International Policy and Practice on Open Access for Monographs

Final Report

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Table of Contents

1 Executive Summary

This report is a world wide scan of practices and policies on open access for monographs. The aim is to inform the Federation for the Humanities and Social Sciences of the degree to which monographs are addressed by the open access policies of international, regional and national organizations and by funders and governments.

Open access is a means for disseminating scholarly literature over the Internet to enable free access for the end user. The open access model applies to journals and to monographs, media which play different roles and present unique benefits and challenges.

The report presents information from diverse, mostly online, sources. It reviews the history and importance of open access for monographs. Further, it examines recent open access international and regional policies and declarations by key organizations along with their application to monographs. In addition, it reviews the key factors that help provide an enabling environment for open access in a country. These include a high level of open access in the academic and scientific communities, a strong open access community, a good information infrastructure and a strong network of repositories. Thereafter, it examines recent national open access policies and initiatives by governments, key organizations and by research funders and their application to monographs. Countries were chosen from every continent. Additionally, the countries were chosen so that the major open access players are considered.

The report found that the majority of open access policies apply to journals. However, some organizations whose open access policies apply exclusively to journals have indicated an intention to consider or to encourage recipients of research funding to consider open access for monographs.

Other organizations have adopted open access policies for monographs and provide funding to cover related costs. These organizations have different embargo periods for open access for monographs and some require or encourage the use of specific licences. They also require respect for copyright.

A Monograph Policy Table summarizing the key findings is included.

The report concludes that there is a growing international trend towards open access for monographs.

1 Executive Summary

2 Abbreviations and Acronyms

AHRC	Arts and Humanities Research Council
APC	Article Processing Charge
APCs	Article Processing Charges
ARC	Australian Research Council
ARIIC	Australian Research Information Infrastructure Committee
ARPANET	Advanced Research Projects Agency Network
ASSAf	Academy of Science of South Africa
BBSRC	Biotechnology and Biological Sciences Research Council
BIREME	Centro Latino-Americano e do Caribe de Informação em Ciências da Saúde
BOAI	Budapest Open Access Initiative
CC	Creative Commons
CERN	European Organization for Nuclear Research
CIHR	Canadian Institutes of Health Research
CLASCO	Consejo Latinoamericano de Ciencias Sociales
CNPq	Conselho Nacional de Desenvolvimento Científico e Tecnológico
CNRS	Centre National de la Recherche Scientifique
DEL	Department for Employment and Learning, Northern Ireland
DHET	Department of Higher Education and Training
DOAB	Directory of Open Access Books
DOAJ	Directory of Open Access Journals
DOAR	Directory of Open Access Repositories
EPSRC	Engineering and Physical Sciences Research Council
ERC	European Research Council
ERIC	Educational Resources Information Center
ESRC	Economic and Social Research Council
EUROHORCS	European Heads of Research Councils
FASTR	Fair Access to Science and Technology Research Act

FAPESP	Fundação de Amparo à Pesquisa do Estado de São Paulo
FRQS	Fonds de recherche du Québec – Santé
F.R.S.–FNRS	Fonds de la Recherche Scientifique
FWB	Fédération Wallonie-Bruxelles
FWF	Fonds zur Förderung der wissenschaftlichen Forschung
FWO	Fonds Wetenschappelijk Onderzoek – Vlaanderen
GRC	Global Research Council
HAL	Hyper articles en ligne
HAL-SHS	HAL-Sciences de l'Homme et de la Société
HE	Higher Education
HEFCE	Higher Education Funding Council for England
HEFCW	Higher Education Funding Council for Wales
HEI	Higher Education Institution
HSS	Humanities and Social Sciences
ICT	Information and Communication Technology
IGO	Intergovernmental organization
IFLA	International Federation of Library Associations and Institutions
INRA	Institut National de la Recherche Agronomique
INRIA	Institut National de recherche en Informatique et en Automatique
INSERM	Institut National de la Santé et de la Recherche Médicale
ITU	International Telecommunications Union
JISC	Joint Information Systems Committee
MDGs	Millenium Development Goals
MRC	Medical Research Council
NSERC	Natural Sciences and Engineering Research Council
NERC	Natural Environment Research Council
NHMRC	National Health and Medical Research Council

NIH	National Institutes of Health
NWO	Nederlandse Organisatie voor Wetenschappelijk Onderzoek
OA	Open Access
OAPEN	Open Access Publishing in European Networks
OASI	Open Access to Scientific Information
OASPA	Open Access Scholarly Publishers Association
OAW	Österreichische Akademie der Wissenschaften
OCW	Ministry of Education, Culture and Science (the Netherlands)
OECD	Organisation for Economic Co-operation and Development
OpenAire	Open Access Infrastructure for Research in Europe
OSTP	Office of Science and Technology
PMC	PubMed Central
POD	Print on Demand
RCUK	Research Councils UK
REF	Research Excellence Framework
ROAR	Registry of Open Access Repositories
SciELO	Scientific Electronic Library Online
SciELO SA	Scientific Electronic Library Online South Africa
SFC	Scottish Funding Council
SSHRC	Social Sciences and Humanities Research Council
SPARC	Scholarly Publishing and Academic Resources Coalition
STEM	Science, Technology, Engineering and Mathematics
STFC	Science and Technology Facilities Council
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNGIS	United Nations Group on the Information Society
WSIS	World Summit on the Information Society

3 Glossary

Article Processing Charge
Fee for publishing in an open access publication

arXiv
arXiv is the Cornell University e-print service in the fields of physics, mathematics, computer science, quantitative biology, quantitative finance and statistics.

Copyright
A legal right that permits the holder, usually the creator, to exercise defined ownership rights

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Creative Commons licenses
They are public copyright licenses that enable the public to freely distribute or modify a copyrighted work. They are employed when the copyright holder wishes the broadest distribution or use of the work.

EPub
Short for "electronic publication," ePub is an open and standard format for ebooks.

Embargo period
The period after publication when the work must be made available in open access

Funding agency
An institution that grants money for research or publication

Green open access
Depositing a copy of a work in an online repository

Gold open access
Publishing directly in an open access publication

Intellectual property rights
Intellectual property refers to creations of the mind. It has two branches: industrial property, which protects inventions, and copyright, which protects literary and artistic works. Intellectual property rights give the holder property rights over the work.

Journal
A published collection of scholarly, usually peer-reviewed, articles

Library

A collection, usually large, of books

Metadata

Data that provides information about other data

Monograph

A scholarly work providing detailed treatment of a single specialized subject

Print on demand

The ability to print a single copy of a work when ordered.

Repository

A website that archives, preserves and offers the public free access to intellectual outputs

4   Introduction

This report provides an overview of international policies and practices on open access. The main goal is to inform the Federation for the Humanities and Social Sciences of the extent to which international organization, funder and government policies on open access address monographs.

The report is set out as follows. This introductory section considers the history and the importance of open access publishing for journals and monographs.

Section five surveys open access policies within four categories. The first category concerns international organizations. The second concerns the developing world. The third concerns regional initiatives and includes Europe as case study. The fourth concerns policies from representative countries from every continent.

Section five also considers the history of the country or institution's involvement in open access; whether the institution's open access policy supports the green and/or gold open access routes; whether it applies to the humanities and social sciences on the one hand and/or to science, technology, engineering and mathematics (STEM) on the other; whether it applies to journals and monographs; and, whether the policy provides funding to cover the costs of open access publishing. Unless otherwise stated, in this document "science" refers to STEM.

Section six considers the Canadian posture with regard to open access.

4.1   Methods

Information has been collected from diverse, mostly online, sources: funders' websites, press releases, scholarly articles, newspaper articles, general websites, presentations and reports. This provides an overview of current policy and position statements. A selection of initiatives are examined as case studies, exploring goals, models and experiences.

This is an area of rapid development; and, while endeavoring to provide a current overview, the rate of development is such that initiatives that might have appeared during the writing of this report will not be included. Further, the sheer volume of source material has required that a careful selection be made.

4.2   Open Access and Monographs

4.2.1   History of Open Access

Open access originates in the concepts of the commons, public domain and of those related to public access to 'free' resources. Running parallel is the evolution of writing, writing materials and of technologies; the advent of mechanization with the printing press, typewriters and computers; and, the Internet.

In 1966, a key date in the open access movement, the United States (U.S.) Department of Education's Office of Educational Research and Improvement and the National Library of Education launched the Educational Resources Information Center (ERIC). On 30 August 1969, the U.S. Department of Defense launched the Advanced Research Projects Agency Network (ARPANET), regarded as the earliest form of the Internet.[1] The Internet and the digital revolution have enabled

perfect copies of a work to be made and instantly disseminated at minimal cost. These developments have facilitated greater access to the written word and to scholarly literature in particular, providing impetus to the open access movement internationally.

Open access has been defined in three notable public statements: the *Budapest Open Access Initiative* of 14 February 2002,[2] the *Bethesda Statement on Open Access Publishing* (hereafter, Bethesda Statement) of June 2003,[3] and the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities* (hereafter, Berlin Declaration) of October 2003,[4] collectively referred to loosely as the BBB. These three statements define open access in slightly different terms. The *Budapest Open Access Initiative* defines it thus:

> *The literature that should be freely accessible online is that which scholars give to the world without expectation of payment. Primarily, this category encompasses their peer-reviewed journal articles, but it also includes any unreviewed preprints that they might wish to put online for comment or to alert colleagues to important research findings. There are many degrees and kinds of wider and easier access to this literature. By 'open access' to this literature, we mean its 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.[5]*

The Bethesda Statement defines an open access publication as one for which the author(s) and copyright holder(s) give prior consent to all users for:

> *a free, irrevocable, worldwide, perpetual right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship,… as well as the right to make small numbers of printed copies for their personal use.[6]*

The Berlin Declaration defines open access "as a comprehensive source of human knowledge and cultural heritage that has been approved by the scientific community."[7] The Berlin Declaration, in keeping with the Bethesda Statement, states:

> *The author(s) and right holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship (community standards, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now), as well as the right to make small numbers of printed copies for their personal use.[8]*

These three documents recommend that a copy of the work be deposited in an online repository that enables open access; recognize the difference the Internet has made to the production and dissemination of knowledge; and, acknowledge the importance of copyright.

In general, open access refers to making literature, particularly but not exclusively peer-reviewed literature, freely available online. The term 'free' is not meant to imply that there are no costs of production. Rather, it refers to the user not having to pay. In addition, certain restrictions, notably copyright and technological restrictions, apply.

Peter Suber's, commonly-accepted, definition of open access states "Open-access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions." [9]

4.2.2   Benefits of Open Access

For its proponents, open access benefits all. The public will have free access to information; authors and their work will have greater visibility; funders of research will obtain greater return on investment; and, publishers will gain a greater distribution of their products. Governments, too, will gain by an increase in the general good.[10]

4.2.3   Early Open Access Initiatives

Open access publishing is regarded as having started in the 1990s, when The National Academies Press, an American publishing house, began offering free online access to certain of its publications, including its monograph series. Since the 1990s, open access journal and monograph publishing has been on the increase world-wide. The years 2000 to 2003 were key, witnessing the creation of funding mandates and of policy statements by several institutions, notably the United Kingdom's Wellcome Trust. This might well have been a consequence of increasing public discussion and of public statements such as the *Budapest Open Access Initiative*.

In February 2003, the Directory of Open Access Journals (DOAJ),[11] was established through a partnership of the Information Program of the Open Society Institute, the Scholarly Publishing and Academic Resources Coalition (SPARC) and Lund University Libraries, Sweden. The aim of the DOAJ project was to create a directory of open access journals. DOAJ defines open access journals as "journals that use a funding model that does not charge readers or their institutions for access. From the BOAI definition of 'open access', we support the rights of users to 'read, download, copy, distribute, print, search, or link to the full texts of these articles' as mandatory for a journal to be included in the directory."[12] A January 2006 DOAJ News Release stated that the DOAJ contained 2000 open access journals, which it defined as "quality controlled scientific and scholarly electronic journals that are freely available on the web."[13] This figure has been steadily increasing over the decade the DOAJ has been in existence. At this time of writing, the DOAJ contains 9992 journals, 5685 journals searchable at article level, information from 123 Countries and 538981 articles.[14]

A feature of the current environment is the establishment of international and national associations supporting open access, such as the Open Access Scholarly Publishers Association (OASPA), a trade association established in 2008 to represent the interests of open access journal publishers globally in all scholarly disciplines, including scientific, technical. OASPA's membership rules were extended to open access book publishers from 2011.[15]

4.2.4 Open Access Monographs

The rise and growth of the digital monograph as open access scholarly literature has been slower than that of open access journals. This may, in part, be traced to the differences between journals and monographs. For one, they differ in length and in the time required for research and writing. In addition, they differ in funding, market, and source of revenue. While journals derive the larger share of their revenue from subscription sales, monograph publishers rely on sales to institutions, libraries and scholars; adoptions; and, grants.

Publishers, universities, libraries, governments and funders are experimenting with various models of providing open access for monographs and for meeting the associated costs. One key question concerning open access for monographs is whether it can be sustainable and, if so, by what business model? Broadly, there are two publishing systems: the traditional print model for journals and monographs; and, the provision of print and online versions. Some studies suggest that publishers are experimenting with open access for monographs in the humanities and social sciences because the traditional business model, which remains largely print-based and demand-side, is coming under increasing strain.[16]

An in-depth analysis of business models, publishing models and publishing processes for open access for monographs is outside the scope of this report; however, there are many studies that provide such.[17] As stated earlier, the aim of this report is to examine open access from a funder and government policy perspective as opposed to from an author, publisher or university perspective. The extent to which this report discusses business models, publishing models and publishing processes is based on the extent to which a reviewed funder or government policy examines them.

A press release in February 2012 announced that a new service, the Directory of Open Access Books (DOAB), was to be made available to "provide a searchable index to peer-reviewed monographs and edited volumes published under an Open Access business model, with links to the full texts of the publications at the publisher's website or repository."[18] DOAB was launched in April 2012; at the start of the service, there were just over 20 publishers participating with a total of about 750 open access books.[19] DOAB was officially launched on 1 July 2013.[20] At the time of writing, there are 1603 academic peer-reviewed books from 54 publishers on the DOAB site,[21] representing a more than 100% increase in a year and a half.

5 International Survey

This section begins by examining open access policies of international organizations. Next is the developing world position. This is followed by regional initiatives, focusing on Europe. Last, is an examination of national funder and/or government open access policies and position statements. The countries examined begin with the most active in the open access movement, particularly for monographs, and end with those considering open access for monographs.

5.1 International Organizations

This section examines the United Nations, the International Federation of Library Associations and Institutions, the Organisation for Economic Co-operation and Development and the Global Research Council.

5.1.1 United Nations

The United Nations is involved in open access through its specialized agencies. This section considers the International Telecommunications Union (ITU), the work of the United Nations Group on the Information Society (UNGIS) and that of the United Nations Educational, Scientific and Cultural Organization (UNESCO).

5.1.1.1 ITU and UNGIS

In 1998, the ITU, a specialized agency of the United Nations responsible for regulating, standardizing and developing telecommunications around the world, suggested that a World Summit on the Information Society (WSIS) be held. The WSIS met in Geneva in December 2003 and adopted a Declaration of Principles and a Plan of Action. The second WSIS took place in Tunis, Tunisia, in November 2005. While focusing on Internet governance and financing, it assessed progress on the implementation of the Plan of Action and the adoption of required additions.[22] The WSIS set "critical targets for global connectivity and ICT for development to be reached by 2015 and established 11 action lines to achieve the objectives of the Information Society."[23]

In 2006, the UN-Chief Executives Board (CEB) endorsed UNGIS as the new inter-agency mechanism with the main objective to coordinate substantive and policy issues facing the United Nations' implementation of the outcomes of the WSIS.[24] UNGIS consists of the relevant United Nations bodies and organizations with the mandate to facilitate the implementation of the WSIS outcomes. One of UNGIS' focus for 2009-2010 was to facilitate the implementation of joint initiatives towards 2015 with respect to open access to scientific knowledge.[25] The objective of the Open Access to Scientific Information (OASI) initiative "is to promote with all agencies interested that public financed research data across UNGIS' organizations mandates will be made accessible free of charge."[26] UNGIS' 2010-2011 Focus[27] and its 2011-2012 Focus[28] state the aim of continuing joint initiatives on OASI. The latest WSIS forum was held in 2013.[29]

OASI is a broad, general policy statement that focuses on open access to scientific knowledge. It is silent with regard to the humanities and to the social sciences. It is a general mandate that publicly financed research data be made freely accessible. It does not specify which format the data should be in, for example, whether as a journal article or in a monograph. Nevertheless, it is a step toward facilitating access to information and reducing the digital divide, particularly between the developed and the developing countries.

5.1.1.2 UNESCO

UNESCO promotes open access with particular emphasis on scientific information including journal articles, conference papers and data sets of various kinds emanating from publicly funded research. Its open access programme gives particular attention to Africa and to other developing regions. UNESCO also manages the Global Open Access Portal and is involved in the WSIS and UNGIS. UNESCO occupies many roles including policy-maker, funder and copyright holder.

In 2012, UNESCO issued the *Policy Guidelines for the development and promotion of open access*[30] to demystify and to promote open access in Member States. The Appendix to the document has additional guidelines on open access policy-making for institutions, funders and governments.

UNESCO has been commended for these policy guidelines, which have since been translated into several languages.[31] As per the approved strategy, UNESCO was to develop an Open Access Policy Generating Tool to facilitate the preparation of policies, which was expected to be completed by December 2013.[32]

UNESCO has since extended open access to its own publications. A UNESCO Press release of May 2013 stated that UNESCO would make its publications available free of charge, under an IGO Creative Commons license, as part of a new open access policy that was to start in July 2013.[33] The *Open Access Policy concerning UNESCO Publications*[34] (hereafter, UNESCO OA Policy) aims to make knowledge easily available to the widest possible audience. It grants "an irrevocable right of access to copy, use, distribute, transmit and make derivative works in any format within certain constraints" and applies to all UNESCO Publications published from 31 July 2013. The new publishing policy is in line with UNESCO's Open Access to Scientific Information Strategy, and its main components, and UNESCO's work on Open Educational Resources and Free and Open Source Software.[35]

Through this publishing model, UNESCO provides online access to all of its research outputs without many of the restrictions commonly imposed by copyright. Printed copies are openly-licensed and can, for example, be photo-copied and transcribed. As part of the UNESCO OA Policy, UNESCO has adopted the IGO Creative Commons licenses, one of the existing copyright licensing systems that gives the public the right to re-use a work as freely as possible. All UNESCO publications published on or after 31 July 2013 must be licensed according to the Creative Commons Attribution 3.0 IGO licenses, with different conditions attached depending on whether the author is a staff member, external to UNESCO, a member of the Secretariat or an external publisher.[36] "Resources published by external publishers that have received funding in whole or in part from UNESCO shall be made available under one of the CC IGO licenses, with an embargo period acceptable if required by the publisher that should not exceed 12 months. In this context, external publishing partners will be strongly encouraged to apply the most liberal license possible."[37] The policy does not apply to publications where UNESCO has entered into special agreements with donors, external agencies or publishers before 31 July 2013.

The UNESCO OA Policy supports the green open access route. On publication, the authoring Unit is to submit an electronic copy of the relevant work, together with any source files or XML files, where available, to the Open Access Repository hosted within the UNESCDOC System.[38] "A written permission shall be obtained, allowing free online access to the publication. Some restrictions on use and an embargo period (12 months maximum) are acceptable if requested by the external publisher."[39] Users of the Open Access Repository are required to comply with copyright and other terms and conditions defined by the rights holder. [40]

5.1.2 International Federation of Library Associations and Institutions

The International Federation of Library Associations and Institutions (IFLA) is the leading international body representing the interests of library and information services and of their users and is the global voice of the library and information professions.[41] IFLA is an independent, international, non-governmental, not-for-profit organization with over 1500 Members in approximately 150 countries around the world. One of its core values is "the endorsement of the

principles of freedom of access to information, ideas and works of imagination and freedom of expression embodied in Article 19 of the Universal Declaration of Human Rights."[42]

Some of IFLA's initiatives in the open access movement include the publication on 23 August 2002 of the IFLA Internet Manifesto calling for "freedom of access to information" and the removal of "barriers to the flow of information." Since 2002, IFLA has been involved in the WSIS.[43] On 24 February 2004, IFLA released the *IFLA Statement on Open Access to Scholarly Literature and Research Documentation* which was adopted by the IFLA Governing Board on 5 December 2003 and published on 24 February 2004. On 1 December 2006, IFLA and UNESCO released the IFLA/UNESCO Internet Manifesto Guidelines, dated September 2006, recommending open access as one way to implement the 2002 IFLA Internet Manifesto.[44]

In 2010, IFLA signed the Berlin Declaration and, on 18 April 2011, the IFLA Governing Board endorsed the final version of the *IFLA Statement on open access – clarifying IFLA's position and strategy* (hereafter, IFLA Statement).[45] According to the IFLA Statement, IFLA adopts the definition of open access found in the Berlin Declaration. This is consistent with the IFLA World Report 2010, which stated that the vast majority of library associations support open access and that open access is a central pillar of IFLA's Strategic Plan 2010-2015.[46] Further, IFLA will advise members on "assistance in the work for national policies regarding open access to knowledge, as well as to publicly funded research and cultural heritage."[47] Most importantly, IFLA is to develop a transition plan specifying the steps to be taken to transfer publications into open access.[48] IFLA's 2011 Annual Report stresses IFLA's commitment to open access. Further, with respect to publishing, the Board stressed that future contractual agreements with publishers move toward green open access and that IFLA should investigate implementing a repository.[49]

Although the IFLA Statement on open access is a general one, IFLA is taking definite steps to encourage open access for monographs. One such step is the IFLA/Brill Open Access Award for initiatives in open access monograph publishing. Last year, Open Book Publishers, Cambridge (UK)(United Kingdom) won the award.

5.1.3 Organisation for Economic Co-operation and Development

The Organisation for Economic Co-operation and Development (OECD) has been involved in open access for a decade. Its divisions include OECD Publishing, OECD iLibrary and the online OECD bookshop. OECD Publishing, one of the world's largest book publishers in the fields of public affairs and economics, publishes more than 250 new books, 40 updated statistical databases, and thousands of new statistical tables, working papers, and journal articles each year.[50] The OECD uses its information resources to help governments to foster prosperity and fight poverty through economic growth and financial stability.

One of the OECD's earliest open access initiatives occurred on 30 January 2004 when Science and Technology Ministerial representatives from OECD nations issued the *Declaration on Access to Research Data From Public Funding*.[51] This was followed on 14 December 2006 by the *OECD Principles and Guidelines for Access to Research Data from Public Funding* (hereafter, OECD Principles) that was published in 2007.[52]

In terms of objectives, the OECD Principles "provide broad policy recommendations to the governmental science policy and funding bodies of member countries on access to research data from public funding….The ultimate goal of these Principles and Guidelines is to improve the efficiency and effectiveness of the global science system."[53] The OECD Principles apply to research data in existence or to be produced that are supported by public funds with the aim of developing publicly accessible scientific research and knowledge.[54] They acknowledge that in some cases, as a result of individual privacy or national security considerations, access to data may be restricted. Research data are defined as "factual records (numerical scores, textual records, images and sounds) used as primary sources for scientific research, and that are commonly accepted in the scientific community as necessary to validate research findings."[55] The OECD Principles are principally aimed at "research data in digital, computer-readable format."[56] Research data from public funding is defined as "the research data obtained from research conducted by government agencies or departments, or conducted using public funds provided by any level of government"[57] and access arrangements are "the regulatory, policy and procedural framework established by research institutions, research funding agencies and other partners involved, to determine the conditions of access to and use of research data."[58] The OECD Principles note the importance of research data to the sciences and the social sciences.[59]

The OECD Principles govern access to publicly-funded research data. The most relevant principle, for the purposes of this report, is that of Openness, defined as "access on equal terms for the international research community at the lowest possible cost, preferably at no more than the marginal cost of dissemination. Open access to research data from public funding should be easy, timely, user-friendly and preferably Internet-based."[60]

5.1.4 Global Research Council

The Global Research Council comprises the heads of science and engineering funding agencies from around the world. It is dedicated to promoting and sharing data and best practices for collaboration among funding agencies worldwide. In May 2013, the Global Research Council released an *Action Plan towards Open Access to Publications* (hereafter, Action Plan)[61] which was endorsed during the 2nd Annual Global Meeting, in Berlin, Germany, in May 2013. The Action Plan, drawn up with the participation of 70 international research and funding organizations, recognises that open access "can be instrumental for improving the quality and impact of research. To stimulate the development of, and potential for, new and better opportunities for the scholarly and scientific endeavour, the Global Research Council (GRC) endorses this Action Plan towards Open Access to Publications as a living document."[62]

According to the Action Plan, open access means:

> *[R]esearch information can be accessed online without legal, technical or financial barriers. In addition, provided that authors and right-holders gave explicit permission, such information may be re-used in manifold ways, especially for computer-assisted analyses, as long as the original authors' or creators' intellectual property rights are respected. Open access may relate to all types of publicly funded research outputs wherever these outputs are meant to foster exchange and collaboration; open access does not relate to research which needs to be kept confidential due to privacy issues, business secrets or commercial interests.[63]*

The Action Plan aims to raise awareness for, promote and support open access on a global scale and to assess the implementation of actions at national and international levels. It recognises that research outputs take many forms, including journals and books. It states that its first Action Plan concentrates on open access to research articles from scholarly journals.[64] It suggests some common principles for transitioning to open access. While stating as one of its principles that "research councils encourage open access to all results from publicly funded research which originated from their funding," the Action Plan qualifies this by stating that this "relates specifically to journal articles."[65] The Action Plan mentions the importance of research to science. It does not mention the humanities.

The Action Plan supports green and gold open access. The major principles and aims of the Action Plan are the encouragement and support for publishing in open access journals; encouragement and support for author self-deposit into open access repositories, and the creation and inter-connection of repositories.[66] The Global Research Council encourages that open access be implemented as steadily and as swiftly as possible. [67]

5.2   Developing Country Position

Participants at the Ninth World Congress on Health Information and Libraries and Seventh Regional Congress of Information in Health Sciences (ICML9/CRICS7), held in Salvador, Bahia, Brazil, from 19 to 23 September 2005, produced the *Declaration of Salvador - Commitment to Equity*, 23 September 2005.[68] Participants at the International Seminar on Open Access for Developing Countries, a parallel meeting of the 9th World Congress on Health Information and Libraries and the 7th Regional Congress of Information in Health Sciences held in Salvador, Bahia, Brazil, from 21 to 22 September 2005 produced the *Salvador Declaration on Open Access: The Developing World Perspective*. [69]

The *Declaration of Salvador - Commitment to Equity* called on governments to promote open access to information and knowledge and on international organizations to "define their technical cooperation programs aimed at promoting a global commitment with equitable access to information and knowledge, coherent with the Millennium Development Goals and support national governments in their efforts to transform this commitment into reality."[70] Specifically, the declaration called on governments to:

> define policies, norms and programs aimed to:
>
> - *promote broad and equitable access to national and international sources of information and knowledge, strengthening the necessary infrastructure through movements such as "open access";*
>
> - *establish solutions that respond to the needs of broad and equitable access to goods and services of information and intellectual property rights;*
>
> - *strengthen health systems and services to enable the access and application of knowledge in an efficient, effective and socially just manner…*

The *Salvador Declaration on Open Access: The Developing World Perspective* (hereafter, the Declaration), asked governments to require open access to publicly funded research. The Declaration states that open access "means unrestricted access to and use of scientific information," "promotes equity" and will help the developing world by increasing "scientists and academics capacity to both access and contribute to world science." The Declaration states further that in an

increasingly globalized world, "with science claiming to be universal, exclusion from access to information is not acceptable. It is important that access be considered as a universal right, independent of any region."[71]

More specifically, the Declaration urged governments to make open access a high priority in science policies. This includes a requirement that publicly funded research be made available through open access; that the cost of publication be considered as part of the cost of research; that local open access journals, repositories and other relevant initiatives be strengthened; and, that the integration of developing countries' scientific information in the worldwide body of knowledge be promoted. The Declaration ends with a call on "all stakeholders in the international community to work together to ensure that scientific information is openly accessible and freely available to all, forever." The Declaration does not mention the humanities and social sciences.

5.3   Regional Initiatives - Europe

Europe is a major player in the open access movement with several regional European institutions having issued open access policies or position statements. This section considers Science Europe, the European Research Council and, Open Access Publishing in European Networks.

5.3.1   Science Europe

5.3.1.1 Principles for the Transition to Open Access to Research Publications

Science Europe, until 2011 known as the European Heads of Research Councils (EUROHORCS), is a Brussels-based association of more than 50 European funding agencies and academic institutions. In April 2013, Science Europe released a *Position Statement, Principles for the Transition to Open Access to Research Publications* (hereafter, Position Statement).[72] The Position Statement states that the "benefits of Open Access are clear; furthermore, the technology available allows for a decisive move towards making Open Access a reality. The ultimate goal is to move to a new and sustainable system of scholarly communication of Open Access that guarantees the highest quality of publications and maximises the impact of research results."[73] Science Europe supports any valid approach to achieve open access, including the green and the gold routes, stressing that research publications be published in open access journals or deposited in repositories and be made available in open access no later than six months after first publication or, for the arts, humanities and social sciences, no later than twelve months. The Position Statement also calls for transparency with respect to the funding of open access publication which will include a clear picture of publishers' service costs. It ends by urging the European Commission, national governments, funding agencies and other stakeholders to adopt this approach to open access.

5.3.1.2 Humanities Scientific Committee Opinion Paper, Open Access Opportunities for the Humanities

In November 2013, the Science Europe Scientific Committee for the Humanities released the *Humanities Scientific Committee Opinion Paper, Open Access Opportunities for the Humanities*[74] (hereafter, Opinion Paper). The Opinion Paper recognises that open access is as important to the humanities as to the sciences and recommends more open access in the humanities. It makes recommendations for open access for books and edited volumes in the humanities and the social

sciences, so realizing the crucial role books play as the primary form of research outputs in many disciplines. The Opinion Paper urges humanities researchers to take advantage of new open access opportunities in book publishing "for a more flexible and inventive use of the 'long form' publication than is possible within the limitations of hard copy." Open access can also be considered "as a means to make available numerous books whose copyright have lapsed and/or whose publishers would not object to an open publication."[75]

In comparing the gold and green routes of open access, the Opinion Paper states that the use of the gold model of open access is less developed in the humanities than in the scientific communities. However, humanities researchers can still use the green open access route with its repository system. It believes "repositories provide the best immediate opportunity for Humanities to disseminate their research to a wider audience during a period of transition, and would encourage an increase in the deposit of Humanities publications in well maintained and managed repositories."[76] It mentions that Science Europe's *Position Statement, Principles for the Transition to Open Access to Research Publications* of April 2013[77] stresses that research papers be made available in open access no later than six months following first publication or, in the case of the social sciences and humanities, no later than twelve months. It recognises that different embargo periods might need to be applied according to discipline, but recommends that, as open access becomes the norm, the embargo period for the humanities be greatly reduced.[78]

5.3.2 European Research Council

The European Research Council (ERC) was the first pan-European organization for funding research. In October 2013, the ERC revised its *Open Access Guidelines for Researchers Funded by the ERC*[79] (hereafter, Open Access Guidelines). According to the Open Access Guidelines, the ERC's mission is:

> [T]o support excellent research in all fields of science and scholarship. The main outputs of this research are new knowledge, ideas and understanding, which the ERC expects its researchers to publish in peer-reviewed articles and monographs. The ERC considers that providing free online access to these materials is the most effective way of ensuring that the fruits of the research it funds can be accessed, read and used as the basis for further research. The ERC therefore supports the principle of open access to the published output of research as a fundamental part of its mission.[80]

The ERC Open Access Guidelines support the green open access route, requiring an electronic copy of any research article, monograph or other research publication that is supported in whole, or in part, by ERC funding to be deposited in a suitable repository immediately upon publication and no later than six months after the official publication date. A twelve month delay is acceptable for publications in the social sciences and humanities. The Open Access Guidelines encourage ERC funded researchers to use discipline-specific repositories for their publications; the Europe PubMed Central repository is recommended for the life sciences while the arXiv repository is recommended for physical sciences and engineering. The ERC Scientific Council is reviewing existing practices and open access infrastructures in this domain and may recommend a specific repository for social sciences and humanities in the future.[81] In the absence of an appropriate discipline-specific repository, researchers should make their publications available in institutional repositories or in centralized ones, such as Zenodo (formerly: the OpenAIRE 'orphan repository'), which is hosted by CERN (the European Organization for Nuclear Research).[82] Open access fees are eligible costs that

can be charged against ERC grants, provided they have been incurred during the duration of the project.[83] The ERC also encourages host institutions "to cover open access fees of any research publications that are supported in whole, or in part, by ERC funding, which arise in the period up to 24 months after the end of the project."[84]

In supporting the principle of open access to research data, the ERC Open Access Guidelines require researchers to keep copies of data and be prepared to share the data with others unless they are precluded from doing so by copyright or other agreements.

The ERC Open Access Guidelines aim to provide guidance to ERC funded researchers and their host institutions and will be reviewed periodically.[85]

5.3.3 Open Access Publishing in European Networks

The Open Access Publishing in European Networks (OAPEN) Foundation is a non-profit foundation dedicated to open access publishing of academic books. OAPEN comprises a number of university presses, universities and publishing partners that are largely active in the humanities and social sciences and in book publishing. The aim of the OAPEN project is to establish a sustainable European open access publishing model for academic books in the humanities and in social sciences. The model it intends to develop and implement will be the first of its kind, a combination of open access platform publishing and online library for use by academic publishers and by research funding institutions. "OA publications will be thoroughly peer-reviewed, and subject to the usual publishing restrictions of each press, and they will be made available as printed books through POD partners globally."[86] OAPEN has since conducted some studies and published reports[87] and branches of OAPEN have been opened in the United Kingdom and in the Netherlands.

OAPEN-UK is a JISC Collections project focusing on open access scholarly monographs in the Humanities and Social Sciences.[88] JISC is a registered charity that champions the use of digital technologies in UK education and research. OAPEN-UK commenced in October 2010 and is due to run until spring 2015. "OAPEN-UK is a collaborative research project gathering evidence to help stakeholders make informed decisions on the future of open access scholarly monograph publishing in the humanities and social sciences (HSS)."[89] OAPEN-UK's aim is to explore the role, feasibility and impacts of open access scholarly monograph publishing in the UK humanities and social science scholarly environment.

In the Netherlands, OAPEN-NL builds on the European OAPEN project set up to examine open access publishing of academic books. With support from the Netherlands Organisation for Scientific Research and the Ministry of Education, Culture and Science (OCW), OAPEN-NL recently embarked on a project to explore open access monograph publishing in the Netherlands. It conducted the project in collaboration with Nederlandse Organisatie voor Wetenschappelijk Onderzoek (NWO) (Netherlands Organisation for Scientific Research), SURF (the Dutch higher education and research partnership for ICT)[90] and nine academic publishers. OAPEN-NL assessed the costs of publishing 50 academic books in open access in the Netherlands. Its report, *A project exploring Open Access monograph publishing in the Netherlands: Final Report*,[91] released on 22 October 2013, revealed that open access publishing has no negative effect on book sales and considerably increases online usage and discovery.[92] The report states:

> *Based on the budgets of 50 books – published by nine different publishers – a model was created of the costs involved. On average, the total costs for creating a monograph in the Netherlands is slightly over € 12,000; approximately half of that amount is spent on creating a first digital copy. Printing and binding paper copies are responsible for about one-third of the total costs.*[93]

A recent initiative is the joint project between OAPEN and Knowledge Unlatched that was announced in October 2013.[94] Knowledge Unlatched is an organization committed to enabling access to scholarly books. The Knowledge Unlatched model is for libraries to work together to create a sustainable route to open access for scholarly books and secure long-term cost savings for their institutions by sharing the costs of making humanities and social science monographs available on a Creative Commons licence.[95] The model depends on many libraries from around the world sharing the payment of a single Title Fee, representing the basic cost of publishing a book, to a publisher in return for a book being made available on a Creative Commons licence via OAPEN and HathiTrust as a fully downloadable PDF.[96]

5.4 Country policies

There are several key factors that help provide an enabling environment for open access in a country. They include a high level of open access in the academic and scientific communities, a strong open access community, a good information infrastructure and a strong network of repositories. Other factors are whether there are institutional, funder or national open access mandates in place and whether the institutions or organizations have partners or potential partners at the national or regional level.[97]

The focus of this section is the open access policies of countries from every continent. The countries discussed were in part chosen so that all continents, and both developed and developing nations, are represented. Additionally, the countries were chosen so that the major open access players are considered. This section considers the history of the country or institution's involvement in open access; whether the institution's open access policy supports the green and/or gold open access routes; whether it applies to the humanities and social sciences on the one hand and/or to science, technology, engineering and mathematics on the other; whether it applies to journals and monographs; and, whether the policy provides funding to cover the costs of open access publishing. The countries are arranged starting with those whose funding agencies have open access policies for monographs and ending with those countries whose funding agencies are either considering open access for monographs or have no policy on open access for monographs. A summary of the key findings is presented in the Appendix.

5.4.1 Austria

Austria is taking steps to strengthen its open access infrastructure. Its open access initiatives include having universities, particularly the University of Vienna, set up open access repositories. The Österreichische Akademie der Wissenschaften (OAW)[98] (Austrian Academy of Science), a learned society and a large research institution, "has a non-mandatory open access policy favoring the green road; runs an institutional repository; and has a ROMEO green publishing house, which also publishes gold OA books and journals."[99] The Fonds zur Förderung der wissenschaftlichen Forschung has a funder open access policy.

5.4.1.1 Fonds zur Förderung der wissenschaftlichen Forschung

The tasks of the Fonds zur Förderung der wissenschaftlichen Forschung (FWF) (the Austrian Science Fund) include funding non-profit oriented research that would develop science in Austria, while taking into account the research strategy of the government, and disseminating the results of the research it funds. The FWF is Austria's central funding organization for basic research. Its official mission statement states "The purpose of the FWF is to support the ongoing development of Austrian science and basic research at a high international level. In this way, the FWF makes a significant contribution to cultural development, to the advancement of our knowledge-based society, and thus to the creation of value and wealth in Austria."[100] In 2003, it signed the Berlin Declaration. With its open access policy, the FWF was one of the first funding agencies to issue an open access mandate and to provide funding for articles and monographs.

The Austrian Science Fund 2012 Annual report considers the FWF's open access policy before 2009 and after 2009. Its pre-2009 policy focused on three areas: through its media channels providing scientists and researchers with open access information; gradually developing its open access policy from 2004 onwards; and, as early as 2004, its Peer-Reviewed Publications Programme began to offer funding for the costs of open access to peer-reviewed publications up to three years after the end of FWF funded projects. On 6 October 2006, it adopted an open access policy requiring its grantees as well as staff in FWF funded projects to provide open access to FWF funded research.[101]

Since 2009, the FWF has intensified its open access activities. For example, in the humanities and social sciences, where book publications play a significant role, the FWF made subject-expert editing and open access mandatory from the end of 2011 onwards.

The FWF open access policy[102] applies to FWF-funded projects and supports both the gold and the green open access routes. Its open access policy requires publications to be made freely available on the Internet either by archiving an electronic copy in a suitable repository or by publishing the work in an open access medium. It requires that publication in an open access medium provide immediate and unrestricted access to the final published version of the publication using the Creative Commons Attribution (CC-BY) licence and allows immediate deposition of the final published version in other repositories without restriction on re-use. It also requires that peer-reviewed publications be deposited in open access archives at the date of publication or within 6 months after publication or, in exceptional circumstances, within 12 months after publication. If an author is unable to comply with these requirements, the author must explain why to the FWF.

FWF provides funds to cover open access costs. In all FWF programs, the costs for publishing in an open access journal can be requested for up to three years after the end of the project. In the case of monographs, proceedings and collections, the costs can be reimbursed only if the publishing house ensured gold open access. In the case of stand-alone publications (books and similar items) supported by the FWF, it is mandatory to archive simultaneously an electronic copy of the book in open access in the FWF e-book library. The FWF also has a data archiving policy.

Book publications are freely accessible in the FWF's e-book library and in other international repositories. The FWF e-book library, the FWF's repository for the open access archiving of all stand-alone publications submitted and funded since December 2011, went live in August 2012. In order to build up the e-book library, the FWF sought the permission of more than 600 authors and some 70

publishing houses in early 2012 to allow the FWF to make the books funded since 2000 available free of charge in the FWF's repository. Approximately one fourth of the publishing houses granted the FWF the right to archive some 220 books as open access publications. About 180 books were available as downloads at the end of 2012. "The remaining books as well as all stand-alone publications funded by the FWF are being archived and annotated with metadata on an ongoing basis. The FWF plans to export the metadata to international databases in 2013."[103]

5.4.2 The Netherlands

The Netherlands has a strong open access awareness. Since 2005, all Dutch universities, the HBO-raad (Netherlands Association of Universities of Applied Sciences), the Royal Netherlands Academy of Arts and Sciences (KNAW), the Nederlandse Organisatie voor Wetenschappelijk Onderzoek, the Royal Library and SURF have signed the Berlin Declaration.[104] It is one of the leaders in the development of repositories. As at February 2010, all universities in the Netherlands had at least one institutional repository.[105] It is involved in open access publishing and the Amsterdam University Press is a primary partner in the OAPEN project. It also has open access organisations and groups, notably SURF. The Netherlands also has an open access funder mandate.[106]

5.4.2.1 Nederlandse Organisatie voor Wetenschappelijk Onderzoek

The Nederlandse Organisatie voor Wetenschappelijk Onderzoek (NWO) (Netherlands Organisation for Scientific Research) is a major research funder. Its divisions include science, social sciences and humanities.[107] In 2005, it signed the Berlin Declaration. NWO supports open access primarily from its conviction that the results from publicly-funded research should be made as accessible as possible. Notably, this applies to both scientific publications, particularly journal articles and books, and to research data.

The main points of NWO's open access policy are as follows.[108] The policy supports the gold and green open access routes. With particular reference to books and monographs, NWO encourages publishers to experiment with open access publishing of books and supports OAPEN-NL.[109] NWO encourages researchers to follow the gold open access route in publishing in scientific open access journals or open access books where the scientific quality is safeguarded by peer review. In disciplines and sub-disciplines where open access is not yet possible, NWO encourages researchers to use the green open access road, by depositing pre-publications or publications in a public database. Publications funded by the NWO should be made accessible to the general public in open access as quickly as possible.[110] PhD theses at Dutch universities must be deposited in institutional repositories.

NWO makes funds available for open access publishing via two mechanisms: the Incentive Fund Open Access – publications;[111] and, the Incentive Fund Open Access – conference session.[112]

In the *NWO Regulation on Granting*,[113] NWO has a 'generally binding' requirement according to which the NWO is co-owner of data arising from research it funds.

At the end of 2009, NWO made 5 million euros available to encourage open access. Half became available, in March 2010, in the Incentive Fund Open Access for publications and conference

sessions. The other half was made available for other open access initiatives such as open access books and journals.[114]

5.4.3   United Kingdom

The United Kingdom has been a major open access player for more than a decade. It has a strong open access community and has significant open access publishing for journals and for monographs. It has a widespread repository system and public as well as private research funders involved in open access. The remainder of this section considers several of these initiatives.

5.4.3.1 Research Councils UK

The Research Councils UK (RCUK) is a strategic partnership between the seven UK Research Councils: Arts and Humanities Research Council (AHRC); Biotechnology and Biological Sciences Research Council (BBSRC); Engineering and Physical Sciences Research Council (EPSRC); Economic and Social Research Council (ESRC); Medical Research Council (MRC); Natural Environment Research Council (NERC); and, Science and Technology Facilities Council (STFC).[115] RCUK released a *Policy on Open Access and Supporting Guidance* (hereafter, RCUK Policy)[116] that came into effect in April 2013, revising its previous open access policy. This revised policy was based on the findings of the June 2012 report from the National Working Group on Expanding Access to Published Research Findings (the 'Finch Group'), known as the Finch Report.[117]

The RCUK Policy aims "to achieve immediate, unrestricted, on-line access to peer-reviewed and published research papers, free of any access charge,"[118] defining open access as "unrestricted, on-line access to peer-reviewed and published research papers."[119] The RCUK Policy mandates that, as from 1 April 2013, RCUK funded research be available on an open access basis. The policy applies to all peer-reviewed research articles, including review articles not commissioned by publishers, that acknowledge Research Council funding; are submitted for publication from 1st April 2013; and, are published in journals or conference proceedings.[120]

While the RCUK supports both gold and green routes, it prefers "immediate, unrestricted, on-line access to peer-reviewed and published research papers, free of any access charge and with maximum opportunities for re-use," that is, the gold route. The RCUK requires researchers to publish in journals that comply with the RCUK Policy. All papers must include funding details, and, "if applicable, a statement on how the underlying research materials – such as data, samples or models – can be accessed."[121]

Journals compliant with the RCUK Policy must fit into one of two categories. The first category comprises journals that provide immediate unrestricted access on their website to the final published version of the paper publication, to be made available using the Creative Commons Attribution (CC BY) licence, and, allow "immediate deposit of the final published version in other repositories without restriction on re-use. This may involve payment of an 'Article Processing Charge' (APC) to the publisher." The second category comprises journals that consent "to deposit of the final Accepted Manuscript in any repository, without restriction on non-commercial re-use and within a defined period. No APC will be payable to the publisher."[122] The RCUK Policy permits different embargo periods for the two categories. Concerning STEM disciplines "RCUK will accept a delay of no more than six months between on-line publication and the final Accepted Manuscript

becoming Open Access" and for "papers in the arts, humanities and social sciences (which will mainly be funded by the AHRC and the ESRC), the maximum embargo period will be twelve months. Where funding for APCs is unavailable to an author during the transition period, longer embargo periods will be allowable ...."[123]

The RCUK provides funds to cover open access costs. The RCUK provides two types of funding: funding for research publications; and, the RCUK open access block, which is intended to fund open access costs. "From 1st April 2013 the payment of APCs and other publication charges related to Research Council-funded research are supported through RCUK OA block grants provided to eligible research organisations. APCs and other publication charges relating to peer-reviewed research papers can no longer be included within research grant applications."[124] When the RCUK open access block grant is used to pay APCs for a paper, the paper must be made open access immediately at the time of on-line publication, using the Creative Commons Attribution (CC BY) licence.[125] The RCUK policy respects copyright.

Since not every organisation that receives grant-research funding will obtain the RCUK open access block grant, the RCUK Policy permits research organisations that have no public funding for APCs to publish under the green model, with longer embargo periods.[126]

Although the RCUK Policy does not apply to monographs, books, critical editions, volumes and catalogues, or to non peer-reviewed material, the RCUK encourages authors of such material to consider making them open access when possible.[127] Further, grant proposals can be requested to meet publication costs associated with other research outputs, for example monographs, books, critical editions, volumes and catalogues that are not covered currently by the RCUK Policy.[128] The RCUK Policy also applies to research papers produced by the Research Councils' own institutes.[129]

Recognising that open access is a process and not an event, the RCUK expects compliance to grow over a five-year transition period. It permits different embargo periods for the different disciplines covered by the various research councils and different embargo periods during the transition,[130] as reflected in the decision tree for publicly funded research created by the Publishers Association in the UK.[131] Although its preference is for gold open access, the RCUK allows a mixed approach (gold or green) when using the Publishers Association decision tree, and leaves researchers and their research organisations to decide upon which model to follow.

The RCUK Policy mentions that there have been concerns about the use of the CC BY licence by some groups, for example publishers concerned about the loss of commercial revenue from the sale of reprints. The RCUK Policy states that the CC BY licence is already in use by many journals, especially in the STEM sector, and by the Creative Commons organization and that they have not reported significant problems. However, the effects of the licence, especially within the arts, humanities and social science disciplines, will be assessed in the 2014 and in subsequent reviews of the RCUK Policy.[132]

The House of Lords Science and Technology Committee reports on certain shortcomings and concerns with the RCUK Policy. The RCUK Policy has been criticized on not being clear on the scope of and the differences among the different embargo periods it allows. Further, in view of the fact that there is a 5 year transition period, it is also not clear whether compliance is to be immediate or whether there is some flexibility within that period. There is additional confusion about the action to

be taken if a journal offers only gold open access but the researcher does not have the funds to cover APC costs. Further, although the RCUK has endorsed the Publishers Association decision tree and even reproduces it in the RCUK Policy, it is not stated in the RCUK Policy that the RCUK has endorsed it.[133]

5.4.3.2 WellcomeTrust

The Wellcome Trust is a major research funder of biomedical research in the UK. It also supports research in the growing field of medical humanities. It has been involved in open access for more than a decade. Wellcome Trust's open access policy initially applied to research papers. This changed in 2013 when the Wellcome Trust revised its open access policy (hereafter, revised policy) to include monographs and book chapters.[134]

The revised policy requires electronic copies of any research paper that has been accepted for publication in a peer-reviewed journal, and is supported wholly or partially by Wellcome Trust funding, to be made available through PubMed Central and Europe PubMed Central as soon as possible and within six months of the publisher's official date of final publication. Wellcome Trust funded research papers published under an open access, Article Processing Charge model, must be licensed using the Creative Commons Attribution licence (CC-BY).

The revised policy applies to original scholarly monographs and to book chapters. The policy requires grant-holders to make scholarly monographs and book chapters available through PubMed Central Bookshelf (PMC Bookshelf) and through Europe PubMed Central as soon as possible, with a maximum six month embargo period. If a publishing fee is levied, such works are to be made available without an embargo. Wellcome Trust recommends the Creative Commons Attribution licence (CC-BY), but will accept non-commercial and/or no-derivatives licences (CC-BY-NC or CC-BY-NC-ND). If no publishing fee is levied, the work may be embargoed for a maximum 6 month period prior to being made freely available. The monograph and book chapter requirement applies to all grant-holders awarded a grant on or after 1 October 2013. In October 2014, it comes into effect for holders of grants awarded before 1 October 2013.

The Wellcome Trust provides funds to cover open access costs and for the payment of APCs. Wellcome Trust will providing additional funding to enable some UK institutions to meet open access publishing costs for scholarly monographs and book chapters arising from Wellcome Trust funded research. Wellcome Trust funded researchers based at institutions that do not receive a block grant can apply for a supplement to their grant to cover open access publishing costs.[135]

The Wellcome Trust currently applies three sanctions[136] to Trust grant-holders who have authored a research paper that is not compliant with the open access policy:

> *Where non-compliant papers are identified in an End of Grant Report, the Trust will withhold the final 10 per cent of the 'total transferable funds' budget on the grant until all papers comply….*
>
> *Applicants will be required to ensure that Trust-funded papers resulting from current or previous grants are compliant before formal notification of any funding renewals or new grants can be activated.*

> *Researchers will not be permitted to include any non-compliant Wellcome-funded publications in any application submitted to the Trust, and such papers will be discounted from consideration of a researcher's track record. [137]*

These sanctions apply to all original Trust-funded research papers published from 1 October 2009 onwards. From 1 October 2014, the sanctions will also apply to authors of scholarly monographs and book chapters funded by the Wellcome Trust.

The Wellcome Trust will work with authors and publishers, as it has done with journal publishers, to ensure that compliance with the Trust's policies does not prevent researchers from publishing books with the publisher they deem to be the most appropriate.

5.4.3.3 Higher Education Funding Council for England

The Higher Education Funding Council for England (HEFCE) promotes and funds high quality, cost-effective teaching and research, meeting the diverse needs of students, the economy and society.[138] It briefly defines open access as "unrestricted, online access to the published findings of research."[139] As a national funding body for research, it is "committed to developing a successful approach to open-access publishing and increased public access to research findings."[140] Its position on open access is that outputs from research it funds should be widely and freely accessible as the available channels for dissemination permit.[141]

According to HEFCE, the UK government, in its formal response accepting the Finch Report, asked the four UK higher education funding bodies and the UK Research Councils to put the recommendations into practice by working with universities and with the research and publishing communities.[142] The four UK higher education (HE) funding bodies (funding bodies) are the Higher Education Funding Council for England (HEFCE), Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW) and the Department for Employment and Learning, Northern Ireland (DEL). In February 2013, HEFCE published a letter seeking advice on the four UK HE funding bodies' intention to develop an open access policy. The other three UK HE funding bodies also announced similar intentions.[143] In July 2013, HEFCE released a document, *Consultation on open access in the post-2014 Research Excellence Framework* (hereafter, OA Proposal Consultation), [144] outlining their open access proposal for the post-2014 Research Excellence Framework (REF). The OA Proposal Consultation invites views on the UK HE funding bodies' proposals for implementing an open access requirement in the post-2014 REF.[145] The REF is a new system for assessing research which has been developed to replace the Research Assessment Exercise.[146] HEFCE invited views on the OA Proposal Consultation to be made online by 30 October 2013. The responses will be considered in early 2014 and, shortly thereafter, HEFCE will announce its final policy decisions on open access in the post-2014 REF.[147]

The OA Proposal Consultation comprises the post-2014 REF along with two annexes. Annex A lists 7 questions upon which views are invited. Annex B speaks to monographs and books.

The OA Proposal Consultation lists three requirements an open access output must fulfill. Firstly, it should be accessible through a UK higher education institution (HEI) repository immediately upon either acceptance or publication, although the repository may provide access in a way that respects agreed embargo periods. Secondly, it should be made available as the final peer-reviewed text, though not necessarily identical to the publisher's edited and formatted version. Thirdly, it should be

"presented in a form allowing the reader to search for and re-use content (including by download and for text-mining), both manually and using automated tools, provided such re-use is subject to proper attribution under appropriate licensing."[148]

The requirement to comply with the open access criteria in the post-2014 REF applies to outputs in the form of journal articles or conference proceedings published after a two-year notice period, from 2016 onwards, and that list a UK HEI in the 'address' field.[149] The notice period refers to a period of two years from the date of the policy announcement[150] and will start to apply to outputs with an earliest date of publication in or after early 2016.[151] The OA Proposal Consultation permits some exceptions to the notice period.[152]

The OA Proposal Consultation permits publication via either gold or green routes.[153] It follows the embargo periods and licensing provisions set by RCUK's open access policy and those endorsed by the UK government.[154] For the post-2014 REF, in view of likely developments, the Proposal does not specify the type of licence. It further recognises that open access may not be applicable to all output types due to confidential, security or commercial reasons and that there may be exceptional circumstances that require flexibility and consideration on a case-by-case-basis.[155]

The OA Proposal Consultation does not apply to open data and to monographs and books. It states that it is not yet feasible to make access to data a formal requirement in a post-2014 REF. The OA Proposal Consultation indicates that the advice it has received shows it is not feasible to include monographs and books in a post-2014 REF policy. Paragraph 47 states:

> *The funding bodies accept that it is currently not reasonable to expect open access options to be widely available for long-form publications, and recognise the differences that exist between these publications and journal articles in terms of business models and publication cycles. Therefore we do not intend for the open access requirements to apply to monographs and books for the post-2014 REF.*

Nevertheless, they express their certainty that open access monograph publishing will be increasing and support Wellcome Trust's moves to extend open access to monographs.[156]

HEFCE is optimistic about the potential for open access publishing to help sustain scholarly communications in the humanities and the social sciences and is keen to better understand the issues involved.[157] Consequently, HEFCE has started a new project, in collaboration with the Arts and Humanities Research Council and the Economic and Social Research Council, to help them to understand the challenges and opportunities surrounding open access monograph publishing.[158] They have convened an Expert Reference Group to establish what evidence is needed to inform understanding and to provide advice on an appropriate programme of work to gather this evidence. There is also a steering group comprising representatives from HEFCE, the research councils, and the British Academy that will govern the project. The project is expected to run until mid-2014.[159] The Expert Reference Group met for the first time on 4 November 2013 and information and notes from their meeting is available for comment on HEFCE's website.

On 12 December 2013, it was announced that HEFCE has given financial backing of up to £50,000[160] to the Knowledge Unlatched pilot project.[161]

5.4.3.4 Arts & Humanities Research Council

The Arts & Humanities Research Council (AHRC) open access policy is in line with that of the RCUK policy on open access. Open access is defined on the AHRC website as "the free and unrestricted access to peer-reviewed scholarly content, predominantly journal articles, but increasingly other content, including monographs, book chapters and theses."[162] Although it is clearly stated on the AHRC website that the "AHRC does not currently require scholarly monographs funded by the AHRC to be made available through open access," the AHRC is involved in some initiatives on open access for monographs.

The AHRC, together with JISC, is involved in OAPEN-UK and its initiatives on open access to monographs. The AHRC is supporting JISC Collections through funding and support specifically in relation to humanities monographs.[163]

5.4.4   Australia

Australia is very active in the open access movement. It has a highly digitized environment and technology infrastructure as well as an open access community. Some early initiatives include the Australian Group of Eight, the country's eight leading research universities, 25 May 2004 release of a Statement on open access to scholarly information. On 17 December 2004, the Australian Research Information Infrastructure Committee (ARIIC) issued its Open Access Statement.[164] A recent development that will affect monograph publishing is the Rudd government's promise to subsidise loss-making scholarly publishing with up to $12 million over three years to establish a new consortium, to be known as Australian Universities Press. The plan would see universities pool publishing infrastructure and marketing costs in a bid to boost output and distribute research more widely.[165]

Two of Australia's main research funders, the Australian Research Council and the National Health and Medical Research Council support open access.

5.4.4.1 National Health and Medical Research Council

The National Health and Medical Research Council (NHMRC) is involved in health and medical research. In 2012, the NHMRC announced its *Revised Policy on the Dissemination of Research Findings* (hereafter, NHMRC Revised Policy) which came into effect on 1 July 2012. The main aim of the NHMRC Revised Policy is to ensure that the findings of publicly funded health and medical research are made available to the wider public as soon as possible.[166] The February 2012 Research Notice on the NHMRC Revised Policy noted that the new policy brings the NHMRC in line with other international health and medical research funding agencies such as the US-National Institutes of Health, the Wellcome Trust and the UK Medical Research Council.[167]

The NHMRC Revised Policy states that the "NHMRC acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for publications arising from their research" including "the status and reputation of a journal, book, publisher or conference, the peer review process of evaluating their research outputs, access by other stakeholders to their work, the likely impact of their work on users of research and the further dissemination and production of knowledge."[168] The NHMRC Revised Policy supports green open access and requires that any

publication arising from an NHMRC supported research project be deposited into an open access institutional repository within a 12 month period from the date of publication. However, if a researcher pursues the gold open access route by publishing an article in an open access journal or via a service such as PubMed Central, it is sufficient for the researcher to make the article metadata available in the institutional repository and provide a link to the site where the print version is available.[169] The NHMRC Revised Policy affects all publications as of 1 July 2012 but the first articles were not due to be made available in an institutional repository until July 2013.[170]

5.4.4.2 Australian Research Council

The Australian Research Council (ARC) is a statutory agency within the Australian Government with the mission to deliver policy and programmes that advance Australian research and innovation globally and benefit the community.[171] It is involved in all fields of science, social sciences and the humanities.[172] The ARC introduced a new open access policy for ARC funded research, the *ARC Open Access Policy* (hereafter, ARC Policy), which took effect from 1 January 2013.[173] The aim of the ARC Policy is to ensure that the findings of publicly funded research are made available to the wider public as soon as possible. The ARC Policy applies to all new projects from 1 January 2013 that are totally or partly funded by the ARC. It does not apply retroactively to pre-existing Funding Rules and Agreements.[174]

The ARC Policy applies to "any publications arising from an ARC supported research project"[175] and supports the gold and green open access routes. For green open access, the ARC Policy requires that ARC funded publications be deposited into an open access institutional repository within twelve months from the date of publication. The ARC does not specify which publications should be included in institutional repositories. In fact, the policy states "The ARC does not intend to place restrictions on the types of publications that can be included in an institutional repository. The Administering Institution should assist researchers to identify and to capture appropriate information."[176] Researchers that do not deposit a copy of the publication in a repository within the prescribed period are required to explain why in the Final Reports.[177] Authors can also comply with the ARC Policy through the gold open access route. Publication metadata must be submitted as soon as possible after the paper is accepted for publication.[178] Recipients of ARC funding must mention the funding source including the grant identification number.[179]

The Australian Open Access Support Group, which provides an advocacy voice for open access to research in Australia, notes on its website the similarity in wording between the NHMRC Revised Policy and the ARC Policy.[180] One major difference, pointed to by the Australian Open Access Support Group, is that the NHMRC Revised Policy applies only to journals. The Australian Open Access Support Group states on its website that one of the concerns about the ARC Policy is that it applies to all publication outcomes, which could include books or book chapters. They state further that, considering the amount of time it takes to conduct research for and write a book, it could be a number of years before the policy applies to books.[181]

5.4.5 Belgium

Belgium is very active in the open access movement and has a strong open access community. In certain respects, its policies reflect its bilingual and bicultural status. There are at least 30 open

access repositories in Belgium, mostly university repositories.[182] Some of its universities, notably the Université de Liège (ULg) and Ghent University (Ugent), have open access deposit mandates and are encouraging open access publications. On 22 October 2012, government representatives signed the *Brussels Declaration on Open Access* which states "By signing this declaration 'Signatories' declare Open Access to be the default infrastructure for dissemination of Belgian scientific research results and express their determination to be amongst the frontrunners in this evolution, both at European and worldwide level."[183] Belgium's two main research funders Fonds Wetenschappelijk Onderzoek – Vlaanderen (FWO) and Fonds de la Recherche Scientifique (F.R.S.–FNRS) support open access. The FWO administers resources for Flanders while the F.R.S.–FNRS does so for the French-speaking part of Belgium.

5.4.5.1 *Fonds de la Recherche Scientifique*

The Fonds de la Recherche Scientifique (F.R.S.-FNRS) applies to all branches of science and of the humanities. The F.R.S.-FNRS open access policy, *Règlement Relatif á l'Application de la Politique de Libre Accès (Open Access) aux Publications Scientifiques Issues des Programmes de Recherche Soutenus par le F.R.S.-FNRS et les Fonds Associés* (hereafter, F.R.S.-FNRS Open Access Policy), was issued in April 2013[184] and came into effect on 30 June 2013. The F.R.S.-FNRS Open Access Policy supports the definition of open access in the *Budapest Open Access Initiative* of 2002, defining open access as free universal, immediate and permanent electronic access to scientific publications.[185] The F.R.S.-FNRS Open Access Policy applies to recipients who receive full or partial funding from F.R.S.-FNRS and associated funds for their research excluding research in the form of books or monographs. The F.R.S.-FNRS Open Access Policy applies to any article or any participation in colloquiums, seminars or congresses (including posters) that have been the subject of a peer-reviewed scientific publication.

The F.R.S.-FNRS Open Access Policy supports the green open access route, the repository system, in two main ways. First, each university of the Fédération Wallonie-Bruxelles (FWB)[186] must create an institutional repository. Second, all scientific federal institutions that receive at least partial research funding from F.R.S.-FNRS must individually or collectively create a similar repository. The F.R.S.-FNRS Open Access Policy requires electronic copies of research papers accepted for publication after peer-review, that are supported in whole or in part by funding from F.R.S.-FNRS or by associated funds to be immediately deposited in the institutional repository. The article should be in PDF format and be the author's final version prior to publication. The article should be open access at the latest 6 months after publication or 12 months for humanities and social sciences. The F.R.S.-FNRS Open Access Policy applies to all new funding granted from 1 October 2013. For research results published since 2008 with partial or full support from F.R.S.-FNRS or associated funds, F.R.S.-FNRS encourages authors to deposit a PDF copy of the final version in their respective university institutional repositories.[187]

The F.R.S.-FNRS Regulations also support gold open access, reflected in the provisions on intellectual property rights and licensing. F.R.S.-FNRS encourages public funding recipients to opt for an end to their copyright in favour of an open access licence for non-commercial uses of their work. However, funding recipients are encouraged when signing publishing contracts to retain, to the extent possible, that portion of their intellectual property rights that will guarantee open access publishing, in accordance with the F.R.S.-FNRS Open Access Policy and with non-commercial use, while retaining

the author's moral rights. An impressive feature of the F.R.S.-FNRS open access policy is that F.R.S.-FNRS recipients can use F.R.S.-FNRS model contracts when negotiating with publishers.[188] Authors or co-authors who have difficulty complying with the Regulations are required to inform the F.R.S.-FNRS and their host institution.[189]

Concerning the cost of open access publications, the F.R.S-FNRS and associated funds do not allow researchers to charge the costs of publishing in open access journals.[190]

The Business, Innovation and Skills Committee of the UK Parliament-*Fifth Report, Open Access* of September 2013, in discussing the Finch Report and the RCUK open access policy, mentions:

> *…the honour of having the most successful OA policy continues to belong to the University of Liège in Belgium (collecting 83% of its annual outputs in its OA repository) and, since the whole Belgian HE system is now adopting the same policy conditions in conjunction with the Belgian national research funder, FNRS, Belgium is expected shortly to overtake the UK as the country leading the world in providing OA.*[191]

5.4.5.2 Fonds Wetenschappelijk Onderzoek - Vlaanderen

The Fonds Wetenschappelijk Onderzoek - Vlaanderen (FWO) is the official governmental body responsible for the allocation of funds for fundamental research.[192] It is a member of the European Research Council. The FWO promotes scientific knowledge and finances research in Flanders. It grants funding to Flemish universities. In April 2007, the FWO made it mandatory for researchers to self-archive all articles from FWO-funded research in open access repositories.[193] The FWO *General Regulations* (hereafter, Regulations) also promote open access. Article 2 of the Regulations addresses open access and states that the FWO supports the Berlin Declaration of 2003. Beneficiaries of FWO funding are required to deposit a copy of publications arising from such funding in an open access repository no later than 12 months after publication.[194]

5.4.6 France

France has been involved in the open access movement for more than a decade. It has an active open access community, a large repository system and participates in European open access initiatives, for example the Open Access Infrastructure for Research in Europe (OpenAire).[195] These and other factors provide France with a strong enabling environment for open access. It also benefits from funder open access mandates.

Some of its notable early initiatives include the French Académie des Sciences statement of 9 December 2001 calling on the European Commission to not apply ordinary copyright rules to scientific publications for which the authors seek no payment. France was the first country to sign the Berlin Declaration. Four French research institutions, the Centre National de la Recherche Scientifique (CNRS), the Institut National de la Santé et de la Recherche Médicale (INSERM), the Institut National de la Recherche Agronomique (INRA) and the Institut National de recherche en Informatique et en Automatique (INRIA), were among the first signatories of the Berlin Declaration. French institutions began to express their strong commitment to open access in October 2003 when CNRS and INSERM were the first institutions in the country to sign the Berlin Declaration.[196] The Université de Lyon, in 2006, was the first such institution to sign the Berlin Declaration.[197]

Further, on 11 October 2006, a group of major research institutions, comprising the Institut de recherche en sciences et technologies pour l'environnement (CEMAGREF), the Centre de coopération internationale en recherche agronomique pour le développement (CIRAD), CNRS, INRA, INRIA, INSERM, the Institut de recherche pour le développement (IRD), and, the Institut Pasteur, agreed to use Hyper articles en ligne (HAL) for their open access archiving. Certain research institutions, notably INRA, already required open-access archiving for their research output, while others, particularly CNRS, INRIA and INSERM, strongly recommended it.[198] HAL is a multi-disciplinary open access archive for the deposit and dissemination of published and unpublished scientific research papers and PhD dissertations. The documents may come from teaching and research institutions in France or abroad, or from public or private research centers.[199] The open archive HAL-Sciences de l'Homme et de la Société (HAL-SHS), a sub-division of HAL, is for archiving and disseminating published and unpublished scientific literature from universities or from research institutions in all disciplines of the humanities and social sciences.[200]

5.4.6.1 Agence Nationale de la Recherche

The Agence Nationale de la Recherche (ANR) is the main funding agency for research in France. It has eight scientific departments, including a Social Sciences and Humanities department.[201]

In November 2007, the ANR adopted an open access policy for ANR-funded research (hereafter, ANR policy).[202] The ANR policy applies to all research fully or partially funded by the ANR from 14 November 2007. It encourages researchers to deposit publications arising from such funding in open access archives at the earliest opportunity. It neither specifies a particular version or format for the publication to be deposited nor requires publishing in open access publications. However, it recommends that the publications be deposited into the HAL open access archive and requires that copyright and confidentiality rules be respected.[203]

In 2008, the Social Sciences and Humanities department of the ANR adopted an open access mandate requiring grantees of projects it funds to deposit their peer-reviewed publications in HAL-SHS. Project leaders are to ensure that publications are duly deposited in HAL-SHS, a provision that makes this mandate stronger than the 2007 ANR one. [204]

5.4.6.2 Institut National de la Santé et de la Recherche Médicale

The Institut National de la Santé et de la Recherche Médicale (INSERM) is a research funder and public scientific and technological institute which operates under the joint authority of the French Ministry of Health and French Ministry of Research. It introduced an open access policy in 2006.[205] The policy requires that all peer-reviewed publications arising from research it funds be deposited in open access archives when accepted for publication or within an acceptable embargo period of 6 months after publication. It applies to all new projects funded from 1 January 2008 and specifies the publication be deposited in the HAL open access archive.[206]

5.4.7 United States

There is a wide awareness of open access in the U.S. It has made many contributions to the open access movement including the development of the earliest form of the Internet.[207] It was one of the earliest countries, through the activities of the National Academies Press, to be involved in providing

free online access to publications including monographs. It has a wide network of repositories and an active open access community with key open access groups, including SPARC. A recent initiative on monographs is the Google Books project, an initiative by Google Inc. to scan, and make available for online search, millions of books.[208] In November 2013, a U.S. judge, Judge Chin, dismissed an eight-year old lawsuit against Google Inc. by ruling that the Google Books project provides a public benefit and is a fair use of copyrighted material. The U.S. also has funder open access policies.[209]

5.4.7.1 National Institutes of Health

The National Institutes of Health (NIH), a part of the U.S. Department of Health and Human Services, is a major medical research funder in the United States. The NIH *Public Access Policy* (hereafter, policy) states:

> *The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication: Provided, That the NIH shall implement the public access policy in a manner consistent with copyright law.*[210]

Specifically, the policy applies to peer-reviewed articles accepted for publication on or after 7 April 2008. It requires authors to submit a final peer-reviewed manuscript to PubMed Central (PMC), [211] the NIH's digital archive of full-text, peer-reviewed journal articles, immediately upon acceptance to be made publicly available no later than 12 months after publication. Institutions and investigators must ensure that any related publishing or copyright agreements reserve adequate right to fully comply with this policy.

Further, "[b]eginning May 25, 2008, anyone submitting an application, proposal or progress report to the NIH must include the PMC or NIH Manuscript Submission reference number when citing applicable articles that arise from their NIH funded research. This policy includes applications submitted to the NIH for the May 25, 2008 due date and subsequent due dates."[212] Since 2008, compliance with the policy is a statutory requirement and a term and a condition of all grant awards and cooperative agreements in accordance with the NIH Grants Policy Statement.[213]

5.4.7.2 Executive Office of the President, Office of Science and Technology

On 22 February 2013, the U.S. Office of Science and Technology (OSTP) released a policy, *Office of Science and Technology Policy* (hereafter, OSTP policy), to make federally funded research available to the public.[214] The OSTP policy Memorandum For the Heads of Executive Departments and Agencies (hereafter, memorandum),[215] instructs federal agencies with research expenditures of more than $100 million to develop a plan to support increased public access to the results of research funded by the federal government. These include peer-reviewed publications and digital data. The OSTP policy does not mention books and its definition of data excludes laboratory notebooks.[216] These federal agencies must submit a draft plan for the implementation of these open access goals within 6 months, by 22 August 2013, to the OSTP for review and guidance on the final plan.

The OSTP policy supports the green open access route. The memorandum provides some guidelines for the federal agencies' plans including the fact that publications and metadata should be in archives with long-term preservation and access to the content without charge. "Repositories could be maintained by the Federal agency funding the research, through an arrangement with other Federal agencies, or through other parties working in partnership with the agency including, but not limited to, scholarly and professional associations, publishers and libraries."[217]

5.4.7.3 The Fair Access to Science and Technology Research Act 2013

The *Fair Access to Science and Technology Research Act* (FASTR)[218] was introduced as a bill[219] in the U.S. Congress on 14 February 2013 and assigned to a congressional committee for consideration. The FASTR would require federal agencies with annual extramural research budgets of $100 million or more to provide the public with online access to research manuscripts stemming from funded research no later than six months after publication in a peer-reviewed journal.[220] It supports the green open access route. The manuscript should be preserved in a stable digital repository maintained by that agency or in another suitable repository that permits free public access, interoperability, and long-term preservation.[221] It excludes research resulting in works that generate revenue or royalties for authors, such as books, to the extent necessary to protect copyright.[222] At the time of writing, the bill has not yet become a law.

5.4.8 Brazil

Brazil is one of the open access leaders in Latin America, very active in the open access movement generally and involved in major projects and initiatives. In 2007, it was the first country in Latin America to have a bill presented to parliament proposing a national mandatory policy for open access.[223] Together with other countries in the region, Brazil participates in open access regional subject repositories, including Consejo Latinoamericano de Ciencias Sociales (CLASCO) (Latin American Social Science Council), for the social sciences. CLACSO is a social sciences digital repository which offers users open access to a collection including full-text books and theses.[224] Brazil has been very successful in open access journals. Its large number of repositories makes the full texts of publicly funded research available over the Internet at no cost. Brazilian open access digital repositories are registered in the Registry of Open Access Repositories (ROAR) and in the Directory of Open Access Repositories (OpenDOAR).

One of Brazil's major initiatives is the Scientific Electronic Library Online (SciELO), an open access publishing project started in Brazil in 1997 by the Fundação de Amparo à Pesquisa do Estado de São Paulo (FAPESP) (Foundation for Supporting Research in the State of São Paulo) in an attempt to boost the visibility of Brazilian research. In 1997, the FAPESP in partnership with the Centro Latino-Americano e do Caribe de Informação em Ciências da Saúde (BIREME) (Latin American and Caribbean Center on Health Sciences Information), and later with support from the - Conselho Nacional de Desenvolvimento Científico e Tecnológico (CNPq) (National Council of Scientific Research), started SciELO with the goal of increasing the visibility, access to and impact of research from emerging and developing countries. Other countries have since joined the project. State and government funding provide the infrastructure and software for the project. SciELO began as an indexer and publisher of peer-reviewed open access academic e-journals offering free access to certain scientific journals from Brazil and from other countries. As of March 2013, SciELO publishes

more than 1000 journals and other communications from 17 different countries, including Portugal, Spain and South Africa. Each day, an average of over one million articles are downloaded from the SciELO site.[225]

In March 2012, SciELO extended open access to the book publishing industry by announcing the creation of SciELO Books, a collection of quality peer-reviewed open access and commercial ebooks in the humanities, social sciences and public health from selected university presses and other academic publishers in Brazil. This new ebook operation was launched in March 2012 with three founding members, namely the presses of the University of the State of São Paulo, the Federal University of Bahia and Fiocruz. The addition of the presses of the State University of Paraíba, the State University of Londrina and the Federal University of São Carlos has brought the total to six presses. New presses are continuously being added to the SciELO Books collection. The scope of the collection will progressively broaden as university presses and academic publishers from other countries in Latin America and the Caribbean join. SciELO Books follows the same principles as the SciELO journals. As at March 2012, there were over 300 ebooks available for download, a number expected to grow by more than 500 titles per year. "SciELO believes in open standards and that users should be free to read on any device, so the ebooks are being made available in ePub and PDF formats with the option to download the whole ebook or just individual PDF chapters. SciELO is partnering with major indexing services and ebook retailers to broaden availability of the SciELO content to the global community."[226]

5.4.9   South Africa

South Africa is one of the open access leaders in Africa. The University of Pretoria, South Africa, became the first African university to adopt an open access mandate.[227] South Africa has a strong open access community and often hosts international open access conferences.

5.4.9.1 *Academy of Science of South Africa*

The Academy of Science of South Africa (ASSAf) is the official national academy of science of South Africa and represents the country in the international community of science academy. Its mandate encompasses all fields of scientific enquiry.[228] Its policy advisory programmes include programmes on education and the humanities, health and social sciences and on scholarly publishing.

One of ASSAf's main initiatives in open access is the management of the Scientific Electronic Library Online (SciELO) South Africa (SA), an online open access database with a select collection of peer-reviewed scholarly journals. The Open Access SciELO SA programme forms part of ASSAf's scholarly publishing programme.[229] The SciELO system, originally developed by Brazil, was extended to South Africa in 2009 with support from the Department of Science and Technology. In April 2012, the SciELO SA team began hosting the site independently. SciELO SA is managed by ASSAf, funded by the South African Department of Science and Technology and endorsed by the South African Department of Higher Education and Training (DHET). "The first open access site for scholarly journals on the African continent, the newly certified SciELO-South Africa, was launched by Dr. Khotso Mokhele, the founding President of the ASSAf, on behalf of the Minister of Science and Technology, Mr. Derek Hanekom, on 22 July 2013.[230]

South Africa is considering extending open access to the book publishing industry. An ASSAf report, *Scholarly Books: their production, use and evaluation in South Africa today*, published in August 2009[231] recommends the extension of open access to the book publishing industry:

> *Recommendation No 4: that the principle of maximising open access, already recommended by the Academy for scholarly journals, be extended as far as possible (with careful attention to sustainable business models) to books published (or co-published) in South Africa, with the adoption of formats and technology platforms compatible with bibliometric requirements such as citation indexing and information-rich online features.[232]*

5.4.10 Japan

Japan has a highly digitized environment and a growing open access community. With at least 167 institutional repositories, Japan has one of the highest densities of such in the world.[233] The Japanese government provides partial funding to universities to develop repositories. One initiative is Open Access Japan, a joint project of two research grant-in-aid projects funded by the Japan Society for the Promotion of Science, "Integrated Research on Transformation of Scholarly Communication in Open Access Movement" and "Reengineering of the Functionalities of Research Libraries in the Digital Milieu (REFORM)" launched with a view to facilitate the information and communication among researchers, librarians and publishers in Japanese concerning issues on open access as one of the currently most heavily discussed topics in scholarly communication.[234] However, open access publishing for journals or monographs is not well developed in Japan. Further, the gold and green open access routes are not as developed as they are in other countries. According to UNESCO, "[s]elf archiving by scientists is still not quite a popular mode of publishing."[235]

In 2013, Japan introduced a national open access mandate for theses. The Ministry of Education, Culture, Sports, Science and Technology[236] issued a policy on open access for doctoral dissertations, known as the 'thesis mandate.' The 'thesis mandate,' of 1 April 2013, requires open access to doctoral dissertations.[237] Specifically, a person who is awarded a doctorate is required to publish the doctoral thesis online within 12 months. In unavoidable circumstances, the person may publish a digest of the thesis as opposed to the whole thesis upon approval of the University and the National Institution for Academic Degrees and University Evaluation (NIAD-UE) which conferred the degree. In this case, the University and the NIAD-UE shall make available the entire thesis for inspection upon request. When a NIAD-UE confers a doctoral degree, it is required to publish a summary and a gist of the screening results online within three months after the degree is conferred.

6 Canada

Canada has a large repository system and an active open access community. Several universities, such as Athabasca University, and its university press, among others, are involved in open access publishing for journals and for monographs. Canada also has funder and institutional open access mandates.[238]

6.1 Fonds de recherche du Québec - Santé

Reporting to the Minister of Higher Education, Research, Science and Technology, the Fonds de recherche du Québec – Santé (FRQS) is a non-profit funding agency in the field of human health

research. It manages public funds and aims to ensure the strategic and coherent development of research in Québec, provide funding, foster research training, establish partnerships to deliver on their mandate and support knowledge mobilization.[239]

The FRQS *Policy regarding open access to published research outputs* (hereafter, FRQS policy)[240] came into effect by its adoption by the Board of Directors on 24 October 2008. The purpose of the FRQS policy is to improve access to and dissemination of the outputs of FRQS funded research. The FRQS policy applies to all research fully or partially funded by the FRQS and to new grants issued from January 2009. The FRQS recommends compliance for projects funded before the FRQS policy came into effect.

The FRQS policy requires awardees or grantees of FRQS to have their peer-reviewed publications posted on open access web sites at their earliest convenience, ideally no later than six months after publication or presentation. For the purposes of the FRQS policy, a "'peer-reviewed publication' means a manuscript (for publication in a scholarly journal or for presentation at a scientific convention) assessed by peers and deemed to be scientifically and ethically sound." The requirement can be met by posting the peer-reviewed publication on the publisher's web site, in the case of article, or on that of the organizer of the event, in the case of a scientific convention. The requirement can also be met by posting the peer-reviewed publication on one or several online repositories such as PubMed Central, Canadian institutional repositories or on OpenDOAR. Awardees are required to comply with the publisher's or the organizer's policies when posting peer-reviewed publications to online repositories. The FRQS policy does not specify what should occur if the publisher's or organizer's policies contradict the FRQS policy.

Although the FRQS policy applies primarily to peer-reviewed journal articles, it does not exclude books and monographs. In the section, "Other forms of distribution," the FRQS permits non peer-reviewed publications such as books or chapters thereof to be made available on open access web sites through the following options: FRQS awardees own web site or that of their institution; via the web site Érudit; or, on a Canadian site based on Érudit Synergies. Synergies is a "not-for-profit platform for the publication and the dissemination of research results in social sciences and humanities published in Canada."[241]

6.2 Natural Sciences and Engineering Research Council, Social Sciences and Humanities Research Council, Canadian Institutes of Health Research

The Natural Sciences and Engineering Research Council (NSERC), Social Sciences and Humanities Research Council (SSHRC), and the Canadian Institutes of Health Research (CIHR) have recently begun to develop a common policy on open access (Draft Tri-Agency Open Access Policy). In the fall of 2013, NSERC and SSHRC put forward a consultation on open access for research, proposing a policy modeled after CIHR's current policy.[242] Under the Draft Tri-Agency Open Access Policy, grant recipients will be required to ensure that peer-reviewed journal publications emerging from their research is freely accessible within 12 months of publication. The Draft Tri-Agency Open Access Policy puts forward two options for open access: either through the journal publisher's website or in an online repository.[243] The Draft Tri-Agency Open Access Policy specifically excludes monographs. The consultation period ended in December 2013. A final policy, subject to the results of the consultation, is expected for fall 2014.

6.3 Federation for the Humanities and Social Sciences

The Federation for the Humanities and Social Sciences (hereafter, Federation) has previously indicated that it supports the principle of open access and signed the Berlin Declaration in September 2011. In March 2006, the Federation's General Assembly adopted the following principles:

- Open access must be promoted, incremental and flexible, not mandated;
- The scholarly contribution of open access and self-archived research must be better measured and recognized;
- The Federation will undertake education and resource development to assist scholars and associations in adopting best practices for open access;
- The financial viability of associations and journals must be assured in the transition toward open access;
- The Federation will encourage publishers to adopt policies that support self-archiving;
- Digitization is necessary for greater access to scholarship;
- The Federation supports the development of international standards for metadata.

The Federation recently made a submission to the consultation on the Draft Tri-Agency Open Access Policy.[244] This included recommendations to bolster the proposed Tri-Agency policy by ensuring publications are placed in repositories with full metadata; requiring researchers to report on the exact location of deposited publications; ensuring long-term preservation and persistence of content are a continuing priority; and, recognizing author costs of publishing in open access as an eligible use of grant funds.

7 Appendix: Monograph Policy Table

1 Monograph Policy Table

Region or Country	Organization	Monographs	Embargo[1]	Date	Regime	Domain	Funding	Licence
Europe	European Research Council	Yes	• six months • HSS twelve months	2013	Green	Science HSS	Yes	
Austria	Austrian Science Fund	Yes	Green • six months • twelve months in exceptional cases	Varies by instrument	Green Gold	Science HSS Other disciplines	Yes	Creative Commons
Netherlands	Netherlands Organisation for Scientific Research	Yes	as soon as possible	Varies by instrument	Green Gold	Science HSS	Yes	
UK	Research Councils UK	No; encourages						
UK	Wellcome Trust	Yes	Green • varies • maximum six months	2013	Green Gold	Medical and Medical humanities	Yes	Creative Commons
UK	Higher Education Funding Council for England	No						
UK	Arts & Humanities Research Council	No						

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[1] Refers to the period after publication after which it must be available in open access.

2Monograph Policy Table

Region or Country	Organization	Monographs	Embargo	Date	Regime	Domain	Funding	Licence
Canada	Fonds de recherche du Québec - Santé	Encourages						
Belgium	Fonds de la Recherche Scientifique	No						

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[135] See Wellcome Trust, "Open access: Extending the Wellcome Trust policy to include monographs and book chapters – FAQ," online: Wellcome Trust <http://www.wellcome.ac.uk/stellent/groups/corporatesite/@policy_communications/documents/web_document/wtp052687.pdf> at paragraph 7. See also Wellcome Trust, "Authors' FAQs," online: Wellcome Trust <http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Guides/WTD018855.htm#nine> at "How is the policy being extended to monographs and book chapters?".

[136] See Wellcome Trust, "Open access: Extending the Wellcome Trust policy to include monographs and book chapters – FAQ," online: Wellcome Trust <http://www.wellcome.ac.uk/stellent/groups/corporatesite/@policy_communications/documents/web_document/wtp052687.pdf>. See also Wellcome Trust, "Authors' FAQs," online: Wellcome Trust <http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Guides/WTD018855.htm#nine> at "The Wellcome Trust's open access policy."

[137] Wellcome Trust, "Authors' FAQs," online: Wellcome Trust <http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Guides/WTD018855.htm#nine> at "The Wellcome Trust's open access policy."

[138] See HEFCE, "About HEFCE," online: HEFCE <http://www.hefce.ac.uk/about/>.

[139] HEFCE, "Policy Guide Open access research," online: HEFCE <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/>.

[140] HEFCE "Policy Guide Open access research," online: HEFCE <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/>.

[141] HEFCE "Policy Guide Open access research," online: HEFCE <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/>.

[142] HEFCE, "Policy Guide Open access research -What do others say?," online: HEFCE <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/oa/>. See also "Letter to Dame Janet Finch on the Government Response to the Finch Group Report: "Accessibility, sustainability, excellence: how to expand access to research publications," online: Department for Business Innovation & Skills <http://www.bis.gov.uk/assets/biscore/science/docs/l/12-975-letter-government-response-to-finch-report-research-publications.pdf>.

[143] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE <http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 8.

[144] HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE <http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf>.

[145] HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE <http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 10.

[146] See HEFCE, News archive, "Open access consultation launched" (24 July 2013), online: HEFCE
<http://www.hefce.ac.uk/news/newsarchive/2013/news82784.html>.

[147] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 16.

[148] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf>at paragraph 25.

[149] See also HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf>at paragraph 41.

[150] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 53.

[151] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 54.

[152] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraphs 55 and 63.

[153] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 21.

[154] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 32.

[155] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 51 and see paragraph 63.

[156] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 49.

[157] See HEFCE, "Policy Guide Open access research, Open access and monographs," online: HEFCE
<http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/monographs/>.

[158] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at paragraph 49. See also HEFCE,"Open access and monographs," online: HEFCE
<http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/monographs/>.

[159] See HEFCE, "Consultation on open access in the post-2014 Research Excellence Framework," online: HEFCE
<http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> at Annex B. See also HEFCE,"Policy Guide Open access research, Open access and monographs," online: HEFCE
<http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/monographs/>.

[160] See further HEFCE, "Knowledge Unlatched pilot given HEFCE backing," online: HEFCE
<http://www.hefce.ac.uk/news/newsarchive/2013/news85263.html>.

[161] For more on Knowledge Unlatched, see section 5.3.3, above.

[162] See AHRC, "Open access to research outputs," online: AHRC <http://www.ahrc.ac.uk/About-Us/Policies,-standards,-and-forms/open-access/Pages/open-access.aspx>.

[163] See OAPEN, at section 5.3.3, above.

[164] See Peter Suber, "Timeline of the Open Access Movement," online: <http://legacy.earlham.edu/~peters/fos/timeline.htm>.

[165] See Andrew Trounson, "Labor backs scholarly publishing with $12m," *The Australian* (3 September 2013), online: The Australian <http://www.theaustralian.com.au/higher-education/labor-backs-scholarly-publishing-with-12m/story-e6frgcjx-1226709255742#>.

[166] See NHMRC, "Dissemination of Research Findings, NHMRC revised policy on the dissemination of research findings," online: NHMRC <http://www.nhmrc.gov.au/grants/policy/dissemination-research-findings>.

[167] See NHMRC, *Revised Policy on Dissemination of Research Findings*, 22 February 2012, online: NHMRC <http://www.nhmrc.gov.au/media/notices/2012/revised-policy-dissemination-research-findings>.

[168] See NHMRC, *Revised Policy on Dissemination of Research Findings*, 22 February 2012, online: <http://www.nhmrc.gov.au/media/notices/2012/revised-policy-dissemination-research-findings>.

The policy is also available at, online: NHMRC <http://www.nhmrc.gov.au/grants/policy/dissemination-research-findings>.

[169] See NHMRC, "Dissemination of Research Findings, NHMRC revised policy on the dissemination of research findings," online: NHMRC <http://www.nhmrc.gov.au/grants/policy/dissemination-research-findings>.

[170] See NHMRC,"Dissemination of Research Findings, NHMRC revised policy on the dissemination of research findings," online: NHMRC <http://www.nhmrc.gov.au/grants/policy/dissemination-research-findings>.

[171] See Australian Research Council, online: <http://www.arc.gov.au/>.

[172] See ARC, "About ARC," online: ARC< http://www.arc.gov.au/about_arc/default.htm>.

[173] *ARC Open Access Policy*, January 2013, online: ARC <http://www.arc.gov.au/pdf/ARC%20Open%20Access%20Policy_print_version.pdf>.

[174] *ARC Open Access Policy*, January 2013, online: ARC <http://www.arc.gov.au/pdf/ARC%20Open%20Access%20Policy_print_version.pdf> at 1.

[175] *ARC Open Access Policy*, January 2013, online: ARC <http://www.arc.gov.au/pdf/ARC%20Open%20Access%20Policy_print_version.pdf> at 1.

[176] *ARC Open Access Policy*, January 2013, online: ARC <http://www.arc.gov.au/pdf/ARC%20Open%20Access%20Policy_print_version.pdf> at 2.

[177] *ARC Open Access Policy,* January 2013, online: ARC <http://www.arc.gov.au/pdf/ARC%20Open%20Access%20Policy_print_version.pdf> at 1.

[178] *ARC Open Access Policy*, January 2013, online: ARC <http://www.arc.gov.au/pdf/ARC%20Open%20Access%20Policy_print_version.pdf> at 3

[179] *ARC Open Access Policy*, January 2013, online: ARC <http://www.arc.gov.au/pdf/ARC%20Open%20Access%20Policy_print_version.pdf> at 2.

[180] See "Comparison of ARC & NHMRC policies," online: Australian Open Access Support Group <http://aoasg.org.au/resources/comparison-of-arc-nhmrc-policies/>.

[181] Australian Open Access Support Group, "Developments in OA monograph publishing," online: Australian Open Access Support Group <http://aoasg.org.au/oa-monographs-developments/. See also Australian Open Access Support Group, "Centrally supported open access initiatives in Australia," online: Australian Open Access Support Group <http://aoasg.org.au/2013/03/19/centrally-supported-open-access-initiatives-in-australia/>.

[182] See UNESCO, Global Open Access Portal, "Belgium," online: UNESCO <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/europe-and-north-america/belgium/>.

[183] *Brussels Declaration on Open Access*, online: <http://openaccessbelgium.files.wordpress.com/2012/11/signedbrussels-declaration-on-open-access.pdf>. at 4. It was signed by three government officials. First, the Federal Minister of Public Entreprises, Scientific, Policy and Development Cooperation. Second, the Vice-Minister-President of the Government of Flanders, Flemish Minister for Innovation, Public Investment, Media and Poverty Reduction. Third, Vice-Minister-President for the Fédération Wallonie Bruxelles, Minister of Childhood, Scientific Research and Civil Service.

[184] *Règlement Relatif á l'Application de la Politique de Libre Accès (Open Access) aux Publications Scientifiques Issues des Programmes de Recherche Soutenus par le F.R.S.-FNRS et les Fonds Associés*, *Avril 2013*, online: Frs-Fnrs <http://www.frs-fnrs.be/uploaddocs/docs/SOUTENIR/FRS-FNRS_Reglement_OPEN_ACCESS.pdf>.

[185] *Règlement Relatif á l'Application de la Politique de Libre Accès (Open Access) aux Publications Scientifiques Issues des Programmes de Recherche Soutenus par le F.R.S.-FNRS et les Fonds Associés, Avril 2013,* online: Frs-Fnrs <http://www.frs-fnrs.be/uploaddocs/docs/SOUTENIR/FRS-FNRS_Reglement_OPEN_ACCESS.pdf> at 2.

[186] For more information on this federation, see Fédération Wallonie-Bruxelles, online: <http://www.federation-wallonie-bruxelles.be/>.

[187] *Règlement Relatif á l'Application de la Politique de Libre Accès (Open Access) aux Publications Scientifiques Issues des Programmes de Recherche Soutenus par le F.R.S.-FNRS et les Fonds Associés*, *Avril 2013*, online: Frs-Fnrs <*http://www.frs-fnrs.be/uploaddocs/docs/SOUTENIR/FRS-FNRS_Reglement_OPEN_ACCESS.pdf*> at 3.

[188] *Règlement Relatif á l'Application de la Politique de Libre Accès (Open Access) aux Publications Scientifiques Issues des Programmes de Recherche Soutenus par le F.R.S.-FNRS et les Fonds Associés*, *Avril 2013*, online: Frs-Fnrs <*http://www.frs-fnrs.be/uploaddocs/docs/SOUTENIR/FRS-FNRS_Reglement_OPEN_ACCESS.pdf*> at 3-4.

[189] *Règlement Relatif á l'Application de la Politique de Libre Accès (Open Access) aux Publications Scientifiques Issues des Programmes de Recherche Soutenus par le F.R.S.-FNRS et les Fonds Associés*, *Avril 2013*, online: Frs-Fnrs <*http://www.frs-fnrs.be/uploaddocs/docs/SOUTENIR/FRS-FNRS_Reglement_OPEN_ACCESS.pdf*> at 4.

[190] *Règlement Relatif á l'Application de la Politique de Libre Accès (Open Access) aux Publications Scientifiques Issues des Programmes de Recherche Soutenus par le F.R.S.-FNRS et les Fonds Associés*, *Avril 2013*, online: Frs-Fnrs <*http://www.frs-fnrs.be/uploaddocs/docs/SOUTENIR/FRS-FNRS_Reglement_OPEN_ACCESS.pdf*> *at 5.*

[191] See Business, Innovation and Skills Committee of the UK Parliament-*Fifth Report*, *Open Access*, online: <http://www.publications.parliament.uk/pa/cm201314/cmselect/cmbis/99/9906.htm> at paragraph 26.

[192] See "Flanders: Research Foundation - Flanders (FWO)/Fonds Wetenschappelijk Onderzoek," online: ERAWATCH <http://erawatch.jrc.ec.europa.eu/erawatch/opencms/information/country_pages/be/organisation/organisation_mig_0005>.

[193] See Open Repository and Bibliography, "Open Access at the Ulg," online: ORBI <http://orbi.ulg.ac.be/project?id=03>. See also, UNESCO, Global Open Access Portal, "Belgium," online: UNESCO <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/europe-and-north-america/belgium/>. See further, BioMed Central, "Belgium," online: <http://www.biomedcentral.com/funding/funderpolicies>.

[194] See FWO, "General Regulations," online: FWO <http://www.fwo.be/en/general-regulations/> at Article 2.

[195] For more on OpenAIRE, see online: OpenAIRE <https://www.openaire.eu/>.

[196] See The scientific and technical information and libraries network Unit of the Ministry of Higher Education and Research, The academic consortium Couperin, the Institute for scientific and technical information INIST-CNRS, "Open Access in France A State of the Art Report - April 2010," online <http://www.heal-link.gr/SELL/OA_reports/FranceReport.pdf> at 8. See also Centre National de la recherche scientifique (CNRS), Press Release, "Towards an open access to research output…Four French research institutes, CNRS, INSERM, INRA and INRIA are taking advantage of their respective characteristics to create institutional repositories for researchers," (22 March 2005), online: CNRS <http://www2.cnrs.fr/en/332.htm>.

[197] See UNESCO, Global Open Access Portal, "France," online: UNESCO <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/europe-and-north-america/france/>.

[198] See further, Peter Suber, "Timeline of the Open Access Movement," online: <http://legacy.earlham.edu/~peters/fos/timeline.htm>.

[199] See HAL, online: HAL <http://hal.archives-ouvertes.fr/index.php?langue=en&halsid=93ugcdht187u204jri0o6cs927>.

[200] See further, HAL-SHS, online: <http://halshs.archives-ouvertes.fr/index.php?langue=fr&halsid=g109jaheitu9k8v2d2lg5a02l6>.

[201] See ANR "About ANR,"online: ANR <http://www.agence-nationale-recherche.fr/en/about-anr/scientific-departments/>. See also "Social Sciences and Humanities Department," online: ANR <http://www.agence-nationale-recherche.fr/en/about-anr/scientific-departments/social-sciences-and-humanities-department/>.

[202] See "L'ANR incite les chercheurs à intégrer leurs publications dans le système d'archives ouvertes," online: <http://www.agence-nationale-recherche.fr/informations/actualites/detail/?tx_ttnews%5btt_news%5d=159> See also "OA Self-Archiving Policy: Agence Nationale de la recherche (ANR)," online: <http://www.eprints.org/openaccess/policysignup/fullinfo.php?inst=Agence%20Nationale%20de%20la%20recherche%20%28ANR%29>.

[203] See "L'ANR incite les chercheurs à intégrer leurs publications dans le système d'archives ouvertes," online: <http://www.agence-nationale-recherche.fr/informations/actualites/detail/?tx_ttnews%5btt_news%5d=159>.

[204] See "Open Access in France," online: OpenAIRE <https://www.openaire.eu/en/open-access/country-information/france>. For the mandate, see "OA Self-Archiving Policy: Agence Nationale de la recherche (ANR) (Humanities and Social Sciences Branch)," online: <http://www.eprints.org/openaccess/policysignup/fullinfo.php?inst=Agence%20Nationale%20de%20la%20recherche%20%28ANR%29%20%28Humanities%20and%20Social%20Sciences%20Branch%29>.

[205] See BioMed Central, online: <http://www.biomedcentral.com/funding/funderpolicies>.

[206] See UNESCO, Global Open Access Portal, "France," online: <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/europe-and-north-america/france/>; SherpaJuliet- Research funders' open access policies, online: <http://www.sherpa.ac.uk/juliet/>.

[207] See section 4.2.1, above.

[208] For more on this project, see Google Books, online: <http://books.google.com/googlebooks/about/>.

[209] For more on the U.S., see generally UNESCO, Global Open Access Portal, "United States of America," online: UNESCO <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/europe-and-north-america/usa/>.

[210] Notice Number: NOT-OD-08-033, January 11, 2008, online: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>. See also "The NIH Public Access Policy implements Division G, Title II, Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008)," online: <http://publicaccess.nih.gov/policy.htm> (accessed: 3 December 2013). See also, National Institutes of Health Public Access, online: <http://publicaccess.nih.gov/index.htm>.

[211] PubMed Central's content is publicly accessible and integrated with other databases. See PubMed Central, online: <http://www.pubmedcentral.nih.gov/>.

[212] Notice Number: NOT-OD-08-033, January 11, 2008, online: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>. Updates to this notice are available are on the same page.

[213] "For contracts, NIH includes this requirement in all R&D solicitations and awards under Section H, Special Contract Requirements, in accordance with the Uniform Contract Format." Notice Number: NOT-OD-08-033, January 11, 2008, online: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>. See also Notice Number: NOT-OD-12-160, November 16, 2012: Upcoming Changes to Public Access Policy Reporting Requirements and Related NIH Efforts to Enhance Compliance, online:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-160.html> (accessed: 3 December 2013). See further, *NIH Grants Policy Statement* (10/1/2013), online: <http://grants.nih.gov/grants/policy/nihgps_2013/> at section 8.2.2.

[214] Executive Office of the President, *Office of Science and Technology Policy*, 22 February 2013, online: <http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf>.

[215] Executive Office of the President, *Office of Science and Technology Policy*, 22 February 2013, online: <http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf>.

[216] Executive Office of the President, *Office of Science and Technology Policy*, 22 February 2013, online: <http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf> at 4-5.

[217] Executive Office of the President, *Office of Science and Technology Policy*, 22 February 2013, online: <http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf> at 4.

[218] *The Fair Access to Science and Technology Research Act* (FASTR), see H.R. 708: Fair Access to Science and Technology Research Act of 2013, online: <https://www.govtrack.us/congress/bills/113/hr708/text>.

[219] The full title is of the bill is *A Bill To provide for Federal agencies to develop public access policies relating to research conducted by employees of that agency or from funds administered by that agency*, online: http://www.gpo.gov/fdsys/pkg/BILLS-113hr708ih/pdf/BILLS-113hr708ih.pdf>. For the status of the bill, see online: <https://www.govtrack.us/congress/bills/113/hr708>. For the FAQ on the bill, see online: SPARC <http://www.sparc.arl.org/advocacy/national/fastr/faq>.

[220] *A Bill To provide for Federal agencies to develop public access policies relating to research conducted by employees of that agency or from funds administered by that agency*, online: <http://www.gpo.gov/fdsys/pkg/BILLS-113hr708ih/pdf/BILLS-113hr708ih.pdf> at 4.

[221] *A Bill To provide for Federal agencies to develop public access policies relating to research conducted by employees of that agency or from funds administered by that agency*, online: <http://www.gpo.gov/fdsys/pkg/BILLS-113hr708ih/pdf/BILLS-113hr708ih.pdf> at 4.

[222] *A Bill To provide for Federal agencies to develop public access policies relating to research conducted by employees of that agency or from funds administered by that agency*, online: <http://www.gpo.gov/fdsys/pkg/BILLS-113hr708ih/pdf/BILLS-113hr708ih.pdf> at 5-6.

[223] See UNESCO, Global Open Access Portal, "Brazil," online: UNESCO <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/latin-america-and-the-caribbean/brazil/>.

[224] See UNESCO, Global Open Access Portal, "Brazil," online: UNESCO <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/latin-america-and-the-caribbean/brazil/>. See further, UNESCO, Global Open Access Portal, "CLACSO," online: <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/key-organizations/latin-america-and-the-caribbean/clacso/>.

[225] See "SciELO announces the availability, indexing and publishing of academic eBooks from Brazil," online: SciELO <http://books.scielo.org/en/press-release-scielo-announces-the-availability-indexing-and-publishing-of-academic-ebooks-from-brazil/> (accessed: 4 December 2013).

[226] See "SciELO announces the availability, indexing and publishing of academic eBooks from Brazil," online: <http://books.scielo.org/en/press-release-scielo-announces-the-availability-indexing-and-publishing-of-academic-ebooks-from-brazil/> (accessed: 4 December 2013).

[227] Se UNESCO, Global Open Access Portal, "Africa," online: UNESCO <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/access-by-region/africa/>.

[228] See ASSAf, "About ASSAf," online: ASSAf <http://www.assaf.co.za/index.php?page_id=2>.

[229] See ASSAf, "Scholarly Publishing Programme," online: ASSAf <http://www.assaf.co.za/scholarly-publishing-programme/>. See also "Open Access: SciELO SA," online: ASSAf <http://www.assaf.co.za/programmes/open-access-scielo-sa/>.

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