Open Access policy: The European Dimension

Daniel Spichtinger

Open Access Policy Officer

European Commission

Directorate-General for Research & Innovation (DG RTD)

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European Commission

Research and Innovation

Background I : what is open access (OA)

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 → delayed OA
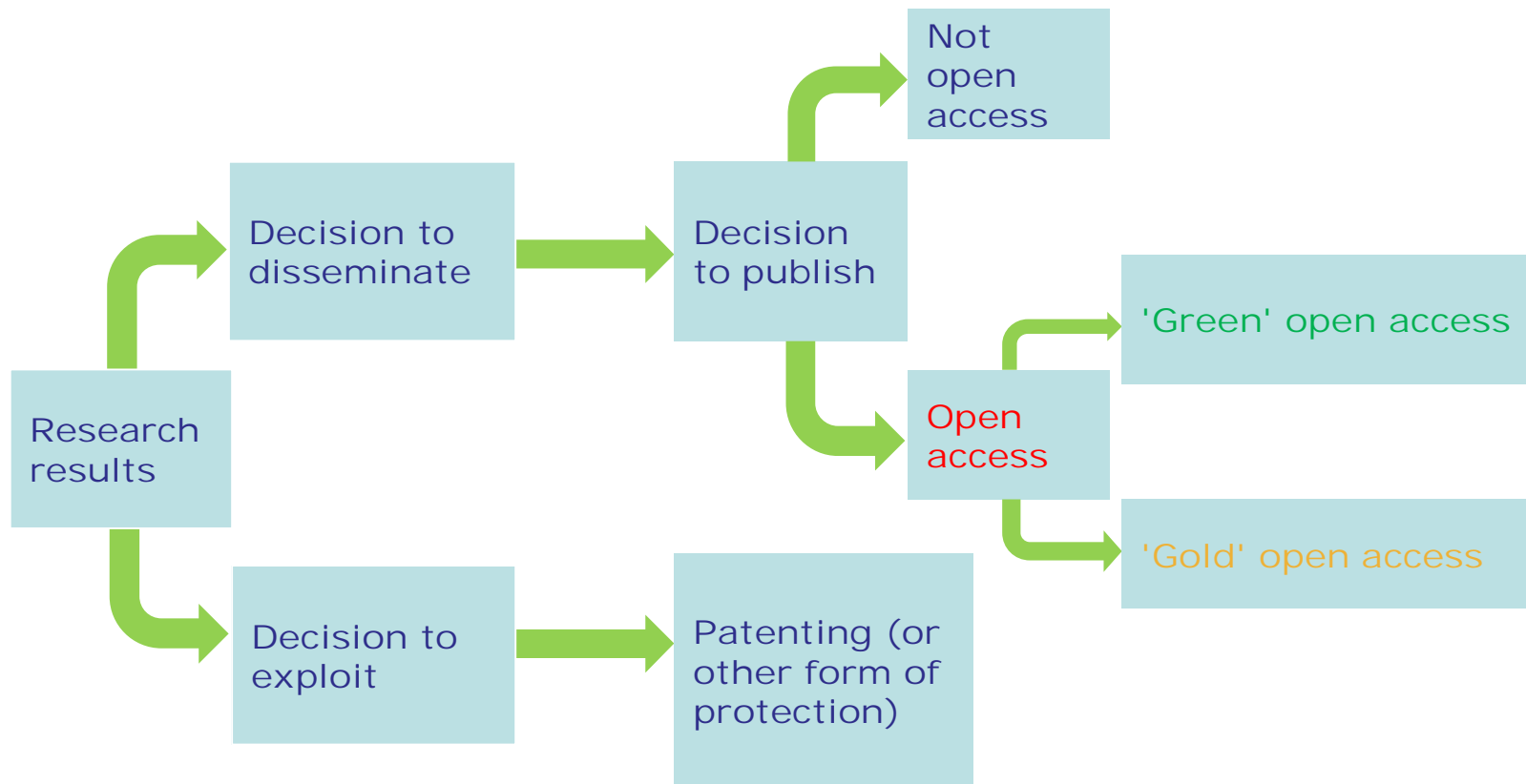
Background II: What is OA to scientific information NOT?

However, open access:

- is <u>not</u> a requirement to publish: researchers are free to publish or not

- does <u>not</u> interfere with the decision to exploit research results commercially e.g. patenting: discussion on open access comes after the decision to publish

- publications are <u>not</u> of a lower quality: they go through the same peer review process as other publications

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

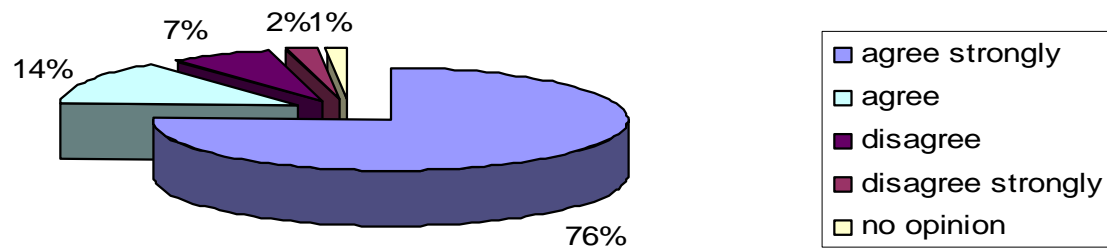*Expected impacts:*

- 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?

14% 7% 2% 1%

- agree strongly
- agree
- disagree
- disagree strongly
- no opinion

76%

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

Three relevant documents from the European Commission (16.07.2012)

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

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

3. Recommendation on access to and preservation of scientific information

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 Geoghan 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 <u>scientific publications</u>

✓ 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 <u>research data</u>

✓ 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

Green OA

Gold OA

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)

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, delivers for funders and is publisher friendly
- → green and gold can work together

International context

Other countries all over the globe...

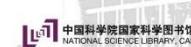*International initiatives e.g.*

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

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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

Contacts DG RTD

Daniel Spichtinger (Unit B6, DG RTD)
daniel.spichtinger@ec.europa.eu

Jean-François Dechamp (Unit B6, DG RTD)
jean-francois.dechamp@ec.europa.eu

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

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