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PORTUGAL OPEN ACCESS POLICY LANDSCAPE

PASTEUR4OA PROJECT
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Portugal Open Access Policy Landscape

Summary

This case study includes a brief description of the Portuguese higher education and research systems, followed by a short history of the development of Open Access policies in the country, including all aspects of implementation and supported infrastructures. It concludes listing some challenges and ongoing developments.

In Portugal, the development of a solid and mature repository infrastructure, providing a range of relevant services and supporting an active OA community, around the Scientific Open Access Repository of Portugal - RCAAP - offered a solid basis to the definition and implementation of Open Access policies within research performing institutions and research funders. The majority of Portuguese Higher Education Institutions have an institutional repository as the main access point to their scientific output, and most of them also have defined Open Access policies requiring deposit into their institutional repositories.

Currently, there are strong and effective policies in Portugal, like the mandates from Instituto Politécnico de Bragança (IPB) and University of Minho, which link repository deposition with the institutional processes of reporting and evaluation. Over the last few years, and taking advantage of the participation in EC's funded projects, OpenAIRE, MedOANet and PASTEUR4OA projects, an effort has been made to homogenise the OA policies in Portugal and align them all with the EC recommendations.

Other factors which contributed for the success of the infrastructure and policy initiatives were the strong advocacy strategy implemented in the RCAAP context, the focus on promoting interoperability, the adoption of DRIVER Guidelines, the use of the validator to periodically verify the repository compliance, and a helpdesk service to help institutions when needed. Finally, the Open Access mandate of the major public funder launched in May this year reinforced the idea that there remains room for development and improvement of Open Access issues in Portugal.

The higher education and research systems of Portugal

According to the current legislation[1], the Portuguese educational system comprises three levels: basic, secondary and higher education. The higher education structure includes public and private university and polytechnic institutions.

1 The Framework Law on the Education System (Law No. 46/86, dated 14 October, further amended by Laws No. 115/97, dated 19 September and No. 49/2005, dated 30 August available at: http://www.dges.mctes.pt/DGES/pt/Geral/MenuTopo/Legislacao/Diplomas+Estruturantes+do+Ensino+Superior.htm

Table 1 – Number of university and polytechnic institutions

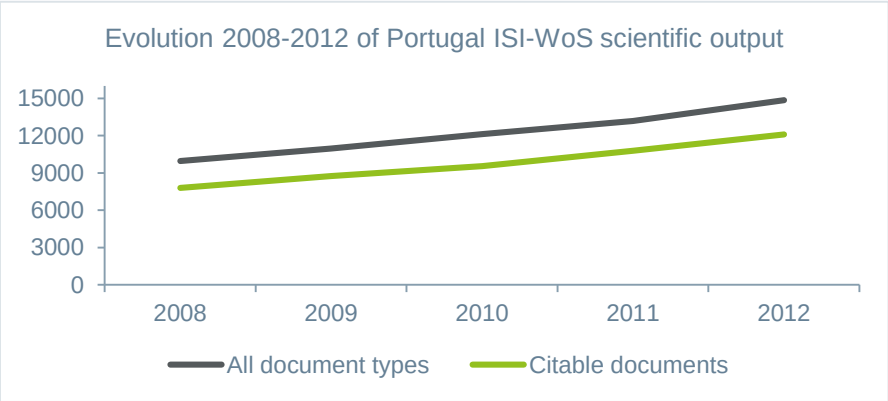
	University education	Polytechnic education
Public	19	32
Private	34	62
Total	53	94

Higher education institutions are directly funded from annually funds of the national budget, and also through the use of their own income from fees, funding of research projects, community funds, and community service, among others.

Scientific research takes place in R&D institutions which are funded by the Portuguese public funding agency – *Fundação para a Ciência e a Tecnologia* (FCT) - based on their periodic evaluation and number of PhD researchers. Currently, there are 292[2] R&D Units and 26 Associate Laboratories, housing more than 22 000 researchers. The vast majority of these research units are part of, or affiliated to, the Portuguese universities.

Since 1996 has been performed the process of evaluation of R&D Units. In 2013 a new review of national R&D Units was launched. This new evaluation process[3] was carried out by international evaluation panels in two phases. The results of the last evaluation and associated funding will come into effect from January 2015 and are valid for period of six years. Approved R&D Units will be financed through national funds and, when eligible, co-financed by EU funds in the framework of the Common Strategic Framework for 2014-2020.

Table 2 – No. of publications 2008-2012 included in the WoS Citation Indexes: SCI-Expanded, SSCI, and A&HCI



According to the scientific research output 2008-2012 included in the WoS (Web of Science) the number of publications and citable documents in Portugal have been increasing over these five years. Comparing with other European countries[4], Portugal is between Spain and France in regard to the number of publications per million of inhabitants in 2012.

2 Statistics of Fundação para a Ciência e a Tecnologia (FCT) available at: http://www.fct.pt/apoios/unidades/estatisticas/ResumoEstatisticasInstituicoesEN.pdf
3 2013 Evaluation of R&D Units available at: http://www.fct.pt/apoios/unidades/avaliacoes/2013/index.phtml.en
4 Scientific production in Portugal available at: http://www.dgeec.mec.pt/np4/210/%7B$clientServletPath%7D/?newsId=116&fileName=Volume_ProdCient_fica_site.pdf

With respect to scientific journals in Portugal the creation of the national journal subscription consortium B-on[5] – Online Knowledge Library – in 2004 contributed to a significant increase the accessibility of scientific journals by Portuguese libraries and researchers. Regarding open access journals there are 451 Portuguese publishers indexed in the DOAJ (Directory of Open Access Journals).

Current Open Access policy landscape

In Portugal, the recent developments concerning Open Access policies has been mainly driven by the existence of a mature infrastructure and service provision resulting of the work done by different entities and projects. The first Open Access initiative was the creation of the institutional repository of the University of Minho, RepositóriUM, in 2003, followed by the definition of an institutional Open Access policy at the end of 2004. Over the following years some other repositories were created, and the first OA journals were established in Scielo Portugal.

But the turning point on Open Access evolution in Portugal was the launch of the Scientific Open Access Repository of Portugal (RCAAP) in 2008, aiming to promote visibility and accessibility to the Portuguese scientific output, and to integrate Portugal into international developments and progress. The early stages of the RCAAP Project were focused on the creation and development of repositories, through a) the development of the RCAAP portal, aggregating, indexing and providing unified access to Open Access research results from Portuguese institutional repositories; b) offering a free repository hosting service (called SARI – Serviço de Alojamento de Repositórios), to facilitate the creation and management of IRs in many Portuguese research and higher education institutions; and c) training and advocacy about repositories and Open Access, targeted to repository managers and HEI leaderships and top managers. The results of these activities were immediately visible with the number of institutional repositories growing from 10 in 2007, before the RCAAP project, to 26 in 2009 (one year after the project started), and currently 42[6].

Beyond the two original services (RCAAP Portal and SARI, which continued to grow and continue to be the core and most important services of RCAAP), over the last few years the project extended its scope, building new value-added services for the Portuguese scientific community. Examples of this orientation are the Common Repository (a repository service designed for the researchers affiliated with Portuguese institutions taking part of the national scientific institution system which do not have their own institutional repository), the repository Validator (a service to validate and monitor the compliance of repositories with the standards, guidelines and best practices adopted by the project), and the Centralised Service on Repository Usage Statistics (SCEUR, a centralised system allowing aggregation of statistical data on repository usage). Regarding journal publishing, RCAAP offers the Scientific Journal Hosting Service (called SARC, based on Open Journal System (OJS) platform, a service to host and facilitate the management of scientific journals), and also supported the launching in 2010 of the Blimunda Project, that started to collect and help to define self-archiving policies from Portuguese scientific publishers' and journals' and to include these policies in the

5 B-on: Online Knowledge Library available at: http://www.b-on.pt
6 Institutional Repositories aggregated in the RCAAP Portal available at: http://www.rcaap.pt/directory.jsp

SHERPA/RoMEO database (which was translated into Portuguese). At this time there are 117[7] Portuguese publishers' self-archiving policies registered in the SHERPA/RoMEO database.

Another priority of the second stage of RCAAP evolution was the promotion of the definition and implementation of Open Access policies by research performing institutions and research funders. For that purpose, as well as several other advocacy activities, an Open Access Policies Kit was developed in 2010[8]. The work of RCAAP on the policy front had a significant impact on the definition of Open Access policies by research performing institutions, especially in 2011 and 2012. Currently, there are 21 OA policies from research performing organisations. Most of them (*N*=10) require the deposit into institutional repositories.

Table 3 – Number of Open Access policies from Portugal

	University education	Polytechnic education	Public Undertaking (Health organisations)	Funder
Public	9	4	3	1
Private	3	1		
Total	12	5	3	1

Despite being considered as mandatory, some of the policies have no monitoring procedures in place, and some aspects need to be clarified, mainly regarding access and embargo conditions, versions to deposit, and date of deposit. There are, however, strong and effective policies in Portugal, like the mandates from Instituto Politécnico de Bragança[9] (IPB) and University of Minho[10], which link repository deposition with the institutional processes of reporting and evaluation. Over the last few years, and taking advantage of the participation in EC's funded projects, first in MedOANet Project and currently in the PASTEUR4OA project, an effort has been made to homogenise the OA policies in Portugal and align them all with the EC recommendations (and hence each other).

Recently, the most significant development at the policy level was the establishment of the mandatory Open Access policy of the Portuguese major public funder – *Fundação para a Ciência e a Tecnologia* (FCT) – which was released in May 2014. Taking advantage not only of the underlying infrastructure but also of the services and support provided by RCAAP, FCT launched a public consultation on proposals for policies on Open Access, resulting in a policy on Open Access for publications, and also a policy on management and sharing of data. The policy on Open Access for publications[11] requires that all publications or research outputs subject to peer-review or another form of scientific review should be deposited in one of the Open Access repositories hosted

7 SHERPA/RoMEO available at: http://www.sherpa.ac.uk/romeo/search.php
8 Open Access Policies Kit available at: http://projeto.rcaap.pt/index.php/lang-pt/consultar-recursos-de-apoio/remository?func=fileinfo&id=336
9 Open Access Policy of the Instituto Politécnico de Bragança available at: http://portal3.ipb.pt/uploads/bibliotecas/Self-Deposit%20Publication%20Rules%20in%20Biblioteca%20Digital%20do%20IPB.pdf
10 Open Access Policy of the University of Minho available at: https://repositorium.sdum.uminho.pt/about/ficheiros/Despacho_RT-98_2010.pdf
11 Open Access to publications of results of FCT-funded research available at: https://www.fct.pt/documentos/PoliticaAcessoAberto_Publicacoes.pdf

within 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 policy applies to papers in scientific journals, conference proceedings, posters, books and book chapters, monographs, Masters and PhD theses. The policy[12] on management and sharing of data and other results arising from FCT-funded research encourages researchers to share primary data and other data with the scientific community by placing the data in Open Access databases within the shortest time possible. In both policies, FCT funding encompasses project grants, studentships and fellowships, and career development contracts (FCT Investigator).

Challenges and ongoing developments

The participation of the University of Minho in the EC's funded projects as OpenAIRE, MedOANet and PASTEUR4OA has facilitated the networking between research performing organisations and research funders in order to foster the alignment of Open Access policies with the EC's recommendations. The members of the National Task Force, which includes representatives of research performing organisations, research funders and scientific publishers, created within MedOANet are committed to meet at least once a year to maintain an active engagement programme with other national policymakers, mainly private research funders, and other relevant research performing institutions, supporting them in developing and implementing Open Access policies.

The implementation of the funder's mandates (both FCT at national level, and the Horizon 2020 OA mandate at European level) is the main challenge for the development of Open Access in Portugal in the coming months. There are several requirements to be met at the infrastructural level, namely: upgrading current versions of repository software; using identifiers for authors (ORCiD[13]), organisations, projects and digital objects; facilitating the deposition of research results into repositories (using automated or semi-automated deposit of metadata and full texts); and promoting the integration and interoperability of repositories with other components of the research information systems landscape at national (PT-CRIS being developed in Portugal) and international (OpenAIRE) level. But there is also the need to help institutions to upgrade their existing policies and/or the implementation and monitoring of those policies, in order to achieve higher compliance levels both for institutional and funder policies.

12 Management and sharing of data and results of FCT-funded research available at: https://www.fct.pt/documentos/PoliticaAcessoAberto_Dados.pdf

13 ORCID provides a registry of unique researcher identifiers and a transparent method of linking research activities and outputs to these identifiers, available at: http://orcid.org/

Conclusions

The development of a solid infrastructure, comprising a range of services which supported and motivated the community built around the project, contributed to the success of the RCAAP project and added an important impact on the Open Access landscape in Portugal. The Open Access advocacy strategies implemented in the context of RCAAP project influenced the adoption of Open Access polices and mandates by research performing organisations, contributing to increase the number of contents deposited into their institutional repositories. Other factors for the success of these initiatives were the orientation to integrate the Portuguese work into the international context, focusing on promoting interoperability, the adoption of DRIVER Guidelines, the use of the validator to periodically verify the repository compliance, and a helpdesk service to help institutions when needed. Finally, the Open Access mandate of the major public funder reinforced the idea that there remains room for development and improvement of Open Access issues in Portugal.

Useful links

- **RCAAP Directory** (http://www.rcaap.pt/directory.jsp)
- **RCAAP Services** (http://projeto.rcaap.pt/index.php/lang-en)
- **OA Policy of the Portuguese major public funder** (https://www.fct.pt/dsi/eciencia/index.phtml.en)
- **OA Policy of the University of Minho** (http://roarmap.eprints.org/7)
- **OA Policy of the Polytechnic Institute of Bragança** (http://roarmap.eprints.org/292)

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