Open access policies and requirements in Horizon 2020

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Why do we do that?

To optimise the impact and re-use of publicly-funded scientific research

Expected benefits:

• Better and more efficient science
• Economic growth
• Broader, faster, more transparent and equal access for the benefit of researchers, industry and citizens in the EU and beyond
Who are we to do so?

**We are a funding agency**
- The EC sets its own rules for EC-funded scientific research and innovation

**We are a policy maker**
- The EC proposes EU legislation
- It legislates with other Community institutions (European Parliament, Council...)  
- It invites Member States to act

**We are a capacity builder**
- The EC funds projects that support its own and EU policy
How do we do it?

**Horizon 2020**
- Requirements for open access to publications and data
- Funding for the uptake of such policies in MS
- Funding for the development interoperable infrastructures that support open access and open science at the European level (primarily through the RI WP)
- Building on investments in infrastructures to develop the European Open Science Cloud (EOSC), a trusted virtual environment to enable data driven science across boundaries and disciplines (work in progress) [https://www.eosc-portal.eu](https://www.eosc-portal.eu)

**2012 Recommendation on Scientific Information**
- Reports from National Points of Reference
- Upcoming review of the 2012 Recommendation in Spring 2018

**2016 Council Conclusions**
- Support for OA publications, data re-use & data management

**Stakeholders and expertise**
- Open Science Policy Platform, expert groups...
Are we isolated?

There are other robust policies around the world

- Strong US OA mandate for federally funded research (agencies with budget of over 100 million €), most notably NIH
- Strong green open access mandate in Latin America (SCIELO)
- Strong open access policies also in Canada, Australia and Japan
- Developing policies in other countries, e.g. China, Russia...

Key private funders also have robust mandates e.g. the Wellcome Trust, the B&M Gates Foundation...

The EC did not invent Open Access ;-)
Open Access in the FPs

2008
FP7
OA Pilot
Deposit and open access

2014
H2020
OA Mandatory
Deposit and open access

& ORD/DMP Pilot

2017
H2020
OA Mandatory
Deposit and open access

&DMP + FAIR data Mandatory

& ORD/DMP by default (opt-out)

2020
Horizon Europe
OA Mandatory
Deposit and open access

OD by default (opt-out)
& Open Science embedded
Requirements in Horizon 2020 for publications and data
"H2020 is forcing me to publish!"

**MISCONCEPTIONS ABOUT OPEN ACCESS**

**OPEN ACCESS IS NOT A REQUIREMENT TO PUBLISH**
In Horizon 2020 researchers are free to publish or not.

**OPEN ACCESS DOES NOT AFFECT THE DECISION TO EXPLOIT RESEARCH RESULTS COMMERCIALLY,**
e.g. through patenting.

- The decision whether to publish through open access comes after the more general decision on whether to publish directly or to first seek protection.

- It is important to stress that open access publications undergo the same kind of peer review process as subscription publications.
Scientific publications in H2020 (Art. 29.2)

*The rule: mandatory deposit and open access to peer-reviewed publications*

*What to do?*
  - *Publish, deposit and open access!*
In summary, for publications

- Open access mandatory either through a repository or directly by publishing in open access

- Depositing in a repository is mandatory either way you proceed
What about data in Horizon 2020?

**CHALLENGE**

Wider access to scientific facts and knowledge helps researchers, innovators and the public find and re-use data, and check research results:

- **offers better value for EU research funds**
- **a public benefit**
- **encourages research across scientific fields**
- **essential for solving today’s complex societal challenges**

**SOLUTION**

Horizon 2020 already mandates open access to all scientific publications

From 2017, research data is open by default, with possibilities to opt out
Research data in H2020 (Art. 29.3) 
a.k.a. the Open Research Data Pilot (ORD)

Not so much a pilot any more! By default in!
• unless exception in WP

Addresses two things at once
• Open access to research data- ‘as open as possible, as closed as necessary’!=
  • Targeted primarily towards data underlying publications (other data as specified in Data Management Plan)
  • Opt-out options for IPR, confidentiality/privacy and security reason as well as if OA runs against the main objective of the project. Opt-out does not affect evaluation.

• Streamlining Research Data Management (RDM) as a standard practice through Data Management Plans (DMPs)- required as deliverable
  • Aim: FAIR data

Costs for open access to research data fully eligible
What is FAIR data?
"It's complicated"

Yes and no.

• Started off with concept of 'open access to research data', connected to the 'accessibility' part of FAIR (A = Accessible)
• Moved towards research data management with the ORD pilot (which also covered further aspects)
• We now consider openness as one component of FAIR data and aim to gradually address all of the FAIR aspects

• Key document: Data Management Plan (DMP)
What is required in Horizon 2020?

HORIZON 2020 GRANTEE ARE REQUIRED
- take measures to ensure open access to the data underlying their scientific publications
- provide open access to any other research data of their choice
- Horizon 2020 grantees are encouraged to also share datasets beyond publication

PROJECTS MUST HAVE
- DATA MANAGEMENT PLAN (DMP)
  - Provides information on:
    - the data the research will generate
    - how to ensure its curation, preservation and sustainability
    - what parts of that data will be open (and how)
  - Data management costs are fully eligible for funding
  - No repository imposed: deposit data where you want
"H2020 is forcing me to disclose all of my results!"
Conclusion: challenges & tools

Open access to publications
  • Reinforced monitoring & incentives
  • Authors: care for your papers!

Open access to research data
  • Mainstreaming FAIR data requires a change in scientific culture
  • Yes to 'excellence' in research but no to DMP: seriously?

Tools to further develop/adapt policy
  • Open Science Policy Platform (OSPP)
  • Commission Expert Groups on FAIR data, on Future of scholarly communication, on New Generation Metrics
  • Continuing dialogue & cooperation with Member States
  • More adapted metrics / reward academics for sharing results!
Participant Portal: online guide on open access
Resources

Participant Portal: FAQs on open access

Frequently Asked Questions (FAQ)

Those pages are updated with the answers to the most frequent questions that have been submitted to the Horizon 2020 Helpdesk, IT Helpdesk, Call Coordinators and H2020 NCP correspondents.

Active (15)  Archived (0)

Are the open access related rules that apply to ERC grantee any different from those that apply to researchers funded under the rest of Horizon 2020?

Indeed, although most of the rules applicable to other researchers funded under Horizon 2020 also apply in the same way to researchers funded by the ERC, there are a number of differ... read more...

What do applicants need to do to prepare for the open access requirement in the proposal submission stage?

All actions in Horizon 2020 require a description of the knowledge management and/or dissemination provisions of the proposed projects, including provisions to be made for open access... read more...

Where can I find more information about the Horizon 2020 open access policy for scientific publications?

Detailed information is available in the H2020 online manual in the Participant Portal. read more...
Open Access Week 2018
October 22 - 28

OpenAIRE joined forces with the FOSTER project for a set of interactive webinars.

Openaire and helpdesk. Ask questions!!! Get resources!!!
Thank you!

http://ec.europa.eu/research/openscience/index.cfm?pg=home