Open Access Policies

The European Commission and OA Policy Recommendations

Jean-François Dechamp
Open Access Policy Officer
European Commission, Directorate-General for Research & Innovation

Experts Meeting on the UNESCO Open Access Strategy
UNESCO Headquarters, Paris, 22-23 November 2011
The European Commission is a...

- Policy maker
- Funding agency
- (Infra)structure funder & capacity builder
Two Commissioners (and their teams)

- Vice-President Neelie Kroes
- Digital Agenda
  Digital single market
- Commissioner Máire Geoghegan-Quinn
- Research, Innovation & Science
  European Research Area (ERA) & Innovation Union
1. Policy maker

- **Legal foundations**
  - European Community Treaty (‘Lisbon Treaty’)
    - Objective of strengthening bases for researchers, scientific knowledge and technology to circulate freely
    - Objective of carrying activities in dissemination and optimisation of research results

- **Consultations, hearings, workshops, conferences, studies...**

- **Hard law/soft law**
  - Soft law e.g. Communication, Recommendation, Conclusions, Guidelines...
  - Where the case (hard law) collaboration with other EU institutions (European parliament, Council...)

Digital Agenda

- Speed up the roll-out of high-speed internet
- Reach the benefits of a digital single market

- **Communication from the Commission ‘A Digital Agenda for Europe’**

- 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 [...]”.
European Research Area

• A Europe-wide space or ‘single market’ for research and innovation

• Incl. knowledge circulation:
  - Free movement of knowledge
  - Clear principles/rules regarding:
    • The management of intellectual property resulting from publicly funded research
    • Access to, and dissemination & preservation of publications and research data resulting from publicly funded research

• ERA Framework in progress
Innovation Union

• Improve conditions & access for research and innovation

• Delivering the ERA:
  – “[...] The Commission will propose a European Research Area framework [and] seek to ensure [...] dissemination, transfer and use of research results, including through open access to publications and data from publicly funded research”

• Promoting openness:
  – “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 [...]”
EC services to consult and/or involve

- **Other directorates within both directorates-general (DGs):**
  - Within Research and Information DG and Information Society and Media DG

- **Other DGs in EC:**
  - ‘Thematic’ e.g. Competition, Education and Culture, Enterprise and Industry, Internal Market and Services, Mobility and Transports, Taxation and Customs Union, Trade...
  - ‘General’ e.g. Budget, Legal Service, Publications Office, Secretariat General...

- **Joint Research Centre, European Research Council Executive Agency**
2. A funding agency (FP7/H2020)

- **OA publishing costs are covered in FP7**
  - For all projects
  - Limited to the duration of the grant agreement

- **OA Pilot in FP7**
  - 20% of total FP7 budget (2007-2013)
  - 7 areas (~1000 projects to date)
  - Self-archiving & ‘Best effort to provide OA’ mandate
  - Embargo (6/12 months)
3. An (infra)structure funder & capacity builder

- **Example: EU-funded portal OpenAIRE**
  - Support for technical implementation
  - Helpdesk & contact points
  - Technical infrastructure of digital repositories
  - Repository for homeless publications

- **Example: EU-funded infrastructure DARIAH**
  - Develop and maintain an infrastructure in support of ICT-based research practices
  - Enhance and support digitally-enabled research across the humanities and arts.
Building EC policy in open access

- Communication on Scientific information in the digital age (2007)
  - Objective overview of the state of play in Europe regarding scientific publishing and the preservation of research results: organisation, legal, technical and financial issues

- Council Conclusions on Scientific information in the digital age (2007)
  - Invitation to the European Commission to experiment with open access
  - Invitation to the Member States to:
    - Reinforce national strategies and structures
    - Enhance co-ordination among Member States
Latest surveys & consultations

1. 2011 Survey on OA in FP7
   - Publication early 2012

2. 2009 & 2011 Questionnaires to Member States
   - Publication late 2011

3. Public consultation on scientific information in the digital age
   - 1140 answers & ~20 position papers
   - Analyse running

4. Public consultation on obstacles to ERA
   - deadline 30.11.2011 – section on knowledge circulation
Many questions to answer

- **How to get authors to deposit?**
  - How to reward an author for sharing?
  - What role for (what) publishers?
  - What funding (and where)?

- **How to measure OA?**
  - EC 2011 call for tender ‘Study to develop a set of indicators to measure open access’

- **What about data (the ‘rising tide of data’)?**
  
  *And many more...*
Why are 2011-2012 important years?

• 2012 Communication and Recommendation on scientific information in the digital age

• Post-2013 (FP7) research funding: Horizon 2020
  – Legislative proposal

• ERA & Digital agenda activities
2012 Communication & Recommendation on scientific information

- Communication: take stock of developments in the area & outline next steps the Commission will take
- Recommendation: outline what the EC expects from Member States in terms of access/management of publications/data, in particular policies in relation to OA
- Foreseen adoption: 2012
• Horizon 2020 (next FP)
  – Make open access to publications the general principle for all projects
  – Open up possibilities for data
  – Put the open access mandate and associated policies into practice
• Building an e-infrastructure for data
  – "Our vision is a scientific e-infrastructure that supports seamless access, use, re-use, and trust of data."
  – ‘Package’ to be released (Public Service Information, Re-use of data...)
  – Partner, pilot & build infrastructures
Conclusion

‘The question is no longer ‘if’ we should have open access. The question is about ‘how’ we should develop it further and promote it.’

(N. Kroes)

‘We need [...] a unified research area that brings together people and ideas in a way that catalyses science and world-leading innovation. Open access can help make this vision become a reality.’

(M. Geoghegan-Quinn)
Pointers

- **The EC and open access**
  - [http://ec.europa.eu/research/science-society/open_access](http://ec.europa.eu/research/science-society/open_access)

- **Twitter**
  - @OpenAccessEC  @NeelieKroesEU  @ccbuhr

- **Email**
  - jean-francois.dechamp@ec.europa.eu