Guide to Open Access to Publications and the Open Research Data Pilot in Horizon 2020

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Harmonizing Current OA practices with H2020 Guidelines

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What is Open Access (OA)?

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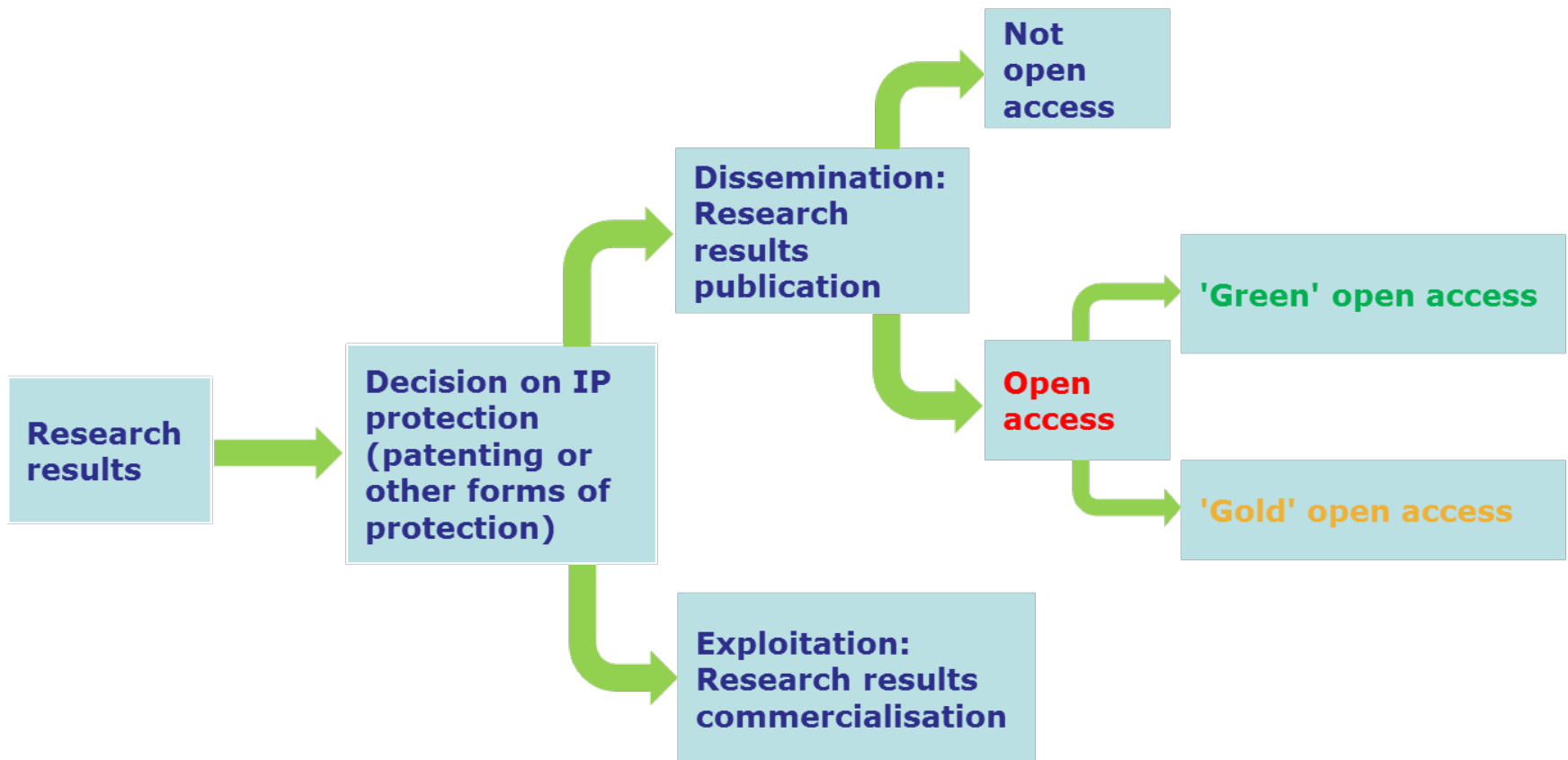- to peer-reviewed scientific publications
- to research data

Two main OA publishing business models
- **Self-archiving**: deposit of manuscripts & immediate/delayed OA provided by author ("Green OA")
- **OA publishing**: costs covered & **immediate OA** provided by publisher ("Gold OA")

What OA is NOT
- Not an obligation to publish
- Not at odds with patenting
- OA publications go through the same peer review process

Dissemination and exploitation

The European Commission is a...

Policy maker

- It proposes EU legislation & legislates with other EU institutions
- It invites Member States to act

Funding agency

- It sets its own access and dissemination rules for EC-funded research

Capacity builder

- It funds projects that support EC/ EU policy

Why open access?

optimise the impact of publicly-funded scientific research

- At European level (FP7 & Horizon 2020)
- At Member State level

One way to get there: open access

Expected benefits:

- Better and more efficient science ➔ *Science 2.0*
- Economic growth ➔ *Innovation Union*
- Broader, faster, more transparent and equal access for the benefit of researchers, industry and citizens ➔ *Responsible Research and Innovation*

… in the European Research Area and beyond

Two Commissioners on open access

**Vice-President Neelie Kroes
Digital Agenda**

Digital single market/Digital agenda

**Commissioner
Máire Geoghegan-Quinn**

Research & Innovation

Horizon 2020

*European Research Area (ERA) &
Innovation Union*

Key policy documents on OA (2012)

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

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

Recommendation **on access to and preservation of scientific information**

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

Joint statement by stakeholders organisations

Formal commitments and activities on open access by: EARTO, NordForsk, Science Europe, LERU and EUA (+CESAR)

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)

→ National Points of Reference Network and ERAC taskforce

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 and CESAR

→ A variety of events on OA related issues

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

Open Access in the Framework Programmes

OA to publications in FP7

Click here ⇩

OA publishing costs are eligible in FP7

- Since the beginning of FP7, for all projects
- Limited to duration of project

OA Pilot in FP7

- Best effort basis
- 7 areas (>1800 projects to date)
- 20% of total FP7 budget (2007-2013)
- 6/12 month embargo period

European Research Council

- Updated (2013) Scientific Council Guidelines for OA
- 6/12 month embargo period
- OA to underlying data recommended

OpenAIRE / OpenAIRE+

- EU-funded portal giving access to repositories across Europe (implements FP7 Pilot)
- 46.000 publications, 19.000 OA, 25.000 still under embargo/restricted

OA to publications: H2020 mandate (1)

Each beneficiary must ensure OA to all peer-reviewed scientific publications relating to its results:

- Deposit a machine-readable copy of the published version or final peer-reviewed manuscript accepted for publication in a repository of the researchers choice (possibly OpenAIRE compliant)

- Ensure OA on publication or at the latest within 6 months (12 for SSH)

- Aim to deposit at the same time the research data needed to validate the results ("underlying data")

- Ensure OA to the bibliographic metadata that identify the deposited publication, via the repository

OA to publications: H2020 mandate (2)

Routes towards OA:

- OA publishing and self-archiving considered valid and complementary routes

- Deposit into a repository also in the case of OA publishing

Costs for OA publishing:

- Eligibility of OA publishing costs during the grant (as in FP7)

- Piloting a mechanism for open access publishing after the end of the grant agreement (call EINFRA-2-2014 – eInfrastructure for Open Access)

Licencing:

- Encouragement to authors to retain their copyright and grant adequate licences to publishers (e.g. Creative Commons)

Pilot on Open Research Data (1)

Areas of the 2014-2015 Work Programme participating in the Open Research Data Pilot are:

- Future and Emerging Technologies

- Research infrastructures – part e-Infrastructures

- Leadership in enabling and industrial technologies – Information and Communication Technologies

- Societal Challenge: Secure, Clean and Efficient Energy – part Smart cities and communities

- Societal Challenge: Climate Action, Environment, Resource Efficiency and Raw materials – except raw materials

- Societal Challenge: Europe in a changing world – inclusive, innovative and reflective Societies

- Science with and for Society

Projects in other areas can participate on a voluntary basis.

Pilot on Open Research Data (2)

Types of data concerned:

- Data (including associated metadata) needed to validate the results presented in scientific publications ("underlying data")

- Other data (including associated metadata) as specified in data management plan

Beneficiaries participating in the Pilot will:

- Deposit this data in a research data repository of their choice

- Take measures to make it possible to access, mine, exploit, reproduce and disseminate free of charge (using e.g. Creative Commons licences)

- Provide information about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (where possible, provide the tools and instruments themselves)

Support & monitoring to be developed

Pilot on Open Research Data (3)

Projects may opt out of the Pilot on Open Research Data in Horizon 2020 in a series of cases:

- If the project will not generate / collect any data

- Conflict with obligation to protect results

- Conflict with confidentiality obligations

- Conflict with security obligations

- Conflict with rules on protection of personal data

- If the achievement of the action's main objective would be jeopardised by making specific parts of the research data openly accessible (to be explained in data management plan)

Data management in Horizon 2020 (1)

- Data Management Plans (DMPs) mandatory for all projects participating in the pilot (deliverable within the first six months)

- Other projects invited to submit a DMP if relevant for their planned research

- Template available in the Participants portal

Data management in Horizon 2020 (2)

- All "Research and Innovation actions" as well as "Innovation actions" include a section on research data management which is evaluated under the criterion 'Impact'. Where relevant, provide a short, general outline of the policy for data management, including:

  - What data will be collected / generated?

  - What standards will be used / how will metadata be generated?

  - What data will be exploited? What data will be shared/ made open?

  - How will data be curated and preserved?

OA in Horizon 2020: where to look

- Regulation establishing Horizon 2020 (article 18)

- Specific Programme (preamble 1.3)

- Rules for Participation (article 43)

- Work Programme 2014-15 (Introduction 1.5 and relevant areas)

- Model Grant Agreement (articles 6.2.D.3, 29.2 and 29.3)

- Annotated Model Grant Agreement (reference to Guidelines below)

- Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020

- Guidelines on Data Management in Horizon 2020

- Source for all documents: Participant Portal (reference documents) http://ec.europa.eu/research/participants/portal/desktop/en/home.html

In summary

- Open access: means improving efficiency, quality and impact of publicly-funded research for society and innovation in Europe.

- Open access to publications: a general principle in H2020. Both Green and Gold open access models are promoted. Depositing underlying data is encouraged.

- Open access to data : a pilot in H2020 will test and monitor analyse experiences.

- Open access policy is not a goal in itself, but an element in promoting forward-looking digital practices for future research, education and innovation

Thank you!

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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

H2020 guidance
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf