Open Access in the European Research Area

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Open Access and Open Data

Cologne, 13-14 December 2010

European Research Area

- **The European Commission's approach to Open Access**

- **Promoting Open Access in the European Research Area**

- **Open Access in the Research Framework Programme**

- **Towards a policy on open access to data: High-level group report**

European Research Area

Outline

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EC Role

- **Policy-making body**
  - Launch / accompany policy debates at European level
  - Encourage Member States to take co-ordinated action

- **Research funding body**
  - Set access and dissemination rules for EC-funded research (Framework Programmes)

- **Capacity-building/supporting body**
  - Fund infrastructures
  - Support networking activities

EC Approach

- **Serving science and research**
  - All research builds on former work
  - Need to avoid duplication of research
  - Access for all researchers and institutions
  - Improved access & dissemination can speed up scientific progress
- **Benefitting innovation**
  - Improving access to the knowledge base needed to generate innovation
  - Better circulation of knowledge enables knowledge transfer to industry, including SMEs
- **Improving return on investment in R&D**
  - Free access to results funded by tax payers' money is a question of principle
  - Societal impact of R&D – access for NGOs and citizens

Legal foundations

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

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
  - 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 on scientific information

- **Follow-up of 2007 Council Conclusions**
- **Actively engage national experts in the process of developing European level policies**
- **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
- **2010/11 follow-up questionnaire to determine state of play**

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Actively engaging the Member States and Associated Countries

- **25-26 Nov. 2010: Policy workshop with national experts on open access and preservation**
    - Exchange of best practices, participatory process
    - Key results:
        - Need for MS networking
        - Top-down policy approach is useful and timely
        - Topics emphasised: open data, metrics, standards, awareness-raising, data, funding, infrastructure, publishing, copyright …
- **Funding to facilitate Member State networking and co-ordination (Call for Proposals currently open – closes 20/1/2011)**

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Reimbursement of open access publishing costs

- **Open access publishing costs are covered in FP7**
  - From the beginning of FP7
  - Publication costs (including author pays / gold open access fees) are eligible for reimbursement
    - Legal reference: II.16.4 of FP7 Model Grant Agreement permits 100% reimbursement for "other activities" including open access publication
  - Limited to duration of project

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European Research Council

- **ERC Scientific Council Guidelines for Open Access (December 2007)**
  - Peer-reviewed publications: to be deposited on publication into an appropriate research repository and subsequently made Open Access within 6 months of publication
  - Primary data: essential that primary data (linked to publications) be deposited in relevant databases as soon as possible, immediately or no later than 6 months after publication

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Open Access Pilot in FP7

- **Seven areas**
  1. Energy (79)
  2. Environment (188)
  3. Health (212)
  4. Information & Communication Technologies *[only cognitive systems, interaction & robotics]* (73)
  5. Research Infrastructures *[only e-Infrastructures]* (54)
  6. Science in Society (68)
  7. Socioeconomic Sciences & Humanities (49)

- **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:**
  - **deposit** peer-reviewed research articles or final manuscripts resulting from their FP7 projects into an online repository;
  - **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 and Humanities).

- **Some 700 to date**

Open Access Pilot in FP7

- **Best effort:**
  - A formulation that strongly encourages researchers & publishers to comply, while guaranteeing scientific freedom
  - Reference: <u>Guide to IP Rules for FP7 Projects</u>, p. 15-18
    - Seek information on publishing models and copyright/licensing policies
    - If publishers' policies do not allow compliance with GA, authors to negotiate an amendment or request an authorisation to self-archive
    - If negotiations are unsuccessful, consider submitting to another journal
    - If cannot comply with SC39, EC to be informed and provides with publisher's proof of refusal

Support and monitoring

Infrastructure project OpenAIRE: Open Access Infrastructure for Research in Europe

– Support for technical implementation and monitoring of the Pilot

– Helpdesk & contact points in the EU Member States

– Establishment and operation of a technical infrastructure of digital repositories to deposit and access articles and data produced under FP7 (incl. ERC)

– Builds on existing work on repositories as a service and e-infrastructure

– Orphan repository

www.openaire.eu

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Riding the wave

How Europe can gain from the rising tide of scientific data

Final report of the High Level Expert Group on Scientific Data
A submission to the European Commission

October 2010

- **Challenges of the "data world"**
  - Preserving data
  - Protecting the integrity of data
  - Conveying context and origin of data
  - Funding of data infrastructures
  - Privacy questions linked to data

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- ## Vision 2030:
  - *"Our Vision is a scientific e-infrastructure that supports seamless access, use, re-use, and trust of data. In a sense, the physical and technical infrastructure becomes invisible and the data themselves become the infrastructure – a valuable asset, on which science, technology, the economy and society van advance".*

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- **Vision 2030:**
  1. Stakeholders are aware of importance of preserving and sharing reliable data
  2. Data can be easily found, accessed and processed by researchers and practioners
  3. Data producers benefit from depositing their data in reliable repositories guided by standards
  4. Public funding for data infrastructures increases
  5. Public-private exchanges of data are in place
  6. The public can access & enrich data, and is educated on how to use it
  7. Policy makers can draw on solid evidence in the form of data
  8. Global governance promotes international trust and interoperability

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Riding the wave (4)

- **A Call to action**
  1. Develop an international framework for a Collaborative Data Infrastructure
  2. Earmark additional funds for scientific e-infrastructure
  3. Develop and use ways to measure data values
  4. Train a new generation of scientists
  5. Create incentives for green technology in the data infrastructure
  6. Establish a high-level, inter-ministerial group on a global level to plan for data infrastructure

Conclusions

- **Member States are now actively engaged in a process of strengthening open access in the ERA**

- **Open access is now firmly on the European research and innovation policy agenda**
  - EC-policies on peer-reviewed publications are well-developed and will develop further
  - Policies on data are now necessary

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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

- **Riding the wave – (Final report of the High Level Expert Group on Scientific Data), October 2010**
  - http://ec.europa.eu/information_society/newsroom/cf/itemlongdetail.cfm?item_id=6204

Thank you!
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