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Open Access to research results –FinnOA symposium Paving the way for Open Science

OPEN ACCESS in the European Research Area

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European Research Area



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Outline

- **Background**
- **Legal Basis**
- **Framework**
- **Open access developments**
- **Role of the EC**
- **Policy process**
- **Open Access in FP7**
- **European Research Council**
- **Conclusions**



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Background

- **Why access and dissemination are important?**
 - OA is beneficial to the research system: all research builds on former work
 - Avoid duplication of research
 - Improve return on EC investment in R&D
 - Maximise scientific and socioeconomic impact
 - Budget constraints - rise of journal subscription prices - multiple payment
 - Free access to results funded by tax payers' money
- **OA is a key element for EC to:**
 - Contribute to make of Europe an increasingly competitive knowledge-based economy (Lisbon strategy)
 - Achieve the 5th freedom - free movement of knowledge
 - Create an "internal market" for research, an area of free movement of knowledge, researchers and technology (European Research Area)
 - Improve framework conditions for business to innovate (modernise the framework of copyright and trademarks, improve access of SMEs to Intellectual Property Protection) etc.





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Legal Basis

- **Legal basis - Treaty of Lisbon:**

- Art. 179 (ex 163 TCE) *“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[...].”*
- Art 182 (ex 166 TCE) Framework programme, adopted by European Parliament and the Council after consulting EESC
- Art 180 (ex 164 TCE): in pursuing these objectives the Union shall carry out scientific results’ dissemination and optimisation activities
- Article 183 (ex 167 TCE) *“For the implementation of the multiannual framework programme the Union shall: - determine the rules for the participation of undertakings, research centres and universities, - lay down the rules governing the dissemination of research results”*





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Framework

- **7th Framework programme (2007-2013): 50b Euros**
- **Lisbon strategy (2000)**
 - Make Europe the most dynamic and competitive knowledge-based economy in the world by 2010 capable of sustainable economic growth with more and better jobs and greater social cohesion and respect for the environment (two targets 70% employment rate, and 3% of GDP spent on R&D)
- **European Research Area [COM \(2000\) 6](#)**
 - Creating an "internal market" for research, an area of free movement of knowledge, researchers and technology, with the aim of increasing cooperation, stimulating competition and achieving a better allocation of resources; improving coordination of national research activities and policies; development of a European research policy
- **EU 2020 [COM\(2010\) 2020](#)**
 - 3% target maintained
 - Necessity to complete the ERA
 - Improve conditions for business to innovate (i.e. create the single EU Patent, modernise the framework of copyright and improve access of SMEs to Intellectual Property Protection)





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Open access developments (5)

- Funding body policies: 44 funder mandates (April. 2010)
 - (Deutsche Forschungsgemeinschaft; Wellcome Trust; Canadian Institutes of Health Research; National Institutes of Health)
- University/university assoc. policies: 90 institutional mandates (Mar. 2010)
 - 2008 European University Association: recommends setting up institutional repositories and establishing an institutional Open Access mandate
- Obama administration dedicated to maximizing the return on Federal investments made in R&D:
 - June 2009: Bill for a "Federal Research Public Access Act" to enable Federal agencies to develop public access policies
 - December 2009 / January 2010: Call for public comments on ways to enhance access to federally-funded research





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Role of the EC

- **Policy-making body**: launch of policy debate at the 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 digital infrastructure and relevant research and networking activities





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Policy process (1)

Study on the scientific publication markets in Europe

- [2006 Study on the economic and technical evolution of the scientific publication markets in Europe](#)
(Commissioned by Research Directorate-General)
- Results: journals' steep price **increase between 1975-1995 → 200% - 300% beyond inflation**
- One of the policy recommendations was "Guarantee public access to publicly-funded research results shortly after publication"





Policy process (2)

Communication on scientific information in digital age

- Joint initiative of DG RTD and IFSO: on 14 February 2007 adoption of [Communication on scientific information in the digital age: access, dissemination and preservation \(COM\(2007\)56\)](#)
- Objective: *“signal importance of and launch a policy process on (a) access to and dissemination of scientific information, and (b) strategies for the preservation of scientific information across the Union”*
- Commission position:
 - *“Initiatives leading to wider dissemination of scientific information are necessary, especially with regard to journal articles and research data produced on the basis of public funding.”*
 - *“Fully publicly funded research data should in principle be accessible to all”*
 - *Need for “clear strategies for the digital preservation of scientific information”*
 - Stakeholder involvement necessary and desirable





Policy process (3)

Green Paper on ERA

- 4 April 2007, [Green Paper – The European Research Area: New Perspectives \(COM\(2007\)161\)](#)
- One of the aspects it dealt with was “Effective Knowledge sharing” between public research and industry, as well as with public at large (Question 21)
- “How should data and publications resulting from publicly funded research be shared?”
 - **68% agree that raw data resulting from publicly funded research** should be made more readily accessible, 16% disagree (85% of publishers agree)
 - **65% agree that peer-reviewed publications resulting from publicly funded research should be accessible without charge** for the reader, 9% disagree (71% of publishers disagree)
 - **Support for EU-level repository**





Policy process (4)

Council Conclusions

- [Council Council Conclusions on scientific information in the digital age: access, dissemination and preservation \(November 2007\)](#)
- Invited MS
 - reinforce national strategies and structures for access to and preservation and dissemination of scientific information
 - enhance the co-ordination between Member States on access and dissemination policies and practices
 - ensure the long term preservation of scientific information
- Invited EC
 - **experiment with open access** to scientific publication resulting from project funded by FP
 - support experiments and infrastructure with cross-border added value for access and preservation of scientific information
 - contribute to improved policy co-ordination between Member States and to a constructive debate between stakeholders





Policy process (5)

- **Lisbon European Council Conclusions March 2008**
 - to become a truly modern and competitive economy, MS and the EU must remove barriers to the free movement of knowledge by creating a "fifth freedom" based, amongst all, on: facilitating and promoting the optimal use of intellectual property created in public research organisations so as to increase knowledge transfer to industry, in particular encouraging open access to knowledge and open innovation
- **Commission Recommendations on the management of IP in knowledge transfer activities (COM(2008)1329)**
 - provides MS with policy guidelines for the development of national guidelines and public research organisations with a Code of Practice, in order to improve the way public research organisations manage IPR and knowledge transfer
 - All public research organizations to define knowledge transfer as strategic mission
 - Support the development of knowledge transfer capacity
 - Promote open access to research results
 - Annex I of the Recommendation: Code of practice for Universities and other public research organizations concerning knowledge transfer





Policy process (6)

- **EC questionnaire (Dec. 2008) via CREST (Scientific and Technical Advisory Committee)**
 - Take stock of the present situation, incl. implementation of the Nov. 2007 Council conclusions (EU Member States to reinforce national strategies & structures, enhance coordination & ensure long-term preservation of scientific information)
 - Gain input for the future development of a policy on access and dissemination
 - Good feedback: 27 Member States responded
 - Many valuable initiatives are taking place in the Member States, many led by non-governmental actors (e.g. funding bodies, universities); very few countries have adopted national strategies
 - Respondents generally favourable regarding current EC activities in this area





Policy process (7)

- **OA session at ERA Conference (Oct. 2009)**
 - Conclusions & recommendations to the EC and all other stakeholders:
 - Need to provide research outputs (articles, books, dataset etc.) in an openly accessible and easily re-usable way
 - Need to provide an integrated system of science communication – an ecosystem of infrastructures – that ensures the optimal functioning of the system
 - Need to reinforce the (weak) link between basic research sector and innovative industries
- **First Report of the European Research Area Board (2009) 'Preparing Europe for a New Renaissance'**
 - *"We will know the ERA is a shared responsibility in 2030 when we see: [...] All outputs of public, non-military funded research will be available via 'open access' to all concerned and interested"*





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Open Access in FP7 (1)

- **Publication costs (including gold/author pays 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
 - Uptake to be monitored during and at the end of FP7
- **OA Pilot Project is based on self-archiving**
 - Launched Aug '08; covers ca. 20 % of FP7 budget
 - Applies to all new FP7 grant agreements signed after August 2008 in the seven following FP7 areas:
 - 6 month embargo: “Health”, “Energy”, “Environment”, “Information & Communication Technology” (Cognitive systems/robotics), “Research infrastructures” (e-infrastructures)
 - 12 month embargo: “Socio-economic Sciences and Humanities” and “Science in Society”
 - Applies during and after project ends
 - Goal: experiment with Open Access in FP7 and Input for Open Access policy for FP8





Open Access in FP7 (2)

- **Legal basis of OA Pilot: Special Clause 39 of the GA requiring researchers to:**
 1. Deposit an electronic copy (published version or final manuscript) in an institutional or subject-based repository at moment of publication
 2. Make best efforts to ensure that this electronic copy becomes available open access (freely and electronically available to anyone):
 - immediately if the publication is published open access, or
 - within 6 or 12 months of publication, depending on area
- **Two steps: deposit and access treated separately**





Open Access in FP7 (3)

- **Where should researchers deposit their articles?**
 - Institutional (university) or subject-based repositories that will be accessible via an EU-level portal
 - If no repository available: Commission will provide a temporary repository to store 'orphan' publications via OpenAire portal
- **“Best effort”: a formulation that strongly encourages researchers & publishers to comply, while guaranteeing scientific & academic freedom**
 - Seeking information on publishing models and copyright/licensing policies of the journal(s) to which authors plan to submit
 - If publishers' policies do not allow compliance with grant agreement, authors should negotiate an amendment or request an authorisation to self-archive within the specific embargo period
 - Supporting documents (IPR guidelines, model letter and amendment to publishing agreement) are available online
 - If negotiations are unsuccessful, researchers should consider submitting to another journal
- **If they cannot comply with special clause**
 - beneficiaries should inform the Commission and provide the publisher's letter of refusal





Open Access in FP7 (4)

- **OpenAIRE: 'Open Access Infrastructure for Research in Europe' (DG INFSO project, started 1 Dec. 2009)**
 - Support for technical implementation and monitoring of the Pilot
 - Helpdesk
 - 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
 - Expected impact: Enhancement of access to scientific information produced in the context of FP7
 - linking of many different repositories as a service and e-infrastructure



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www.openaire.eu

OpenAIRE - OpenAIRE - Windows Internet Explorer

http://www.openaire.eu/

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Open Access Infrastructure for Research in Europe

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Open Access

Open Access is the immediate, online, free availability of research outputs without restrictions on use commonly imposed by publisher copyright agreements. It concerns the outputs that scholars normally give away free to be published – peer-reviewed journal articles, conference papers and datasets of various kinds. Open Access provides the means to maximise the visibility and availability, and thus the uptake and use, of research outputs.

[Learn more...](#)

Open Access in Europe

Two main European Open Access initiatives are in progress which will improve access to, and will accelerate the research and discovery process:

- Open Access Pilot in FP7: [Read more...](#)
- ERC Scientific Council Guidelines for Open Access: [Read more...](#)

Deposit Open Access

The OpenAIRE portal will set up the tools and will provide all the information to researchers for depositing their FP7 and ERC publications.

The OpenAIRE repository and search portal functionalities **will be coming soon!** Check this site again for a detailed release schedule...

Latest News NEW

European Countries join forces to realize the EC Open Access pilot

OpenAIRE, a three-year project funded under the 7th Framework Programme of the European Commission, has

start | Microsoft Office O... | Internet Explorer | 2010_03_08_RoyalS... | Internal_IP_Training... | FR | 18:09 | Area



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European Research Council

- **European Agency: Work Programme Ideas, basic research**
- **December 2006 ERC Scientific Council statement on Open access**
- **December 2007: Guidelines on Open Access to ERC funded research results**
 - Peer reviewed scientific articles: deposited on publication to an appropriate repository and available open access no later than 6 months after publication
 - Research data: consider it essential that underlying data be deposited to relevant databases as soon as possible, preferably immediately and no later than 6 months after publication
- **Preference for Self-archiving OA, rather than Authors pay model**
- **Guidelines apply during and after project duration**
- **Guidelines to be implemented in the ERC Model Grant Agreement**





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Conclusion (1)

• Role of Universities

- All research originates from the world's universities and research institutions
- Contribute to widespread a culture of knowledge sharing
- Role of Universities repositories
- Incentivise researcher to participate in knowledge sharing
- Sustainability of the ecosystem
- Economic and scientific benefit of Open Access





Conclusion (2)

- **European policy:**

- Mobilize Member States and stakeholders
- Support co-ordinated initiatives
- Move towards the creation of 'fifth freedom' (free movement of knowledge)

- **Research funding body policy:**

- Monitor ongoing initiatives
- Define an access and dissemination policy after FP7 (from 2014) for publications and data

- **Capacity-building activities:**

- continue support for the development of sustainable e-infrastructure





Kiitää - Thank you for your attention!

- **Access to scientific information**
http://ec.europa.eu/research/science-society/scientific_information
- **Open access pilot in FP7**
http://ec.europa.eu/research/science-society/open_access
- **Contact in DG RTD**
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