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Community research

**Helmholtz Open Access Workshop “Open Access to
Publications and Data in the Research Field Energy”
Library, Campus South, Karlsruhe Institute of Technology**

Open Access in FP7 and outlook to the future

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European Research Area



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Outline

- **The European Commission's approach to Open Access**
- Promoting Open Access in the European Research Area
- Open Access in the Research Framework Programme
- Conclusions



European Research Area



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**
 - Research builds on former work / 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 and 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**”.





European Research Area

- **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**





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 on 'Scientific information in the digital age'

- **Invitation to the Member States to:**
 - Reinforce national strategies and structures
 - Enhance co-ordination between Member States
 - Ensure long-term preservation of scientific information
- **Invitation to the European Commission to implement measures to:**
 - Experiment with OA in FP7
 - Support infrastructures for access to and preservation of scientific information
 - Contribute to policy co-ordination between Member States





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
- **2011 follow-up questionnaire**





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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





OA Pilot in FP7

- **Seven areas**

1. Energy
2. Environment
3. Health
4. Information & Communication Technologies [*only cognitive systems, interaction & robotics*]
5. Research Infrastructures [*only e-Infrastructures*]
6. Science in Society
7. Socioeconomic Sciences & Humanities



- **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:**

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

> **700 GA to date**
~ **2000 by 2013?**





OA Pilot in FP7

- **“Best effort”:**
 - A formulation that strongly encourages researchers & publishers to comply, while guaranteeing scientific freedom
 - Reference: [Guide to IP Rules for FP7 Projects](#), 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





In-house support

Open Access Pilot in FP7:

- Leaflet "[Open access pilot in FP7](#)" [EN, pdf, 6122,9 KB] [[more](#)]
- [Guide to Intellectual Property Rules for FP7 projects](#) pg. 15 – 18, section 7.3
- [Guidance notes on Project Reporting](#), see especially pg 5, 25, 32
- [OpenAIRE: Open Access Infrastructure for Research in Europe](#)
- Model cover letter for amendment to publishing agreement
[BG](#) | [CS](#) | [DA](#) | [DE](#) | [EL](#) | [EN](#) | [ES](#) | [ET](#) | [FI](#) | [FR](#) | [HU](#) | [IT](#) | [LT](#) | [LV](#) | [MT](#) | [NL](#) | [PL](#) | [PT](#) | [RO](#) | [SK](#) | [SL](#) | [SV](#)
- Model amendment to publishing agreement
[BG](#) | [CS](#) | [DA](#) | [DE](#) | [EL](#) | [EN](#) | [ES](#) | [ET](#) | [FI](#) | [FR](#) | [HU](#) | [IT](#) | [LT](#) | [LV](#) | [MT](#) | [NL](#) | [PL](#) | [PT](#) | [RO](#) | [SK](#) | [SL](#) | [SV](#)

Please note that the model cover letter and model amendment to publishing agreement are provided for the sole purpose of offering support to beneficiaries of projects participating in the Open Access Pilot in FP7. Beneficiaries are free to modify the model documents or to replace them with alternative versions where appropriate and should seek legal advice where necessary, in particular in cases of pre-existing agreements. Whatever the publishing agreement put in place, beneficiaries should take care to ensure compliance with the conditions of the Open Access Pilot in FP7 as specified in Special Clause 39 of the Grant Agreement. The Commission cannot be held responsible for the use made of these models.

- Online FP7 support documents ([Pilot toolkit](#))
 - Model cover letter
 - Model copyright agreement amendment to send to publishers





Support and monitoring

FP7 project OpenAIRE (Open Access Infrastructure for Research in Europe)



www.openaire.eu

- Support for technical implementation of the Open Access Pilot in FP7
- Helpdesk & contact points in the EU Member States
- Technical infrastructure of digital repositories to deposit and access articles and data produced under FP7 (incl. ERC)
- Orphan repository





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Many issues pending...

- **What robust & effective mandate?**
- **How to get scientists to deposit?**
- **What Role for publishers?**
- **What funding?**
- **What about data?**
- ...





European agenda (DG RTD & INFSO)

- **Green Paper on a Common Strategic Framework (CSF) for future EU Research and Innovation Funding**
 - http://ec.europa.eu/research/csfri/index_en.cfm
Consultation until 20 May 2011 (see question on access and dissemination)
- **Communication announcing EC policies and actions within the future Common Strategic Framework (CSF) / Proposal of a set of actions for Member States**
 - Public consultation + Hearing of stakeholders (30 May 2011)
 - Impact Assessment
 - Target: completion by December 2011





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Your questions

Learn more on Open Access and the Commission:
http://ec.europa.eu/research/science-society/open_access

Find support for the Pilot with OpenAIRE:
www.openaire.eu

Find tools for the Pilot on CORDIS:
http://cordis.europa.eu/fp7/find-doc_en.html

Contact the ERA Directorate:
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