



Open Access in Horizont 2020 und der ERA

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„Wer hat Angst vor Open Access?“

Informationen und Hintergründe zu Open Access in Horizont 2020

4. Juni 2013, 10:00 – 16:30
Tech Gate, Donau-City-Straße 1, Konferenzraum 0.1
1220 Wien

EU Policy objective

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

- At European level (Framework Programmes)
- At Member State level

Expected impacts:

- Economic growth (accelerated innovation)
- Better science (build on previous results)
- More efficient science (avoid duplication)
- Improved transparency (involving citizens & society)

What is open access (OA) to scientific information?

OA = online access at no charge to the user

- to peer-reviewed scientific publications
- to research data

Two main OA publishing business models

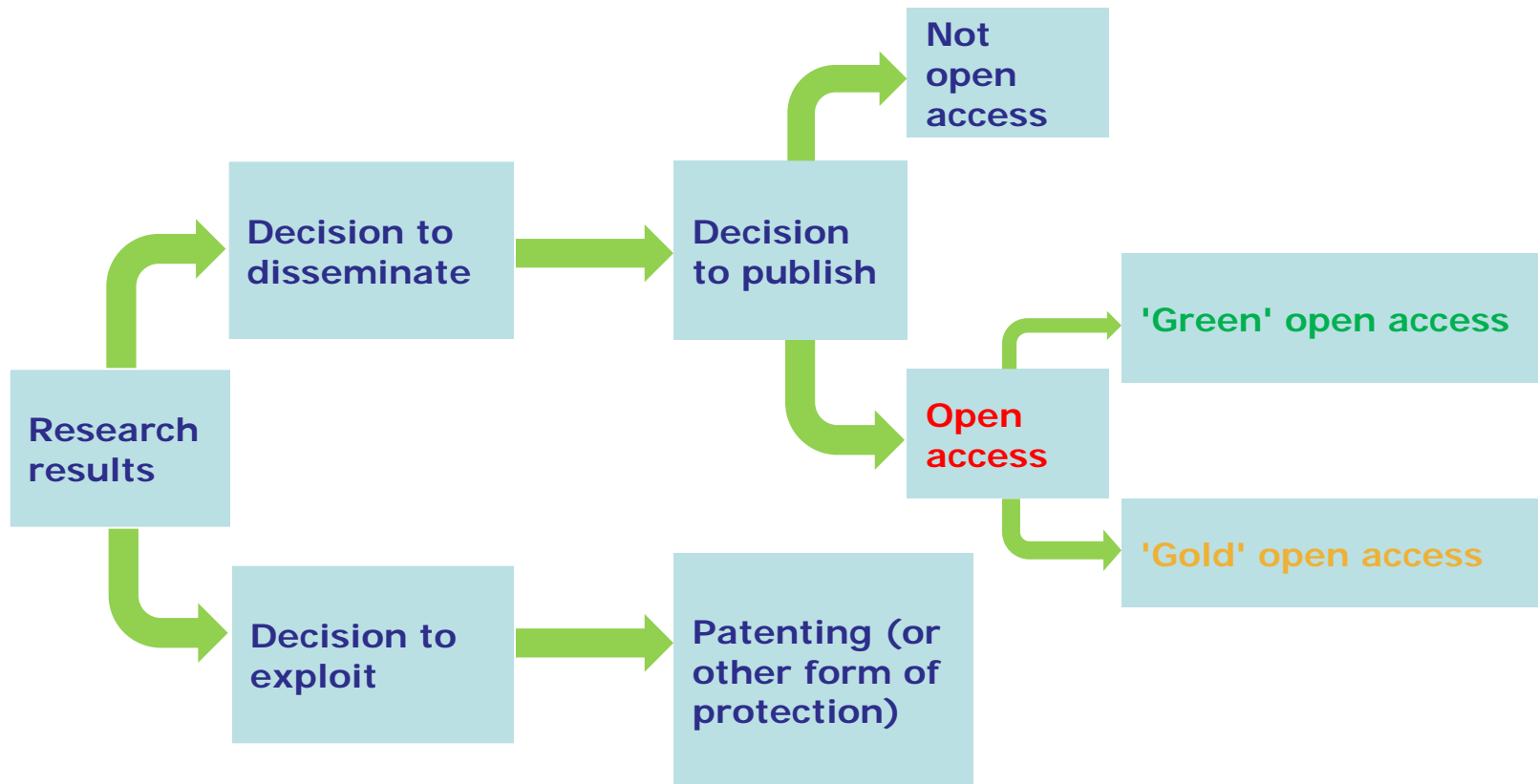
- **Gold OA**: costs covered (by authors/funding institutions) → **immediate OA**
- **Green OA**: deposit of manuscripts → **immediate/delayed OA**

What is open access (OA) to scientific information NOT?

However, open access:

- is not a requirement to publish: researchers are free to publish or not
- does not interfere with the decision to exploit research results commercially e.g. patenting: discussion on open access comes after the decision to publish
- publications are not of a lower quality: they go through the same peer review process as other publications

Dissemination and Exploitation of research results



The European Commission is a...

Policy maker

- Proposes EU legislation
- Legislates with other EU institutions
- Invites Member States to act

Funding agency

- Sets access and dissemination rules for EC-funded research
- Research Framework Programmes (next: Horizon2020)

Capacity builder

- Funds infrastructure projects relevant for open access and Digital Science
- Funds projects that support EC policy



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

EU concrete objectives

***Develop and implement** open access to research results from projects funded by the EU Research Framework Programmes (FP7, Horizon 2020)*

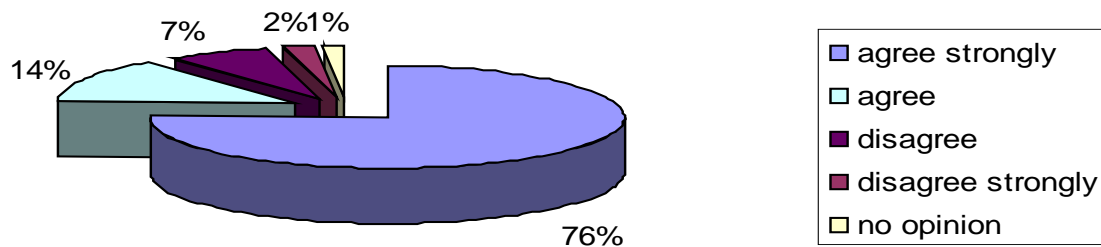
- Including fund research and support activities in the area of open access

***Encourage** national policy initiatives*

***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

OA Pilot in FP7

- 7 areas (>1300 projects to date)
- 20% of total FP7 budget (2007-2013)
- Survey (summer 2011)

OA publishing costs are eligible in FP7

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

European Research Council

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

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).

> ~2000 by end of FP7



Support by the Commission

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
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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





European
Commission

Support by OpenAIRE

The screenshot shows the OpenAIRE website interface. At the top, there is a navigation bar with links for 'Contact us', 'About', and 'Newsletter', along with language selection options (BG, CS, EE, EL, EN, ES, FR, HU, IT, LV, LT, NL, PL, PT, RO, SK, SV, TR) and a search box. The main header features the OpenAIRE logo and the tagline 'Open Access Infrastructure for Research in Europe'. Below this is a 'Sign In' section with fields for 'Username' and a password field, and a 'login' button. A horizontal menu includes 'Home', 'Open Access in the EU', 'Participate Deposit, Provide Content', 'Discover Publications, Statistics', 'Get Support FAQ, Helpdesk, Guides', and 'My OpenAIRE My Deposits, My Alerts'. The main content area is divided into several sections: a 'Have a question?' section with a 'Helpdesk' link, a 'Latest News' section with articles about Zenodo, and three columns of resources for 'Researchers', 'Project Coordinators', and 'Repository Managers'. The 'Have a question?' section includes a 'More...' link. The 'Latest News' section includes a 'Read more...' link. The 'For Researchers' section lists: 'Deposit your publications', 'Download author's guide', 'Learn about copyright', and 'Search for publications'. The 'For Project Coordinators' section lists: 'Learn about EC publishing policies', 'NEW Direct link to project publications', and 'NEW Publications in project report'. The 'For Repository Managers' section lists: 'Comply with the openaire guidelines', 'Validate and register your repository', 'Read the FAQ on technical issues', and 'NEW Usage statistics - Learn how to participate'. A 'Rome Declaration on CRIS and OAR' link is also visible.

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

- 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
- *And much more*

www.openaire.eu



OpenAIRE
Open Access Infrastructure for Research in Europe

The Commission's general approach

- Different Member States and stakeholders are in different situations and have different needs.
 - The Commission therefore does not offer exclusive support to one way of implementing open access but rather supports both the so called "green" approach and the "gold" way
 - This "balanced approach" is reflected in previous FP7 activities and in the general approach for Horizon 2020
 - For green open access there is extensive established infrastructural support (e.g. OpenAIRE), it is cost effective, supportive of authors across all disciplines, delivers for funders and is publisher friendly
- green and gold can work together

Three key documents from the European Commission (16.07.2012)

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

- **Global setting**

'Scientific information package':

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

- **Focus on Horizon 2020**

Recommendation on access to and preservation of scientific information

- **Focus on EU Member States**

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**



1. Communication 'ERA'

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

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*

2. Communication: what is proposed for OA in Horizon 2020 ?

OA Pilot in FP7

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

OA publishing costs

- Eligible while project runs

OA mandate in H2020 (tbc)

- Obligation to provide OA
- All areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months
- In addition: pilot for research data
(details to be defined, taking into account commercial interests, privacy, security)

OA publishing costs (tbc)

- Eligible while project runs
- Other options currently under discussion

Green OA

Gold OA



2. Pilot on open access to data

- To be developed during 2013
- Will take into account privacy, security issues, commercial interests
- Issues to consider:
 - What data? (underlying data, raw data, metadata)
 - What areas? (ERC, FET, societal challenges, others?)
 - Where should data go?
 - Use and re-use / ownership
 - Not just open access: data-sharing and management
 - Need to create incentives for researchers
- Process: internal and external consultations



Horizon 2020 structure (provisional)

Part I "Excellent science"

1. strengthening frontier research, through the activities of the European Research Council (ERC);
2. strengthening research in Future and Emerging Technologies (FET);
3. strengthening skills, training and career development (Marie Curie actions);
4. strengthening European research infrastructures, including e-infrastructures.

Part II "Industrial leadership"

1. boosting Europe's industrial leadership through research, technological development, demonstration and innovation in the following enabling and industrial technologies:
 - a. information and communication technologies;
 - b. nanotechnologies;
 - c. advanced materials;
 - d. biotechnology;
 - e. advanced manufacturing and processing;
 - f. space;
2. enhancing access to risk finance for investing in research and innovation;
3. increasing innovation in small and medium-sized enterprises.



Horizon 2020 structure (provisional)

Part III "Societal Challenges"

1. Health, demographic change and wellbeing
2. Food security, sustainable agriculture and forestry, marine and maritime and inland water research
3. Secure, clean and efficient energy
4. Smart, green and integrated transport
5. Climate action, resource efficiency and raw materials
6. Europe in a changing world – inclusive, innovative and reflective societies
7. Secure societies – protecting freedom and security of Europe and its citizens

Part IV "Non-nuclear direct actions of the Joint Research Centre (JRC)"

JRC actions in each of the H2020 areas

2. Horizon 2020

Proposal for a Regulation of the European Parliament and of the Council establishing Horizon 2020 (COM(2011) 809/3)

- EC proposal November 2011: suggested themes and budget for the framework programme for Research and Innovation(2014-2020)
- Includes references to open access:
 - Framework Programme
 - Rules for Participation (→ central for OA Rules in H2020)
 - Specific Programme
- Co-decision Council & European Parliament (amendments proposed): 'trilogues' with the European Commission
 - By end of 2013: Adoption of legislative act
 - From 2014 Horizon 2020 starts

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 EU H2020 policy and MS policy

Structured co-ordination of MS at EU-level and reporting

Multi-stakeholder dialogue to be set up



Follow up: Recommendation on access to and preservation of scientific information

- The Commissioner discussed open access activities with the Member States in the Competitiveness Council on February 18th –
- Member States have been asked to nominate National Points of Reference – this process is now on-going
23 countries have done so, deadline end of March

Working with the community

- Dialogue with all relevant stakeholders
in particular on open access to data pilot
- funding infrastructures and relevant projects
To be evaluated and approved 2013: one project to facilitate MS networking,
one project to train researchers & other stakeholders
- co-ordination beyond the EU
Global Research Council, OECD ...

Stakeholder dialogue

Date	Event	Outcomes
30/11/12	LERU conference	General overview of the issues, LERU approach to OA
05/02/13	NORDFORSK open data workshop	Stakeholder positions on OA to data
06-07/02/13	ERC workshop on OA in SSH	Issue: SSH subject specific repositories, SSH is very heterogeneous
22/02/13	Science Europe High Level ERA Workshop: Open Access session	Stakeholder input, SE position paper (draft)
18/02/13	OA debate in the COMP council	MS endorse concept, ask EC to further develop
21/02/13	Leibniz workshop on OA to data	Leibniz to develop recommendations paper to EC
15/03	ERA SHO platform meeting on OA	Updates and discussion

Stakeholder dialogue

Date	Event	Stakeholder
19/03	ERA SHO – doers meeting on OA	SHO
20/03	ERC Scientific Council – Open Access Working group	ERC
11-12/04	Making Data Count - research data availability and research assessment (Knowledge Exchange Workshop)	Data stakeholders
17/04	IGLO ERA in Action: open access seminar as part of the spring reception	SHO
13-14/05	COST symposium on OA	COST
04/06	Wer hat Angst for Open Access?	Stakeholders
27-29/05	Global Research Council	Research councils, policy makers

In summary...

- Open access & related measures: not a goal in itself, but a means to improve knowledge circulation and thus innovation in Europe.
- Open access to publications: a general principle in H2020.
- Both **Green** and **Gold** open access measures should be promoted in Europe (Best for transition, not all Member States are the same etc.)
- Next challenges
 - Open access to data
 - creating incentives and a culture of sharing
 - Text and data mining

Contacts & feedback



Twitter:
@OpenAccessEC

Website:
http://ec.europa.eu/research/science-society/open_access/

Contacts DG RTD

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