European Universities’ roles in the European Research and Innovation System

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#ResearchAssessment
#OpenScience

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EUA R&I Committees (2019)
An example of leadership organisation and coordination at European level

EUA Board
EUA Council

Research Policy Working Group (RPWG)
Martine Rahier
General R&I policy development, ERA, HEu, strategic partnerships, relations with EC-EP

EUA-Council for Doctoral Education (EUA-CDE) Steering Group
Luke Georghiou

EUA-Energy & Environmental Platform (EUA-EPUE) Steering Group
Douglas Halliday

Expert Group on Open Science
High-Level Group Big Deals Negotiators Group

Expert Group on Innovation Ecosystems

Mobilise 120 high-level representatives from 84 different universities in 31 European countries
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 Commitee
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%

Piwowar, 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:

Existence of OA policy

- Yes: 26%
- No, but we are developing a policy: 12%
- No: 62%
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

- 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

- Only universities: 16%
- Universities and government/governmental agency: 42%
- Only government/governmental agency: 36%
- 7%

Publicly available information on expenditure on electronic documentary resources

- Yes: 39%
- No: 61%
University leadership role in the negotiation of big deals

- 42% Yes
- 58% No

The university leadership has a role:

- 18% As part of the negotiating team
- 24% As the lead negotiator
- 59% Other

Other includes: negotiation only for some publishers; defining strategy.
Big Deals Survey 2018

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)

**Data for 2 publishers**

**Data for 3 publishers**

**Data for 4 publishers**
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
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
EUA Actions with its universities and other stakeholders

Gathering and sharing information
- Briefing on key concepts, issues and actors (Apr-19)
- EUA surveys (Institutional Policies, Big Deals, Research Assessment)
- Publish & Read Study (Technopolis & Van de Vooren)

Engaging in dialogues
- Workshop on institutional researchers’ assessment and careers (14-May, Brussels)
- Dialogue with other actors, e.g. Science Europe, Open Science Policy Platform, EOSC, MPDL, etc.
- Partner in VSNU Event on (15 November 2019)

Developing policy and good practice recommendations
- Joint statement EUA-Science Europe
- Policy/Political Positions (e.g. input to Plan S)
- Support to university leadership: rectors and vice-rectors, deans, heads of laboratory, etc.

More information:
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