

# Open Access in an Open Science Context

## State of play

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# The Need to be Open



# Open Science

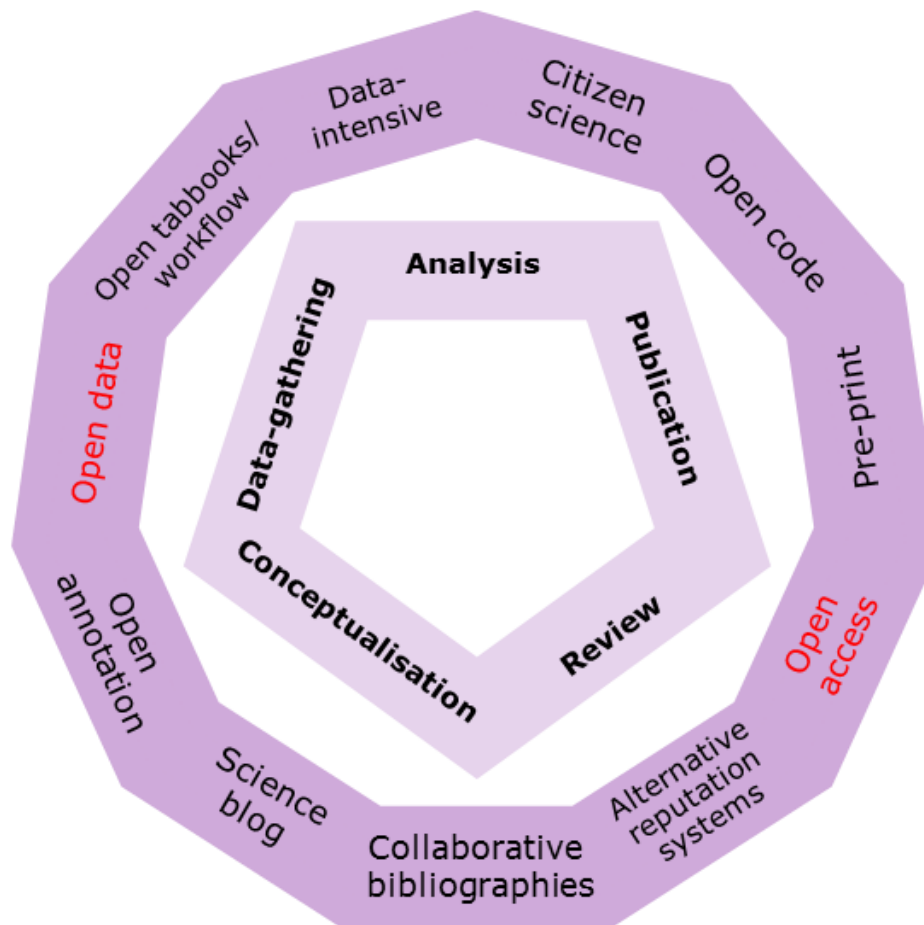
**A systemic change in  
the modus operandi  
of science and  
research**

**Affecting the whole  
research cycle and  
its stakeholders**



Commissioner Carlos Moedas  
Open Science Presidency Conference  
Amsterdam, 4 April 2016

## Open Science – opening up the research process



# Open Access (OA)

OA = online access at no charge to the user

- to *peer-reviewed scientific publications*
- to *research data* (→ data management implications)

Two main OA publishing business models (for publications)

- **Self-archiving:** deposit of manuscripts & **immediate/delayed OA** provided by author ("Green OA")
- **OA publishing: immediate OA** provided by publisher ("Gold OA"), e.g. 'author-pay' model (APC)

# Background



## Member States

*2012 Recommendation on Access to and Preservation of Scientific Information – National Points of Reference (NPR)*

- 2016 report, 2017 update in progress (likely end of the year)

*May 2016 Council Conclusions*

- Support for OA publications, data re-use & data management

## Stakeholders

Open Science Policy Platform

## Horizon 2020

Open Access to Publications Mandatory

Open Research Data Pilot Extended: Open Data as the default but opt-out possibilities. Moving towards FAIR data.

# From FP7 to H2020: OA to publications

## FP7

- **Green** open access pilot in 7 areas of FP7 with '**best effort**' stipulation
- Allowed embargoes: 6/12m **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs

## Horizon 2020

- **Obligation** to provide OA, either through the **Green** or **Gold** way in **all areas** (deposition mandatory either way)
- Allowed embargoes: 6/12m **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs & **post-grant support** being piloted through OpenAIRE
- Authors encouraged to retain copyright and grant licences instead

# Open Research data in H2020

## Open Research Data Pilot (2014-2016)

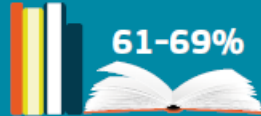
**As of the Work Programme 2017: extended to cover all thematic areas of Horizon 2020 ('open by default')**

- Projects may still opt-out at any stage (IPR, personal data protection, national security, other reasons)
- Mainly concerns data underlying publications (other data optional)
- Data Management Plan obligatory by M6 (not part of project evaluation)

**Approach: as open as possible, as closed as necessary**

# OA publications in Horizon 2020– uptake 2014-2016

## UPTAKE



61-69%

of scientific publications  
funded through Horizon 2020  
are currently open access



green to gold  
open access ratio

EARLY STATISTICS INDICATE  
ENCOURAGING RESULTS



...BUT MORE MUST BE DONE!

100%



the EU's open access objective



€1006

average article processing charge  
per publication in Horizon 2020  
(gold open access)



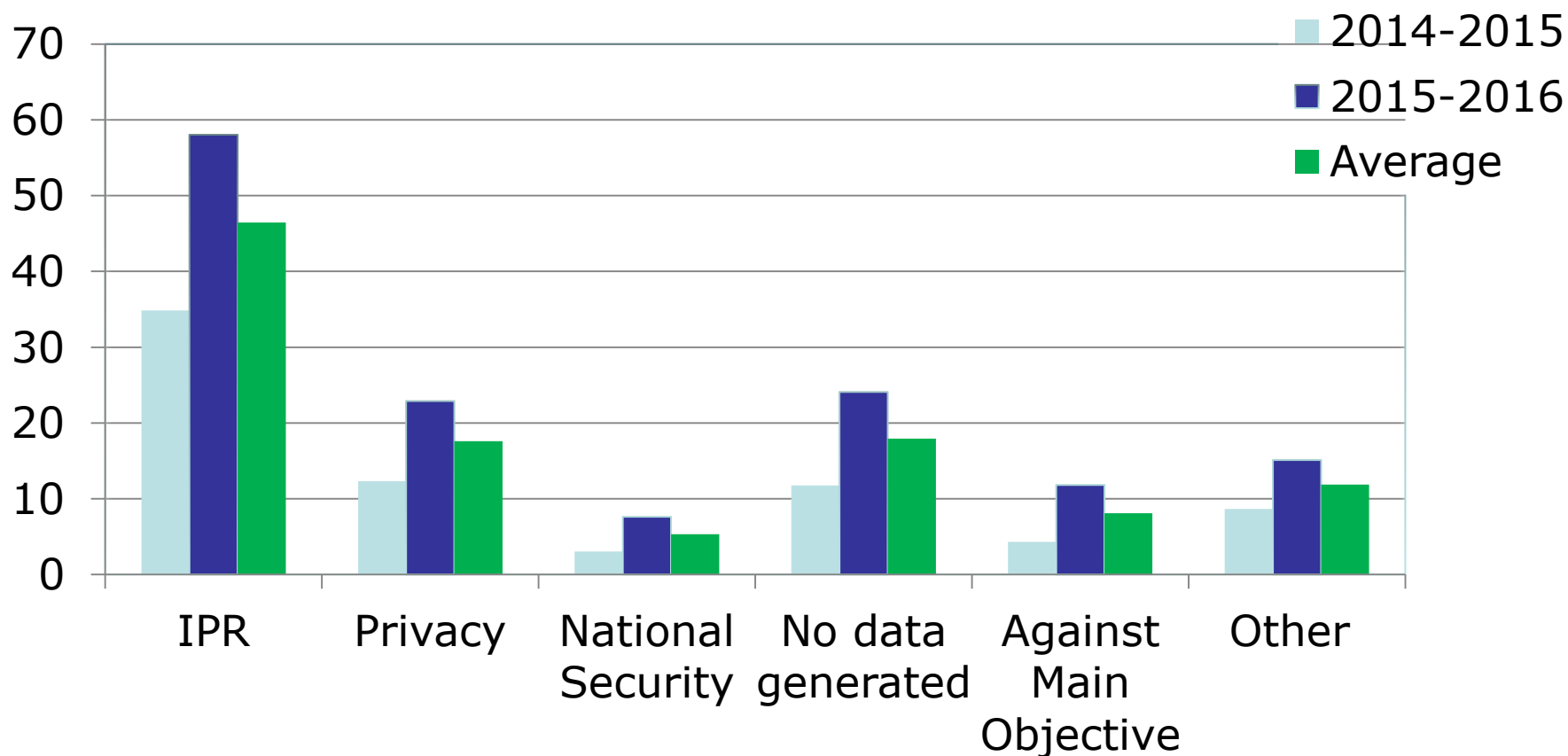
11 months

average embargo  
but about 1 out of 3  
publications have no  
embargo at all

# Results from the Open Research Data Pilot (Finalised data 2014-2016)

Year	Core areas (CA)		Non-core areas (NCA)	Sample Size (signed GAs)
	Stay in	Opt-out	Opt-in	
2014-2015	67,44%	32,56%	2,5%	390 (CA) 3244 (NCA)
2015-2016	68,13%	31,87%	15,25%	935 SGA (CA) 6250 (NCA)

## Opt-out reasons ORD pilot





# Initial DMP experiences

Additional guidance on data management is needed for all groups of actors in research projects (researchers, peer reviewers and funder administrators ('project officers') including roles supporting researchers with data management tasks (data librarians or IT professionals working in data centres).

Aspects such as data preservation, IPR or standards are too often not well developed in the DMPs that have been submitted so far. Nevertheless research projects with excellent RDM performance are not rare. Some high quality DMPs from H2020 projects have already been published online, see

<http://www.dcc.ac.uk/resources/data-management-plans/guidance-examples>

# Horizon 2020 Open Research Platform (I)

## What is it?

**An online platform allowing rapid, OA publication of**  
**(i) Horizon 2020 related peer reviewed articles; and**  
**(ii) Horizon 2020 related pre-prints which meet basic criteria on authorship, non-plagiarism and ethical conduct**

**contains mechanisms for open/collaborate/public peer review and a suit of innovative ('alternative') metrics**

**is not a repository, it provides a fast, cost efficient and high quality service to publish in the 21<sup>st</sup> century**

**is intended for Horizon 2020 beneficiaries as a free, complementary service and is thus not compulsory.**

**a service on par with the highest quality standards of scientific publishing**

- provided by outsourcing the implementation of the platform through a fully transparent public procurement process → Work Programme 2018



# Horizon 2020 Open Research Platform (II)

## Why do it?

**Demonstrates that the EU is leading by example on open science by establishing a link between open access, open peer review, pre-prints and alternative metrics, all of which will be addressed through the platform – operationalises open science in Horizon 2020.**

**a service to H2020 funded researchers to fulfil their open access obligations and increase uptake**

**fast open access route to pre-prints scientific publications stemming from Horizon 2020 and its successor programme**

**free for Horizon 2020 beneficiaries:**

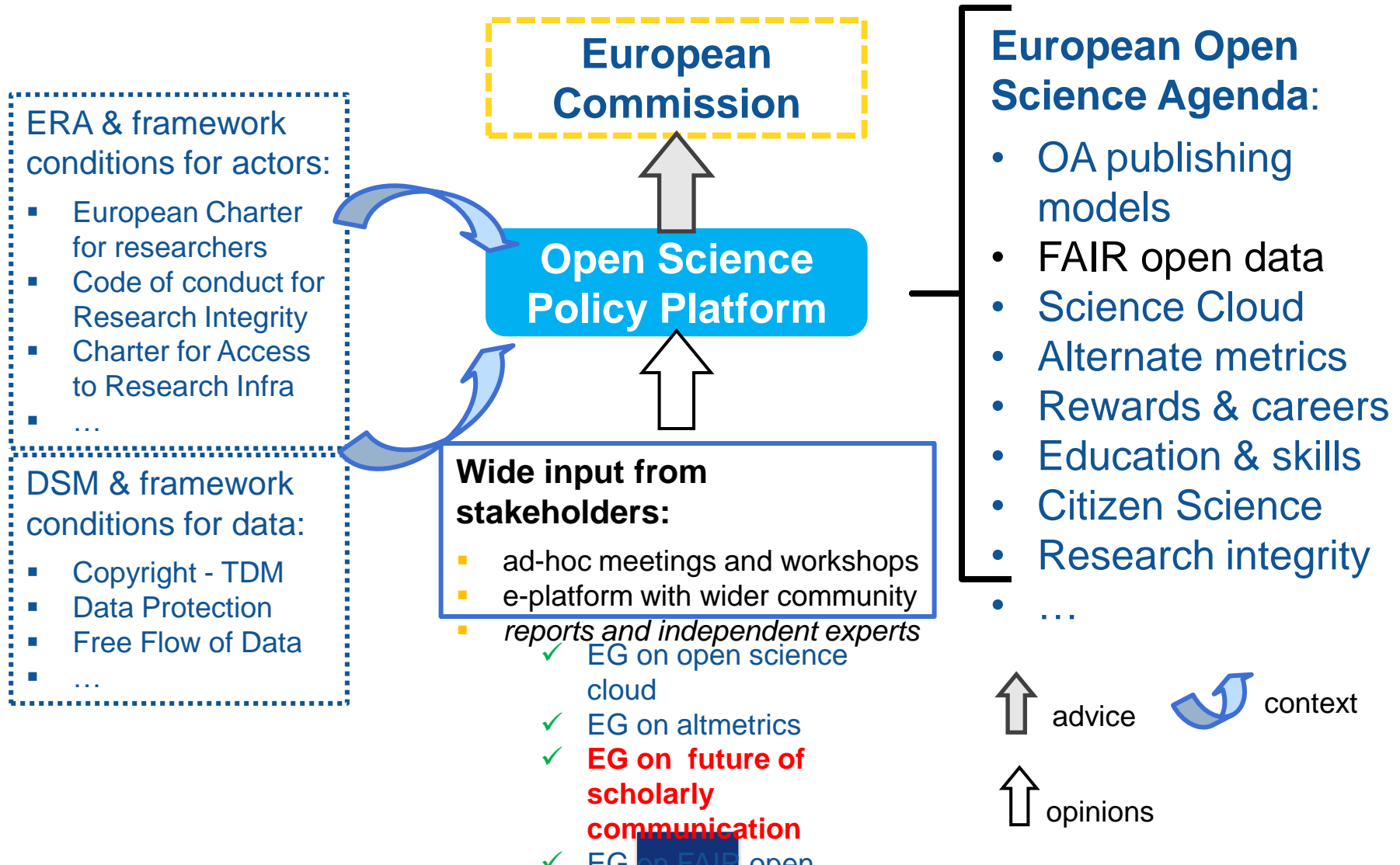
**addressing criticism of our current policy where in case of gold OA grant money has to be used to pay for OA during the grant)**

**Contributing to bringing OA costs down and making them more transparent**

**contributes to fulfilling the goal of 100% open access by 2020 of the Competitiveness Council**

**part of a growing body of similar actions of private funders (Wellcome, Gates, Zuckerberg) but extends and further develops them. Will allow interoperability and coordination with other public funders**

# Open Science Policy Platform



# Ressources

## **Open innovation, open science, open to the world. A vision for Europe**

<http://bookshop.europa.eu/en/open-innovation-open-science-open-to-the-world-pbKI0416263/>

## **NPR report**

[https://ec.europa.eu/research/openscience/pdf/openaccess/npr\\_report.pdf#view=fit&pagemode=none](https://ec.europa.eu/research/openscience/pdf/openaccess/npr_report.pdf#view=fit&pagemode=none)

## **H2020 guidance**

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm)

## **May 2016 Council Conclusions**

<http://data.consilium.europa.eu/doc/document/ST-9526-2016-INIT/en/pdf>

**NEW Work Programme 2018, 18. Dissemination, Exploitation and Evaluation** [http://ec.europa.eu/research/participants/data/ref/h2020/wp/2018-2020/main/h2020-wp1820-comm-diss\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2018-2020/main/h2020-wp1820-comm-diss_en.pdf)

## **NEW Open Science Monitor**

<http://ec.europa.eu/research/openscience/monitor/>

# We welcome your input



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