

# annual report

[ making open the default ]

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## Introduction

Covid-19 has demonstrated how vital a stable but thriving, connected yet diverse Open Science (OS) system is for science, education and humanity since we depend upon it to facilitate access to information when we need it most. Hence, increasing developments in Open Access (OA), Open Science (OS) and Open Education (OE) are necessary now more than ever before. While we are seeing Higher Education continue to evolve and deliver more free and seamless access to knowledge and information, there is still work to be done before Open becomes the default.

In 2020, SPARC Europe remained immersed in OS policy development on behalf of Europe's academic libraries. We worked diligently to track and inform on policy developments and influence policy by stimulating FAIR in national and funder policies across Europe, encouraging EOSC to engage more with Europe's academic libraries, or contributed to UNESCO's Recommendation on Open Science or other national OA or OS policy consultations across Europe to ensure OS policy is solid and aligned.

The OS community is coming together in new, more concerted ways with the new Open Access Books Network or when showcasing pathways to change in research assessment practices. We continued to encourage libraries to take more collective action for OS infrastructure via the Global Sustainability Coalition for Open Science Services (SCOSS). We saw libraries and governments increasing their commitment to fund essential OS infrastructure since fundraising almost doubled compared to last year totalling nearly three million euros, including a generous donation of almost 0.5 million euros from one sponsor.

Additionally, we continued to take on research projects that deepen our and your understanding of where we stand in Europe with progressing open access to research and education to inform our Open strategies. In 2020, we spearheaded an effort to dig deeply into the current publisher OA, copyright and open licensing frameworks and analysed the European OS infrastructure landscape and OA diamond publishing offering to explore how to strengthen, connect and sustain it. We believe insights gained will lead to a more robust, interconnected and sustainable OS ecosystem that makes research more fully Open.

In 2020, SPARC Europe also for the first time surveyed the Higher Education library community to understand its involvement in Open Education. This has fed into the development of a new European OE programme that will help implement the UNESCO OER Recommendation. We were delighted to receive a grant from the William & Flora Hewlett Foundation this year to implement this programme.

We would like to thank those of you who help support this effort and for the work you are doing to advance Open and make it the default!



**Vanessa Proudman**  
Director, SPARC Europe

## Driving European Open Science Policy

### Report: An Analysis of Open Science Policies in Europe

Tracking national Open Science policies in Europe

In Autumn, we published the latest release of one of our most accessed resources—a bi-annually updated report on Open Science policies in Europe, a joint collaboration with the Digital Curation Centre (DCC).



This latest iteration incorporated several new elements, including information on COVID-19-related Open Science policy and an overview of ongoing European Open Science Cloud (EOSC) policy-related activities among European Commission-supported projects. We've incorporated changes in related European legislation, included more information on funder policies, and we added tables listing and linking national Open Science research data policies and related national laws, as well as a table listing national policies under development. This report also looks at how to make Open Science policies more FAIR.

These updates are part of an ongoing effort to ensure that the report evolves with our readers and that it remains a meaningful resource for Open Science policymakers. Collectively, all of its versions have been downloaded more than 5,000 times!

[Download the report](#)

### Project: FAIRsFAIR - Fostering Fair Data Practices in Europe

Promoting FAIR policies in Europe



As a partner in the H2020 project FAIRsFAIR, SPARC Europe collaborated on the key deliverable *D3.3 Policy Enhancement Recommendations*. Based on an initial landscape assessment of research funder, publisher, national and university Open Science policies in D3.1 FAIR Policy Landscape Analysis and the work of related initiatives, SPARC Europe prepared a series of practical recommendations for policy enhancement to support the realisation of a FAIR ecosystem for funders and national OS policymakers.

These recommendations were released for open consultation in late 2020. The comments received will be used to help FAIRsFAIR develop practical support for policy makers at different levels to implement the recommendations. This support documentation will be released in 2021-2022.

[Read D3.3 Policy Enhancement Recommendations](#)

## Policy implementation: Plan S

In 2020 SPARC Europe focussed on supporting the implementation of several elements of the Plan S Principles that aims to accelerate immediate OA. In 2020 we did this through our research on rights retention and copyright amongst publishers, by investigating the challenges and opportunities of diamond OA, by helping build a network and community for OA books, also to inform cOAlition S of OA policy book matters, and by highlighting some of the changing practices in research assessment on institutional and national levels. More details on these activities can be found below.

## Policy responses, events, and communications



### Position Paper: Academic libraries and EOSC

SPARC Europe initiated and developed an internal EOSC position paper on libraries and EOSC, and then in collaboration with LIBER submitted it to EOSC governance and key decision-makers at the European Commission. The paper served as a discussion starter for EOSC decision-makers to consider the importance of academic libraries in planning for and implementing EOSC, making their important voice heard. As a result, and following on from meetings between LIBER and SPARC Europe and the EC, libraries are now represented on the EOSC Executive Board.



### EOSC-Pillar. The role of policies for a sustainable EOSC

We presented an Overview of National Policies and Strategies - Results from SPARC Europe and FAIRsFAIR at a European EOSC policy event. This highlighted the work of the FAIRsFAIR project and making OS policies more FAIR in Europe and SPARC Europe's research funder OS policy work of 2019.



### Policy response: UKRI Open Access Policy Consultation

As an example of supporting national OS policy development, SPARC Europe responded to the recent UK Research and Innovation (UKRI) OA policy consultation. UKRI is the key national public funding agency investing in research and innovation in the UK, and it has been reviewing its Open Access policies for peer-reviewed research articles and academic books that result from research it supports. In May 2020, they ran a public consultation and SPARC Europe submitted a response, supporting that of Research Libraries UK (RLUK). In particular, we advocated for CC BY and copyright rights retention and encouraged UKRI to support a range of business models for OA as well as essential infrastructure that supports OA journals, monographs and chapters.



## Policy response: Guiding Principles on Responsible Management of Research Information and Data

SPARC Europe participated in the VSNU or Dutch association of universities' consultation on the 'Guiding Principles on Management of Research Information and Data'. Established in February 2020, the Dutch Taskforce on Responsible Management of Research Information and Data aimed to establish terms and conditions under which metadata related to publicly funded research can be (re)used and enriched by public and private organisations. SPARC Europe provided feedback on these principles to help safeguard the interests of the research institution underlining the importance of equity, privacy, transparency, establishing terms of use that embrace openness and applying open standards and open algorithms for research management data.



## UNESCO: Towards a Global Consensus on Open Science

In this online UNESCO event, Vanessa Proudman was invited to speak to UNESCO and a range of experts on OA and OS from North America and Europe, on the remaining challenges for OA in the session 'Key messages from Europe and North America for the UNESCO Recommendation on Open Science'. This was part of a UNESCO policy development exercise for its UNESCO Recommendation on Open Science that was published in draft form later in 2020. SPARC Europe also provided feedback on the draft at the end of 2020 highlighting the importance of open standards, portability and federated data. It also underlined the importance of immediate OA to publications, also facilitated by rights retention and open licensing. SPARC Europe lastly pointed out that diversity in scholarly communications is essential and thus urged UNESCO to promote a range of sustainable financial or business models.

# Open Science in the era of COVID-19



The Coronavirus crisis has undoubtedly shone a light on just how critical the implications of Open can be to society. In March we published a blog post, to discuss how, although many publishers and service providers have stepped up to temporarily provide open access to research and information, researchers are still missing out on relevant publications, software and data that remain out of reach. We made the case that we need a working open research system more than ever before to support researchers in future crises.

Early on, in response to the pandemic, SPARC Europe also compiled a recommended reading list and a collection of OS use cases. It was a snapshot in time when much was happening in OS to support Covid-19 efforts. Combined with our own research, and the Open Access Tracking Project curated by Peter Suber, we created a collection of blogs, articles, calls to action and key open resources, that showcase how open science supports the battle against COVID-19.

[Read the blog post](#)

## Open Access Publishing

### Report: Open Access. An Analysis of Publisher Copyright and Licensing Policies in Europe, 2020

Advocating for more Open Access copyright and open licensing policies in Europe.

From the outset, copyright has been a key challenge to Open Access. To ensure the greatest possible reach of research through OA, widespread change is necessary. This report sheds light on the extent to which publisher copyright, rights retention, self-archiving and open licensing policies, at this point in time, support this change, and asks how ready publishers are for the Plan S Rights Retention Strategy.



We make a series of concrete recommendations for publishers, funders, institutions and researchers to better enable immediate OA. Some of the key recommendations include standardising and aligning policies, making them easy to locate and easy to understand; increasing copyright literacy and its importance for OA; aiming for zero-embargoes; considering using only non-exclusive licenses to publish (ensuring that copyright remains with the author or their respective institution); and making use of existing licensing frameworks such as CC BY. The report has been downloaded over 2 900 times.

[Download the report](#)

### New project: cOAlition S study on Diamond OA

Gaining insights into how to achieve a more sustainable OA Diamond ecosystem

SPARC Europe is a partner in the new cOAlition S / Science Europe project to conduct a study of Diamond (non-APC) Open Access publishing models worldwide. Its goal is to gain insights that will primarily help the academic and OS communities and funders develop effective policies, practices and funding mechanisms that more strategically support Diamond Open Access. This project is backed by a consortium co-ordinated by OPERAS: the European research infrastructure for the development of open scholarly communication in the social sciences and humanities. In 2020 the study issued a survey (seeing over 1.500 respondents from across the globe), conducted focus groups, a literature review, a database analysis and more.



Some of the issues the study addresses are: What works and for whom? How technically fit are Diamond journals and their platforms and how far do journals comply with Plan S? Does more collaboration make sense, and if so where? And how sustainable is Diamond OA? The study will be delivered in early 2021.

## Network: Open Access Books Network

SPARC Europe is part of the group that has helped shape the new Open Access Books Network (OABN)— an online space for passionate conversations about OA books. This group was started by members of OAPEN, OPERAS, ScholarLed and SPARC Europe.

The online Open Access Book Network platform, with 15 community contributors and 125 members (and counting!) launched in 2020. Through its website, members can post questions to the community, contribute to discussions, browse through reports and publications on OA books, announce and attend OA book community events and more. Most importantly, it is shaped by the OA community itself. In October, the boOkmArks series (Open Conversation about Open Access Books) took off, discussing a variety of topics related to OA books: from the future of scholarly communications, an OA books toolkit for authors, white papers on OA book usage, OA tagging projects, European OA infrastructures for HSS, to funds for fair OA.

At SPARC Europe, we are convinced that this network will help create a level playing field in scholarly book publishing, connecting experts, sharing good practices and inspiring readers and authors across Europe. If you are not yet a member, please join.

[Visit the OABN website](#)



## Events



### PUBMET 2020

In September, SPARC Europe hosted a pre-conference workshop at the Croatian international PUBMET Conference, testing out its preliminary copyright recommendations of its recent copyright report on a range of publishers.



### Creative Commons Global

Co-author Ignasi Labastida i Juan presented the report Open Access : An analysis of Publisher Copyright and Licensing Policies in Europe for the first time at the CC Global Summit.



### **The 15th Munin Conference on Scholarly Publishing 2020**

Co-author Ignasi Labastida i Juan shared highlights of the report *Open Access : An analysis of Publisher Copyright and Licensing Policies in Europe* with international members of the scholarly communications audience at the Munin Conference.

SPARC Europe also presented the preliminary results of the Diamond Open Access Study and addressed questions such as: How mature are OA Diamond journals, where are they based and what disciplines do they serve? Who owns them? How are they funded, by whom and using which type of mechanism? What revenue streams exist? How might funders support the financial sustainability of the journal or platform?



### **Webinar: Open Access : An analysis of Publisher Copyright and Licensing Policies in Europe**

Close to 100 participants joined us for our first SPARC Europe-hosted webinar in November, *Open Access : An analysis of Publisher Copyright and Licensing Policies in Europe*, with the authors of the international OA copyright report, Ignasi Labastida i Juan, Jane Secker, Chris Morrison and Vanessa Proudman.



### **A Plan S for OA Books workshop at the 2020 OPERAS Conference**

SPARC Europe led a session on "A Plan S for Academic Books: Voices from the Community" at the 2020 OPERAS Conference. With almost 75 attendees, this workshop focused on business models for OA books, and brought together experts from the field, before ending with a document sprint. The sprint allowed the community to engage online, by reacting to presented cases and providing additional input. This is the start of a series of events that SPARC Europe and the OABN will coordinate to share the needs of the OA books community with cOAlition S to inform the preparation of its policy on OA books due out in 2021.

**[Read more about the outcomes of the session](#)**

## Securing Open Science Infrastructure

### **New project: Laying the foundations for developing a durable, scalable and thriving open scholarly communications infrastructure in Europe**

Gathering insights into Open Science Infrastructure in Europe

In 2020, SPARC Europe started a one-year project (running until February 2021), funded by the Open Society Foundations. This project feeds into Invest in Open Infrastructure (IOI) and aimed at gathering insights into scholarly communications infrastructure in Europe. During the project, SPARC Europe has identified Europe-based scholarly communication infrastructures, identified the business models being used by them; and determined their degree of openness, while also exploring what kinds of measures might be taken to make it more open.

The key outputs of this project in 2020 are the report: 'Scoping the Open Science Infrastructure Landscape in Europe', the interview series 'Insights into Open Infrastructure Services', and the JROST workshop 'How Open is Open':

### **Survey report: Scoping the Open Science Infrastructure Landscape in Europe**

A diverse, interconnected, open, professional and viable OS infrastructure ecosystem is facing a range of challenges that might impede a more open and sustainable future

This report describes the results of an in-depth survey, conducted in spring 2020, of infrastructure/services that are part of the European Open Science infrastructure (OSI) landscape. It includes a range of recommendations for both services and funders to help them achieve greater sustainability.



We see a diverse, interconnected, open, professional and viable OSI ecosystem developing in Europe on solid ground – one that is worth investing in. Nonetheless, OSIs still have a range of issues to contend with in their organisations and strategies, particularly as they move towards more openness and a sustainable future. Sharing lessons they have learnt, developing communities of practice, developing guidance, pooling resources and working with initiatives such as Invest in Open Infrastructure (IOI) and JROST will help them grow even further.

Additionally, despite a strong commitment to open source and open standards by many, challenges remain for some in good governance, sharing open content and applying open standards. To sustain themselves, OSIs will need to continue to diversify their fundraising efforts to embrace a range of business or revenue models in the future, in order to spread the risk to their financial stability. Funding

agencies, governments, institutions, charities and other funders need to consider strategies on how to effectively fund this rich and important landscape more structurally. Making smart choices on what to invest in will be essential! The report has been downloaded 1 467 times.

**Download the report**

**Read our one page summary, The Skim: 'Scoping the Open Science Infrastructure Landscape in Europe'**

## Interview series: Insights into the Sustainability of Open Infrastructure Services

Challenges and key lessons for open infrastructure tools and services to scale, maintain, and compete in the broader Open Science market



To shed light on choices and decisions that have contributed to the success of thriving Open Infrastructure services, SPARC Europe, has released a series of in-depth interviews with 10 service providers (4TU.ResearchData, arXiv, Code Ocean, Dryad, EDP Science, F1000, Figshare, Mendeley, Our Research and Redalyc), both for-profit and not-for-profit, that have achieved financial sustainability when so many others continue to struggle.

The ten services shared their, sometimes very different, approaches to these topics, openly discussing their original mission and vision, the challenges and opportunities related to their business models and the consequences of their current funding models, organisational challenges and skills needed (including HR and finance), and the struggle to combine growth with sustainability. Finally, all interviewees shared some advice and lessons learnt.

**Discover the 10 interviews**

**Read our one page summary, The Skim: 'Insights into the sustainability of Open Science services'**

## Advocating for funding: Invest in Open Infrastructure

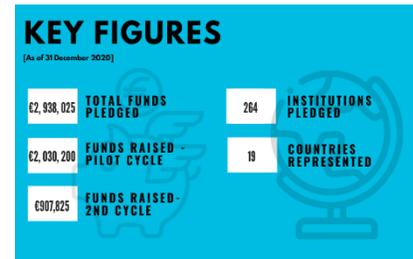
SPARC Europe remains committed to Invest in Open Infrastructure (IOI) which is dedicated to improving funding and resourcing for open technologies and systems for research and scholarship. We serve the interests of the European OS infrastructure community on its Steering Committee. In 2020 we took action to inform IOI of the challenges with funding OS infrastructure in Europe with our survey on OS infrastructure and also by highlighting challenges in running a sustainable OS service with our interview series.

## Community-funding: SCOSS Updates

SPARC Europe coordinates SCOSS, The Global Sustainability Coalition for Open Science Services. established in 2017, SCOSS is a network of influential organizations committed to helping secure OA and OS infrastructure well into the future through coordinated fundraising campaigns, targeting institutions and consortia worldwide.

At the end of 2020, 264 institutions and consortia have pledged to fund six infrastructures for a total of 2 938 025 EUR.

In the autumn the SCOSS Board selected infrastructure to recommend for SCOSS's third funding cycle in 2021. Eleven initial expressions of interest were submitted earlier this year; five were invited to submit full applications. These will be announced in 2021.



### SCOSS funding milestones

In October 2020, the Directory of Open Access Journals (DOAJ) met its funding goal of 1,37m EUR. Currently, SCOSS is actively fundraising for DOAB/OAPEN, the Public Knowledge Project (PKP) and OpenCitations. Funding is also still being accepted for Sherpa Romeo, which was, together with DOAJ, the other project in the SCOSS pilot phase.

Despite Covid-19 and these challenging times, a number of organizations and consortia have pledged their support for SCOSS including 23 research institutions and universities from the Norwegian Unit Consortium, 15 Canadian libraries from the Canadian Research Knowledge Network (CRKN), 16 Finnish universities from the FinELib consortium, 11 universities from the Council of Australian University Librarians (CAUL), a cluster of new pledges from the United Kingdom, Denmark, Sweden, France and the United States and last but not least, the Ministry of Higher Education, Research and Innovation in France, pledging close to 0.5 million euros to PKP, OAPEN/DOAB and OpenCitations.

### Funding Open Science Infrastructures during COVID-19

In June SCOSS issued a statement on the sensitive issue of funding OS infrastructure at the time of the COVID-19 pandemic. As budgets tighten and the need for open resources swells, staying diligent in our efforts to fund essential Open Science services remains critical.

[Read the SCOSS statement](#)

### Determining the future of SCOSS

At the SCOSS Board meeting in September, members discussed the need to reflect on SCOSS and its future also in the context of recent developments in funding open infrastructure. 2021 will therefore see a SCOSS taskforce develop a new strategy for SCOSS.

[Go to the SCOSS website](#)



## Research assessment

### Case studies: Reimagining Academic Assessment: Stories of Innovation and Change

Key elements of institutional change to improve academic career assessment

Since research rewards and incentives are *the* enablers of Open Science, in collaboration with DORA and EUA, SPARC Europe published a series of 10 case studies highlighting key elements of institutional change at universities and national consortia aimed at inspiring innovation in academic career assessment. The goal is to identify potential pathways for change, and to present them as good practices while also providing adequate context to inform others on how this change came into being. The full report will be published early in 2021 and we will follow up with a webinar to engage with the case studies.

[Discover the case studies](#)

### Events



#### **New Initiative on responsible metrics presented at RDA 2020**

In 2020 the Open Science Policy Platform (OSPP) concluded that a registry of pilots and implementations of responsible metrics was necessary to make a significant contribution to advance Open Science. SPARC Europe is part of an initiative to scope this activity, with RDA at the helm. The idea was presented for the first time at a BoF (Birds of a Feather) session Creating the Open Science registry for rewards and incentives at the November RDA Plenary. The Research Data Alliance (RDA), together with colleagues from DORA, F1000 Research, Hindawi, Research Software Alliance (ReSA), SPARC Europe and the University Carlos III de Madrid, is co-ordinating this activity with the active participation of international stakeholders and contributors. We look forward to taking this forward in 2021.

# Advancing Open Education in Europe through Libraries of Higher Education

## Survey report: Open Education in European Libraries of Higher Education

Higher education libraries must collaborate to facilitate access to educational materials for all

In consultation with the European Network of Open Education Librarians (ENOEL), this in-depth report summarises the results of a survey on Open Education (OE) and Open Education Resources (OER) in Europe.

The survey was conducted amongst 146 librarians from 29 European countries in early 2020. The report contains an analysis of the results, coupled with some recommendations for libraries on topics such as: funding, policy, advocacy, monitoring of OER uptake and reuse, and collaboration, both internal and with external partners to accelerate library action in OE.



This report illustrates that academic libraries are taking up an important role in advancing Open Education in Europe and shows that libraries are playing to their strengths as open information and knowledge managers, facilitators, and disseminators. However, to further accelerate OE and OER efforts, libraries must collaborate to build a more open, creative, legally and technically sound education environment to facilitate access to education material for all. What we learn will be used to inform the new SPARC Europe OE programme and to help guide the newly appointed OER community manager who starts in early 2021. The report has been downloaded 1 147 times.

[Download the report](#)

## Policy implementation: The UNESCO Recommendation on OER, how libraries can help

SPARC Europe is part of the UNESCO OER Dynamic Coalition established by UNESCO in 2020 mandated to develop an international strategy to implement the UNESCO OER recommendation. As the voice for European libraries of Higher Education in Europe, SPARC Europe explored with ENOEL how European libraries might support UNESCO's policy in the coming years: in capacity building by increasing advocacy efforts; aiming for inclusive, equitable accessible and quality OER; providing support for informed policy making, and guaranteeing sustainable models for OER. As a result, SPARC Europe developed a new OE programme and funding has been acquired to allow SPARC Europe to step up its efforts in this space.

## New project: SPARC Europe launches large-scale European Open Education initiative

Growing Open Education capacity among libraries of higher education in Europe

SPARC Europe is leading a new two-and-a-half-year Open Education programme to grow Open Education capacity among libraries of higher education in Europe. The project will allow us to gain a better understanding of the European Higher Education library community's needs and progress in terms of OE, to share knowledge across countries, and to advocate for more OER, OE policy and open sustainable infrastructure. This work will contribute to the implementation of the UNESCO Recommendation on OER. This project is funded by the William & Flora Hewlett Foundation.

We will seek to develop the European Network of Open Education Librarians (ENOEL) into a thriving Community of Practice and we will also work to grow the network itself. In 2020 the network has continued to grow and share OE experience amongst a wide range of European countries.

[Read more about the initiative](#)

### Events



#### LIBER Annual Conference 2020

In June, SPARC Europe held two presentations at the LIBER Annual Conference: we talked about the UNESCO Recommendation on OER at the workshop Libraries for Teaching and Learning, and about our survey on Open Education in European Libraries during the Opening Up Knowledge session, attended by 250 participants.



#### Open Education Conference

SPARC Europe shared with a global audience what we know about OE in libraries in Europe, drawing on the survey results described in our report on OE in libraries of Higher Education. We offered concrete recommendations and calls to action for libraries to take the lead and engage in OE policy development, OE literacy, cultural change, co-creation, or OER discovery, whilst raising awareness of the value that libraries bring to OE and showing how they can contribute to the UNESCO OER Recommendation.



#### OE Global Conference 2020

Our Director, Vanessa Proudman, held a keynote together with the new CEO of Creative Commons, Catherine Stihler, 'Connecting the Opens (OA, OS and Open Education)', touching on their strategies, the impact of Covid-19 on OS and OE, and how to create an open, diverse and sustainable ecosystem for the Opens. She also gave the presentation How European Libraries of Higher Education are Supporting Open Education Today.

## Strategy

### Developing a New Four-year Strategy

In February the SPARC Europe Board convened in Aix-en-Provence to be apprised of our progress and latest plans, to share updates regarding various countries' OA and OS policy updates, and, most importantly, to begin discussions into the development of the next four-year strategy for 2021-2024. This was the first step in the strategic plan development process. We then drafted a strategic plan which was discussed with a number of our international strategic partners. The last step in the process involved consulting with SPARC Europe's libraries on the proposed plan and integrating that feedback into the final draft.

The new SPARC Europe strategic plan was published on 1 January 2021. Its key goals are to:

- Strengthen Open Access, Open Scholarship / Open Science and Open Education policy in Europe and align where possible
- Advocate for open in research and education
- Strive to enable more equity in Open so that all those who wish to publish and share research and education resources openly are better enabled to do so
- Promote diversity in publishing Open research and education
- Raise the impact of publicly-funded research by reimagining the way that Open research is rewarded and incentivised
- Help sustain the Open infrastructure/service ecosystem

[Read our new strategy](#)

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