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Open Access in the European Research Area

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Outline

- **European Commission approach to Open Access (OA)**
- **Promoting OA in the EU Member States**
- **OA in the Research Framework Programme**
- **EC projects on OA**
- **Conclusions**



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European Commission

- **The European Commission (EC):**
 - is the EU's executive body
 - represents the interests of Europe as a whole
 - has right of initiative: drafts proposals for European laws
 - Is the 'guardian' of the European treaties
- **In the context of open access, it acts as:**
 - Policy-making body
 - Research funding body
 - Capacity-building / supporting body



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EC Approach

- **All research builds on former work**
 - Avoid duplication
 - Promote openness for the benefit of innovation
 - The speed of scientific progress is at stake
- **Need to use the opportunities offered by the digital revolution**
 - Room for improvement
- **Improve return on investment in R&D**
 - Optimal dissemination potentially maximises socioeconomic impact
 - Allow free access to results funded by tax payers' money
- **Consider fair remuneration for added value brought to scientific publishing process**
 - New publishing models, experiences with peer reviews



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Legal foundations

- **European Community Treaty ('Lisbon Treaty')**
 - Article 179
 - *The Union shall have the objective of strengthening its scientific and technological bases by **achieving a European Research Area in which researchers, scientific knowledge and technology circulate freely**, [...].*
 - Article 180(c)
 - *"[...] the Union shall carry out the following activities, complementing the activities carried out in the Member States: [...] - **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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A European Research Area

- **A Europe-wide space or 'single market' for research and innovation**
 - Free movement of knowledge ('Fifth freedom')
 - Knowledge circulation: access to, dissemination of and exploitation of publicly-funded research
 - ERA should 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
- **Move towards policy measures to accelerate the realisation of ERA**



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Europe 2020

- **Communication from the Commission: Europe 2020 - A strategy for smart, sustainable and inclusive growth (COM(2010)2020, 03.03.2010)**
 - A post-crisis European Commission's strategy for a vision of Europe's social market economy for the 21st century
- **Strategy to be drawn up for 2011 leading to policy measures**
- **Seven flagship initiatives *inter alia***
 - 'A Digital Agenda for Europe'
 - 'Innovation Union'



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Two flagship initiatives (1/2)

- **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
 - Driving ICT innovation by exploiting the single market:
“[...] *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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Two flagship initiatives (2/2)

- **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
 - 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”*
 - 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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2007 Council Conclusions

- **Council Conclusions on '*Scientific information in the digital age*' (2007)**
- **Invitation to the Member States to:**
 - Reinforce national strategies and structures for access to and dissemination of scientific information
 - Enhance co-ordination between Member States on access to and dissemination policies and practices
 - Ensure long-term preservation of scientific information and pay due attention to scientific information in national preservation strategies



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2008/09 Questionnaire

- **Follow-up of 2007 Council Conclusions**
- **Actively engage national experts in the process of determining and developing European level policies in the area of scientific information**
- **Feedback**
 - Many valuable initiatives taking place in the Member States - signals the importance of these issues for the future of R&D
 - Most activities led by non-governmental actors (e.g. funding bodies, universities)
 - Few national strategies



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ERA Conference 2009

- **'Working together to strengthen research in Europe'**
 - Dedicated session '*Open access and preservation: how can knowledge sharing be improved in the ERA?*'
 - Provide research outputs in openly accessible, easily re-usable way
 - Provide an integrated system of science communication
 - Reinforce link between basic research sector and industries
- **Further ideas and concepts promoted**
 - Create networks of exchange on best practice
 - Ensure repository interoperability and sustainability
 - Put in place systems that support and reward stakeholders who participate in knowledge-sharing



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Joining forces with Member States

- **2010/11 Update of the 2008/09 Questionnaire**
- **Workshop (November 2010) with Member States' representatives**
 - Hands-on policy workshop on open access and preservation based on exchange of views and debate
 - National experts are invited to be active part of a process aiming to develop an agenda for future common actions



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7th Framework Programme

- **Key facts and figures**
 - 7th Framework Programme for Research and Technological Development (FP7)
 - Duration: Seven-year programme, 2007 to 2013
 - Budget: over €50 billion
- **Four main areas:**
 - Co-operation: all types of research
 - Capacities: infrastructures and policy
 - Ideas: frontier research (European Research Council)
 - People: mobility fellowships and career development



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Rules and principles

- **Reimbursement of OA publishing costs**
 - Publication costs (including author pays / “gold” open access fees) are eligible for reimbursement in FP7
 - Limited to duration of project
- **European Research Council (ERC)**
 - Peer reviewed scientific articles: deposit on publication and available open access no later than 6 months after later
 - Research data: essential that data be deposited, preferably immediately and no later than 6 months after publication
 - Guidelines apply during and after project duration



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Open Access Pilot in FP7

- **Peer-reviewed publications must be deposited**
 - In an institutional (university) or subject-based repository;
 - Or a temporary repository to store 'orphan' publications
 - Best efforts must be made to provide open access to publications
- **All FP7 Grant Agreements signed after 20.08.2008 in**
 - 'Health', 'Energy', 'Environment', 'Information & Communication Technology' (Cognitive systems/robotics), 'Research infrastructures' (e-infrastructures)
 - 'Socio-economic Sciences and Humanities', 'Science in Society'
 - Embargo (6 or 12 months)
- **Ca. 20% of FP7 budget**
- **During and after project ends**
- **Legal basis: Special Clause 39 (FP7 Grant Agreement)**
- **To date ~450 Grant Agreements**



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Support and monitoring

- **OpenAIRE: 'Open Access Infrastructure for Research in Europe'**
 - Support for technical implementation and monitoring of the Pilot (launch December 2010)
 - Helpdesk & contact points in the EU Member States
 - Establishment and operation of a technical infrastructure of digital repositories to deposit and access scientific articles and data produced under FP7 (including ERC)
 - Infrastructure built on existing work on repositories linking of many different repositories as a service and e-infrastructure
 - Orphan repository



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www.openaire.eu



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Some current projects

(1)



- **SOAP: Study of Open Access Publishing**
 - Survey researchers on their experiences with open access publishing & scenarios for the future (gold open access)
- **PEER: Publishing and the Ecology of European Research**
 - Investigate the effects of large-scale, systematic deposit in repositories (green open access)
- **OAPEN: Open Access Publishing in European Networks**
 - Develop and implement OA publication models for academic books in the social sciences and humanities



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Some current projects (2)



eurocancercoms

- **NECOBELAC: Network of collaboration between Europe and Latin American Caribbean countries**
 - Improve the production and dissemination of scientific information in public health & network of collaboration
- **EUROCANCERCOMS: Establishing an efficient network for cancer communication in Europe**
 - Aims to establish a single, efficient network for cancer communication in Europe for people involved in cancer: professionals, patients, politicians, industry



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Current calls

- **Reinforcing European strategies on access, dissemination and preservation of scientific information in the digital age (SiS.2011.1.3.1-1)**
 - To sustain/improve co-ordination of existing initiatives, to extend current activities to other countries and/or thematic areas, to put in place new/innovative co-ordination initiatives
 - Deadline 20.01.2011
 - Maximum requested EU contribution € 750 000
 - It is envisaged that two proposal will be financed
- **Study to develop a set of indicators to measure open access (SiS.2011.1.3.1-2)**
 - To define indicators and a methodology ensuring a yearly and sustainable monitoring of open access practices from 2000 onwards, to collect and analyse data that can trace the dynamics of open access in the European Research Area
 - Public procurement (Open procedure, first semester 2011)
 - Up to € 300 000



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Next steps for 2011-12

- **Policy-making body**

- To mobilise and further engage Member States to undertake actions 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
- To promote open access to the results of publicly funded research

- **Research funding body**

- To make open access to publications the general principle for projects funded by the EU research Framework Programmes

- **Capacity-building / supporting body**

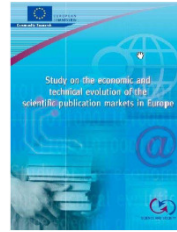
- To continue to support capacity-building activities and fund relevant infrastructure, research and networking activities





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Resources

- **The EC and open access**
 - http://ec.europa.eu/research/science-society/open_access
- **Open access on CORDIS**
 - http://cordis.europa.eu/fp7/find-doc_en.html
- **Calls for proposals (Science in Society)**
 - http://cordis.europa.eu/fp7/sis/home_en.html

Thank you!

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