

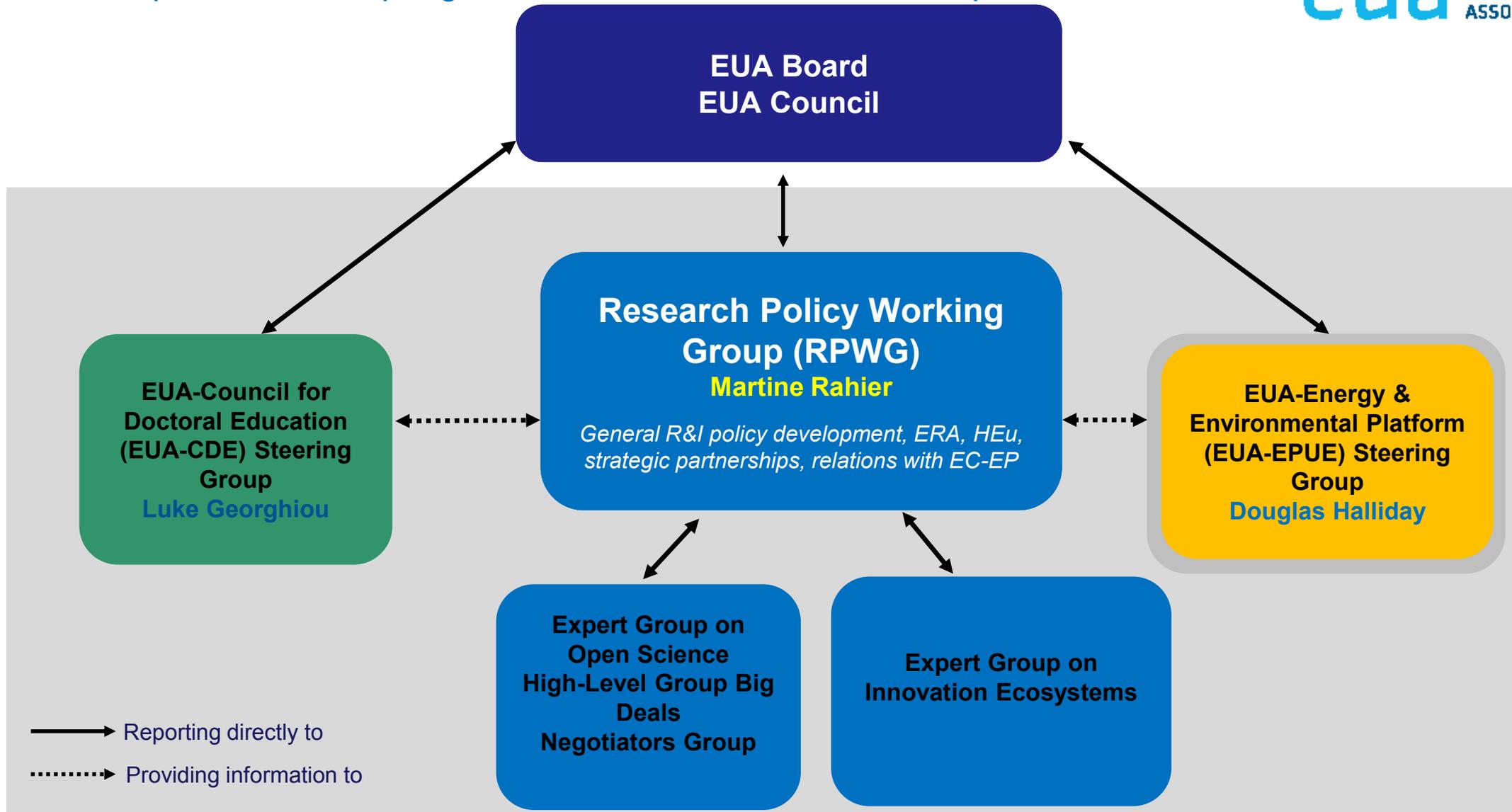
# European Universities' roles in the European Research and Innovation System

**Jornata Nazionale sul Dottorato di Ricerca**  
**University of Brescia**

**Dr Lidia Borrell-Damiá**  
Director for Reserach and Innovation

**12 June 2019**

**#ResearchAssessment**  
**#OpenScience**



**CRUI  
representatives  
in EUA  
Research &  
Innovation  
Committees and  
Steering Groups**

**Research Policy Working Group**

**Maria Cristina Messa, University of Milano-Bicocca**

**EUA-Council for Doctoral Education Steering Committee**

**Paolo Biscari, Politecnico di Milano**

**Innovation Ecosystems**

**Donato Iacobucci, Marche Polytechnic University**

**Science 2.0/Open Science**

**Mirko Degli Esposti, University of Bologna**

**Big Deal Negotiators Group**

**Francesca Rossi, CRUI**

## EUA R&I current priorities in Research and Innovation

- **Input to Horizon Europe Framework Programme for Research and Innovation & Structural Funds for R&I**
- **The role of universities in Innovation ecosystems**
- **Research Ethics and Integrity**
- **Evolution of the Research System in an Open Science context:**
  - **Policies: institutional, national, supranational (e.g. Plan S)**
  - **Publication business models and costs,**
  - **Research Assessment for researchers' careers**
- **Energy as a main societal challenge: interdisciplinary research and education focus for the energy transition, climate change and circular economy**
- **Other priorities related to the European Research Area: gender issues, national research systems, research infrastructures**

# Open Science: key objectives and conditions

## Key objectives:

- **Sharing of research-generated knowledge**
- **Quality of research and research ethics and integrity**
- **Transparency of the research process and outcomes publication**
- **Easy and affordable accessibility to research publications and data**

## Conditions:

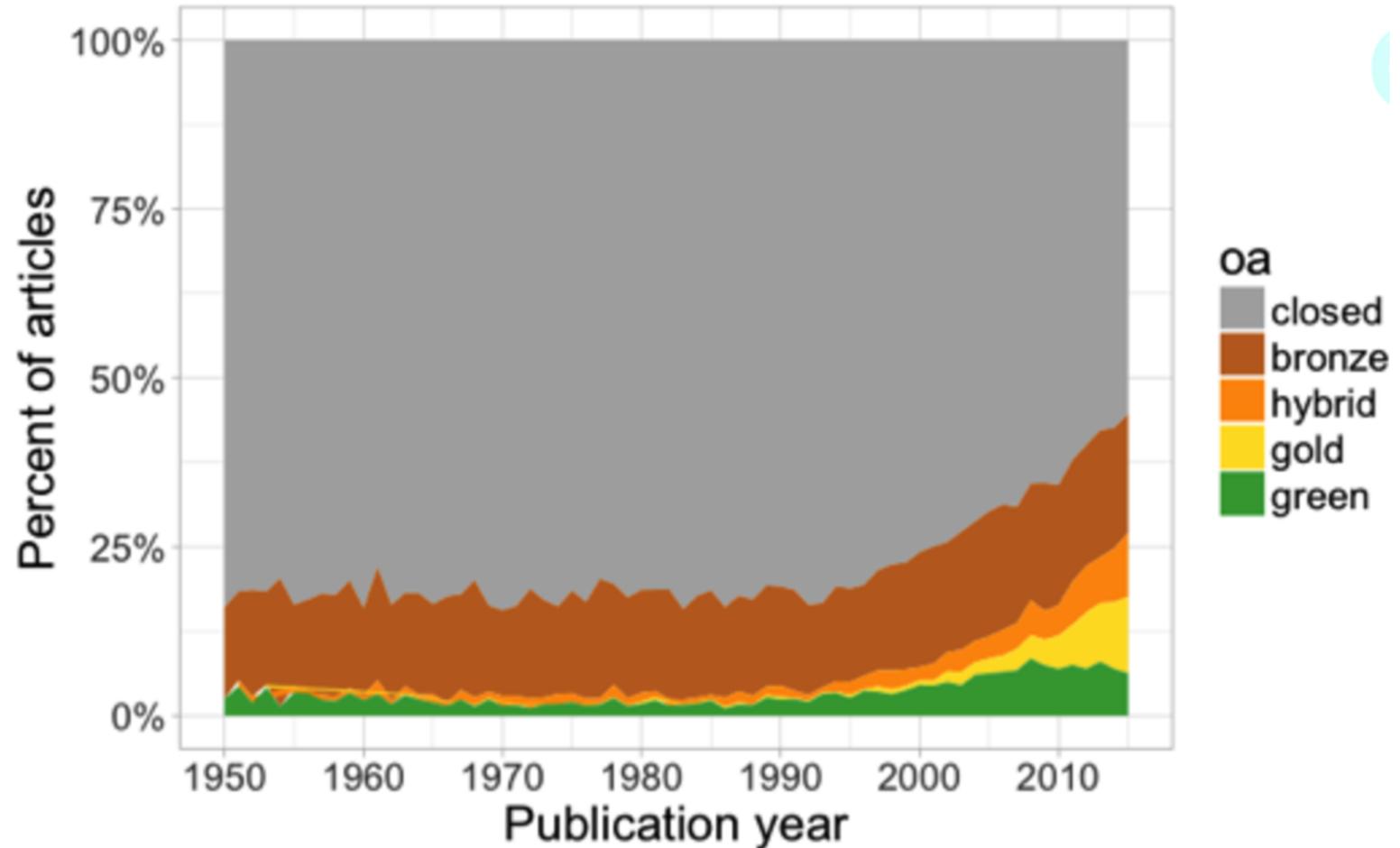
- **Investment in Open Access business models (cost of publications)**
- **Investment in e-infrastructure (deposit and access – FAIR principles)**
- **Policies fostering Open Access to research publications and data**
- **Researchers motivation and careers**

Constraints for  
Open Science:  
Limited  
engagement of  
a large part of  
researchers for  
many reasons

**Necessary (although not sufficient) conditions to make  
Open Science a reality**

- **Clarification of legal issues concerning sharing and reuse of publications and data – copyright regulation**
- **Original authorship respect – ethical considerations**
- **Reputation and research career progression – linked to research assessment and outputs**

# Share of Scholar Publications in Open Access worldwide is far from 100%

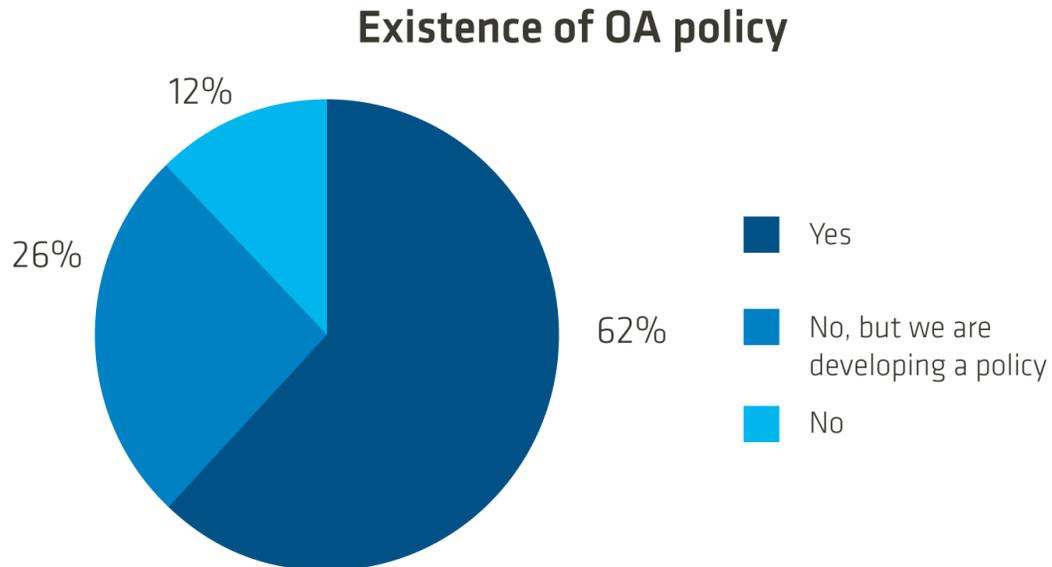


*Piowar, Heather; Priem, Jason; Larivière, Vincent; Alperin, Juan Pablo; Matthias, Lisa; Norlander, Bree; Farley, Ashley; West, Jevin; Haustein, Stefanie (2018-02-13). "The state of OA: a large-scale analysis of the prevalence and impact of Open Access articles". PeerJ. 6: e4375. doi:10.7717/peerj.4375. ISSN 2167-8359. PMC 5815332. PMID 29456894.*

Share of  
Open  
Access  
scholarly  
publications  
is far from  
100%

Estimation OA < 35 % of the total of scholarly  
publications

EUA Open Access Survey 2017-2018 :



## 2019 Big Deals Survey Report

An Updated Mapping of Major  
Scientific Publishing Contracts  
in Europe

By Rita Morais, Lennart Stoy and Lidía Borrell-Damián  
May 2019

## Key information

- Data collection: August-November 2018
- Respondents:
  - 31 Consortia negotiating on behalf of the university sector and other higher education and research performers
  - Focus: Periodicals
  - 5 major publishers (Elsevier, SpringerNature, Taylor & Francis, Wiley, American Chemical Society)
- Data analysed in aggregated fashion
- Most data refers to big deal contracts ongoing in 2017 or 2018

## Total annual expenditure on big deals

**For all subscriptions to electronic resources (including periodicals, databases, e-books) by national consortia:**

**Total (30 European countries) = ~ 1 025 253 055 EUR (estimate 2018, 3.5% yearly increase)**

*This is a conservative figure not including:*

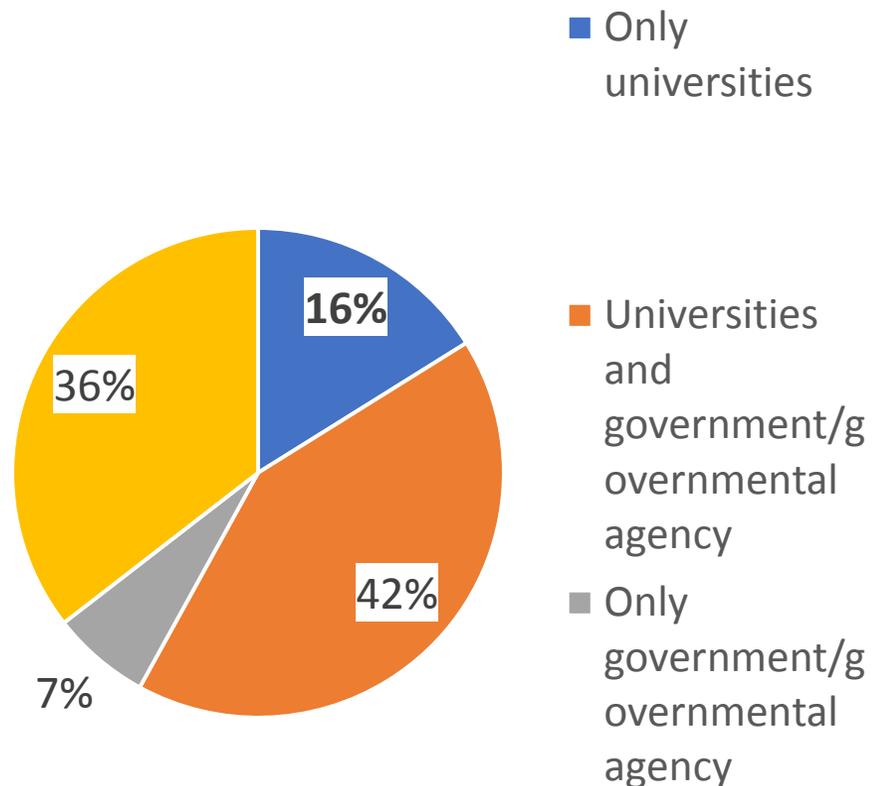
- *Article Processing Charges (APCs)*
- *Consortia other than those participating in the Survey*
- *Individual institutional contracts with publishers*

**For periodicals only in the surveyed consortia:**

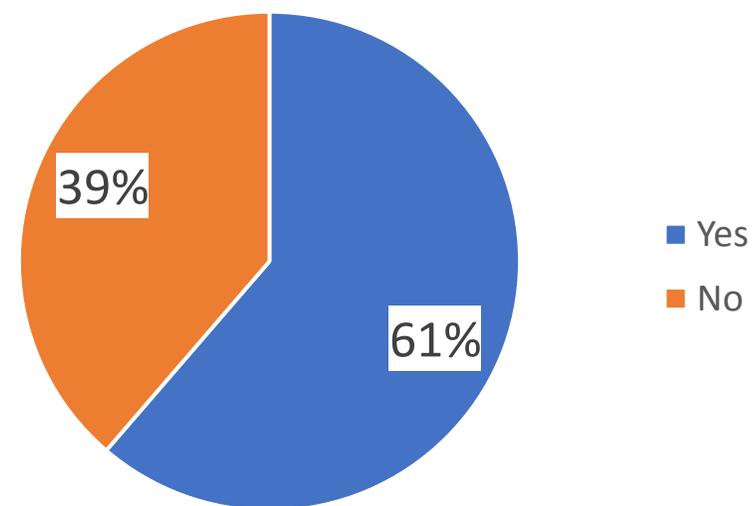
**Total (31 consortia, representing 30 European countries) = ~ 726 350 945 EUR (average yearly increase 3.6%)**

**Proportion of costs covered by universities in the consortia = 519 973 578 EUR (~72%)**

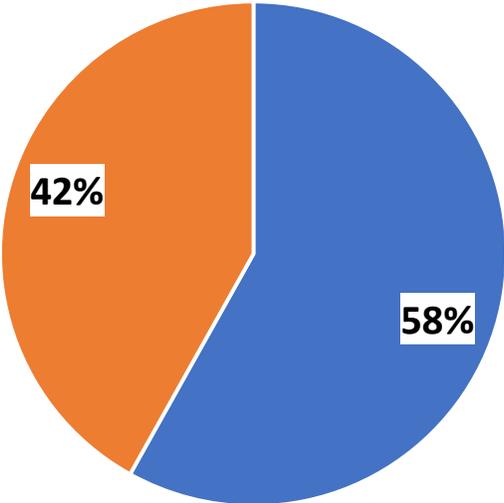
## Origin of funds for big deals



## Publicly available information on expenditure on electronic documentary resources



# University leadership role in the negotiation of big deals

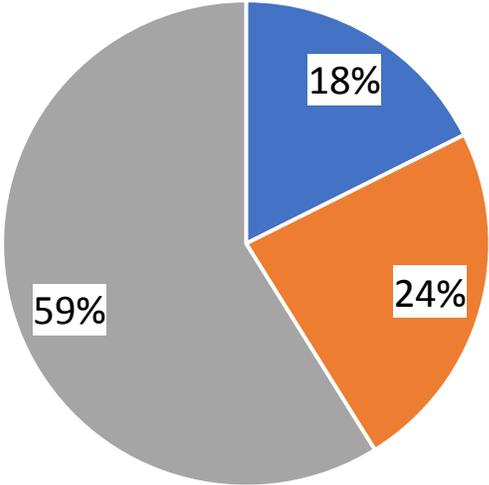


n= 31/31



- Yes
- No

# The university leadership has a role:



- As part of the negotiating team
- As the lead negotiator
- Other

n= 17/18

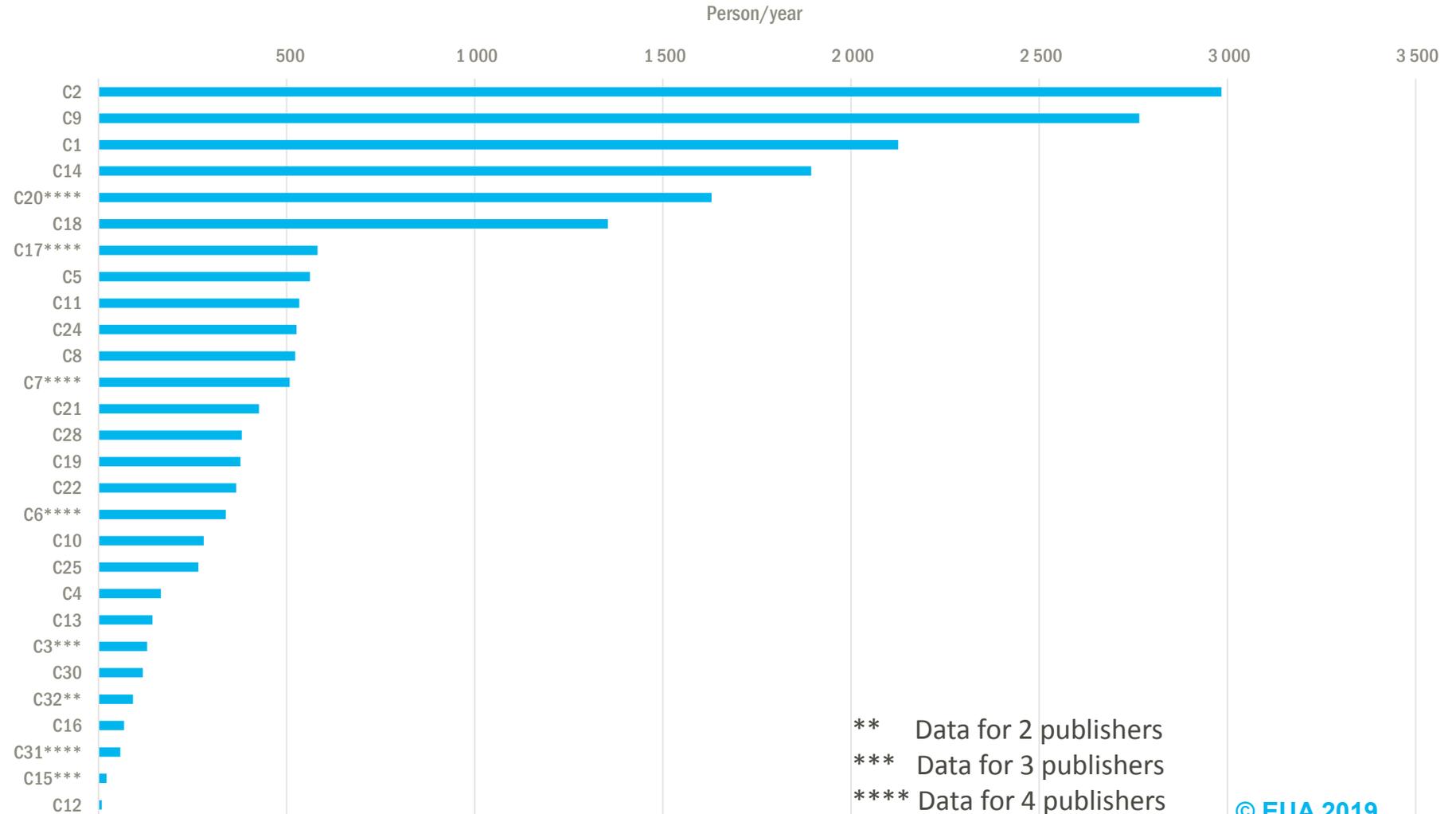
Other includes: negotiation only for some publishers; defining strategy.

# Relationship between amount spent on five big publishers per year and GDP per capita

**Calculation:** Amount spent annually on 5 big publishers / GDP per capita

**Interpretation:** the result represents the number of people that need to work for one year (person/year), given a certain GDP per capita, in order to reach the same monetary value as the cost of the five big publishers in that country.

*GDP per capita: source Eurostat (data from 2016)*



## Summary – Institutional policies on Open Access to Research Publications and Research Data

### **Existence of institutional policies**

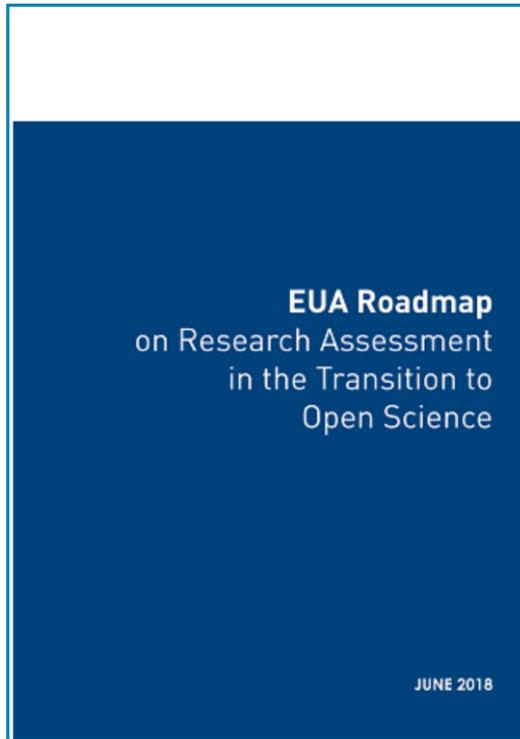
- OA to research publications: 62% of universities
- Research and data management (RDM): 21% of universities
- OA to research data: 13% of universities

**Existence of institutional repositories:** 89% of universities

**After the adoption of an OA policy:** 75% of universities saw an increase in publications' deposit rates in the repository

### **Monitoring the number of publications in OA:**

- **Green OA:** 69% of universities
- **Gold OA:** 43% of universities



Source:

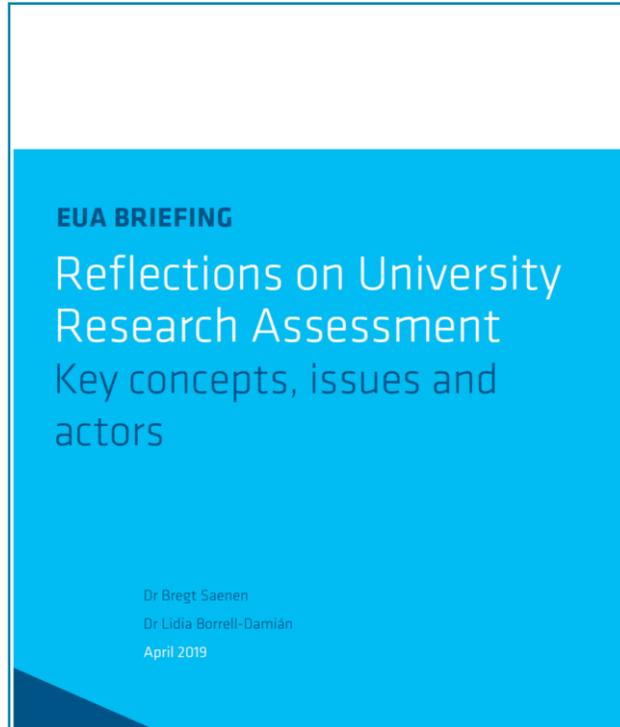
EUA (2018) [EUA Roadmap on Research Assessment in the Transition to Open Science](#)

## The dominance of the journal impact factor leads to two main problems:

1. the quality of an article produced by researchers is not evaluated directly, rather through a proxy, i.e., the reputation of the journal it is published in;
2. this situation reinforces the dominant position of commercial academic publishers and disproportionately adds to their power in shaping the way research is funded and conducted.

## EUA commitment

Raise awareness and support universities in the improvement of research assessment approaches that focus on research quality, potential and future impact, and that take into account Open Science practices.



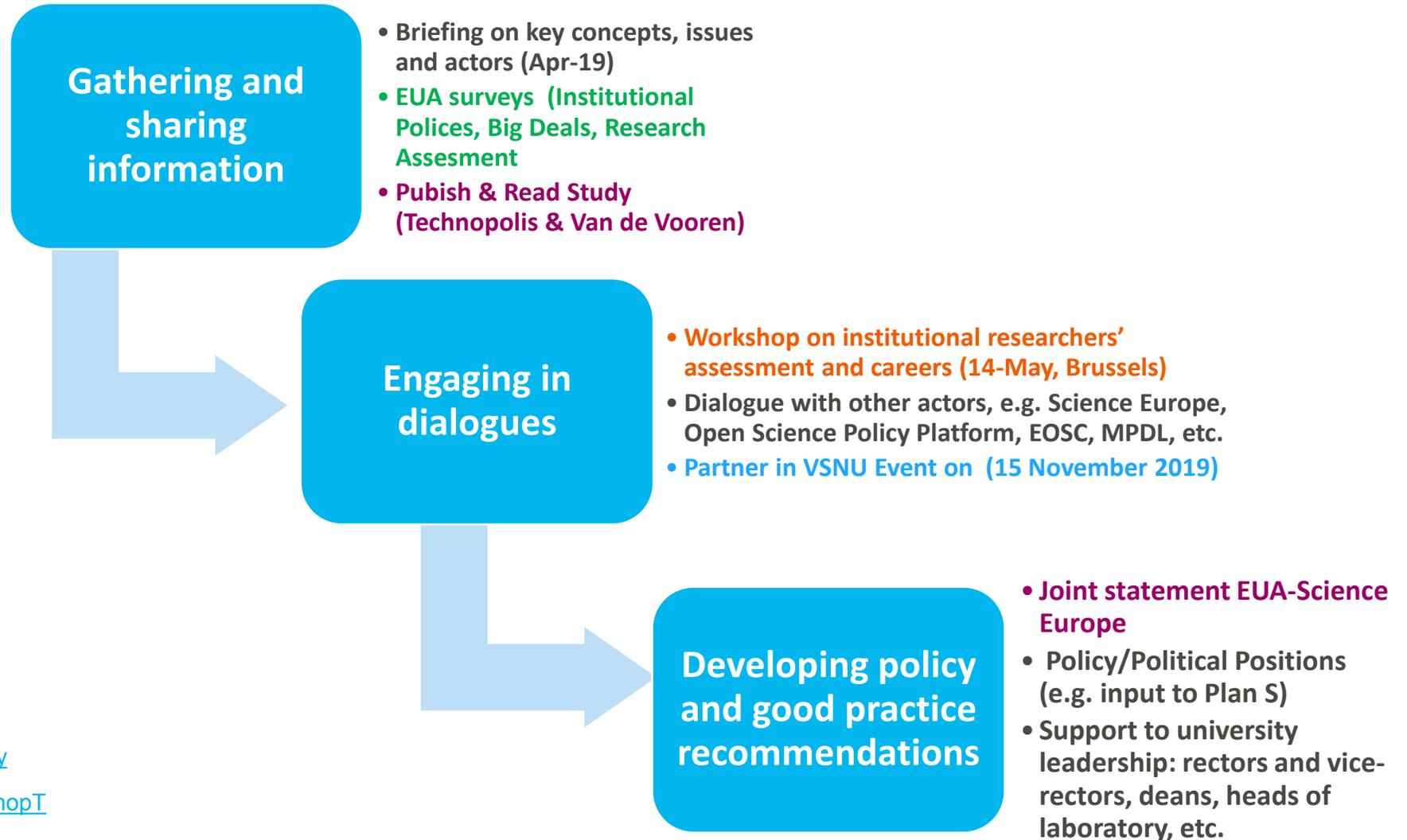
## Researchers, universities and other research performing organisations, research funders and policymakers are revisiting their approaches to research assessment:

- Current approaches related to negative trends in academia
- Discussion about the current state and future direction of scholarly research, as well as technical discussions
- Sprawling field involving a wide variety of actors, creating the need for a concerted approach

Source:

EUA (2019) [Reflections on University Research Assessment: Key concepts, issues and actors](#)

# EUA Actions with its universities and other stakeholders



More information:

Briefing: <http://bit.ly/EUARAbriefing>

Survey: <http://bit.ly/EUA2019RASurvey>

Workshop: [http://bit.ly/EUA\\_RAworkshopT](http://bit.ly/EUA_RAworkshopT)

## Key messages – Outlook at European systemic level

- **Transparency of costs and conditions** – research investments, research publication costs, related transparency laws
- Evolution of **research assessment exercises in a context of Open Science**
- Reinforcement of application of **Open Science policies** – institutional, national, supranational (e.g. Plan S).
- **Investment in research infrastructures** – national, supranational, e.g. European Open Science Cloud (EOSC).
- **Engagement, at system level, of researchers and university leaders, and research organization leaders, funders**
- **Doctoral Education has a clear role in addressing the future of the European Research and Innovation System**

# Thank you for your attention

