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Abstract

This document is the output of the work done under Task 2.1 about identification of national Key Node organisations across Europe, and Task 2.2 on development of a programme of engagement aimed at policymakers through a set of commonly-agreed guidelines used for identification of target policymakers. These tasks were led by UMinho.

This document describes the work performed to identify and establish Key Node organisations across Europe and some neighbouring countries. After the establishment of national Key Node organisations, a programme of activities has been developed. In the coming months a programme with appropriate actions will be reached by a significant number of Key Nodes. More specifically, some of Key Nodes are committed to review Open access working groups or set up one; other Key Nodes not only will focus their activities in strengthening the existing legislative framework, but also will organise events and distribute advocacy materials. Regional meetings with each Key Node organisation took place via Skype or face-to-face, and a discussion on the main roles of the Key Nodes, and also the main needs of each organisation were pointed out. In order to inspire and motivate Key Node organisations and national policymakers in developing and implementing Open Access policies a set of case studies was produced by some project partners.

Table of Contents

1. Introduction

1.1. Purpose of this document

PASTEUR4OA (Open Access Policy Alignment Strategies for European Union Research) aims to support the development and implementation, at national level, of policies to ensure Open Access to all outputs from publicly-funded research aligned with the European Commission's Recommendation to Member States of July 2012.

One of the main strategies to achieve this goal is the building of a network of centres of expertise in Member States that will develop a coordinated and collaborative programme of activities in support of policymaking at the national level under the direction of project partners. On PASTEUR4OA context, Work Package 2 (WP2) is responsible for the establishment of a Europe-wide network of Key Nodes organisations that represent national expertise on Open Access and scholarly communication issues in each Member State.

To achieve this objective, WP2 was organized into four tasks: Task 2.1 about identification of national Key Node organisations across the EU; Task 2.2 intended to develop a programme of engagement aimed at policymakers through a set of commonly-agreed guidelines used for identification of target policymakers; Task 2.3 includes the organisation of the Europe-wide project meeting of national experts, and finally Task 2.4 on the Knowledge Net development.

This document will describe the network and processes used to achieve the goals of the two first tasks: Task 2.1 about identification of national Key Node organisations across the EU, and Task 2.2 intended to develop a programme of engagement aimed at policymakers through a set of commonly-agreed guidelines used for identification of target policymakers.

2. Identification of national Key Node organisations across the EU

A Key Node organisation is defined as an organisation that represents national expertise on Open Access and scholarly communication issues in each Member State and some neighbouring countries. The main role of Key Nodes includes:

1) Identify national policymakers (from funding organisations and research performing organisations) in their countries;

2) Create or take advantage of any existing OA working groups / task forces, etc. to promote the uptake of policies aligned with H2020 and EC Recommendations on access to, dissemination and preservation of scientific information;

3) Develop a programme of activities to engage the policymakers;

4) Attend the Europe-wide PASTEUR4OA project meeting in December 2014;

5) Identify policymakers who will attend one of the two types of regional events (for research performing organisations and research funders) to be held in each of the five regions of Europe;

6) Act as the national centre of expertise on Open Access into the future;

7) Act as the Node for their state within the Europe-wide 'Knowledge Net' on a long term basis.

The methodology used to identify national Key Node organisations across Europe and some neighbouring countries included a range of steps which are described here. The first step was to create a list of European countries and neighbouring countries and organise those countries into five regions. The process of identifying Key Node organisations took into account already existing networks such as: the NOADs network of the OpenAIRE Project, the National Points of Reference for the European Commission, and the MedOANet Task Forces, and was based on experience, expertise and contribution to Open Access progress of those organisations. Previous participation in other relevant projects and organizations (as Knowledge Exchange, and also already existent national Open Access working groups) was taken into consideration during the selection process. The project partners were also asked to suggest or recommend potential organisations. The criteria used to group countries was the level of development of their Open Access policies which at the same time coincides with a geographical categorization.

The following step was the creation of an invitation letter which was sent by email on the 16th April, 2014 to 38 organisations corresponding to 28 Member States, 5 countries on the road to European Union membership; 3 potential candidates and 2 neighbouring countries. UMinho received 33 answers from organisations interested in participating in the 'Knowledge Net'. There are still five organisations which either did not reply or declined the invitation[1].

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[1] Key Nodes available at: http://www.pasteur4oa.eu/key-nodes

In order to facilitate the coordination and communication between the Key Node organisations, it was defined, for each region, a preferential contact point represented by a project partner. Therefore, five contact points were established aimed to provide support for the Key Node organisations in each respective region, and also to maintain a direct communication to facilitate networking and organise the regional events during 2015. Summarising, Nordic Europe is coordinated by CRIStin – Current Research Information System in Norway; NW Europe is coordinated by EOS – Enabling Open Scholarship; E Europe is coordinated by eIFL – Electronic Information for Libraries; SE Europe is coordinated by EKT/NHRF – National Documentation Centre, Greece; and SW Europe is coordinated by UMinho – University of Minho, Portugal. These five contact points aim to: 1) Provide support to Key Node organizations through appropriate material and by facilitating networking; 2) Maintain direct communication through individual and group skype meetings and e-mails; 3) Jointly develop a programme of activities and appropriate material on the basis of each country's situation and needs; 4) Act as contact points between Key Nodes and project coordinator, and 5) Organize regional meetings.

3. <u>Develop programme of engagement aimed at policymakers</u>

This task comprises the development of a programme of engagement aimed to national policymakers. To achieve this goal, guidelines (Appendix 1) for Key Nodes were set up to support them in identifying and liaising with policymakers and other relevant decision-makers. The identification process of these national policymakers requires people who can affect future policy development including an increase of expertise on the H2020 policy and develop coordinated open access policies in line with the EC Recommendation. This task is linked with task 4.1 planned to start in M12.

The guidelines were developed by UMinho with contribution of other project partners. The final version of the guidelines was distributed in July 2014. The guidelines include the first set of resources to support the Key Nodes in initiating the programme of policymaker engagement. Two further sets of recourses are planned to be distributed to all Key Node organisations over the 30-months of the project.

These guidelines include a detailed description of the role of Key Node, regional contact point, and Knowledge Net. Apart from this, it was described how to develop the programme of activities to be held by each Key Node in order to engage national

policymakers, and the main tasks expected to be performed by each one. To help Key Nodes in identifying national policymakers the guidelines included a standard letter to be used by the Key Nodes to contact research-performing organisations and research funders. Finally, a list of relevant documents on Open Access policies in different languages was initiated and distributed together with the resources mentioned previously. This list will be improved by project partners over the project time and distributed by Key Nodes again together with the second set.

In addition with this updated list of resources on Open Access policies a collection of national case studies is part of the second set of resources released in December 2014 and presented at the London workshop to stimulate discussion with workshop participants.

3.1. Case Studies

This set of case studies[2] aimed to inspire and guide the Key Node organisations in developing and implementing Open Access policies in their countries. This set of case studies includes seven national case studies which describe the Open Access landscape mainly in terms of developments the Open Access policies in Portugal, United Kingdom, Belgium, Norway, Denmark, Hungary and Ireland, and also a non-technical picture of Open Access infrastructures across the Europe held by EuroCRIS.

The **Portugal case study** includes a brief description of the Portuguese higher education and research systems, followed by a short history of the development of Open Access policies in the country, including all aspects of implementation and supported infrastructures. In Portugal, the development of a solid and mature repository infrastructure, providing a range of relevant services and supporting an active OA community, around the Scientific Open Access Repository of Portugal - RCAAP - offered a solid basis to the definition and implementation of Open Access policies within research performing institutions and research funders. The majority of Portuguese Higher Education Institutions have an institutional repository as the main access point to their scientific output, and most of them also have defined Open Access policies requiring deposit into their institutional repositories. Currently, there are strong and effective policies in Portugal, like the mandates from Instituto Politécnico de Bragança (IPB) and University of Minho, which link repository

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[2] Case studies available at: http://www.pasteur4oa.eu/resources

deposition with the institutional processes of reporting and evaluation. Over the last few years, and taking advantage of the participation in EC's funded projects, OpenAIRE, MedOANet and PASTEUR4OA projects, an effort has been made to homogenise the OA policies in Portugal and align them all with the EC recommendations. Other factors which contributed for the success of the infrastructure and policy initiatives were the strong advocacy strategy implemented in the RCAAP context, the focus on promoting interoperability, the adoption of DRIVER Guidelines, the use of the validator to periodically verify the repository compliance, and a helpdesk service to help institutions when needed. Finally, the Open Access mandate of the major public funder launched in May this year reinforced the idea that there remains room for development and improvement of Open Access issues in Portugal.

The **United Kingdom case study** pointed out that recent Open Access (OA) policy developments in the United Kingdom (UK) have caused stakeholders such as universities and academic libraries to have to consider how to adapt to distinct funders OA policies and to ensure compliance with those policies. Following an independent study on 'how to expand access to research publications', also referred to as the Finch Report, the UK Government adopted a new OA policy and the Research Councils UK (RCUK) revised their OA policy. The newly adopted OA policies require research findings to be made OA through publication in open access or hybrid journals (Gold OA). More recently, the Higher Education Funding Council for England (HEFCE) announced that its OA policy for the next Research Evaluation Framework (REF) – the system that assesses UK universities research – will require the deposit of research findings in institutional or subject repositories (Green OA). By and large, the two distinct paths being currently promoted by the UK Government and RCUK (Gold OA) and the Funding Councils (Green OA) require that continued efforts be made to ensure that advice and support are provided to universities, academic libraries and researchers. They also require that coordinated efforts endure so that progress towards making research findings freely available online continues. Despite the distinct OA policies adopted by policymakers and national research funders, the UK's movement towards OA has been a result of stakeholders coordinated efforts and is considered a case of good practice.

The **Norwegian case study** mentioned that Norway is a small country with a quite centralised research infrastructure. Building good services for Open Access infrastructure is simplified by having one major research funder, one national CRIS and one key provider of repository services. Politically the Government has

expressed in a White paper its commitment to making Norwegian research results openly available. Despite Norwegian research institutions focus on Open Access, institutional policies tend to be vague and based on good intentions. The need for alignment and policy reinforcement is there for evident, and the PASTEUR4OA project provides a great opportunity for this.

In the **Hungarian case study** was pointed out that there are a few mandates, and a few declarations or policy documents which have relevance for Open Access. The role of the Hungarian Scientific Bibliography Database (MTMT) is discussed – as it can be used for monitoring OA mandate compliance. From infrastructural point of view, the Open Access status is considered fairly well, from the policy side much further efforts are needed, though the mandate of the Academy of Sciences is elaborate and seems to be effective. For research data the Open Access situation is dire in the country. For small countries, like Hungary, the significance of EU-level coordination in shaping Open Access policies is enormous.

The **Irish case study** concludes that Ireland has made progress in delivering Open Access in regards to institutional and national policies and strategies. These are underpinned by institutional digital repository infrastructure and the development of shared trusted national repositories. Higher education sector changes as a result of reports of research prioritisation and a national strategy for higher education to 2030 have also played their part. Concerns remain over the sustainability of Open Access and scholarly communications. Some additional research and modelling on the part of funding agencies might address these concerns, especially if the lessons learnt from the digital preservation and the total cost of ownership are taken into account. Additional evidence on the return on investment from Open Access in Ireland could be considered. This might, for example, include a challenge fund to encourage 'secondary research' based on OA research data and publications.

The **case study from Denmark** refers that with the appointment and work of the Open Access Committee, Denmark early put Open Access on the map. This resulted, among other things, in a joint Open Access policy for all five of Denmark's research councils and a strong governmental mandate for Open Access. The focus is mainly on green Open Access and the depositing of research output in repositories.

In **Belgium** there are two milestones that stand out in the recent trend of the Open Access movement. By signing the Declaration of Berlin (2007), Belgian research institutions and research funders agreed to support the dissemination of publicly funded scientific research, creating an Open Access field to scientific materials by

publishing through electronic journals or via institutional repositories. By signing the Brussels Declaration on Open Access (2012), Belgian public authorities commit to maximizing free availability of publicly funded research results by supporting the creation and the maintenance of Open Access digital infrastructures, by actively informing researchers about the benefits of Open Access, and investigating the ways of covering the costs of Open Access publishing.

Finally, the results of the **EuroCRIS analysis** show a rather fragmented landscape where some countries are already succeeding in an effective Open Access policy adoption while others still lack the repository infrastructure and/or the social and technical coordination strategies that will allow policymakers to consider the issuing and enforcing of Open Access policies. Initiatives like the OpenAIRE European project have played and continue to play a significant role in promoting the harmonisation of best practices across countries for repository and Open Access implementation purposes, but there is still a gap to be filled by PASTEUR4OA in this relatively new area of OA policies by highlighting the effective approaches where identified, promoting the sharing of best practices and enabling the international conversation to be held on the best way to jointly progress towards a common objective while keeping in mind at the same time the specificities of each national landscape. Some of these best practices are pointed out in the report, together with factors that may contribute to a more substantial joint progress, including the recommendation to also rely on national CRIS systems and national Open Access journal portfolios where the national repository network is not sufficiently consolidated at the moment.

3.2. Meeting notes from each of five regions

In order to engage Key Node organisations within the project, the five contact points planned to meet the Key Node organisations from their own regions via Skype in September and October. It was defined a meeting structure to be followed by each regional coordinator. This structure included a brief introduction to PASTEUR4OA Project providing information about the expectation of being a Key Node by Regional Coordinator, and the main hopes from Key Nodes including a description about the situation in each country regarding Open Access issues. Finally, it was desired to draft a time plan of activities. These meetings aimed not only to clarify what is expected from each Key Node, but also help contact points to be informed about the main expectations and needs of the Key Nodes.

A summary of the meeting's outcomes was provided by each regional contact point as following:

SW Europe

The region of SW Europe had organised individual skype calls with each Key Node on September 25-26, 2014. During the skype meeting an introduction about the project was done by the regional coordinator and the main expectations of being a Key Node were clarified. Key Nodes had the opportunity to describe the current situation regarding OA issues in their own countries and discuss about future activities that can be developed. They are committed in strengthening the existing legislative framework or in developing and implement new ones. A detailed summary about the situation in each country was provided as following:

MALTA (University of Malta Library): a skype call with Josianne Camilleri Vella and Kevin Joseph Ellul on September 25, 2014

The University of Malta is collaborating with the Malta Council for Science & Technology (MCST) in developing a national Open Access policy. MCST is the government body responsible for research policy, promoting scientific research, management of the local research funding programme and is the national contact point organization for the EU Research Framework Programme. In order to ensure the alignment with the EC recommendations, the PASTEUR4OA project will follow closely the development of the policy. It will provide support, in terms of expertise and resources (e.g. the MedOANet Guidelines for Implementing Open Access Policies).

SPAIN (FECYT - Fundación Española para la Ciencia y la Tecnología): a skype call with Pilar Rico on September 25, 2014

FECYT developed Guidelines[3] on how to implement the Spanish OA mandate. This document was released in October. FECYT is in contact with Clara Eugenia Garcia, Deputy Director, Ministry of Science and Innovation, in order to create a high level steering committee with representatives of the most relevant Spanish universities.

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[3] Guidelines available at:

http://recolecta.fecyt.es/sites/default/files/contenido/documentos/Implantacion_Art37_AccesoAbierto.pdf

ITALY (Politecnico di Torino): a skype call with Claudio Artusio on September 26, 2014

Polito is in contact with Cariplo Foundation (following closely the RRI tools Project - http://www.rri-tools.eu, which involves several topics including science education, ethics, gender public engagement and Open Access), and also it is planning some activities to engage national policymakers: a) send a message to the Italian OA Archives mailing list to introduce the Pasteur project and Nexa-POLITO as partner of the project and Italian Key Node Organization. This will encourage universities and members of the Italian OA community to proactively manifest their interest in the activities while they identify the policymakers we want to involve ourselves. b) try to establish a contact with Cineca, the Italian OpenAire participant; c) check whether it is possible to exploit any Italian activity during the 2014 Open Access Week to disseminate Pasteur and their involvement as partner and KN Org; d) they will find out that the procedure of ISBN code assignment from the POLITO library system is feasible for the needs of the group of researchers who wanted to experiment that as a way to make their publications available in OA, they are thinking of raising awareness on the procedure by describing the (hopefully positive) outcomes of their experience within some sort of small workshop or seminary at POLITO. In the occasion, they are planning to say a few words on the Pasteur project.

PORTUGAL (University of Minho)

Portugal's major national funder, FCT (*Fundação para a Ciência e a Tecnologia*), recently released its Open Access policy, based on a repository deposit approach and in line with EC recommendations. Integral to this move is the existence of its well-established open access repository infrastructure: Repositório Científico de Acesso Aberto de Portugal (RCAAP) which has played a crucial role not only in increasing the visibility of Portuguese higher education and research institutions on the internet, but also in the rapid development and spread of Open Access repositories within several academic institutions. The FCT Policies (publications and research data) on Open Access are a direct outcome of a public consultation held in 2013. They encompass guidelines for free, online access to peer-reviewed publications and data arising from FCT funding. The policies came into force on 5 May 2014. On the 8th October 2014 the National Task Force meeting took place which gathered representatives of the research performing organisations and research funders. This meeting aimed to engage national policymakers in developing and implementing OA policies, and also informing them on the last OA developments

at an international and national level; EC requirements for the next funding programme - H2020, and requirements of the national public funder's OA policy.

SE Europe

The region of SE Europe had organised individual skype calls with most of the Key Nodes, as well as a regional skype call on the 28th of November. During the skype meeting it was agreed that each Key Node will form a working group on Open Access policies. To support its operation, the project will create supportive material and will organise regional meetings in order to promote Open Access policy alignment through discussion, exchange of knowledge and cooperation. The coordinator shared with the Key Nodes the Key Node Guidelines document and information on OA policies, policy guidelines and Horizon 2020.

TURKEY (Hacettepe University):

Hacettepe University is represented by Prof. Yasar Tonta, a PASTEUR4OA partner and also an ex-MedOANet partner. Hacettepe University has already organised a two-day workshop which was opened with the presence of the Turkish Prime Minister. Alma Swan (EOS) and Eloy Rodrigues (UMINHO), PASTEUR4OA project partners, participated as speakers. Hacettepe University is currently in the process of updating the Open Access Task Force list formed during the MedOANet project.

SERBIA (University of Belgrade - Belgrade University Computer Centre):

The Belgrade University Computer Centre is represented by Mrs Biljana Kosanovic, Head of the Department of Scientific Information and eIFL.net country coordinator. The Serbian Key Node does not have a working group on Open Access, but is currently working on developing one, based on already existing connections. A meeting with relevant stakeholders will take place in early 2015. In relation to developments at policy level, a change in the law on PHD theses requires open access from September 2014. According to Kosanovic this development should be regarded as a success story. The Key Node also agreed to help identifying Key Nodes in those countries in the SE region that do not currently have one.

CYPRUS (University of Cyprus):

The University of Cyprus Library is represented by Mrs Elena Diomidi, UCY Senior Officer and acting Director of the Library and Mrs Sylvia Koukounidou, Coordinator of

Digitisation and Archives Office and OpenAIRE NOAD representative. Thus far, work in promoting open access has taken place through OpenAIRE. The University of Cyprus Library will rely on its existing network of connections and stakeholders to create a working group for Open Access policies. This list of contacts will be shared with the coordinator. They look forward to working with the PASTEUR4OA partners in order to engage stakeholders and policymakers towards alignment of policies on Open Access.

Yugoslav Republic of Macedonia (Metamorphosis Foundation):

The Metamorphosis Foundation is represented by Mr Bardhyl Jashari, that informed the regional coordinator that the institution already has an alliance (Alliance on Open Access) that can be enhanced and form an Open Access working group.

GREECE (EKT - National Documentation Centre):

The National Documentation Centre (EKT) is represented by Dr. Victoria Tsoukala, Head of ePublishing and Social Sciences and Humanities Unit. EKT is the coordinator of PASTEUR4OA, the national institution for documentation, information and support on science, research and technology issues. Supervised by the Greek NPR, EKT operates a variety of Open Access infrastructures including repositories, peer reviewed electronic journals and CRIS and participates actively in euroCRIS. EKT is also the Greek OpenAIRE NOAD and was the coordinator of the MedOANet project that promoted open access policies in Mediterranean Europe. EKT has already created a National Open Access Task Force to be used as a working group for PASTEUR4OA.

BULGARIA (Bulgarian Academy of Sciences):

The Bulgarian Academy of Sciences is represented by Peter Stanchev and agreed to create a national working group on Open Access, as well as collaborate in terms of knowledge exchange with the other Key Nodes of the SE Europe Region, while working closely with the respective NPR.

The above Key Nodes have agreed on sharing with us the list of contacts with the coordinator.

No Key Nodes have been thus far appointed for Albania, Bosnia and Herzegovina, Kosovo and Montenegro.

Nordic Region

The Nordic Region had organised individual skype calls with all of the Key Nodes. They are committed in establishing close collaboration and joint information sharing between the Nordic Key Nodes, NOADs, NPRs and other key OA players in the region.

NORWAY (CRIStin - Current Research Information System In Norway)

It was agreed in the last meeting that the Nordic Open Access Forum (NOAF) should be a place for establishing close collaboration and joint information sharing between the Nordic Key Nodes, NOADs, NPRs and other key OA players in the region. In the coming year CRIStin will focus on increased efforts with the EU-projects, PASTEUR4OA and OpenAIRE, gold OA and development of Open Access outreach programs for institutions and researchers.

DENMARK (Roskilde University)

Policies in Denmark are mostly in place, the focus now should be on implementation. There are several ongoing projects, e.g. the DEFF projects "Open Access Barometer" and a national technical Open Access publishing platform.

FINLAND (Lappeenranta University of Technology)

Some Finnish universities have adopted new Open Access policies, like The University of Eastern Finland and the University of Aalto. The government has launched the Open Science and Research Initiative (ATT). It consists of universities, funding agencies, libraries and open science organisations. It is tasked with developing a long-term strategy for Open Science in Finland.

ICELAND (Landspitali National University Hospital)

The largest university in Iceland, the University of Iceland, now has a policy on Open Access. It has adopted a green OA policy similar to the other large research institutions in Iceland. Of all Icelandic scientific publications, about 30% is already Open Access. Potentially about 85% can be OA.

SWEDEN (National Library of Sweden)

The national research council has drafted a suggestion for a new national Open Access policy which it has posted publicly for comments. The initial work on this

policy was done in collaboration with the National Library. Stated in the policy is the Research Councils goal of 100% Open Access within 2025. However, some critics say there is little in the way of implementation and specific actions to be taken.

E Europe

The Eastern Europe Region Key Nodes had a series of country-level discussions (via skype and face-to-face meetings, apologies from Latvia) to discuss what they think about the project, what kind of support from the project they need/expect, as well as the current OA policy developments in their countries and what new developments they expect in the short/midterm, how could PASTEUR4OA help to develop OA policies and whether they can recommend any OA policy guidelines to be included into the list of resources drafted by the project.

LITHUANIA (LMT-Lietuvos mokslo taryba): a skype call with Rūta Petrauskaitė on October 10, 2014

The process of OA policies preparation and implementation is under way and there is still a need to raise awareness among researchers and policy makers. Good practice examples and guidelines from the project will help.

OA page was created on LMT website (http://www.lmt.lt/lt/atviroji_prieiga.html) and Rūta Petrauskaitė published an opinion piece about OA policies on a major news portal (http://www.delfi.lt/mokslas/mokslas/atviros-prieigos-prie-mokslines-informacijos-konfliktas-godumas-pries-pazanga.d?id=65843940) that sparkled comments and discussions.

CZECH REPUBLIC (VŠB-Technical University of Ostrava): a face-to-face discussion with Daniela Tkačíková on October 14, 2014:

On February 28, 2014, Research, Development and Innovation Council, an advisory body to the Government of the Czech Republic, adopted a Recommendation on OA (aligned with the EC Recommendation of 17 July 2012 and Horizon 2020 OA policy), but they haven't been successfully implemented yet. Research funders are still reluctant to adopt OA policies (although the Academy of Sciences of the Czech Republic has adopted an OA policy in 2010). One of the major challenges: most researchers publish in journals with a very long embargo periods and OA policy discussions should be aligned with research assessment and evaluation exercises.

SLOVAKIA (Slovak Centre of Scientific and Technical Information): a skype call with Lubomir Bilsky, Eva Chmelkova and Maria Zitnanska on October 16, 2014:

The Ministry of Interior Affairs and Ministry of Education, Science, Research and Sport are drafting OA polices (e.g. OA and Open Education are pivotal in the proposed Open Government Partnership Action Plan (English translation is here: https://docs.google.com/document/d/1i9wYGxYdvw7DClGSCfNbt4boNr2V1WxzGkQ aSDSSGIE/edit). Among the issues: researchers are reluctant to negotiate with publishers self-archiving rights, universities and research organization expect leadership from the government, and competencies, tasks and responsibilities of various policy makers (ministries) are not clear in Slovakia.

SLOVENIA (University of Ljubljana): a skype call with Mojca Kotar on October 16, 2014:

The Minister of Education, Science and Sport has nominated the Working Group to prepare the action plan for the implementation of EC Recommendation of 17 July 2012 on access to and preservation of scientific information in Slovenia and the public universities are aware of the need for harmonisation with the Horizon 2020 OA policy. A project action plan for 2015 has been designed already.

HUNGARY (MTA Konyvtar): a skype call with Andras Holl on November 5, 2014:

A new research fund will be created in 2015 and hopefully it will be launched with an OA policy (following the examples of OTKA and MTA). Hungary OA Case Study provides an overview of the current OA policy landscape.

CROATIA (Ruđer Bošković Institute): a skype call with Jadranka Stojanovski on November 5, 2014:

Overview of OA developments in the country is available here: https://www.openaire.eu/news/news-events/national-open-access-platform-for-the-croatian-academic-and-research-digital-repositories and representatives of the Ministry of Science, Education and Sports, Croatian Research Agency and other funders with attend OA policy meeting with Alma Swan in December (https://www.fosteropenscience.eu/event/open-science-%E2%80%93-all-you-want-know-about-open-access-open-data-and-new-trends-0).

ESTONIA (Estonian Research Council): a face-to-face meeting with Marika Meltsas on November 12, 2014:

OA policies have been implemented by Estonian Research Council and by Ministry of Education and Research, but the length of embargo period is not clearly defined and depends on embargoes set by publishers. The mandates have been implemented quite recently, but the overall proportion of OA research articles is quite significant.

POLAND (Centrum Cyfrowe): a face-to-face meeting with Alek Tarkowski on November 17, 2014:

The Ministry of Science and Higher Education has prepared a draft OA implementation plan, which is currently in a round of closed consultations. In this plan, EC policies (both those defined within respective communications from the Commission, and the rules employed within the Horizon 2020 programme) are considered a key point of reference. Currently there are only a few institutional OA policies, adopted for example by the Adam Mickiewicz University in Poznań, the Nicolaus Copernicus University in Toruń and the Institute of Biochemistry and Biophysics of the Polish Academy of Sciences. Research funding institutions in Poland do not have OA policies. More involvement from the Ministry could speed up the developments.

ROMANIA (Association AnelisPlus): a skype call with Octavian Rusu on November 20, 2014:

OA is included in Open Government Partnership National Action Plan for the period July 2014 – June 2016 (more information is here: http://www.kosson.ro/en/open-access/947-a-new-framework-for-open-acces-in-romania-research-strategy-published-and-ogp). A central OA repository is being set up. It would be good to have a list of publishers that have embargo periods compliant with EC OA policy. Research evaluation system in the country is still not OA friendly.

The Grand Final issue of ScieCom info: Nordic-Baltic Forum for Scientific Communication November 2014 published three reports on the OA movement in each of the Baltic Countries:

Open Access in Estonia by Elena Sipria-Mironov, the University of Tartu Library, Estonia: http://journals.lub.lu.se/index.php/sciecominfo/article/view/11637/10311;

The Open Access movement in Latvia by Iveta Gudakovska, GitaRozenberga, Evija Lapsa, Library of the University of Latvia: http://journals.lub.lu.se/index.php/sciecominfo/article/view/11638/10312; and

Open Access in Lithuania by Gintare Tautkevičienė, Rūta Petrauskaitė, Brigita Serafinavičiūtė:
http://journals.lub.lu.se/index.php/sciecominfo/article/view/11639/10313.

NW Europe

The North West Region Key Nodes answered a set of questions provided by the regional coordinator, EOS, and following this met by Skype (apologies from Germany and Belgium). The reports from the different countries in the North West region follow below.

AUSTRIA (FWF - Austrian Science Fund):

FWF is planning to adjust OA policy (in close cooperation with WT and RCUK) *[N.B. In a follow-up conversation on 21 November with Falk Reckling, we learned that the adjustment is to introduce a cap on permissible APC costs. This has been decided using data from Solomon & Bjork's work: no actual price cap figure has yet been obtained from FWF. Since this move has been decided in discussion with the Wellcome Trust and RCUK, presumably they are ready to announce something similar, but none of this is for public consumption yet]*

- FWF is trying to extend its deal with IOP Publishing http://ioppublishing.org/newsDetails/Austria-open-access to other publishers. Maybe one or two agreements could follow.

- Falk is the coordinator of the Open Access Network Austria (OANA) http://oana.at/en/home. OANA has established five working groups (OA policy, publications models, publication costs, integration of Law & Politics, and integration of researchers). The aim is to present early next year recommendations for research institutions and research policy of implementing OA systematically. Discussions are at http://www.oana.at/kernteam/protokolle as well as of the working groups http://www.oana.at/arbeitsgruppen Minutes of meeting are freely available, but unfortunately only in German. The OANA will meet in January 2015 and after that Falk will prepare a paper about the group and how it has been formed. He will write a short version of this in English, in

around April/May, for the PASTEUR4OA project to use: it may be useful for Key Nodes in other countries as they start to develop their own national networks.

- The initiative e-infrastructures Austria http://www.e-infrastructures.at/en/the-project funded by the ministry, started earlier this year. The FWF is not directly involved but Falk is a member the "think tank" of the initiative.

BELGIUM (FNRS-National Fund for Scientific Research):

- FNRS is happy with all the duties of a Key Node.
- Both Belgian funders have policies and many universities do too. FNRS will complete the survey from Jisc.
- Item of news: FNRS Board of Directors has decided to offer each funded project (which run 2-4 years) €500 towards Gold OA publishing costs, to be implemented from 2015.

FRANCE (Couperin):

The French Ministry of Higher Education and Research made a declaration on Open Access at Couperin's 5th meeting on OA (January 2013) saying that France was for OA but without actually specifying which road should be followed or with what means France could move to a sustainable OA model.

Couperin has coordinated, since the beginning of 2014, an Open Access working group gathering together 67 professionals split in 4 groups. One of them is specifically working on lobbying policy makers. One of its goals is to make France adopt a law, similar to those voted in Italy or Germany, to allow researchers to deposit 'above all' the contracts signed with publishers. It also promotes the "university of Liège model" with an OA mandate for institutional repositories. Another group is working on datasets and repository specifications, a third one is working on rewriting the content of the website dedicated to OA. HAL, the central French OA repository will launch its new version in October 2014. Its new services could make researchers keener on depositing their publications in it. Couperin's board members participated in working groups at the Minister of Higher Education. PASTEUR4OA's activities could be useful to bring the European point of view to the French situation. Couperin has also planned to meet Isabelle Attard, MP who has lately proposed several laws to improve electronic resources access and other MPs aware of the OA issue. PASTEUR4OA's activities would be a help to convince them to promote a law on OA. Couperin will also organise its 6th meeting on OA in 2015 and try to define the shape of a new Open Access model for France. A meeting with PASTEUR4OA

representatives and Michel Marian, OA-NRP for France, could also be helpful to move the OA issue forward. In summary, all French stakeholders have been identified and engaged, and they work together (also with Couperin representatives), but there is a lack of clear direction from the policy makers i.e. the Ministry of Higher Education and Research.

GERMANY (Helmholtz Association):

Germany has the Alliance Priority Initiative "Digital Information" – the main German OA network. It is an alliance of research organisations set up to:

- Guarantee the broadest possible access to digital publications, research data and other source materials and thus ensure that they can be used in other research contexts.

- Create an optimal framework for the international distribution and reception of German publications and research data.

- Ensure the long-term availability of the digital media and contents that have been acquired from around the world and their integration in the digital research environment.

- Support IT-based research by means of innovative information technologies and digital methods.

The first term of the Alliance has run 2008-12 and we are now into the new programme 2013-17.

Further responses from Christoph Bruch, Helmoltz Association:

- We contacted the German Federal Research Ministry in this regard as they may be interested to cooperate. We started a network within the Länder Berlin and Brandenburg of representatives of public culture a research organisations.

- As of now we had two internal meeting, 19 organisations represented - growing Started a mailing list. We had a public event October 13th (http://www.fu-berlin.de/sites/open_access/Veranstaltungen/oa_berlin/) with high level speakers: president Free university, vice president Technical University, Deputy Senator (Staatssekretär) from the Government of Berlin. The meeting had more than 200 participants. Videos will be available on the web.

Recent developments:

- At the beginning of 2014 Germany got its "right to secondary publication". This right is meant as a fall-back option for the green road in cases of less cooperative

publishers. One major drawback is the fact that there is legal uncertainty if this regulation applies for publication contract concluded according to non-German law

- Baden-Württemberg is the first German Land that publish a spelled-out open access policy. They call it "e-Science Strategie".

- The parliament of Berlin had a decision in May demanding from the government an open access policy for Berlin.

- We started a network of organisations (see above) to support this. This activity will include the Land Brandenburg. The state governments and or parliaments of Nordrhein Westfalen und Schleswig-Holstein have also started consulting processes.

- The federal Government is working on a digital strategy for German.

- The Research ministry will produce an eScience strategy as part of this.

- The German Federal Research Foundation had commissioned a legal expertise concerning scope for oa-policies especially mandate in respect to the guarantee of academic freedom. Please find the public version of this expertise here: http://www.ordnungderwissenschaft.de/pdf/2014-4/PDFs_Gesamtpdf/04_01_fehling_dfg.pdf

- The federal Government has announced that there will be an amendment to the exception for academic use in German copyright law. It's hard to predict when will actually get this and whether it will help open access.

- The German Research Foundation has a program supporting the build-up pf publication funds at German universities. The duration of the program has been extended. It already had and will continue to have major influence on the OA policies of the universities.

- There signs that some institutions will make information to their APC payments publicly available.

IRELAND (Health Research Board)

The Key Node (Health Research Board) is a significant player on OA in Ireland and Patricia Clarke, the director, is involved in the Science Europe deliberations. Louise Farragher, the appointed representative to deal with PASTEUR, is fairly new to OA but learning fast. There is to be a meeting of the National Steering Committee on OA in November and Louise will report on any significant developments at the December workshop.

LUXEMBOURG (University of Luxembourg, ULux)

The national research funder, the FnR (Fonds national de la recherche), will soon release their OA policy. ULux has had advance access to the policy and it will support both Green and Gold OA as per the position of Science Europe. ULux is also in discussions as to whether or not a national repository should be put in place. Luxembourg is uniquely placed to have a national repository given its size and the limited number of research institutions. For the time being, this idea is strictly in an incubator stage – simply discussions with a desire by certain parties involved to make it happen. *[N.B. Update during the group Skype meeting of 17 November: these discussion continue but the decision is pretty much made, and ULux will build the repository]*

NETHERLANDS (TU Delft)

TU Delft has no concerns about taking on the role of Key Node and will complete Jisc's survey. TU Delft is currently negotiating with Elsevier, Springer & Wiley during licence renewals about OA, led by chairs of university boards. *[N.B. The community learned in November that the negotiations with Elsevier had failed, but apparently a deal is about to be clinched with Springer]*

UNITED KINGDOM (Jisc)

The major UK policies are established, and are unlikely to change in the short or medium term. Nevertheless, there might be opportunities to inform the evolution of the policies and, particularly, the emphasis in their implementation. For example, Jisc is on the independent panel reviewing the implementation of the RCUK OA policy, and evidence from the PASTEUR4OA project should inform Jisc's contribution to that. Jisc is also providing support for universities' implementation of OA, including policy development, and this support can be informed by evidence from PASTEUR4OA.

The UK Government adopted a pro-Gold OA policy in 2012, RCUK adopted a pro-Gold OA policy in 2012 (effective from April 2013), HEFCE adopted a pro-Green OA policy in 2014 (effective from April 2016). The new UK Research and Innovation Strategy will be released by the Government in November and will make reference to OA. An independent panel is reviewing the implementation of the RCUK OA policy, due to report early 2015.

SWITZERLAND

No Key Node appointed yet.

5. <u>Conclusion</u>

The Report has provided an overview of the work done during the initial phase of the project (WP2- Network Building- Knowledge Net) which focused on establishing a Europe-wide network of 'Key Node' organizations representing national expertise on open access and scholarly communication issues in each member state.

The report has described the steps taken for the establishment of this network. Currently, the project has ensured the commitment of 28 from a total of 33 organizations contacted to act as Key Nodes in their country. These will in turn identify and liaise with policymakers and develop a programme of activities suitable to each country's needs and accompanied by appropriate resources.

Following the agreement of these organizations to act as Key Nodes, the project subsequently focused on establishing the methods of communication with Key Nodes on a regular and continuous basis. In such context, the London "Europe-wide project meeting of national experts" has provided an additional forum to cement this newly established network and explore the direction of future actions. This initial phase of the project has been concluded by identifying in broad terms the direction of future action. This will in turn enable the project to provide further support to Key Nodes in identifying suitable policy makers, develop a programme of suitable actions for each country, plan the regional meetings and support all the above with appropriate advocacy material which is the key focus of the work undertaken within the project's WP4-Policy maker engagement and policy development.

Appendix 1: Key Node Guidelines for Engaging Policymakers

PASTEUR4OA

Key Node Guidelines

For engaging policymakers

1st set of resources

PASTEUR4OA Project

PASTEUR4OA (Open Access Policy Alignment STrategies for European Union Research) is a 30-month project funded by the European Commission's FP7 funding framework programme. The project aims to encourage policy development in the European Union that is aligned across Member States and with the Horizon 2020 Open Access policy. The project is a collaboration of fifteen European organisations from ten different countries (www.pasteur4oa.eu).

About the Key Nodes

The project intends to establish a Europe-wide network of national centres of expertise - 'Key Nodes' - to collaboratively monitor and champion an aligned Open Access policy environment across the EU and in neighbouring countries.

Role of the Key Nodes:

- Identify national policymakers (from research performing organisations, funding organisations, etc.) in their countries

- Create or take advantage of any existing OA working groups/task forces, etc. to promote the uptake of policies aligned with H2020 and the EC Recommendation on access to, dissemination and preservation of scientific information

- Develop an agreed programme of activities to engage the policymakers

- Attend the Europe-wide PASTEUR4OA project meeting in December 2014 (project provides funding support)

- Identify policymakers who will attend one of the two types of regional events (for research performing organisations and research funders) to be held in each of the five regions of Europe (project provides funding support)

- Act as the national centre of expertise on Open Access into the future

- Act as the Node for their state within the Europe-wide 'Knowledge Net' on a long term basis

About the Contact Points

The network of Key Node organisations will be facilitated by the five regional Contact Points which have been created by some of the PASTEUR4OA partner institutions. These five contact points will support the Key Node organisations in each respective region to facilitate networking and will also organise the regional events across Europe during 2015.

Europe Regions and Contact Points:

Nordic Europe will be coordinated by CRIStin – Current Research Information System in Norway

NW Europe will be coordinated by EOS – Enabling Open Scholarship

E Europe will be coordinated by eIFL – Electronic Information for Libraries

SE Europe will be coordinated by EKT/NHRF – National Documentation Centre, Greece

SW Europe will be coordinated by UMinho – University of Minho, Portugal

Role of the Contact Points:

- Facilitate development of engagement programmes in regions and across them

- Facilitate networking

- Organise regional events

About the 'Knowledge Net'

The 'Knowledge Net' is the Europe-wide network of centres of expertise – Key Node organisations - to be developed through PASTEUR4OA that can carry forward the

work undertaken in the project and continue to pursue the aim of changing and improving scholarly communication practices.

Through collaborative work between project partners and this international coordinated Knowledge Net, the project will identify, engage and inform policymakers through a series of regional meetings, individual engagement and advocacy materials such as briefing papers and reference materials that report the evidence base on the reasons for and benefits of Open Access. The European Commission's policy for Open Access in Horizon 2020 is the foundation of the PASTEUR4OA advocacy work: the implications of that policy for Member States and the recommendation of the Commission for Member States to also adopt similar policies for research funded at national level will be the principle areas of focus of the project's advocacy work.

About these guidelines

The guidelines developed for the Key Nodes were produced by the PASTEUR4OA Project. They aim to support the Key Nodes in identifying and liaising with national policymakers and other relevant decision-makers who can affect future policy development including an increase of expertise on the H2020 policy and develop coordinated open access policies in line with the EC Recommendation.

The guidelines include the first set of resources to support the Key Nodes in initiating the programme of policymaker engagement, and also relevant documents on Open Access policy developments. Two further sets of resources are planned to be distributed to all the Key Node organisations over the 30-months of the project.

About the Programme for Policymaker Engagement

The Key Nodes will develop a programme of activities to engage national policymakers (research-performing organisations and research funders) through regionally-coordinated actions, to be facilitated by the regional PASTEUR4OA contact points. Some common activities will be supported by the project (e.g. the PASTEUR4OA expert meeting and the regional meetings) while other activities will be developed by each Key Node organisation.

The resources / announcements provided by the project to help Key Nodes in engaging national policymakers are described as follows:

1. To help Key Nodes in engaging national policymakers the project provides an **online form** with suggestions of different types of activities (e.g. meetings, workshops, etc. that can be targeted as examples for academic policymakers in particular or for national research funders). **It is expected that each Key Node fills in an online form per activity.** At the end, the set of activities will describe the programme for policymaker engagement developed by each Key Node. The data collected from the forms will allow the PASTEUR4OA project to obtain an overview of all the activities to be held across the European Union and neighbouring countries. The form is available at (please fill one form per activity):

   https://docs.google.com/forms/d/1CJtKfcY41DGKiM6VX9pNro8EjwYlueSO-tUW5R0T-GI/viewform?usp=send_form

2. To help Key Nodes in identifying national policymakers the project provides a **standard letter** that can be used to contact research-performing organisations and research funders. The PASTEUR4OA project will then assemble a list of appropriate policymakers in each country, aiming to ensure that the project can create maximum and sustained value through engagement with these policymakers.

3. To achieve the same level of understanding between all the Key Nodes the project gathers relevant **documents** on Open Access Policies fostering the conditions to develop and implement policies at national and institutional levels.

4. To support the development of helpful and productive relationships between Key Nodes the project is organising a **workshop** which will take place in London, on December 2-3, 2014. The project will provide funding to support travel and accommodation costs to ensure that the 38 European Member States and adjacent states have their own representatives attending this meeting. Attached with this document is an outline of the meeting programme, the meeting invitation, and guidelines about the expenses that will be covered and/or reimbursed for attendance at the meeting.

List of Key Node Organisations

The following table includes the list of Key Node organisations which formally accepted the invitation of the PASTEUR4OA project to participate in the Knowledge Net.

Region	Contact Point	Country	Organisation
Nordic	CRIStin	Denmark	Roskilde University Library
Nordic	CRIStin	Finland	Lappeenranta University of Technology
Nordic	CRIStin	Iceland	Landspítali, National University Hospital of Iceland
Nordic	CRIStin	Sweden	National Library of Sweden
Nordic	CRIStin	Norway	University of Oslo
E Europe	EIFL	Croatia	Ruđer Bošković Institute
E Europe	EIFL	Czech Republic	VŠB-Technical University of Ostrava
E Europe	EIFL	Estonia	Estonian Research Council
E Europe	EIFL	Hungary	MTA Konyvtar
E Europe	EIFL	Latvia	University of Latvia
E Europe	EIFL	Lithuania	LMT - Lietuvos mokslo taryba
E Europe	EIFL	Poland	Centrum Cyfrowe
E Europe	EIFL	Romania	Association AnelisPlus
E Europe	EIFL	Slovakia	Slovak Centre of Scientific and Technical Information
E Europe	EIFL	Slovenia	University of Ljubljana
SE Europe	EKT/NHRF	Bulgaria	Bulgarian Academy of Sciences
SE Europe	EKT/NHRF	Cyprus	University of Cyprus
SE Europe	EKT/NHRF	Greece	EKT/NHRF
SE Europe	EKT/NHRF	Montenegro	PENDING
SE Europe	EKT/NHRF	Serbia	University of Belgrade

SE Europe	EKT/NHRF	Turkey	Hacettepe Universitesi
SE Europe	EKT/NHRF	Yugoslav Republic of Macedonia	Metamorphosis Foundation
SE Europe	EKT/NHRF	Albania	PENDING
SE Europe	EKT/NHRF	Bosnia and Herzegovina	PENDING
SE Europe	EKT/NHRF	Kosovo	PENDING
NW Europe	EOS	Austria	FWF - Fonds zur Förderung der issenschaftlichen Forschung
NW Europe	EOS	Belgium	FRS-FNRS
NW Europe	EOS	France	Couperin
NW Europe	EOS	Germany	Helmholtz Association
NW Europe	EOS	Ireland	HRB - Health Research Board
NW Europe	EOS	Luxembourg	University of Luxembourg
NW Europe	EOS	Netherlands	TU Delft
NW Europe	EOS	United Kingdom	Jisc
NW Europe	EOS	Switzerland	PENDING
SW Europe	UMinho	Italy	Politecnico di Torino
SW Europe	UMinho	Malta	University of Malta
SW Europe	UMinho	Portugal	University of Minho
SW Europe	UMinho	Spain	Fecyt - Fundación Española para la Ciencia y la Tecnología

Schedule of the planned tasks

Task	Target Group			When
	Key Nodes	Policymakers	All participants	
Deadline to accept invitation	x			May 30, 2014
Identify policymakers and develop programme for policymaker engagement	x			June 2014 – Nov 2014
PASTEUR4OA Key Nodes Event	x			Dec 2-3, 2014
Programme for Policymaker Engagement in action	x			Jan 2015 – Feb 2016
Identify policymakers who will attend the regional meetings	x			Jan 2015 – April 2015
Influence Open Access policy development in line with EC	x			Jan 2015 – Dec 2015
Regional Policymaker Events		x		Sep 2015 – Feb 2016
Knowledge Net Establishment	x			March 2016 – May 2016
PASTEUR4OA Final Project Event			x	June, 2016

Standard letter to contact national policymakers

Dear [xxx]

PASTEUR4OA (Open Access Policy Alignment STrategies for European Union Research) is a 30-month project funded by the FP7 funding framework programme which aims to encourage Open Access policy development in the European Union that is aligned across Member States and with the Horizon 2020 Open Access policy. The project is a collaboration of fifteen European organisations from ten different countries (www.pasteur4oa.eu).

PASTEUR4OA has begun its work on the establishment of a Europe-wide network of Key Node organisations that represent national expertise on Open Access and scholarly communication issues in each EU Member State and some neighbouring countries.

The [organisation name], was defined as a Key Node, and it will represent [country] in the 'Knowledge Net'. Our main goal is to identify and liaise with national policymakers and other relevant decision-makers who can affect future policy development in both Research Performing Organisations and Research Funders in [country].

For this reason, we are contacting [the organisation / person name] to [takes part / reinforce] [in this / this] initiative, which will pursue the best practices to achieve alignment with the Horizon 2020 Open Access policy.

The [organization] as Key Node representing [country] has prepared a programme of activities for the next year/two years requiring the participation of the [organisation name] [include a brief description of the programme of activities].

In the second half of 2015, the identified policymakers will be invited to attend one of the events held in each of five regions of Europe.

If you are able to accept this invitation, as we hope, please send us a confirmation.

Yours sincerely,

[xxx]

Relevant documents on Open Access policies

MedOANet Guidelines for implementing Open Access policies: provide concise and targeted guidance for a harmonized approach towards policy development

http://www.medoanet.eu/news/medoanet-guidelines-implementing-open-access-policies-available-7-languages

Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

Horizon 2020: Multi-beneficiary General Model Grant Agreement

http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf

Open access in the post-2014 Research Excellence Framework: set out the policy for open access in relation to the post-2014 Research Excellence Framework (REF)

http://www.hefce.ac.uk/pubs/year/2014/cl072014/#d.en.86764

UNESCO Open Access Policy Guidelines

http://www.unesco.org/new/en/communication-and-information/resources/publications-and-communication-materials/publications/full-list/policy-guidelines-for-the-development-and-promotion-of-open-access/

Harvard Open Access Project's institutional policy guidelines

http://cyber.law.harvard.edu/hoap/Good_practices_for_university_open-access_policies

SHERPA/Juliet: Research funders' Open Access policies

http://www.sherpa.ac.uk/juliet/

ROARMAP: Registry of open access policies adopted by universities, research institutions and research funders http://roarmap.eprints.org/