



Open Access policy: The European Dimension

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EWI focus

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What is open access (OA) to scientific information?

OA = online access at no charge to the user

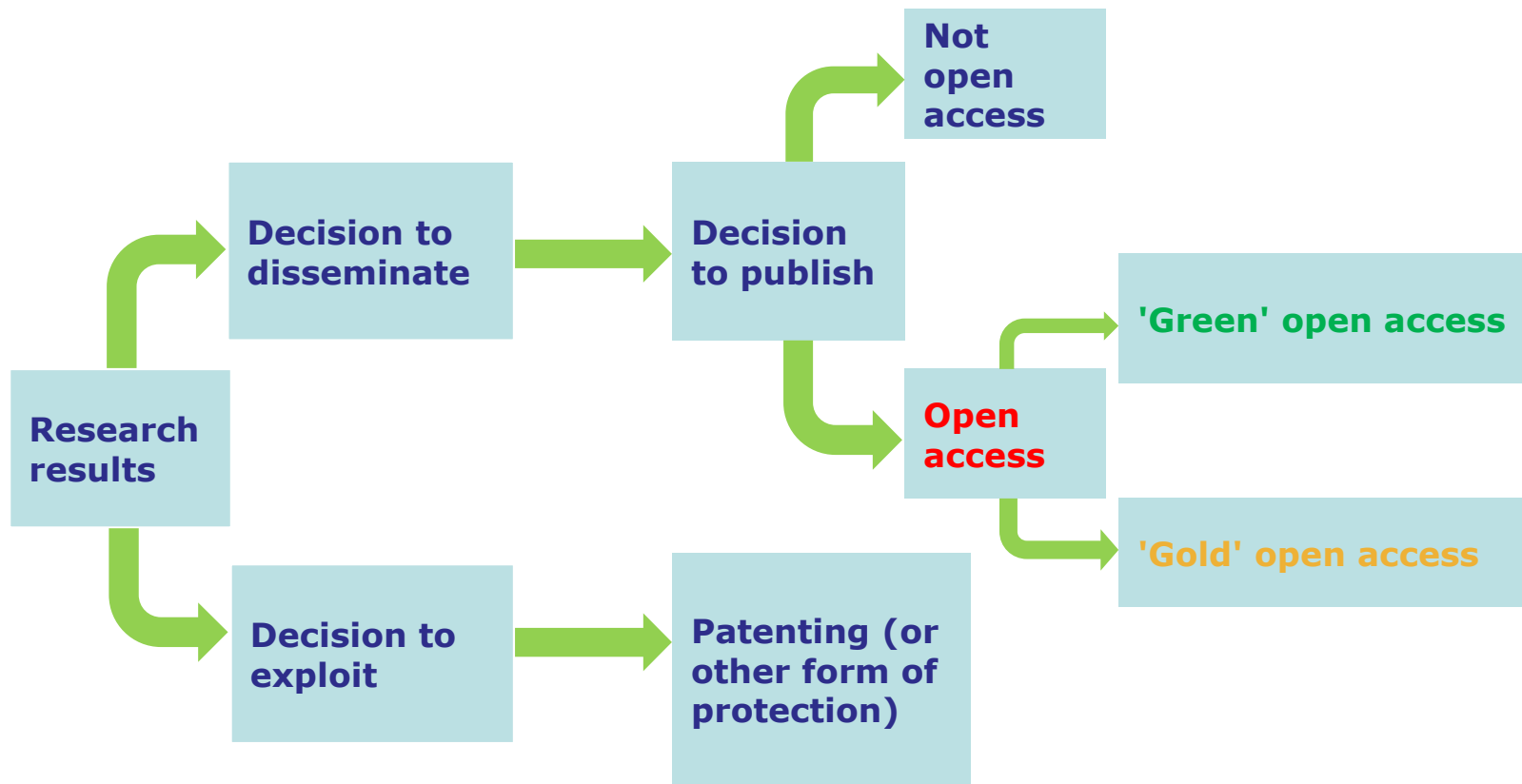
- to peer-reviewed scientific publications
- to research data

Two main OA publishing business models

- **Green OA:** deposit of manuscripts **immediate/delayed OA:** provided by author
- **Gold OA:** costs covered (e.g. by 'authors') **immediate OA:** provided by publisher

***Not an obligation to publish / not at odds with patenting
OA publications go the same peer review process***

Dissemination and Exploitation of research results



EU Policy objective

*The EU wants to **optimise the impact of publicly-funded scientific research***

- At European level (Framework Programmes)
- At Member State level

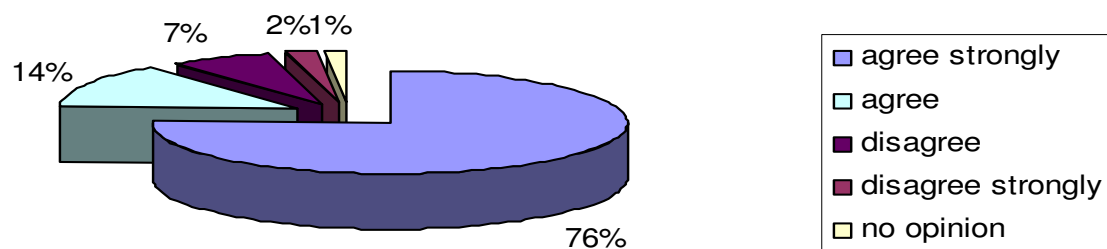
Expected impacts:

- Economic growth (accelerated innovation)
 - OA is part of the innovation union flagship initiative (commitment 20)
- Better science (build on previous results)
- More efficient science (avoid duplication)
- Improved transparency (involving citizens & society)



2011 Consultation on scientific information: Publications

Should publications resulting from publicly funded research be available OA?



In favour:

- 100%
 - National and Regional Government
 - Research funding organization
- More than 90%
 - Libraries,
 - Citizens,
 - Universities/research institutes
 - Researchers

Disagree:

- 67% of publishers

Source: On-line public consultation on scientific information in the digital age July 2011 - September 2011

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



Two Commissioners on open access



Vice-President Neelie Kroes
Digital Agenda
Digital single market



Commissioner
Máire Geoghegan-Quinn
Research & Innovation
Horizon 2020
European Research Area (ERA)
& Innovation Union

The Commission's main steps on OA

2006	<ul style="list-style-type: none"> • EC-funded Study on the scientific publication market in Europe
2007	<ul style="list-style-type: none"> • EC Communication on scientific information • Council Conclusions on scientific information in the digital age • FP7 (OA publishing costs/Gold OA)
2008	<ul style="list-style-type: none"> • Open Access Pilot in FP7
2009	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Surveys: OA in FP7, State of play in Member States • EC Communication on ERA • Scientific information package: EC Communication and Recommendation on scientific information
2013	<ul style="list-style-type: none"> • Public hearing on open research data • Open access in Horizon 2020 • Open access in the ERA



Three key documents from the European Commission (16.07.2012)

Communication 'A reinforced European Research Area partnership for excellence and growth'

- **Global setting**

Communication 'Towards better access to scientific information: boosting the benefits of public investments in research'

- **Focus on Horizon 2020**

Recommendation on access to and preservation of scientific information

- **Focus on EU Member States**



Communication 'ERA'

The European Research Areas (ERA) is a unified research area open to the world based on the Internal Market, in which researchers, scientific knowledge and technology circulate freely

Five priority areas:

- More effective national research systems
- Optimal transnational cooperation and competition
- An open labour market for researchers
- Gender equality and gender mainstreaming in research
- **Optimal circulation, access to and transfer of scientific knowledge** (including digital ERA)



Communication 'ERA'

MS are invited to coordinate their policies on access to and preservation of scientific information

→ Recommendation on access to and preservation of scientific information (C(2012)4890).

SHO are invited to adopt and implement open access measures for publications and data resulting from publicly funded research

→ Signed Memorandum of Understanding with LERU, EARTO, EUA, NORDFORSK and Unilateral Statement by Science Europe

The Commission will adopt establish open access to scientific publications as a general principle for all EU funded research projects in Horizon 2020. For research data the EC will develop a flexible approach that takes into account different scientific areas and business related interests. The Commission will continue to fund projects related to open access

→ Communication 'Towards better access to scientific information', COM(2012)401



Communication 'ERA' (follow up)

Member States (MS)

- ✓ ERA Progress Report (2013): progress among MS "gradual yet visible" (legal and administrative) but efforts need to continue.
- ✓ For interaction with the EC and among each other MS have nominated a national Point of Reference (NPR)
 - ✓ First meeting of NPRs to be organised in 2013
- ✓ Commissioner Geoghegan-Quinn participated in a Competitiveness Council debate on open access

Stakeholder Organisations (SHO)

- ✓ Significant interest in the subject, have organised a variety of events, many of them with Commission (e.g. LERU Conference of 2012, Nordforsk Open Data Workshop, COST workshop, a the Science Europe ERA Europe High Level Workshop).
- ✓ Open access also a point for discussion in the ERA High Level Stakeholder Platform and the associated doers network.
- ✓ ERA Progress Report (2013): Significant number of Research Funders and Research Performing Organisations support OA on the national level



Communication 'ERA' (follow up II)

European Commission (EC)

Open access to scientific publications

- ✓ anchored as an underlying principle in Horizon 2020 (Regulation, Rules of Participation, implementation in Grant Agreement – on-going)
but: final Horizon 2020 vote pending in plenary

Open access to research data

- ✓ general hearing (public consultation) on issues related to open access to research data conducted on July 2 – attended by a variety of stakeholders from the research community, industry, funders, libraries, publishers, infrastructure developers and others
- ✓ draft report sent to participants for comments, will be published on the website
- ✓ Work on pilot on-going

Other

- ✓ EC will continue to fund projects and studies on OA relevant issues

What is proposed for OA in Horizon 2020 ?

OA Pilot in FP7

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

OA publishing costs

- Eligible while project runs

OA mandate in H2020 (tbc)

- Obligation to provide OA
- All areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months
- In addition: pilot for research data *(details to be defined)*
- **OA publishing costs (tbc)**
- Eligible while project runs
- Other options to be finalised (support for gold post grant)

Green OA

Gold OA





The Commission's general approach

- Different Member States and stakeholders are in different situations and have different needs.
- The Commission therefore does not offer exclusive support to one way of implementing open access but rather supports both the so called "green" approach and the "gold" way
- This "balanced approach" is reflected in previous FP7 activities and in the general approach for Horizon 2020
- For green open access there is extensive established infrastructural support (e.g. OpenAIRE), it is cost effective, supportive of authors across all disciplines
- green and gold can work together

International context

Other countries all over the globe...

International initiatives e.g.

Global Research Council

G8 Science

UNESCO

'Berlin' conferences

Etc.





Study to measure growth of OA

- Global proportion of scientific peer reviewed open access articles is higher than previously assumed:
 - Around 50% of scientific papers published in 2011
 - More than 40% of scientific papers published between 2004 and 2011
- Focus on ERA, Brazil, Canada, Japan and USA
- OA availability varies considerably among disciplines. The tipping point has been passed (OA availability over 50%) in Biology, Biomedical Research, Mathematics & Statistics and in General Science & Technology. Least open access in SSH, applied sciences, engineering and technology
- An overall OA advantage occurs in all but four disciplines
- The majority of 48 major science funders considers both gold and green OA acceptable. More than 75% accepted embargo periods of 6-12 months
- Policies for OA to data not as well developed but increasing



Update: running EU projects (SiS)

[RECODE](#) - (Policy RECommendations for Open Access to Research Data in Europe) 2013

[SERSCIDA](#) - (Support for Establishment of National/Regional Social Sciences Data Archives) 2011

[MEDOANET](#) - (Mediterranean Open Access Network) 2011

[SISOB](#) - (An Observatorium for Science in Society based in Social Models) 2010

[ACUMEN](#) - (Academic Careers Understood through Measurement and Norms) 2009



Call in 2013 SiS Work Programme

- Topic SiS.2013.1.3.3-1: Upstream support to the definition, development and implementation of open access strategies and policies and to their coordination in the European Research Area
Negotiation completed
- Topic SiS.2013.1.3.3-2: Downstream training on Open Access in the European Research Area
Negotiation completed

In summary...

- Open access as a means to improve knowledge circulation
- Not all countries are the same: both **Green** and **Gold** open access measures should be promoted (in Europe)
- Open access to publications: a general principle in H2020 (both routes should be valid and complementary)
- Open access must be effective, affordable, competitive and sustainable for researchers and innovative businesses
- Next challenges: *inter alia* **OA to data, alternative metrics, Text and Data Mining**

Thank you



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Links

EC OA website

http://ec.europa.eu/research/science-society/open_access

European Research Area (ERA)

http://ec.europa.eu/research/era/index_en.htm

Study to measure growth of OA

http://europa.eu/rapid/press-release_IP-13-786_en.htm

Innovation Union

<http://ec.europa.eu/research/innovation-union/>
<http://i3s.ec.europa.eu/home.html>