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## REVISED DRAFT STRATEGY ON UNESCO'S CONTRIBUTION TO THE PROMOTION OF OPEN ACCESS TO SCIENTIFIC INFORMATION AND RESEARCH

### SUMMARY

This revised draft strategy has been prepared in response to 186 EX/Decision 13 inviting the Director-General to present a revised draft strategy on strengthening UNESCO's contribution to the promotion of open access to scientific information and research, for approval at the 187th session of the Executive Board.

Financial and administrative implications are covered in paragraphs 25-26.

Action expected of the Executive Board: proposed decision in paragraph 27.

## Background

1. At its 35th session, the General Conference, by 35 C/Resolution 63, recommended that the Director-General:
  - (a) undertake a mapping of existing open access initiatives and open access stakeholders at the regional and global levels with the aim of better defining and strengthening UNESCO's role in promoting open access, bearing in mind UNESCO's role as a global, normative actor;
  - (b) develop a draft strategy on how UNESCO may strengthen its contribution to the promotion of open access to scientific information and research, to be submitted at the 186th session of the Executive Board for approval.
2. By the same resolution, the General Conference also invited the Director-General to seek extrabudgetary resources to ensure the implementation of this initiative, and invited Member States and other funding bodies to make extrabudgetary contributions to that end.
3. At its 186th session, the Executive Board debated the draft strategy (186 EX/13) and invited the Director-General to present a revised draft strategy to its 187th session (186 EX/Decision 13) reflecting on how UNESCO may define and strengthen its contribution to the promotion of open access by focussing on UNESCO's comparative advantages.
4. The 186th session of the Executive Board also requested the Director-General to clarify the linkages between the proposed strategy and related UNESCO's activities, in particular the Information for All Programme (IFAP) and to identify the resources needed and proposed timeline to enhance the open access initiative in the Draft Programme and Budget for 2012-2013 (36 C/5).
5. This revised draft strategy on open access has been prepared in response to the 186 EX/Decision 13.

## OPEN ACCESS STRATEGY

6. One of UNESCO's overarching goals is to build inclusive knowledge societies by harnessing information and communication technologies to maintain, increase and diffuse knowledge in the fields of education, the sciences, culture, and communication and information, including through open access.
7. Open Access (OA) is the provision of free access to peer-reviewed, scholarly, research information (both scientific papers and research data) to all. It envisages that the rights-holder grants worldwide irrevocable right of access to copy, use, distribute, transmit, and make derivative works in any format for any lawful activities with proper attribution to the original author. Through Open Access, researchers and students from around the world gain increased access to knowledge, publications have greater visibility and readership, and the potential impact of research is heightened.
8. There are over 6000 OA journals and over 1200 institutional OA repositories. The major institutional repository software, DSpace, has reached over 1000 installations recently. However, only 20% of scientific journal articles are available via Open Access. Since 2000, the average annual growth rate has been 18% for the number of Open Access journals and 30% for the number of articles. Spain has recently taken the legislation route to OA by enacting law on Science that includes provision for OA mandate.
9. To date, UNESCO has mainly been engaged in capacity building and awareness-raising about OA. Pursuant to the General Conference Resolution 35C/Resolution 63, UNESCO is currently engaged in mapping the OA activities of various existing stakeholders (i.e. researchers, research institutions, publishers and librarians) and initiatives in the world. This work will be

concluded by October 2011. The results of this activity will form the basis of Global Open Access Portal (GOAP) which will be launched during the General Conference in 2011.

10. UNESCO brings out a large number of scholarly publications as monographs and also publishes and/or supports the publication of scholarly journals. However, only *Diversities* (published by the Social and Human Sciences Sector) is listed in the Directory of Open Access Journals (DOAJ). While most UNESCO publications are accessible online, the Organization is yet to formally adopt Open Access policy to make all publications prepared by UNESCO or with its support available in Open Access repositories for easier retrieval and increased use of these resources.

11. UNESCO has been promoting OA in combination with Free and Open Source Software (FOSS) and Open Educational Resources (OER) in a package as Open Suit Strategies. Recently UNESCO and the Nature Publishing Group launched the 'World Library of Science' to increase access to quality scientific information in institutions in developing countries. The UNESCO "Beyond Campus" iTunes University is yet another initiative to improve access to UNESCO's technical and scholarly resources.

### **Strategic Action Plan**

12. In the framework of the overarching objective of "building inclusive knowledge societies through information and communication" (34 C/4), UNESCO focuses on policy development, capacity building, standard setting, partnerships and collaborations, and on playing the role of a clearing-house on OA as a forum for international cooperation, exchange of dialogue and reflection. It will promote long-term solution for OA based on an inclusive and rights-based approach in the framework of the follow-up to the World Summit on the Information Society (WSIS) and in line with the mandate of Information for All Programme (160 EX/Decision 3.6.1) to contribute to "free exchange of ideas and knowledge", and to narrow "the gap between the information rich and information poor". In order to achieve this goal, UNESCO's work in the next four biennia (2012-)2019) is proposed to be divided into three core areas:

- (i) Provision of upstream policy advice and building partnerships
- (ii) Strengthening capacities to adopt OA
- (iii) Serve as a clearing-house and informing the global OA debate

13. The OA strategy implementation shall draw on the existing body of work, networks of practice and exchanges developed within the framework of the Information for All Programme (IFAP). This will complement IFAP's ongoing activities in the IFAP priority areas of information preservation, information for development and information accessibility and envisages the development of active collaborative and operational links between implementation of the Open Access strategy and IFAP's Working Groups and National Committees.

14. The use of the term 'scientific' in the description of OA would cover all scholarly publications that have undergone the process of professional peer review, and shall not be limited to science publications only. Overall, this strategy will foster an enabling environment for OA to scientific information and research as well as Open Data enabling research and production of scientific information. To this end, the strategy envisages activities to be undertaken in consultation and cooperation with all programme sectors.

### **Core Area I: Provide upstream policy advice and build partnerships**

#### **Develop and review comprehensive national OA policies**

15. Within core area I, which is proposed to be the priority area in the implementation strategy, UNESCO will provide upstream policy advice on development of OA policy in Member States and

their research institutions. Building the capacity of national decision-makers and personnel of research institutions to draft and implement OA policies will be an integral part of this activity that will focus on the principle of OA for all publicly funded research and associated publications in Member States.

16. UNESCO's assistance will focus primarily on building national capacities to undertake review of the production of scientific information and policy analysis leading to prepare comprehensive national OA policies integrated into the national systems of research and development.

17. Using its convening power, UNESCO will raise global awareness about the advantages of OA to encourage policy development in Member States. UNESCO will mobilize stakeholders to organise regional consultations and will explore the possibility of organizing the first international congress on open access to scientific information and research towards the end of the next biennium (2012-2013). Amongst other issues of the congress will be analysis of existing national and international legal framework concerning open access and examination of necessity of elaboration of a new international instrument.

### **Enhance Cooperation and Partnerships**

18. As the OA to scientific information is a new programme, there is a need to strengthen it through partnerships and collaborations with publishers, universities, research institutions, libraries and specialized national and international non-governmental organizations (NGOs). UNESCO will thus initiate and support the establishment of a Network for Open Access to Scientific Information and Research (NOASIR) and consider the best possible way to: support institutional OA archives and journals in various disciplines by research institutions; encourage researchers and scientists to publish in OA journals and deposit their works in OA repositories; encourage publishers to offer more journals and articles in OA; support research and development in OA technologies, policies and practices; provide access to scientific journals to developing countries; and serve as a laboratory for innovation and catalyst for international cooperation.

19. In line with the Research4Life programme of other UN organizations and potentially with UNESCO, the Organization will initiate access to scientific publications in Science, Technology/Engineering and Mathematics (STEM) and Humanities and Social Sciences (HSS) journals for developing countries. While UNESCO will continue to engage with the scientific journal publishers to join the OA movement, research institutions and funding agencies will also be encouraged to create specific funding schemes to support publication fee in OA journals, and support researchers from the developing countries.

20. UNESCO will aim to establish systematic cooperation and improved coordination as regards OA with UN agencies such as the World Health Organization (WHO), Food and Agriculture Organization (FAO), United Nations Environment Programme (UNEP), World Intellectual Property Organization (WIPO), regional bodies like European Commission (EC), and also non-governmental organizations (NGOs) and foundations. The Organization will also continue to facilitate the OA activities of United Nations Group on the Information Society (UNGIS) within the framework of World Summit on the Information Society (WSIS).

### **Core Area II: Strengthening the capacities to adopt OA**

21. It is important that institutional capacity is increased to develop, maintain and sustain OA repositories and journals. Member States shall be facilitated to organize workshops and training programmes on OA covering policy, planning and implementation issues. It will also cover development of software expertise to maintain repositories for scientific and educational materials. Suitable guidelines and manuals in the form of toolkits shall be developed in print, interactive CD and online versions to support the workshops and training activities.

22. UNESCO will play the role of standard setter in OA by developing curricula and courses for adoption and adaptation in the curricula of Library and Information Science Schools of the Member States.

### **Core Area III: Serve as a clearing-house and informing the global OA debate**

23. The Global Open Access Portal (GOAP) (to be launched during the General Conference 2011) will provide information about the status of OA in Member States, identify key stakeholders, policies, and OA practices in institutions and communities. It will play the role of a clearing-house for OA related information, and link to resources, bibliographies and documents, including lists of experts and institutions on OA. The GOAP will also serve as a Community of Practice (CoP) for OA along with the OA Community in the WSIS-Community website.

24. Going beyond the clearing-house function, UNESCO will also encourage and support research and evaluation of the impacts of OA on the advancement of knowledge, including user studies, citation studies, impact factor analysis, and visibility of researchers and research institutions. UNESCO will also promote regional, subject-specific and indigenous knowledge repositories in different languages. Subject to availability of resources, UNESCO will prepare a state-of-the-art publication on world trends, issues and best practices in OA.

### **Administrative and financial implications**

25. Implementing this strategy will require strengthening UNESCO's capacity in the area of OA. Currently only one professional staff is following OA portfolio on full time basis, and in order to implement this strategy, professional staff in the field offices shall be oriented to backstop in the capacity development activities and regional consultations. Considering the lack of critical mass of experts, UNESCO will seek assistance from external experts, possibly via extrabudgetary funding and secondments, and to strengthen partnerships and networking. The detailed action plan, timeline and budgetary requirements (US \$4,340,000) envisaged in this strategy are listed in the Annex.

26. The financial and administrative implications of the activities to be undertaken within the framework of this strategy for 2012-2013 therefore fall within the parameters of the current 36 C/5 document, while those for the following three biennia (2014-2015, 2016-2017 and 2018-2019) will be taken into account in the planning and preparation of the respective biennial work plans. The implementation of the OA strategy is dependent on availability of financial resources envisaged, and therefore, the Organization will seek extrabudgetary contributions from Member States and other funding bodies for its implementation.

### **Action expected from the Executive Board**

27. After examining this revised draft strategy, the Executive Board may wish to adopt the following decision:

The Executive Board,

1. Recalling 186 EX/Decision 13,
2. Having examined the revised draft strategy on UNESCO's contribution to the promotion of open access to scientific information and research (187 EX/10),
3. Recognizing the need to promote open access to scientific information and research,
4. Taking note of the comparative advantages of UNESCO as a standard-setting agency and its convening power,

5. Underlines the necessity to implement the strategy proposed to strengthen UNESCO's contribution to promote open access to scientific information and research;
6. Approves the revised draft strategy (187 EX/10) along with budgetary provisions for implementation of UNESCO's contribution to the promotion of open access to scientific information and research;
7. Invites the Director-General to implement the revised draft strategy, and prioritize Core area I, which focuses on policy advice and building partnerships;
8. Requests the Director-General to identify the necessary resources for enhancing the open access initiative in the context of 36 C/5, and mobilize extrabudgetary resources necessary for implementation of the strategy;
9. Also requests the Director-General to explore the possibility of defining and adopting open access policy for all publications arising out of UNESCO or its support, in consultation with all the programme sectors and submit a report to it at its 190th session;
10. Invites Member States and other funding bodies to make extrabudgetary contributions for the implementation of the open access strategy to scientific information and research;
11. Decides to submit this revised strategy, together with the comments of the Executive Board and any other comments and observations that the Director-General may wish to make, to the General Conference at its 36th session for consideration.

**ANNEX**

**IMPLEMENTATION PLAN, TIMELINE AND ESTIMATED BUDGET**

**Budget breakdown in each biennium**

	<b>Budget in US \$</b>						
<b>Biennium</b>	<b>SO 1</b>	<b>SO 2</b>	<b>SO 3</b>	<b>SO 4</b>	<b>SO 5</b>	<b>SO 6</b>	<b>Total</b>
2012-2013	130, 000	220, 000	150, 000	180, 000	540, 000	140, 000	<b>1, 360, 000</b>
2014-2015	130, 000	220, 000	150, 000	160, 000	180, 000	240, 000	<b>1, 080, 000</b>
2016-2017	130, 000	220, 000	150, 000	160, 000	180, 000	140, 000	<b>980, 000</b>
2018-2019	180, 000	220, 000	150, 000	160, 000	180, 000	30, 000	<b>920, 000</b>
<b>Total</b>	<b>570, 000</b>	<b>880, 000</b>	<b>600, 000</b>	<b>660, 000</b>	<b>1, 080, 000</b>	<b>550, 000</b>	<b>4, 340, 000</b>

## IMPLEMENTATION PLAN, TIMELINE AND ESTIMATED BUDGET

Core Area I: Provision of upstream policy advice and related capacity development at country level					
Strategic objective	Indicative action	Performance indicators	Benchmarks	Expected results	Budget in US \$
SO 1: Encourage policy oriented research on Open Access and scholarly communication in Member States	Elaboration of comprehensive research on Open Access and scholarly communication	Number of country level reports generated	4 country level research conducted on OA and scholarly communication in each biennium	Evidence-based policy information available for the development of public policies and programmes relating to OA  Integration of OA in national research systems ensured	570, 000
	Increased cooperation with academic institutions (Universities, UNESCO Chairs, institutes, centres) to promote research on OA and scholarly communication issues	Number of cooperation agreements and scope of cooperation developed with academic institutions  Number of UNESCO Chairs on OA established	2 cooperation agreement signed per biennium for research programmes on OA  At least one UNESCO Chairs on OA established in each regions		
SO 2: Assist Member States in the development of public policies for the promotion and development of Open Access to scientific information	Development of policy dialogue mechanisms among decision-makers, researcher, academic and civil society	Number, quality and impact of policy dialogues to validate research recommendations  Number of mechanism established at national level to ensure policy dialogue among the various stakeholders	At least 4 policy dialogues initiatives leading to succinct policy recommendations organized in each biennium  Policy recommendations integrated in policy development processes in 4 countries in each biennium	Capacities of policy-makers in the development of appropriate policies on OA ensured  National and institutional policies on OA developed and/or reviewed	880, 000
	Technical assistance to Member States for the development or review of policies on OA	Number of countries receiving policy advice (technical assistance) for the development or review of public policies on OA	Technical assistance provided to 4 countries in each biennium		



**Core Area I: Provision of upstream policy advice and related capacity development at country level**

Strategic objective	Indicative action	Performance indicators	Benchmarks	Expected results	Budget in US \$
<p>SO 3: Convene international congress on Open Access and scholarly communication and examine the feasibility of elaboration of UNESCO Convention on OA to scientific information and research</p>	<p>Development of advocacy initiatives and awareness-raising for OA to scientific information and research</p>	<p>Number of events to advocate for and disseminate information on the importance of OA</p>	<p>By August 2013, 1<sup>st</sup> International Congress on OA and Scholarly Communication organised</p> <p>One international congress on OA organised in each biennium</p>	<p>Standard setting on OA to scientific information and research ensured</p> <p>Commitment of Member States to the implementation of the OA declaration/convention</p>	<p>600, 000</p>
	<p>Development of standard-setting instrument on OA and its ratification by Member States</p>	<p>Convention* of OA proclaimed (if feasible)</p> <p>* Recommendation/ Declaration may also be considered as alternative</p>	<p>If feasible, by December 2017, UNESCO Convention on OA adopted by the General Conference</p>	<p>Strengthened capacity of OA stakeholders to disseminate and advocate for the OA to scientific information and research</p> <p>Integration of the provision of the standard setting instrument into policies in Member States</p>	
<p>SO 4: Enhance cooperation and partnerships to promote Open Access</p>	<p>Facilitate the setting up of a Network for Open Access to Scientific Information and Research (NOASIR)</p> <p>Celebrate Open Access Week in partnership with stakeholders</p>	<p>Cooperating organizations identified and NOASIR established</p> <p>Number of key stakeholders join the Network</p> <p>Number, quality and impact of the OA week celebration events organised in Member States</p>	<p>By December 2012, feasibility study of NOASIR conducted</p> <p>By December 2013, NOASIR established</p> <p>At least 2 meetings of NOASIR organised in each biennium</p> <p>Support provided to at least 5 countries/ institutions to celebrate OA Week every year</p>	<p>Access to scientific information and research increased through the intervention of NOASIR</p> <p>Increased cooperation amongst stakeholders to promote the availability of scientific information</p> <p>Awareness of OA to scientific information increased</p>	<p>660, 000</p>

## IMPLEMENTATION PLAN, TIMELINE AND ESTIMATED BUDGET

Core Area II: Improve the capacities of the stakeholders to adopt OA					
Strategic objective	Indicative action	Performance indicators	Benchmarks	Expected results	Budget in US \$
SO 5: Develop and improve the institutional capacities as well as individual skills to adopt Open Access	Strengthening of the institutional capacities to adopt OA	Number of capacity building workshops conducted in Member State institutions	At least 4 capacity building workshops organised in each biennium  At least 500 individuals trained in OA related issues and a network of trained practitioners fostered by 2019	Increased use of OA repositories by Member State institutions  Availability of scientific information in OA improved  OA curriculum and training in Library and Information Schools standardized	1, 080, 000
	Development of Open Access TOOLKIT	OA Toolkit released in print, CD and Online version	By December 2013, toolkit finalized and disseminated		
	Develop curriculum on OA and relevant content	OA curriculum developed  OA curriculum adopted in number of universities  Number of regional consultations on OA curriculum organised  Course content developed for self-directed learning	By December 2012, OA curriculum developed  By December 2013, OA Course content developed for self-directed learning  By 2019, at least 50 institutions in Member States adopted OA curriculum		
	Develop reliable indicators for evaluation of Open Access repository software	OA repository software evaluation criteria developed	At least 10 OA repository software (including Open Source) evaluated by December 2013.		

## IMPLEMENTATION PLAN, TIMELINE AND ESTIMATED BUDGET

Core Area III: Serve as a clearing-house and inform the global OA debate					
Strategic objective	Indicative action	Performance indicators	Benchmarks	Expected results	Budget in US \$
SO 6: Support OA stakeholders and policy-makers in understanding the latest developments in Open Access to scientific information and research	Undertake mapping of OA scenario in Member States on a regular basis  Build and maintain a Community of Practice on OA	Global Open Access Portal (GOAP) launched and evaluated	By November 2011 GOAP launched  By December 2013, GOAP evaluated  OA Community membership increased to 5000 by 2019	Knowledge-based community of stakeholders in OA developed and fostered  Best practices in OA disseminated in Member States  Comparative advantages of OA documented and disseminated	550, 000
		GOAP continuously updated			
		Number of active members in CoP			
		Online directory of experts in OA developed			
	Bring out occasional briefing papers on latest issues related to OA and organize debates in the community				
Publish a state-of-the-art world trends, issues and best practices in OA	World Trends in Open Access published	By December 2015, the state-of-the-art report on OA published			
Assist in the development of reliable indicators for measuring the impact of Open Access Journals and Repositories	Ranking methodologies for OA journals and repositories refined and applied	Assist in the development of reliable indicators for measuring the impact of Open Access Journals and Repositories			
<b>Total</b>					<b>4, 340, 000</b>