

Science Europe Principles on Open Access to Research Publications



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Science Europe Member Organisations are committed to ensuring that publicly-funded research and innovation in Europe has the maximum impact, leading to new discoveries, and providing solutions that deliver societal benefit.

Research publications are one of the main results of the research process and the Research Performing and Research Funding Organisations that comprise Science Europe share the vision of increasing the impact and reducing the costs of research publications by moving to a system of Open Access. These principles were adopted by Science Europe Member Organisations to help achieve that vision.

Introduction

Open Access, as defined in the Berlin Declaration,¹ means unrestricted, online access to peer-reviewed, scholarly research papers for reading and productive re-use, not impeded by any financial, organisational, legal or technical barriers. Ideally, the only restriction on use is an obligation to attribute the work to the author.

Open Access improves the pace, efficiency and efficacy of research, and heightens the authors' visibility, and thus the potential impact of their work. It removes structural and geographical barriers that hinder the free circulation of knowledge and therefore contributes to increased collaboration, ultimately strengthening scientific excellence and capacity.

By enabling re-use and computational analysis of published material, Open Access sparks innovation and facilitates interdisciplinary research, as well as scholarly exchange on a global scale, not only for the benefit of the research community but also for the economy and society as a whole.

Each Science Europe Member Organisation is implementing policies according to its own needs; however, by committing to a shared set of principles they ensure consistency and coherence in their efforts. These principles are the basis on which the Members of Science Europe continue to cooperate, by exchanging experience and information and engaging in collective activities to support the transition to Open Access.

Ultimately the transition to Open Access is a world-wide process and, with these principles, Science Europe wishes to contribute to the discussion at global level.

Principles on the Transition to Open Access to Research Publications

 **Adopted April 2013**

Science Europe Member Organisations share the view that:

-  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.
-  Open Access to the published results of publicly-funded research will have huge value for the research community and will offer significant social and economic benefits to potential users in industry, charitable and public sectors, to individual professionals, and to the general public.
-  Open Access, as defined in the Berlin Declaration, is not only about the right of access, but also about the opportunity to re-use information with as few restrictions as possible, subject to proper attribution.
-  The common goal of Science Europe Members is to shift to a research publication system in which free access to research publications is guaranteed, and which avoids undue publication barriers. This involves a move towards Open Access, replacing the present subscription system with other publication models whilst redirecting and reorganising the current resources accordingly.

Science Europe is committed to playing a role in accomplishing the transition to Open Access as quickly as possible, in an efficient and sustainable way, and thus avoiding unnecessary costs. This transition process must be as co-ordinated and transparent as possible. Therefore, the Science Europe Member Organisations:

- 1** continue to support any valid approaches to achieve Open Access, including those commonly referred to as the 'green' and 'gold' routes;
- 2** recognise repositories and related facilities as key strategic research infrastructure which should comply with high quality standards;

- 3 advocate that research publications should either be published in an Open Access journal or be deposited as soon as possible in a repository, and made available in Open Access in all cases no later than six months following first publication. In Arts, Humanities and Social Sciences, the delay may need to be longer than six months but must be no more than 12 months;
- 4 require that as part of the publication services provided against the payment of Open Access publication fees, effective mechanisms are in place to ensure that the publication of research outputs is subject to rigorous quality assurance;
- 5 will co-ordinate efforts to ensure the efficient and cost effective use of public funds, and combine programmes for covering Open Access costs with budget control mechanisms and to build up monitoring systems for these costs;
- 6 accept that it is essential that Open Access transactions need to be managed efficiently, with the co-operation of all parties involved;
- 7 require that funding of Open Access publication fees is part of a transparent cost structure, incorporating a clear picture of publishers' service costs;
- 8 expect publishers to apply institutional-, regional-, or country-based reductions in journal subscriptions, in line with increases in author- or institution-pays contributions;
- 9 stress that the hybrid model, as currently defined and implemented by publishers, is not a working and viable pathway to Open Access. Any model for transition to Open Access supported by Science Europe Member Organisations must prevent 'double dipping' and increase cost transparency;
- 10 recognise that some redirection and reorganisation of current budgets will be necessary. Governments should give due consideration to the fact that public funds for journal subscriptions often come from other ministries or institutions than those directly responsible for funding research; consequently, some rebalancing of budgets may be required.

Science Europe wishes to encourage the European Commission, national governments, research funding and research performing organisations and other stakeholders across the world to adopt this approach to Open Access and to actively nurture collaboration in this area.

As scholarly publishing makes its transition to an Open Access system, and as service providers change their business models, the outcome of the transition depends on the added value and quality of the services provided.

The four principles below complement the original set of principles for the transition to Open Access by setting minimum standards for Open Access publishing services provided by scholarly publishers. These general – and at the same time very practical – principles will help ensure the scholarly and technical quality and cost-effectiveness of Open Access-related services in all fields, from sciences to social sciences and the humanities.

Principles on Open Access Publisher Services

 Adopted April 2015

Science Europe Member Organisations have adopted the following minimum expected services from publishers, which are applicable when providing payments/subsidies for Open Access venues:

1. Indexing

Journals must be listed in standard databases, such as (Europe) PubMed Central,² Directory of Open Access Journals (DOAJ),³ Web of Science⁴ or Scopus.^{5,6}

In the case of books, collected volumes, proceedings and other academic publishing venues, basic technical information and information about peer-review procedures must be available in a transparent way on the website of the publishing venue.

2. Copyright and Re-use

Authors hold copyright of their publication with no restrictions. All publications must be published under an open license, preferably the Commons Attribution CC BY.⁷ In all cases, the license applied should fulfil the requirements defined by the Berlin Declaration.⁸

3. Sustainable Archiving

Publishers must make copies of the publication automatically available in registered third-party repositories immediately upon publication. Furthermore, authors must receive all relevant information and support services necessary in order to access the archived publication. Sustainable archiving of the publication must be demonstrated by the provision of a persistent address where the full content of the publication can be accessed, read and downloaded. Authors may archive any version of the publication to any registered third-party repository or website with no delay.

4. Machine Readability

The publication's full text, the metadata, the supporting data (whenever published), the citations and the status of the publication as Open Access must be made available in a machine-readable form via open standards.⁹ Moreover, publishers must notify authors in a transparent way of any changes in the description of the structure of the data.

References

1. <http://openaccess.mpg.de/Berlin-Declaration>
2. Europe PubMed Central – <http://europepmc.org/journalList>
3. Directory of Open Access Journals (DOAJ) – <http://doaj.org/>
4. Web of Science – <http://ip-science.thomsonreuters.com/mjl/>
5. Scopus – <http://www.elsevier.com/solutions/scopus>
6. In the case of an Open Access venue that has been founded very recently (in the last 12 months) and is therefore not yet registered in the DOAJ, it has to be clear from the journal's website that the DOAJ criteria are fulfilled.
7. Commons Attribution CC BY - <https://creativecommons.org/licenses/by/4.0/>
8. <http://openaccess.mpg.de/Berlin-Declaration>
9. This should be done by implementing the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH - <https://doaj.org/features>) and/or the standards recommended by NISO – National Information Standards Organization (2015): Access License and Indicators (http://www.niso.org/apps/group_public/download.php/14226/rp-22-2015_ALI.pdf), NISO RP-22-2015.

Science Europe is a non-profit organisation based in Brussels representing major Research Funding and Research Performing Organisations across Europe.

More information on its mission and activities is provided at www.scienceeurope.org.

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