Towards a European Policy on Open Access

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Libraries as Drivers for Change

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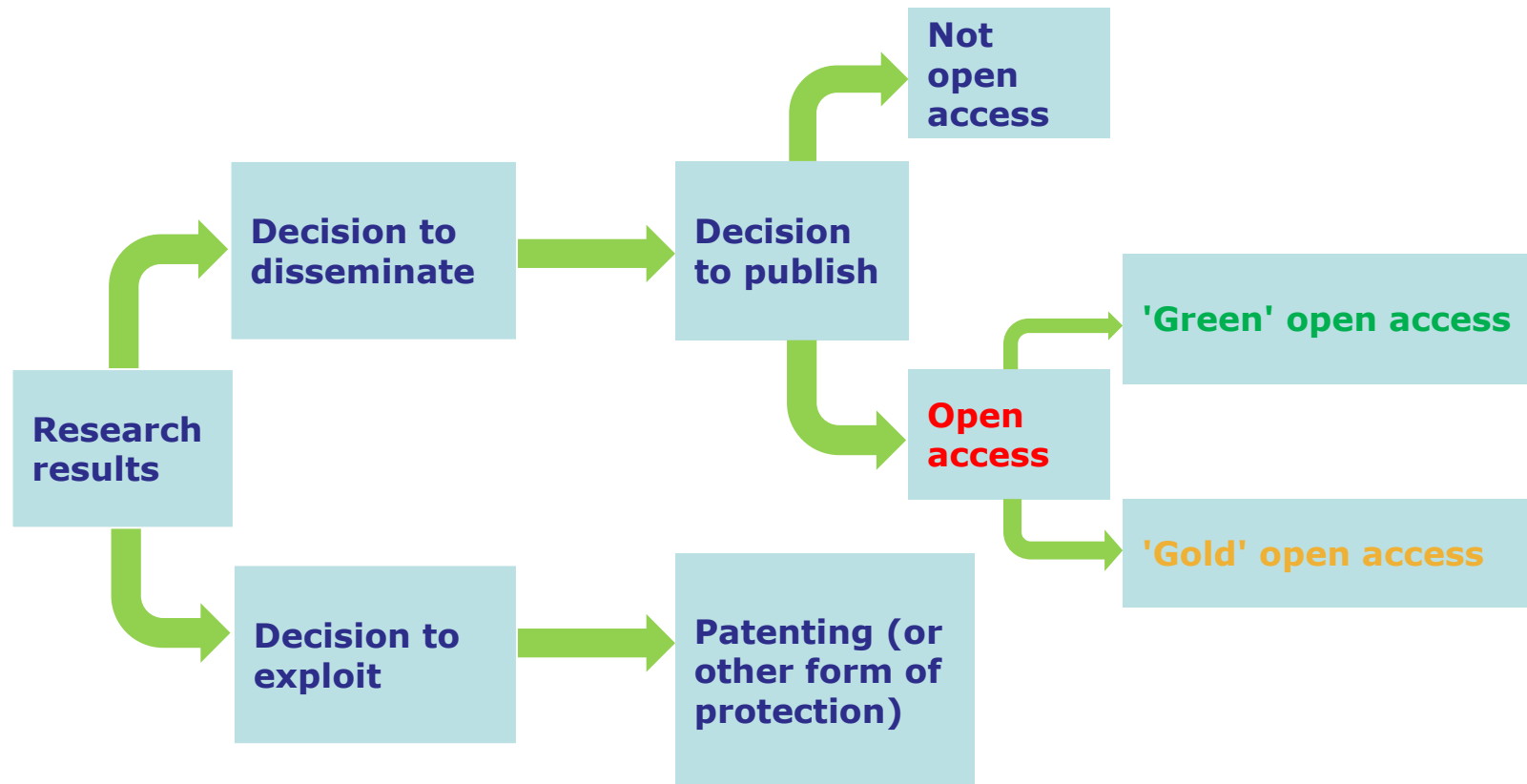European Commission

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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)

Dissemination and Exploitation of research results

One way to get there: open access (OA) to scientific information

OA = online access at no charge to the user
- to peer-reviewed scientific publications
- to research data

For publications:
- OA comes after a decision to publish
- OA does not interfere with patenting

Two main OA publishing business models
- **Gold OA**: costs covered by authors → **immediate OA**
- **Green OA**: deposit of manuscripts → **delayed OA**

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Expected benefits of open access

- Results of publicly funded research can be disseminated more broadly and faster for the benefit of:

  - researchers

  - industry

  - citizens

- Equal access across Europe and beyond

- Drive down the costs of dissemination without sacrificing quality

EU politics are complicated...

http://ec.europa.eu/

http://consilium.europa.eu/

http://europarl.europa.eu/

...aren't they?

The College of Commissioners

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Research & Innovation

Neelie Kroes

Máire Geoghegan-Quinn

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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

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Flagship Initiative: Digital Agenda

Communication from the Commission 'A Digital Agenda for Europe' (COM(2010)245, 19.05.2010)

• Initiative to speed up the roll-out of high-speed internet and reach the benefits of a digital single market

• Action area Research and Innovation:

> ➢ Europe must invest more in R&D in order to ensure that ideas reach the market

> ➢ Europe's public sector expenditure should be used to spur innovation

> ➢ Publicly funded research should be widely disseminated through **open access** publication of scientific data and papers

Flagship Initiative: Innovation Union

**Communication from the Commission 'Innovation Union'
(COM(2010)546, 06.10.2010)**

•Initiative to improve framework conditions and access to finance for research and innovation

•Action area: Delivering the European Research Area:

  ➢ Commitment 4: European Research Area framework will seek to ensure a common approach to dissemination and transfer and use of research results, including through **open access** to publications and data from publicly funded research"

•Action area: Promoting openness and capitalising on Europe's creative potential:

  ➢ 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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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 many references to open access:

- Framework Programme
- Rules for Participation ($\rightarrow$ central for OA Rules in H2020)
- Specific Programme

- Ongoing discussions in
- Council
- European Parliament

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European Research Area

- **Development since 2000: a Europe-wide space or 'single market' for research and innovation in which researchers, scientific knowledge and technology circulate freely**

- **Latest developments: 2012 Communication from the Commission 'A Reinforced European Research Area Partnership for Excellence and Growth' (COM(2012) 392, 17.7.2012)**

  Action area: 2.5. Optimal circulation, access to and transfer of scientific knowledge

  ➢ MS and stakeholder actions on **open access** and preservation

  ➢ EC to establish **open access** to scientific publications as a general principle in Horizon 2020; experimentation with **open access** to data

  ➢ MS and stakeholder actions related to the "Digital ERA", e.g. electronic identify for researchers, digital research services, e-infrastructures, etc.

  ➢ Support activities to raise stakeholder awareness of **open access** and e-Science

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Recent EC policy steps on OA

2006	• EC-funded Study on the scientific publication market in Europe
2007	• EC Communication on scientific information • Council Conclusions on scientific information in the digital age • FP7 (OA publishing costs/Gold OA) are eligible)
2008	• Open Access Pilot in FP7
2009	• 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	• Surveys: OA in FP7, State of play in Member States • EC Communication on ERA • Scientific information package: EC Communication and Recommendation on scientific information

Open access in FP7

2007: Communication and Council Conclusions
2008 OA Pilot in FP7
- 7 areas (>1300 projects to date); 20% of FP7 budget (2007-2013)

OA publishing costs are eligible in FP7

- Since the beginning of FP7, for all projects

- Limited to duration of project

OpenAIRE
- EU-funded portal connecting repositories across Europe (implements FP7 OA Pilot)

Scientific information package

- Two texts (17.7.2012):

  - **Commission Communication (COM(2012)401)**: "Towards better access to scientific information: Boosting the benefits of public investments in research"

    → announces EC actions in Horizon 2020

  - **Commission Recommendation C(2012)4890)** on access to and preservation of scientific information

    → suggests actions for the MS

- Adopted together with ERA Communication "A Reinforced European Research Area Partnership for Excellence and Growth"

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Communication: What is proposed for OA in Horizon 2020 ?

Green and gold OA

OA Pilot in FP7
- 'Best effort' to provide OA
- 7 areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months

OA mandate in H2020
- Obligation to provide OA
- All areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months
- In addition: pilot for research data (details to be defined)

Gold OA

OA publishing costs
- Eligible while project runs

OA publishing costs
- Eligible while project runs
- In addition (TBC): possibility to cover publications after project end, conditions to be defined

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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

Recommendation to the MS

- 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 sientific information
  - ➢ e-infrastructures
- Consistency between EU H2020 policy and MS policy
- National Point of Reference in each MS
- Structured co-ordination of MS at EU-level and reporting
- Multi-stakeholder dialogue to be set up

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In summary …

- Open access & related measures: 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.

- Open access to data: a pilot will explore possibilities and fully take into account privacy, security and commercial interests.

- Beyond open access: creating incentives and a culture of sharing

In the words of Vice-President Kroes:

"We spend hundreds of billions of euros on research in Europe and we need to make sure the results can have the largest possible impact … The EU is placing European science as a global leader and giving taxpayers the value for money they deserve."

17 July 2012 press conference

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Thank you for your attention!

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