Open-Access-Tage
Tuesday, October 4th

Open Access in EU Research

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European Research Area

Outline

- **<u>The EC's approach to OA</u>**
- **Open Access in FP7**
- **EU 2020 Flagship initiatives**
- **Next steps**
- **Current policy process**
- **Current funding opportunities**

European Research Area

EC Role

- **Policy-making body**
  - Launch / accompany policy debates at European level
  - Encourage Member States to take co-ordinated action

- **Research funding body**
  - Set access and dissemination rules for EC-funded research (Framework Programmes)

- **Capacity-building/supporting body**
  - Fund infrastructures
  - Support networking activities

Why the EC cares

- **Serving science and research**
  - Optimise R&D investment
  - Promotes equal access for all researchers and institutions

- **Benefitting innovation**
  - Improving access to the knowledge to generate innovation
  - Enables knowledge transfer to industry, including SMEs

- **Improving return on investment in R&D**
  - Free access to results funded by tax payers' money
  - Societal impact of R&D

Legal foundations

- **European Community Treaty ('Lisbon Treaty')**
  - Article 179
    - The Union shall have the objective of strengthening its scientific an technological bases by achieving a European Research Area in which researchers, scientific knowledge and technology circulate freely [...]
  - Article 180c
    - [...] the Union shall carry out the following activities: [...] - dissemination and optimisation of the results of activities in Union research, technological development and demonstration
  - Article 183
    - For the implementation of the multiannual framework programme the Union shall: - lay down the rules governing the dissemination of research results

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European Research Area

- **A Europe-wide space or 'single market' for research and innovation**
  - ...in which researchers, scientific knowledge and technology circulate freely
  - Key element: Free movement of knowledge ('Fifth freedom'): access to, dissemination of and exploitation of publicly-funded research

  - ERA to set clear principles or rules regarding:
    - The management of intellectual property resulting from publicly funded research
    - Access to, and dissemination of publications and research data resulting from publicly funded research

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Reimbursement of open access publishing costs

- **Open access publishing costs are covered in FP7**
  - From the beginning of FP7
  - Publication costs (including author pays / gold open access fees) are eligible for 100% reimbursement
  - Limited to duration of project

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Open Access Pilot in FP7

"Open Access Pilot in FP7"

"If I have seen further it is by standing on the shoulders of giants." *Isaac Newton, 1676*

- **Covers seven thematic areas = 20% of FP7 budget**

- **Embargo (6/12 months)**
  - allows scientific publishers to ensure a profit on their investment

- **Special Clause 39: grant recipients 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 ensure open access** to the articles within 6 months after publication (12 months for in Society and for Socioeco Sciences & Humanities)

OA Infrastructure

OpenAIRE (Open Access Infrastructure for Research in Europe)

– Support for Pilot technical implementation

– Helpdesk & contact points in the EU Member States

– Technical infrastructure of digital repositories to deposit and access articles and data produced under FP

– Homeless publications repository

www.openaire.eu

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Digital Agenda

- **'A Digital Agenda for Europe'** (COM(2010)245, 19.05.2010)

    - *"[…] publicly funded research should be widely disseminated through Open Access publication of scientific data and papers";*

    - *"[…] the Commission will appropriately extend current Open Access publication requirements […]".*

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Innovation Union

'Innovation Union' (COM(2010)546, 06.10.2010)

– Delivering the European Research Area:

- Commitment 4: "*In 2012, the Commission will propose a European Research Area framework and supporting measures [...]. They will notably seek to ensure through a common approach [...] dissemination, transfer and use of research results, including through open access to publications and data from publicly funded research*"

- Commitment 20: "*The Commission will promote open access to the results of publicly funded research. It will aim to make open access to publications the general principle for projects funded by the EU research Framework Programmes [...]*".

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Next Steps

- **Post 2013 research funding – Horizon 2020**

- **Proposal on European Research Area**
  - Mid 2012

- **Communication & Recommendation on Scientific Information**
  - Early 2012

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Stakeholders consultation 2010/2011

- **2011 Survey on FP7 OA Pilot**
- **2010/2011 ERAC Questionnaire**
- **Green paper on CSF**
- **Public consultation on Scientific Information in the digital age**
- **ERA Consultation (running)**

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2011 Survey on FP7 OA Pilot (I)

- 194 answers out of 810 Projects
- Many "non opinion" answers because of project duration
- A total of <u>534</u> articles deposited or to be deposited, out of which <u>406</u> in open access mode.

Survey on FP7 OA Pilot (II)

- **Open Access publishing option**
  - 93 out of 194 respondents were aware of it
  - Only 5% used this option
  - Is it too expensive? 50% yes 50% no
  - For 72% the gold option is restricted by the fact that most publishing activities occur after project end

Survey on FP7 OA Pilot

- **Self-archiving (Special Clause 39)**
  - Majority finds it easy or very easy to:
    - have time or manpower to self-archive
    - inform the Commission on the failure of making best efforts
  - Many respondents do not know the toolkits provided
  - The majority finds difficult to:
    - identify a new, satisfactory publisher
    - change publisher or journal

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Survey on FP7 OA Pilot

- **Implementation**
  - 75% find it difficult to negotiate with publishers/journals

- **Reasons given for not providing OA**
  - publisher's copyright agreement
  - lack of time or resources

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2010/2011 ERAC Questionnaire (I)

- **Previous Questionnaire (2008/2009 CREST)**
  - Follow-up of 2007 Council Conclusions
  - Valuable non-governmental initiatives
  - Few national strategies
- **2010/2011 ERAC Questionnaire**
  - A lot of progress in ERA countries since 2009
  - Greater awareness
  - A growing number of well developed activities
  - Few more national strategies
  - Policies on OA to peer reviewed publications still more advanced than on policies to research data
  - Greater number of infrastructures

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2010/2011 ERAC questionnaire (II)

- Role of the EC/EU
    - Stimulate and support capacity-building, exchange of best practices and co-ordination of policies
    - Monitor progress in EU Member States
    - Develop EU copyright rules for research
    - Amplify the OA policy in the Framework Programmes
    - Finance activities through the Framework Programmes
    - Develop tools to quantify benefits and progress of OA
    - Support the development of repositories
    - Prepare for the challenge brought by scientific data
    - Negotiate with publishers
    - Stimulate the collaboration of industrial partners

2011 Green Paper on a Common Strategic Framework (CSF)

- Q. 20: how should intellectual property rules governing EU funding strike the right balance between competitiveness aspects and the need for access to and dissemination of scientific results?

  - Current provisions on intellectual property rights are judged to be adequate

  - Need to ensure proper dissemination and exploitation of results

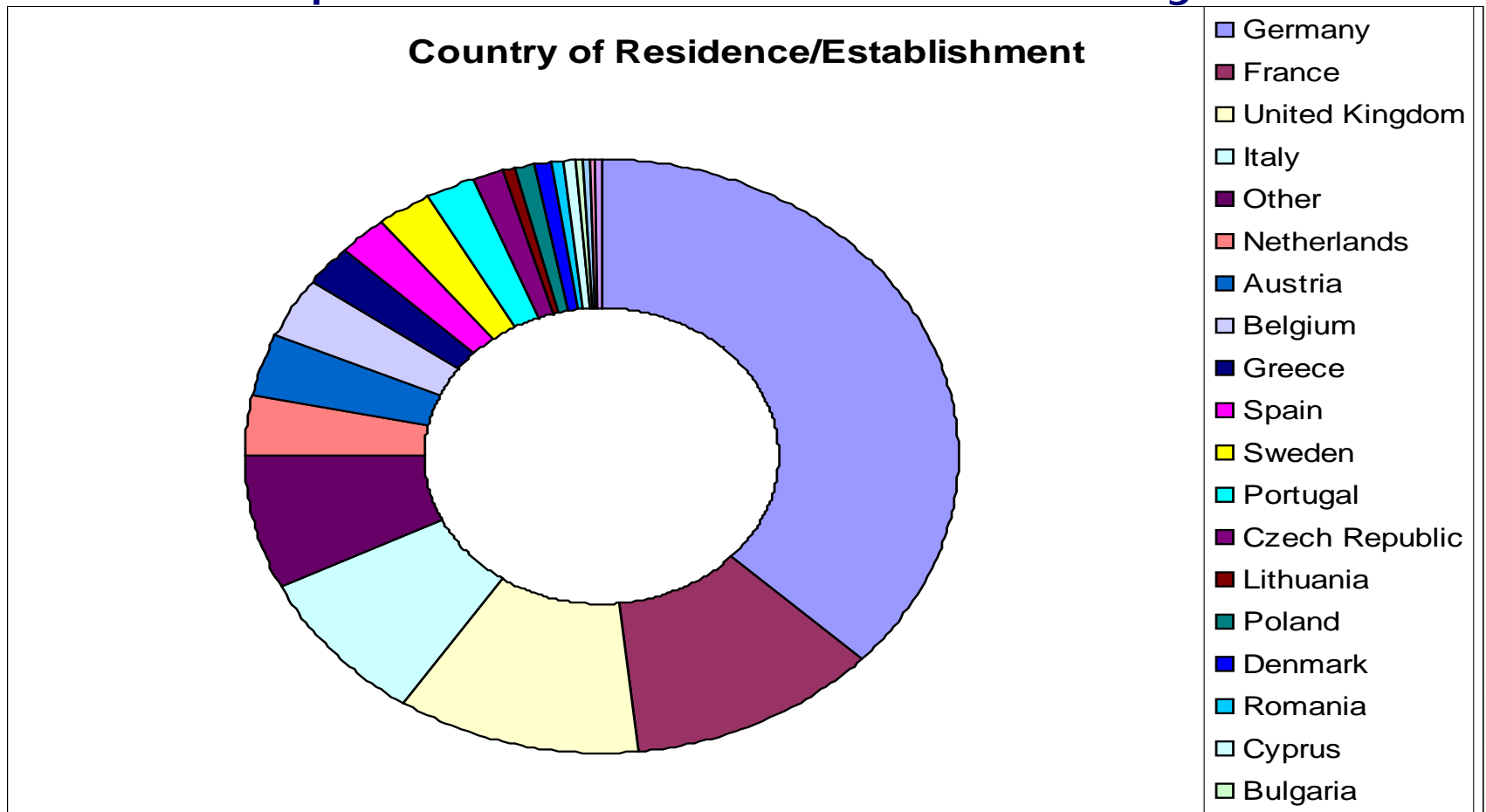 - Support for open access and free dissemination of its results

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2011 Public Consultation on Scientific Information (SI) in the digital age (I)

- 1180 responses, 422 from Germany

Country of Residence/Establishment
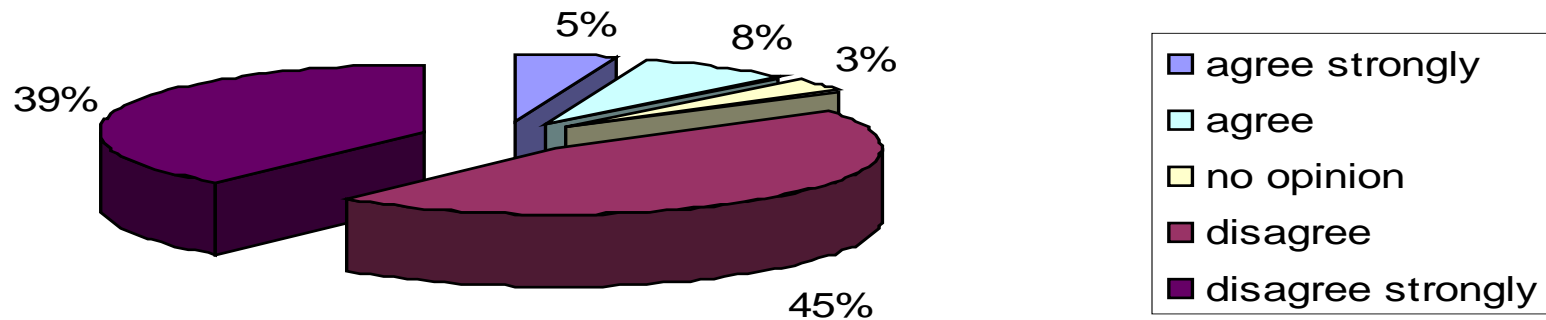
Legend:
- Germany
- France
- United Kingdom
- Italy
- Other
- Netherlands
- Austria
- Belgium
- Greece
- Spain
- Sweden
- Portugal
- Czech Republic
- Lithuania
- Poland
- Denmark
- Romania
- Cyprus
- Bulgaria

2011 Public Consultation on SI (II)

Respondents' Categories

Legend:
- Individual researcher
- Citizen
- University/research institute
- Library
- Other
- Publisher
- International organisation
- Research funding organisation
- National government
- Regional or local government

Values shown: 28%, 8%, 7%, 7%, 6%, 4%, 1%, 0%, 0%, 39%
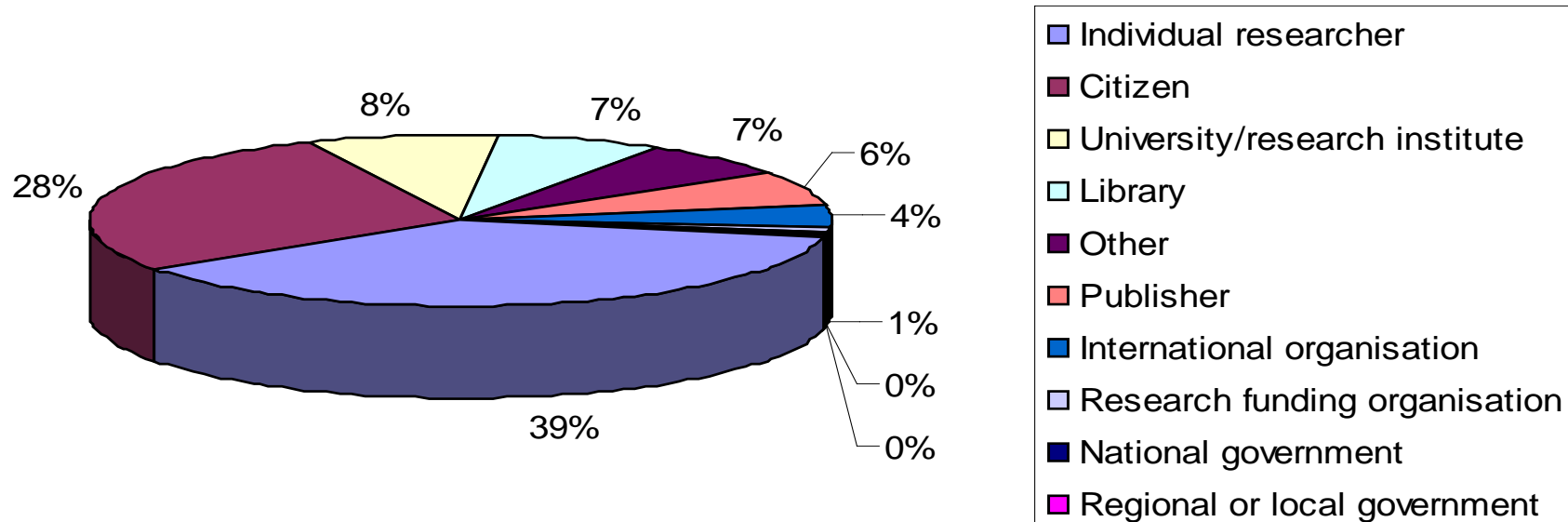
There is NO problem to access scientific publications

Pie chart values:
- 5% — agree strongly
- 8% — agree
- 3% — no opinion
- 45% — disagree
- 39% — disagree strongly

Legend:
- agree strongly
- agree
- no opinion
- disagree
- disagree strongly

Should publications resulting from publicly funded research be available OA?

- agree strongly
- agree
- disagree
- disagree strongly
- no opinion

14% 7% 2% 1% 76%
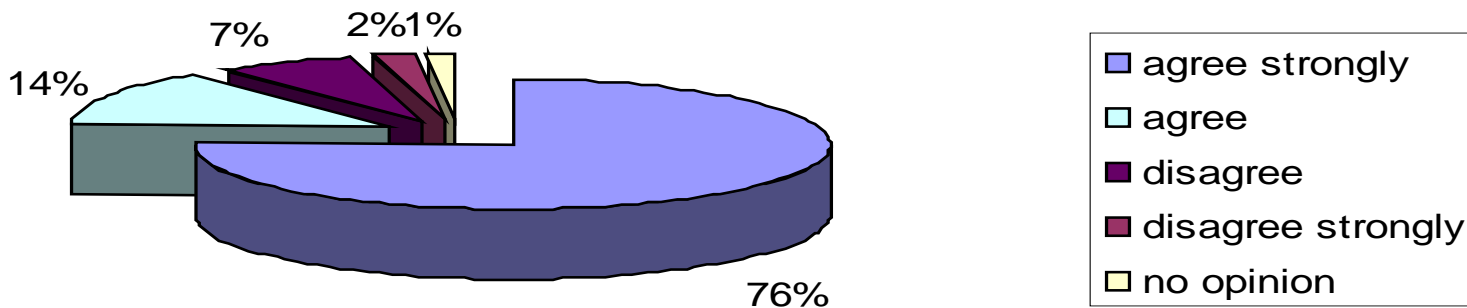
ERA Consultation

- Public consultation on the key obstacles to the achievement of a European Research Area (ERA) by 2014

- Section 7 focuses on knowledge circulation (knowledge transfer and open access)

- Deadline for contributions 30 November 2011

- **http://ec.europa.eu/research/consultations/era/consultation_en.htm**.

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Current opportunities

- **Call "ENV.2012.6.5-3 Exploring opportunities for open access to primary environmental data"**
  - Deadline 20 October 2011
  - http://ec.europa.eu/research/participants/portal/page/cooperation?callIdentifier=FP7-ENV-2012-one-stage

- **Calls for Tenders "Study to develop a set of indicators to measure open access"**
  - Deadline: 31 October 2011
  - http://ec.europa.eu/research/dgs/tenders/rtd-tender_en.cfm?tender_ref=s178-291163

- **Call for proposal 2012 "SiS.2012.1.3.3-1: Scientific data: open access, dissemination, preservation"**
  - Deadline: 22 February 2012
  - http://ec.europa.eu/research/participants/portal/page/capacities?callIdentifier=FP7-SCIENCE-IN-SOCIETY-2012-1

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Your questions

Learn more on Open Access and the Commission:
http://ec.europa.eu/research/science-society/open_access

Find support for the Pilot with OpenAIRE:
www.openaire.eu

Find tools for the Pilot on CORDIS:
http://cordis.europa.eu/fp7/find-doc_en.html

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