

REPORT

# Insights into European research funder Open policies and practices

September 2019





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**“Insights into European research funder Open policies and practices”**

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## Foreword

As part of SPARC Europe's vision to "Make Open the Default" in Europe, funders are critical to creating a more open, equitable, innovative, impactful and transparent research environment. Research funding organisations are the life-blood of research and innovation; they are uniquely positioned to influence and fundamentally shift publishing practices in Europe and in-turn maximise the impact of European research.

Recent years have seen a quickening of Open Science (OS) policy activity in Europe. For instance, European Member States, including the Czech Republic, Cyprus, France, the Netherlands, Slovenia, Spain and the UK are increasingly adopting laws and/or national policies that promote, and very much endorse, the importance of Open Science. In 2019 alone, we have witnessed the passing of the first Directive on Open Data and the Re-Use of Public Sector Information Directive (EU) 2019/1024 which requires Member States to develop national policies for open access to research data resulting from public funding following the principle of 'open by default'. Also on the EU level, the Horizon Europe Programme calls attention to the importance of monitoring, analysing and supporting the development and uptake of OS policies and practices if we are to maximise synergies between member states, regions and institutions — and ultimately reform and enhance the EU research innovation system. Furthermore, it was almost exactly one year ago, that the ambitious cOAlition S and its 10 Open Access principles were born. A consortium of research funders are setting out to accelerate the migration to a fully Open Access research environment in a co-ordinated and concerted way by requiring change in 10 key areas. In short, "Plan S aims for full and immediate Open Access to peer-reviewed scholarly publications from research funded by public and private grants." Such a funder-driven mandate of this scope and scale is a first.

As part of this drive for change, SPARC Europe wanted to explore how we might facilitate greater engagement with Open Science amongst a wider field of OA funders in Europe, with an initial strategy focused on shedding light on their current policies regarding OS and to what extent they reward and incentivise their researchers to adopt open practices. Thus in 2018, SPARC Europe in consultation with Science Europe – the association representing major public organisations that fund or perform research in Europe – moved to establish the Rewards and Incentives amongst Funders (RIF) Project. Our goal was ultimately to help achieve growth in the number of Open Access and Open Science policies amongst funders in Europe, and help strengthen existing policies by examining OS policies (including OA), rewards and incentives of European funders. We aimed to achieve this goal by raising awareness of funder practices by conducting a survey across Europe.

As a first step, SPARC Europe set up an advisory group to discuss the goals, objectives and scope of the study. This group included Robert Kiley, Wellcome Trust; Falk Reckling, FWF; Mathilde Reumaux, Science Europe; Vasco Vaz, FCT; and James Wilsdon, University of Sheffield. We agreed to focus on national funding agencies, academies, charities and foundations, which resulted in The European Foundation Centre (EFC) and ALLEA, the European Federation of Academies of Sciences and Humanities, also agreeing to join the project. The jointly-developed survey was primarily circulated to members of these organisations as well as to several discipline-specific research networks and to the European Commission and the European Research Council, making this study a first of its kind. While numerous Research Performing Organisations (RPOs) are funders of research, RPOs were not included in the survey; also omitted were research centres external to universities and European University Association (EUA) members as the organisation routinely surveys them on OA issues.

Launched in the spring of 2019, the survey, which targeted about 400 funders, garnered just over 60 responses from 29 countries. The cohort includes important national funding agencies (almost 50%), pan-European funders, national and regional academies, foundations and philanthropic organisations and research charities. The RIF Project's Advisory Group considers the responses a relatively good representation of the current OS policy landscape, of which this report provides an analysis. Note that this is a snapshot in time and we are aware that policies are under development.

The report firstly confirms notions on the state of OS policy in Europe. For example, research data policies still lag behind those of Open Access to research publications with 61% of the sample reporting an OA policy but 69% reporting *no data policy*. This echoes figures recently published by the EUA in their OA report. The data also continues to show an imbalance of policies across Europe. With some exceptions, funder OA and OS policies seem to be more prevalent in Northern and Western Europe. There is also a need for an increase in policy development in certain regions. This would help to achieve a level playing field across Europe potentially avoiding a scenario where a handful of regions or countries have an outsized influence.

The report illustrates two clear needs: 1) for more policy development where it is lacking, and 2) where policy does exist, greater alignment between policy and practice, and between countries, is advisable. Furthermore, when considering how OA /OS features in grant evaluations, we can generally conclude that funders are largely continuing with traditional ways of evaluating their research, with some still using metrics like the JIF. This said, the intention for change does exist, which is evidenced by 27 funders reporting having signed or expressed public support for DORA. Considering this disconnect, though, between stated support and actual practice, we can safely assume that practical implementation will require an extended timeline, since this support is not evident when examining how research currently is being evaluated. On a positive note, we see that Open Science criteria *are* being used in the evaluation process by seven funders.

Other more striking observations can also be made. Despite many funders reporting having an Open Access policy, on analysing the data, we find that practice, again, does not always align with this policy. For instance, some respondents do not engage in offsetting deals, provide publishing platforms or journals, or invest in open access or open science services or infrastructure, all of which are means to support and implement policy, although many do fund article publication charges (APCs) for example. A positive was noted in how engaged funders are in the development and setting of OA standards and principles; 20 engaged by contributing in-kind. This figure changes to 15 when zeroing in on organisations that develop and disseminate research data standards and principles.

On sharing data, it can be noted that very few funders (3) discuss whether to — or how to — license research data to stimulate re-use; this was not mentioned as a topic for upcoming policy reviews either, which is somewhat concerning since guidance is needed. Regrettably, when it comes to providing exceptions for sharing data, only seven of the respondents call for exceptions to be justified and recorded.

As far as financial incentives for OA or OS are concerned, clearly evident was a lack of financial or in-kind commitment to OA or OS services or infrastructure – research data infrastructure, in particular. This is disconcerting since policy implementation very much depends on a stable infrastructure. It was noted that if funders cover APCs, they generally do not apply a cap to APC expenditure (although some are considering doing so in future), which only sustains the current costly system with its high APCs.

One path forward to further encourage and support OS policy growth among funders may be to identify and highlight some good practices and to actively engage them in these conversations. More in-depth research could also be conducted to: document the ambitions, goals and service expectations of funders as they relate to why they established publication platforms and journals; explore the motivations behind some funders' choice to invest in open infrastructure; discover who is promoting the re-use of research and how; help facilitate the implementation of DORA, or analyse the compliance rate of OA outputs amongst funders and the correlation between that and with those who enforce sanctions.



In the following months, SPARC Europe will compare the data presented in this report with the European University Association's "2017-2018 EUA's Open Access Survey Results" to identify synergies and differences between research performing organisations (RPOs), i.e. universities, and funders.

As we look ahead, our analysis of the survey data reveals a number of areas where funders could consider taking more concerted action to increase visibility of their research by strengthening their open agendas moving forward. These include 1) Encourage more funders to adopt Open Access and Open Data policies across Europe, or develop the policies they have; 2) Increase support for Open Science infrastructure; 3) Seek to close the gap on policies, rewards and incentives in all European countries; 4) Increase monitoring compliance mechanisms and enforcement action; 5) Consider reviewing APC expenditure and urge publishers to make pricing and/or cost structures transparent; 6) Develop action plans to become more DORA compliant; 7) Analyse the degree to which one's policy matches with other commitments to Open; 8) Do more to stimulate the re-use of the outputs from funded research.

The hope of the advisory group is that this report will spark meaningful conversation — and ultimately, multiply the actions being taken among European funders to advance open access to their research, advancing, too, the open agenda of Europe as a whole.

Vanessa Proudman, September 2019

## Executive summary

This report summarises the results of a survey of European research funders on Open Access (OA) and Research Data (RD) policies. The survey was completed by 62 research funders from 29 European countries.<sup>1</sup> Respondents comprised national funding agencies (27) and pan-European funders (2), national and regional academies (15), foundations and philanthropic organisations (14) and research charities (4). This document summarises findings at a pan-European level: it does not attempt to draw a connection between responses and the national context, which could be part of a separate analysis.

### **Open Access policies**

Almost two thirds of respondents (37) have an OA policy, most of which (30) have mandatory requirements. All OA policies cover scholarly articles, and around two thirds of them also cover books and monographs (24) and conference proceedings (22). Although 24 organisations do not yet have an Open Access policy, half (12) are currently in the early stages of developing a policy. Among the remaining funders, the most common reason for not having a policy is lack of resources to develop and/or implement and monitor it.

### **Research Data policies**

Over two thirds of European funders (42 out of 61 respondents) do not have a Research Data (RD) policy. Seven funders have provisions on Research Data that are part of a broader Open Access or Open Science policy, while only 12 respondents have a dedicated Research Data policy which is independent of the policy on research publications. Of the 19 RD policies in place, over two thirds (13) include mandatory requirements - the most common of which are depositing the data in a repository (14) and producing a Data Management Plan (12). However, 13 more funders are in the process of developing a RD policy.

### **Support for OA publication costs**

Most funders (52 out of 62) provide some support for the payment of publication costs. Of these, 28 pay for Article Publication Charges (APCs) and other publication costs, such as page and colour charges, while 19 organisations cover APCs only and five cover some publication charges but no APCs. Most funders are unaware of the proportion of research outputs benefitting from APC support, whilst most of the others (18 out of 25) support APCs for less than 50% of their outputs. The most common mechanism for paying publication costs is as an eligible cost of research grants or contract funding, and most funders (43) do not apply a cap on APC expenditure (but 9 of these are considering applying one). Two thirds of funders are not doing any work on APC offsetting deals or OA transformative deals.

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<sup>1</sup> Only surveys that were submitted (i.e. where respondents clicked the 'submit' button) are considered completed. Note that not all respondents who submitted the survey response completed all the questions (e.g. some responses were completed by 61 respondents or less, whilst others have a much lower number because they indicate a subset of responses e.g. 37 funders with an Open Access policy). The text indicates the total number of responses to each question.

### **Funding for OA initiatives**

European funders show variable involvement in supporting initiatives such as APC-free OA platforms and journals, standards and principles, repositories and services. Over half of respondents do not formally support any Open Access initiative. Repositories (10 funders) and OA journals (9) are the initiatives receiving most financial support, whilst standards and principles are generally supported with in kind contributions (20). 16 funders offer their own publishing platform and/or journal; these range from publishing OA journals to hosting open research platforms to CRIS-type systems that can support the evaluation of research process.

### **Funding for RD initiatives**

The landscape is somewhat similar with regards to RD initiatives, with 36 funders not supporting any initiative and only a few providing financial support to RD infrastructure. RD storage services and repositories are the initiatives that most commonly receive financial support (6 funders).

### **Grant evaluation criteria**

Funders use a wide array of grant evaluation criteria in addition to research excellence. The most commonly used are: the quality of the research uptake and dissemination strategy (32), criteria related to the applicants track-record (29), quality of the plan for achieving social impact (28) and evidence of past societal impact (26). Open access is not a big factor in grant evaluation: 51 funders make no distinction between OA and non-OA publications. However, 27 funders have signed up to or expressed support for the San Francisco Declaration on Research Assessment (DORA).

### **Monitoring and compliance**

Most funders support OA policy implementation by embedding requirements in their grant funding agreements (31). OA policy compliance is monitored by 23 funders while only 9 monitor their RD policy. The most commonly used processes to monitor compliance are grant-level and organisation-level reporting, monitoring submissions in institutional repositories and high-level studies of compliance. Among those that do not monitor their Open Access or Research Data policy, a lack of monitoring infrastructure or tools is cited as the main cause, followed by a lack of resources. In most cases, non-compliance with the policy has no practical consequences for beneficiaries.

### **Review of Open Science Policies**

Of the 37 funders that have an Open Access policy, 15 released or reviewed it within the last 3 years and an additional 11 within the last 12 months. Moreover, 35 funders expect to review their policy within the next 3 years and 19 of these expect to do so within the next 12 months. The next review will generally focus on monitoring and compliance (24), embargo periods (18), eligible journals (16), APC capping (15) and support mechanisms for funding publication costs (12). With regards to Research Data, 16 policies were reviewed over the past 3 years, and five of those were reviewed in the past 12 months. 18 out of 19 policies will be reviewed in the next 3 years, and half of those in the next year.

### **Plan S**

Out of 61 respondents, 55 are aware of Plan S. Of these 31 are supportive of the plan to varying degrees, whilst about a third (19) have not yet formulated a position on Plan S and only two are not supportive. 11 funders have already signed up to Plan S and a further three are in the process of aligning their policy with it.

## 1. Introduction

### 1.1. Background

This report presents the results of a survey prepared by Research Consulting on behalf of SPARC Europe and in consultation with representatives from [ALLEA](#), the [European Foundation Centre](#) and [Science Europe](#). The survey investigates the rewards and incentives for Open Science amongst European funders, and the current and planned developments in Open Access and Research Data policy across the continent. Its findings will be used to raise awareness of rewards and incentive structures that support OA and OS amongst funders, to inspire further open research policy development in Europe that can speed up access to public research results and to help make Open Access to research the default.

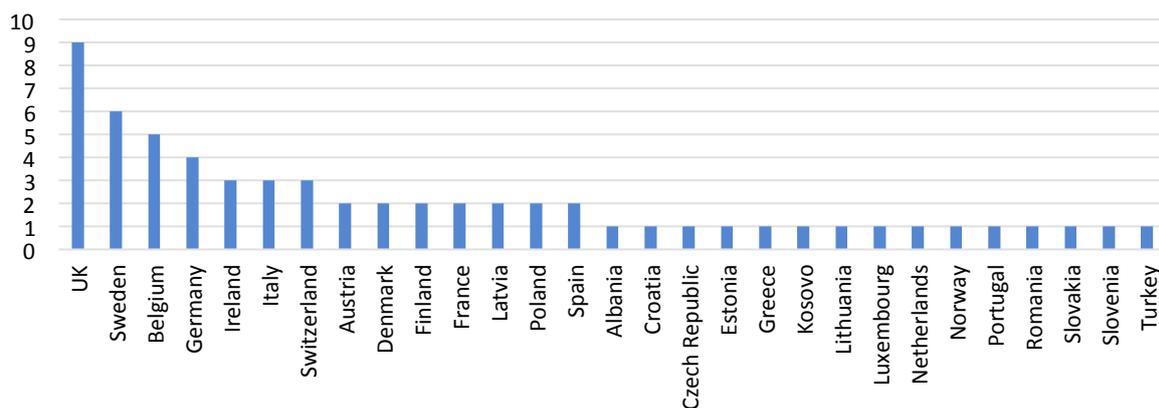
### 1.2. Survey question set and data availability statement

The survey question set is available in the Zenodo repository: <http://doi.org/10.5281/zenodo.2611115> and in the Appendix. Most questions were optional, thus the number of responses to each question vary. Only surveys that were submitted (i.e. those where respondents clicked the 'submit' button) were marked as 'completed', whereas unsubmitted responses were not considered in the analysis. However, not every question needs to be answered for a survey to be considered completed. For instance, some responses were completed by 61 respondents or less, whilst other have much lower number because they indicate a subset of responses e.g. 37 funders with an Open Access policy. The text and figures indicate the total number (n) of responses to each question. The dataset generated and analysed during this study is available in the Zenodo repository, <http://doi.org/10.5281/zenodo.3457556>.

### 1.3. Breakdown of survey respondents

The survey of European research funders was distributed to members of SPARC Europe, Science Europe, ALLEA, the [European Foundation Centre](#) (EFC), the [Association of Medical Research Charities](#) (AMRC) and the [European Centre for information on Marine Science and Technology](#) (Eurocean). It was completed by 62 funders from 29 countries.

Fig. 1 Survey respondents by geographical location (n = 62)



Almost half of respondents (n=27) are national funding agencies, whilst national academies were the second largest group with 15 respondents<sup>2</sup> and foundations and philanthropic organisations formed the third largest groups with 14 respondents. Among the remaining organisations, four respondents were research charities and two are pan-European funders.<sup>3</sup> The survey was also completed by two other organisations, whose responses have not been included in the report on the grounds that they do not have a role in funding research.

Fig. 2 Survey respondents by organisation type (n = 62)



Respondents covered the full range of scholarly disciplines, and most fund multiple disciplines. Medical and health sciences were the disciplines most funded by respondents (53 respondents), followed by social sciences (51 responses), natural sciences (49 responses) and arts and humanities (49 responses). Funders supporting engineering and technology (42 responses) and agricultural sciences (37 responses) were also widely represented.

#### 1.4. Definitions

**Open Access to research publications:** Open Access is the free online availability of research articles, books, or other published content, combined with licensing that allows reuse with limited or no restrictions.

**Open Science:** the practice of science in such a way that others can collaborate and contribute, where research data, lab notes and other research outputs and processes are freely available, under terms that enable reuse, redistribution and reproduction of the research and its underlying data and methods (adapted from the [FOSTER definition](#)).

**FAIR Data:** set of guiding principles to make data Findable, Accessible, Interoperable, and Reusable (see the [full definition](#)).

#### 1.5. Acknowledgements

The report was developed by Research Consulting on behalf of SPARC Europe. We are very thankful to Vanessa Proudman for her leadership and guidance. We would also like to thank the members of the project’s advisory group, Robert Kiley, Falk Reckling, Mathilde Reumaux, Vasco Vaz and James Wilsdon. Finally, we thank our colleagues at ALLEA, AMRC, EFC, Eurocean and Science Europe for helping distribute the survey to their members.

<sup>2</sup> This includes a regional academy, the Akademie der Wissenschaften in Hamburg

<sup>3</sup> One of the two respondents is the Open Science Unit of the European Commission’s Directorate General for Research and Innovation. Whilst not strictly speaking a research funder, the DG is responsible for EU policy on research, science and innovation.

## 2. European funders' Open Access and Open Science policies

### 2.1. Open Access policies

We asked funders if their organisation has an Open Access (OA) policy for research publications (scholarly articles, books etc). Out of 61 responses, two thirds indicated that they have an OA policy. Of these, 30 funders said that their policy has mandatory requirements while seven have a non-mandatory policy. This means that, overall, just under half of the respondents place strict obligations on their beneficiaries to make their research publications Open Access.

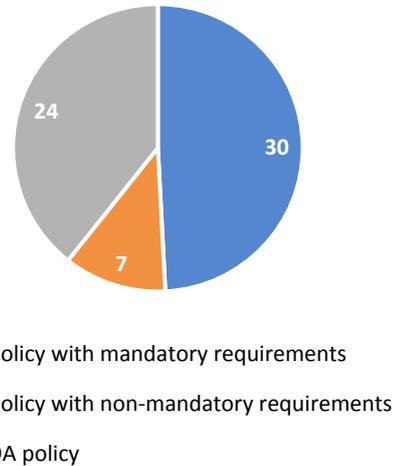
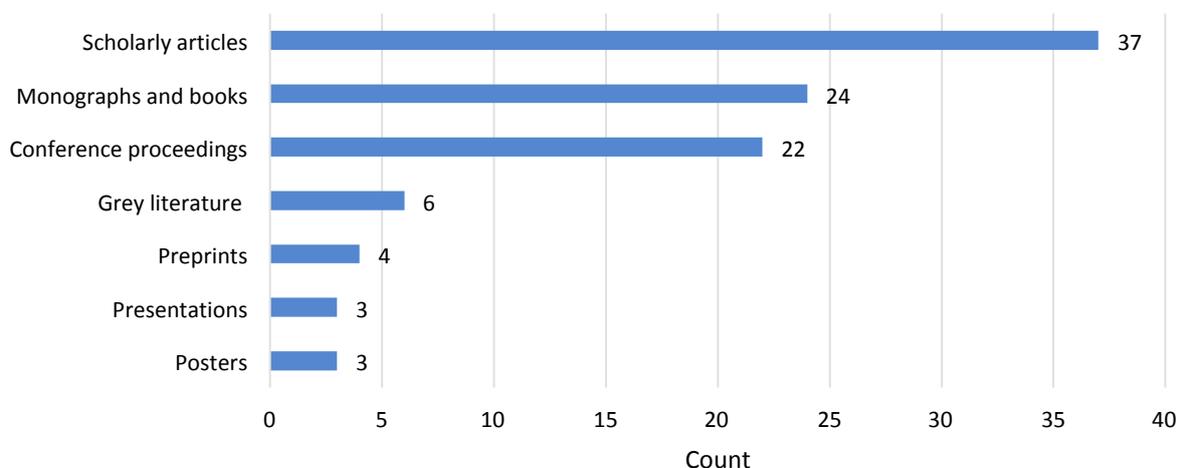


Fig. 3 Number of funders with mandatory OA policies, non-mandatory provisions and no policy (n=62)

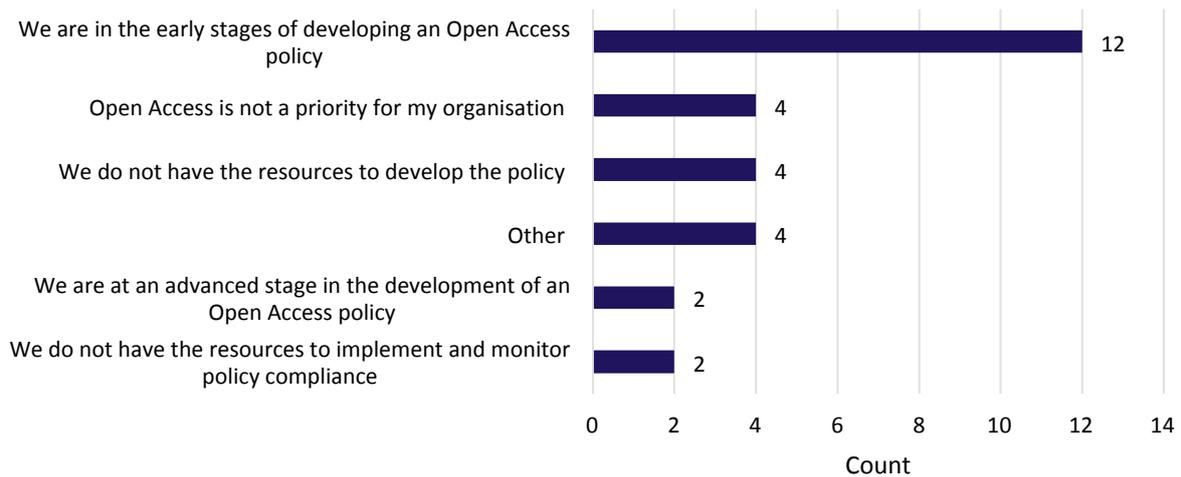
Whilst all OA policies covered research articles, a high number of policies also covered books and monographs (23 policies) and conference proceedings (21 policies). However, in some cases, OA publication of books and monographs is encouraged rather than mandated. This also applies to grey literature, which is within the scope of only six policies. Pre-prints are within the scope of four policies, and an additional respondent indicated that they will be in scope for future policy. In a few cases (e.g. the Royal Society) the policy does not specify the type of publication that must be made available, and therefore all types of publications containing research findings are potentially subjected to it.

Fig. 4 - Outputs within scope of the Open Access policies (n=37)



Of 24 organisations that do not yet have an Open Access policy, half (12) are currently in the early stages of developing the policy. Among the remaining funders, the most common cause for not having a policy is lack of resources to develop and/or implement and monitor it. A few respondents indicated in the free-text questions that the OA policy is not a priority for them, either because research is marginal to their overall mission (1) or because they are not convinced that OA increases the scientific impact of their research (2).

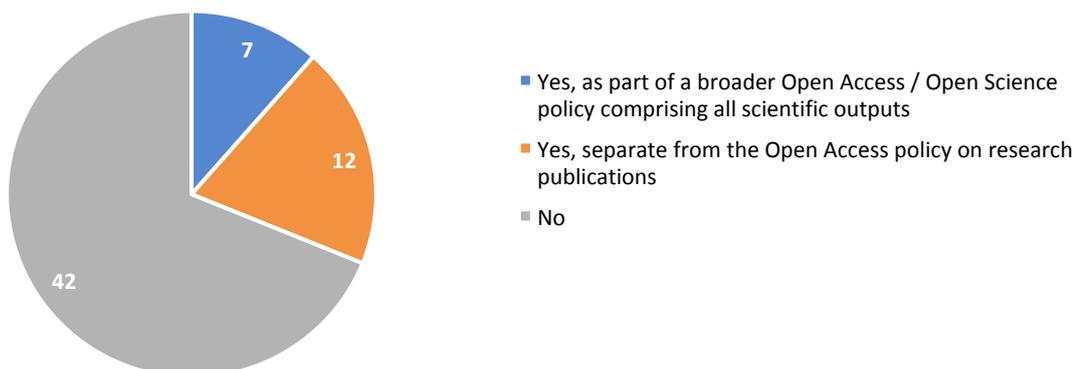
Fig. 5 - Reasons for not having an Open Access policy (n=24)



## 2.2. Research Data policies

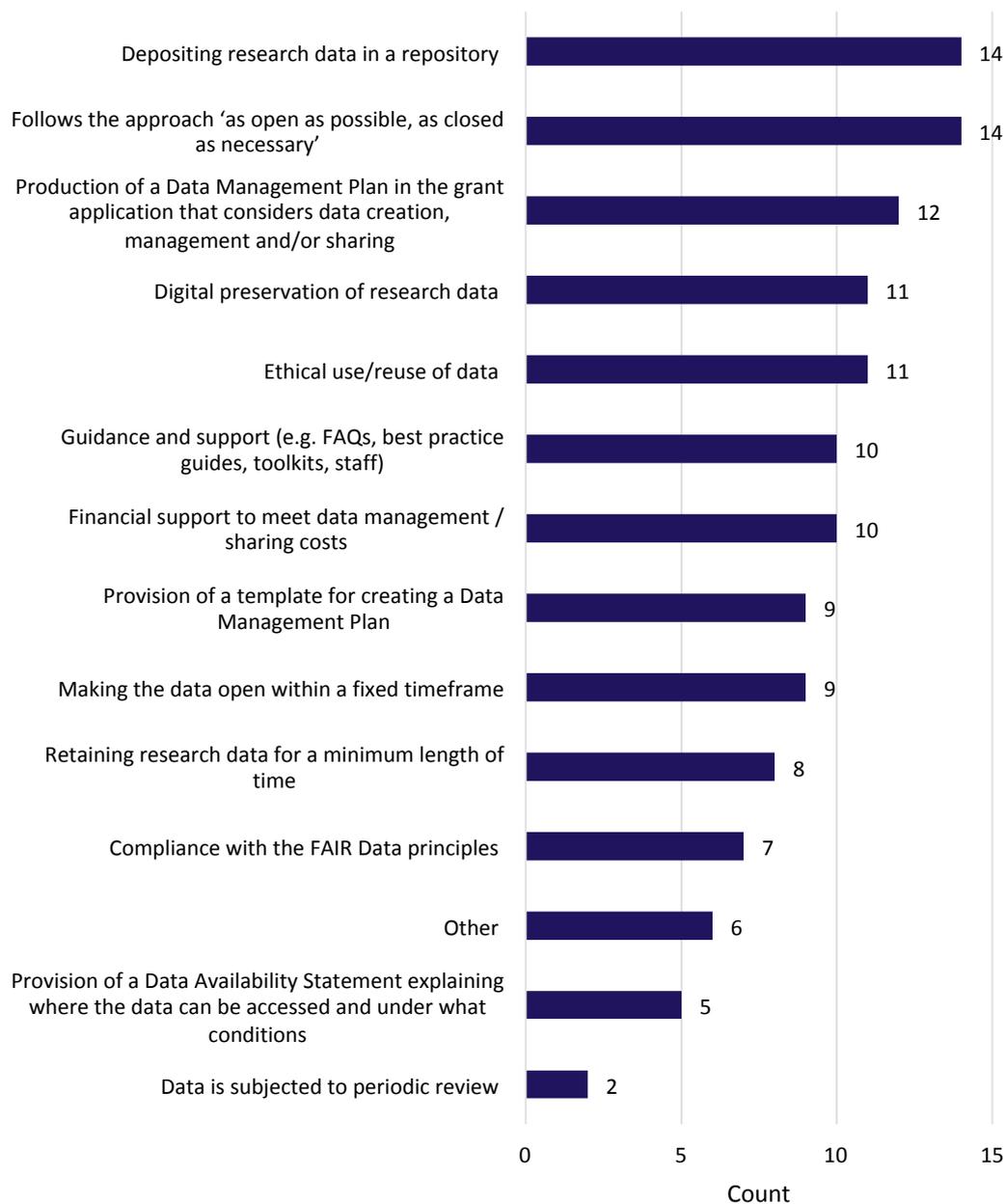
In stark contrast with Open Access to research publications, most European funders do not have a Research Data (RD) policy. Out of 61 respondents, 42 do not have a policy whilst seven have provisions on Research Data that are part of a broader Open Access or Open Science policy. Only 12 respondents have a dedicated Research Data policy which is independent of the policy on research publications. Whilst not everyone that has an OA policy has a RD policy, everyone that has a RD policy has an OA policy.

Fig. 6 – Number of funders with a Research Data policy (n=62)



Of the 19 RD policies surveyed, over two thirds (13) include mandatory requirements. The most common requirements are depositing the data in a repository (14) and producing a Data Management Plan (12). The approach ‘as open as possible, as closed as necessary’, adopted by the European Commission, is enshrined in 14 out of 19 Research Data policies. Most policies (11) require that organisations put in place measures for digital preservation of their research data. With regards to support, 10 policies promote the provision of guidance and toolkits and an equal number also makes provision for financial support to meet data management and sharing costs. Only two policies make provision for the periodic review of Research Data.

Fig. 7 - Research Data requirements (n=19)



Among the 42 organisations that do not yet have a RD policy, almost a third (13) stated that they are in the early stages and four more said that they are at an advanced stage in the development of the policy. Including textual ‘other’ responses, nine organisations stated that RD is not a priority for them whilst seven organisations cited resource constraints as the main reason for not having a policy. Three of the textual ‘other’ responses are considering a Research Data policy or examining the need for one.

Fig. 8 - Reasons for not having a Research Data policy (n=42)



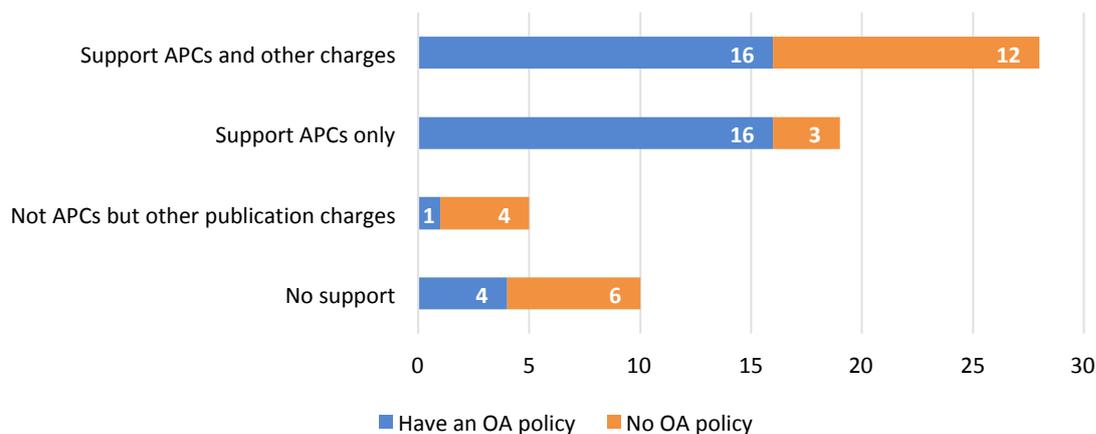
### 3. Funding the dissemination of research

#### 3.1. Publication charges

The second part of the survey investigated funders’ financial support for Open Access and Research Data. 52 out of 62 respondents stated that their organisation supports the payment of publication costs. Of these, 28 provide the broadest support, which covers Article Publication Charges (APCs) and other publication costs, such as page and colour charges. 19 organisations cover APCs only and five cover some publication charges but no APCs.

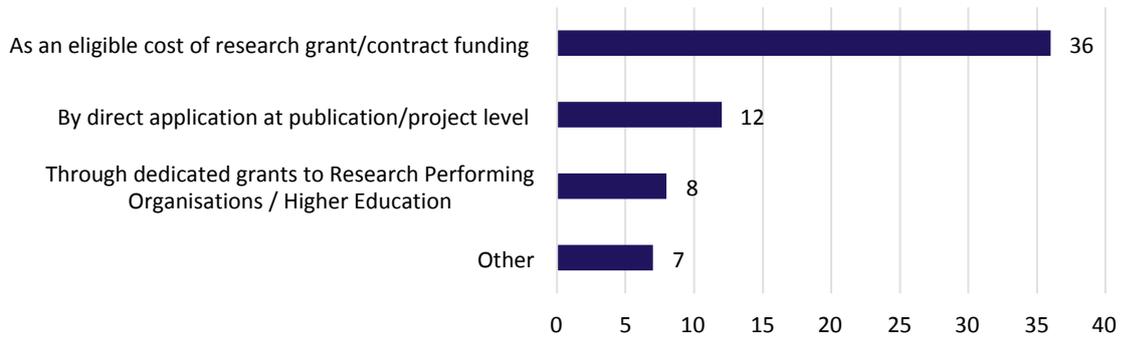
Almost 90% (33 out of 37) of the organisations that have an OA policy support the payment of publication charges. 19 respondents support publication charges even though they do not have an OA policy, whereas four organisations have an OA policy but do not support for publication charges. The lack of an OA policy does not seem to limit financial support for APCs: almost half of the organisations that do not have an OA policy (12 out of 25) support APCs and other publication charges.

Fig. 9 - Funder support for publication charges (n=62)



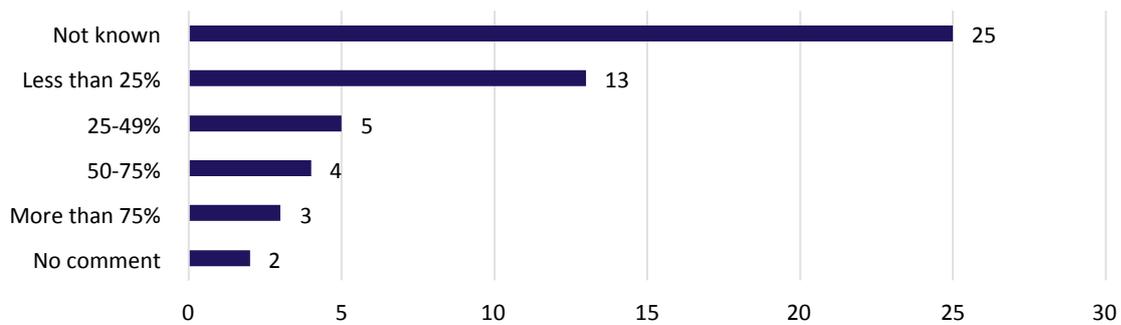
Most organisations support the payment of APCs and other publication costs as an eligible cost of research grants (36 out of 52), whilst a much lower number does so through individual decisions at publication/project level (12) or by providing block grants to research organisations (8). Some organisations have multiple disbursement mechanisms (hence the total below is higher than 52).

Fig. 10 - Payment mechanisms to support publication costs (n=52)



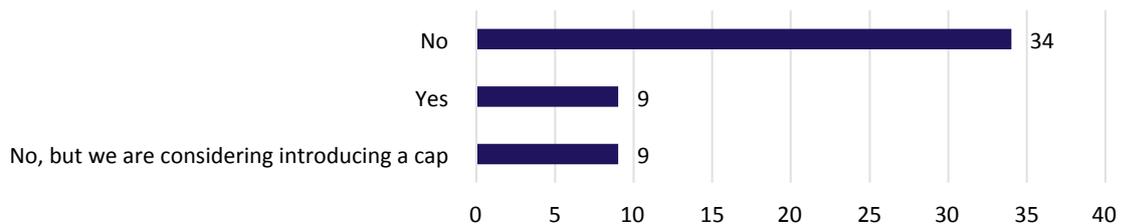
The survey then asked what proportion of research output benefits from APC support. Over half of the 52 respondents do not have data in this regard or chose not to comment. Of the remaining funders, the majority (13 out of 25) fund less than 25% of their research outputs whilst seven funders support APCs for more than half of their research publications.

Fig. 11 - Proportion of research outputs benefiting from APC support (n=52)



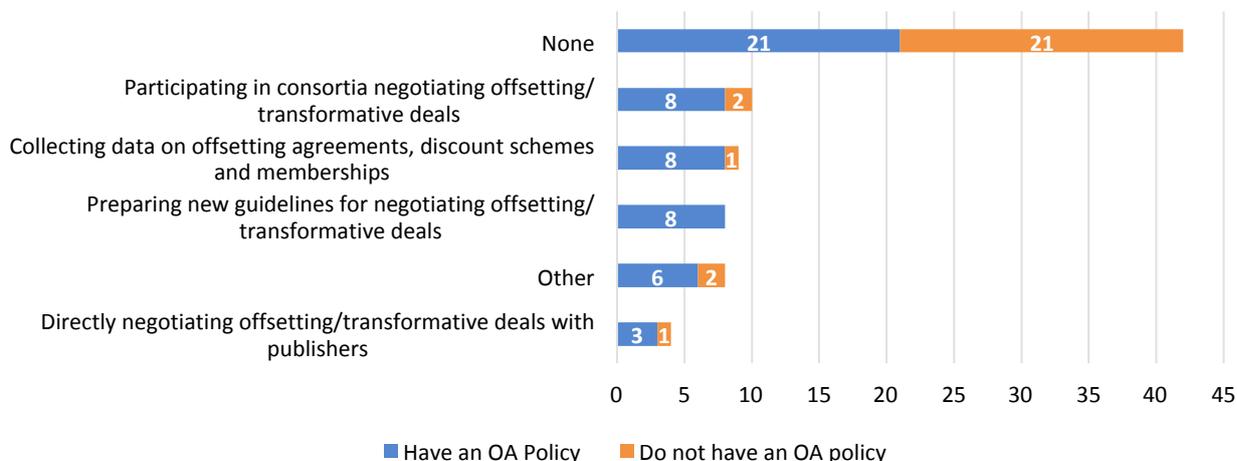
On capping, out of 52 respondents, only 9 apply a cap on article processing charges. Of the 43 that do not currently have a cap, however, nine funders are considering its introduction.

Fig. 12 - Organisations applying a cap on APC expenditure (n=52)



Asked whether their organisation is doing any work on APC offsetting deals / Open Access transformative deals, two-thirds of respondents (42 out of 62) reported no activity. The remaining 20 funders are participating in a number of activities related to APC offsetting: 10 funders are negotiating deals as part of a consortium and a further four are negotiating deals directly with publishers. Moreover, nine funders are collecting data on offsetting agreements, discount schemes and memberships while eight are preparing guidelines for negotiating offsetting deals. It is likely that this is occurring since they are also subscribers.

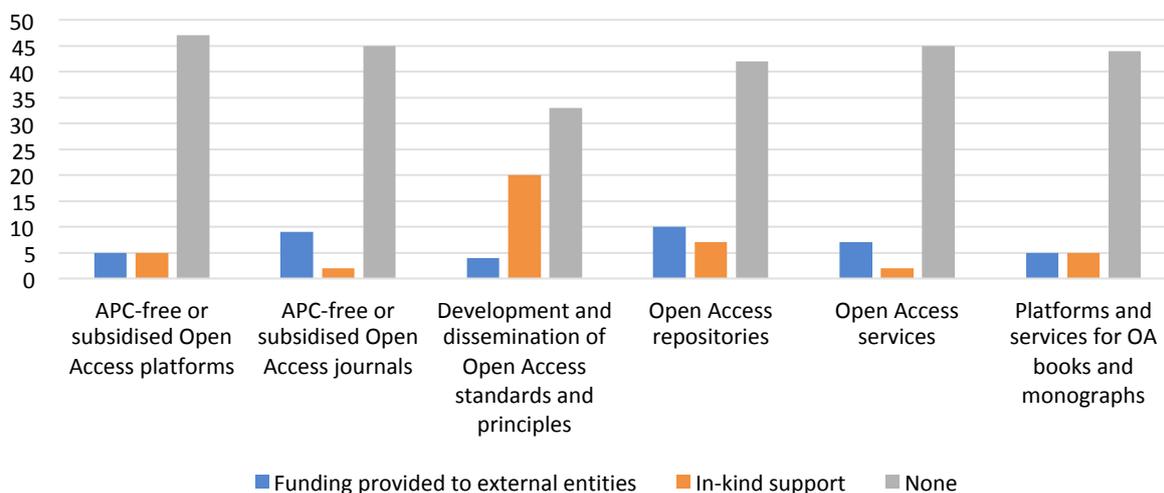
Fig. 13 – Funder activity on APC offsetting or transformative deals (n = 62)



### 3.2. Funding for Open Access initiatives

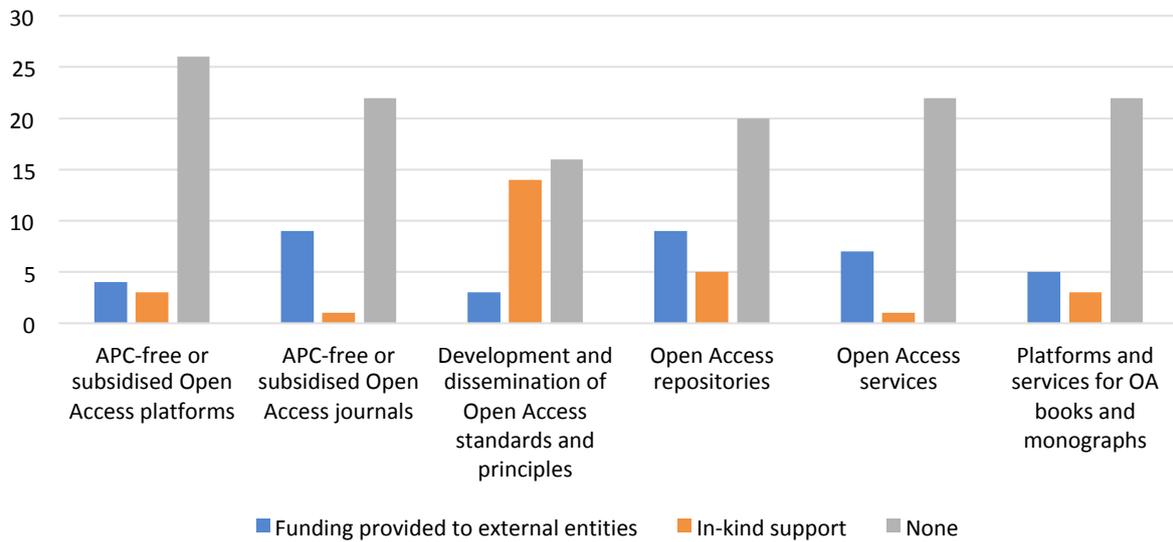
European funders show variable involvement in supporting Open Access initiatives such as APC-free OA platforms and journals, standards and principles, repositories and services. Over half of the funders do not support any third-party Open Access initiative. Open Access repositories and APC-free or subsidised Open Access journals are the two types of initiatives that attract the most widespread financial support (by 10 and 9 funders respectively) but 42 funders indicate that they do not support international OA repositories either financially or in kind, of which 20 are national and international funding agencies. Standards and principles on the other hand are supported in kind by 20 funders, and financially by a further four. 44 respondents recorded that they did not support platforms and services for OA books and monographs, half of whom are national and international funding agencies. Note that certain funders are regularly funding a number of different initiatives, Also, that chart numbers bring all funders together regardless of size.

Fig. 14 - Support provided to Open Access initiatives by all funders (in-kind or financial) (n=62)



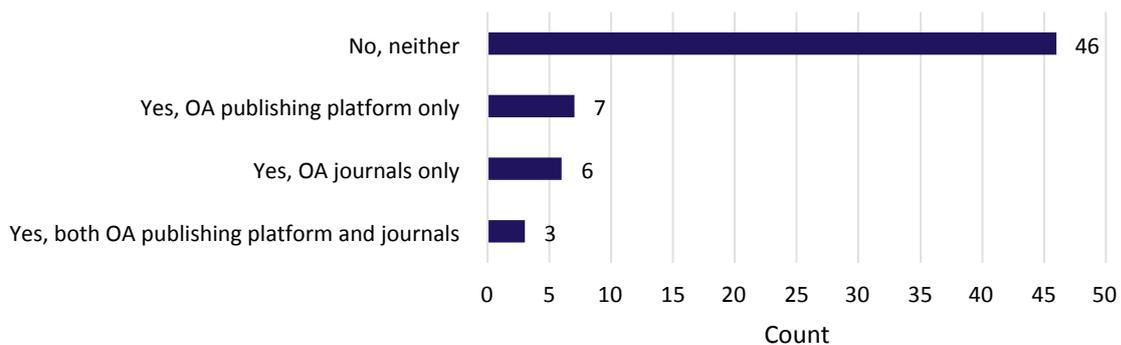
Unsurprisingly, most of the support for OA initiatives is provided by funders that have an OA policy in place. Only a few funders without an OA policy actively contribute to funding Open Access initiatives, and when they do so this is usually done through in-kind contributions.

Fig. 15 - Support provided to Open Access initiatives by funders with an OA policy (in-kind or financial) (n=37)



Given such limited support for third-party Open Access initiatives and support for APC payments, the survey then investigated what routes European funders are offering to publish their funded research outputs Open Access. The vast majority of respondents (46 out of 62) do not have their own OA publishing platform or journals as a publishing option for funded researchers. Of the sixteen who do have their own solutions, more have an OA platform (7) than OA journals (6), while only three have both a platform and journals. For those who did not have either, when asked if they were actively considering this as an option, of those who responded, 25 funders said that they are not considering it, with three stating 'perhaps' and two indicating they have firm plans to implement a platform or journal.

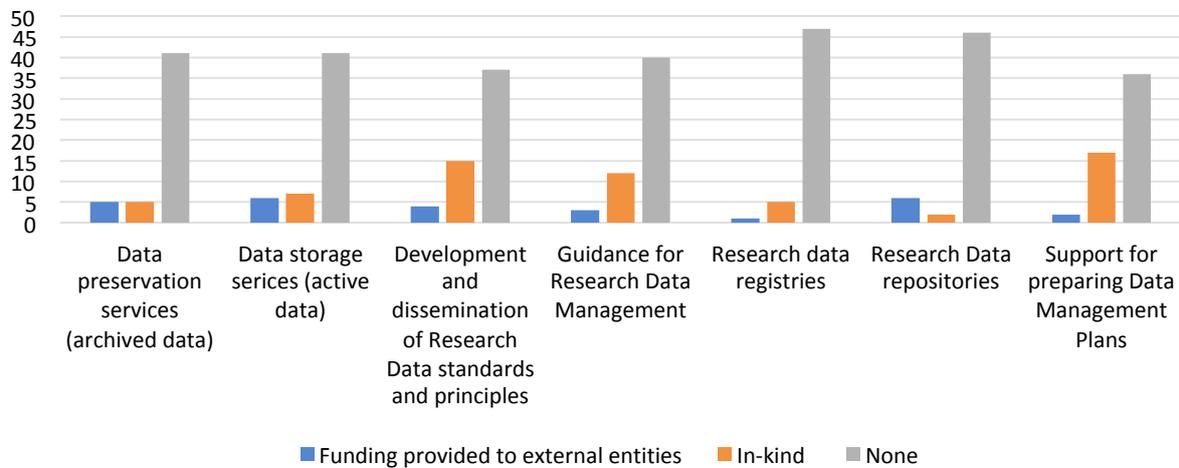
Fig. 16 - Organisations offering their own OA publishing platform or journals (n=62)



### 3.3 Funding for Research Data initiatives

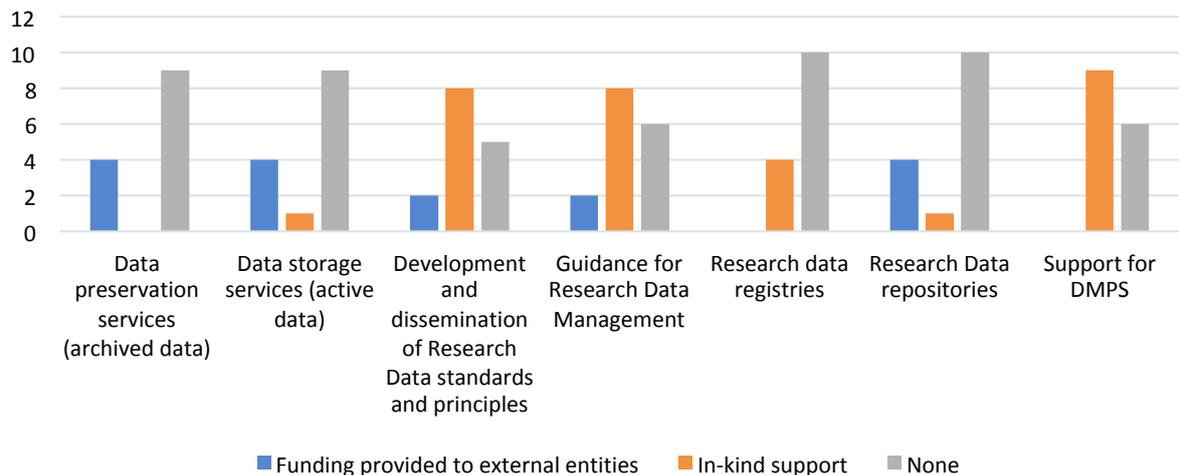
The funding landscape is somewhat similar with regards to RD initiatives. 36 funders do not support any RD initiative, while only a few provide financial support to Research Data infrastructure: data storage services are funded by 6, and supported in kind by six others, with one providing both. One funder financially supports research data registries with five offering in-kind support whereas six financially support Research Data repositories, and two in kind. Five funders financially support preservation and five others provide in-kind support. RD storage services and repositories are the initiatives that most commonly receive financial support (both provided by six funders, four of which are the same). Note that chart numbers bring all funders together regardless of size.

Fig. 17 - Support provided to Research Data initiatives by all funders (in kind and financial) (n=52)



Similarly to Open Access, funders with a RD policy are also more likely to be contributing to the broader RD landscape through funding or in kind support than those who do not have a policy.

Fig. 18 - Support provided to Research Data initiatives by funders with a RD policy (in kind and financial) (n=19)

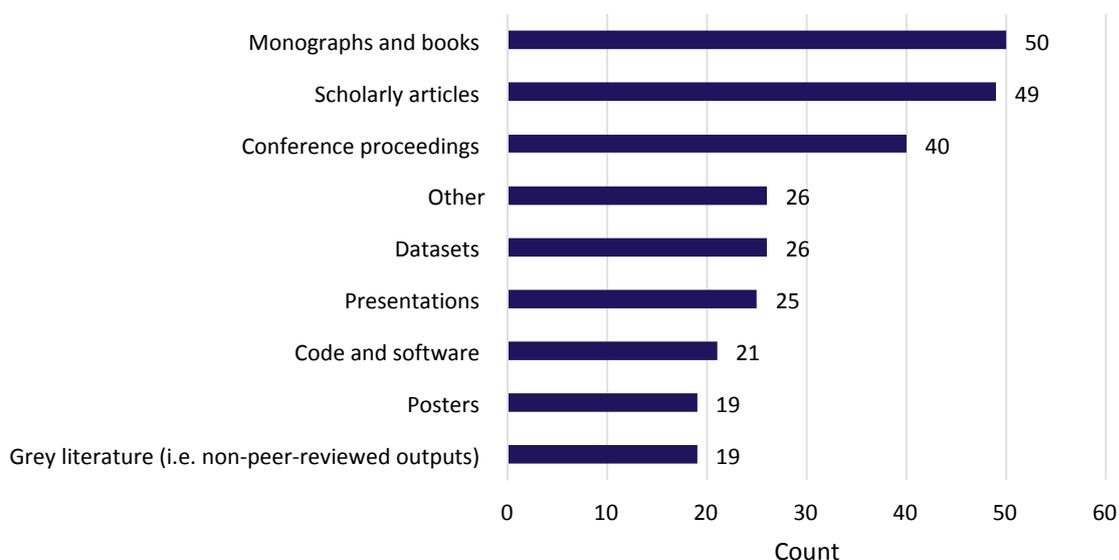


## 4. Evaluation criteria for grant applications

### 4.1. Funder approaches to grant evaluation

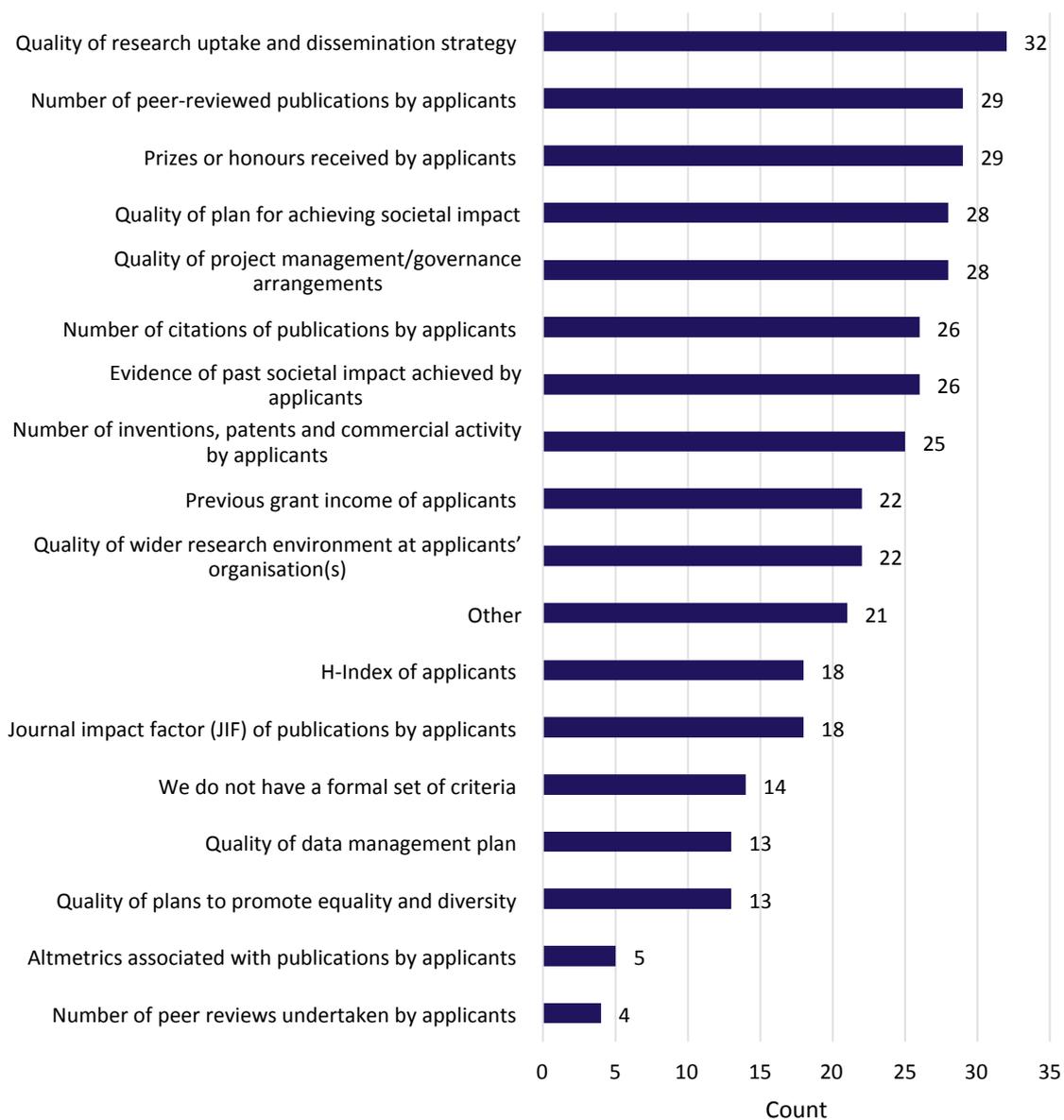
The survey also tried to gauge funders' criteria and approaches to grant-making before looking at Open Science in this process. First, it asked what types of content reviewers are expected to take into consideration when evaluating the track record of a grant applicant. Books and monographs (50 responses) and scholarly articles (49 responses) are the most commonly considered outputs. Conference proceedings are an output considered by almost two-thirds of respondents (40), whilst around half consider datasets (26) and presentations (25). 21 also looked at code and software. 19 also looked at posters and grey literature (i.e. non-peer-reviewed outputs).

Fig. 19 – Outputs considered in grant evaluations (n=62)



In addition to the quality of the proposed research, funders seem to use a wide array of criteria in the evaluation of grant applications. The quality of the research uptake and dissemination strategy is the most commonly-used (32 responses), ahead of criteria related to the applicant's track-record (such as number of peer-reviewed publications, awards received, H-index or Journal Impact Factor). The H-Index and JIF are each applied by 18 respondents. The quality of the plan for achieving social impact (28 responses) and the evidence of past societal impact achieved by applicants (26 responses) are also among the most commonly used criteria. 13 funders also consider the quality of the Data Management Plan. 13 respondents also affirmed evaluating plans for equality and diversity. The two lowest-scoring criteria were Altmetrics (5) and considering the applicant's number of peer reviews (4). From other criteria mentioned, a few respondents noted that evaluation criteria depends on the funding scheme in question, and several funders allow reviewers to have a degree of discretion in determining the most relevant criteria for a specific call. However, others noted that, in the context of signing DORA, the evaluation criteria is under review.

Fig. 20 – Grant evaluation criteria used by respondents (n=62)

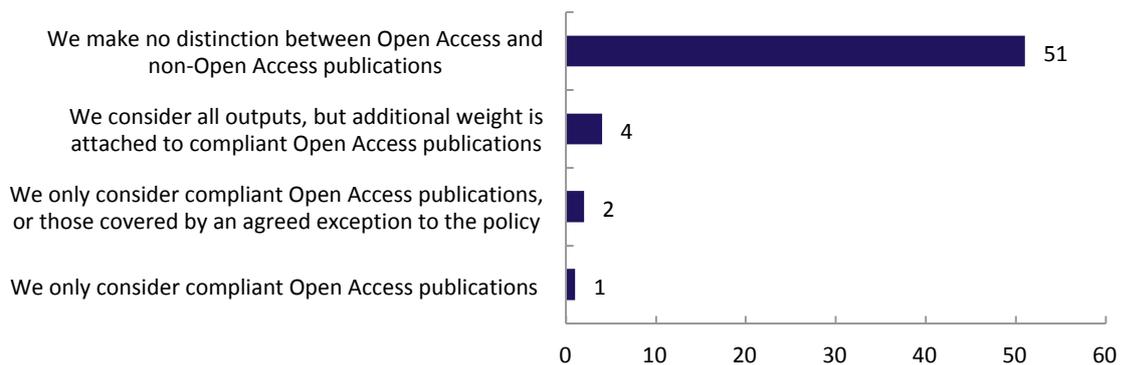


As far as mechanisms and practices to educate funder evaluators/peer reviewers on Open Access or Research Data are concerned, eight funders reported actively engaging with reviewers and/or evaluators, with four other organisations share information with them and a further four planning activities in this area.

#### 4.2. Relative importance of Open Access criteria in grant evaluation

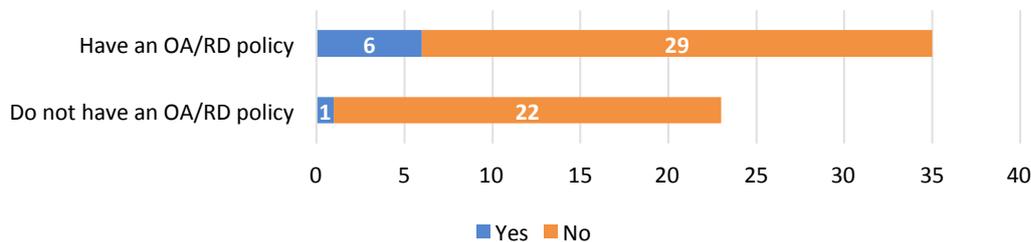
When looking at the track-record of a grant applicant, most funders do not make a distinction between Open Access and non-OA publications when reviewing grants. Only seven funders give more weight to OA publications in grant evaluation, and of these only three only consider OA publications. No significant difference in the relative importance of OA publications in grant evaluations can be seen among organisations that have an Open Access policy.

Fig. 21 – Weighting of Open Access publications in grant evaluation (n=58)



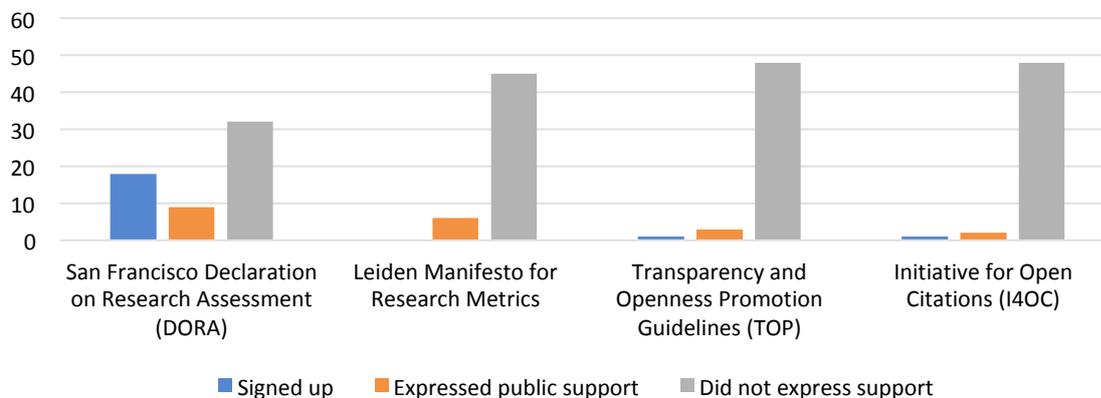
The survey then asked if organisations use Open Science-related criteria in grant assessment, e.g. those proposed in the Open Science Career Assessment Matrix (OS-CAM). Only seven organisations stated that they use Open Science (OS) criteria in grant assessment, of which six have an OA or RD policy.

Fig. 22 – Use of Open Science criteria in grant evaluation (n=58)



A high number of funders reported supporting or adopting at least one declaration on the responsible use of metrics in research evaluation that account for a broader view of research performance. In particular, 27 funders have signed up to or supported the San Francisco Declaration on Research Assessment (DORA), whilst the other initiatives have far fewer endorsements with the Leiden Manifesto coming in second place with six. No clear correlation could be inferred between support for such declarations and the presence of OS policies.

Fig. 23 – Funders’ support for the responsible use of research metrics (n=59)



Other incentives mentioned to reward good Open Science practice include requiring applicants to write a specific paragraph on OA and how this relates to their research. Related to this, in the next national evaluation framework for research universities in the UK (Research Excellence Framework), institutions will be invited to describe their OA strategies, including where this goes above and beyond funder OA policy requirements, and wider activity to encourage the effective sharing and management of research data. Another funder mentioned asking applicants in future on their open research track record (though probably not to be reviewed formally) but showing the funder’s commitment to OS.

Providing guidance on and implementation of the DORA principles was mentioned by two organisations. One organisation reported that they formally recognise projects that have achieved outstanding economic and societal benefit by presenting researcher/s with an award for 'Best Reported Impact'. OS leadership was mentioned by several funders, and takes place in different ways: these range from advocating for a national co-ordinated approach to open research amongst different stakeholders in Ireland to issuing public communiqués in support of OS or contributing to the funding of a staff member of the Open Science Policy Platform.

One organisation reported offering a wide range of rewards and incentives to stimulate OS, including by funding secondary data analysis projects, conferences and workshops dedicated to OS, and calls dedicated to Knowledge Exchange and Dissemination. The funder also allows budget lines to be included on data management, it is funding a proof of concept call for national infrastructure for the secure data access, sharing, storage and linkage; and it provides support (ND and NCP roles) for research programmes which follow OS policies.

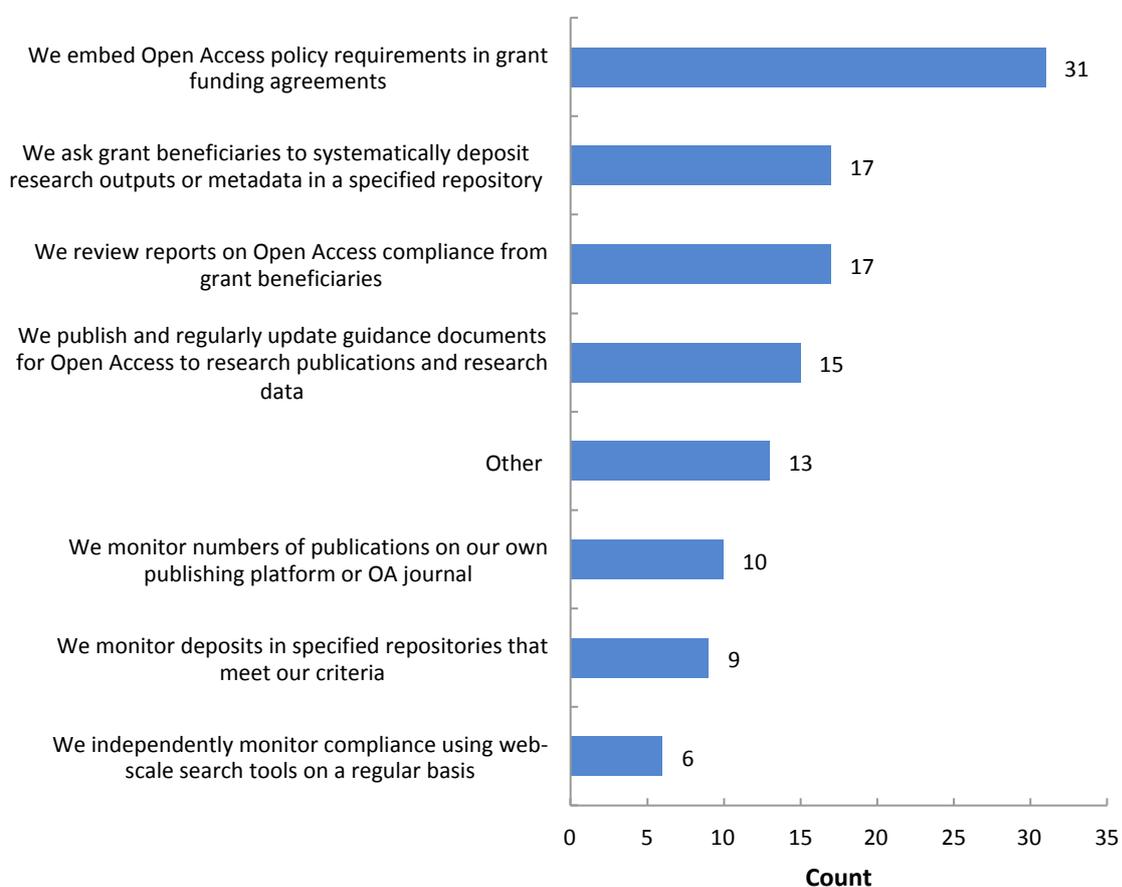
## 5. Reporting, monitoring and compliance

### 5.1. Policy monitoring

The survey explored the workflows funders have in place to ensure that the Open Access policy is effectively implemented. Most respondents indicated that they embed OA policy requirements in their grant funding agreements (31). A significant number (17) require deposit of outputs in a specified repository, and nine funders monitor deposit in repositories that meet their criteria. The use of reports on OA compliance from beneficiaries is also quite widespread (17), whilst most of the 16 funders that indicated they have an OA platform or journal use those platforms to monitor numbers of OA publications. One funder indicated that

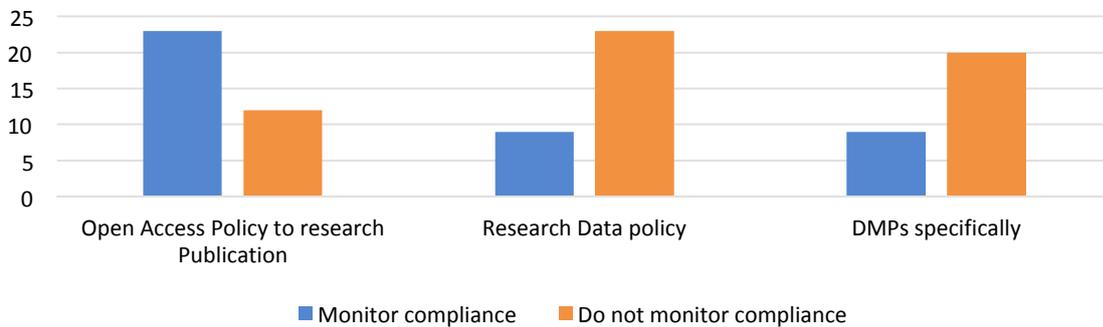
they are developing a nationwide researcher-centric current research information system that aims to integrate all aspects of the management of research and their workflows with the repository network, so as to achieve semi-automated deposits of publications declared.

Fig. 24 – Mechanisms to support OA policy implementation (n=37)



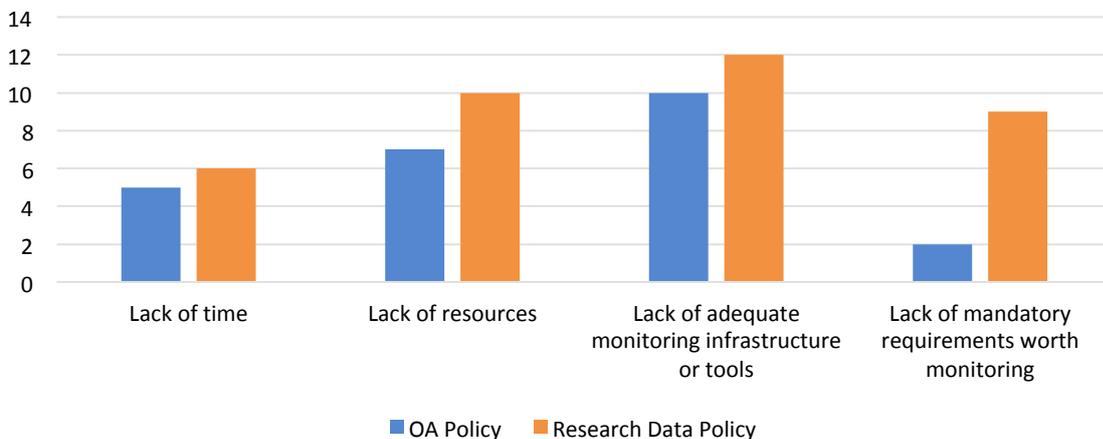
With regards to monitoring, 23 out of 35 respondents indicate that they monitor their Open Access policy whilst only nine monitor their Research Data policy and the Data Management Plans specifically (this is out of 19 funders that have an RD policy).

Fig. 25 – Number of funders monitoring compliance with their Open Science policies (n=35)



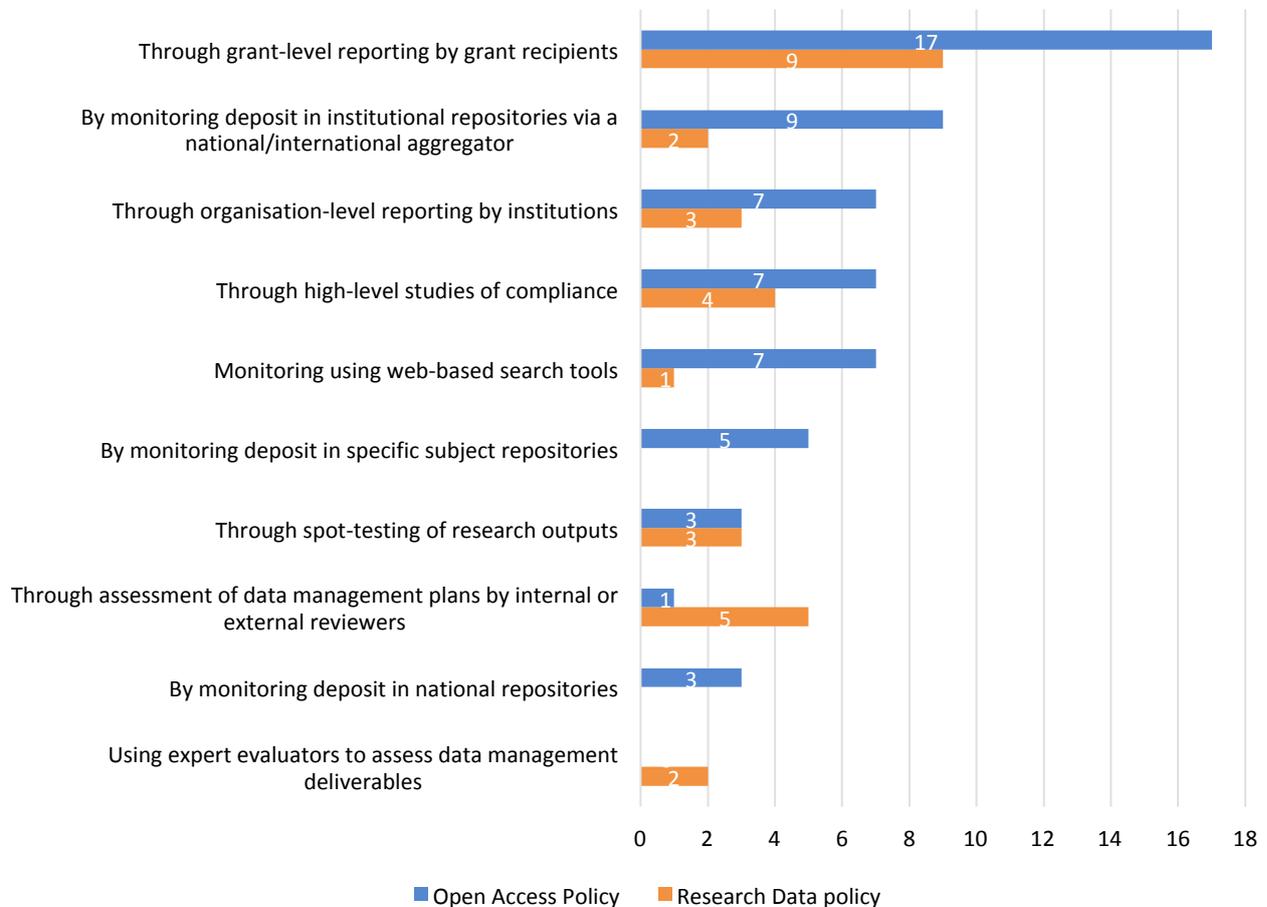
Among those that do not monitor their Open Access or Research Data policy, a lack of monitoring infrastructure or tools is cited as the main cause, followed by a lack of resources (arguably to create or run such infrastructure).

Fig. 26 – Factors preventing funders from monitoring their Open Science policies (n = 25)



Funders that do monitor compliance with their Open Access / Research Data policy(ies), generally do so through grant-level reporting by funding recipients. The second most-used mechanisms sit at opposite ends of the automation spectrum: in 11 cases, policies are monitored by looking at submissions in institutional repositories via a national or international aggregator (systematic and automated monitoring process). By contrast, 11 policies are monitored and through high-level studies of compliance and 10 through organisational-level reporting by institutions (these are, generally speaking, non-systematic and manual processes). Aside from web-based search tools (8), the remaining mechanisms all appear to involve manual monitoring and fairly onerous processes. However, out of 36 respondents, 23 stated that their organisation is considering the introduction of further mechanisms and tools for monitoring compliance in the near future.

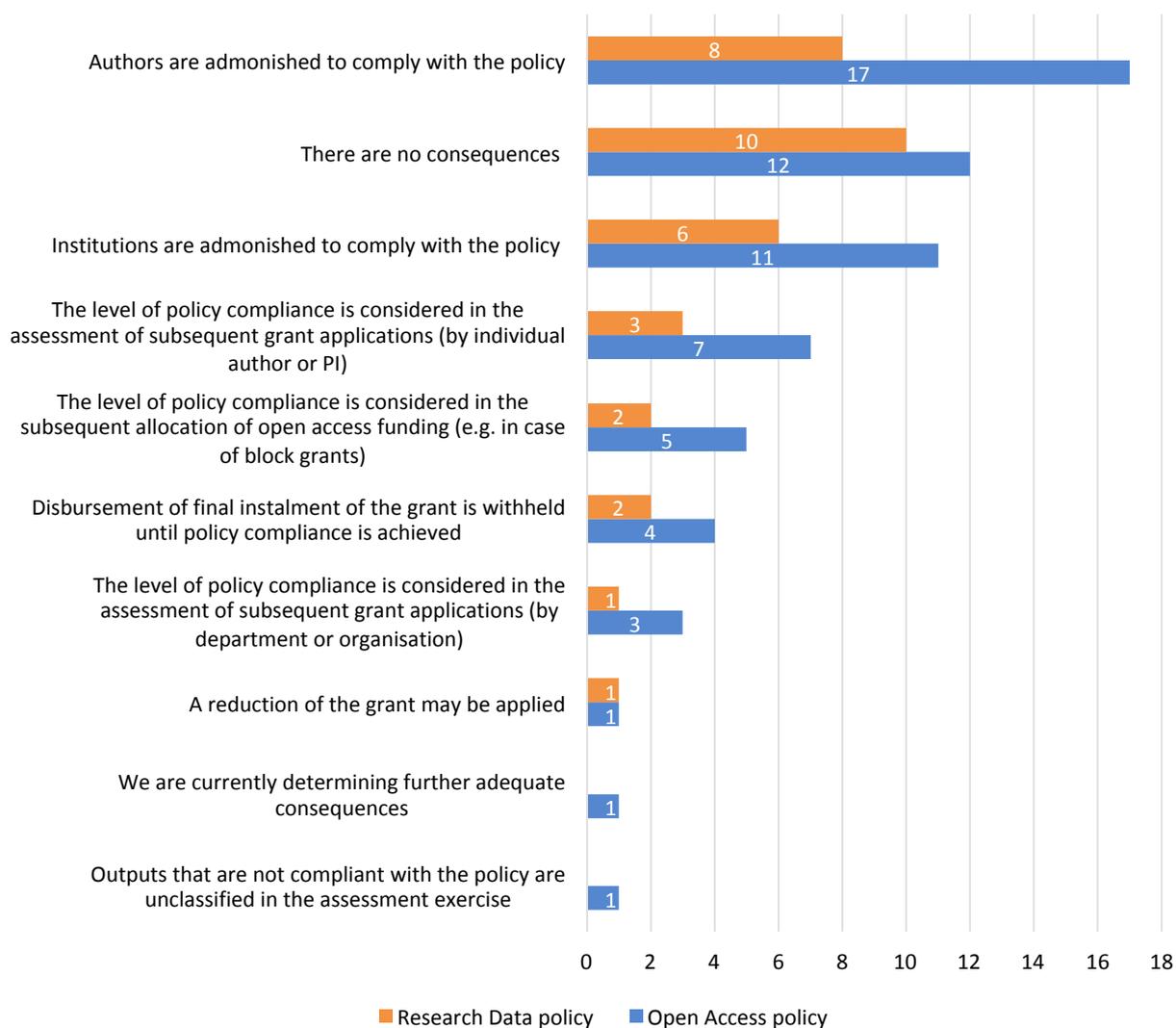
Fig. 27 – Monitoring processes and tools (n = 22)



## 5.2. Policy enforcement

Finally, the survey looked at the consequences of non-compliance with the funder’s Open Access (OA) / Research Data (RD) policy. Most funders seem to adopt a lenient approach to enforcement that either admonishes authors or institutions to comply with the policy or has no planned consequences for non-compliance. However, a small number of funders stated that they consider previous levels of compliance by individual author or PI in subsequent grant applications: seven consider previous compliance with the OA policy and three with the RD policy (3). Previous compliance with OA policy (5) and RD policy (2) is also considered in the allocation of OA funding. A few respondents also withhold project funding until compliance with OA policy (4 responses) or RD policy (2 responses) is achieved. Finally, other sanctions include a reduction of the grant and a decision to make non-OA publication ineligible in research assessment.

Fig. 28 – Consequences of non-compliance with OS policies (n=31)

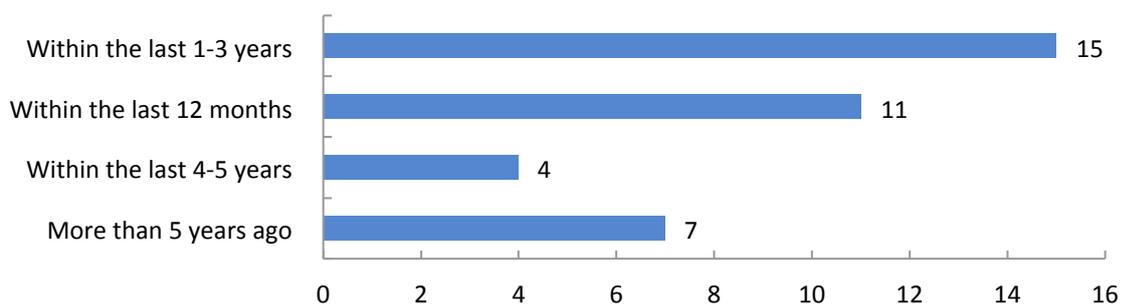


## 6. The future of Open Science policy in Europe

### 6.1. Open Access policy

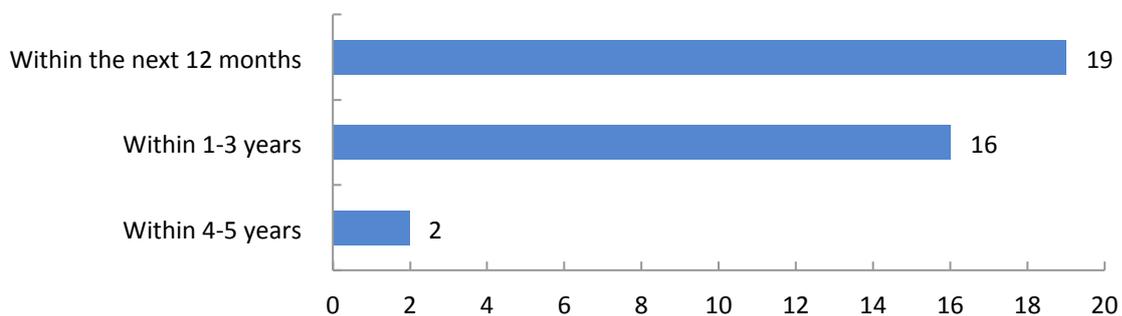
The last part of the survey investigated what activities funders are planning around their Open Science policies. Of the 37 funders that have an Open Access policy, 15 released or reviewed it within the last 1 to 3 years and an additional 11 within the last 12 months. The remaining 11 funders have a policy that is at least 4 years old.

Fig. 29 – Last revision of the Open Access policy (n=37)



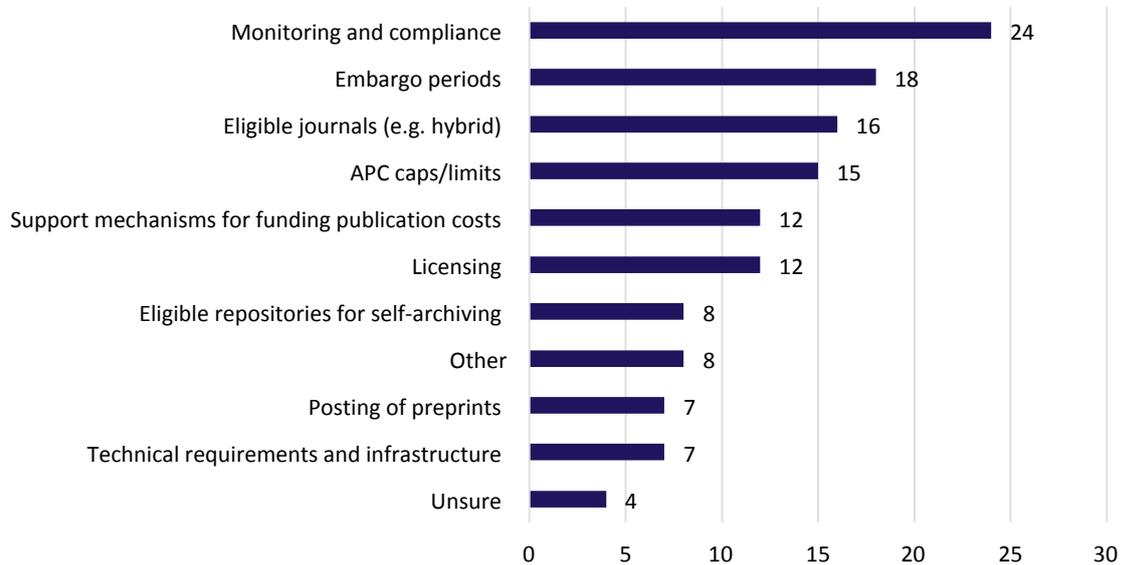
Despite the relative recency of many policies, the vast majority of funders expect to review their policy within the next 3 years (35 out of 37) and over half of them expect to do so within the next 12 months (19 out of 37).

Fig. 30 – Expected revision of the Open Access policy (n=37)



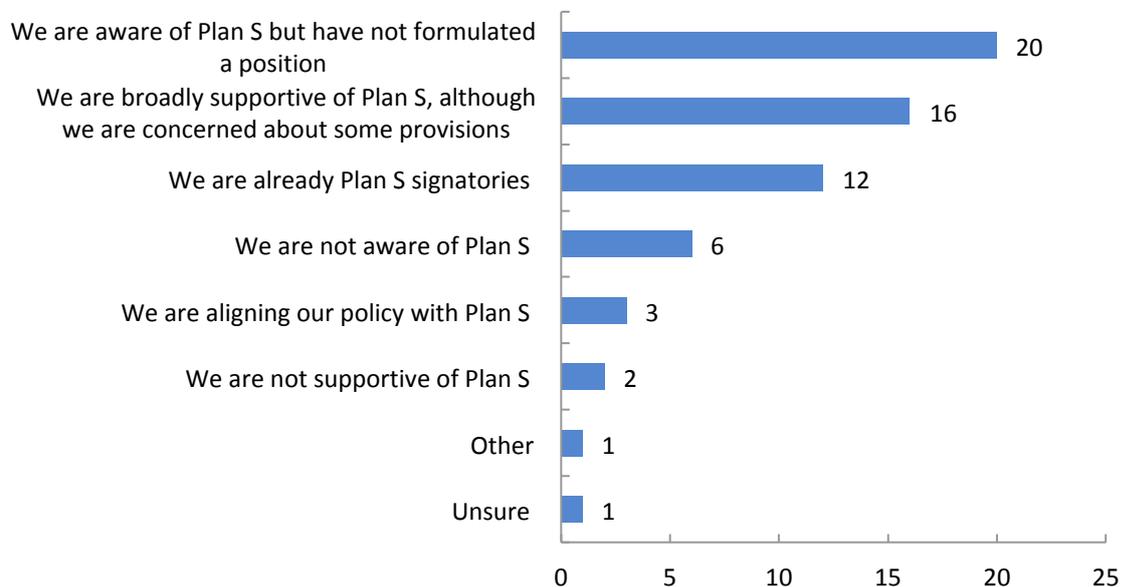
Most funders expect that the next review will focus on monitoring and compliance (24), followed by embargo periods and eligible journals (in particular looking at the eligibility of hybrid journals). A significant proportion of respondents also expect the next review to look into the issue of capping APCs (15) and, perhaps in connection to that, to review support mechanisms for funding publication costs (12).

Fig. 31 - Expected scope of the next OA policy review (n=37)



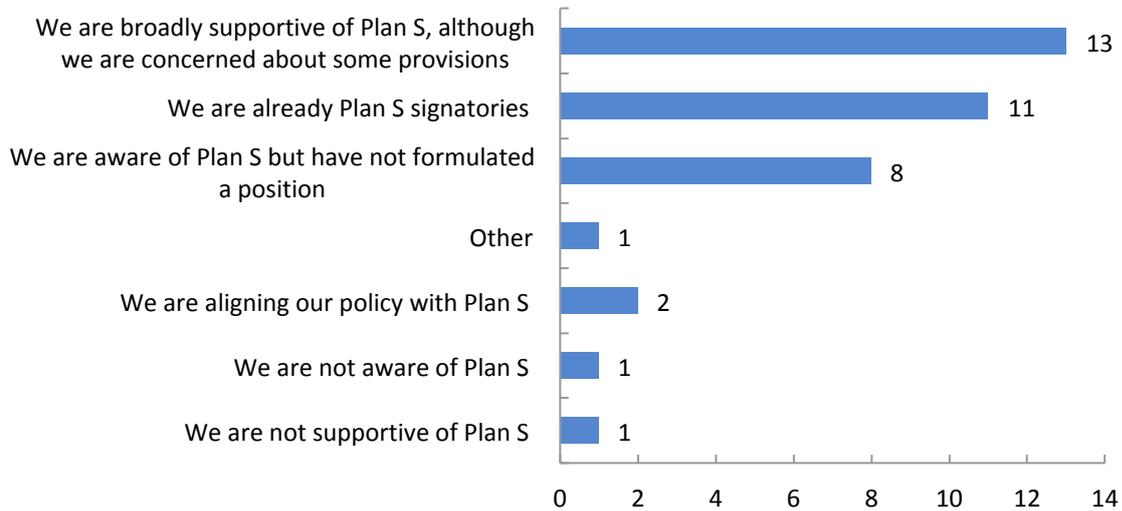
European funders were then asked to describe their organisation’s position on [Plan S](#). Out of 61 respondents, only 6 funders were unaware of Plan S and only two were not supportive. About a third (19) have not yet formulated a position on the Plan, whilst the remaining funders expressed different degrees of support. 11 funders have already signed up to Plan S and a further three are aligning their policy with it; 14 are broadly supportive of the plan but have not signed up due to concerns about some of its provisions.

Fig. 32 – Funders’ positions on Plan S – all funders (n=61)



Among the 37 funders that have an OA policy, a much higher proportion are already Plan S signatories (12), are aligning their existing policy with it (3) or are broadly supportive of the plan (16).

Fig. 33 – Funders’ positions on Plan S – funders with an OA policy (n=37)



## 6.2. Research data policy

With regards to Research Data, most policies (16 out of 19) were reviewed over the past 3 years, and five of those were reviewed in the past 12 months. Furthermore, all but one funder expect to review their policy over the next year (9) or within the next 1-3 years (9).

Fig. 34 — Last revision of the Research Data policy (n=19)

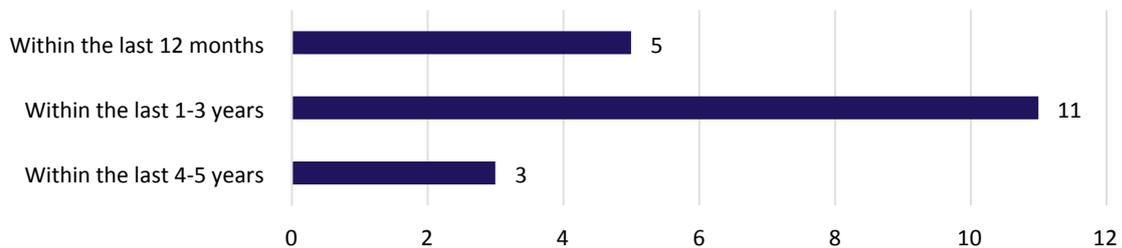
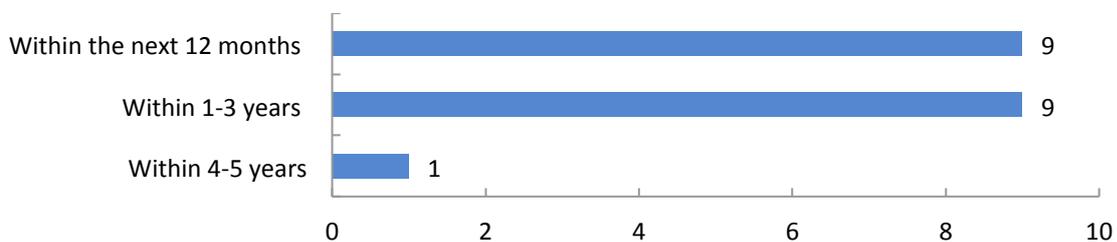


Fig. 35 - Expected revision of the Research Data policy (n=19)



Most funders expect to revise their policy to endorse or promote the FAIR Data principles (12). A large number are also likely to consider the guidance and support currently provided (10) and their approach to digital preservation (9). Ten funders will be looking at incorporating the approach ‘as open as possible, as closed as necessary’ in their revised policy.

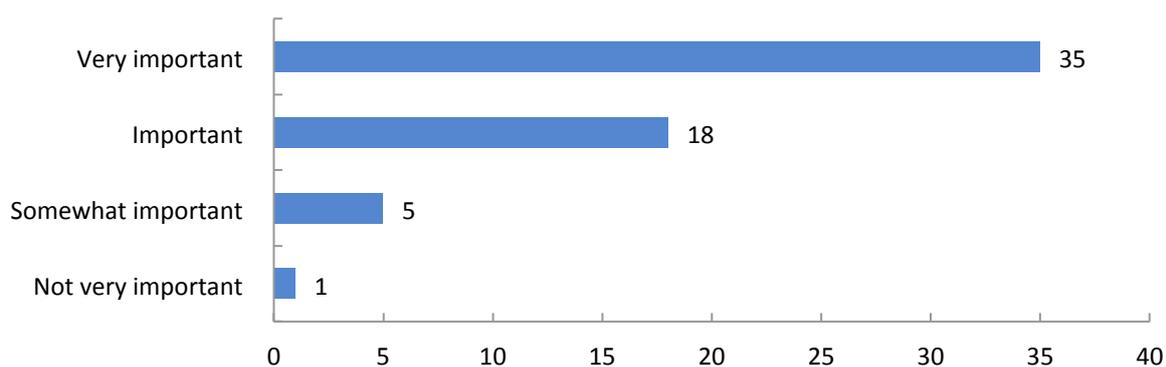
Fig. 36 - Expected scope of the next RD policy review (n=17)



### 6.3. Funder attitudes towards Open Access

In conclusion, the survey asked funders to indicate how important they think making Open Access the default for the good of research is. Out of 59 respondents, 35 stated that Open Access is very important for research and a further 18 stated that it is important. Only five deem OA 'somewhat important' and one deems it not very important.

*Fig. 37 – Funders' attitudes towards the importance of making Open Access the default for the good of research (n=59)*



## 7. Conclusions

This report has summarised findings from a survey of European research funders. It has taken a pan-European perspective and has not analysed the national context in which funders operate. An analysis of the national context is recommended to draw out distinctions between the various countries and regions of Europe and infer the influence of the national policy and socio-economic context on the system of rewards and incentives for Open Access and Open Science. Pan-European results should also be considered with care given that respondents only represent a sample of all European funders. In particular, responses from Northern and Western Europe are over two thirds of the total (41 out of 62 responses – see section 1, figure 1). With these caveats in mind, we are able to draw some conclusions from the results obtained.

### **Incentivising researchers**

Funders are yet to make compliance with OA and RD policies an influential factor in grant evaluation criteria. Nevertheless, the survey revealed promising developments that can incentivise researchers to embrace the Open Science agenda more proactively. These trends are the widespread use of grant evaluation criteria related to the quality of the research uptake and dissemination strategy, the quality of the plan for achieving societal impact and the evidence of social impact from previous research projects. Whilst not directly related to Open Science, there is a clear overlap between the aims of these criteria and the overarching goals of Open Science, which could be further explored and emphasised by the funding community.

### **Trends in policy development**

Almost twice as many funders have an Open Access policy than a Research Data one. However, both funders show a clear movement towards the development of new policies for Open Access and Research Data, with 12 and 13 funders respectively currently working on one. Moreover, most funders expect to review their policies over the next 12 or 36 months. With regards to OA, expected policy changes mentioned concern monitoring and compliance, embargo periods, journal eligibility and APCs. For both OA and RD, the main reasons for not having a policy are that this is not considered a priority or that the funder lacks adequate resources to implement it.

### **Costs and resourcing**

Most funders provide some support for the payment of publication costs, even in the absence of a policy. Of these, almost all pay for Article Publication Charges (APCs). However, there is a lack of awareness of what proportion of funded output is currently receiving APC support and, among those that have data, the majority pays APCs for less than half the total research publication output. As use of APC support is still relatively low, there seems to be a risk for financial headwinds caused by APCs, and the fact that nine funders are considering introducing a cap on APCs goes in this direction.

### **Funder participation in Open Science initiatives**

Support for Open Access initiatives remains relatively weak, with over 50% of respondents currently not providing any support to any third-party initiative. This suggests that the ecosystem of services and infrastructures which OA relies on is unevenly supported. The landscape is even more bleak for RD, where 36 funders do not provide any kind of support for any initiative. There seems to be the potential for more awareness in this area. For instance, funders that indicate they would struggle to implement Open Science policies due to lack of resources could instead provide in-kind support to current initiatives and pool their limited resources in building open source systems and a pan-European infrastructure for Open Science.



### **Overall**

Overall, the survey revealed a clear understanding of the importance of Open Science by the vast majority of funders, and a commitment to further support its development across Europe. With 90% of respondents stating that making Open Access the default is important or very important to the future of research, it seems that the challenge for Open Access advocates is no longer that of generating support for the principle but rather finding practical and cost-effective ways to support a change of attitude and practices among researchers.

## 8. Further reading

D. Herrmannova, N Pontika, P. Knoth, *Do Authors Deposit on Time? Tracking Open Access Policy Compliance*, June 2019, <https://arxiv.org/pdf/1906.03307.pdf> June 2019

D. Mellor, *The Landscape of Open Data Policies*, 29 Aug 2018, Center for Open Science, <https://cos.io/blog/landscape-open-data-policies/>

M. Hunt, M. Picarra, *Open Access Policy Alignment*, Pasteur4OA Briefing Paper, March 2016 [http://pasteur4oa.eu/sites/pasteur4oa/files/resource/FUNDERS\\_POLICY%20GUIDELINES%20FINAL.pdf](http://pasteur4oa.eu/sites/pasteur4oa/files/resource/FUNDERS_POLICY%20GUIDELINES%20FINAL.pdf)

V. Larivière & C R Sugimoto, *Do authors comply when funders enforce open access to research?* Nature, 24 October 2018

R. Morais, L Borrell-Damián, *2017-2018 EUA Open Access Survey Results, EU Report* <https://eua.eu/resources/publications/826:2017-2018-eua-open-access-survey-results.html>

A. Swan, *Open Access policy effectiveness: A briefing paper for research institutions*, Pasteur4OA briefing paper, Sept 2015 <http://pasteur4oa.eu/sites/pasteur4oa/files/resource/Policy%20effectiveness%20-%20funders%20final.pdf>

Digital Science, *State of Open Data 2018*, Report, 22 Oct 2018, <https://www.digital-science.com/resources/portfolio-reports/state-open-data-2018/>

Battaglia, S. et al, *EOSCPilot - Final Policy Recommendations Report*, 20 May 2019, <https://eoscpilot.eu/content/d36-final-policy-recommendations>

Open Research Funders Group, *'How Open Is it? A Guide to Research Funders' Policies'*, <https://static1.squarespace.com/static/5817749f8419c25c3b5b318d/t/5963bdcc414fb59e9c249fa9/1499708906446/ORFG+Funder+Policy+Guide.pdf>

Fairsharing.org Policies Database, <https://fairsharing.org/policies/>

## Appendix A Respondents

### Respondents by country

<b>Albania</b>	Academy of Sciences of Albania
<b>Austria</b>	Austrian Academy of Sciences (ÖAW) Austrian Science Fund (FWF)
<b>Belgium</b>	Fund for Scientific Research - F.R.S.-FNRS Fondation Fournier Majoie Research Foundation Flanders (FWO)
<b>Croatia</b>	Croatian Science Foundation (HRZZ)
<b>Czech Republic</b>	Czech Academy of Sciences
<b>Denmark</b>	Independent Research Fund Denmark (DFF) The Carlsberg Foundation
<b>Estonia</b>	Estonian Research Council (ETAG)
<b>Europe</b>	European Commission DG RTD Unit Open Science European Research Council (ERC)
<b>Finland</b>	Finnish Academy of Technica Sciences Kone Foundation (Koneen Säätiö)
<b>France</b>	Académie des Sciences France The French National Research Agency (ANR)
<b>Germany</b>	Akademie der Wissenschaften in Hamburg German Reading Foundation Heidelberger Akademie der Wissenschaften Stiftung Mercator
<b>Greece</b>	General Secretariat of Research & Technology
<b>Ireland</b>	Health Research Board (HRB) Royal Irish Academy Science Foundation Ireland
<b>Italy</b>	Bracco Foundation Compagnia di San Paolo Fondazione Cariplo
<b>Kosovo</b>	Kosovo's Academy of Sciences and Arts
<b>Latvia</b>	Latvian Academy of Sciences Latvian Science Council (LZP)
<b>Lithuania</b>	Research Council of Lithuania (LMT)
<b>Luxembourg</b>	National Research Fund (FNR)
<b>Netherlands</b>	Netherlands Organisation for Scientific Research (NWO)

- Norway The Research Council of Norway (RCN)
- Poland Foundation for Polish Science (FNP)  
The National Science Centre (NCN)
- Portugal Foundation for Science and Technology (FCT)
- Romania UEFISCDI-Executive Agency for Higher Education, Research,  
Development and Innovation Funding
- Slovakia Slovak Academy of Sciences
- Slovenia Slovenian Research Agency (ARRS)
- Spain "la Caixa" Foundation  
Spanish Research Agency (AEI)
- Sweden Research Council Formas  
Stiftelsen för Strategisk Forskning  
Swedish Foundation for Strategic Research (SSF)  
Swedish Research Council (VR)  
Swedish Research Council for Health, Working Life and Welfare (Forte)  
The Foundation for Baltic and East European Studies
- Switzerland Swiss Academies of Arts and Sciences  
Swiss National Science Foundation (SNSF)  
The Jacobs Foundation
- Turkey The Science Academy - Bilim Akademisi
- UK Arcadia Fund  
Kidney Research UK  
MQ: Transforming Mental Health  
Parkinson's UK  
The Learned Society of Wales  
The Royal Society  
UK Research and Innovation (UKRI)  
Wellcome Trust  
Worldwide Cancer Research

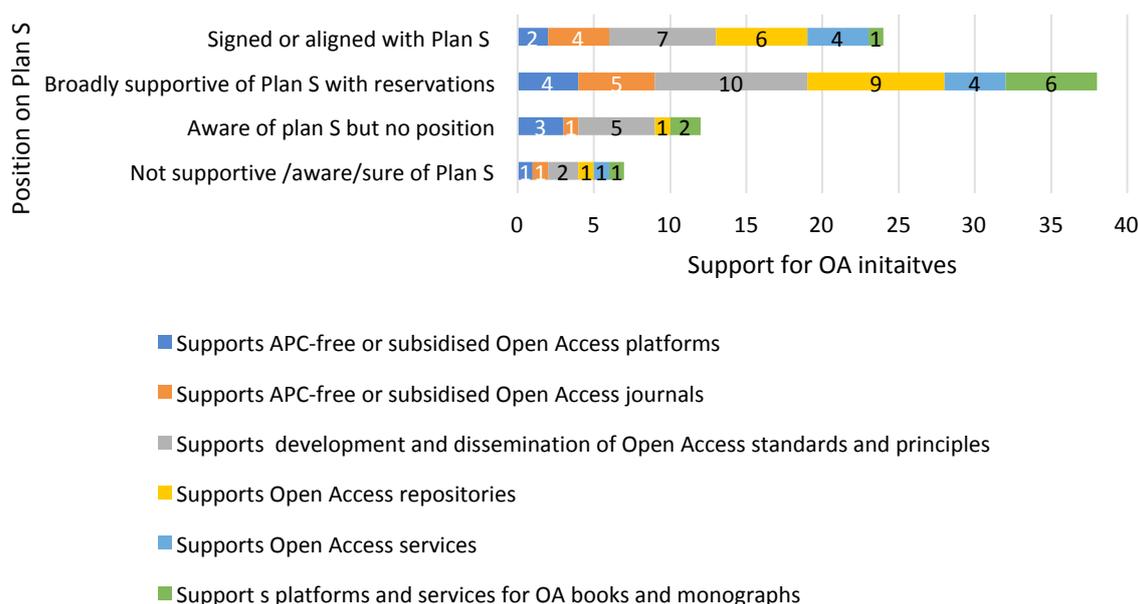
## Appendix B Current alignment with Plan S provisions

In addition, we looked at how funders’ Open Access policies align with three key areas covered by Plan S: support for OA journals and platforms; support for APC payments; Open Access policy monitoring; and grant evaluation criteria (implementation guidance). This analysis was not part of the initial brief but was included as an appendix to the main report to highlight findings that are relevant to the emerging policy developments in the European OA landscape.

### B1. Support for Open Access initiatives

The graph below shows support for OA initiatives in relation to the funders’ current position on Plan S. No significant difference can be seen in the level of support provided to different OA initiatives between those funders that are aligned with or supportive of Plan S and the other funders.<sup>4</sup>

Fig. 38 – Support for OA initiatives, by funder position on Plan S (n=60)

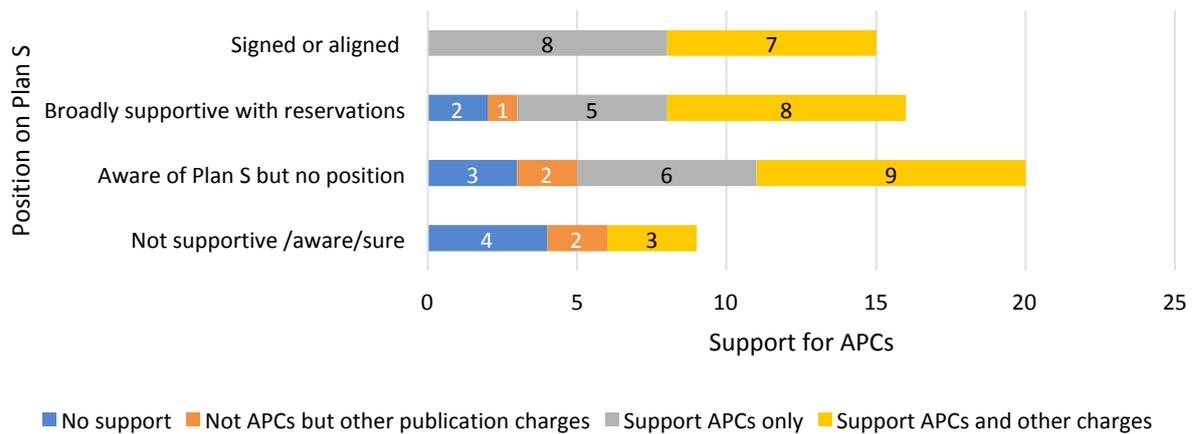


<sup>4</sup> Please note that the numbers in fig. 38 are absolutes, so there are more organisations supporting OA in the ‘Signed or aligned’ and ‘Broadly supportive’ categories because those categories have a far greater number of organisations in the first place (see fig. 32 above). What matters in fig. 38 is not the length of each bar (which largely mirrors the distribution of respondents in fig. 32) but the distribution of responses within each bar. Also note that the total number of responses in some graphs can be higher than the total number of funders because respondents could select multiple options.

## B2. APC payments

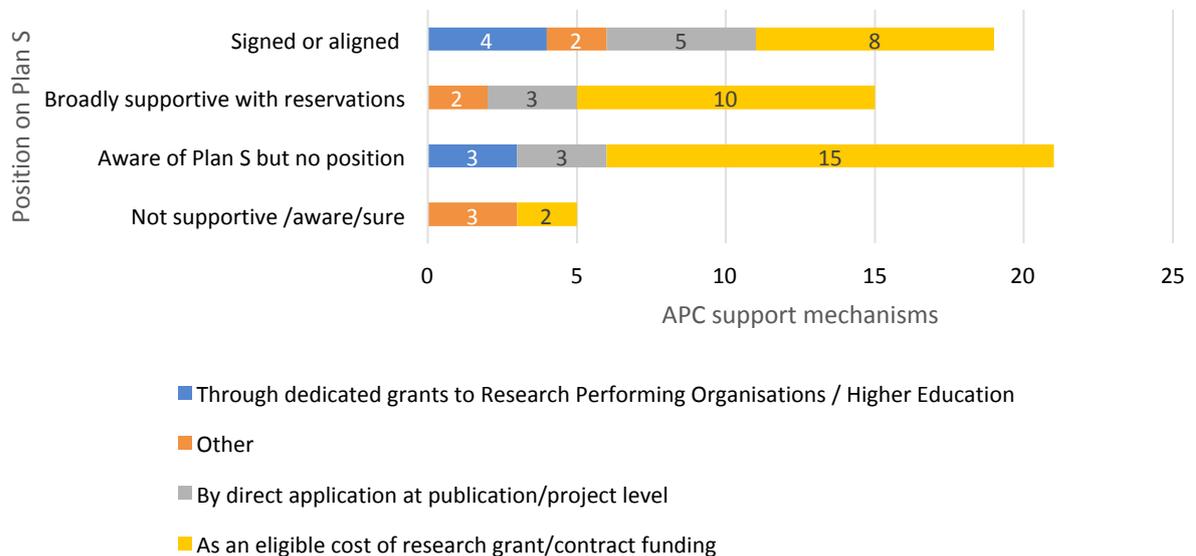
Every organisation that has signed up to Plan S, or aligned its policy with it, supports the payment of publication costs. By contrast, the proportion of organisations that provide no support for APCs or no support for any publication charge, increases significantly among organisations that have not yet formulated a position on Plan S or that are unsupportive or unaware of the plan. Among the organisations that are broadly supportive of the plan but have raised concerns, three currently do not support APC payments.

Fig. 39 – Support for APC payments, by funder position on Plan S (n=60)



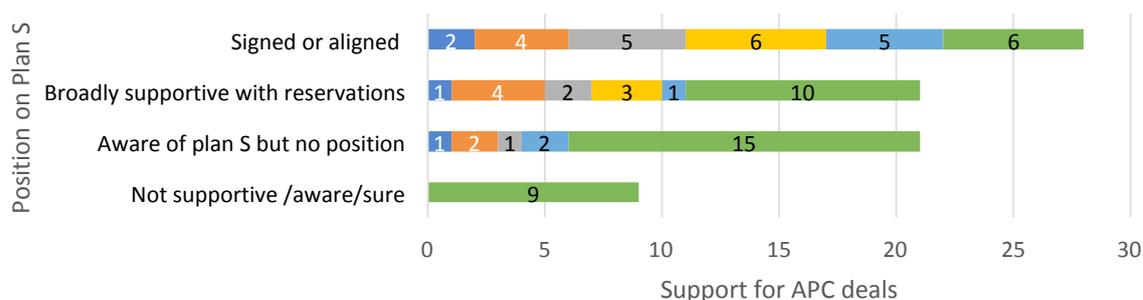
Plan S signatories and supporters employ a variety of mechanisms to support APC payments. Support as an eligible cost of research grant or contract funding remains the most popular APC support mechanism among all funders.

Fig. 40 - APC support mechanisms, by funder position on Plan S (n=51)



Among funders whose policies are aligned with Plan S, half either have a cap on APCs or are considering its introduction. Among other funder groups the proportion of funders with an APC cap is substantially lower.

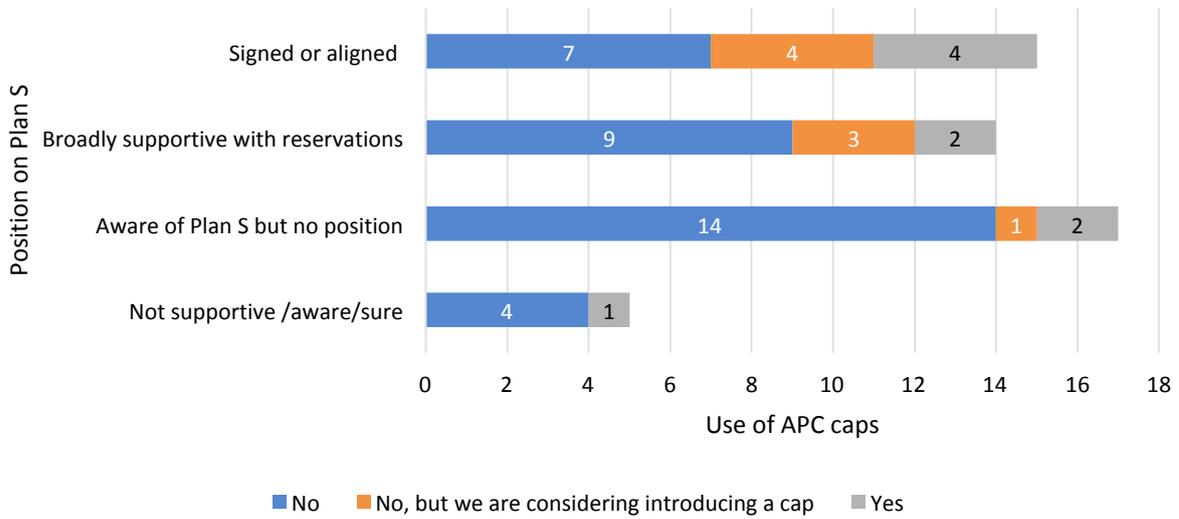
Fig. 41 - Support for APC deals, by funder position on Plan S (n=60)



- Directly negotiating offsetting/transformational deals with publishers
- Participating in consortia negotiating offsetting/transformational deals
- Preparing new guidelines for negotiating offsetting/transformational deals
- Collecting data on offsetting agreements, discount schemes and memberships
- Other activities
- No activity

Funders aligned with Plan S are the most proactive in their support for APC offsetting deals, with over three quarters taking some action in this direction (9). Six funders are directly involved in deal negotiation (2 individually and 4 as part of a consortia), five more are preparing guideline for offsetting negotiations and six are collecting data on offsetting agreements, discount schemes and memberships. Over half of the funders supporting the plan with reservations are also actively looking at APC deals, with five funders being actively involved in deal negotiations. By contrast, only six out 21 funders that do not have a position on Plan S are active on APC deals, and no funder that is unsupportive or unaware of Plan S has reported any activity.

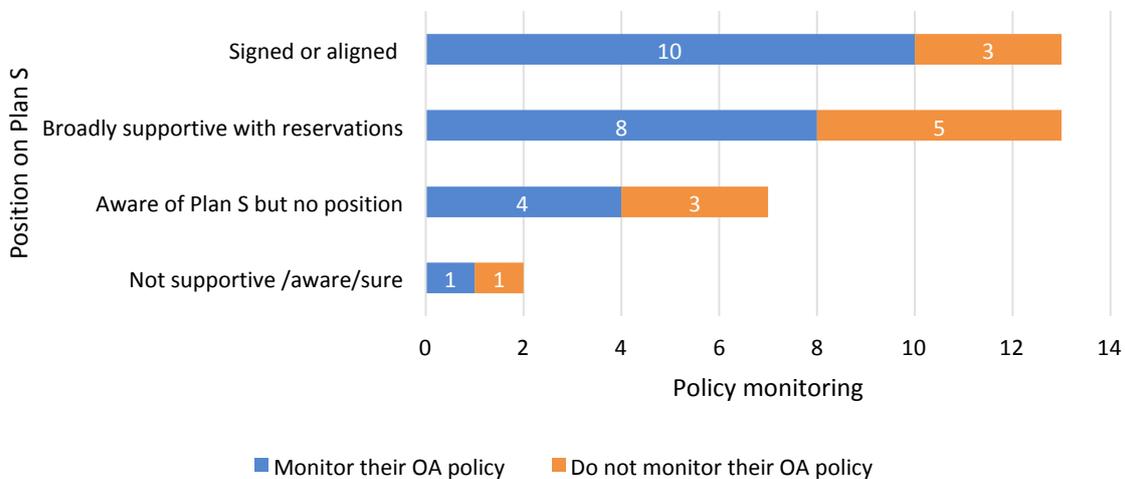
Fig. 42 - APC caps, by funder position on Plan S (n=51)



### B3. Monitoring the Open Access policy

Whilst the majority of respondents overall have systems in place to monitor compliance with their policy, the proportion is higher among funders whose policy is aligned with Plan S (10 out of 13) and those broadly supportive of the plan (8 out of 13).

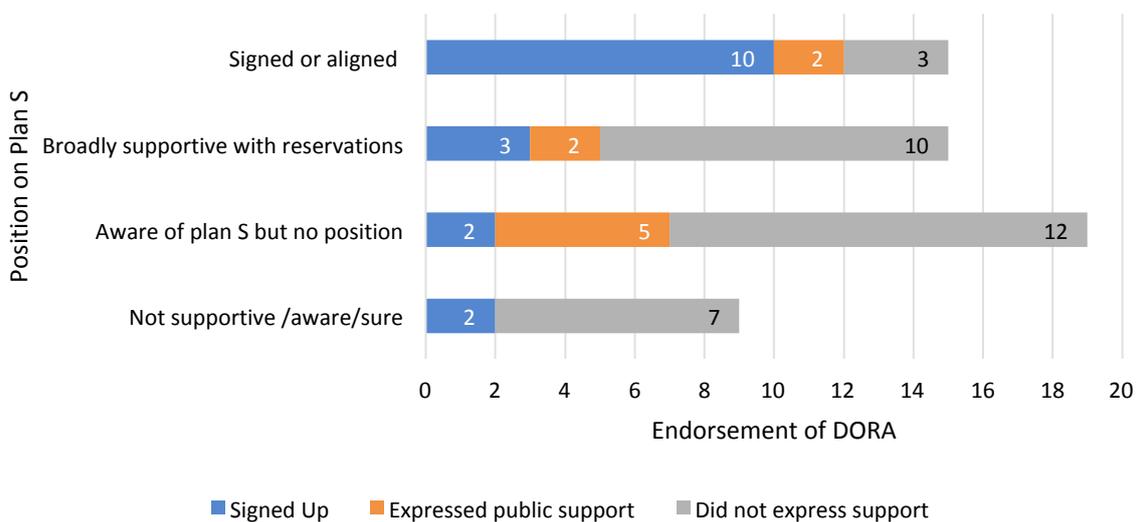
Fig. 43 – Funders actively monitoring their OA policy, by funder position on Plan S (n=35)



### B3. Grant evaluation criteria, OA publications and Plan S

Plan S signatories are overall much more supportive of the San Francisco Declaration on Research Assessment (DORA) than their counterparts, in line with Plan S’s own [implementation guidance](#).

Fig. 44 – Endorsement of DORA, by funder position on Plan S (n=58)





## Appendix C Survey questions<sup>5</sup>

### About your organisation

1) What is the name of your organisation?\*

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2) Which of the following best describes your organisation?\*

International funding agency

National funding agency

Research Performing Organisation

NGO / Charity

Foundation / Trust / Philanthropic Funder / Institutional Philanthropic Organisation

National academy

Other - please specify: \_\_\_\_\_

3) In what country is your organisation based?\*

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4) Which of the following disciplines are within the scope of your organisation? (Please tick all that apply)

Arts and Humanities

Agricultural Sciences

Engineering and Technology

Medical and Health Sciences

Natural Sciences

Social Sciences

Other - please specify: \_\_\_\_\_

5) Your details (optional)

Your Name: \_\_\_\_\_

Your function within your organisation:

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6) Contact Details (optional)

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<sup>5</sup> Foschi, Mattia, Johnson, Rob, Kiley, Robert, Reumaux, Mathilde, Reckling, Falk, Vogt, Robert, ... Proudman, Vanessa. (2019, March 27). SPARC Europe Survey of European Research Funders (March 2019). Zenodo. <http://doi.org/10.5281/zenodo.2611115>

- 7) Do you consent to be contacted by Research Consulting in case we need more information regarding the feedback you are giving on behalf of your organisation?
- Yes  
 No

## Section I – Your policies on Open Access to research publications and research data

- 8) Does your organisation have an Open Access policy for research publications (scholarly articles, books etc)?
- Yes (please add a URL for the policy below)  
 No
- Comments:

- Does the Open Access policy include mandatory requirements?
- Yes  
 No

- What are the reasons for your organisation not having an Open Access policy for research publications? (Please tick all that apply)
- Open Access is not a priority for my organisation  
 We do not have the resources to develop the policy  
 We do not have the resources to implement and monitor policy compliance  
 We are in the early stages of developing an Open Access policy  
 We are at an advanced stage in the development of an Open Access policy  
 Other - please specify: \_\_\_\_\_

- What outputs are within the scope of your Open Access policy? (Please tick all that apply)
- Scholarly articles  
 Conference proceedings  
 Monographs and books  
 Grey literature (i.e. non-peer-reviewed outputs)  
 Posters  
 Preprints  
 Presentations  
 Other - please specify: \_\_\_\_\_

## Section I – Your policies on Open Access to research publications and research data (continued)

9) Does your organisation have a Research Data policy?

Yes, separate from the Open Access policy on research publications (please add URL below)

Yes, as part of a broader Open Access / Open Science policy comprising all scientific outputs (please add URL below)

Yes, other (please add URL and further information below)

No

Comments:

10) Does the Research Data policy include mandatory requirements?

Yes

No

Which of the following provisions does your Research Data policy contain? (Please tick all that apply)

Compliance with the FAIR Data principles

Data is subjected to periodic review

Depositing research data in a repository

Digital preservation of research data

Ethical use/reuse of data

Financial support to meet data management / sharing costs

Follows the approach 'as open as possible, as closed as necessary'

Guidance and support (e.g. FAQs, best practice guides, toolkits, staff)

Making the data open within a fixed timeframe (e.g. one year from project end, or upon publication)

Production of a Data Management Plan in the grant application that considers data creation, management and/or sharing

Provision of a template for creating a Data Management Plan

Provision of a Data Availability Statement explaining where the data can be accessed and under what conditions

Retaining research data for a minimum length of time

Other - please specify: \_\_\_\_\_

What are the reasons for your organisation not having a Research Data policy?

Research Data is not a priority for my organisation

We are at an advanced stage in the development of a Research Data policy

We are in the early stages of developing a Research Data policy

- We do not have the resources to develop the policy
- We do not have the resources to implement and monitor policy compliance
- Other - please specify: \_\_\_\_\_

## Section II - Funding the dissemination of research

11) Does your organisation support the payment of publication costs?

- Yes, APCs only
- Yes, APCs and other charges (e.g. page and colour charges)
- Not APCs, but other publication charges
- No

How does your organisation support the payment of APCs and other publication costs, where applicable? (Please tick all that apply)

- As an eligible cost of research grant/contract funding
- By direct application at publication/project level
- Through dedicated grants to Research Performing Organisations / Higher Education Institutions
- Other - please specify: \_\_\_\_\_

Approximately, what proportion of your research outputs benefits from APC support? If you have no data, please respond according to your personal experience and perception.

- Less than 25%
- 25-49%
- 50-75%
- More than 75%
- Not known
- No comment

Does your organisation apply a cap on APC expenditure?

- Yes
- No
- Yes, but we want to remove it
- No, but we are considering introducing a cap

## Section II - Funding the dissemination of research (continued)

12) Does your organisation offer its own OA publishing platform or journals?

- Yes, both OA publishing platform and journals



- ( ) Yes, OA journals only
- ( ) Yes, OA publishing platform only
- ( ) No, neither

Please add any relevant details in the comments box below, including a link to the platform/journal or other relevant resources.

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Please indicate whether this is something you are actively considering.

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13) What support, if any, does your organisation provide to the following Open Access initiatives? ‘In-kind support’ could be logistical or IT support, a member of your organisation sits on a steering board etc. (Please tick all that apply)

	Funding provided to external entities	In-kind support	None
APC-free or subsidised Open Access platforms (e.g. <a href="#">Wellcome Open Research</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APC-free or subsidised Open Access journals (e.g. <a href="#">Hrcak</a> , <a href="#">OLH</a> , <a href="#">SciPost</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Development and dissemination of Open Access standards and principles (e.g. <a href="#">OpenAPC</a> , <a href="#">Open Citations</a> , <a href="#">ORCID</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Open Access repositories (e.g. <a href="#">EuropePMC</a> , <a href="#">OAPEN</a> , <a href="#">arXiv</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Open Access services (e.g. <a href="#">SHERPA</a> , <a href="#">DOAJ</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Platforms and services for OA books and monographs (e.g. <a href="#">Knowledge Unlatched</a> , <a href="#">OpenEdition</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If another option was entered, please provide some examples of initiatives currently supported by your organisation not mentioned above.

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## Section II - Funding the dissemination of research (continued)

14) Is your organisation doing any work on APC offsetting deals / Open Access Transformative deals? (Please tick all that apply)

Collecting data on offsetting agreements, discount schemes and memberships

Directly negotiating offsetting/transformational deals with publishers

Participating in consortia negotiating offsetting/transformational deals

Preparing new guidelines for negotiating offsetting/transformational deals

None of the above

Other - please specify: \_\_\_\_\_

15) What support, if any, does your organisation provide to the following Research Data initiatives? 'In-kind support' could be logistical or IT support, a member of your organisation sits on a steering board etc. (Please tick all that apply)

	Funding provided to external entities	In-kind support	None
<b>Data preservation services (archived data)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Data storage services (active data)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Development and dissemination of Research Data standards and principles (e.g. <a href="#">FAIR Data</a>)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Guidance for Research</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Data Management (e.g. <a href="#">UKDS guidance</a> )			
Research data registries (e.g. <a href="#">re3data</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research Data repositories (e.g. those included in the <a href="#">Nature list</a> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Support for preparing Data Management Plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If another option was entered, please provide details of any initiatives currently supported by your organisation not mentioned above.

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### Section III - Evaluation criteria for grant applications and research outcomes

16) What types of content does your organisation expect reviewers to take into consideration when evaluating the track record of a grant applicant?

- Code and software
- Conference proceedings
- Datasets
- Grey literature (i.e. non-peer-reviewed outputs)
- Monographs and books
- Posters

- Presentations
- Scholarly articles
- Other - please specify: \_\_\_\_\_

17) What criteria, other than excellence/quality of research, does your organisation use, or expect reviewers to use, to assess grant applications? (Please tick all that apply)

- [Altmetrics](#) associated with publications by applicants
- Evidence of past societal impact achieved by applicants
- H-Index of applicants
- Journal impact factor (JIF) of publications by applicants
- Number of citations of publications by applicants
- Number of inventions, patents and commercial activity by applicants
- Number of peer reviews undertaken by applicants
- Number of peer-reviewed publications by applicants
- Previous grant income of applicants
- Prizes or honours received by applicants
- Quality of data management plan
- Quality of plan for achieving societal impact (e.g. on economy, public policy, civil society etc)
- Quality of plans to promote equality and diversity
- Quality of project management/governance arrangements
- Quality of research uptake and dissemination strategy
- Quality of wider research environment at applicants' organisation(s)
- We do not have a formal set of criteria
- Other - please specify: \_\_\_\_\_

### Section III - Evaluation criteria for grant applications and research outcomes (continued)

18) What distinction, if any, does your organisation make between Open Access and non-Open Access publications when evaluating the track record of a grant applicant?

- We only consider compliant Open Access publications
- We only consider compliant Open Access publications, or those covered by an agreed exception to the policy
- We consider all outputs, but additional weight is attached to compliant Open Access publications
- We make no distinction between Open Access and non-Open Access publications

19) Does your organisation use Open Science-related criteria in grant assessment? E.g. those proposed in the [Open Science Career Assessment Matrix \(OS-CAM\)](#)

Yes

No

Please provide further details on the Open Science-related grant assessment criteria used by your organisation

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20) Which of the following declarations supporting the responsible use of metrics in research evaluation has your organisation signed or expressed public support for (for instance, through an open statement or expression of support on the website of the relevant initiative or your own website)?

	Signed up	Expressed public support	Did not express support
<a href="#">San Francisco Declaration on Research Assessment (DORA)</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Leiden Manifesto for Research Metrics</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Transparency and Openness Promotion Guidelines (TOP)</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Initiative for Open Citations (I4OC)</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

21) What other incentives, if any, are in place within your organisation to reward good Open Science practice?

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22) What mechanisms and practices, if any, are in place within your organisation to educate funder evaluators/peer reviewers on Open Access or Research Data?

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#### Section IV - Reporting / monitoring / compliance

23) What workflows does your organisation use to ensure that the Open Access policy is effectively implemented? (Please tick all that apply)

- We publish and regularly update guidance documents for Open Access to research publications and research data
- We embed Open Access policy requirements in grant funding agreements
- We review reports on Open Access compliance from grant beneficiaries
- We ask grant beneficiaries to systematically deposit research outputs or metadata in a specified repository
- We monitor deposits in specified repositories that meet our criteria
- We monitor numbers of publications on our own publishing platform or OA journal
- We independently monitor compliance using web-scale search tools on a regular basis (e.g. 1Science, Dimensions.ai, Wizdom.ai)
- Other - please specify: \_\_\_\_\_

24) Does your organisation monitor compliance with its Open Access and Research Data policies?

	Yes	No
<b>Open Access policy to research publication</b>	( )	( )

Research Data policy	<input type="checkbox"/>	<input type="checkbox"/>
DMPs specifically	<input type="checkbox"/>	<input type="checkbox"/>

What is preventing your organisation from monitoring the policy? (Please tick all that apply)

	OA Policy	Research Data policy
Lack of time	<input type="checkbox"/>	<input type="checkbox"/>
Lack of resources	<input type="checkbox"/>	<input type="checkbox"/>
Lack of adequate monitoring infrastructure or tools	<input type="checkbox"/>	<input type="checkbox"/>
Lack of mandatory requirements worth monitoring	<input type="checkbox"/>	<input type="checkbox"/>

How does your organisation monitor compliance with the Open Access / Research Data policy(ies)? (Please tick all that apply)

	Open Access policy	Research Data policy
By monitoring deposit in institutional repositories via a national/international aggregator (e.g.	<input type="checkbox"/>	<input type="checkbox"/>

RCAAP, OpenAIRE)		
By monitoring deposit in national repositories (e.g. <a href="#">HAL</a> )	<input type="checkbox"/>	<input type="checkbox"/>
By monitoring deposit in specific subject repositories (E.g. Europe PMC)	<input type="checkbox"/>	<input type="checkbox"/>
Monitoring using web-based search tools (e.g. <a href="#">Web of Science</a> , <a href="#">1Science</a> , <a href="#">Dimensions.ai</a> , <a href="#">Wizdom.ai</a> )	<input type="checkbox"/>	<input type="checkbox"/>
Through assessment of data management plans by internal or external reviewers	<input type="checkbox"/>	<input type="checkbox"/>
Through grant-level reporting by grant recipients	<input type="checkbox"/>	<input type="checkbox"/>
Through high-level studies of compliance	<input type="checkbox"/>	<input type="checkbox"/>
Through organisation-level reporting by institutions	<input type="checkbox"/>	<input type="checkbox"/>
Through spot-testing of research outputs	<input type="checkbox"/>	<input type="checkbox"/>
Using an online workflow reporting service (e.g. <a href="#">Chronos</a> )	<input type="checkbox"/>	<input type="checkbox"/>
Using expert evaluators to assess	<input type="checkbox"/>	<input type="checkbox"/>

data management deliverables		
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25) Is your organisation considering the introduction of (additional) mechanisms for monitoring compliance in the future?

Yes

No

What monitoring mechanisms are you considering for the future?

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26) What are the consequences of non-compliance with the Open Access (OA) / Research Data (RD) policy? You should select an option even if it has never been used in practice (Please tick all that apply)

	Open Access policy	Research Data policy
<b>Authors are admonished to comply with the policy</b>	[ ]	[ ]
<b>Institutions are admonished to comply with the policy</b>	[ ]	[ ]
<b>Disbursement of final instalment of the grant is withheld until policy compliance is</b>	[ ]	[ ]

achieved		
The level of policy compliance is considered in the assessment of subsequent grant applications (by department or organisation)	[ ]	[ ]
The level of policy compliance is considered in the assessment of subsequent grant applications (by individual author or PI)	[ ]	[ ]
The level of policy compliance is considered in the subsequent allocation of open access funding (e.g. in case of block grants)	[ ]	[ ]
There are no consequences	[ ]	[ ]

## Section V - Planned policy changes

27) When was your Open Access policy last reviewed?

- Within the last 12 months
- Within the last 1-3 years
- Within the last 4-5 years
- More than 5 years ago

28) When would you expect the next review of your Open Access policy to take place?

- Within the next 12 months
- Within 1-3 years
- Within 4-5 years
- In more than 5 years

29) What particular aspects of the policy would you expect your next review to focus on?

(Please tick all that apply)

- APC caps/limits
- Eligible journals (e.g. hybrid)
- Eligible repositories for self-archiving
- Embargo periods
- Licensing
- Monitoring and compliance
- Posting of preprints
- Support mechanisms for funding publication costs
- Technical requirements and infrastructure
- Other - please specify: \_\_\_\_\_
- Unsure

## Section V - Planned policy changes (continued)

30) Which of the following best describes your organisation's position on [Plan S](#)?

- We are not aware of Plan S
- We are aware of Plan S but have not formulated a position
- We are not supportive of Plan S
- We are broadly supportive of Plan S, although we are concerned about some provisions
- We are aligning our policy with Plan S
- We are already Plan S signatories
- Other - please specify: \_\_\_\_\_
- Unsure

31) What is the main rationale behind your organisation's current position on Plan S? Please provide further details as appropriate.

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32) When was your Research Data policy last reviewed?

- Within the last 12 months
- Within the last 1-3 years
- Within the last 4-5 years
- More than 5 years ago

33) When would you expect the next review of your Research Data policy to take place?

- Within the next 12 months
- Within 1-3 years
- Within 4-5 years
- In more than 5 years

34) What particular aspects of the policy would you expect your next review to focus on?

(Please tick all that apply)

- Compliance with the FAIR Data principles
- Data is subjected to periodic review
- Depositing research data in a repository
- Digital preservation of research data
- Ethical use/reuse of data
- Financial support to meet data management / sharing costs
- Follows the approach 'as open as possible, as closed as necessary'
- Guidance and support (e.g. FAQs, best practice guides, toolkits, staff)
- Making the data open within a fixed timeframe (e.g. one year from project end, or upon publication)
- Production of a Data Management Plan in the grant application that considers data creation, management and/or sharing
- Provision of a Data Availability Statement explaining how the data can be accessed (appended to all research publications)
- Retaining research data for a minimum length of time
- Other - please specify: \_\_\_\_\_
- Unsure

35) How important is making Open Access the default for the good of research?

- Very important



- Important
- Somewhat important
- Not very important
- Not important at all

36) If there are any further comments you would like to add to your response, please include these below.

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