

# annual report

[ making open the default ]

[www.sparceurope.org](http://www.sparceurope.org)

The year "2018" is displayed in a large, bold, blue font, enclosed within a black square border. The background of the entire page features a light gray, hatched map of Europe.

**20  
18**

## THE YEAR IN HIGHLIGHTS

SPARC Europe enjoyed another very active year in 2018. We were fully immersed in what remained throughout the year a topic of serious concern for many of us in the academic community: the ongoing negotiations over the new *directive on copyright reform* - what's turned out to be an extremely heavily lobbied piece of legislation. While it's been an intense process - and a final vote has still yet to occur - we are happy to report, as we detail later in the report, that our efforts seem to be paying off. Furthermore, SPARC Europe has been leading other international policy international campaigns with partners such as COAR, DCC, EBLIDA, EIFL, EUA, LIBER, and IFLA. With the *Public Sector Information directive*, we have been seeking to craft it in such a way to make publicly funded research FAIR and as open as possible and as closed as necessary. We have also made it a priority of ours in 2018 to ensure that open access to research results is also secured in the next European framework programme in *Horizon Europe*. Work is ongoing on all of these three legislations, with laws expected to be passed in 2019.

While developing legislation to support open access to European results is a clear priority for us, these efforts represent only a slice of what we have worked on in 2018. Where policy is concerned, we have supported the implementation of other important developments like Plan S, which puts out a strong formal signal by a number of funders to make a significant push toward achieving what we have all been working for: a society where all publicly funded research is Open to all.

Another initiative that we have made real headway with is the Global Sustainability Coalition for Open Science Services (SCOSS) that we coordinate. By year's end, SCOSS initial funding campaign had marked its one year anniversary - with close to a million Euros pledged and a new funding cycle about to get underway.

We have also continued to publish reports and analyses to shed light on the state of Open Science policies and practices in Europe - critical information that is needed in the continued and future development of smart and effective policies. At the same time, we have continued to support programmes that engage researchers around Open Science.

And we are also giving greater focus to Open Education, finding new ways to support its growth and development in Europe amongst libraries.

While we are making headway, much work remains across Europe if we are to make Open the default. SPARC Europe's role, as we see it, is to help foster a climate in which Open can thrive. We do this by tending to the fundamentals - think policy and infrastructure - while advocating on issues that support a diverse Open ecosystem.



**Vanessa Proudman,**  
Director, SPARC Europe



## DRIVING POLICY DEVELOPMENT FOR MORE OPEN RESEARCH

### Helping guarantee an EU Copyright Directive that supports Open Access

At the start of 2018, SPARC Europe, together with many fellow members of the European academic and library community, was already several months into a sustained effort to influence European copyright reform in the form of the [Directive on Copyright in the Digital Single Market](#). Like many in the academic community, we were concerned about the threat to Open Access and Open Science posed by the coming legislation so we led an effort together with our partners, COAR, EBLIDA, EIFL, EUA, LIBER and IFLA, to specifically address Articles 11 and 13 of the legislation.

Continuing our related lobbying efforts that began in 2017, our focus in 2018 was primarily on preventing Articles 11 and 13 – already creating challenges for access to information for research – from further inhibiting open access to research. We campaigned to prevent a possible threat to accessing open access to scientific publications through a new ancillary copyright or link tax in Article 11 raised in 2017 by the ITRE Parliamentary Committee. We also worked against new rulings for user-generated content or uploaded content in online information services possibly affecting our repositories. We also sought to exclude the not-for-profit activities of cultural heritage, education and research institutions since the end-goal of such public interest mission-driven organisations stand in stark contrast to that of profit-focused companies.

As the Draft legislation and associated amendments wound their way through the European Council and various European parliamentary committees and revision processes, we continued to provide feedback and recommendations that reflected the concerns of libraries and academia. Our efforts have seen some successes: the European Council (representing the head of state of Europe's Member States) agreed on a recital that excluded academic and scientific journals from ancillary copyright restrictions; this was in effect a rejection of an earlier suggestion that would have seen them included.

The European Parliament's (EP) Legal Affairs Committee (JURI) led the way on developing the EP version of the text and at each part of this process, SPARC Europe repeated its position in the relevant context by formally submitting amendments or briefings to the Parliament. As a result, the final European Parliament text now explicitly excludes scientific and academic publications from the definition of press publisher for Article 11, which as a result secures open access to scientific publications. Similarly, due to pressure from SPARC Europe, scientific and educational repositories are explicitly excluded from Article 13. However, this exclusion is not as overarching as the Council exclusion but is conditioned to the prerequisite that the content is uploaded with the permission of rightsholders, which we have since been campaigning against. In 2019 we will further seek for the exclusion of not-for-profit activities of cultural heritage, education and research institutions.

In short, in 2018 we influenced the European Council and European Parliament to share our position. Their final texts will be taken forward in the Trilogue negotiations in 2019 where they, together with the European Commission, will negotiate on a common text that becomes the new law if passed. A final vote is envisaged in 2019. We will continue our efforts to influence until that time.

#### **Coalition Copyright Reform efforts caught the attention of Nature News**

In April, a journalist from Nature News reached out to SPARC Europe requesting an interview regarding a piece they were planning to write on One Access and Open Science and the consequences of the proposed directive on European research. From our coalition, they spoke with representatives of SPARC Europe, LIBER, and Science Europe, allowing us the opportunity to voice our concerns.

Publishing of the article, titled "[EU copyright reforms draw fire from scientists: Planned changes threaten open science, research advocates warn](#)", coincided with intensified efforts at the time by the coalition to connect with European Council members.

#### **Safeguarding access for all to majority-publicly funded research through the European Directive on Public Sector Information (PSI Directive)**

In the ongoing effort to ensure that the library and research communities - and their interest in promoting access to research data and its re-use - are considered in the rewriting of European law, SPARC Europe has been leading a campaign working together with its partners DCC, EBLIDA, LIBER, and IFLA. We have been actively following and responding to developments in this legislation in the European Council and the European Parliament. Enabling access to research data is important to spurring innovation and progress, and will better guarantee greater transparency to research results, prevent duplication, and follow good research integrity practice.

Our position and proposed amendments address the PSI Directive on the reuse of public sector information and focus on optimising access to majority-publicly funded research data. Among the content of our proposed amendments: we urge for research data to be made open by default following the FAIR Principles using the notion 'as open as possible, as closed as necessary'. In cases where data cannot be made accessible for legitimate reasons, we advocate for a clear justification, openly communicated in machine-readable metadata. We further make the appeal that a range of data storage infrastructure systems be considered; and that governments have meaningful preservation policies in place.

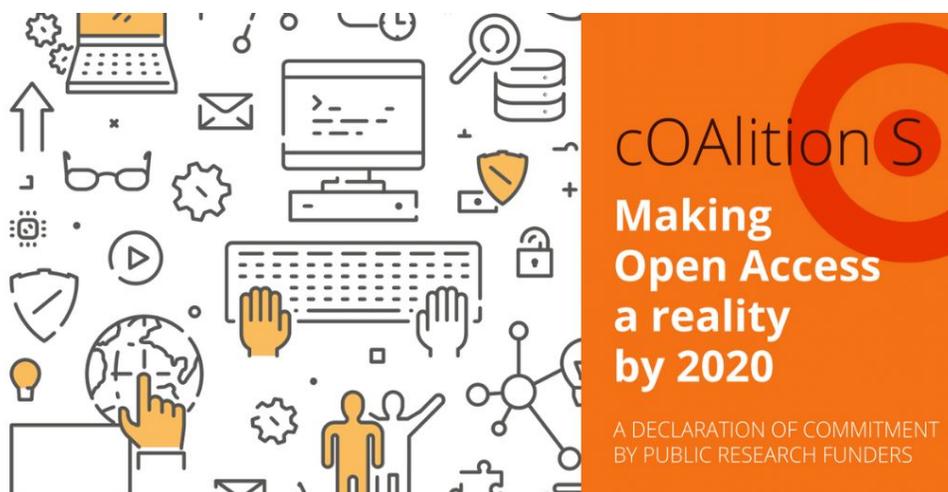
In terms of the actions we took, we stepped up our efforts in the autumn when The European Parliament (EP) aggregated amendments from European MEPs on the draft PSI directive. In response, SPARC Europe led an effort to influence key European Parliament MEPs by providing a formal reaction directed at PSI dossier holders before they came to a final European Parliament version. In our communication to MEPs, together with DCC, EBLIDA and IFLA, we presented our amendments to the original proposal. As a result, MEPs tabled many of our requests, which were then adopted in the final European Parliament version. In parallel, we communicated our position to the European Council (representing the heads of state of Europe's Member States) to help influence their discussions on the matter. EP and Council texts will be taken forward in the Trilogue negotiations in 2019 where the European Commission, European Parliament and European Council will negotiate on a common text that becomes the new law if voted in.

### **Open Science for Horizon Europe: Ensuring open access to research results**

Similar to the PSI work, in 2018 SPARC Europe has been leading an effort in collaboration with the European University Association (EUA), LIBER and IFLA to ensure that the Open Access and Open Science interests of the library and research communities are considered in the writing of the new European funding programme law, Horizon Europe. We have been actively following and responding to developments in this legislation in the European Council and the European Parliament in 2018, and will continue to do so in 2019.

Our position addresses the Horizon Europe Regulation and its Programme and we are continuing to work to support ensuring open access to the programme's research results. We strongly endorse the decision to make Open Science the *modus operandi* of the new Horizon Europe Programme. Providing a requirement to make the Programme's research results (both articles and data) Open Access, and following broader Open Science principles, will ensure increased access to publicly funded work. We promote the principle of making data as open as possible and as closed as necessary, following the FAIR principles using open formats and when data must be restricted that this is clearly justified. We also underline the importance of better ensuring the uptake of the European Open Science Cloud as it has the potential to transform the research landscape in Europe by guaranteeing that European research data and underlying infrastructures are connected, accessible and re-usable.

Our influencing activities in 2018 mainly focussed on reacting to scores of amendments related to the draft directive and programme policies on Open Access and Open Science that were tabled by European MEPs. In response, SPARC Europe led an effort to provide a formal reaction directed at Horizon Europe dossier holders and key European Parliament MEPs before coming to a final European Parliament version. Our view was that while many of the submitted amendments for the European Parliament version strengthened the proposal, 29, in particular, sought to weaken Open Science policy. In our communication to MEPs, we individually addressed each of the problematic amendments, justifying their need for exclusion or adoption. As a result, MEPs tabled many of our requests, which were then adopted in the final European Parliament version. At the same time, we shared our position with the European Council to help influence the heads of state of Europe's Member States. Final texts will be taken forward in the Trilogue negotiations in 2019 where the European Commission, European Parliament, and European Council will negotiate on a common text that becomes the new law if voted in. We will continue our Open policy efforts for Horizon Europe in 2019.



## SPARC Europe supports Plan S and cOAlition S

In September, the launch of both [Plan S and cOAlition S](#) were announced by Science Europe, the key goal of Plan S being to see all publicly-funded research published OA by 2020. cOAlitionS is the group of funding bodies that have all committed to Plan S.

Immediately following the launch, SPARC Europe, which committed to helping support Plan S, published a collection of our reactions to the initiative. These included how it relates to: the implementation of OA policy, copyright and licensing, academic publishers, OA infrastructure, potential challenges as well as concrete ways SPARC Europe will support implementation.

[Read our Reaction Statement in Full.](#)

Four weeks following our aforementioned statement of support for Plan S, we submitted a document to the Plan S Implementation Task Force to help them develop their implementation plan. Based on the Plan's recently released *Guidance on the Implementation of Plan S*, we see many of our suggestions included. Among them: the broadening of the scholarly outputs recognised (as opposed to journal format alone); the need to endorse a wide range of publishing business models; a fuller recognition of the value of repositories and including them as viable Open Access platforms; requirements for transparency and payment data around OA costs and fees; and the setting of clear limits on the life of hybrids. As many others, we will react to the official Plan S implementation plan to help support an implementation that works; one that provides a systematic, sustainable and equitable answer to open access to research.

We also shared a briefing paper with the community, based on the Plan S 10 principles titled [10 ways libraries can support the implementation of Plan S.](#)

Total Downloads: 587

## Rewarding people and institutions for sharing their research data at OECD

Continuing our policy development efforts, SPARC Europe was invited together with 30 other experts from across the globe to discuss policy issues surrounding public research data at the Organisation for Economic Co-operation and Development (OECD) in Paris. As part of the session on rewards, we made a number of concrete policy development-related suggestions and recommendations intended to increase the likelihood of open and FAIR data being rightfully recognised and rewarded by government.

Among the suggestions made: that governments, research councils and other funders make open and FAIR research practice mandatory as part of their evaluation criteria; that we make them part of internal and disciplinary research integrity goals; that open research practice be included in national and/or local research and career assessment or development systems, also rewarding ECTS credits for good practice; and that champions of open research across research communities be publicly rewarded and recognised. In addition to the suggestions, select examples from the community pertaining to each of the suggestions were also highlighted.

## SPARC Europe embarks on new European research funder survey

Funders are crucial players in the advancement of Open Access and Open Science; their use of rewards and incentives have a huge impact on whether or not research they support is ultimately published open access and freely available to all.



Because of their role, SPARC Europe is undertaking a new research initiative that will shed light on the various patterns of rewards and incentives being employed by funding organisations in the form of a survey of scores of European research funding organisations across Europe.

The idea is to gather information about the various types and scopes of reward incentive systems in place or in-the-works, as well as to identify gaps in supportive OA or OS policy. The

key goal is to help achieve growth in the number of Open Access and Open Science policies amongst funders in Europe, and help strengthen existing policies.

Time was devoted this year to scope out the study with a group of funders and experts including, Robert Kiley, Falk Reckling, Mathilde Reumaux, Vasco Vaz and James Wilsdon. We agreed upon the goal of the study, objectives, the themes to be addressed: including the existence of OA or OS

policies, the funding of the dissemination of research, grantee evaluation criteria, grant reporting, monitoring and compliance.

Current commitments allow for the distribution of a survey that will be sent first to members of [Science Europe](#), [ALLEA](#) (all European Academies) and the European Foundation Centre ([EFC](#)). The purpose of the project is to highlight a variety of practices amongst a range of funders in Europe.

Learnings from the survey will be highlighted in an effort to mobilise funders to stimulate and encourage Open Research practices. We look forward to sharing survey results in 2019.

## SPARC Europe Briefing Papers, Case Studies & Reports

SPARC Europe produced a range of documents catering to the diversity of European countries, many at different stages, of Open policy development. Following are a selection.



### [An Analysis of Open Data and Open Science Policies in Europe, version 3](#)

### [An Analysis of Open Data and Open Science Policies in Europe, version 2](#)

During 2018, **two updates to the Analysis of Open Data Policies** report were published.

The policy landscape around Open Access and Open Data varies greatly between European countries; it is also quickly evolving. To keep the community abreast of these changes, two updates to our Analysis of Open Data and Open Science Policies, produced in partnership with the Digital Curation Center (DCC), were released in 2018. Both iterations of the report noted new activity around national approaches to Open Data and Open Science in several countries, e.g. in the Czech Republic,

Hungary, Serbia and Sweden.

Total Downloads (of both reports combined): 1995

### **Data management. Learning from the innovators: 2 leading funders compared.** [Brief]

With governments and institutions throughout Europe increasingly recognizing the need for Open Data policies; there is also a need for highlighting best practices. Together with the Digital Curation Center (DCC), we released a brief that provides insights into two data policy leaders, the Wellcome Trust and the European Commission.

Covered in the report: a review of “the Wellcome policy on data, software and materials management and sharing” and an examination of the European Commission’s Open Research Data pilot, identifying common threads and indicating future policy directions.

Total downloads: 632

## [Fair and Open Data; A Briefing for Policymakers and Senior Managers](#) [Brief]

Our final briefing paper of the year looked at two central concepts commonly found in research funder and government data sharing policies: FAIR data and Open Data. This paper was written for policymakers, and not for librarians who are well aware of these differences. Its purpose is to address the common confusion and conflation of FAIR and Open Data - and to advocate for both to be considered in research data policy. The way in which both concepts are scaled, with reusability and usefulness increasing the degree of openness or FAIRNESS, is also detailed, together with concepts, from a European Commission Expert Group report, providing direction on implementing FAIR and Open Data.

Total downloads: 98 (published just before Xmas)



## PROVIDING ADVOCACY GUIDANCE AND TOOLS

### New Tool Launches: “Evaluating Your RDM Offering”

As part of our advocacy work, in November, we launched *Evaluating Your RDM Offering*, a resource informed by SPARC Europe’s [How Open is Your Research checklist](#) and the [Digital Curation Centre’s RISE Framework](#). This new digital tool provides a means for institutions to assess their efforts surrounding the promotion of research data management policy, services and infrastructure. Research-intensive universities are most likely to benefit from it.

This is how it works: users are invited to answer a selection of questions. Based on their responses, three downloadable radar charts are generated providing insights into: the breadth of range of RDM

services provided by the institution; the degree to which RDM services are being tailored to specific users; and lastly, whether or not the initiatives are sector leading. [The RDM tool](#) should aid institutions as they continue to improve and evolve their RDM programmes and practices.

We will adapt and re-use this tool in the future to serve other communities to help monitor or assess progress in Open Access, Open Science or Open Education.

We are interested in hearing from you on any ideas you have on how to re-use the tool:  
[info@sparceurope.org](mailto:info@sparceurope.org)

## ENCOURAGING CULTURAL CHANGE

### Data Management Engagement Award - [winner named](#)

The result of a collaboration between SPARC Europe, Cambridge University and JISC, the first-ever Data Management Engagement Award was presented in May to Nick Sheppard of Leeds University Library. The purpose of the competition was to spark new ideas for how libraries can better engage researchers in good data management. Mr. Sheppard's winning entry was titled *Manage it locally to share it globally: RDM and Wikimedia Commons* and involved linking research data with the Wikimedia suite of tools via editathon events involving several universities. He received 1750 GBP to implement the project over an ensuing 12-month period. SPARC Europe will follow progress on the project, and continue to support engagement between libraries and researchers on research data management in 2019 by helping gather good practices.



### Author Rights

#### Creative Commons Global Summit 2018 — authors & copyright control

Together with Creative Commons, the Authors Alliance, and many other international participants, SPARC Europe participated in [Creative Commons Global Summit 2018](#) in Toronto April 13-15. We co-ran a workshop, *Giving authors Control: How to retain and regain your copyright*, to raise awareness of author rights and related

issues and opportunities. The session covered current contexts; author knowledge gaps related to copyright, licensing, publishing practice; as well as advocacy tools and campaigns intended to support efforts to help change practices around author rights retention. We shared learnings from the workshop in the form of a document titled "[45 Knowledge Gaps](#)". This will feed into our work in 2019 to engage with authors to help them retain their rights.



## SUPPORTING THE SUSTAINABILITY OF OPEN SCIENCE INFRASTRUCTURE

At the start of 2018, the Global Sustainability Coalition for Open Science Services (SCOSS) had only recently launched with a pilot project that would be a test for this new initiative aimed at helping secure the vital infrastructure of services in which Open Science depends. The ensuing 12 months would see the

coalition grow, attracting close to a million Euros in pledged funds for the two services chosen for the first funding appeal: the Directory of Open Access Journals (DOAJ) and SHERPA/ RoMEO.

Over 110 institutions globally pledged funds during 2018 with a number of national consortia still discussing deals.

Other growth was realized with the expansion of SCOSS membership in line with our goal to have global representation. [The Association of African Libraries \(AAU\)](#), [The Association of Research Libraries \(ARL\)](#) and the [Canadian Association of Research Libraries \(CARL\)](#) became members in July joining the [Council of Australian University Librarians \(CAUL\)](#), [EIFL](#), [LIBER](#) and [SPARC Europe](#).

Presentations on sustaining Open Science services with SCOSS as a case in point were presented by various SCOSS Board members at a broad range of events in 2018, including ELPUB, IATUL, ICOLC, PUBMET, LIBER, and at several Focus on Open Science workshops in Gdansk, Vienna, Belgrade and Budapest.

SPARC Europe was also invited to attend the first gathering to discuss open science infrastructure tools and services through the Joint Roadmap for Open Science Tools ([JROST](#)). The event explored how one could better align efforts in the future, and identify what skills are needed to develop, maintain and secure access to those services. SPARC Europe was one of the few selected European attendees.

During the last quarter of 2018, SCOSS prepared for the second SCOSS funding cycle by releasing a call for Expressions of Interest from organisation and services interested in applying for SCOSS funding to help them on the road to sustainability.

The purpose of the appeal, which drew 38 responses, was to identify an initial pool of potential applicants that would be reviewed by the SCOSS Advisory Group. Those that qualified would be invited to participate in the full application process, which is in-depth and requires the disclosure of detailed financial information and strategic plans. At the close of the year, the Board was finalising its

review of submissions. A select few will be invited to proceed to the next stage of the application process in early 2019.

For SCOSS, 2018 served as a period of learning about what works, and what doesn't, how we relate to other initiatives, etc and evolving accordingly into a solution that moves us closer to sustainability. The Board has formulated guidelines for a formal and thorough review of the pilot phase. This review will evaluate the results, process and the organisation of SCOSS and will conclude with concrete recommendations for moving forward. We expect to share results of the review in Spring 2019.

### **Sharing SCOSS News Updates**

We published two newsletters with updates on the coalition during 2018: [A Spring](#) issue, which was delivered in English and French; and a [Winter](#) issue. Both these and future newsletters will be archived at [www.scoss.org](http://www.scoss.org).



**We believe this collaboration will help in strengthening  
the structures and infrastructure that exists to  
disseminate research findings and preserve global  
scholarly knowledge.**

**NODUMO DHLAMINI | THE ASSOCIATION OF AFRICAN UNIVERSITIES**

## OPENING UP EDUCATION

In April, SPARC Europe took part in the [OE Global 2018](#) conference, where one key session presented Open Education Resources (OER) work being carried out by librarians in Europe, and highlighted examples from Denmark, Germany, the UK and University College London. Among the issues covered where libraries are providing support: the discovery of OER, creating and maintaining OE repositories, aiding OE policy design in the broader context of Open (Open Access and Open Science), providing copyright and licensing support, metadata standardisation, quality assurance, support in the creation of OERs, and literacy training.

During the conference, the need for an international network of OER librarians to drive OER forward was surfaced - with 75 percent of session participants supporting the concept. In response, SPARC Europe offered to explore the idea in collaboration with others in the community. As libraries increasingly take on the role of publisher of Open Access publications and research data, they are becoming more active partners in knowledge creation. This inserts them into the center of the value creation process of their institutions, a position that increases their potential to facilitate and provide open education resources.

### **European Open Education Librarian Network launches**

In June, the first meeting of the [European Open Education Librarian Network](#) took place. Participants from Germany, Greece, Italy, Poland, Spain, the Netherlands and the UK met to discuss how libraries can partner with educators to increase education and learning opportunities for all in Europe. In the second half of 2018, the network carried out a scoping exercise to help outline areas of potential priority; this included studying key international policy documentation. We highlighted key challenges and opportunities for libraries in supporting educators in providing open access to their material. These areas include OER discovery, collaborative content curation, open education literacy, providing support with copyright and licensing, stakeholder management engagement and policy development as well as how we might optimise learning from OA and OS communities when advancing OE in Europe. Once every six weeks, the network meets virtually to share experiences, to inspire further local OER development, to stimulate greater collaboration and to problem solve, more rapidly, together. As a result, the group is now exploring which activities it could work on together to accelerate progress in a range of areas.

We are looking to attract more members from the library community, so please join us if you haven't already done so by contacting us via email: [oer@sparceurope.org](mailto:oer@sparceurope.org).

SPARC Europe has also been exploring how to create a European Open Education (in Higher Education) Policy Watch in 2019 to help inform European countries of the status of national OE-supportive policies. Together with colleagues across Europe, we are exploring how this and other activities can be supported in a sustainable way by further developing a network for Open Education policymakers.

## The people behind SPARC Europe

### **SPARC Europe Board welcomes new Vice Chair**

Mr Ignasi Labastida i Juan, Head, Research Unit, Library, University of Barcelona, Spain, was elected Vice Chair in early 2018.

### **SPARC Europe expands its Board and adopts a more diverse and inclusive profile**

In 2018, the recently expanded board seated nine members from eight countries including:

- Mr Lluís Anglada, Open Science Director, Consortium of University Services of Catalonia (CSUC), Catalonia
- Mr Raym Crow, Senior Consultant, SPARC, USA
- Ms Marlène Delhayé, Head of the Open Access Unit and Head of the E-Resources Service, Aix Marseille University Academic Libraries, France
- Ms Beate Eellend, Programme Manager, National Library of Sweden
- Mr Jan Erik Frantsvåg, Open Access adviser, UiT The Arctic University of Norway Library
- Mr Ignasi Labastida i Juan, Head, Research Unit, Library, University of Barcelona, Catalonia
- Mr Frank Scholze, Director of Library Services at the Karlsruhe Institute of Technology (KIT)
- Assistant Prof. Jadranka Stojanovski, Dept of Information Sciences, University of Zadar, Croatia
- Dr. Anna Walek, Director, Gdansk University of Technology Library, Poland

New Board positions will become available in 2020, and we will invite nominations in 2019. Please consider joining us if you want to take an influential role in helping drive Open Access, Open Science and Open Education forward in Europe.

### **SPARC Europe engages new Policy Advocates**

From January until June we were aided by Ásta Helgadóttir who supported us in our European legislative efforts.

In the autumn of 2018, Brigitte Vézina began managing SPARC Europe-led legislative efforts to influence the EU Copyright Directive, the PSI Directive and Horizon Europe.

**SPARC Europe is helping make Open the default;  
thank you for enabling us to do so by supporting our work!**