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Digital Policies: the Public Domain and Alternative
Compensation Systems", the 7th COMMUNIA Workshop

Access to scientific information in the digital age

FP7 Open Access Pilot Project

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Outline

- **Legal Basis**
- **Background**
- **Role of the EC**
- **EU Initiatives**
- **Open Access Pilot**
- **Next steps**



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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 180 (ex 164 TCE): in pursuing these objectives the Union shall carry out scientific results’ dissemination and optimisation activities



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Background (1)

- **Why access and dissemination are important?**
 - All research builds on former work
 - Avoid duplication of research
 - Improve return on EC investment in R&D
 - Maximise scientific and socioeconomic impact
 - Free access to results funded by tax payers' money
- **Key elements for achieving :**
 - The 5th freedom - free movement of knowledge
 - And contributing to make of Europe an increasingly competitive knowledge-based economy



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Background (2)

- **What is Open Access (OA)?**

- OA can refer to any scientific information (publication, data, etc)
- OA is accessible at no cost for any user/reader over internet
- Commission current focus on **peer-reviewed publications** in scientific journals resulting from publicly-funded research

- **How does it work?**

- **“Gold”** OA (or OA publishing): the costs of publishing are covered by authors (e.g. funding bodies) or other sources (e.g. university libraries) instead of readers paying via subscriptions. It ensures that research articles are immediately available in open access mode as soon as they are published.
- **“Green”** OA (or Self-archiving): authors deposit the peer-reviewed manuscripts of their articles in repositories to be available in OA mode after an embargo period.



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Background (3)

OA policies in MS and Third Countries

- **Funding body policies: 42 funder mandates (Dec. 2009)**
 - 2006 Deutsche Forschungsgemeinschaft (DE): OA after max. 12 mo.
 - 2006 Wellcome Trust (UK): OA after max. 6 mo.
 - 2007 Canadian Institutes of Health Research: OA after max. 6 mo.
 - 2008 National Institutes of Health (USA): OA after max. 12 mo.
- **University/university assoc. policies: 77 institutional mandates (Dec. 2009)**
 - 2008 Harvard University (Arts and Sciences, Law)
 - 2008 European University Association: recommends setting up institutional repositories and establishing an institutional OA mandate





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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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EU Initiatives – EC (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"



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EU Initiatives - EC(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



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EU Initiatives – EC (4)

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**



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EU Initiatives – Competitiveness Council

- [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



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Open Access Pilot (1)

- Even though reimbursement of publication costs for “Gold” OA (author pays open access fees) are eligible for reimbursement but just during project like (legal reference: II.16.4 of FP7 Model Grant Agreement permits 100% reimbursement for “other activities”)
- EC [OA Pilot Project](#) is based on self-archiving / “green” open access
- The Pilot launched in August 2008 is covering ca. 20 % of FP7 budget
- Applies to all FP7 Grant Agreements signed after 20.08.2008 in seven areas:
 - “Health”, “Energy”, “Environment”, “Information & Communication Technology” (Cognitive systems/robotics), “Research infrastructures” (e-infrastructures) (6 month embargo)
 - “Socio-economic Sciences and Humanities” and “Science in Society” (12 month embargo)



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Open Access Pilot (2)

- Special Clause 39 in Grant Agreement requires:
 - during and after project ends
 - that peer-reviewed publications (published version or final manuscript) in journals resulting from FP7 funded projects
 1. Must be deposit in an institutional or subject-based repository at moment of publication.
 2. Authors have to make the best efforts to ensure that this electronic copy becomes available open access (freely and electronically available to anyone) with a 6 or 12-month embargo period, where the case



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Next steps

- **European policy:**
 - Mobilize Member States
 - 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



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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**
 - Pēteris Zilgalvis (Head of Unit)
 - Celina Ramjoué
 - Jean-François Dechamp
 - Francesco Fusaro
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