



European Open Access policy and requirements

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How do we understand open access?

OA = online access at no charge to the user

- to peer-reviewed scientific publications
- to research data

Two main OA publishing business models

- **Green OA**: deposit of manuscripts **immediate/delayed OA**: provided by author
- **Gold OA**: costs covered (e.g. by 'authors') **immediate OA**: provided by publisher

Not an obligation to publish / not at odds with patenting
OA publications go the same peer review process

The European Commission is a...

Policy maker

- It proposes EU legislation & legislates with other EU institutions
- It invites Member States to act

Funding agency

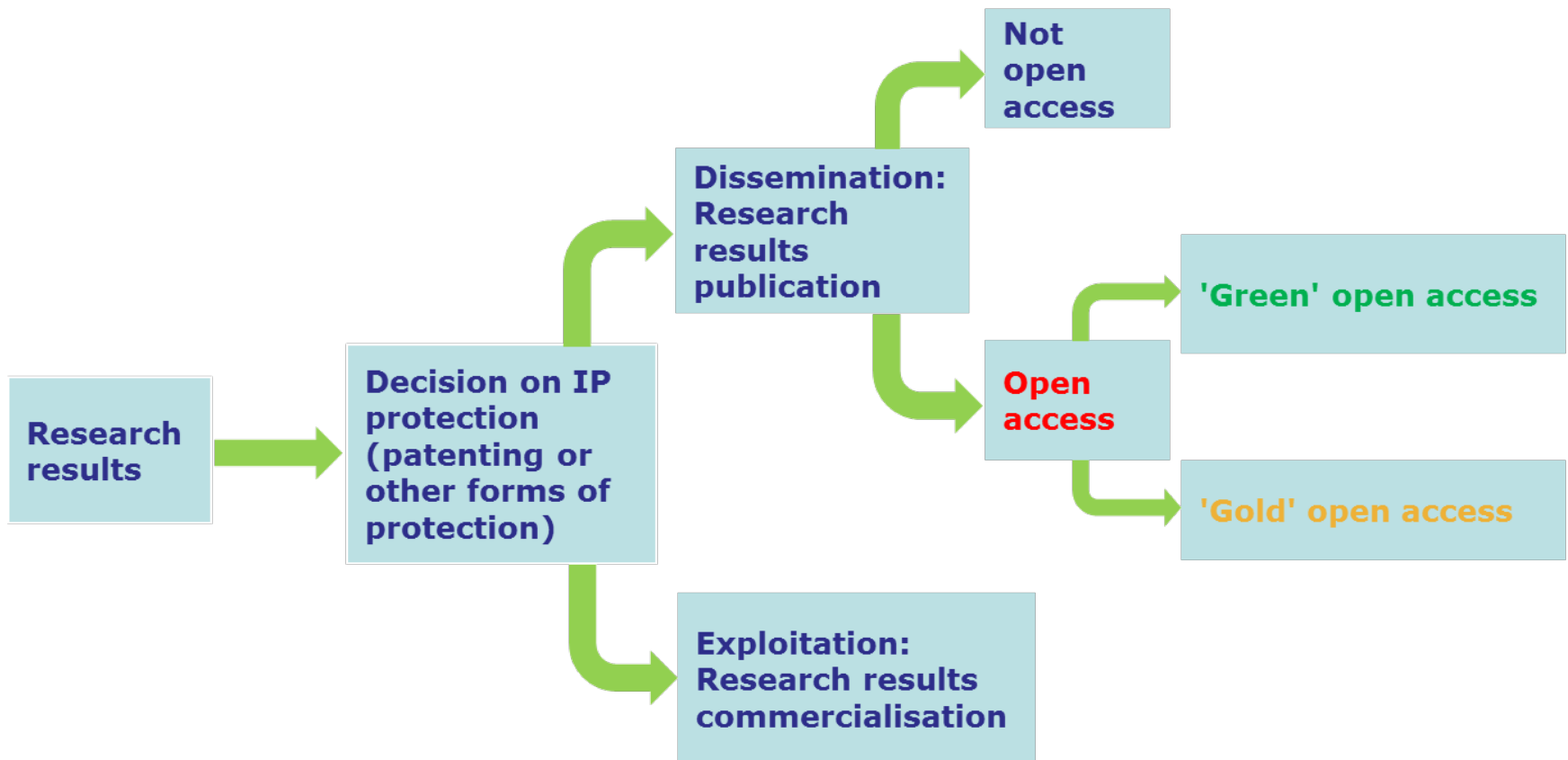
- It sets its own access and dissemination rules for EC-funded research

Capacity builder

- It funds projects that support EC/EU policy (e.g. e-Infrastructure)



Dissemination and exploitation





The Commission objective

The Commission wants to optimise the impact of publicly-funded scientific research

- At European level (FP7 & Horizon 2020)
- At Member State level

One way to get there: open access

Expected benefits:

- Better and more efficient science but also
- Economic growth → *Innovation Union*
- Broader, faster, more transparent and equal access for the benefit of researchers, industry and citizens → *Responsible Research and Innovation*
- Involving EU Member States and beyond → *European Research Area (ERA)* and international developments

Two Commissioners on open access



Vice-President Neelie Kroes
Digital Agenda

Digital single market



Commissioner
Máire Geoghegan-Quinn
Research & Innovation

Horizon 2020

*European Research Area (ERA) &
Innovation Union*

Open access in FP7

OA publishing costs are eligible in FP7 (gold)

- Since the beginning of FP7, for all projects
- Limited to duration of project

OA Pilot in FP7 (green)

- 7 areas (>1800 projects to date)
- 20% of total FP7 budget (2007-2013)

OpenAIRE

- EU-funded portal giving access to repositories across Europe (implements FP7 Pilot)



Open Access Pilot in FP7

Seven areas

1. Energy
2. Environment
3. Health
4. Information & Communication Technologies [*only cognitive systems, interaction & robotics*]
5. Research Infrastructures [*only e-Infrastructures*]
6. Science in Society
7. Socioeconomic Sciences & Humanities

Embargo (6/12 months)

- allows scientific publishers to ensure a profit on their investment (by e.g. charging for journal subscription),
- while then providing OA to research articles once the embargo period has lapsed.

Special Clause 39: FP7 grant recipients are expected to:

- 1. deposit peer-reviewed research articles or final manuscripts resulting from their FP7 projects into an online repository;
- 2. make their best effort to ensure open access to these articles within 6 months after publication (12 months for Science in Society and for Socioeconomic Sciences & Humanities).



In practice

Project co-ordinators

- *Best effort*: strongly encourages researchers & publishers to comply, while guaranteeing scientific freedom
 - Reference: [Guide to IP Rules for FP7 Projects](#), p. 15-18
1. Seek information
 2. If publishers' policies do not allow compliance, authors request authorisation to self-archive or negotiate amendment
 3. If negotiations unsuccessful, consider submitting to another journal
 4. If cannot comply with SC39, inform EC with e.g. publisher's proof of refusal

Legal officers:

- Insert Special Clause 39 in GA

Project officers:

- Check that SC39 is inserted (with correct embargo time)
- Explain OA FP7 policy to Project Co-ordinators
- Monitor (final) reporting

In-house support

Open Access Pilot in FP7:

- Leaflet "[Open access pilot in FP7](#)" [EN, pdf, 6122,9 KB] [[more](#)]
- [Guide to Intellectual Property Rules for FP7 projects](#) pg. 15 – 18, section 7.3
- [Guidance notes on Project Reporting](#), see especially pg 5, 25, 32
- [OpenAIRE: Open Access Infrastructure for Research in Europe](#)
- Model cover letter for amendment to publishing agreement [BG](#) | [CS](#) | [DA](#) | [DE](#) | [EL](#) | [EN](#) | [ES](#) | [ET](#) | [FI](#) | [FR](#) | [HU](#) | [IT](#) | [LT](#) | [LV](#) | [MT](#) | [NL](#) | [PL](#) | [PT](#) | [RO](#) | [SK](#) | [SL](#) | [SV](#)
- Model amendment to publishing agreement [BG](#) | [CS](#) | [DA](#) | [DE](#) | [EL](#) | [EN](#) | [ES](#) | [ET](#) | [FI](#) | [FR](#) | [HU](#) | [IT](#) | [LT](#) | [LV](#) | [MT](#) | [NL](#) | [PL](#) | [PT](#) | [RO](#) | [SK](#) | [SL](#) | [SV](#)

Please note that the model cover letter and model amendment to publishing agreement are provided for the sole purpose of offering support to beneficiaries of projects participating in the Open Access Pilot in FP7. Beneficiaries are free to modify the model documents or to replace them with alternative versions where appropriate and should seek legal advice where necessary, in particular in cases of pre-existing agreements. Whatever the publishing agreement put in place, beneficiaries should take care to ensure compliance with the conditions of the Open Access Pilot in FP7 as specified in Special Clause 39 of the Grant Agreement. The Commission cannot be held responsible for the use made of these models.

Online FP7 support documents ([Pilot toolkit](#))

- Model cover letter
- Model copyright agreement amendment to send to publishers

Support and monitoring

FP7 project OpenAIRE (Open Access Infrastructure for Research in Europe)



www.openaire.eu

- Support for technical implementation of the Open Access Pilot in FP7
- Helpdesk & contact points in the EU Member States
- Technical infrastructure of digital repositories to deposit and access articles and data produced under FP7 (incl. ERC)
- Repository for homeless publications (Orphan repository)



On-going SiS FP7 coordination and support actions

RECODE - (Policy Recommendations for Open Access to Research Data in Europe) - 2013

SERSCIDA - (Support for Establishment of National/Regional Social Sciences Data Archives) - 2011

MEDOANET - (Mediterranean Open Access Network) - 2011

SISOB - (An Observatorium for Science in Society based in Social Models) - 2010

ACUMEN - (Academic Careers Understood through Measurement and Norms) - 2009



Call in 2013 SiS Work Programme

Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area

- **PASTEUR4OA** (Open Access Policy Alignment Strategies for European Union Research)
- From 01.02.2014

Downstream training on Open Access in the European Research Area

- **FOSTER** (Foster Open Science Training for European Research)
- From 01.02.2014

Three key documents (16.07.2012)

Communication 'A reinforced European Research Area partnership for excellence and growth'

Communication 'Towards better access to scientific information: boosting the benefits of public investments in research'

Recommendation on access to and preservation of scientific information





1. Communication 'ERA'

The ERA is based on the internal market in which researchers, scientific knowledge and technology circulate freely

Five priority areas:

- More effective national research systems
- Optimal transnational cooperation and competition
- An open labour market for researchers
- Gender equality and gender mainstreaming in research
- Optimal circulation, access to and transfer of scientific knowledge

Joint statement by stakeholders organisations

**Formal commitments and activities on open access by:
EARTO, NordForsk, Science Europe, LERU and EUA**



Communication 'ERA'

MS are invited to coordinate their policies on access to and preservation of scientific information

→ Recommendation on access to and preservation of scientific information (C(2012)4890).

SHO are invited to adopt and implement open access measures for publications and data resulting from publicly funded research

→ Signed Memorandum of Understanding with LERU, EARTO, EUA, NORDFORSK and Unilateral Statement by Science Europe

The Commission will adopt establish open access to scientific publications as a general principle for all EU funded research projects in Horizon 2020. For research data the EC will develop a flexible approach that takes into account different scientific areas and business related interests. The Commission will continue to fund projects related to open access

→ Communication 'Towards better access to scientific information', COM(2012)401



2. Communication 'Towards better access to scientific information'

Why does better access matter for Europe?

The Commission's vision

Where do we stand?

- Access to publication and data, preservation, international context

What are the barriers to change?

- Transition to OA to publications, the case of data, long-term preservation

Action at European level

- What has the Commission done so far, what are the next steps (Horizon 2020)

3. Recommendation to Member States

Member States to define policies for and implement:

- OA to publications
- OA to research data – taking into account data-specific concerns
- Preservation and re-use of scientific information
- E-infrastructures

Consistency between H2020 policy and MS policy

Structured co-ordination of MS (National Points of Reference) at EU-level and reporting

Multi-stakeholder dialogue

Click here →





Open access in Horizon 2020

Regulation establishing Horizon 2020

To increase the circulation and exploitation of knowledge, open access to scientific publications should be ensured. Furthermore, open access to research data resulting from publicly funded research under Horizon 2020 should be promoted, taking into account constraints pertaining to privacy, national security and intellectual property rights.

*Open access to **scientific publications** resulting from publicly funded research under Horizon 2020 shall be **ensured** [...].*

*Open access to **research data** resulting from publicly funded research under Horizon 2020 shall be **promoted**. [...].*

A lengthy process of agreement between all parties!

From FP7 to H2020: OA to publications

FP7

- **Green** open access pilot in 7 areas of FP7 with 'best effort' stipulation
- Allowed embargoes: 6/12 months
- **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs

Horizon 2020 (tbc)

- **Obligation** to provide OA, either through the **Green** or **Gold** way in **all areas**
- Allowed embargoes: 6/12 months
- **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs & **other support being piloted**

to be confirmed



Key steps to implement OA to publications in H2020

1. Deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository

- "aim to deposit" the research data needed to validate the results in the publication

2. Ensure open access on publication or within six months of publication

- 12 months for publications in the social sciences and humanities
- ensure OA to the bibliographic metadata that identify the deposited publication

Both the gold and the green approach are supported

The Commission encourages authors to retain their copyright and instead grant adequate licences to publishers

to be confirmed



H2020: OA to research data (1/2)

the European Commission has committed itself to running a limited pilot for open access to research data in Horizon 2020.

The pilot will focus on **data underlying publications**.

For other types of data (such as curated data and raw data) the projects participating in the pilot should use a **data management plan** to decide what the most appropriate provisions for the specific data generated in their projects are.

to be decided!



H2020: OA to research data (2/2)

- This does not change the obligation to **protect results**, the **confidentiality** obligations, the **security** obligations or the obligations to **protect personal data**, all of which still apply.
- Beneficiaries do not have to give OA to specific parts of their research data if the achievement of the action's main objective would be jeopardised by making those specific parts of the research data openly accessible (to be explained in the DMP).

Important!

- Voluntary basis / support provided
- Core areas of H2020 concerned to be finalised



Open access in the ERA (follow up)

Member States (MS)

- ✓ ERA Progress Report (2013): progress among MS "gradual yet visible" (legal and administrative) but efforts need to continue.
- ✓ For interaction with the EC and among each other MS have nominated a national Point of Reference (NPR)
 - ✓ First meeting of NPRs to be organised in 2013
- ✓ Commissioner Geoghegan-Quinn participated in a Competitiveness Council debate on open access

Stakeholder Organisations (SHO)

- ✓ Significant interest in the subject, have organised a variety of events, many of them with Commission (e.g. LERU Conference of 2012, Nordforsk Open Data Workshop, COST workshop, a the Science Europe ERA Europe High Level Workshop).
- ✓ Open access also a point for discussion in the ERA High Level Stakeholder Platform and the associated doers network.
- ✓ ERA Progress Report (2013): Significant number of Research Funders and Research Performing Organisations support OA on the national level



Study to measure growth of OA

- Global proportion of scientific peer reviewed open access articles is higher than previously assumed:
 - Around 50% of scientific papers published in 2011
 - More than 40% of scientific papers published between 2004 and 2011
- Focus on ERA, Brazil, Canada, Japan and USA
- OA availability varies considerably among disciplines. The tipping point has been passed (OA availability over 50%) in Biology, Biomedical Research, Mathematics & Statistics and in General Science & Technology. Least open access in SSH, applied sciences, engineering and technology
- An overall OA advantage occurs in all but four disciplines
- The majority of 48 major science funders considers both gold and green OA acceptable. More than 75% accepted embargo periods of 6-12 months
- Policies for OA to data not as well developed but increasing

International context

Other countries all over
the globe...

International initiatives
e.g.

Global Research Council

G8 Science

UNESCO

'Berlin' conferences

Etc.



Our milestones

2006	<ul style="list-style-type: none">• EC-funded Study on the scientific publication market in Europe
2007	<ul style="list-style-type: none">• EC Communication on scientific information• Council Conclusions on scientific information in the digital age• FP7 (OA publishing costs/Gold OA)
2008	<ul style="list-style-type: none">• Open Access Pilot in FP7
2009	<ul style="list-style-type: none">• OpenAire platform launched to give EU-wide access to publications (and since Dec. 2011: research data)• EC Communication on ICT infrastructures for e-Science
2012	<ul style="list-style-type: none">• Surveys: OA in FP7, State of play in Member States• EC Communication on ERA• Scientific information package: EC Communication and Recommendation on scientific information
2013	<ul style="list-style-type: none">• Public hearing on open research data• Open access in Horizon 2020• Open access in the ERA

In summary...

- Open access as a means to improve knowledge circulation
- Not all countries are the same: both **Green** and **Gold** open access measures should be promoted (in Europe)
- Open access to publications: a general principle in H2020 (both routes should be valid and complementary)
- Open access must be effective, affordable, competitive and sustainable for researchers and innovative businesses
- Next challenges: *inter alia* OA to data, alternative metrics, Text and Data Mining



We welcome your input

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Links

EC OA website
http://ec.europa.eu/research/science-society/open_access

European Research Area (ERA)
http://ec.europa.eu/research/era/index_en.htm
http://ec.europa.eu/research/era/progressreport2013_en.html

Study to measure growth of OA
http://europa.eu/rapid/press-release_IP-13-786_en.htm

Twitter:
@OpenAccessEC

Innovation Union
<http://ec.europa.eu/research/innovation-union/>
<http://i3s.ec.europa.eu/home.html>