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)
- Better science (build on previous results)
- More efficient science (avoid duplication)
- Improved transparency (involving citizens & society)
One way to get there: open access (OA) to scientific information

**OA = online access at no charge to the user**
- to peer-reviewed scientific publications
- to research data

**For publications:**
- OA comes after a decision to publish
- OA does not interfere with patenting

**Two main OA publishing business models**
- **Gold OA**: costs covered (by authors) → **immediate OA**
- **Green OA**: deposit of manuscripts → **immediate/delayed OA**
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
EU concrete objectives

*Develop and implement* open access to research results from projects funded by the EU Research Framework Programmes (FP7, Horizon 2020)

- Including fund research and support activities in the area of open access

*Encourage* national policy initiatives

*Contribute* to policy co-ordination between Member States
Open access in FP7

**OA Pilot in FP7**
- 7 areas (>1300 projects to date)
- 20% of total FP7 budget (2007-2013)
- Survey (summer 2011)

**OA publishing costs are eligible in FP7**
- Since the beginning of FP7, for all projects
- Limited to duration of project

**European Research Council**
- Embargo (6 months) including primary data

**OpenAIRE**
- EU-funded portal giving access to repositories across Europe (implements FP7 Pilot)
<table>
<thead>
<tr>
<th>Year</th>
<th>Actions</th>
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<td>2006</td>
<td>- EC-funded Study on the scientific publication market in Europe</td>
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| 2007 | - EC Communication on scientific information  
       - Council Conclusions on scientific information in the digital age  
       - FP7 (OA publishing costs/Gold OA) are eligible |
| 2008 | - Open Access Pilot in FP7 |
| 2009 | - 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 | - Surveys: OA in FP7, State of play in Member States  
       - EC Communication on ERA  
       - Scientific information package: EC Communication and Recommendation on scientific information |
Three key documents from the European Commission (16.07.2012)

**Communication** 'A reinforced European Research Area partnership for excellence and growth'
- Global setting

'Scientific information package':

**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
1. Communication 'ERA'

The ERA is 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
1. Communication 'ERA'

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

**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
2. Communication 'Towards better access to scientific information'

Why does better access matter for Europe?

The Commission's vision

Where do we stand?
- Access to publication and data, preservation, international context

What are the barriers to change?
- Transition to OA to publications, the case of data, long-term preservation

Action at European level
- What has the Commission done so far, what are the next steps (Horizon 2020)
2. Communication: 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 mandate in H2020**
- Obligation to provide OA
- All areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months
- In addition: pilot for research data *(details to be defined, taking into account commercial interests, privacy, security)*

**OA publishing costs**
- Eligible while project runs

**Green OA**

**Gold OA**

**OA publishing costs**
- Eligible while project runs
- Currently under discussion: possibility to cover publications after project ends
2. Pilot on open access to data

- To be developed during 2013
- Will take into account privacy, security issues, commercial interests
- Issues to consider:
  - What data? (underlying data, raw data, metadata)
  - What areas? (ERC, FET, societal challenges, others?)
  - Where should data go?
  - Use and re-use / ownership
  - Not just open access: data-sharing and management
  - Need to create incentives for researchers
- Process: internal and external consultations
2. Horizon 2020


- Includes many references to open access:
  - Framework Programme
  - Rules for Participation (central for OA Rules in H2020)
  - Specific Programme

- Co-decision Council & European Parliament (amendments proposed): 'trilogues' with the European Commission

- By end of 2013: Adoption of legislative act
- From 2014 Horizon 2020 starts / launch of first calls
3. Recommendation to Member States

- Member States to define policies for and implement:
  - OA to publications
  - OA to research data – taking into account data-specific concerns
  - preservation and re-use of scientific information
  - e-infrastructures

*Consistency between EU H2020 policy and MS policy*

*Structured co-ordination of MS at EU-level and reporting*

*Multi-stakeholder dialogue to be set up*
Working with the community

• Dialogue with all relevant stakeholders
  in particular on open access to data pilot

• funding infrastructures and relevant projects
  Starting February 1\textsuperscript{st} 2013: Policy RECommendations for Open Access to Research Data in Europe (RECODE)
  To be evaluated and approved 2013: one project to facilitate MS networking, one project to train researchers & other stakeholders

• co-ordination beyond the EU
  Global Research Council, OECD ...
In summary...

- Open access & related measures: not a goal in itself, but a means to improve knowledge circulation and thus innovation in Europe.

- Open access to publications: a general principle in H2020.

- Both Green and Gold open access measures should be promoted in Europe (Best for transition, not all Member States are the same etc.)

- Open access to data: a pilot will explore possibilities and fully take into account privacy, security and commercial interests.

- Beyond open access: creating incentives and a culture of sharing.
Contacts

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