



# **OA in Horizon 2020 and the European Commission Recommendations to EU Member States**

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PASTEUR4OA: Eastern European Meeting of Research Funders and Research Performing Organisations

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29 October 2015, Budapest, Hungary

# The European Commission is a...

## Policy maker

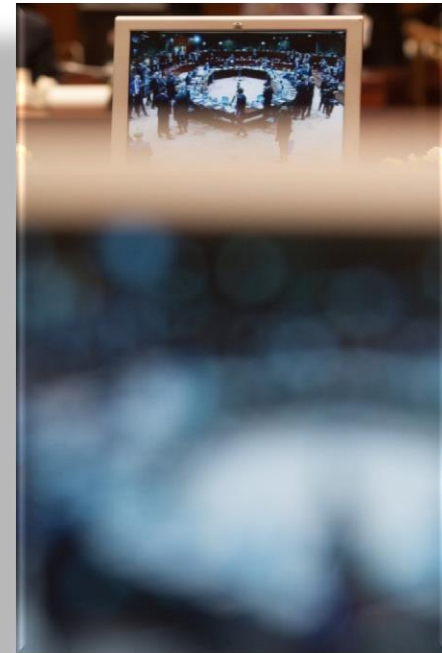
- It propose EU legislation & it legislates with other EU institutions
- It invites Member States to act

## Funding agency

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

## Capacity builder

- It funds project that support EC/EU policy



# The Commission objective

## **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:**

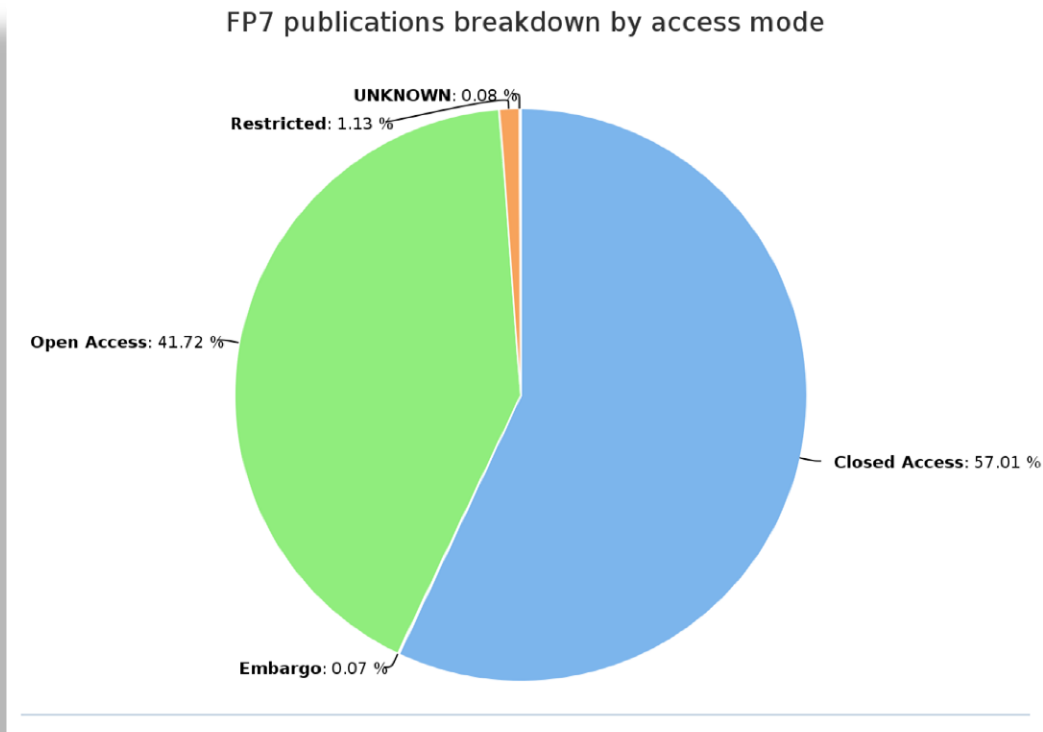
- Better and more efficient science
- Economic growth
- Broader, faster, more transparent and equal access for the benefit of researchers, industry and citizens

# Open Access in FP7



- Uptake in FP7
- FP7 Post-Grant OA Pilot

# The figure: 42% Open Access in FP7



# Uptake of OA in FP7

## Based on an exhaustive sample

- Source: OpenAIRE
- Not all FP7 projects have yet ended
- Publications are also published after the end of a project
- Looking at individual years, open access publications have significantly increased in recent years
  - 56% in 2014
  - 58% in 2015
- Indicator of the growing support towards open access in the scientific community?

# FP7 Post-Grant Open Access Pilot

**According to current OpenAIRE data, most publications are published *within* the project lifetime but 13% are published *after* the project ended.**

- Hence often not possible to pay with money from the grant

**The EC FP7 Post-Grant Open Access Pilot will provide funding to cover the OA publishing fees for publications arising from *completed* FP7 projects**

- Administered and run as part of OpenAIRE
- 4 million EUR
- Started operation in June 2015 and will run for a maximum of two years (until April 2017) or until its budget is exhausted

# Eligibility criteria

## Set by OpenAIRE

- The FP7 project should have finished by the time the funding is requested, but no longer than two years ago;
- A maximum of three publications will be funded per eligible FP7 project as a means to ensure a fair distribution of the funding across projects;
- Publications eligible for funding must be peer-reviewed;
- Funding requests must be submitted once the publication has been accepted;
- Publications submitted to hybrid journals will not be funded, but only those accepted at fully Open Access journals;
- Funding caps of EUR 2,000 for research articles and EUR 6,000 for monographs;
- The final version of the funded output must be deposited in an OpenAIRE-compliant repository



# How to apply?

**OpenAIRE portal: a central system for collecting and processing funding requests has been made available at the OpenAIRE Portal**

**<https://postgrantoapilot.openaire.eu/#home>**



The screenshot shows the OpenAIRE portal interface. At the top, there is a navigation bar with the OpenAIRE logo on the left and a menu with links: HOME, MANAGE REQUESTS, MONITOR, SUPPORT, and CONTACT US. Below the navigation bar, the main content area is divided into two columns. The left column is titled 'Requesting funds for post-grant FP7 publications?' and contains a paragraph explaining the service and a bulleted list of roles: Researchers, Project Coordinators, Institutions, and Publishers. The right column is titled 'Is your project eligible?' and contains a search box with a magnifying glass icon and the text 'Search...'. Below the search box, there is a note: 'If you cannot find your project in our database, do not hesitate to contact us'.

**Requesting funds for post-grant FP7 publications?**

Use this service to request and monitor funding for Open Access publishing fees as described in the **EC FP7 post-grant Open Access Pilot**.

- **Researchers:** request funding through a guided process
- **Project Coordinators:** see funding opportunities and monitor project results
- **Institutions:** claim funding on behalf of your researchers, monitor your institution's FP7 post-grant traffic
- **Publishers:** deliver information on APCs, manage invoices, monitor journal FP7 post-grant traffic

**Is your project eligible?**

Type your FP7 acronym/granted or project name to see if you can request funding for your publication

*If you cannot find your project in our database, do not hesitate to contact us*

# Early Outcomes: funded outputs

## The pilot started its operation in June 2015

- It is too early for a statistically significant analysis

## August 2015: 20 eligible funding requests collected

- 16 for journal articles and 4 for books.
- 11 requests have been approved
- an average of EUR 1,356 per article was paid to the publishers in APCs

# Open access in Horizon 2020

- OA to publications
- Open Research Data Pilot



# From a pilot on publications to an underlying principle (mandate)

## FP7

- **Green** open access pilot in 7 areas of FP7 with 'best effort' stipulation
- Allowed embargoes: 6/12 months
- **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs

## Horizon 2020

- **Obligation** to provide OA, either through the **Green** or **Gold** way in **all areas** (deposition mandatory either way)
- Allowed embargoes: 6/12 months
- **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs & **post-grant support being piloted**
- Authors encouraged to retain copyright and grant licences instead

# Your document of reference



# OA to publications mandate in H2020

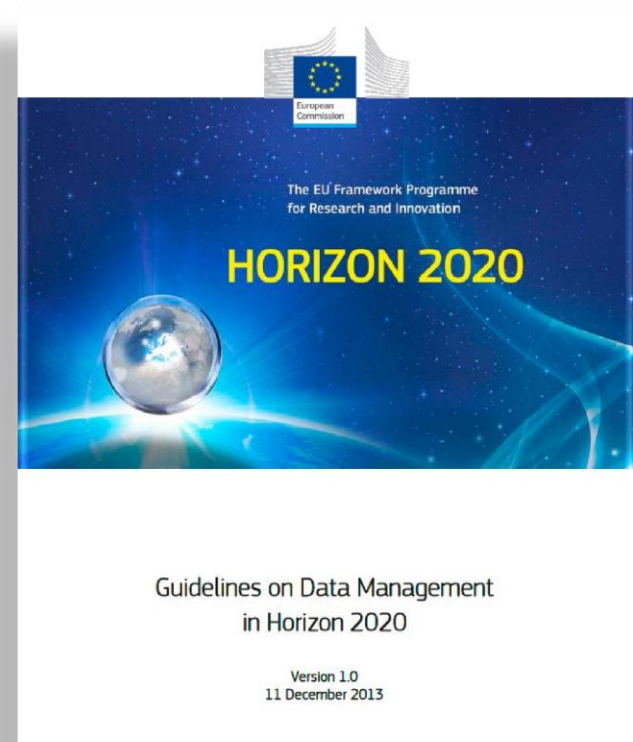
**Each beneficiary must ensure OA to all peer-reviewed scientific publications relating to its results:**

- **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 6/12 months
- **Ensure OA to the bibliographic metadata** that identify the deposited publication, via the repository
- **Aim to deposit** at the same time the research data needed to validate the results ('underlying data')

# Open Research Data Pilot in H2020

## Three key questions:

- Which thematic areas should be covered?
- What kind of data should be covered?
- What about data management?



# Areas of the work programme

- 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 may voluntary opt-in!**



# Opting out

## **Projects may opt out 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)

# What exactly?

## Types of data concerned:

- Data needed to validate the results presented in scientific publications ("**underlying data**")
- Other data as specified in Data Management Plan i.e. **up to projects!**

## 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
- **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)

**EC: Support & monitoring (Annotated MGA, specific guidance etc...)**

# Data management in Horizon 2020

## **Data Management Plans (DMPs) mandatory for all projects participating in the Pilot, optional for others**

- DMPs are NOT part of the proposal evaluation, they need to be generated within the first six months of the project and updated as needed
- All proposers to submit general information on data management - evaluated under criterion 'Impact'

### **DMP questions:**

- 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?

# A chance to co-shape policy

## Opening up research data

- The new frontier

## Ambitious, yet pragmatic design of the pilot

- Broad scope, opt-out, voluntary participation possible

## Pilot is flexible

- numerous safeguards in place

## Uptake of and experiences with the Pilot need to be monitored during the complete life cycle of a project

- from application, to grant preparation, execution and final reporting

## Aim: kick-starting a virtuous circle

## Participating in the Pilot means co-shaping European policy on opening up research data

# ORD Pilot: take-up in first calls

**Basis: 3699 H020 signed grant agreements**

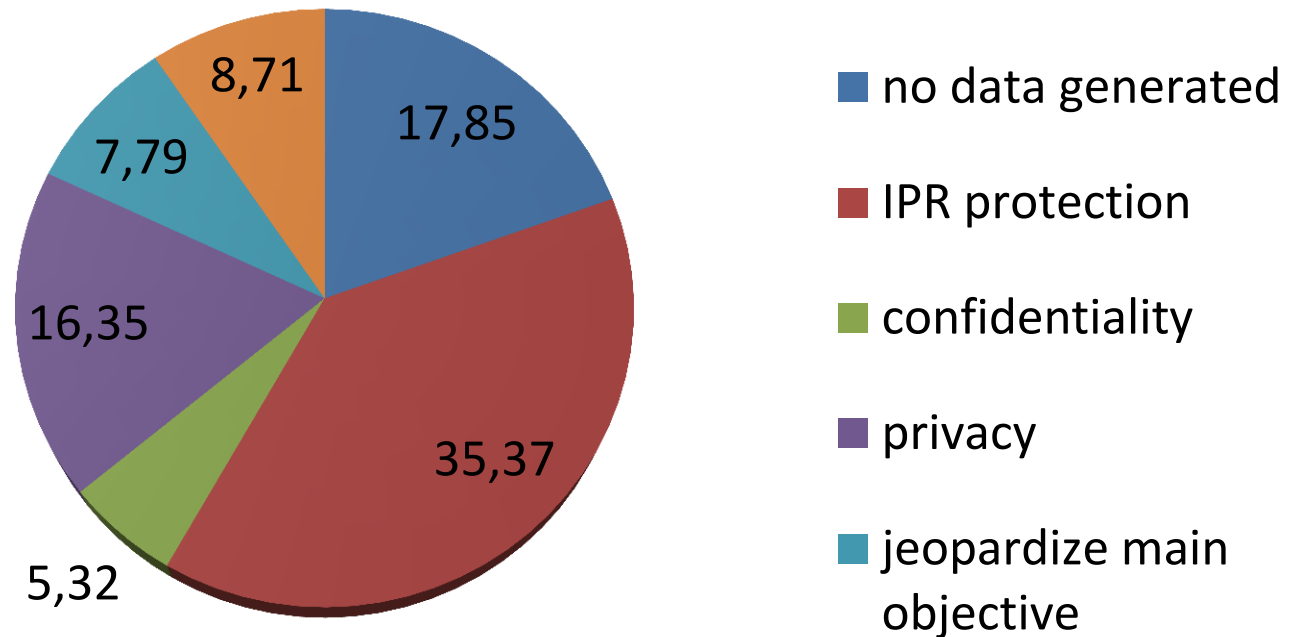
**Calls in core-areas: opt out 34,6% (149/431)**

- In other words 65,4% of projects in the core areas participate in the ORD pilot.

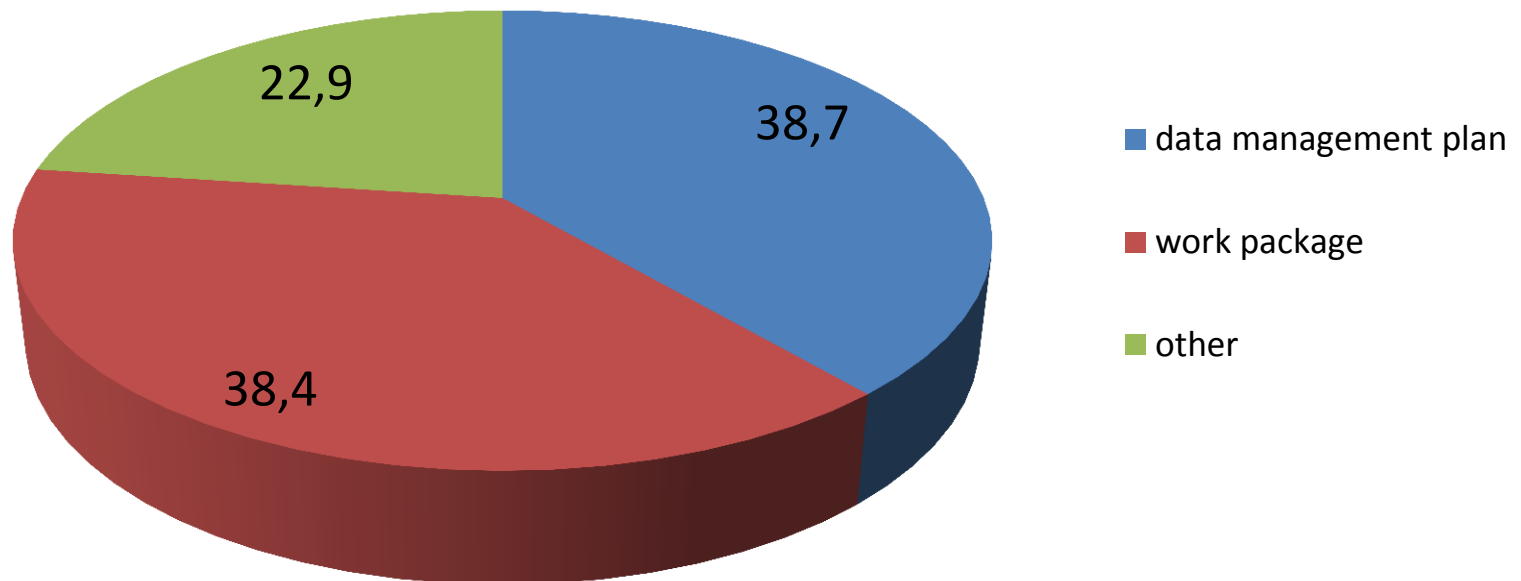
**Other areas: voluntary opt in 11,9%  
(409/3268)**

- Limited divergence from 2014 proposal figures but larger dataset used
- Note that 100% participation is not feasible or even desirable (e.g. not all projects generate data)

# ORD Pilot: opt-out reasons among proposals



# ORD Pilot: approach to data management among proposals



# In summary

**OA is recognised as a means to improve knowledge circulation and provide value for the taxpayers' money**

**OA is embedded into Open Science and Responsible Research and Innovation**

- OA is one of the pillars of the priorities of Commissioner Moedas

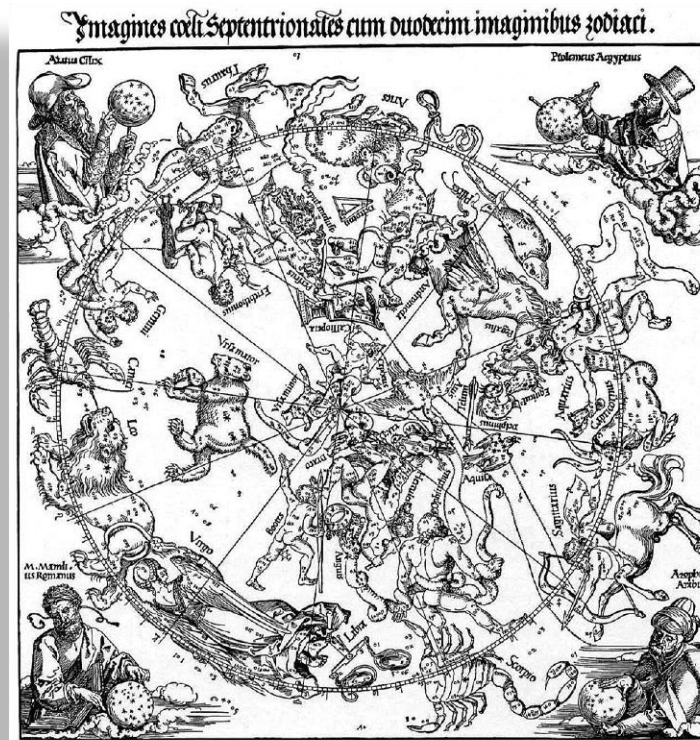
**Horizon 2020: ambitious yet pragmatic on aspects of OA**

- Open access to publications mandatory (Green or Gold)
- Limited pilot for open access to research data (opt-in/opt-out)

**Support from/for H2020: work programmes e-Infrastructure & Science with and for Society**



# Open Access in Europe and beyond



# Three key documents (16.07.2012)

**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

- Translations in all EU official languages [available](#)

# Next steps and challenges



# Getting tougher on OA

## Issues around OA are getting more technical

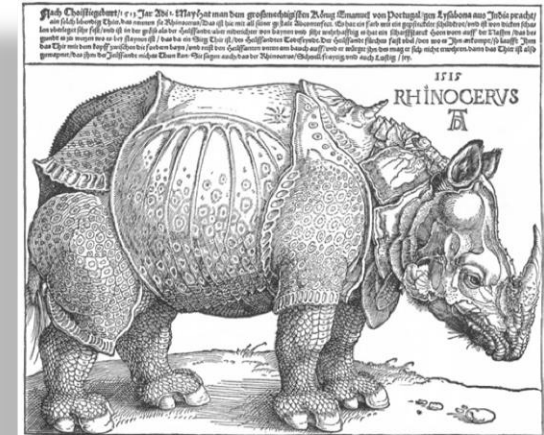
- E.g. Text and Data Mining (copyright issues), Data Management Plan etc.

## Horizon 2020 is stronger on OA

- Not about whether OA or not, but how to implement it
- Horizon 2020 co-finance projects that dig deeper into the question of open access

## EU Member States now share their experiences and views, as they welcomed OA in H2020

- E.g. National Points of Reference on scientific information



# Getting further with the FPs

**Accurately monitor OA in FP7 and Horizon 2020**

**Provide 360° support for the Open Research Data pilot**

- More training and guidance e.g. on Data Management Plan

**Adapt OA mandate and/or pilot of Horizon 2020 – or not**

- Mid-term review (2017)

**Build solid foundations for the next framework programme**



# Working together

## Get more knowledge on open research data

- Incl. European Research Cloud, FAIR data (Findable, Accessible, Interoperable, Re-usable)

## Mainstream Open Access and reach towards harmonised policies and common standards on a global scale

- E.g. [Dutch Council Presidency](#) (First semester 2016)

## Develop more and better interactions with stakeholders

- E.g. Open Science Policy Platform

## Find a European, legal solution for Text and Data Mining

- I.e. EU copyright reform

## Explore *inter alia* alternative OA publishing models and alternative metrics

- E.g. Call *GARRI.4.2015* "Innovative approach to release and disseminate research results and measure their impact"; Workshop Alternative OA Publishing models on 12 October 2015 etc.

# Thank you!

***We want to give European researchers and innovators the best conditions to do their job.***



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