Open Access in Horizon 2020: an update

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"Albert Borschette"/ CCAB-AB-2A (36 rue Froissart, 1040 – Bruxelles)

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Open access in an open science context

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

Open access as an important part of a systemic change in the modus operandi of science and research, referred to as open science

Affecting the whole research cycle and its stakeholders
Analysis

Publication

Conceptualisation

Review

Data-gathering

Open data

Open research data

Open workflows

Open code

Pre-print

Open access

Alternative Reputation systems

Citizens science

Data-intensive

Scientific blogs

Collaborative bibliographies
Member States have expressed their wish for the development of a European Open Science Agenda

- CALLS for action to remove obstacles to wide access to publicly funded research publications and underlying data;
- CALLS for actions addressing better data management and, in this context, WELCOMES the Pilot on Open Research Data under Horizon 2020;
- In the context of the implementation of the European Research Area (ERA), LOOKS FORWARD to the possible development of action plans or strategies for open science
Commissioner view

Open Science, of which Open Access is an important part, will be vital to ensuring European progress and prosperity in the future

*Speech at NETHER, January 26, 2015*

I am convinced that excellent science is the foundation of future prosperity, and that openness is the key to excellence

*A new start for Europe: Opening up to an ERA of Innovation, Brussels, 22 June 2015*
Open access in Horizon 2020

OA to scientific peer reviewed publications
  • An obligation in Horizon 2020 (gold/green)

OA to research data
  • A limited and flexible pilot in Horizon 2020
From FP7 to H2020: OA to publications from pilot to underlying principle

**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
OA in the Framework Programmes: scientific peer reviewed publications in FP7

- 42% of all publications produced during the lifetime of FP7 open access
  
  Sample: 204,011 FP7 scientific peer reviewed publications. Figures form OpenAIRE

- significant increase in recent years: 56% (2014), 58% (2015)

- The Commission is therefore on track to reach 60% open access by 2016
  
  target of 2012 Recommendation "Access to Scientific Information"

- Figures not final (FP7 not closed, publications after the end of the project)
Post grant gold OA 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 provides funding to cover the OA publishing fees for publications arising from completed FP7 projects

- administered and run as part of OpenAIRE
- 4 million euros
- started operation in June 2015 and will run for a maximum of two years (i.e. until Apr 30th, 2017) or until its budget is exhausted

Action: letter to coordinators
Eligibility (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 €2,000 for research articles and €6,000 for monographs apply for this Pilot;

- The final version of the funded output must be deposited in an OpenAIRE-compliant Open Access repository
Applying for Funding: the System

A central system for collecting and processing funding requests has been made available at the OpenAIRE Portal

https://postgrantoapilot.openaire.eu/
Open Research Data Pilot in H2020

Key questions:

Which thematic areas are covered?

What data is covered?

What are the requirements?

What about data management?
Open Research Data Pilot in H2020 (I)

Areas of the 2016-2017 Work Programme participating in the Open Research Data Pilot are:

- Future and Emerging Technologies
- Research infrastructures – (new: coverage of the whole area)
- Leadership in enabling and industrial technologies – Information and Communication Technologies
- Nanotechnologies, Advanced Materials, Advanced Manufacturing and Processing, and Biotechnology: ‘nanosafety’ and ‘modelling’ topics (new)
- Societal Challenge: Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy - selected topics as specified in the work programme (new)
Open Research Data Pilot in H2020 (II)

Cont'

- 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
- Cross-cutting activities - focus areas – part Smart and Sustainable Cities (moved from Energy WP)

Projects in other areas are encouraged to participate on a voluntary basis!
Open Research Data Pilot in H2020

Projects may opt out in a series of cases, at any stage:

- 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)

Approach: as open as possible, as closed as necessary
Open Research Data Pilot in H2020

Types of data concerned:

- Data needed to validate the results presented in scientific publications ("underlying data")
- Other data as specified in Data Management Plan (=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, guidance etc...)
Data management Plans 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 6 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?
ORD Pilot: 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
- Aim: kick-starting a virtuous circle
- 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

Participating in the Pilot means co-shaping European policy on opening up research data
ORD Pilot: take-up in first calls of Horizon 2020

Basis: 3699 Horizon 2020 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: 100% participation is not feasible or even desirable (e.g. not all projects generate data)
ORD Pilot: opt-out reasons among proposals

- No data generated: 17,85
- IPR protection: 35,37
- Confidentiality: 8,71
- Privacy: 16,35
- Jeopardize main objective: 7,79
- Other: 5,32
Ongoing coordination and support actions (FP7 funded)

**PASTEUR4OA** (Open Access Policy Alignment Strategies for European Union Research) Started 2014

**FOSTER** (Foster Open Science Training for European Research) Started 2014

**RECODE** - (Policy Recommendations for Open Access to Research Data in Europe) – 2013, finishing

**OpenAIRE** supporting the implementation of Open Access in Europe (publications and data)

**Infrastructure** projects (with OA components), e.g. GEO/GEOSS, ELIXIR, EUDAT, CLARIN etc...
We welcome your input

Twitter: @OpenAccessEC

Contacts DG RTD

Functional mailbox: RTD-OPEN-ACCESS@ec.europa.eu

Links

EC OA website
http://ec.europa.eu/research/swafs/index.cfm?pg=policy&lib=science

Open Access Resources (Netvibes – EC Central Library)
http://www.netvibes.com/open-access

Study to measure growth of OA

H2020 guidance