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## A CERIF description of an OA Policy to ease monitoring compliance

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### Abstract

The PASTEUR4OA project (Open Access Policy Alignment Strategies for European Union Research) aims to support the European Commission's Recommendation to Member States of July 2012 that they develop and implement policies to ensure Open Access (OA) to all outputs from publicly-funded research.

PASTEUR4OA is helping develop and/or reinforce open access strategies and policies at the national level and facilitate their coordination among all Member States. It is building a network of centres of expertise in Member States that will develop a coordinated and collaborative programme of activities in support of policymaking at the national level under the direction of project partners. It aims at documenting and analysing OA policies, and then at encouraging policies to strengthen the degree of openness and coverage.

In order to do this – and regarding the heterogeneity of policies and their evolution through time – it is necessary to have a canonical representation of each policy. Using CERIF to describe an OA policy requirements will thus facilitate the monitoring of the compliance to the policy, especially for institutions using a CERIF-based CRIS.

This document will first introduce a schema for Open Access policies that has been developed, and make a focus on its formalisation using the CERIF data model. A second part will describe the modules developed to build a demonstration system that includes OA policies expressed in CERIF.

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Analysis and development realized for euroCRIS as a partner of Pasteur4OA project

*Keywords:* open access policies; PASTEUR4OA; policy compliance; data model; CERIF

## 1. Introduction

PASTEUR4OA (Open Access Policy Alignment Strategies for European Union Research) aims to support the European Commission's Recommendation to Member States of July 2012 that they develop and implement policies to ensure Open Access (OA) to all outputs from publicly-funded research.

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## 2. Policy schema mapped to CERIF

### 2.1. Open Access policy schema

#### 2.1.1. Introduction

The purpose of PASTEUR4OA is to be able to document and analyse OA policies and then to encourage policies to strengthen the degree of openness and coverage. In order to do this – and regarding the heterogeneity of policies and their evolution through time – it is necessary to have a canonical representation of each policy.

Jacobs N. (2014, December 1)<sup>1</sup> presented in Jisc scholarly communications a common schema for OA policies. The proposed schema introduced the problem of the variety of policies as follows.

Funders' and institutions' OA policies documented, for example in ROARMAP (<http://roarmap.eprints.org/>) and Sherpa/Juliet (<http://www.sherpa.ac.uk/index.html>), are very varied. While there are likely to be good business and/or strategic reasons for this variety, it comes at the price of increased complexity for those asked to comply with those policies, and those who seek to advise them or provide other information services to them.

It would not be practical at this time to ask those issuing policies to converge on a single policy type, though that might arise through other means. Instead, a practical response to the problems generated by this variety would be to ask those issuing policies to express them using consistent language.

Jisc (<https://www.jisc.ac.uk/open-access>), SHERPA services and ROARMAP have jointly developed a schema for OA Policies essentially in the form of a questionnaire with values of elements recorded against questions.

#### 2.1.2. Overview of the schema

The schema is divided in five sections, each one containing several fields. The sections are described in the proposed schema as following.

1. AGENCY: The 'agency' is the organisation (funder, institution or other) issuing the OA policy. If a policy varies within an agency, then each of those variations should be represented by a separate instance of the schema. For example, if different OA policies apply at a sub-institutional level or at the research-funder level (where national research council OA policies vary, then the schema should be completed separately for each sub-institutional policy / each research council OA policy).
2. POLICY: This section gives general parametric information about the OA policy (links, dates, and constituency).

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