Monitoring a National Open Access Funder Mandate

José Carvalho, University of Minho, jcarvalho@sdum.uminho.pt
Cátia Laranjeira, FCT | FCCN, catia.laranjeira@fccn.pt
João Moreira, FCT | FCCN, jmm@fccn.pt
Vasco Vaz, FCT | FCCN, vasco.vaz@fct.pt

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Abstract
The definition of an Open Access funder mandate involves usually in a long process of advocacy but it’s only the first step of a broader process. This presentation focus on the implementation of the monitoring process of a funder open access policy with implication at national level. The practical implementation is based on some assumptions: using existing infrastructure and defined guidelines. This work presents the options taken to simplify the process of reporting to the researchers and the role of the existing infrastructure to support new challenges.

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Keywords
Repositories, Open Access, Deposit, monitoring, policy

Audience
repository managers, librarians, policy makers, funders
Background

This presentation demonstrates how to monitor a policy of a funder at national level using existing infrastructures and guidelines.

Presentation content

Intro to Open Access Policies

Information and communication technologies, and in particular, the internet has fundamentally changed the way that science and scholarly research is communicated. The possibility of a world-wide delivery of knowledge allied to the willingness of scientists and scholars to share their research has resulted in a global movement towards open access publishing and archiving. Open Access (OA), the practice of providing on-line access to scientific information that is free of charge to the end-user and that is re-usable, greatly contributes to a widespread dissemination of research results thereby enhancing their use, application and impact.

Momentum for OA has been growing as numerous funding agencies and institutions worldwide implement open access policies. Many OA initiatives have focused on publicly-funded research but OA is sought to research that is unfunded or funded by private foundations as well. The European Union (EU) is also committed to improve access to scientific information. Recognizing the central role of knowledge and innovation in generating growth, the EU has been striving to foster OA and to boost the benefits of public investment in the research funded under the EU Framework Programme for Research and Innovation, Horizon 2020. To this end, a scholarly communication infrastructure – OpenAIRE\(^1\) - has been developed to manage and monitor the outcomes of EU-funded research supporting OA policies.

Open Access to scientific literature can be achieved through two complementary strategies: self-archiving in repositories and publishing in open-access journals.

The FCT Open Access Policy

The Foundation for Science and Technology (FCT), the portuguese national funding agency for science, research and technology, widely recognizes the benefits of Open Access, not only to the research community, giving authors and their works greater visibility, readership and impact, but also at the socio-economic level, bringing science and society together. In accordance, FCT has been actively involved in the implementation of strategies to promote immediate, online, free availability of research outputs to the research community and to the public at large. One of such strategies was the definition of FCT Policies on Open Access

\(^1\) https://www.openaire.eu/
which came into force on the 5\textsuperscript{th} May 2014. This policy states that all peer-reviewed publications and data arising from FCT funding must be deposited in one of the open access repositories hosted within the Portuguese repositories network RCAAP as soon as possible, preferably immediately on acceptance for publication. An embargo period is allowed, after which the full content of the publications should be made freely available, at no cost.

The deposit of the scientific literature in a repository of the RCAAP network has an impact on the reporting and monitoring procedures within the scope of FCT-funded projects. Only the scientific outputs deposited in a repository of the RCAAP network will be considered for monitoring purposes and so the RCAAP network becomes instrumental in supporting compliance with the FCT Policies on Open Access.

The Implementation of the Monitoring Process

The implementation of the monitoring process includes a workflow that starts on the repository with the deposit of the funded publication. In this step, the publication is associated with the project and made available on the repository. The next step is provided by the RCAAP Search Portal that harvests all the information of the repositories and identifies the funding information. By this, it fills the project page with all the identified publications and allows the creation of scientific reports. Finally, these reports are included on the funder reporting system to be included on the midterm or final reports of the project.

![Figure 1 - The Monitoring Process](http://api.openaire.eu)

The RCAAP project manages directly on the repository hosting service 28 institutional repositories that are automatically compliant to the policy. For the others repositories managed by the institutions.

The key requisite to allow the compliance is the identification of the project on the deposit process. For this, the project implemented a new addon based on the OpenAIRE API\textsuperscript{2} that aggregates a list of different funders.

\textsuperscript{2} \url{http://api.openaire.eu}
To support the management and the correct compliance on the repositories, the **OAI-PMH Validator**\(^3\) integrates a specific validation profile to identify the publications with projects associated for the national funding body FCT.

Some **new functionalities** have been implemented on the existing Search Portal to support the policy. Each project has a specific **project page** where all the publications are listed and where the project manager can **create a report of the publications**, integrate with a **widget** the information in the project website or access more information about the project itself. Integrated on the search process, the users can now filter the search results by funder, funding programme or project. The same approach has been implemented on the advanced search page.

![Report](image)

**Figure 3 - Report Generation for funder on the search Portal RCAAP**

A new internal dashboard have been developed to give to RCAAP Project and the national funder some numbers about the publications with associated projects, organized by funders. These identification is based on OpenAIRE guidelines\(^4\).

Finally, the RCAAP Search Portal integrates now a public API\(^5\) that allows any institution to search for any information that is organized on the Portal.

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4. [https://guidelines.openaire.eu](https://guidelines.openaire.eu)
Conclusions

Removing access barriers to research results will accelerate scientific research, enrich education and, ultimately, contribute for the sustained progress in society. The benefits associated with open access (OA) to scientific literature has been acknowledged by Fundação para a Ciência e Tecnologia (FCT), the funding agency that supports science, technology and innovation in Portugal. Indeed, FCT has actively promoted OA in Portugal by supporting RCAAP (Repositório Científico de Acesso Aberto), the national OA repository infrastructure which has been key to increase the visibility of Portuguese universities and also in the development of institutional OA repositories. More recently, FCT Policies on OA have come into force to ensure peer-reviewed publications and data arising from FCT funding are deposited in one of the OA repositories hosted within RCAAP and, therefore, freely available. The RCAAP Search Portal has been developed to allow for the creation of reports, in which publications are associated with funding information. Such added value services greatly contribute to make the RCAAP Search Portal central in the national information research ecosystem. Also, it results in great benefits for both FCT, by reducing administrative burden, and the research community, by simplifying scientific and financial reporting in the context of midterm or final project reports.