PASTEUR4OA

Nexa Center for Internet & Society
Politecnico di Torino

Open Access Policy Alignment: the Pasteur4OA project and Italian OA practices

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+ referents of the 14 Italian universities that collaborated

Outline

- Introduction to PASTEUR4OA
- Study on the Italian OA policies: goals and methodology
- Results and recommendations
- Tool: oa-checker

INTRODUCTION TO PASTEUR4OA

PASTEUR4OA

PASTEUR4OA: Open Access Policy Alignment Strategies for European Union Research

Grant Agreement: 611742

Theme: Science in Society

Topic: SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of Open Access strategies and policies and to their coordination in the European Research Area;

Type : CSA

Duration: February 2014 – July 2016 (30 months)

Budget: 1.935.940,00 €

EU funding: 100% for direct costs and 7% for indirect costs

Partners: 15 partners from 10 countries

Website: http://www.pasteur4oa.eu/

Partners

PASTEUR4OA/Partners

- EKT/NHRF - National Documentation Centre
- EOS - Enabling Open Scholarship
- UMINHO - University of Minho
- CRIStin – University of Oslo
- EIFL
- EuroCRIS
- MTA Konyvtar – Hungarian Academy of Sciences
- POLITO – Politecnico di Torino
- SPARC Europe
- LIBER
- Jisc
- Hacettepe University
- Open Knowledge
- FRS FNRS
- LMT – Research Council of Lithuania

http://www.pasteur4oa.eu/partners

Goals of PASTEUR4OA

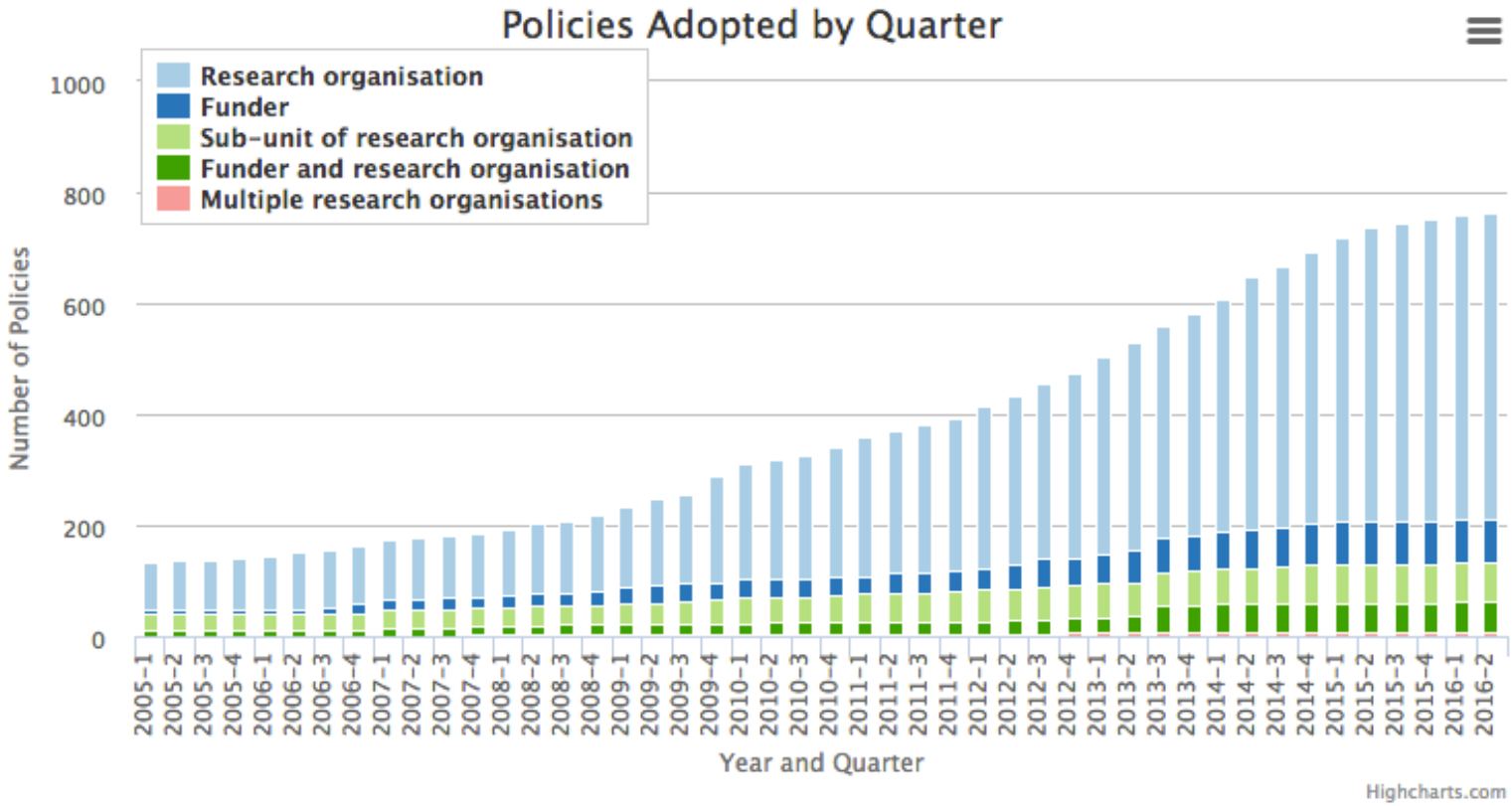
1. Increase awareness on Open Access policies and foster the comprehensions of their benefits
2. Support the development of the policies, aiming at their alignment and with Horizon 2020 OA requirements, by
   A. involving policymakers
   B. producing advocacy materials
   C. collecting empirical evidence, good practices and case studies
3. Create a network of experts on Open Access policies: the Knowledge NeT

ROARMAP

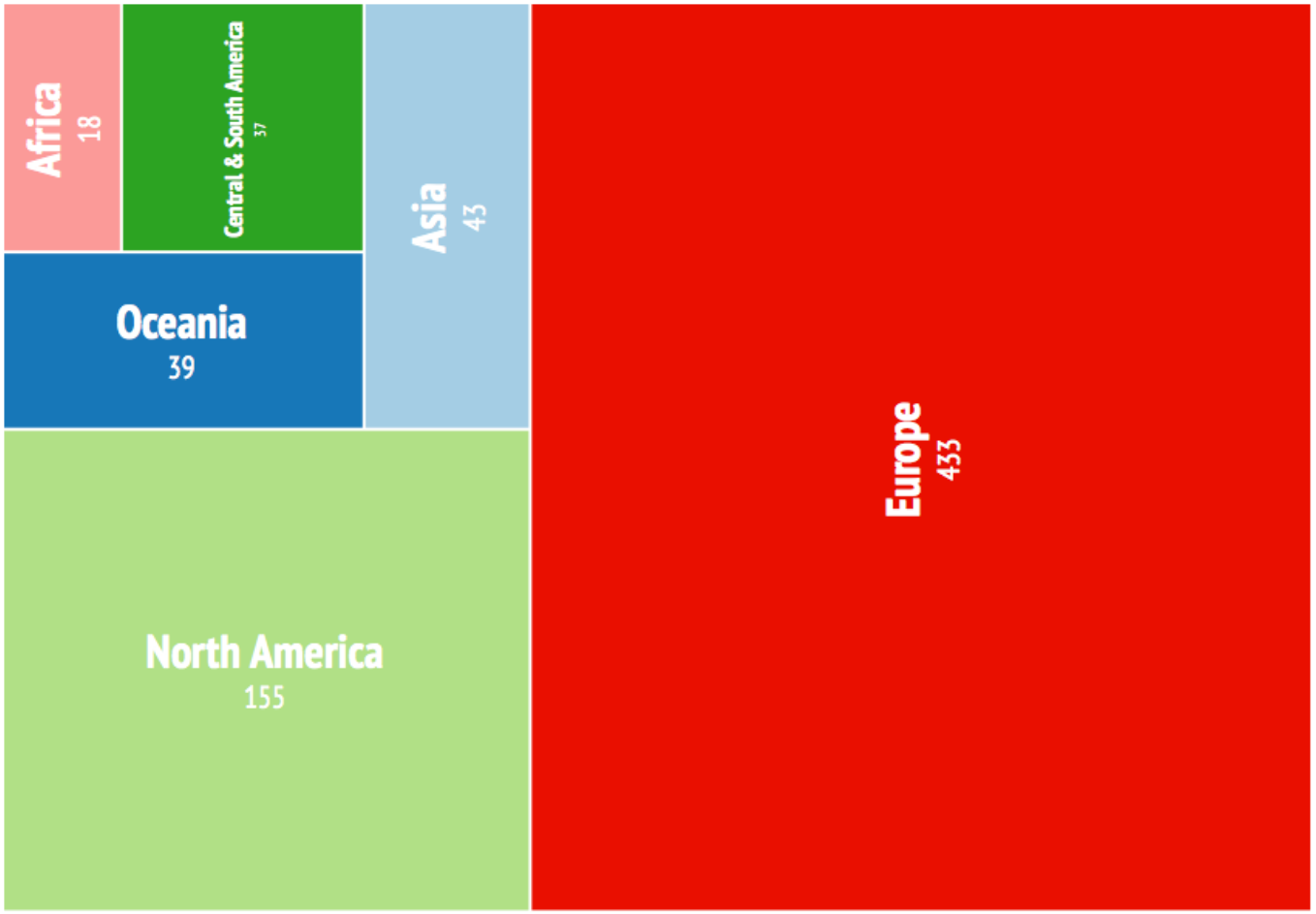
- International registry of OA policies
  - Funders
  - Research organisations
  - Sub-unit of research organisations

- http://roarmap.eprints.org/

Policies in ROARMAP

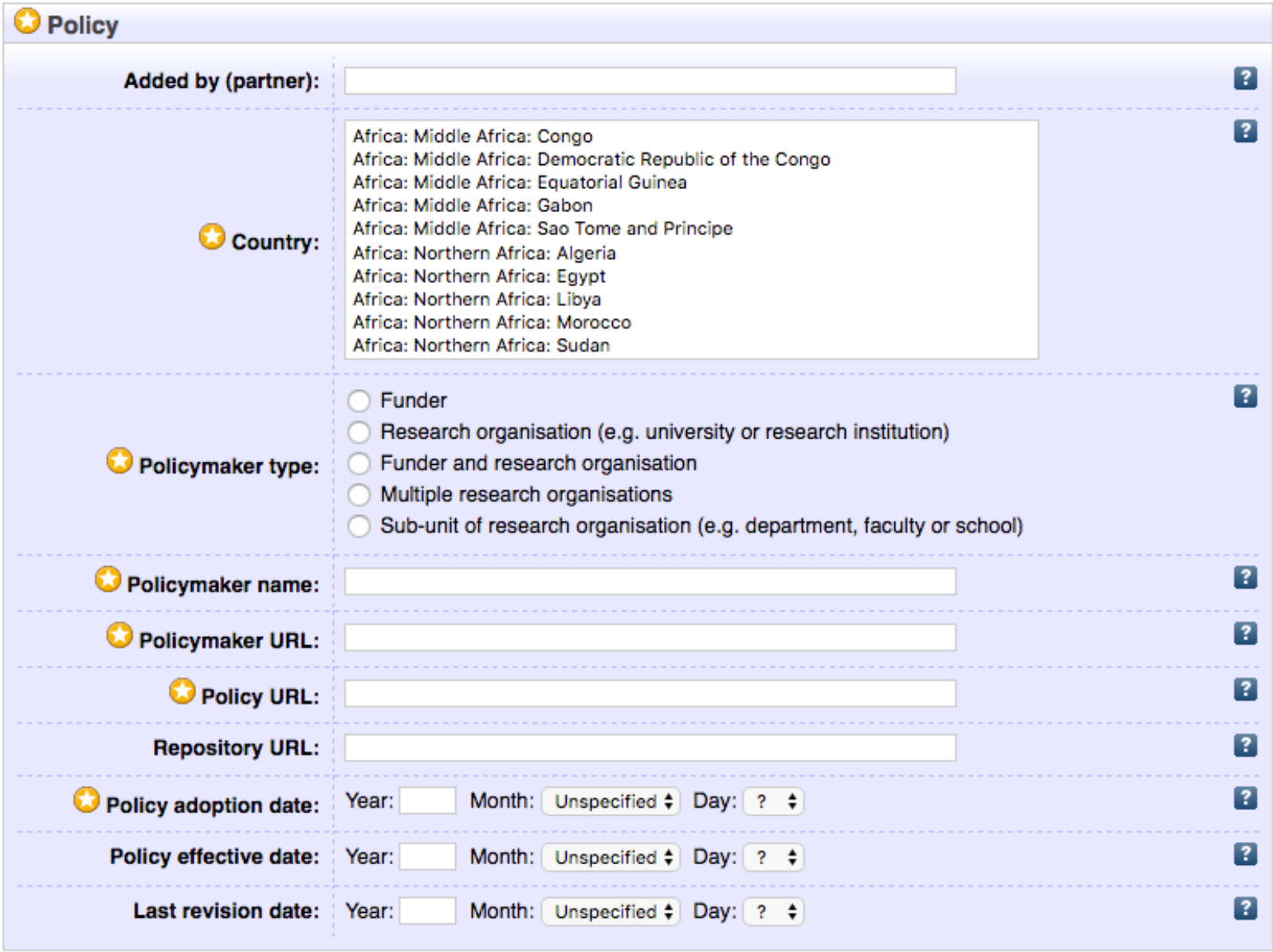


Politiche OA nel mondo



http://pasteur4oa-dataviz.okfn.org/

Classification in Roarmap (I)



Meta

Source of policy:
- ○ Administrative/management decision
- ○ Faculty vote
- ○ Not Mentioned
- ○ Other

Deposit of item:
- ○ Required
- ○ Requested
- ○ Unspecified

Locus of deposit:
- ○ Institutional Repository
- ○ Subject repository
- ○ Any suitable repository
- ○ Not Specified

Date of deposit:
- ○ No later than the time of acceptance
- ○ No later than the publication date
- ○ By end of policy-specified embargo
- ○ When publisher permits
- ○ Not Specified
- ○ Other

Content types specified under the mandate:
- ☐ Peer-reviewed manuscripts
- ☐ ETDs
- ☐ Books
- ☐ Book Sections
- ☐ Data
- ☐ Not Specified
- ☐ Other

Journal article version to be deposited:	○ Author's final peer-reviewed version ○ Published edition (version of record) ○ Other ○ Not Specified
Can deposit be waived?:	○ Yes ○ No ○ Not specified ○ Not Applicable
Making deposited item Open Access:	○ Required ○ Requested or recommended ○ Not Mentioned ○ Other
Can making the deposited item Open Access be waived?:	○ Yes ○ No ○ Not Specified ○ Not applicable
Date deposit to be made Open Access:	○ Acceptance date ○ Publication date ○ By end of policy-permitted embargo ○ When publisher permits ○ As soon as the deposit is completed ○ Not Mentioned ○ Other
Is deposit a precondition for research evaluation (the 'Liège/HEFCE Model')?:	○ Yes ○ No ○ Not Specified
Rights holding:	○ Author grants key rights to institution ○ Institution or funder retains key rights ○ Author retains key rights ○ None of these

Can rights retention be waived?:	○ Yes ○ No ○ Not Applicable ○ Not specified
Can author waive giving permission to make the article Open Access?:	○ Yes ○ No ○ Not Applicable ○ Not specified
Policy's permitted embargo length for science, technology and medicine:	○ 0 months ○ 6 months ○ 12 months ○ 24 months ○ Longer ○ Not Specified
Policy's permitted embargo length for humanities and social sciences:	○ 0 months ○ 6 months ○ 12 months ○ 24 months ○ Longer ○ Not Specified
Can maximal allowable embargo length be waived?:	○ Yes ○ No ○ Not Applicable ○ Not specified

Open licensing conditions:	○ Does not require any re-use licence ○ Requires an open licence without specifying which one ○ Requires CC-BY or equivalent ○ Requires CC-BY-NC or equivalent ○ Requires a different open licence ○ Other ○ Not specified
Gold OA publishing option:	○ Required ○ Recommended as an alternative to Green self-archiving ○ Permitted alternative to Green self-archiving ○ Not Specified ○ Other
Funding for APCs where charged by journals:	○ Funder allows APCs to be paid from research grant ○ Funder provides specific additional funding for APCs ○ Institution provides funding ○ Not Mentioned ○ Other
APC fund URL (where available):	

STUDY ON THE ITALIAN OA POLICIES:

GOALS AND METHODOLOGIES

Study goals

Homologate the classification of OA policies of Italian universities on ROARMAP

Develop a methodology to support next ROARMAP entries

Derived research and policy support goals

1. Use the classification to verify the alignment of OA policies
2. Verify the alignment with European and international good practices:
   A. Horizon 2020
      i) H2020 General Model Grant Agreement — Multi (Version 2.1, 1 October 2015): ARTICLE 29 — DISSEMINATION OF RESULTS — OPEN ACCESS — VISIBILITY OF EU FUNDING (**http://bit.ly/1gf7a9k**)
      ii) Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020 (Version 2.1, 15 February 2016): § 3. Mandate on open access to publications **http://bit.ly/19regtt** (Version 2.1, 15 Febbraio 2016)
   B. Recommendations from Shieber-Suber **http://bit.ly/1VE227J** (30 Settembre 2013)

Policies OA Italian Universities

AISA

Associazione italiana per la promozione della scienza aperta

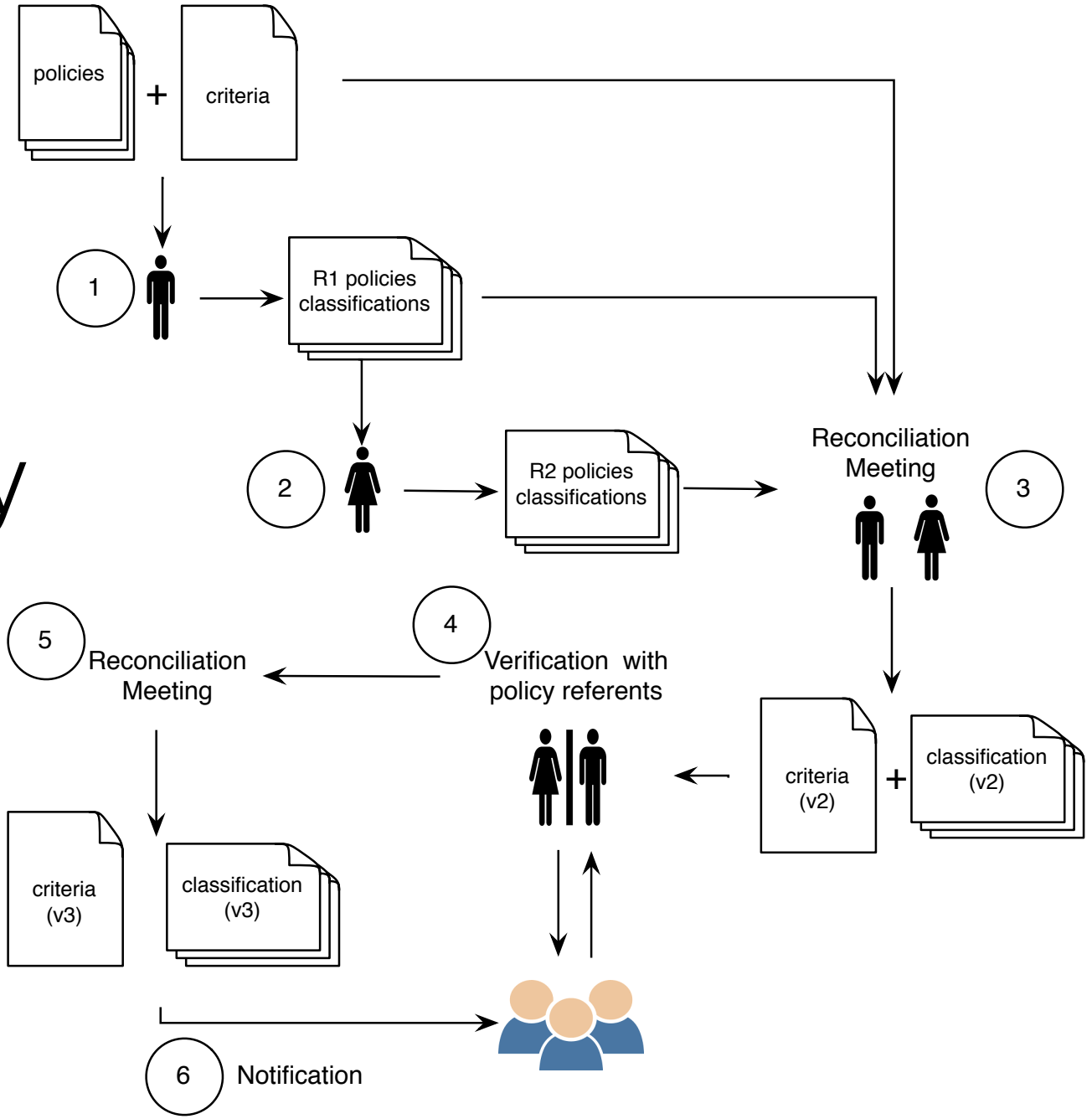
Politiche

A oggi, in Italia, solo queste università hanno un regolamento o una disciplina per l'accesso aperto:

1. Università di Bergamo
2. Università di Cagliari
3. Università di Ferrara
4. Università di Firenze
5. Politecnico di Milano
6. Università di Milano
7. Università di Napoli "Federico II" (linee di indirizzo, licenza di deposito)
8. Università di Padova
9. Università di Pisa (regolamento, indirizzo)
10. Università di Torino
11. Università di Trento
12. Università di Trieste
13. Università di Udine
14. Università di Venezia Ca' Foscari

Listed on AISA website on December 2015

Methodology



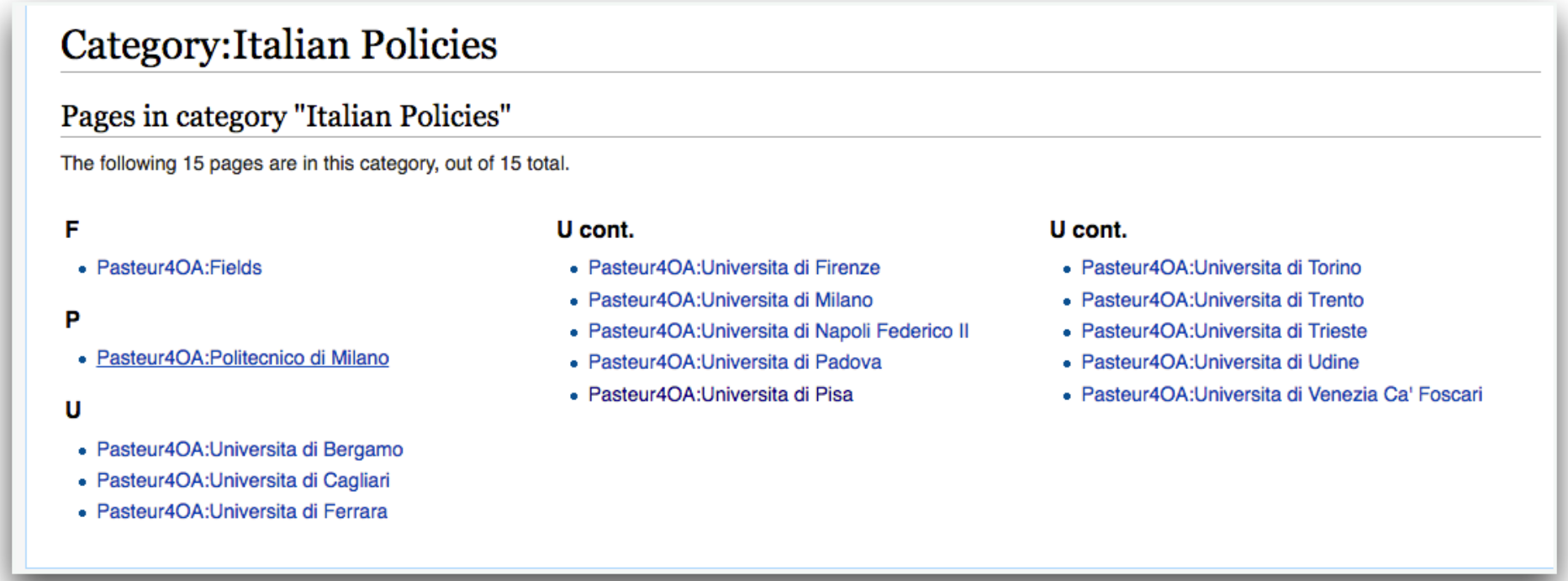
Classifications

https://goo.gl/G9CSjj

	A	B	C	D	E
1	**FIELD ROARMAP**	**Politecnico di Milano**	**Università di Bergamo**	**Università di Cagliar**	**Università di Ferrara**
2	1. Source of Policy	Faculty vote	Faculty vote	Faculty vote	Faculty vote
3	2. Deposit of item	Required	Required	Required	Required
4	3. Locus of deposit	Institutional Repository	Institutional Repository	Institutional Reposit	Institutional Repository
5	4. Date of deposit	No later than the time of a	No later than the publication date	No later than the pu	No later than the pul
6	5. Content types specified under the mandate:				
7	Peer-reviewed manuscripts	Not checked	YES	Not checked	YES
8	ETDs	Not checked	YES	Not checked	YES
9	Books	Not checked	YES	Not checked	YES
10	Book Sections	Not checked	YES	Not checked	YES
11	Data	Not checked	Not checked	Not checked	Not checked
12	Not Specified	YES	Not checked	YES	Not checked
13	Other	Not checked	YES	Not checked	YES
14	6. Journal article version to be deposited:	Author's final peer-reviewe	Author's final peer-reviewed ver	Published edition (v	Published edition (ve
15	7. Can deposit be waived?	Yes	No	Not specified	Not specified
16	8. Making deposited item Open Access	Required	Required	Requested or recon	Requested or recom
17	9. Can making the deposited item Open Access be waived?	Yes	No	Not applicable	Not applicable
18	10. Date deposit to be made Open Access	Other	Other	Other	Other
19	11. Is deposit a precondition for research evaluation (the 'Liège/HEFCE Model')'	Yes	Yes	Not Specified	No
20	12. Rights holding	Author retains key rights	Author retains key rights	Author retains key ri	Author retains key ri
21	13. Can rights retention be waived?	Yes	Not specified	Yes	Not specified
22	14. Can author waive giving permission to make the article Open Access?	Yes	No	Not Applicable	Not specified
23	15. Policy's permitted embargo length for science, technology and medicine	Not Specified	Not Specified	Not Specified	Not Specified

Classifications and used criteria

- https://wiki.nexacenter.org/view/Category:Italian_Policies



Category:Italian Policies

Pages in category "Italian Policies"

The following 15 pages are in this category, out of 15 total.

F

- Pasteur4OA:Fields

P

- Pasteur4OA:Politecnico di Milano

U

- Pasteur4OA:Universita di Bergamo
- Pasteur4OA:Universita di Cagliari
- Pasteur4OA:Universita di Ferrara

U cont.

- Pasteur4OA:Universita di Firenze
- Pasteur4OA:Universita di Milano
- Pasteur4OA:Universita di Napoli Federico II
- Pasteur4OA:Universita di Padova
- Pasteur4OA:Universita di Pisa

U cont.

- Pasteur4OA:Universita di Torino
- Pasteur4OA:Universita di Trento
- Pasteur4OA:Universita di Trieste
- Pasteur4OA:Universita di Udine
- Pasteur4OA:Universita di Venezia Ca' Foscari

RESULTS AND RECOMMENDATIONS

1. POLICIES ALIGNMENT

Common factors

- Policies always went through a vote of the University Senate
- Deposit is mandatory in most of the cases, all universities have an institutional repository
- The most common research resources are enlisted within the policies, but very few mention explicitly the research data
- Research evaluation is bound in the majority of universities to the solely items deposited in the institutional repository
- The authors are the owner of the rights on the deposited item
- The embargo for the publications is very often not clearly specified
- There are no obligations for the "gold road" and no specific fundings are mentioned

Discriminant factors

- Date of deposit (acceptance date, publication date)
- Version to be deposited (pre-print, post-print, or both accepted)
- Waiver on the deposit
- OA mandatory, possibility of the waiver, and the date for making the deposit OA
- Waiver on the rights and on the publication in OA
- The use of specific licenses for the reuse of the deposited items

2. ALIGNMENT WITH GOOD PRACTICES AND RECOMMENDATIONS

OA by default

- Implemented by 7 policies
  - But only in 3 universities the waiver is not allowed

- Recommendation: mandatory deposit without waiver

Policy vs Practice

- Gap between policy and practice, ambiguity in some terms
- Causes:
  - technical limitations on enforcing obligations
  - OA introduction is a long process
- Recommendation:
  - reduce terms ambiguity
  - the copyright reform might help handling related issues

Mandatory deposit without waiver

- Mandatory deposit without waiver in 4 universities
- On the metadata, in 9 universities
- Pre-print admitted only in 3 universities

- Recommendation:
  - no waiver
  - a certain tolerance on“dark deposit”

Research data, a neglected resources

- Explicitly mentioned in 4 universities
- Recommendation:
  - Data Management Policy + infrastructure (Open Research Data default from January 2017 in H2020)
  - External infrastructures available on http://www.re3data.org/
  - Pave the way to **Big Open Access** in a context of **Big Open Data**

Gold road:an alternative?

- Alternative to self archiving in H2020 (but deposit in repository in still mandatory), additional in Suber-Shieber
- 12 policies “conform” to Suber-Shieber, but financial sustainability is not specified
- Recommendation:
  - Mention sustainable solutions for Gold Road

Reuse licenses

- Free access + libre access
- Only 2 universities make both explicit

- Recommendation:
  - Explicit reference to the use of licenses CC-BY and CC-0

Bottom-up approach

- Vote from Academic Senate in all universities

- Recommendation:
  - Continuos, transversal education on OA principles

Limitations

- ROARMAP classification schema does not really match to the Italian legal context
- There are no unique definitions in the schema
- The text of a policy is not easily reducible to binary classifications: a lot of information is lost in the transformation
- Notwithstanding the application of a rigorous methodology, subjective interpretations can still be present

TOOL: OA-CHECKER

OA checker

http://oa-check.nexacenter.org

View H2020 compliancy of ROARMAP policies.

About Search By country By type

Search

PASTEUR4OA—Open Access Policy Alignment Strategies for European Union Research funded by the Seventh Framework Programme for Research and Development (FP7).

Site developed by Nexa Center for Internet & Society, Politecnico di Torino, DAUIN.

Type research org Last Modified 2016-02-23 11:08:52

(policy maker url) (repository url) (policy url)

Compliance 42.86%

2. deposit of item	true
3. locus of deposit	true
4. date of deposit	true
5. mandate content types	false
6. journal article version	true
7. can deposit be waived	false

5. mandate content types

false

value: [not specified,]

reason: is 'not specified'

GMGA refs:

- Sect. 29.2.1
- Sect. 29.2.2.a.2

Guidelines refs:

- Sect. 3.1
- Sect. 3.3
- Sect. 3.4
- Sect. 3.11

Conclusions

- This is an exploratory work and should be intended as a contribution and methodological support for specific followups:
  - for the evolution of the existing policies
  - for those universities that will adopt an OA policy
  - to check the alignment between policies, although keeping in mind that context specific needs might always result in misalignments

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THANKS

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