

# The European Research Council

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**Open Access and the ERC**  
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# Overview

- **ERC approach to Open Access in FP7**
  - ERC Statements / Open Access Guidelines
  - FP7 Special Clause 39 ERC
  - Practical implementation
- **ERC Open Access support initiatives**
  - Europe PMC
  - arXiv
  - Possible initiative for OA in the Social Sciences and Humanities?
- **Open Access at the ERC under Horizon 2020**
  - Open Access to scientific publications? Monographs?
  - Open Access to research data?
  - Open Access costs during and after the end of the project?

# ERC Statements on Open Access



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- ERC Scientific Council Statement on Open Access – December 2006
- ERC Scientific Council Guidelines for Open Access – 17 December 2007
- Open Access Guidelines for researchers funded by the ERC – June 2012 ([under review](#))

# ERC Open Access Guidelines 2012

- Open access required for research papers and monographs that are supported in whole, or in part, by ERC funding
- Maximum embargo period six months irrespective of discipline
- Use of discipline-specific repositories strongly encouraged (Europe PubMed Central for LS domain, arXiv for PE domain; no recommendation for SH domain)
- Alternatively institutional repositories or even webpages
- Primary data and data-related products should be deposited within six months after publication
- Host institutions are encouraged to cover open access related costs after the end of the project for up to 24 months

# Special Clause 39 ERC



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- In addition to Article II.30.3, the *beneficiary* shall **deposit** an electronic copy of the published version or the final manuscript accepted for publication of a scientific publication, related to *foreground* published before or after the final report, in an **institutional or subject-based repository** at the **moment of publication**.
- The *beneficiary* is required to make its **best efforts** to ensure that this electronic copy becomes freely and electronically available to anyone **through this repository**:
  - **immediately**, if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or
  - **within 6 months** of publication.

# ERC Open Access Guidelines vs. Special Clause 39 (1)



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- How do the Guidelines relate to the Special Clause?
- What applies to whom? Differences?
- Implementation in practice?

# ERC Open Access Guidelines vs. Special Clause 39 (2)



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- ERC Open Access Guidelines:
  - aspirational (not legally binding)
  - should be followed by all ERC funded researchers on a voluntary basis
  - despite non-binding nature, high compliance rate (ERC study 2012: 62% of sample of 630 journal articles)
- Special Clause 39 ERC:
  - legally binding
  - addressing beneficiary
  - systematically included in Grants resulting from 2012 calls onwards (i.e. ERC grants from calls in 2007 – 2011 not affected)

# Open Access to publications – Implementation in practice (1)



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- Manuscripts resulting from ERC funded work that are accepted for publication during or after the funding period should be deposited in at least one appropriate repository.
- Obligations under Special Clause 39 ERC also apply to monographs/books with the same maximum delay of six months.
- Open Access is to be provided through this chosen repository.
- Open Access fees should be budgeted for from the start.



# Open Access to publications – Implementation in practice (2)



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- Useful listings of repositories:
  - OpenDOAR (worldwide Directory of Open Access Repositories, <http://www.opendoar.org/>)
  - Registry of Open Access Repositories (ROAR) (<http://roar.eprints.org/index.php>)
- Increasing number of institutional repositories
- Europe PMC (<http://europepmc.org>) and arXiv (<http://arxiv.org>) recommended for LS and PE domain respectively

# What does "best effort" in Special Clause 39 ERC mean? (1)



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- 'Best effort' formulation strongly encourages researchers and publishers to comply while guaranteeing scientific and academic freedom.
- Detailed instructions on how to fulfil the 'best effort' requirement provided in the **Guide to Intellectual Property Rules for FP7 projects**.
- Authors should seek information on publishing models and copyright/licensing policies of the journal(s) to which they plan to submit, and check compatibility with the maximum embargo of six months (see the SHERPA/RoMEO website <http://www.sherpa.ac.uk/romeo>).

# What does "best effort" in Special Clause 39 ERC mean? (2)



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- If publishers' policies do not allow compliance with Grant Agreement, authors should **negotiate an amendment or request an authorisation to self-archive within the specific embargo period** (model letters available on CORDIS).
- If negotiations are unsuccessful, researchers should consider submitting to another journal (no obligation).
- In case of non-compliance, beneficiaries must be able to demonstrate that they have made their "best effort", e.g. through a letter from the publisher stating refusal to allow compliance with the reasons for refusal.

# Open Access support initiatives: ERC and Europe PubMed Central



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Europe PMC - repository for LS domain with added services:

- Linked to PubMed Central in USA (huge number of publications & users)
- Large number of journals automatically upload author manuscripts or published version
- Funded by group of **20 European funders** including ERC
- ERC grantees can request set-up of PI account and use manuscript deposition service to satisfy open access requirements
- **High degree of take-up** (about 600 accounts set up , i.e. more than 50% of LS grantees)

# Open Access support initiatives: ERC and arXiv



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arXiv – e-print server for PE domain:

- Hosted at Cornell University
- Long history as pre-print server for physics and mathematics (but: **some development work needed** to become fully suitable as OA repository)
- Also accepts underlying data - partner in NSF DataNet project "DataConservancy" hosted by Johns Hopkins
- Funded through Cornell University, Simons Foundation and group of about 130 institutions, mostly from US and Europe ("crowd funding")
- **ERC considering joining** the initiative ??

# ERC Open Access support initiatives: Focus on Social Sciences & Humanities

- Great diversity and fragmentation across the Social Sciences and Humanities domain
- No specific subject-based repository recommended
- ERC Workshop on OA infrastructures in SSH (Feb 2013)
- Monographs important means of publication (SSH specificity)
- **Specific support initiative** for OA infrastructures with focus on SSH **under discussion** – for publications including monographs as well as research data (call???)

# Open Access at the ERC under Horizon 2020 (1)



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- Horizon 2020 ERC Model Grant Agreement:
  - Specific ERC Article on Open Access to scientific publications and research data - under discussion
  - Will build on ERC Open Access Guidelines
  - Likely scenario:
    - OA to publications mandatory (maximum embargo periods & application to monographs under discussion)
    - OA to research data underlying publications strongly encouraged (or mandatory best effort??)
    - Stronger emphasis on reporting on Open Access
- **NB: No definitive position yet by ERC Scientific Council**

# Open Access at the ERC under Horizon 2020 (2)



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- Eligibility of costs related to Open Access (**current state of discussion – changes still possible**)
  - During the duration of the project:
    - Eligible as direct costs as in FP7
    - Clearer instructions to applicants to include these costs in the budget
  - After the duration of the project:
    - Possibility of support scheme specifically for ERC funded researchers (???)
    - Or adopt same approach as rest of Horizon 2020 (?)



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# Thank you for your attention!

Questions? Comments?

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