

A closer look at Open Access to research publications in European universities

Follow-up to the 2020-21 EUA Open Science survey

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Introduction

This report presents the detailed Open Access (OA) results from EUA's 2020-2021 Open Science Survey. How do universities monitor OA activities? How are universities preparing for the implementation of Plan S, which will apply to all Horizon Europe funding recipients? What major steps have universities recently taken to further the implementation of OA?

This report addresses these and other questions for which there was no space in the main survey report, notably those raised in open-ended questions, which provide further insight into universities' OA experiences.

EUA's OA work dates back to 2008, when it issued its <u>first set of recommendations</u> on OA addressed to university leaders and national rector's conferences. Almost ten years later, EUA issued <u>updated recommendations</u> with a view to helping institutions achieve full OA to publications by 2020, as the <u>Amsterdam Call for Action on Open Science proposed</u>.

In the meantime, and particularly since 2014, EUA has run a series of yearly surveys monitoring universities' progress on OA and Open Science. In addition to understanding the experiences and challenges universities face in the transition to OA, EUA has also worked extensively to increase transparency on Big Deal contracts between national consortia and publishers. Through the EUA Big Deals Surveys (2018, 2019) and the EUA Group of Negotiators, the Association has sought to help institutions become more knowledgeable, and more actively engaged in negotiations with scientific publishers. EUA has also started looking into new types of contracts between national consortia and publishers (cf. the Read & Publish report, 2020) and has recently issued The new university Open Access checklist to further support universities in their choices and paths towards OA.

The EUA Open Science Surveys conducted between 2014 and 2021 have shown universities' progress in the transition to Open Access and Open Science (cf. the EUA Open Science Surveys, 2020-2021; 2017-2018). From 2014 to 2017/2018, between 52-62% of the universities surveyed had an **OA policy** and 20-25% were in the process of, or were planning to implement a policy in the near future. In the most recent survey: 2020-2021, 54% of universities had an **Open**

Science policy and 37% were in the process of developing one. Virtually all of the institutions with an Open Science policy had included at least one OA element, most frequently, depositing research articles in a repository.

The proportion of institutions with their own repository or participating in a shared repository has been consistently high in all of the survey waves since 2014, despite the increasing number of respondents. For example, from 2014 to 2017-2018, between 72-77% of respondents had their own repository and between 10-16% of institutions took part in a shared repository. In the latest survey (2020-2021) 65% of the respondents had their own repository, 12% had a shared repository and 26% had both their own repository and took part in a shared repository.

In terms of the major hurdles to OA, from 2014 to 2017-2018, concerns over copyright infringement and limited awareness of the potential benefits of OA were very much prevalent, with between 60-80% of respondents saying these were important or common concerns. However, the most recent survey (2020-2021) found that although the question focused on perceived hurdles to the transition to Open Science, these concerns were mentioned by a much lower proportion of institutions this time around, with 37% of the respondents citing the legal framework and 29% limited awareness of its benefits.

In 2017-2018, only 23% of the institutions surveyed had specified a target and timeline for OA. In 2020-2021, this proportion had increased to 32%. In terms of OA monitoring activities, 70% of institutions monitored repository deposits, 40% monitored OA publishing and only 30% monitored OA publishing costs in 2017-2018. By 2020-2021, 80% of the survey respondents indicated monitoring OA publications in the repository, 70% monitored OA publishing and almost 60% monitor the cost of OA journal publications.



Yet in spite of all universities' progress in the transition towards OA, plus greater impetus from national and European-level research funders who have required the OA publication of research results, OA is still not ubiquitous. The <u>OA2020</u> initiative estimates that roughly 85% of new research articles published globally still appear in journals behind paywalls. A recent European Commission review also shows that despite the steady rise in OA publications in the EU27, only 45% of publications were available in OA in 2019 (<u>Perspectives on the Future of Open Science, 2021</u>).

As the scholarly publishing system changes from exclusively subscription-based models to the preponderance of Transformative Agreements, full OA contracts, diamond OA and other non-commercial venues, all stakeholders need to strive for a transparent and diverse scholarly publishing ecosystem that is affordable and sustainable, interoperable, and coordinated. In this regard, bibliodiversity is key to ensuring a more equitable OA landscape across different contexts.

Despite the overall progress achieved in Europe and beyond, much more needs to be done to overcome the multifaceted challenges universities, researchers and research funders face when transitioning to OA (cf. OSPP Final report, 2020; Perspectives on the Future of Open Science, 2021). National, European and global policies should also be aligned to create framework conditions that are favourable to the transition to OA and Open Science.

This report focuses on universities' experiences, challenges and actions in specific areas of OA. These include the establishment of OA targets and monitoring mechanisms, participation in Plan S, OA infrastructure, institutional OA initiatives and the impact of COVID-19. It is part of a series of three follow-up reports to the main EUA 2020-2021 Open Science Survey report, which examine Open Science in academic assessment and research data in more depth.

Open Access targets

As the main 2020-2021 Open Science Survey report indicated, 32% of the institutions surveyed had an OA target and timeline, while 64% had not.¹

Amongst those universities that had a specific OA target, 86 institutions in total, 37 provided further data on their target. Some 73% of these institutions aimed to achieve a target of between 50-90% OA publications, and 8% set this target above 90% (see Figure 1). It is worth mentioning that some institutions highlighted challenges to achieving a 100% OA publications target, as this option is still seldom available in some categories (e.g. monographs). Many of the institutions with an OA target also mentioned being subject to a national policy or recommendations that define the OA targets and timelines they are to meet.

A considerable 73 of the 86 institutions with a specific OA target or timeline provided further information about that timeline. Some 76% set their OA target deadline between 2021-2025. Only 8% set the deadline for achieving OA targets beyond this date (see Table 1).

Although the total number of universities who provided information about both a specific OA target and timeline is relatively small (34), most of these respondents aimed to achieve between 50-69% of publications by 2022, and those aiming for higher levels (>70%) expected to achieve this between 2021 and 2024.

Of the institutions with no specific OA targets (173/272), 5% indicated being in the process of developing said targets or a policy that will set targets and/or monitoring mechanisms in the near future, either at institutional or national level. In addition, 27% noted that they already monitor OA publications and activities. Several also mentioned that they use Application Programming Interfaces (APIs) to monitor OA publications (e.g. Scopus, Web of Science, Google Scholar, Sherpa, Unpaywall).

Figure 1 – The target Open Access percentage of total publications

*Number of respondents: 37/86*²

Note: Bars represent the proportion (%) of institutions. The number of institutions (n) is indicated above the bars.

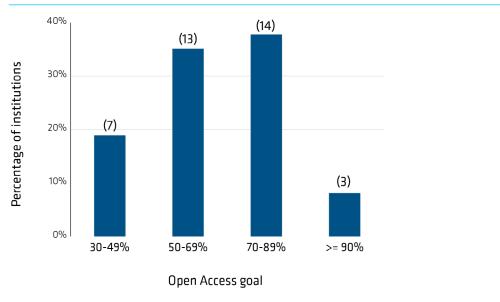


Table 1 – Proportion of institutions with a specific OA timeline *Number of respondents: 73/86*

Timeline	Percentage of institutions
2015-2020	16%
2021-2025	76%
2026-2030	8%

² In this report, the number of respondents is stated as: the number of valid responses/total number of respondents to the question.

¹ An additional 4% answered that they did not know whether their institution had an OA target and timeline.



Monitoring OA articles and their respective costs

As the main 2020-2021 EUA Open Science Survey report detailed, about 80% of the surveyed institutions monitored the number of Open Access articles in their repository and 70% monitored articles published in Open Access journals. Almost 60% indicated monitoring the costs of Open Access journal publications (see Figure 2).

The (few) answers to the open-ended question on monitoring repository publications allow us to conclude that most universities with a repository also engage in some type of monitoring. This may be carried out through the repository itself, but is also done through regional or national repositories, or other monitoring activities. Only a few of the institutions with a repository do not monitor the number of OA publications. And it is worth noting that some institutional repositories do not cover all or even most types of research outputs (e.g. the repository only covers theses, but has yet to include research articles).

"The university provides an institutional repository as part of the CRIS³ system allowing researchers to archive a full text, supplementary to the metadata of the publication. The publications that are open access can be filtered in the CRIS system allowing a quick overview of the degree of open access for each publication type. However, there is no open access monitor on the external CRIS portal."

"We don't only look at local deposits in terms of tracking Open Access. Other trusted repositories and infrastructures are also counted."

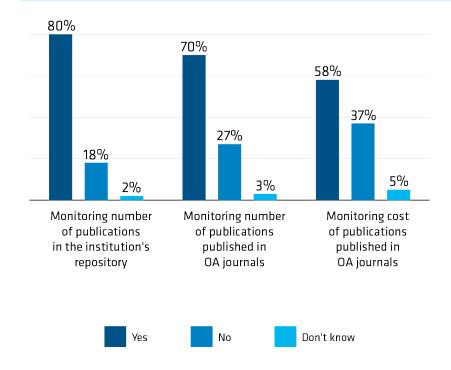


Figure 2 – Existence of monitoring mechanisms at institutional level Number of respondents: 268-269/272. Note: data from the 2020-2021 EUA Open Science Survey report

³ Current research information system (CRIS) is a database or other information system to store, manage and exchange contextual metadata for the research activity funded by a research funder or conducted at a research-performing organisation (or aggregation thereof).

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Institutions that monitor the number of articles published in OA journals, mostly do so through the library. Other strategies include using publishers' services (e.g. Scopus, Web of Science) or other non-commercial services (e.g. Sherpa Romeo, DOAJ, DOAB). Some institutions also mentioned challenges in implementing technical solutions to monitor OA publications.

"The CRIS system now allows us to monitor open access publications, however, the publications are not yet being monitored systematically. The system does not differentiate between different types of open access (green, gold, hybrid journals etc.)"

"The monitoring is occasional rather than systematic and often related to Web of Science/Scopus indexed publications."

"Traditional indexes such as Web of Science and Scopus are increasingly including information on publications in Open Access, and the University is using this data (combined with other sources of information, such as Sherpa Romeo, DOAJ, DOAB, REDIB) to monitor the internal practices of its research community."

Further comments on monitoring the costs of OA publications mentioned the challenges involved in gathering reliable figures. This is mostly due to a lack of centralised information or the absence of specific procedures to gather data on Article Processing Charges (APCs) paid at different levels (e.g. direct payment by researchers, payment by the department or lab, payment at central/library level). Universities also mentioned that the university departments' and services' different accounting procedures make it very difficult to collect accurate institution-wide APC data. Finally, some institutions pointed to the difficulty of assessing all of the costs related to OA publications (e.g. hybrid articles, colour pages, etc).

"We find it difficult to completely account for all open access payments made in the wild at [the university] as some schools/individuals will pay for OA without informing the central OA team."

"The cost of Open Access can be monitored, but there are many other costs which are not easy to monitor or recognize e.g. the cost of extra pages, colour pages, hybrid journals and especially costs for article creation paid by the authors (English corrections, formatting, etc, which are sometimes part of the Open Access costs). Also the trend is that if we pay OA costs, [the] article is published earlier."

"There is a central problem with Open Access publications. Before switching to Open Access, we paid for our literature [subscriptions]. These costs were high (too high) but nevertheless independent from the number of published articles. This is no longer the case with open access! We pay for each manuscript and the costs are still high (too high). With a university library budget that has not evolved for a long time, we have two possibilities for the future: either the fee per publication decreases or the number of publications will decrease. Before Open Access, we were able to stop the [subscriptions] of less important journals to save money. This is no longer possible."



Future monitoring plans

One hundred respondents do not currently have monitoring activities in place, but 59 indicated they will monitor the number of OA articles and/or OA costs in future, while 22 universities have no such plans. A small number of universities are still deciding whether or not to implement monitoring mechanisms.

"More monitoring will be done in future. One challenge is to set up a centralized system for such monitoring. What we see at the moment is the convergence of several aspects of Open Access publishing ('read' and 'publish') that were previously managed separately and at different institutional levels. The appropriate way to converge our internal procedures is not yet clear."

"We would like to provide a comprehensive dashboard of Open Science activities with OA indicators and costs as part of this activity. Gathering all the relevant data can be challenging and time consuming."

"We are currently implementing a research information system to actively monitor research information. The two main challenges are the current availability of reliable data and convincing researchers of the benefits of a research information system for their work."



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Participation in Plan S

<u>Plan S</u> is an OA publishing initiative that requires the publication of research funded by public grants in OA compliant journals or platforms as of 2021. To date, 27 national, charitable, international and European funders and research organisations have signed Plan S. Importantly, as the European Commission is one of them, all Horizon Europe grant recipients will need to comply with the provisions of Plan S.

As the main 2020-2021 Open Science Survey report showed, 41% of the surveyed institutions were preparing for Plan S whereas 38% indicated that they were not (and 21% "don't know").

The staff involved in Plan S preparations at universities that are getting ready for it (n= 111) included the variety of profiles detailed in Table 2. Library, administrative, technical and research administration staff were most often involved in implementing the necessary steps. High-level university leadership were directly involved at almost a quarter of these institutions.

Table 2 – Staff engaged in Plan S preparations

Number of respondents: 110/111 Note: Multiple answers possible

Profile	N	Percentage
Library staff	87	78%
Administrative, technical staff (e.g. research support, OA office, legal office, IT) and research administration	63	57%
High-level leadership (Rector, Vice-rector)	26	23%
Research departments	7	6%
Researchers	4	4%
Special advisors/high-level experts	2	2%



Institutions outlined the following initiatives from their Plan S preparations:

- ➤ Direct support for researchers, including dedicated consulting services, online information/website and service desks.
- Training activities, including Plan S awareness-raising, and the preparation of dedicated materials, workshops and training sessions for researchers.
- ➤ Upgrading the institutional repository.
- ➤ OA publishing deals (e.g. revising current contracts, engaging in Transformative Agreements, engaging in contracts with Open Access publishers).

A few of the institutions currently not preparing for Plan S (n= 102) do not have any future plans for such preparations. Some are still working on their OA/OS policies either at institutional or national level. Several mentioned that they are waiting for a national Plan S recommendation, before initiating preparations. This is in line with the results presented in the main survey report, which revealed that only 24% of institutions are preparing for Plan S implementation in countries where the main research funders have not yet signed up to it, and 51% are not making any preparations at all.

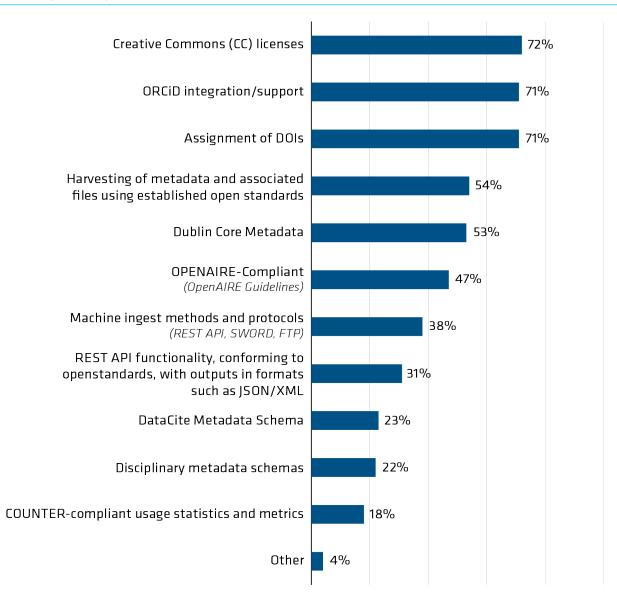
"As long as the [funding agency] or the Ministry of Science supports Plan S only ideally and does not demand mandatory activities, there are no plans. Of course, however, various library consortia are also supportive of Plan S, and are careful to be as compliant as possible during negotiations."

"Plan S will be implemented as far as research funders require it."

Infrastructure

Figure 3 shows the most common standards and protocols used as part of the repository infrastructure at over 70% of the surveyed universities: Creative Commons (CC) licenses. Open Researcher and Contributor ID (ORCiD) integration/support, and assignment of Digital Object Identifiers (DOIs). Open standards to harvest metadata and related files, as well as the Dublin Core Metadata were also used at over 50% of universities. These are very positive results, as the most commonly used protocols are important for technical interoperability. However, these results also reveal the low adoption of COUNTER-compliant usage statistics and metrics (which provide comparable usage data), as less than 20% of the surveyed institutions indicated using such metrics.

Figure 3 – Standards, guidelines and protocols used in institutions' own or shared repositories *Number of respondents: 256/272. Note: Multiple-choice question.*

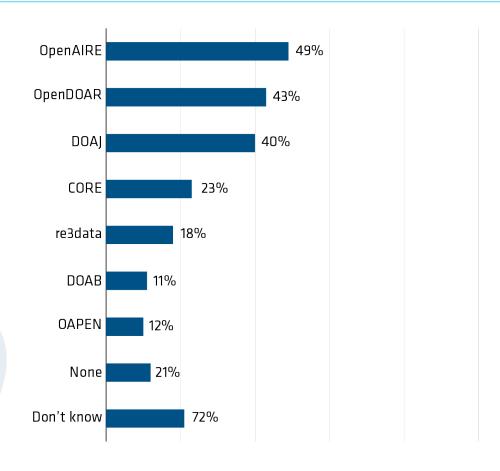




<u>OpenAIRE</u>, <u>OpenDOAR</u> and <u>DOA</u>] were the most commonly used directories and aggregation services used by institutions (see Figure 4).

Figure 4 – Directories, registries and aggregation services used by institutions Number of respondents: 266/272.

Note: Multiple-choice question



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Recent institutional Open Access developments

Institutions were asked about the Open Access initiatives and activities they had undertaken in the past three years. Their answers to the open-ended questions are categorised in Table 3 and illustrated on page 16.

Creation or improvement of the institutional repository (e.g. adding services) was the most common activity, followed by researcher and staff training. Twenty-three institutions indicated having created funds to support OA publishing, while 12 institutions mentioned financial support for OA without specifying what type of OA was supported, eight institutions mentioned specifically funding APCs, one institution funded diamond OA and two institutions provided money for OA books.

Interestingly, 14 universities also indicated having created or developed their own university presses, and 12 institutions explicitly mentioned engaging in Transformative Agreements (TAs) with publishers, as a way of furthering their OA activities.

Creating specific organisational structures, services and roles for OA, joining national or international OA projects and developing institutional infrastructure were also mentioned by a few universities.

Table 3 – Recent institutional Open Access activities

Number of respondents: 108/272. Note: Multiple answers possible

Type of activity	Number of institutions
Repository creation or improvement	45
Researcher and staff training	26
Funds for OA publishing	23 8 1 2 12
Development or improvement of Open Science & Open Access policies	21
Creation or further development of university press or other institutional publishing modes (e.g. OA journal owned by institution)	14
Adhering to institutional or national level TAs with publishers	12
Implementing OA monitoring mechanisms	9
Creation of specific OS institutional structures/roles	8
Participation in national/international projects	7
Use of ORCiD encouraged or mandated and integrated in internal research management procedures	7
Support to help researchers publish OA	4
New/updated CRIS system connected to institutional repository	3



"Training in Open Science; plan to develop institutional strategy, open access publication is advertised, read and publish contracts are advertised, institutional grants are available to cover the cost of Open Access publication."

"Support for national transformative agreements (i.e. staying in national consortia in spite of rising costs), developing institutional support of OA publishing and recording, facilitating spending on OA publications; preparation of consortia proposal for national funding on developing Open Science initiatives."

"The library has set up an Open Science Department. The library has also implemented [a repository] and an Open Access Policy for the [university]. Moreover, the library is responsible for supporting and training academics in the various aspects of OS as well as [for] helping researchers upload their research content to the [institutional repository]."

"Implementation of an OA repository - bottom-up initiative carried out by 2 researchers and some administrative staff (no additional pay, just convinced of the importance of the OA idea). Adoption of the university Open Access policy - as a result of the implementation of the OA repository: a bottom-up initiative, as above. Appointment of the Rector's Representative for OA, as a result of the activities described above. Implementation of an OA journals' platform for our university journals. The reason was just a simple belief in the importance of Open Science for research."

"[The university] implemented a new CRIS system and we also developed a connector with our institutional repository that automatically sends validated content to our DSpace repository, involving research support staff at local and central levels. Since the introduction of this connector, the deposit rate of research publications in our repository dramatically increased (more than tripled). The deposit rate was extremely low before the connection with our CRIS system."

"We have provided a hosted solution for OA journals. The system developed further in the last 3 years to include DOIs and improved functionality. The key stakeholders are student editors, who learn about the practical aspects of OA including licensing, by operating a journal. This project was provided and supported by the Scholarly Communications team. Provision of institutional OA funds to encourage innovative models and publish in fully OA venues. Criteria and monitoring of open research outputs via the Open Research Working Group".

Impact of COVID-19 on Open Access

Institutions were asked about the impact of the COVID-19 pandemic on their Open Access activities. Although only 21 institutions provided comments, the following aspects were identified:

- ➤ Increased awareness of the importance of OA and OS, at both institutional and societal levels.
- ➤ Increased researcher participation and engagement in OA activities.
- ➤ Impact on institutional practices but not institutional policies.
- ➤ Increased use of preprints.
- ➤ Flipping of some university press journals to OA journals.
- ➤ Delays in implementing OA-related services at universities.

"It has helped make people understand how important Open Access to knowledge is."

"We have seen a sustained high rate of deposit of Open Access outputs in our publications repository. So the pandemic has not apparently made too much difference to the rate of publication in some disciplines. Staff absence and illness, and redeployment of Open Access support team members has led to increased workloads and backlogs to work through, although we have on the whole coped well."

"There was no effect on policy (so far), but there was a clear impact on activities. The use of platforms like BioRxiv and MedRxiv has been boosted by the pandemic, here as elsewhere, as a means of making early results available to other scientists. The question is whether this will continue beyond the pandemic, but it is definitely stimulating increasing use of open publication and peer review methods."



Conclusions

In the main survey report, universities saw Open Access as the most important area of Open Science; and its implementation was also reported as being the most advanced (although this score was lower than its importance). The results presented in this report, as well as those outlined in the main survey report and in previous editions of the EUA Open Science Survey (cf. 2017-2018), demonstrate European universities' progress in the transition to Open Access. This is in line with the EU Open Science Policy Platform (OSPP) final report conclusions, which highlight that "there seems to be a general consensus that the future of scholarly communication has started to move from planning to implementation and even adoption of more open practices."

However, there are still huge disparities between different countries and institutions. Looking more closely at the results of this and the main survey report clearly shows that some institutions are at a much more advanced stage of Open Access implementation than others. This is due to the specificities of national contexts, universities' initial starting points, and their technical and human resource capacities.

Beyond institutional challenges, other systemic aspects of the scholarly publication ecosystem have also hampered OA progress. As the OSPP final report outlines, "The lack of cost-neutral commercial Open Access publishing venues and continued slow progress of Open Access transformation across scholarly publishers, including Gold and Green Open Access is another major problem. The final blocking factor lies in the lack of funding for additional support activities during the transition period (e.g. establishment of Open Science support services, infrastructures) and often a lack of funding for Open Access publishing."

The following sections highlight some of the main results presented in this report and outline a few key Open Access recommendations for universities.

⁴ Cf. <u>EUA 2020-2021 Open Science Survey report</u>, "Open Access to research publications is considered highly important by about 90% of the respondent institutions, but this figure drops to slightly over 60% when it comes to implementation" (p.19).

⁵ OSPP final report, p.3.

⁶ OSPP final report, p.14.

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Open Access targets and monitoring

Most institutions do not have specific OA targets and only a minority of these are planning to establish any. Several institutions stated that there was no need to define a specific institutional OA target because of the existence of national targets. However, institutions that have targets have made these relatively ambitious, with many aiming for 50-69% OA publications by 2022.

Most of the universities surveyed are also implementing mechanisms and strategies to improve monitoring of the number of OA publications, either deposited in their repository or published in OA journals, as well as the costs incurred by publication in OA journals. However, here too differences in capacity and development are visible – some universities have not yet been able to establish any monitoring activities. And those that do monitor OA activities face challenges in devising procedures capable of collecting accurate and complete data. These challenges are multiple, and include technical, organisational structure, workflow, and human resource capacity issues.

Yet, OA monitoring is important, and it is also recognised and fostered by funders. For example, a Science Europe briefing paper on Open Access Monitoring highlights that "Open Access monitoring enables deeper insight into publishing trends, can inform future strategies at institutional and national levels, provides guidance for policy development and review, helps to assess the effects of funding mechanisms and is crucial to negotiate transformative agreements with traditional subscription publishers. Furthermore, it contributes to a factual basis for decisions in support of new and improved fully Open Access publishing venues and platforms. Producing such evidence, tailored to the specific needs at hand, always involves decisions on Why, What, and How to monitor."

Institutions should invest in creating the conditions for monitoring OA activities.

To assess progress in achieving OA, accurate and high-quality monitoring of the number of OA publications (whether in the institutional repository or in OA journals,) and their respective cost, is essential.

RECOMMENDATION #1

⁷ Open Access Monitoring: Guidelines and Recommendations for Research Organisations and Funders, p.22.



Recent developments in Open Access activities

Institutional-level preparations for Plan S depend largely on whether the university's home country has signed up to the plan, although some institutions are implementing changes on a voluntary basis.

It is important to remember that all researchers funded by Horizon Europe will need to comply with Plan S, whether or not the national research funder becomes a signatory.

RECOMMENDATION #2

Universities should make the changes necessary to allow their researchers to comply with Plan S requirements.

Researchers who receive Horizon Europe funding will need to comply with Plan S, even if the national research funder has not signed up to it.

Universities have engaged in various Open Access activities in the last three years. These include the creation or improvement of their institutional repository, researcher and staff training and creating or extending Open Science or Open Access policies. A large number of universities have also created specific funding to support OA publishing - notably APCs, engaged in Transformative Agreements and created their own university presses or Open Access journals.

It is important to mention that many, if not all, institutions are still dealing with high reading and publishing costs, either via subscription contracts, Transformative Agreements or ramping APC rates, in a context of restricted budgets. OA should not mean costly contracts and APCs, which would make OA a reality in only those countries and institutions that can afford them. It is therefore positive to see signs that universities are also investing in other OA venues like diamond publishing, creating their own university presses and OA journals. Bibliodiversity is a crucial OA concept, needed to ensure a more equitable OA landscape.

OA should not be only for the most affluent institutions or countries (cf. conclusions of the 15th Berlin Open Access Conference) and should not be overly-reliant on commercial publishers. It is important to create an OA landscape that is transparent, diverse, affordable, sustainable, and interoperable, for all countries and institutions, irrespective of their economic situation.

University leaders, libraries and the academic community can consult EUA's new University Open Access checklist for practical steps on how to further advance OA at institutional level. The checklist is non-prescriptive; it includes a variety of approaches for institutions to consider depending on their context and specificities. It covers three main goals, each comprising a variety of actions, and sets out their respective rationales, proposed activities and a discussion of their expected impact and potential pitfalls.

RECOMMENDATION #3

Universities and researchers should consider multiple paths to OA publishing.

Bibliodiversity is an important element of developing a scholarly publication system that is transparent, diverse, affordable, sustainable, and interoperable, for all countries and institutions, irrespective of their economic situation.



The European University Association (EUA) is the representative organisation of universities and national rectors' conferences in 48 European countries. EUA plays a crucial role in the Bologna Process and in influencing EU policies on higher education, research and innovation. Thanks to its interaction with a range of other European and international organisations, EUA ensures that the voice of European universities is heard wherever decisions are being taken that will impact their activities.

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