produced an average of 2.1 academic papers a year, while genes sequenced that same year by Celera led to just 1.2 papers a year over the next eight years. Even though the annual pace of Celera-linked papers rose rapidly after its IP was lifted in 2003, it never caught up to the rate of publication tied to the always-open non-Celera data.

And if you're worried that this is just one, possibly imperfect measure of innovation, Williams also looked at the number of diagnostic tests developed for both sets of genes. The result was the same: that tests based on the public genome's sequences were twice as common as those based on Celera's patented genes.

She concludes:

> If Celera genes had counterfactually had the same rate of subsequent innovation as non-Celera genes, there would have been 1,400 additional publications between 2001 and 2009 and 40 additional diagnostic tests as of 2009

Remarkably, it's not only academically that the Human Genome Project has proved its worth. **According to estimates found in a report published in 2011**:

> between 1988 and 2010, federal investment in genomic research generated an economic impact of $796 billion, which is impressive considering that Human Genome Project (HGP) spending between 1990-2003 amounted to $3.8 billion. This figure equates to a return on investment (ROI) of 141:1 (that is, every $1 invested by the U.S. government generated $141 in economic activity).

(But note that **more recent calculations have put the ROI nearer to 60:1** -- lower, but still an impressive figure.)

In other words, as well as growing the store of human knowledge more effectively, publicly-funded research that does not seek patents on its work can provide taxpayers with big economic paybacks, too -- something worth remembering at a time when researchers are under increasing pressure to patent everything they can.

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On policy

Every institution of higher education should have a **policy assuring that peer-reviewed versions of all future scholarly articles by faculty members are deposited in the institution's designated repository**

On policy (2)

Deposits should be made as early as possible, ideally at the time of acceptance, and no later than the date of formal publication

On policy (3)

University policies should respect faculty freedom to submit new work to the journals of their choice.

University policies should encourage but not require publication in OA journals, and should help faculty understand the difference between depositing in an OA repository and publishing in an OA journal.

On policy (4)

When publishers will not allow OA on the university's preferred terms, we recommend either of two courses:

The policy may require dark or non-OA deposit in the repository until permission for OA can be obtained.

Or **the policy may grant the institution a nonexclusive right to make future faculty research articles OA through the repository** (w/without the option for faculty to waive this grant of rights for any given publication).

On policy (5)

Every institution of higher education offering advanced degrees should have a **policy assuring that future theses and dissertations are deposited upon acceptance in the institution's OA repository**. At the request of students who want to publish their work, or seek a patent on a patentable discovery, policies should grant reasonable delays rather than permanent exemptions.

On policy (6)

We discourage the use of journal impact factors as surrogates for the quality of journals, articles, or authors.

We encourage the development of alternative metrics for impact and quality which are less simplistic, more reliable, and entirely open for use and reuse.

On policy (7)

Insofar as universities, funding agencies, and research assessment programs need to measure the impact of individual articles, they should use article-level metrics, not journal-level metrics

D☼RA San Francisco Declaration on Research Assessment

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EMAIL YOUR THOUGHTS ON DORA

The San Francisco Declaration on Research Assessment (DORA), initiated by the American Society for Cell Biology (ASCB) together with a group of editors and publishers of scholarly journals, recognizes the need to improve the ways in which the outputs of scientific research are evaluated. The group met in December 2012 during the ASCB Annual Meeting in San Francisco and subsequently circulated a draft declaration among various stakeholders. DORA as it now stands has benefited from input by many of the original signers listed below. It is a worldwide initiative covering all scholarly disciplines. We encourage individuals and organizations who are concerned about the appropriate assessment of scientific research to sign DORA.

San Francisco D☼RA
Declaration on Research Assessment

[Download the Declaration (PDF)] [Download the DORA Logo (ZIP)]

San Francisco Declaration on Research Assessment

Putting science into the assessment of research

There is a pressing need to improve the ways in which the output of scientific research is evaluated by funding agencies, academic institutions, and other parties.

To address this issue, a group of editors and publishers of scholarly journals met during the Annual Meeting of The American Society for Cell Biology (ASCB) in San Francisco, CA, on December 16, 2012. The group developed a set of recommendations, referred to as the *San Francisco Declaration on Research Assessment*. We invite interested parties

News About DORA

- DORA has been translated into Japanese - *click for article (PDF)*

- Time To Change How Research is Assessed - *click for article*

On policy (8)

Universities with institutional repositories should require deposit in the repository for all research articles to be considered for promotion, tenure, or other forms of internal assessment and review.

Similarly, **governments performing research assessment should require deposit in OA repositories for all research articles to be reviewed for national assessment purposes**.

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National funder information

To view figures on the research output associated with the funding that it provides.

To see the ratio of OA articles in a given funding area, usage statistics and publications per project funded.

To have a figure for 'impact of funding'.

Thank you! Questions?

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