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## **Open Access in Horizon 2020 and the European Research Area**

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# **Open Access in Horizon 2020 and the European Research Area**

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**Open Access or Open Your Mind, Prague, 24.10.2012**

# Outline

*The policy on open access in the Commission*

*Open access in FP7/Horizon 2020*

*Recent policy developments*

*Conclusion*

*Addendum: funding in open call*

# The European Commission is a...

## ***Policy maker***

- Consultations, debates...
- Invites Member States to take action
- Proposes EU legislation  
(Other institutions: Parliament, Council...)

## ***Funding agency***

- Research & Innovation: FP7, Horizon 2020
- Sets access and dissemination rules for funded research

## ***(Infra)structure funder and capacity builder***

- E.g. pan-European Open Data Portal, OpenAIRE etc.
- Supports networking activities



# Two Commissioners on open access



*Vice-President Neelie Kroes*  
**Digital Agenda**  
*Digital single market*



*Commissioner*  
*Máire Geoghegan-Quinn*  
**Research & Innovation**  
*European Research Area (ERA)  
& Innovation Union*

# What are our objectives?

***Develop and implement*** open access to research results from projects funded by the EU Research Framework Programmes

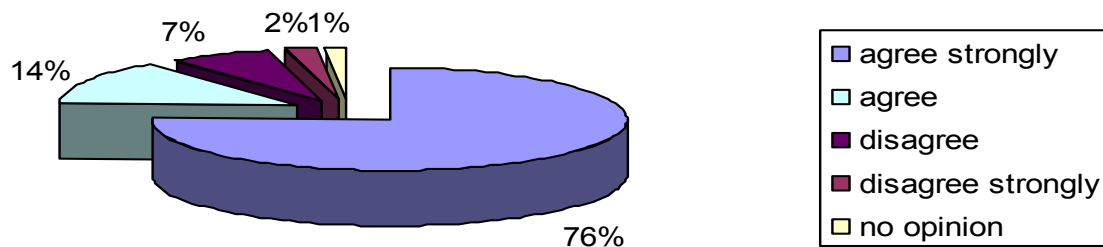
- Including fund research and support activities in the area of open access

***Encourage*** national policy initiatives aiming at improving access to and preservation of scientific information

***Contribute*** to policy co-ordination between Member States

# 2011 Consultation on scientific information: Publications

**Should publications resulting from publicly funded research be available OA?**



## In favour:

- 100%
  - National and Regional Government
  - Research funding organization
- More than 90%
  - Libraries,
  - Citizens,
  - Universities/research institutes
  - Researchers

## Disagree:

- 67% of publishers

# Open access in FP7- overview

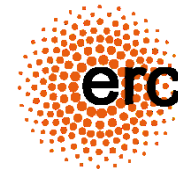
## OA Pilot in FP7

- 'Best effort to provide OA' mandate
- 7 areas (>1300 projects to date)
- 20% of total FP7 budget (2007-2013)
- Survey (summer 2011)



## ERC

- **Updated (2012) Scientific Council Guidelines for OA**  
Embargo (6 months) including primary data



## OpenAIRE

- **EU-funded portal**  
Incl. monitoring (statistics: 27 134 publications, 9 577 are OA etc.)
- **OpenAIREplus**  
Linking of publications with datasets





# 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).

*> 1000 GA to date  
~2000 by end of FP7*



# Support and monitoring

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



[www.openaire.eu](http://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)**

# Gold open access in FP7

*OA publishing costs are eligible in FP7*

- **Since the beginning of FP7 & for all projects**

Details can be found in the FP7 model Grant Agreement

- **Limited to duration of project**

*EC Survey (Summer 2011)*

- **>50% did not know the possibility**
- **Only 8 projects out of 194 answers reported they used it**
- **For 72% of respondents, reimbursement of Gold OA is restricted by the fact that most publishing activities occur after the project end**
- **Almost 70% of respondents think it is better to use self-archiving to satisfy the OA requirement in FP7**

# What are we proposing for OA in Horizon 2020 ?

## ***OA Pilot in FP7***

- 'Best effort' to provide OA
- 7 areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months

Green OA

## ***OA mandate in H2020***

- Obligation to provide OA
- All areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months
- Plus: 'pilot' for research data



## ***OA publishing costs***

- Eligible while project runs

Gold OA

## ***OA publishing costs***

- Eligible while project runs
- Plus (tbc): possibility to cover later publications, under conditions to define

# What are the next steps?

## *Leading by example*

- **Proposal for open access in Horizon 2020**

Co-decision with the **Council & European Parliament (amendments!)**

By end of 2013: Adoption of legislative acts

From 2014 Horizon 2020 starts / launch of first calls

## *But also:*

- **Working with the community, funding infrastructures and relevant projects, co-ordination beyond the EU**



# Three new documents from the European Commission (16.07.2012)

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

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

3. 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**

## 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



### 3. Recommendation to Member States

*Define and implement clear policies for the dissemination of, and open access to publications and data resulting from publicly funded research*

- **Embargo, copyright, academic career system, SMEs, transparency etc.**

*Reinforce the preservation of scientific information*

*Further develop/reinforce e-infrastructures*

*Participate in multi-stakeholder dialogues at all levels*

*Participate in co-ordination at EU level*

# Conclusion

*both 'Green' and 'Gold' open access measures should be promoted in the EU*

- **Not all Member States are the same**

***Open access must be effective, fair, affordable, competitive and sustainable for researchers and innovative businesses***

# Open Call in 2013 SiS Work Programme

## **ACTIVITY 5.1.3/Area 5.1.3.3**

Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area

- **Networking of MS**

Topic SiS.2013.1.3.3-2: Downstream training on Open Access in the European Research Area

- **training academic staff, policy makers and staff working in funding bodies.**

**More info on the open calls:**

**<http://ec.europa.eu/research/participants/portal/page/capacities>**

# Your questions & your feedback

Learn more on **Open Access and the Commission:**  
[http://ec.europa.eu/research/science-society/open\\_access](http://ec.europa.eu/research/science-society/open_access)

Find support for the Pilot with **OpenAIRE:**  
[www.openaire.eu](http://www.openaire.eu)

Find tools for the Pilot on **CORDIS:**  
[http://cordis.europa.eu/fp7/find-doc\\_en.html](http://cordis.europa.eu/fp7/find-doc_en.html)

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