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Università di Firenze
Dipartimento di Scienze dell'Antichità, Medioevo e
Rinascimento e Linguistica

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Sommaro
Table of Contents
Vol. 3, n. 2 (Dicembre/December 2012)

Editoriale = Editorial

Gianfranco Crupi, *Open access: a work in progress*
Mauro Guerrini

Fare il punto = Making the Point on

Ilaria Fava *Open Access Milestones 2002-2012*

Documents = Documenti

Budapest Open Access Initiative (2002)

Bethesda Statement on Open Access Publishing (2003)

The Berlin declaration on Open Access to Scientific Knowledge (2003)

Italian Declaration supporting the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2004)

IFLA Statements on Open Access (2004, 2010)

Alhambra Declaration on Open Access (2010)

Seizing the Opportunity for Open Access to European Research: Ghent Declaration (2011)

European Commission Recommendation on access to and preservation of scientific information (2012)

Ten years on from the Budapest Open Access Initiative: setting the default to open (BOAI10, 2012)



L'open access: work in progress

Mauro Guerrini, Gianfranco Crupi

Sin dal primo numero di JLIS.it, abbiamo voluto dedicare molto spazio e rilievo alle tematiche dell'accesso aperto, consapevoli che il modello culturale, politico ed economico che ne è alla base, costituisca un nuovo paradigma della comunicazione scientifica e della valutazione dei prodotti della ricerca, nonché dei processi economici che hanno tradizionalmente regolato i rapporti tra autori ed editori. Perciò, la decisione di dedicare un numero monografico alla pubblicazione di documenti che rappresentano le pietre miliari del movimento open access, risponde all'esigenza di raccogliere insieme i manifesti e le raccomandazioni, che la comunità internazionale ha discusso e emanato – a partire dal Budapest Open Access Initiative del 2002 – per sollecitare e promuovere le istituzioni accademiche e universitarie, e i ricercatori che ne fanno parte, ad adottare politiche di tutela, valorizzazione e disseminazione dei risultati della loro attività scientifica, e a dotarsi delle necessarie strutture istituzionali e delle infrastrutture tecnologiche di supporto. Il movimento, che non in tutti i Paesi e non in tutti i settori scientifico-disciplinari ha conosciuto la medesima espansione, ha comportato – oggi, a dieci anni dalla sua nascita ufficiale – la creazione di numerosi repository istituzionali, che raccolgono in maniera sistematica i metadati e le opere di docenti, ricercatori, dottori di ricerca e altri soggetti, secondo procedure di volontaria autoarchiviazione o di “deposito



legale". Repository, che sono di fatto anagrafi (locali o nazionali) dei prodotti della ricerca, e che rappresentano il fondamentale supporto nella valutazione dell'impatto scientifico ed economico di singoli e istituzioni che li hanno prodotti, tanto da sollecitare l'elaborazione di nuovi e più efficaci indicatori bibliometrici. Inoltre, il positivo impatto, che si registra nell'utilizzo di piattaforme che consentono la gestione dei periodici in modalità open access, dimostra la sostenibilità economica del modello, che consente notevoli risparmi ai bilanci delle università, e la sua funzionalità scientifica ed editoriale, che si integra pienamente nell'attuale assetto dell'editoria accademica internazionale, sebbene con non poche resistenze da parte di quei gruppi editoriali internazionali che hanno acquisito una posizione di mercato dominante. Al di là delle ragioni economiche – pure di importanza strategica negli attuali scenari politici internazionali, che vedono sempre più decurtate le risorse destinate alla ricerca, alla formazione e alla tutela e valorizzazione dei beni comuni della conoscenza – ciò che rende irreversibile il movimento open access sono i benefici che la comunità scientifica ne ricava. La pubblicità e piena disponibilità dei dati promuove, infatti, un ambiente di ricerca più efficiente e condiviso, riducendo la ridondanza degli sforzi e sottoponendo i risultati della ricerca al consenso e alla verifica di una più ampia platea di specialisti, e innesca prassi di maggiore trasparenza nelle prestazioni scientifiche delle istituzioni universitarie e di ricerca. L'architettura aperta delle infrastrutture dei repository istituzionali garantiscono, infine, il controllo del ciclo di vita dei dati e della loro conservazione e disponibilità a lungo termine e contribuiscono al diffondersi di una «cultura della citazione» che, come si afferma in un più recente manifesto (*The Denton Declaration*, ottobre 2012), dev'essere largamente promossa ed estesa. L'Italia ha recepito presto e con grande sensibilità l'invito della *Dichiarazione di Berlino*, sottoscrivendo un documento di adesione, e accelerando,

grazie soprattutto all'impegno della CRUI (Conferenza dei Rettori delle Università Italiane), la creazione di cataloghi e database della produzione scientifica (come la piattaforma U-GOV) e la pubblicazione di linee guida per la creazione e la gestione di repository aperti, secondo gli standard e i protocolli internazionali. Lo scopo è rimuovere le barriere d'accesso alla letteratura scientifica, favorendone la più ampia disseminazione e condivisione, e, ancor più, migliorare le procedure di valutazione qualitativa, in un contesto di riferimento che è sempre meno ancorato a realtà locali o regionali. Il nostro auspicio è dunque quello di contribuire a diffondere la cultura dell'accesso aperto e la sua più ampia applicazione nelle nostre università e nei nostri centri di ricerca.

Un'ultima nota, destinata ai nostri lettori. Dal 2013 cambieranno le date di pubblicazione di JLIS.it, che uscirà, sempre con cadenza semestrale, a gennaio e a luglio di ogni anno. Ragioni legate a una migliore indicizzazione dei motori di ricerca e delle basi dati ci hanno consigliato di operare questa modifica. Ragion per cui – e contrariamente a quanto informalmente annunciato – il numero che ospita gli atti del *Seminar Global Interoperability and linked data in libraries* (svoltosi a Firenze lo scorso 18 e 19 giugno) sarà pubblicato a gennaio 2013.

L'open access: work in progress

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ABSTRACT:

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Le pietre miliari dell'OA 2002-2012

Ilaria Fava

Il 2012 è stato un anno di bilanci importanti per l'Open Access: a un decennio di distanza dalla Budapest Open Access Initiative (BOAI), si è riflettuto sulla strada percorsa e sul futuro dell'accesso aperto. Per tale motivo, abbiamo scelto di ripubblicare in questo numero di JLIS.it alcuni importanti documenti che possiamo definire come le pietre miliari che hanno segnato lo sviluppo di questi anni. I testi, tutti rilevanti per la storia dell'Open Access, spaziano sulla dimensione europea per stringere poi sulla realtà italiana. Viene inoltre riportato uno statement dell'IFLA, che ci interessa soprattutto per lo specifico ambito di ricerca della nostra rivista. Nel febbraio 2002, venne lanciata la Budapest Open Access Initiative, momento fondamentale nella storia del movimento e punto di riferimento per la prima definizione ancora oggi puntuale ed esaustiva dell'accesso aperto alla conoscenza scientifica, con l'avvertenza che, in questo come in altri documenti, , quando si parla di letteratura scientifica, si fa sempre riferimento ad articoli e pubblicazioni che siano state sottoposte al processo di valutazione di qualità attraverso peer-review:

«By 'open access' to this literature, we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing,



pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.¹»

A Bethesda nel Maryland, sede della National Library of Medicine, all'inizio del 2003, la comunità scientifica biomedica si riunì assieme ad editori e finanziatori della ricerca per discutere sui passi concreti da intraprendere per dare accesso pieno e libero alla letteratura scientifica, tant'è che, nella dichiarazione che fu sottoscritta, viene definita con precisione la natura di una pubblicazione ad accesso aperto:

«The author(s) and copyright holder(s) grant(s) to all users a free, irrevocable, worldwide, perpetual right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship, as well as the right to make small numbers of printed copies for their personal use.»

Si stabiliva inoltre che una versione dell'opera, completa di tutti i materiali supplementari, venisse depositata in un repository ad accesso aperto. Al testo della dichiarazione seguono i resoconti di tre gruppi di lavoro costituiti per l'occasione, formati da rappresentanti degli enti finanziatori della ricerca, della comunità di

¹Dal blog di Peter Suber, uno dei maggiori sostenitori del movimento, <http://www.earlham.edu/~peters/fos/boaifaq.htm#openaccess>.

bibliotecari ed editori, e infine delle società scientifiche. Sempre nel 2003 venne firmata la storica Dichiarazione di Berlino,² una presa di posizione ufficiale di molti enti di ricerca a supporto della BOAI, che conta oggi circa 400 istituzioni firmatarie. In Italia, a conclusione di un convegno organizzato a Messina nel novembre 2004 dalla Commissione biblioteche della CRUI (Conferenza dei rettori delle Università Italiane) – Gli atenei italiani per l’Open Access: verso l’accesso aperto alla letteratura di ricerca – i rappresentanti dei 31 atenei ed enti di ricerca italiani firmarono una Dichiarazione,³ affermando *di aderire alla Dichiarazione di Berlino, Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, a sostegno dell’accesso aperto alla letteratura scientifica, con l’auspicio che questo gesto costituisca un primo ed importante contributo dato dagli Atenei italiani a una più ampia e rapida diffusione del sapere scientifico. Il sito del convegno, <http://www.aepic.it/conf/Messina041/index981f.html>* La Dichiarazione di Berlino è ancora vitale, tanto è vero che recentemente⁴ il Consiglio Nazionale delle Ricerche (CNR) e l’ Istituto Nazionale di Geofisica e Vulcanologia (INGV) si sono uniti alle istituzioni italiane già firmatarie. Del 2004 è anche la prima presa di posizione ufficiale sull’open access da parte dell’International Federation of Library Associations (IFLA), che sostiene il ruolo centrale delle biblioteche nel garantire equità nell’accesso all’informazione; il documento fu ripreso e ampliato dall’IFLA nel 2010, ribadendo alcuni concetti chiave quali l’insostenibilità economica dei modelli editoriali proposti, i benefici derivanti dall’open access, e infine, l’importanza

²<http://oa.mpg.de/berlin-prozess/berliner-erklarung>.

³Gli atenei firmatari della Dichiarazione di Messina, in ordine alfabetico per località: Bologna, Brescia, Calabria, Firenze, Foggia, Genova, Insubria, Lecce, Messina, Milano, Milano Bicocca, Milano Politecnico, Milano Vita-Salute San Raffaele, Modena, Molise, Napoli Federico II, Napoli L’Orientale, Napoli Parthenope, Padova, Palermo, Parma, Piemonte Orientale, Roma LUMSA, Roma Tor Vergata, Roma III, Siena, Torino, Trieste, Trieste SISSA, Tuscia, Venezia IUAV, Istituto Italiano di Medicina Sociale.

⁴Rispettivamente, nel mese di ottobre e novembre 2012.

delle biblioteche nell'essersi fatte carico della creazione di repository istituzionali, di offrire supporto agli autori in materia di diritto d'autore e di revisione di metadati e dati della ricerca. L'IFLA invita le associazioni partner a farsi promotrici dell'importanza dell'open access nei rispettivi paesi, contribuendo alla creazione di politiche nazionali sull'OA. A partire da questa revisione della dichiarazione IFLA, inoltre, l'ente si era impegnato a rendere disponibili le proprie pubblicazioni ad accesso aperto, anche se il progetto è ancora lungi dall'essere completato. Nell'agosto del 2008, in un tentativo di misurare l'effettivo impatto dell'accesso aperto sulla comunicazione scientifica, la Commissione Europea ha avviato, nell'ambito del Settimo Programma Quadro per la Ricerca e l'Innovazione, un progetto pilota sull'Open Access in sette aree di ricerca, che rappresentano circa il 20% del finanziamento complessivo, allo scopo di rendere accessibili liberamente oltre 15.000 articoli di ricerca finanziati con fondi comunitari. L'iniziativa della CE faceva seguito alle Linee Guida sull'accesso aperto dell'ERC – European Research Council, che prevedono l'obbligo di deposito ad accesso aperto in archivi istituzionali o disciplinari, entro un periodo di tempo massimo definito di 6 o 12 mesi dalla pubblicazione da parte dell'editore, delle opere finanziate dall'ente. La Dichiarazione dell'Alhambra del 2010 ha posto poi le basi per la collaborazione dei paesi del sud Europa⁵ nell'ambito del progetto MedOANet,⁶ dopo che gli stessi si erano riuniti a Granada per un seminario Policies for the development of OA in Southern Europe che aveva l'obiettivo di agire insieme per diffondere la cultura dell'accesso aperto tra i paesi partecipanti. Di particolare rilievo è poi la Dichiarazione di Ghent del 2011 perché ribadisce, da un lato, l'importanza della decisione della CE di av-

⁵I paesi rappresentati sono quelli appartenenti a SELL (Southern European Libraries Link, <http://www.heal-link.gr/SELL/index.html>), che rappresenta consorzi di biblioteche di Portogallo, Spagna, Francia, Italia, Grecia e Turchia.

⁶MedOANet, Mediterranean Open Access Network, <http://www.medoanet.eu>.

viare un progetto pilota sull'accesso aperto all'inizio del Settimo Programma Quadro, dall'altro la centralità del progetto OpenAIRE, nato come attuazione pratica del pilot, volto a realizzare un punto di raccolta e una vetrina della conoscenza prodotta nello spazio europeo della ricerca, e come trampolino di lancio per iniziative più ambiziose, sia da parte della Commissione che degli stati membri. Una delle conseguenze quasi naturali dell'impegno dimostrato dalla CE nel sostegno attivo all'accesso aperto è la raccomandazione del mese di luglio 2012, in cui si chiede agli stati membri di impegnarsi, a livello nazionale e di singole istituzioni di ricerca, nella definizione di politiche che consentano accesso e ampia circolazione alla letteratura scientifica, corredate di strumenti per misurarne l'efficacia e l'impatto e tali da rendere l'open access un incentivo negli avanzamenti delle carriere accademiche. La raccomandazione, inoltre, richiede agli stati membri la costituzione di infrastrutture nazionali per l'accesso aperto e la conservazione a lungo termine delle pubblicazioni finanziate con fondi pubblici e dei dati ad esse collegati. Infine, si raccomanda l'individuazione, entro la fine dell'anno (il 2012!), di un punto di contatto nazionale che coordini la messa in pratica dei principi esposti nella raccomandazione, in modo coordinato rispetto sia alle attività della Commissione Europea in materia di accesso aperto che alle iniziative intraprese negli altri stati membri dello spazio europeo della ricerca. Per il prossimo programma quadro, Horizon 2020, è al vaglio del Parlamento Europeo la proposta di estendere l'obbligo di deposito open access a tutti i progetti di ricerca finanziati (per circa 80 milioni di euro). Dieci anni dopo la BOAI,⁷ i partecipanti al seminario del 2002 si sono nuovamente riuniti, per tirare le somme di un decennio di accesso aperto. Il risultato è la BOAI10, documento programmatico per il periodo 2012-2022,

⁷L'articolo per il decennale della BOAI è in linea alla URL <http://www.soros.org/voices/ten-years-on-researchers-embrace-open-access>.

ritenuto cruciale ai fini del successo vero e proprio dell'OA. Il cammino iniziato nel 2002 si può considerare arrivato a metà percorso; l'esperienza maturata finora servirà a fare sì che l'accesso aperto *is the default position for Horizon 2020, and we're going to have to find a way to work within that*,⁸ come ribadito dal Commissario Europeo Marié Geoghegan-Quinn. La BOAI10 conferma il sostegno ad entrambe le vie dell'accesso aperto, la Green Road degli archivi aperti e la Gold Road delle riviste OA che compaiono per la prima volta proprio nella BOAI del 2002. Affinché l'accesso all'informazione possa considerarsi davvero capillare, le due strategie non devono essere affatto alternative, bensì complementari. A dieci anni da quando si sono compiuti i primi passi dell'accesso aperto nel mondo della conoscenza scientifica, il bilancio globale che se ne può trarre è positivo, pur se non quantitativamente rilevante, in termini assoluti. OpenDOAR e ROAR, repertori internazionali di repository open access, registrano un numero di archivi aperti, secondo il modello della Green Road dell'accesso aperto, variabile tra i 2000 e i quasi 3000.⁹ DOAJ, la Directory of Open Access Journals, include quasi 8.000 riviste ad accesso aperto secondo quella che viene definita la Gold Road dell'Open Access.¹⁰ Inoltre, nel corso del 2012, infine, è stata anche avviata DOAB,¹¹ la Directory of Open Access Books, che vede la partecipazione all'iniziativa di una trentina di editori per circa 1.100 monografie ad accesso aperto. Rileggere questi documenti sulla storia del movimento per l'accesso aperto all'informazione scientifica a dieci anni di distanza fa allora riflettere sì sui progressi fatti, spesso

⁸In un'intervista rilasciata lo scorso 9 novembre 2012 al newsmagazine DW <http://www.dw.de/geoghegan-quinn-open-access-is-the-default/a-16294652>.

⁹OpenDOAR <http://opendoar.org/find.php?accoglie2233>, ROAR, <http://roar.eprints.org/>, invece 3018 (dati del 24 novembre 2012).

¹⁰<http://www.doaj.org>.

¹¹DOAB <http://www.doabooks.org/>: all'iniziativa partecipa, tra gli altri, la Firenze University Press.

grazie all'impegno congiunto di esponenti dei vari mondi coinvolti (ricercatori, editori, bibliotecari), ma fa anche realizzare che la strada da fare è ancora molta, soprattutto per quanto riguarda l'attività di promozione dell'OA presso gli editori. È vero che molti di essi hanno iniziato ad offrire, in maniera sempre più consistente, la possibilità di pubblicare su riviste cosiddette ibride, che consentono la pubblicazione di articoli ad accesso aperto su riviste tradizionali (a costi, forse, ancora poco sostenibili per il mondo della ricerca), ma è anche vero che altri mantengono in essere politiche editoriali considerate dannose per il progresso scientifico, fenomeno che ha dato il via, all'inizio del 2012, alla cosiddetta primavera accademica: gli autori che vi hanno preso parte hanno fermamente dichiarato di non voler pubblicare e prestarsi come revisori o correttori di articoli fino a quando non verranno modificate le politiche editoriali e i costi di accesso all'informazione.¹² Una speranza positiva in questo senso è data dal consorzio SCOAP3, un progetto che, rispondendo a una richiesta della comunità dei fisici delle particelle, ha dato il via a una trattativa con gli editori al fine di dare accesso aperto alle riviste del settore, spostando i costi degli abbonamenti e riducendo le Article Processing Charges.¹³ L'impegno per il decennio che verrà dovrà essere fattivo, e portare a cambiamenti tangibili su aspetti quali le politiche a favore dell'accesso aperto così come le licenze, la realizzazione di infrastrutture adeguate al deposito e alla conservazione (ed accesso) a lungo termine ai prodotti della ricerca, oltre che all'advocacy e all'impegno affinché le strategie per favorire l'accesso aperto siano coordinate in tutti gli stati membri da istituzioni, editori e da tutti gli interessati. L'augurio è che anche l'Italia si allinei a

¹²The Cost of Knowledge <http://thecostofknowledge.com/> è il sito web che raccoglie le firme e le dichiarazioni di autori e ricercatori contrari alle politiche editoriali di Elsevier.

¹³Su SCOAP3 è disponibile un sito aggiornato sulle ultime novità dal consorzio, coordinato dal CERN: <http://scoap3.org/>.

quanto accade in Europa in materia di Open Access. Nonostante la maggior parte degli atenei abbia infatti firmato la Dichiarazione di Messina, i documenti più diffusi nei repository istituzionali italiani sono le tesi di dottorato, unica tipologia soggetta a quanto di più simile esista a un obbligo di deposito: sono 37 gli atenei ad aver deliberato l'obbligo di deposito ad accesso aperto delle tesi di dottorato prodotte nell'istituzione,¹⁴ ma in questi archivi in molti casi non c'è nient'altro. Inoltre, la Legge 240/2010, che ha richiesto agli atenei la riscrittura degli statuti che regolamentano l'attività delle università, è stata per alcuni occasione di inserire una dichiarazione di principio a sostegno dell'accesso aperto alla conoscenza scientifica. Il dibattito è stato lungo e spesso faticoso, per la necessità di dover tenere in considerazione vari aspetti a volte contrastanti di una posizione più o meno a favore dell'open access. Il risultato di questa riforma è che 35 atenei italiani hanno inserito nei nuovi statuti una clausola sull'importanza dell'accesso aperto e sul sostegno dato dall'istituzione a tale movimento. Il timore però è che a tali dichiarazioni di principio non facciano seguito i fatti, quando sarà il momento di redigere i regolamenti attuativi. Va meglio per quanto riguarda le riviste ad accesso aperto: molti atenei hanno messo online e open riviste tradizionalmente legate a pubblicazione cartacea, riuscendo in molti casi a creare prodotti editoriali nuovi e interessanti. DOAJ elenca 240 riviste italiane, ma l'elenco non è esaustivo. Alcuni atenei hanno riviste ad accesso aperto su piattaforme di vario genere, anche se il software più utilizzato allo scopo è OJS (Open Journal System). Contrariamente alle tendenze in corso in ambito internazionale, inoltre, si rileva che le riviste open access italiane sono per lo più di area sociale o umanistica, e per la maggior parte in italiano e altre lingue (Galimberti e Marchitelli).

¹⁴Secondo quanto raccomandato dalle linee guida elaborate dal GDL OA CRUI, disponibili a partire dalla URL <http://www.cru.it/HomePage.aspx?ref=894>.

Riferimenti bibliografici

Galimberti, Paola e Andrea Marchitelli. «Change is glacially slow (but it happens): challenges and opportunities for the HSS». **proceedings** di PKP Scholarly Publishing Conference, Berlin. 2011. http://eprints.rclis.org/handle/10760/16159#.ULic_NPjIMc. (Cit. a p. 8).

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The present article aims at offering an overview on the milestones of the Open Access movement in its first decade. The main declarations, statements and documents are described.

KEYWORDS: Open Access; Scholarly Communication.

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Budapest Open Access Initiative

An old tradition and a new technology have converged to make possible an unprecedented public good. The old tradition is the willingness of scientists and scholars to publish the fruits of their research in scholarly journals without payment, for the sake of inquiry and knowledge. The new technology is the internet. The public good they make possible is the world-wide electronic distribution of the peer-reviewed journal literature and completely free and unrestricted access to it by all scientists, scholars, teachers, students, and other curious minds. Removing access barriers to this literature will accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge.

For various reasons, this kind of free and unrestricted online availability, which we will call open access, has so far been limited to small portions of the journal literature. But even in these limited collections, many different initiatives have shown that open access is economically feasible, that it gives readers extraordinary power to find and make use of relevant literature, and that it gives authors and their works vast and measurable new visibility, readership, and impact. To secure these benefits for all, we call on all interested institutions and individuals to help open up access to the rest of this



literature and remove the barriers, especially the price barriers, that stand in the way. The more who join the effort to advance this cause, the sooner we will all enjoy the benefits of open access.

The literature that should be freely accessible online is that which scholars give to the world without expectation of payment. Primarily, this category encompasses their peer-reviewed journal articles, but it also includes any unreviewed preprints that they might wish to put online for comment or to alert colleagues to important research findings. There are many degrees and kinds of wider and easier access to this literature. By "open access" to this literature, we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

While the peer-reviewed journal literature should be accessible online without cost to readers, it is not costless to produce. However, experiments show that the overall costs of providing open access to this literature are far lower than the costs of traditional forms of dissemination. With such an opportunity to save money and expand the scope of dissemination at the same time, there is today a strong incentive for professional associations, universities, libraries, foundations, and others to embrace open access as a means of advancing their missions. Achieving open access will require new cost recovery models and financing mechanisms, but the significantly lower overall cost of dissemination is a reason to be confident that the goal is attainable and not merely preferable or utopian.

To achieve open access to scholarly journal literature, we recommend two complementary strategies.

1. **Self-Archiving:** First, scholars need the tools and assistance to deposit their refereed journal articles in open electronic archives, a practice commonly called, self-archiving. When these archives conform to standards created by the Open Archives Initiative, then search engines and other tools can treat the separate archives as one. Users then need not know which archives exist or where they are located in order to find and make use of their contents.
2. **Open-access Journals:** Second, scholars need the means to launch a new generation of journals committed to open access, and to help existing journals that elect to make the transition to open access. Because journal articles should be disseminated as widely as possible, these new journals will no longer invoke copyright to restrict access to and use of the material they publish. Instead they will use copyright and other tools to ensure permanent open access to all the articles they publish. Because price is a barrier to access, these new journals will not charge subscription or access fees, and will turn to other methods for covering their expenses. There are many alternative sources of funds for this purpose, including the foundations and governments that fund research, the universities and laboratories that employ researchers, endowments set up by discipline or institution, friends of the cause of open access, profits from the sale of add-ons to the basic texts, funds freed up by the demise or cancellation of journals charging traditional subscription or access fees, or even contributions from the researchers themselves. There is no need to favor one of these solutions over the others for all disciplines or nations, and no need to stop looking for other, creative alternatives.

Open access to peer-reviewed journal literature is the goal. Self-archiving (I.) and a new generation of open-access journals (II.) are the ways to attain this goal. They are not only direct and effective means to this end, they are within the reach of scholars themselves, immediately, and need not wait on changes brought about by markets or legislation. While we endorse the two strategies just outlined, we also encourage experimentation with further ways to make the transition from the present methods of dissemination to open access. Flexibility, experimentation, and adaptation to local circumstances are the best ways to assure that progress in diverse settings will be rapid, secure, and long-lived.

The Open Society Institute, the foundation network founded by philanthropist George Soros, is committed to providing initial help and funding to realize this goal. It will use its resources and influence to extend and promote institutional self-archiving, to launch new open-access journals, and to help an open-access journal system become economically self-sustaining. While the Open Society Institute's commitment and resources are substantial, this initiative is very much in need of other organizations to lend their effort and resources.

We invite governments, universities, libraries, journal editors, publishers, foundations, learned societies, professional associations, and individual scholars who share our vision to join us in the task of removing the barriers to open access and building a future in which research and education in every part of the world are that much more free to flourish.



Original version:

<http://www.opensocietyfoundations.org/openaccess/read>

"Budapest Open Access Initiative". Republished in *JLIS.it*. Vol.3, n.2
(Dicembre/December 2012): Art. #8629, p. 1–5. DOI: [10.4403/jlis.it-8629](https://doi.org/10.4403/jlis.it-8629). Web.

ABSTRACT: The Budapest Open Access Initiative was issued in 2002 and represents a milestone in the history of the Open Access movement, since it gives the first definition of what OA is.

KEYWORDS: BOAI; Open Access; Scholarly communication





Bethesda Statement on Open Access Publishing

Summary of the April 11, 2003, Meeting on Open Access Publishing

The following statements of principle were drafted during a one-day meeting held on April 11, 2003 at the headquarters of the Howard Hughes Medical Institute in Chevy Chase, Maryland. The purpose of this document is to stimulate discussion within the biomedical research community on how to proceed, as rapidly as possible, to the widely held goal of providing open access to the primary scientific literature. Our goal was to agree on significant, concrete steps that all relevant parties –the organizations that foster and support scientific research, the scientists that generate the research results, the publishers who facilitate the peer-review and distribution of results of the research, and the scientists, librarians and other who depend on access to this knowledge– can take to promote the rapid and efficient transition to open access publishing.

A list of the attendees is given following the statements of principle; they participated as individuals and not necessarily as representatives of their institutions. Thus, this statement, while reflecting the group consensus, should not be interpreted as carrying the un-



qualified endorsement of each participant or any position by their institutions.

Our intention is to reconvene an expanded group in a few months to draft a final set of principles that we will then seek to have formally endorsed by funding agencies, scientific societies, publishers, librarians, research institutions and individual scientists as the accepted standard for publication of peer-reviewed reports of original research in the biomedical sciences.

The document is divided into four sections: The first is a working definition of open access publication. This is followed by the reports of three working groups.

Definition of Open Access Publication

An Open Access Publication¹ is one that meets the following two conditions:

1. The author(s) and copyright holder(s) grant(s) to all users a free, irrevocable, worldwide, perpetual right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship,² as well as the right to make small numbers of printed copies for their personal use.
2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in a suitable standard electronic format is deposited immediately upon initial publication in at least one online repository that is

¹Open access is a property of individual works, not necessarily journals or publishers.

²Community standards, rather than copyright law, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now.

supported by an academic institution, scholarly society, government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, interoperability, and long-term archiving (for the biomedical sciences, PubMed Central is such a repository).

Statement of the Institutions and Funding Agencies Working Group

Our organizations sponsor and nurture scientific research to promote the creation and dissemination of new ideas and knowledge for the public benefit. We recognize that publication of results is an essential part of scientific research and the costs of publication are part of the cost of doing research. We already expect that our faculty and grantees share their ideas and discoveries through publication. This mission is only half-completed if the work is not made as widely available and as useful to society as possible. The Internet has fundamentally changed the practical and economic realities of distributing published scientific knowledge and makes possible substantially increased access.

To realize the benefits of this change requires a corresponding fundamental change in our policies regarding publication by our grantees and faculty:

1. We encourage our faculty/grant recipients to publish their work according to the principles of the open access model, to maximize the access and benefit to scientists, scholars and the public throughout the world.
2. We realize that moving to open and free access, though probably decreasing total costs, may displace some costs to the

individual researcher through page charges, or to publishers through decreased revenues, and we pledge to help defray these costs. To this end we agree to help fund the necessary expenses of publication under the open access model of individual papers in peer-reviewed journals (subject to reasonable limits based on market conditions and services provided).

3. We reaffirm the principle that only the intrinsic merit of the work, and not the title of the journal in which a candidate's work is published, will be considered in appointments, promotions, merit awards or grants.
4. We will regard a record of open access publication as evidence of service to the community, in evaluation of applications for faculty appointments, promotions and grants. We adopt these policies in the expectation that the publishers of scientific works share our desire to maximize public benefit from scientific knowledge and will view these new policies as they are intended –an opportunity to work together for the benefit of the scientific community and the public.

Statement of the Libraries & Publishers Working Group

We believe that open access will be an essential component of scientific publishing in the future and that works reporting the results of current scientific research should be as openly accessible and freely useable as possible. Libraries and publishers should make every effort to hasten this transition in a fashion that does not disrupt the orderly dissemination of scientific information.

Libraries propose to:

1. Develop and support mechanisms to make the transition to open access publishing and to provide examples of these mechanisms to the community. In our education and outreach activities, give high priority to teaching our users about the benefits of open access publishing and open access journals.
2. List and highlight open access journals in our catalogs and other relevant databases.

Journal publishers propose to:

1. Commit to providing an open access option for any research article published in any of the journals they publish.
2. Declare a specific timetable for transition of journals to open access models.
3. Work with other publishers of open access works and interested parties to develop tools for authors and publishers to facilitate publication of manuscripts in standard electronic formats suitable for archival storage and efficient searching.
4. Ensure that open access models requiring author fees lower barriers to researchers at demonstrated financial disadvantage, particularly those from developing countries.

Statement of Scientists and Scientific Societies Working Group

Scientific research is an interdependent process whereby each experiment is informed by the results of others. The scientists who perform research and the professional societies that represent them

have a great interest in ensuring that research results are disseminated as immediately, broadly and effectively as possible. Electronic publication of research results offers the opportunity and the obligation to share research results, ideas and discoveries freely with the scientific community and the public.

Therefore:

1. We endorse the principles of the open access model.
2. We recognize that publishing is a fundamental part of the research process, and the costs of publishing are a fundamental cost of doing research.
3. Scientific societies agree to affirm their strong support for the open access model and their commitment to ultimately achieve open access for all the works they publish. They will share information on the steps they are taking to achieve open access with the community they serve and with others who might benefit from their experience.
4. Scientists agree to manifest their support for open access by selectively publishing in, reviewing for and editing for open access journals and journals that are effectively making the transition to open access.
5. Scientists agree to advocate changes in promotion and tenure evaluation in order to recognize the community contribution of open access publishing and to recognize the intrinsic merit of individual articles without regard to the titles of the journals in which they appear.
6. Scientists and societies agree that education is an indispensable part of achieving open access, and commit to educate their colleagues, members and the public about the importance of open access and why they support it.



Original version:

<http://www.earlham.edu/~peters/fos/bethesda.htm>

"Bethesda Statement on Open Access Publishing". Republished in *JLIS.it*. Vol.3, n.2 (Dicembre/December 2012): Art. #8628, p. 1–7. DOI: [10.4403/jlis.it-8628](https://doi.org/10.4403/jlis.it-8628). Web.

ABSTRACT: Issued in April 2003, the Bethesda Statement on Open Access Publishing defines and supports the concept of open access.

KEYWORDS: Biomedical research; Open Access; Scholarly communication; Scientific literature.





Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

Preface

The Internet has fundamentally changed the practical and economic realities of distributing scientific knowledge and cultural heritage. For the first time ever, the Internet now offers the chance to constitute a global and interactive representation of human knowledge, including cultural heritage and the guarantee of worldwide access.

We, the undersigned, feel obliged to address the challenges of the Internet as an emerging functional medium for distributing knowledge. Obviously, these developments will be able to significantly modify the nature of scientific publishing as well as the existing system of quality assurance.

In accordance with the spirit of the Declaration of the Budapest Open Access Initiative, the ECHO Charter and the Bethesda Statement on Open Access Publishing, we have drafted the Berlin Declaration to promote the Internet as a functional instrument for a global scientific knowledge base and human reflection and to specify measures which research policy makers, research institutions, funding agencies, libraries, archives and museums need to consider.



Goals

Our mission of disseminating knowledge is only half complete if the information is not made widely and readily available to society. New possibilities of knowledge dissemination not only through the classical form but also and increasingly through the open access paradigm via the Internet have to be supported. We define open access as a comprehensive source of human knowledge and cultural heritage that has been approved by the scientific community.

In order to realize the vision of a global and accessible representation of knowledge, the future Web has to be sustainable, interactive, and transparent. Content and software tools must be openly accessible and compatible.

Definition of an Open Access Contribution

Establishing open access as a worthwhile procedure ideally requires the active commitment of each and every individual producer of scientific knowledge and holder of cultural heritage. Open access contributions include original scientific research results, raw data and metadata, source materials, digital representations of pictorial and graphical materials and scholarly multimedia material.

Open access contributions must satisfy two conditions:

1. The author(s) and right holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship (community standards, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they

do now), as well as the right to make small numbers of printed copies for their personal use.

2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in an appropriate standard electronic format is deposited (and thus published) in at least one online repository using suitable technical standards (such as the Open Archive definitions) that is supported and maintained by an academic institution, scholarly society, government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, inter operability, and long-term archiving.

Supporting the Transition to the Electronic Open Access Paradigm

Our organizations are interested in the further promotion of the new open access paradigm to gain the most benefit for science and society. Therefore, we intend to make progress by

- encouraging our researchers/grant recipients to publish their work according to the principles of the open access paradigm.
- encouraging the holders of cultural heritage to support open access by providing their resources on the Internet. developing means and ways to evaluate open access contributions and online-journals in order to maintain the standards of quality assurance and good scientific practice.
- advocating that open access publication be recognized in promotion and tenure evaluation.

- advocating the intrinsic merit of contributions to an open access infrastructure by software tool development, content provision, metadata creation, or the publication of individual articles.

We realize that the process of moving to open access changes the dissemination of knowledge with respect to legal and financial aspects. Our organizations aim to find solutions that support further development of the existing legal and financial frameworks in order to facilitate optimal use and access.



Original version:

<http://oa.mpg.de/berlin-prozess/berliner-erklarung/>

Original Italian version:

http://oa.mpg.de/files/2010/04/BerlinDeclaration_it.pdf

“Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities”.
Republished in *JLIS.it*. Vol.3, n.2 (Dicembre/December 2012) p. 1–5. DOI:
[10.4403/jlis.it-8625](https://doi.org/10.4403/jlis.it-8625). Web.

ABSTRACT: Issued in 2003, the Berlin Declaration aims to promote the Internet as a functional instrument for a global scientific knowledge base and human reflection and to specify measures which research policy makers, research institutions, funding agencies, libraries, archives and museums need to consider.

KEYWORDS: Open access; Scholarly communication.





Italian Declaration supporting the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (Messina Declaration)

PREAMBLE

WHEREAS a global dissemination of scientific knowledge has a fundamental importance for the cultural and economic progress of society;

WHEREAS national and international academic communities feel the need to identify alternative models of scientific communication that can provide the largest dissemination and the highest impact to their research output;

WHEREAS a growing number of international initiatives have identified "open access" to scholarly literature as the basic dissemination tool for cultural heritage and research output;

WHEREAS the Berlin Declaration, in accordance with the spirit of the Declaration of the Budapest Open Access Initiative, the ECHO Charter and the Bethesda Statement on Open Access Publishing, has among its goals the support to "new possibilities of knowledge dissemination not only through the classical form but also and increasingly through the open access paradigm via the Internet";



WHEREAS these principles have been stated and agreed as important by the university delegates convened in Messina, recognising the international high profile of the academic, cultural and research institutions that have signed the Berlin Declaration;

THE RECTORS AND DELEGATES PRESENT DECLARE

to agree to the "Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities", wishing that this act will represent just the first and significant contribution from Italian Universities to a broader and faster dissemination of scientific knowledge.



Original version: <http://www.aepic.it/conf/Messina041/viewpaper5af5.pdf?id=49&cf=1>

English version: <http://www.aepic.it/conf/Messina041/viewappendix6d21.pdf?id=49&ap=1&cf=1>

"Italian Declaration supporting the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (Messina Declaration)". Republished in *JLIS.it*. Vol.3, n.2 (Dicembre/December 2012): Art. #8630, p. 1–3. DOI: [10.4403/jlis.it-8630](https://doi.org/10.4403/jlis.it-8630). Web.

ABSTRACT: The so-called Messina Declaration supporting the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities was signed by most Italian Universities in 2004.

KEYWORDS: Italy; Open Access; Universities.





IFLA Statements on Open Access

IFLA Statement on Open Access to Scholarly Literature and Research Documentation (2004)

IFLA (the International Federation of Library Associations and Institutions) is committed to ensuring the widest possible access to information for all peoples in accordance with the principles expressed in the Glasgow Declaration on Libraries, Information Services and Intellectual Freedom. IFLA acknowledges that the discovery, contention, elaboration and application of research in all fields will enhance progress, sustainability and human well being. Peer reviewed scholarly literature is a vital element in the processes of research and scholarship. It is supported by a range of research documentation, which includes pre-prints, technical reports and records of research data. IFLA declares that the world-wide network of library and information services provides access to past, present and future scholarly literature and research documentation; ensures its preservation; assists users in discovery and use; and offers educational programs to enable users to develop lifelong literacies. IFLA affirms that comprehensive open access to scholarly literature and research documentation is vital to the understanding of our



world and to the identification of solutions to global challenges and particularly the reduction of information inequality. Open access guarantees the integrity of the system of scholarly communication by ensuring that all research and scholarship will be available in perpetuity for unrestricted examination and, where relevant, elaboration or refutation. IFLA recognises the important roles played by all involved in the recording and dissemination of research, including authors, editors, publishers, libraries and institutions, and advocates the adoption of the following open access principles in order to ensure the widest possible availability of scholarly literature and research documentation:

1. **Acknowledgement** and defence of the moral rights of authors, especially the rights of attribution and integrity.
2. **Adoption** of effective peer review processes to assure the quality of scholarly literature irrespective of mode of publication.
3. **Resolute opposition** to governmental, commercial or institutional censorship of the publications deriving from research and scholarship.
4. **Succession** to the public domain of all scholarly literature and research documentation at the expiration of the limited period of copyright protection provided by law, which period should be limited to a reasonable time, and the exercise of fair use provisions, unhindered by technological or other constraints, to ensure ready access by researchers and the general public during the period of protection.
5. **Implementation** of measures to overcome information inequality by enabling both publication of quality assured scholarly literature and research documentation by researchers and scholars who may be disadvantaged, and also ensuring effective

and affordable access for the peoples of developing nations and all who experience disadvantage including the disabled.

6. **Support** for collaborative initiatives to develop sustainable open access* publishing models and facilities including encouragement, such as the removal of contractual obstacles, for authors to make scholarly literature and research documentation available without charge.
7. **Implementation** of legal, contractual and technical mechanisms to ensure the preservation and perpetual availability, usability and authenticity of all scholarly literature and research documentation.

This statement was adopted by the Governing Board of IFLA at its meeting in The Hague on 5th December 2003.



Definition of open access publication

An open access publication is one that meets the following two conditions:

1. The author(s) and copyright holder(s) grant(s) to all users a free, irrevocable, world-wide, perpetual (for the lifetime of the applicable copyright) right of access to, and a licence to copy, use, distribute, perform and display the work publicly and to make and distribute derivative works in any digital medium for any reasonable purpose, subject to proper attribution of authorship, as well as the right to make small numbers of printed copies for their personal use.

2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in a suitable standard electronic format is deposited immediately upon initial publication in at least one online repository that is supported by an academic institution, scholarly society, government agency, or other well-established organisation that seeks to enable open access, unrestricted distribution, interoperability, and long-term archiving.

An open access publication is a property of individual works, not necessarily of journals or of publishers.

Community standards, rather than copyright law, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now.

This definition of open access publication has been taken from A Position statement by the Wellcome Trust in support of open access publishing and was based on the definition arrived at by delegates who attended a meeting on open access publishing convened by the Howard Hughes Medical Institute in July 2003.

Original version:

<http://archive.ifla.org/V/cdoc/open-access04.html>



IFLA Statement on open access – clarifying IFLA’s position and strategy (2010)¹

The International Federation of Library Associations and Institutions (IFLA) is committed to the principles of freedom of access to information and the belief that universal and equitable access to information is vital for the social, educational, cultural, democratic, and economic well-being of people, communities, and organizations. Open access is the now known name for a concept, a movement and a business model whose goal is to provide free access and re-use of scientific knowledge in the form of research articles, monographs, data and related materials. Open access does this by shifting today’s prevalent business models of after-publication payment by subscribers to a funding model that does not charge readers or their institutions for access. Thus, open access is an essential issue within IFLA’s information agenda.

Definition of open access

As an initial action, IFLA has signed the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities. IFLA adheres to the definition of open access used in the Berlin Declaration and will use it in public communication and contacts with various organizations.²

¹A resolution to the IFLA General Assembly on August 14, 2010, called on IFLA to clarify its position on open access and to develop a strategy for action. This task was commissioned to the President’s Working Group for Open Access by the Professional Board.

²**Definition of an Open Access Contribution**

Establishing open access as a worthwhile procedure ideally requires the active commitment of each and every individual producer of scientific knowledge and holder of cultural heritage. Open access contributions include original scientific research

A clear focus on the access issue

IFLA acknowledges that there are a number of worthwhile objectives, besides open access, concerning the development of the system of scientific and scholarly communication, such as

- implementing a rigorous system for the control of scientific quality;
- providing long-term preservation of research information;
- safeguarding freedom from censorship;
- offering efficient and user-friendly services;
- fostering activities that support "information literacy";

results, raw data and metadata, source materials, digital representations of pictorial and graphical materials and scholarly multimedia material.

Open access contributions must satisfy two conditions:

1. The author(s) and right holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship (community standards, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now), as well as the right to make small numbers of printed copies for their personal use.
2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in an appropriate standard electronic format is deposited (and thus published) in at least one online repository using suitable technical standards (such as the Open Archive definitions) that is supported and maintained by an academic institution, scholarly society, government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, inter operability, and long-term archiving."

- expanding bandwidth and other essential infrastructure that underlies robust access to information.

There is a positive synergy between promoting open access and pursuing these other essential objectives, and IFLA supports a number of activities related to them; however, they are not identical to open access as herein defined, and neither requires the other. IFLA will promote open access with a clear focus on the access issue.

The current model does not guarantee access and is not sustainable

As the rate and amount of research publication in various forms is rapidly expanding, the current predominant scholarly communication model – via scholarly journals subscriptions – is hardly sustainable and not working effectively in the interests of the global community. Scholarly journals are subject to rapid price escalations and there are no clear and consistent correlations between price, quality and impact. Even the most well endowed research library cannot afford to purchase all of the content requested by its faculty and students. The situation is even more critical for smaller college and universities and largely unacceptable for institutions in the developing world, with severely limited or no budgets. Existing development initiatives to some extent compensate for the lack of access to crucial information, but these initiatives are dependent on publisher decisions, which are made unilaterally. There is growing dissatisfaction among major players. Authors are concerned because their work is not seen by all their peers, they may not get the global recognition they seek, and often they continue, even unnecessarily, to transfer copyright, which limits the use and reuse of their own works. Readers cannot access

all the scholarly literature they need, and thus their research activities can be less effective. Society as a whole suffers from inefficient communication channels that prevent innovations and development. The widespread sharing of research results is an essential component of governments' investment in science. Faster and wider sharing of knowledge fuels the advancement of science and, accordingly, the return of health, economic, and social benefits back to the public. Not surprisingly, librarians have been amongst the most vocal advocates for open access.

The benefits of open access

There are significant gains to making research and research results available without financial, legal and technical barriers to access. Researchers benefit from increased visibility, usage and impact for their work. Open access helps to publicise institutions' research strengths. For publishers, open access brings maximum visibility, increased readership and impact for the contents; it means that a greatly improved dissemination service is being provided for research. Open access enhances the flow of knowledge between North and South and also between South and South.

Open access and the changing role of libraries

Libraries play an essential role in open access developments by their expertise in building infrastructure, in creating user-friendly services of high quality and in securing long-term access. Librarians have shown their support for open access by signing open access initiatives and petitions. They have educated faculty and administrators about evolving scholarly communication environment. Libraries have partnered with faculty and research managers to set up open access repositories and to help faculty and

students deposit their research outputs. Librarians have provided support in research data curation and sharing. They have helped scholarly publishers to publish open access journals and books, and they have worked with educators to produce open educational resources ensuring the quality of digital content, its reuse and sharing. Open access has thus changed the profile of academic and research libraries. National libraries are involved in developing national open access policies and supporting national research infrastructures and open access to cultural heritage. Public libraries disseminate open access content targeted for their users. And, according to the IFLA World Report 2010, the vast majority of library associations support open access.

Promoting open access in cooperating with international organizations

IFLA will work with global organizations and fora such as UN, UNESCO, WHO, WIPO, WSIS and others in promoting and advocating open access to publicly funded research, educational resources and cultural heritage. In its contacts and cooperation with these organizations, IFLA will explicitly state that open access in its authoritative meaning is required for the progress of science, the development of society and true citizenship. Open access will provide users with the access they desire and enable libraries to maximize their role, thus improving global health and human well-being.

Connecting to the open access movement

Open access to research, educational resources and research data is now a global movement. Many organizations are working towards this goal. IFLA will connect to these organizations, not duplicating

effort, but rather creating synergy. IFLA will establish partnerships with and provide support to organizations, programmes, initiatives and services that are promoting of Open Access, such as SPARC (US/Europe/Japan), COAR, OASPA, Bioline International & DOAJ, among others. IFLA will prepare joint statements with these organizations.

Working with the IFLA membership

Open access is a central pillar of IFLA's Strategic Plan 2010-2015 in which a whole-of-organisation approach is taken to integrating the issue into IFLA's current and proposed activities. IFLA will advise its member associations in regard to:

- promoting open access in national policies;
- stimulating library members to promote open access in their communities and to implement measures to enlarge the impact of open access;
- enriching the local and national information infrastructure in order to stimulate open access;
- assistance in the work for national policies regarding open access to knowledge, as well as to publicly funded research and cultural heritage;
- supporting organizations, programmes, initiatives and services that are working for the promotion of open access.

Together with partners as SPARC, EIFL and LIBER, IFLA will also provide its member associations with advocacy material and practical guidelines in line with the recommendations.

IFLA's publications will be open access

IFLA will develop a transition plan that specifies the steps to be taken to transform IFLA's publications into open access.



Original version: <http://www.ifla.org/files/assets/hq/news/documents/ifla-statement-on-open-access.pdf>

"IFLA Statement on Open Access". Republished in *JLIS.it*. Vol.3, n.2 (Dicembre/December 2012): Art. #8639, p. 1–12. DOI: [10.4403/jlis.it-8639](https://doi.org/10.4403/jlis.it-8639). Web.

ABSTRACT: In late 2003, the International Federation of Library Association adopted a statement in order to ensuring the widest possible access to information for all peoples. In 2010, IFLA revised its Statement and reaffirmed its support to the Open Access movement.

KEYWORDS: IFLA; Libraries; Open Access, Scholarly communication.





Alhambra declaration on Open Access

Gathered in Granada on 13th and 14th May 2010, a representative group of Open Access' stakeholders (such as editors, librarians, funding agencies, university rectors and authors) from the South European countries (representing Spain, Portugal, France, Italy, Greece and Turkey) declare that:

- we recognize the great potentialities of Open Access for increasing the accessibility and visibility of the scientific production of Southern European countries, whose main languages are different from English;
- we are aware that the feasibility of Open Access is strongly related to the progressive evolution towards a new paradigm of scholarly and scientific communication;
- we consider that there exist difficulties for the development of Open Access in a moment of transition from the print era to the digital world.



1 Recommendations for policies for the development of OA in Southern Europe

We recommend:

1. implementing policies for fostering Open Access to scientific information;
2. enhancing advocacy initiatives to promote Open Access among researchers, policy makers, etc.;
3. building sustainable alternative business models for publishing;
4. assuring quality of Open Access publications;
5. fostering repositories.

We are committed to:

- exploring new forms of coordination and networking between European Open Access stakeholders;
- making a sustained effort to implement the attached action plan to develop Open Access in Southern European countries.

1.1 Implementing policies for fostering Open Access to scientific information

We recommend:

- institutional policies from research and academic institutions:
 - mandatory depositing in OA repositories;
 - supporting publication in OA journals and facilitating the transition to OA journals;

- establishing rewards and incentives for compliance with OA policies;
- considering repository-deposited material for evaluation processes and research assessment.
- Institutional policies from research funders:
 - mandatory depositing in Open Access repositories;
 - reimbursing authors for publication fees, if necessary.
- National policies from governments:
 - establishing and developing Open Access initiatives, projects and infrastructures that foster coordination and cooperation.
- SELL and library consortia:
 - negotiating, lobbying and facilitating the establishment of new research output dissemination rights that foster Open Access.

1.2 Enhancing advocacy initiatives to promote Open Access

Being aware that Open Access is not only a concern of librarians, we recommend, apart from the traditional advocacy tools that have so far appeared to be successful:

- advocacy by facts and evidence of the benefits, mainly aimed at researchers and focusing on visibility, technology and usage, among other issues;

- targeted advocacy for specific stakeholders by creating a brand focusing on the message that Open Access is the main road to future sustainable science, and as a means for attracting other stakeholders besides librarians.

1.3 Building sustainable alternative business models for publishing

We recommend:

- launching a survey on current business models to document practices and economies in scholarly publishing in order to support future planning and actions.

1.4 Assuring quality of Open Access journals and repositories

We recommend:

- Journals:
 - guaranteeing the quality of Open Access journals' content through peer review procedures (as in any other scholarly journal) and guaranteeing the editorial quality through compliance with international guidelines and standards (taking into account different disciplines);
 - eliminating embargo policies.
- Repositories:
 - advancing in repository validation and certification;
 - advancing in the definition of clear policies (copyright, preservation, work-flows, what is deposited and by whom);
 - improving interoperability.

1.5 Fostering repositories

We recommend:

- promoting long term preservation strategies, policies and programs based on a common approach
- adopting guidelines with references to interoperability standards among repositories and other research and e-science management systems. This guidelines should cover aspects such as data and object exchange, advanced searchability options, integration with other e-science systems, and persistent author and document identifiers;
- progressing towards end-user-friendly repositories with new and value added services such as automatic ingestion and dissemination of content, metrics and statistics.

2 Action plan to develop Open Access in Southern Europe

We are committed to implementing this action plan:

- Diffusion
 - disseminating the “Alhambra Declaration”;
 - publishing the national reports in a single document with recommendations;
 - translation of the “Alhambra declaration” and the seminar docu.
- Task forces and national plans

- creating national task forces for Open Access (based on seminar national delegations and including representatives of all the agents)
 - international coordination of the national task forces in harmony with European related projects;
 - creating national plans and road maps for the next three years.
- Specific actions
 - identifying scientific journals at national level and supporting them in the process (inclusion in DOAJ, funding, and delegating first monitoring steps at the national level);
 - building a website to house our documents and outcomes, such as mandates, recommendations, best practices and incentives);
 - following best practices in the repositories;
 - working towards obtaining the signature of national authorities.

Granada, 13th-14th May 2010

14th May version



Original version: <http://oaseminar.fecyt.es/Publico/AlhambraDeclaration/index.aspx>

“Alhambra declaration on Open Access”. Republished in *JLIS.it*. Vol.3, n.2 (Dicembre/December 2012) p. 1–7. DOI: [10.4403/jlis.it-8632](https://doi.org/10.4403/jlis.it-8632). Web.

ABSTRACT: Issued in 2009, the Alhambra declaration aims at promoting common policies for Open Access in the South of Europe.

KEYWORDS: Open Access policies; Southern Europe.





The Ghent Declaration Initiated by the Reviewers of the EC OpenAIRE Project

Seizing the Opportunity for Open Access to European Research

We commend the European Commission for undertaking the OpenAIRE initiative, which seeks to provide the necessary infrastructure for sharing the knowledge resulting from the EC's funding of research in Europe. As reviewers of this project, we have been impressed by progress made by the OpenAIRE Project after its first year in operation. However, current opportunities for increasing the circulation of knowledge extend well beyond the scope of this project, and we feel it imperative to bring these larger opportunities and issues to the Commission's attention for possible action. We believe these matters are critical to advancing communication between scholars as well as citizens and the public good it represents. We drew up this declaration in the spirit of the statement that Neelie Kroes, Vice-President of the European Commission for the Digital Agenda, delivered at the OpenAIRE Launch: "Scientific information has the power to transform our lives for the better – it is too



valuable to be locked away. In addition, every EU citizen has the right to access and benefit from knowledge produced using public funds." We also welcome the statement made in the OpenAIRE launch event press release by Máire Geoghegan-Quinn, Commissioner for Research, Innovation and Science that "Scientists need access to research results if they are to maximise the potential of further work in the same areas. Industry, not least SMEs, need to know where to find research results if they are to build on them to create jobs and improve the quality of life."

Extending an open knowledge infrastructure

OpenAIRE is an extraordinary initiative on an impressive scale. It has undertaken the process of establishing the infrastructure needed by EC-funded researchers to make their published work Open Access within six-to-twelve months of publication. Having taken these critical initial steps towards greater openness in the advancement of research and scholarship, through both a policy mandate for open access and a provision of infrastructure to support that policy, the EC should now, in our opinion, consider further ways and means of building on this momentum. It should make the most of this digital era for realizing the greater public good that this knowledge represents. Many of the issues we highlight below came out in the presentations and in the panel session at the OpenAire launch event in Ghent on 2 December 2010 and we are encouraged to present them for public consideration in this Ghent Declaration. The opportunity at hand, as we see it, is found in the emerging convergence among open elements in the academic production of knowledge today. Considerable developments have taken place in providing open access to research and scholarship, moves are afoot to provide for open data, to rely on open source software, and to create open ed-

educational resources, all of which are adding to the quality of learning, in its broadest sense. These four open initiatives – open access, open data, open source software, and open educational resources – are not only advancing developments in research and education, they are reducing costs in these areas, making better use of existing computing power, enriching learning experiences, and providing new opportunities for service industries in this knowledge-based economy. For these reasons we believe that the European Commission would do well, going into the future, to consider ways of developing policies, research programs, and infrastructure platforms that support and advance the convergence of these four elements. From this perspective, OpenAIRE represents a first step, in advancing open access, with additional work needed in other areas to achieve a broader opening of research, scholarship, and learning.

Developing the opportunity

The EC could quickly further the convergence between open access and open source software by extending its investment in connecting, indexing and supporting open access repositories (which are based on open source software in most cases) through a similar programme for the support of open publishing platforms. These publishing platforms would allow scholarly societies and teams of scholars to move peer-reviewed journals- and monographs - to open access models. This will not only enable the published versions of research and scholarship to be made freely available, but will ensure that these groups may retain ownership and control over their publishing activities, while achieving the widest possible distribution and use of scholarly works. OpenAIRE's initial efforts at facilitating the connections and exchanges between repositories and such publishing platforms are encouraging in this regard. Open

platforms can expand to include the archiving and indexing of data sets, research instruments, and open educational resources. Better sharing and remixing of these materials will follow, while enabling full attribution and origin rights. Setting up environments for the creative use and re-use of these resources would open new possibilities for the extension of knowledge, for new forms of collaboration, and it would facilitate their integration in teaching at all levels. In the case of education, access to recent research results will greatly increase the vividness and richness of teaching materials, while also providing opportunities for integrating high-quality research activities into classrooms. Finally, we propose an expansion of the EC communication strategies, so that the EC places greater emphasis on the academic, professional, and public value of the humanities and social sciences, as well as the sciences. While open access is made possible by digitization, it is not so much a radical change as a further chapter in the historical expansion of people's right to knowledge.

Immediate policy revisions for greater openness

To secure the full scholarly and educational advantages of the European Commission's OpenAIRE initiative, we recommend two revisions to the EC's open access policy (Special Clause 39, FP7 Grant Agreement):

- firstly, the policy should require that a work deposited in a repository in compliance with the EC policy, should be placed under a non-exclusive license that allows full use of the work. For example, a Creative Commons Attribution license would explicitly enable re-use of the whole or part of the archived

work, while ensuring credits for the authors. At the same time authors may continue to grant publishers the requisite rights over the published version. Otherwise, users will experience unnecessary complications and restrictions in the process of using even a part, such as a table or an illustration from that work, in educational and research settings.

- Secondly, if a publisher refuses open access deposit in an OpenAIRE repository, the Special Clause 39 should nonetheless require EC-funded authors, to submit the publication's metadata to a repository so as to ensure that their work forms part of the EC record of contribution to research and scholarship. This policy will make apparent barriers to non-compliance with deposit in an OpenAIRE repository.

Longer-term policy questions

If the European Commission is to build on the momentum it has achieved in advancing Open Access as part of its Digital Agenda and Innovation Union initiatives, it will also need to face a number of challenging, longer-term questions that these opportunities for greater openness raise:

- what policy implications and research programs should the EC be considering and commissioning to ensure that the four areas of "open" development (affecting publications, data, software, and education) are more productively integrated?
- in what new ways will the public funding of research need to be presented in publicity campaigns to ensure that the new openness and availability of EC and other research is seen as working for the greater public good?

- what new lessons will students and educators need to learn to take advantage of this new openness, and what greater richness will their educational experience consist in, given the wealth of original studies, archives, instruments and tools that openness could make available to them?
- what are the best licensing agreements needed to ensure the best possible use of the materials afforded by OpenAIRE and other open access initiatives? Both research and educational contexts should be kept in mind in this regard.

Europe's knowledge territory

As we see it, the infrastructure and policy developments centred around openness have the potential to transform Europe into a “knowledge territory”, that is a knowledge space structured by means and channels of communication. In other words, the European Commission will be in a position greatly to clarify the meaning and enhance the value of the European Research Area. European researchers, while remaining in touch with the whole world, could also benefit from tools that would allow for better collaboration within Europe. In particular, such goals can be assisted by computers using techniques ranging from data mining to the semantic web. However, machine-based inference techniques work well only if documents are freely accessible, are open to computation, and if adding semantic markup to them does not result in a copyright violation. With such tools, the potential European social network of knowledge could begin to appear, first in the linking of documents, then, by extension, in connections and collaborations among individuals, laboratories and institutions. Synergies at the European level would be greatly facilitated. With such tools, if a new and interesting

piece of work is emerging somewhere in Europe, those potentially concerned by it could and probably would be alerted. In turn, new collaboration possibilities would emerge between all parts of Europe, even when unlikely disciplines, specialities or marginal institutions are involved. Opening access and re-use to the results of research is also an important necessary condition for the proper locating of knowledge in our societies. Open access redefines how knowledge works in and within society. Presently, it is largely produced in specialized circles and it circulates almost exclusively among these centres. Then, at a second level of activity, it is “popularized” by a layer of professional translators, acting between the research world and the larger public. With Open Access, this two-step approach to the circulation of knowledge may not be so obviously necessary. Rather than seeing the world as a two-caste system - the experts and the public at large - Open access infrastructures such as OpenAIRE simply consider the whole population as distributed along an axis of competence. People are not expert or ignorant; they are simply more or less competent, curious, and motivated in their approach to this knowledge. Few have full competence, but, symmetrically, few are totally ignorant. Where the next good idea will come from is unknown, and opening knowledge to everyone may well generate entirely new kinds of creative ideas. While researchers will obviously continue to spearhead knowledge investigations, the rest of the population does not have to be limited to the role of spectators. What has begun with the European Commission’s support of OpenAIRE in advancing open access to research and scholarship offers an extraordinary opportunity for European leadership in repositioning knowledge as a global resource for the benefit of all.



Original version:

Ghent Declaration

<http://www.openaire.eu/en/component/content/article/223-seizing-the-opportunity-for-open-access-to-european-research-ghent-declaration-published1>

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ABSTRACT: Issued in early 2011, the Ghent Declaration invites the EC to take up the current opportunities for increasing the circulation of knowledge beyond the aims of the OpenAIRE initiative.

KEYWORDS: ERA; Europe; Open Access; OpenAIRE.





European Commission recommendation on access to and preservation of scientific information

The European Commission, having regard to the Treaty on the Functioning of the European Union, and in particular Article 292 thereof, whereas:

1. the Communication from the Commission Europe 2020¹ puts forward the development of an economy based on knowledge and innovation as a priority;
2. the targets set by the Europe 2020 strategy are given in more detail in particular in the Flagship Initiatives 'Digital Agenda for Europe'² and 'Innovation Union'.³ Among the actions to be taken under the 'Digital Agenda', publicly funded research

¹COM (2010) 2020 final of 3.3.2010, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF>.

²COM (2010) 245 final/2 of 26.8.2010, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0245:FIN:EN:PDF>.

³COM (2010) 546 final of 6.10.2010, http://ec.europa.eu/research/innovation-union/pdf/innovation-union-communication_en.pdf#view=fit&pagemode=none.



should be widely disseminated through open access publication of scientific data and papers. The ‘Innovation Union’ initiative calls for a European Research Area (ERA) framework to be set up to help remove obstacles to mobility and cross-border cooperation. It states that open access to publications and data from publicly funded research should be promoted and access to publications made the general principle for projects funded by the EU research Framework Programmes;

3. on 14 February 2007, the Commission adopted a Communication on scientific information in the digital age: access, dissemination and preservation,⁴ accompanied by a staff working paper. This provided an overview of the state of play in Europe regarding scientific publishing and the preservation of research results, examining relevant organisational, legal, technical and financial issues;
4. the Communication was followed in November 2007 by Council Conclusions on scientific information in the digital age: access, dissemination and preservation. The Conclusions invited the Commission to experiment with open access to scientific publications resulting from projects funded by EU research framework programmes and included a set of actions to be undertaken by the Member States. There have been advances in some of the areas dealt with in the Conclusions, but not all targets have been met and progress has been uneven among Member States. EU action is needed to make the most of Europe’s research potential;
5. open access policies aim to provide readers with access to peer-reviewed scientific publications and research data free

⁴COM (2007) 56 final of 14.2.2007, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52007DC0056:EN:NOT>.

of charge as early as possible in the dissemination process, and enable the use and re-use of scientific research results. Such policies should be implemented taking into account the challenge of intellectual property rights.

6. policies on open access to scientific research results should apply to all research that receives public funds. Such policies are expected to improve conditions for conducting research by reducing duplication of efforts and by minimising the time spent searching for information and accessing it. This will speed up scientific progress and make it easier to cooperate across and beyond the EU. Such policies will also respond to calls within the scientific community for greater access to scientific information;
7. enabling societal actors to interact in the research cycle improves the quality, relevance, acceptability and sustainability of innovation outcomes by integrating society's expectations, needs, interests and values. Open access is a key feature of Member States' policies for responsible research and innovation by making the results of research available to all and by facilitating societal engagement;
8. businesses will also benefit from wider access to scientific research results. Small and medium-sized enterprises in particular will improve their capacity to innovate. Policies on access to scientific information should therefore also facilitate access to scientific information for private companies;
9. the Internet has fundamentally changed the world of science and research. For instance, research communities have been experimenting with new ways to register, certify, disseminate and preserve scientific publications. Research and funding

policies need to adapt to this new environment. It should be recommended to Member States to adapt and develop their policies on open access to scientific publications;

10. open access to scientific research data enhances data quality, reduces the need for duplication of research, speeds up scientific progress and helps to combat scientific fraud. In its final report 'Riding the wave: How Europe can gain from the rising tide of scientific data'⁵ in October 2010, the High Level Expert Group on Scientific Data emphasised the critical importance of sharing and preserving reliable data produced during the scientific process. Policy action on access to data is therefore urgent and should be recommended to Member States;
11. policies to be developed by Member States should be defined at national or sub- national level depending on the constitutional situation and the distribution of responsibilities for defining research policy;
12. solid e-infrastructures underpinning the scientific information system will improve access to scientific information and the long-term preservation of it. This can boost collaborative research. According to the Communication of the Commission 'ICT infrastructures for e-Science',⁶ e-Infrastructures are understood to be 'an environment where research resources (hardware, software and content) can be readily shared and accessed wherever this is necessary to promote better and more effective research.' The further development of such infrastructures and their interconnection at European level should therefore be recommended;

⁵<http://cordis.europa.eu/fp7/ict/e-infrastructure/docs/hlg-sdi-report.pdf>.

⁶COM (2009), 108 final.

13. the move towards open access is a worldwide endeavour, demonstrated by the 'Revised strategy on UNESCO's contribution to the promotion of open access to scientific information and research'⁷ and the 'OECD Declaration on Access to Research Data from Public Funding'.⁸ Member States should be part of this global endeavour and should set an example by enhancing an open, collaborative research environment based on reciprocity;
14. Given the transitional state of the publishing sector, stakeholders need to come together to accompany the transition process and look for sustainable solutions for the scientific publishing process;
15. on 12 December 2011 the Commission adopted a package consisting of a Communication on open data, a proposal for a Directive amending Directive 2003/98/EC on re-use of public sector information and new Commission rules on the documents it holds. The package presented the Commission's strategy on open data in a single coherent framework, encompassing actions including this Recommendation;
16. this Recommendation is accompanied by a Communication in which the Commission defines its policy and vision on open access to research results. It outlines the actions the Commission will take as a body providing funding for scientific research from the Union budget;
17. together with this Recommendation and the accompanying Communication the Commission is adopting a Communication on 'A reinforced European Research Area partnership for

⁷<http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/CI/CI/images/GOAP/OAF2011/213342e.pdf>.

⁸<http://www.oecd.org/dataoecd/9/61/38500813.pdf>.

excellence and growth' in which it sets out the key priorities for completing the European Research Area, one of which is the optimal circulation, access to and transfer of scientific knowledge.

HEREBY RECOMMENDS THAT MEMBER STATES:

Open access to scientific publications

1. Define clear policies for the dissemination of and open access to scientific publications resulting from publicly funded research. These policies should provide for:
 - concrete objectives and indicators to measure progress;
 - implementation plans, including the allocation of responsibilities;
 - associated financial planning.

Ensure that, as a result of these policies:

- there should be open access to publications resulting from publicly funded research as soon as possible, preferably immediately and in any case no later than six months after the date of publication, and twelve months for social sciences and humanities;
- licensing systems contribute to open access to scientific publications resulting from publicly-funded research in a balanced way, in accordance with and without prejudice to the applicable copyright legislation, and encourage researchers to retain their copyright while granting licences to publishers;

- the academic career system supports and rewards researchers who participate in a culture of sharing the results of their research, in particular by ensuring open access to their publications and by developing, encouraging and using new, alternative models of career assessment, metrics and indicators;
 - transparency is improved, in particular by informing the public about agreements between public institutions or groups of public institutions and publishers for the supply of scientific information. This should include agreements covering the so-called 'big deals', i.e. bundles of print and electronic journal subscriptions offered at discounted price;
 - small and medium-sized enterprises and unaffiliated researchers have the widest and cheapest possible access to scientific publications of the results of research that receives public funding.
2. Ensure that research funding institutions responsible for managing public research funding and academic institutions receiving public funding implement the policies by:
- defining institutional policies for the dissemination of and open access to scientific publications; establishing implementation plans at the level of those funding institutions;
 - making the necessary funding available for dissemination (including open access), allowing for different channels, including digital e-infrastructures EN 6 EN where appropriate, as well as new and experimental methods of scholarly communication;

- adjusting the recruitment and career evaluation system for researchers and the evaluation system for awarding research grants to researchers so that those who participate in the culture of sharing results of their research are rewarded. Improved systems should take into account research results made available through open access and develop, encourage and use new, alternative models of career assessment, metrics and indicators;
- giving guidance to researchers on how to comply with open access policies, especially on managing their intellectual property rights to ensure open access to their publications;
- conducting joint negotiations with publishers to obtain the best possible terms for access to publications, including use and re-use;
- ensuring that results of research that receives public funding are easily identifiable by appropriate technical means, including through metadata attached to electronic versions of the research output.

Open access to research data

3. Define clear policies for the dissemination of and open access to research data resulting from publicly funded research. These policies should provide for:

- concrete objectives and indicators to measure progress;
- implementation plans, including the allocation of responsibilities (including appropriate licensing);
- associated financial planning.

Ensure that, as a result of these policies:

- research data that result from publicly funded research become publicly accessible, usable and re-usable through digital e-infrastructures. Concerns in particular in relation to privacy, trade secrets, national security, legitimate commercial interests and to intellectual property rights shall be duly taken into account. Any data, know-how and/or information whatever their form or nature which are held by private parties in a joint public/private partnership prior to the research action and have been identified as such shall not fall under such an obligation;
- datasets are made easily identifiable and can be linked to other datasets and publications through appropriate mechanisms, and additional information is provided to enable their proper evaluation and use;
- institutions responsible for managing public research funding and academic institutions that are publicly funded assist in implementing national policy by putting in place mechanisms enabling and rewarding the sharing of research data;
- advanced-degree programmes of new professional profiles in the area of datahandling technologies are promoted and/or implemented.

Preservation and re-use of scientific information

4. Reinforce the preservation of scientific information, by:

- defining and implementing policies, including an allocation of responsibilities for the preservation of scientific

information, together with associated financial planning, in order to ensure curation and long-term preservation of research results (primary research data and all other results, including publications);

- ensuring that an effective system of deposit for electronic scientific information is in place, covering born-digital publications and, where relevant, the related datasets;
- preserving the hardware and software needed to read the information in future, or by migrating the information to new software and hardware environments on a regular basis;
- fostering the conditions for stakeholders to offer value-added services based on the re-use of scientific information.

E-infrastructures

5. Further develop e-infrastructures underpinning the system for disseminating scientific information by:

- research institutions and funding entities to address all stages of the data life cycle. These stages should include acquisition, curation, metadata, provenance, persistent identifiers, authorisation, authentication and data integrity. Approaches need to be developed to provide a common look and feel to data discovery across disciplines, thus reducing the learning curve required to achieve productivity;
- supporting the development and training of new cohorts of data-intensive computational science experts, including data specialists, technicians and data managers;

- leveraging and building on existing resources to be economically efficient and to innovate in the areas of analysis tools, visualisations, decision-making support, models and modelling tools, simulations, new algorithms and scientific software;
 - reinforcing the infrastructure for access to and preservation of scientific information at national level, and earmarking the necessary funds;
 - ensuring the quality and reliability of the infrastructure, including through the use of certification mechanisms for repositories;
 - ensuring interoperability among e-infrastructures at national and global level.
6. Ensure synergies among national e-infrastructures at European and global level by:
- contributing to the interoperability of e-infrastructures, in particular addressing scientific data exchange, taking into account experiences with existing projects, infrastructures and software developed at European and global level;
 - supporting transnational cooperative efforts that promote the use and development of information and communication technologies infrastructure for higher education and research.

Multi-stakeholder dialogue at national, European and international level

7. Participate in multi-stakeholder dialogues at national, European and/or international level on how to foster open access to

and preservation of scientific information. Participants should in particular look at:

- ways of linking publications to the underlying data;
- ways of improving access and keeping costs under control, e.g. through joint negotiations with publishers;
- new research indicators and bibliometrics encompassing not only scientific publications but also datasets and other types of output from research activity and the individual researcher's performance;
- new reward systems and structures;
- the promotion of open access principles and implementation at international level, especially in the context of bilateral, multilateral and international cooperation initiatives.

Structured coordination of Member States at EU level and follow-up to the Recommendation

8. Designate by the end of the year a national point of reference whose tasks will be:

- coordinating the measures listed in this Recommendation;
- acting as an interlocutor with the European Commission on questions pertaining to access to and preservation of scientific information, in particular better definitions of common principles and standards, implementation measures and new ways of disseminating and sharing research in the European Research Area;
- reporting on the follow-up to this Recommendation.

0.1 Reviewing and reporting

9. Inform the Commission 18 months from the publication of this Recommendation in the *Official Journal of the European Union*, and every two years thereafter, of action taken in response to the different elements of this Recommendation, in accordance with formalities to be defined and agreed. On this basis, the Commission will review the progress made across the EU to assess whether further action is needed to achieve the objectives laid down in this Recommendation.

Done at Brussels, 17.7.2012



Original version: http://ec.europa.eu/research/science-society/document_library/pdf_06/recommendation-access-and-preservation-scientific-information_en.pdf

"European Commission recommendation on access to and preservation of scientific information". Ripubblicato in *JLIS.it*. Vol.3, n.2 (Dicembre/December 2012) p. 1–14.
DOI: [10.4403/jlis.it-8649](https://doi.org/10.4403/jlis.it-8649). Web.

ABSTRACT: In July 2012 the EC recommended on Open Access to the Member States in order to put forward the development of an economy based on knowledge and innovation as a priority.

KEYWORDS: Europe; Open Access Scholarly communication.





Ten years on from the Budapest Open Access Initiative: setting the default to open (BOAI10)

Prologue: The Budapest Open Access Initiative after 10 years

Ten years ago the Budapest Open Access Initiative launched a world-wide campaign for open access (OA) to all new peer-reviewed research. It didn't invent the idea of OA. On the contrary, it deliberately drew together existing projects to explore how they might "work together to achieve broader, deeper, and faster success." But the BOAI was the first initiative to use the term "open access" for this purpose, the first to articulate a public definition, the first to propose complementary strategies for realizing OA, the first to generalize the call for OA to all disciplines and countries, and the first to be accompanied by significant funding.

Today we're no longer at the beginning of this worldwide campaign, and not yet at the end. We're solidly in the middle, and draw upon a decade of experience in order to make new recommendations for the next ten years.



We reaffirm the BOAI "statement of principle, . . . statement of strategy, and . . . statement of commitment." We reaffirm the aspiration to achieve this "unprecedented public good" and to "accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge."

We reaffirm our confidence that "the goal is attainable and not merely preferable or utopian." Nothing from the last ten years has made the goal less attainable. On the contrary, OA is well-established and growing in every field. We have more than a decade's worth of practical wisdom on how to implement OA. The technical, economic, and legal feasibility of OA are well-tested and well-documented.

Nothing in the last ten years makes OA less necessary or less opportune. On the contrary, it remains the case that "scientists and scholars . . . publish the fruits of their research in scholarly journals without payment" and "without expectation of payment." In addition, scholars typically participate in peer review as referees and editors without expectation of payment. Yet more often than not, access barriers to peer-reviewed research literature remain firmly in place, for the benefit of intermediaries rather than authors, referees, or editors, and at the expense of research, researchers, and research institutions.

Finally, nothing from the last ten years suggests that the goal is less valuable or worth attaining. On the contrary, the imperative to make knowledge available to everyone who can make use of it, apply it, or build on it is more pressing than ever.

We reaffirm the two primary strategies put forward in the BOAI: OA through repositories (also called "green OA") and OA through journals (also called "gold OA"). Ten years of experience lead us to

reaffirm that green and gold OA "are not only direct and effective means to this end, they are within the reach of scholars themselves, immediately, and need not wait on changes brought about by markets or legislation."

Ten years of experience lead us to reaffirm the definition of OA introduced in the original BOAI:

By "open access" to [peer-reviewed research literature], we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

The problems that previously held up the adoption and implementation of OA are solved, and the solutions are spreading. But until OA spreads further, the problems for which OA is a solution will remain largely unsolved. In this statement, we reaffirm the ends and means of the original BOAI, and recommit ourselves to make progress. But in addition, we specifically set the new goal that within the next ten years, OA will become the default method for distributing new peer-reviewed research in every field and country.

Recommendations for the next 10 years

1 On policy

1.1. Every institution of higher education should have a policy assuring that peer-reviewed versions of all future scholarly articles

by faculty members are deposited in the institution's designated repository. (See recommendation 3.1 on institutional repositories.)

- Deposits should be made as early as possible, ideally at the time of acceptance, and no later than the date of formal publication.
- University policies should respect faculty freedom to submit new work to the journals of their choice.
- University policies should encourage but not require publication in OA journals, and should help faculty understand the difference between depositing in an OA repository and publishing in an OA journal.
- When possible, university policies should be adopted by faculty vote, should require immediate OA, and should welcome repository deposits even when not required (e.g. datasets, conference presentations, books or book chapters, work published before the policy's adoption, and so on).
- When publishers will not allow OA on the university's preferred terms, we recommend either of two courses. The policy may require dark or non-OA deposit in the institutional repository until permission for OA can be obtained. Or the policy may grant the institution a nonexclusive right to make future faculty research articles OA through the institutional repository (with or without the option for faculty to waive this grant of rights for any given publication).

1.2. Every institution of higher education offering advanced degrees should have a policy assuring that future theses and dissertations are deposited upon acceptance in the institution's OA repository. At the request of students who want to publish their work, or seek a

patent on a patentable discovery, policies should grant reasonable delays rather than permanent exemptions.

1.3. Every research funding agency, public or private, should have a policy assuring that peer-reviewed versions of all future scholarly articles reporting funded research are deposited in a suitable repository and made OA as soon as practicable.

- Deposits should be made as early as possible, ideally at the time of acceptance, and no later than the date of formal publication.
- When publishers will not allow OA on the funder's terms, funder policies should require grantees to seek another publisher.
- If funder policies allow embargoes before new work becomes OA, the embargoes should not exceed six months. Policies should allow no embargoes at all for uncopyrightable work.
- Funders should treat publication costs as research costs, and should help grantees pay reasonable publication fees at fee-based OA journals.
- When possible, funder policies should require libre OA, preferably under a CC-BY license or equivalent.
- A repository is suitable for this purpose when it provides OA, supports interoperability with other repositories, and take steps toward long-term preservation. The funder's choice should be determined by ongoing research into questions such as which choice best fosters the deposit of covered articles, the utility of deposits, the convenience of funders and authors, and incentives for the further growth of OA.

1.4. All university and funder OA policies should require deposit in a suitable OA repository between the date of acceptance and the

date of publication. The metadata should be deposited as soon as it is available and should be OA from the moment of deposit. The full-text should be made OA as soon as the repository has permission to make it OA.

1.5. We discourage the use of journal impact factors as surrogates for the quality of journals, articles, or authors. We encourage the development of alternative metrics for impact and quality which are less simplistic, more reliable, and entirely open for use and reuse.

- Insofar as universities, funding agencies, and research assessment programs need to measure the impact of individual articles, they should use article-level metrics, not journal-level metrics.
- We encourage research on the accuracy of the new metrics. As the research shows them to be useful and trustworthy, we encourage their use by universities (when evaluating faculty for promotion and tenure), funding agencies (when evaluating applicants for funding), research assessment programs (when assessing research impact), and publishers (when promoting their publications).
- We encourage the development of materials to explain how journal impact factors have been misused, and how alternative metrics can better serve the purposes for which most institutions have previously used impact factors.
- As impact metrics improve, we encourage further study into the question whether OA and OA policies increase research impact.

1.6. Universities with institutional repositories should require deposit in the repository for all research articles to be considered for promotion, tenure, or other forms of internal assessment and review.

- Similarly, governments performing research assessment should require deposit in OA repositories for all research articles to be reviewed for national assessment purposes.
- Neither policy should be construed to limit the review of other sorts of evidence, or to alter the standards of review.

1.7. Publishers who do not provide OA should at least permit it through their formal publishing agreements.

- Publishers should refrain from lobbying against governments acting in the public interest, and refrain from lobbying against research institutions acting in the interests of researchers and research. Publishers should disavow lobbying campaigns carried out in their name by their professional or trade associations against the public interest and the interests of researchers and research.
- The minority of subscription-based publishers who do not yet allow author-initiated green OA, without payment or embargo, should adopt the majority position.
- We remind researchers that they need not work as authors, editors, or referees for publishers who act against their interests.

2 On licensing and reuse

2.1. We recommend CC-BY or an equivalent license as the optimal license for the publication, distribution, use, and reuse of scholarly work.

- OA repositories typically depend on permissions from others, such as authors or publishers, and are rarely in a position to require open licenses. However, policy makers in a position to

direct deposits into repositories should require open licenses, preferably CC-BY, when they can.

- OA journals are always in a position to require open licenses, yet most of them do not yet take advantage of the opportunity. We recommend CC-BY for all OA journals.
- In developing strategy and setting priorities, we recognize that gratis access is better than priced access, libre access is better than gratis access, and libre under CC-BY or the equivalent is better than libre under more restrictive open licenses. We should achieve what we can when we can. We should not delay achieving gratis in order to achieve libre, and we should not stop with gratis when we can achieve libre.

3 On infrastructure and sustainability

3.1. Every institution of higher education should have an OA repository, participate in a consortium with a consortial OA repository, or arrange to outsource OA repository services.

3.2. Every publishing scholar in every field and country, including those not affiliated with institutions of higher education, should have deposit rights in an OA repository.

- This will require more institutional repositories or more disciplinary repositories, or both. It may also require, at least in the short term, more universal repositories or repositories of last resort for scholars who don't have an OA repository in their institution or field. The interface text in these universal repositories should be available in several languages.

3.3. OA repositories should acquire the means to harvest from and re-deposit to other OA repositories.

- Researchers who have reason to deposit into more than one repository should only have to deposit once. When possible, institutional repositories should offer to re-deposit articles in disciplinary repositories requested by authors (e.g. arXiv, PubMed Central, SSRN), and should harvest or download copies of faculty publications deposited in disciplinary repositories.

3.4. OA repositories should make download, usage, and citation data available to their authors, and make these data available to the tools computing alternative impact metrics. Journal publishers should do the same, whether or not their journals are OA.

- Repositories should share these data with one another in standard formats, making it possible (for example) for authors to learn the total downloads for an article on deposit in multiple repositories. No author and no repository should have interest in blocking re-deposit in an additional repository simply to preserve an accurate measure of traffic.

3.5. Universities and funding agencies should help authors pay reasonable publication fees at fee-based OA journals, and find comparable ways to support or subsidize no-fee OA journals.

- In both cases, they should require libre OA under open licenses, preferably CC-BY licenses or the equivalent, as a condition of their financial support.
- Supporting peer-reviewed OA journals in these ways should be a top priority for any money saved from the cancellation or conversion of subscription journals.
- Supporting peer-reviewed OA journals can be particularly important for journals with a more limited audience, such

as journals focusing on national law in smaller countries or journals published in a local language, and for journals where publication fees are inappropriate, such as review journals which solicit review articles from authors.

3.6. When subscription-based or non-OA journals permit any kind of self-archiving, or deposit into OA repositories, they should describe what they permit in precise human-readable and machine-readable terms, under an open standard. These descriptions should include at least the version that may be deposited, the timing of deposits, and the licenses that could be attached to deposited versions.

3.7. OA repositories should provide tools, already available at no charge, to convert deposits made in PDF format into machine-readable formats such as XML.

3.8. Research institutions, including research funders, should support the development and maintenance of the tools, directories, and resources essential to the progress and sustainability of OA.

- The list of essential tools will evolve over time, but includes OA repositories and journals, free and open-source repository software, free and open-source journal management software, tools for text- and data-mining, directories of OA journals and repositories, directories of university and funder policies, providers of open licenses, digital preservation services, current awareness services, services for cross-linking and persistent URLs, and search engines.
- Research institutions should also support the establishment of worldwide, open standards for metadata and querying that publishers and repositories could implement to make OA research more discoverable, retrievable, and useful.

3.9. We should improve and apply the tools necessary to harvest the references or bibliographic citations from published literature. The

facts about who cited whom are in the public domain, and should be OA in standard formats for use, reuse, and analysis. This will assist researchers and research institutions in knowing what literature exists, even if they don't have access to it, and in the development of new metrics for access and impact.

- We urge all publishers to cooperate with this effort.
- We recommend the development of infrastructure where reference data may be deposited by publishers, authors, volunteers, third-party entrepreneurs, or software, and where the reference data may be hosted for OA distribution.

3.10. We should assist in the gathering, organizing, and disseminating of OA metadata in standard formats for all new and old publications, including non-OA publications.

3.11. Scholarly publishers need infrastructure for cross-linking and persistent URLs based on open standards, available at no charge, and supporting linking and attribution at arbitrary levels of granularity, such as paragraph-level, image-level, and assertion-level identification.

3.12. We encourage the further development of open standards for interoperability, and tools to implement those standards in OA journals and repositories.

3.13. We encourage experiments with different methods of post-publication review, and research into their effectiveness.

- OA through repositories, OA through journals, and OA through books are all compatible with every kind of traditional pre-publication peer review, and OA does not presuppose any particular form of peer review. We recommend experiments with post-publication peer review not because it will be superior, although it might, but because it would reduce delays

before new work becomes OA and could reduce first-copy costs.

3.14. We encourage experiments with new forms of the scholarly research "article" and "book" in which texts are integrated in useful ways with underlying data, multimedia elements, executable code, related literature, and user commentary.

- We encourage experiments to take better advantage of the digital medium, and digital networks, for the benefit of research.
- We encourage experiments to take better advantage of the ways in which OA articles remove access barriers for machines, and not just for human readers.
- We encourage the use of open standards and formats to foster these uses, and research on their effectiveness.

4 On advocacy and coordination

4.1. We should do more to make publishers, editors, referees and researchers aware of standards of professional conduct for OA publishing, for example on licensing, editorial process, soliciting submissions, disclosing ownership, and the handling of publication fees. Editors, referees and researchers should evaluate opportunities to engage with publishers and journals on the basis of these standards of professional conduct. Where publishers are not meeting these standards we should help them improve as a first step.

- As one means for evaluating a new or unknown OA publisher or OA journal, we recommend that researchers consult the Open Access Scholarly Publishers Association (OASPA) and its code of conduct. Members of the association are screened

according to this code. Complaints about OASPA-member publishers and suggestions for improving the code of conduct should be sent to OASPA.

- We encourage all OA publishers and OA journals to apply best practices recommended by OASPA or to seek membership in the association, which would entail a review of their practices and an opportunity to amend these where necessary.

4.2. We should develop guidelines to universities and funding agencies considering OA policies, including recommended policy terms, best practices, and answers to frequently asked questions.

4.3. We encourage development of a consolidated resource where it is easy to follow the progress of OA through the most relevant numbers and graphics. Each bit of information should be updated regularly, and its provenance or method of computation clearly indicated.

4.4. The OA community should act in concert more often. Wherever possible, OA organizations and activists should look for ways to coordinate their activities and communications in order to make better use of their resources, minimize duplication of effort, strengthen the message, and demonstrate cohesion.

- We should create better mechanisms for communicating and coordinating with one another.
- We should reach out to our academic colleagues, to the academic press, and the mainstream non-academic press. The academic and non-academic media are better informed about OA, and more interested in it, than at any time in our history. This is an opportunity for helping to educate all stakeholder groups about OA and new proposals to advance it.

4.5. The worldwide campaign for OA to research articles should work more closely with the worldwide campaigns for OA to books,

theses and dissertations, research data, government data, educational resources, and source code.

- We should coordinate with kindred efforts less directly concerned with access to research, such as copyright reform, orphan works, digital preservation, digitizing print literature, evidence-based policy-making, the freedom of speech, and the evolution of libraries, publishing, peer review, and social media.
- We should look for ways to amplify our separate voices when defending common principles.

4.6. We need to articulate more clearly, with more evidence, and to more stakeholder groups the following truths about OA:

- OA benefits research and researchers, and the lack of OA impedes them.
- OA for publicly-funded research benefits taxpayers and increases the return on their investment in research. It has economic benefits as well as academic or scholarly benefits.
- OA amplifies the social value of research, and OA policies amplify the social value of funding agencies and research institutions.
- The costs of OA can be recovered without adding more money to the current system of scholarly communication.
- OA is consistent with copyright law everywhere in the world, and gives both authors and readers more rights than they have under conventional publishing agreements.
- OA is consistent with the highest standards of quality.



Original version:

<http://www.opensocietyfoundations.org/openaccess/read>

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ABSTRACT: Ten years after the Budapest Open Access Initiative, the same proponents prepare the plan for setting the default on Open Access during the next ten years.

KEYWORDS: BOAI; Open Access; Scholarly communication.



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