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Open Access Pilot in the European Commission's Seventh Research Framework Programme (FP7)

Special clause 39 on Open Access

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http://ec.europa.eu/research/science-society/open_access

July 2009





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Outline

- 1. Open access: what is it and what is at stake?**
- 2. International context / European initiatives**
- 3. Special clause 39 and pilot on open access**
- 4. Implementation of open access pilot**





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What is Open Access? (1)

Open access (OA) publications are ...

- **openly accessible at no cost**
- **over the internet**
- **for the user/reader**

Open access to what?

- **Open access can refer to any form of scientific information (publication, data, etc.)**
- **Open access pilot focuses on peer-reviewed publications in scientific journals resulting from publicly funded research**





What is Open Access? (2)

Origins of the open access debate

- **The Internet has led to unprecedented access and dissemination possibilities → access should be easier and cheaper**
- **However:**
 - **journal prices have risen considerably**
 - **new publishing business models are being debated**
 - **there is a discussion on access to research data (OECD guidelines, ERC guidelines)**

→ **Need to make the best possible use of opportunities offered by the digital revolution – perceived room for improvement**



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What is Open Access? (3)

Two main paths towards open access

- 1. Self-archiving: authors deposit the peer-reviewed manuscripts of their articles in repositories (also called open archives), to be available in open access mode, sometimes after an embargo period in order to allow publishers to recoup their investment. Self-archiving is also referred to as “green” open access.**

→ “Special Clause 39” enables a pilot action for “green” open access





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What is Open Access? (4)

Two main paths towards open access

- 2. Open access 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. Open access publishing is also referred to as “gold” open access.**

→ “Gold” Open Access already possible under FP7
(upper funding limits, Grant Agreement II.16.4)





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What is Open Access? (5)

What open access is not

- An open access requirement does not force anyone to publish. Researchers are free to publish or not.
- Open access does not interfere with a decision to exploit research results commercially (e.g. through a patent). Open access only applies once the decision to publish has been taken.

→ Frequent misperception that open access goes against commercial exploitation





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What is at stake? (1)

European Commission approach

- **Importance of access, dissemination and preservation for research: all research builds on former work, wide dissemination avoids duplication**
- **The internet has led to unprecedented possibilities which can be better exploited to promote wider access to research results**
- **Public funding bodies need to derive maximum return/impact from their investment of tax payers' money**
- **International developments: many existing policies, e. g. Wellcome Trust, NIH, Harvard University, etc.**
- **Fair remuneration for scientific publishers for the added value they bring to the scientific publication process**
- **EC has a legal foundation to improve access to research results**





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What is at stake? (2)

Views of concerned stakeholders

- **Research community, libraries:**
 - **Open access is beneficial to the research system**
 - **High and rising prices have caused access problems**
 - **Multiple payment argument**
- **Publishers:**
 - **Publishing has a cost; added value of publishers**
 - **The present scientific production system is efficient and should not be jeopardised**
 - **Ill-conceived intervention would put peer review system at risk**





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International/European developments (1)

Funding body policies

Examples:

- **2006 Deutsche Forschungsgemeinschaft (DE): OA after max. 12 months**
- **2006 Wellcome Trust (UK): OA after max. 6 months**
- **2007 Canadian Institutes of Health Research (Canada): OA after max. 6 months**
- **2008 National Institutes of Health (USA): OA after max. 12 months (legislation)**

July 2009: 39 funder mandates

University and university association policies

Examples:

- **2008 Harvard University (Arts and Sciences, Law): faculty members grant University copyright; provide copy of their articles**
- **2008 European University Association: recommends setting up institutional repositories and establishing an institutional Open Access mandate**

July 2009: 39 institutional mandates

Source: <http://www.eprints.org/>



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International/European developments (2)

Publisher/Journal policies (over 600 self archiving policies on RoMEO)

source: RoMEO service, <http://www.sherpa.ac.uk/>

Examples:

- **Nature Publishing Group:** can deposit post-print to institutional repository, 6 month embargo, must acknowledge and link to published version
- **Elsevier (Lancet publisher):** can deposit post print to institutional repository, must acknowledge and link to published version (Gold: agreements with funding bodies)
- **Springer:** can deposit post-print to institutional repository, must acknowledge & link to published version, 12 month embargo according to funder requirements (Gold: Springer open choice – 3000 USD per article)
- **British Medical Journal (BMJ) Publishing group:** can deposit post-print to institutional repository, must acknowledge & link to published version, embargo period based on funder requirements
- **Taylor & Francis:** can deposit post-print to institutional repository, 12/18 month embargo period, must acknowledge & link to published version (Gold: iOpenAccess – 3250 USD per article)



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International/European developments (3)

Open Access journals: growth over time

2002: 26

2003: 611

2004: 1220

2005: 1848

2006: 2399

2007: 2997

July 2009: 4256

Source: Directory of Open Access Journals (DOAJ)





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European Initiatives (1)

Overview of developments 2006-2009

- **April-June 2006**: Publication of “Study on the economic and technical evolution of the scientific publication markets in Europe” followed by public consultation
- **February 2007**: Communication COM(2007)56 on “Scientific information in the digital age: access, dissemination and preservation” (with DG INFSO); stakeholder conference (petition)
- **April 2007**: Communication COM(2007)161 on “The European Research Area: New Perspectives”: axis on “sharing knowledge”
- **November 2007**: Council Conclusions on Scientific Information in the Digital Age
- **December 2007**: ERC Scientific Council Guidelines on Open Access http://erc.europa.eu/pdf/ScC_Guidelines_Open_Access_revised_Dec07_FINAL.pdf
- **March 2008**: European Council Conclusions mention open access as a way of achieving “fifth freedom” (free movement of knowledge)



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European Initiatives (2)

Overview of developments 2006-2009

- **April 2008**: Commission recommendation on the management of intellectual property in knowledge transfer activities lists OA as one of the ways of managing knowledge transfer
- **August 2008**: Adoption of special clause 39 on open access
- **December 2008**: Launch of questionnaire on access to scientific information at Associated and Member State level in order to take stock of and further national and international strategies in this area
- **June 2009**: Results of questionnaire published on web; lots of initiatives at MS level, but more coherent national strategies and European level capacity-building actions are needed
- **October 2009**: ERA conference: Knowledge sharing session





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Special clause on open access (1)

Open Access Pilot in FP7: scope

- **Launched in August 2008; covers ca. 20 % of FP7 budget**
- **Pilot action based on self-archiving / “green” open access**
- **Applies to seven areas of the 7th Framework Programme:**
 - **6 month embargo: “Health”, “Energy”, “Environment”, “Information & Communication Technology” (Cognitive systems/robotics), “Research infrastructures” (e-infrastructures)**
 - **12 month embargo: “Socio-economic Sciences and Humanities” and “Science in Society”**
- **Experiment to be monitored and evaluated at regular intervals (in parallel with gold Open Access)**
- **Result of Pilot as input to determine policy for FP8**



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Special clause on open access (2)

Open Access Pilot in FP7: requirements

- **Special Clause 39 (legal basis) requires:**
 - **deposit of an electronic copy (published version or final manuscript) in an institutional or subject-based repository at moment of publication**
 - **best efforts to ensure that this electronic copy becomes available "open access" (freely and electronically available to anyone):**
 - **immediately if the publication is published "open access", or**
 - **within 6 or 12 months of publication, depending on area**





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Implementation (1)

- **Applies to all new FP7 grant agreements signed after 20 August 2008 in the specific research areas**
- **Applicable during project and after project end**
- **Where will publications go?**
 - **Institutional (university) or subject-based repositories that will be accessible via a portal**
 - **If no repository available: Commission will provide temporary repository to store 'orphan' publications**
- **Repository listings:**
 - **OpenDOAR <http://www.opendoar.org/> (Worldwide Directory of Open Access Repositories)**
 - **Registry of Open Access Repositories (ROAR) <http://roar.eprints.org/index.php>**
- **Support for technical implementation and monitoring of pilot initiative via call for proposals by DG Information Society and Media – grant agreement to be signed with consortium autumn 2009**



Implementation (2)

What does "best effort" mean?

- **"Best effort" formulation strongly encourages researchers and publishers to comply while guaranteeing scientific and academic freedom**
- **Making "best efforts":**
 - **Seeking information on publishing models and copyright/licensing policies of the journal(s) to which authors plan to submit (e.g. via ROMEo <http://www.sherpa.ac.uk/romeo/>)**
 - **If publishers' policies do not allow compliance with grant agreement, authors should negotiate an amendment or request an authorisation to self-archive within the specific embargo period**
 - **If negotiations are unsuccessful, researchers should consider submitting to another journal**
 - **Supporting documents (IPR guidelines, model letter and amendment to publishing agreement available online**
 - **If they cannot comply with special clause, beneficiaries should inform the Commission and provide publisher's letter of refusal**



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