Science with and for Society

Policy Brief

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Open Access Policies of the European Commission: Towards open science

SUMMARY

This briefing paper aims to acquaint research stakeholders with the Open Access requirements of FP7 and Horizon 2020. To do so, the brief provides a concise overview of open access: definition, benefits, policies and practices, the EU framework (key European initiatives, Horizon 2020), along with useful online resources. In short, Horizon 2020 mandates open access for all peer-reviewed publications through repositories, and mandates open access to research data produced by projects in nine different areas of the new working programmes in 2016-2017 through the Open Access to Research Data Pilot programme.

What's in it for me? I am……

A researcher: Horizon 2020 requires open access and therefore there is specific information that you should know ahead of time, in order to comply. Beyond this, it is very good for your own research, as shown below.

A National Contact Point: Researchers must comply to specific requirements with regard to Open Access in Horizon 2020, and you should be able to direct them.

University administration: Learn about the benefits of open access and the current developments. In all likelihood your researchers will need to comply with Horizon 2020 requirements and you should facilitate this process.

A national funder: The European Commission recommended that Member States develop national open access policies and infrastructures for access to publicly funded research. The context provided below gives you the background.

What is Open Access?

Open access is the practice of providing online access to scientific information (articles, monographs, research data) that is free of charge to the reader, and licensed so that it can be reused and exploited by researchers, the industry, and citizens.

How do I provide open access to my research?

Researchers may provide open access to their research (primarily publications and research data) in two main and complementary ways: by publishing in open access journals and monograph series and/or by archiving their work (self-archiving) in structured and interoperable archives called open repositories. These can be institutional, that is maintained by a research institution to serve its own outputs, or subject-based, community maintained thematic repositories, such as ArXiv, for physics and related disciplines. Open access publishing is often referred to as 'the gold route', while self-archiving as 'the green route' to open access.

While publishing in open access is a choice for a researcher, who may choose to publish in an open access venue or a subscription venue, providing open access through self-archiving at publication time is acquiring increasing importance as it is becoming a standard requirement by funders, including the European Commission.

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Open access in FP7 and HORIZON2020

Open Access to publications was initially implemented as a pilot action in select areas within FP7 (under the FP7 Open Access Pilot), with the obligation, on the side of the researcher, to demonstrate 'best effort' to provide open access. In Horizon 2020, Open Access to peer-reviewed publications is mandatory for all projects. Researchers may publish in the venue they wish, but the publications must be made openly accessible through a repository at the time of acceptance, and no later than 6 months after publication or 12 months for SSH fields. Moreover, an Open Research Data Pilot requires open access to research data for all projects in nine specific areas of Horizon 2020. Projects in these select areas can totally or partially opt-out for a variety of reasons specified in the guidelines of the EC, and projects from other areas outside the pilot can opt-in. Horizon 2020 requires a data management plan (DMP), a dynamic document to be revised in the lifetime of the project, to be submitted as a deliverable in the first six months of the project. A DMP describes how data will be managed during its entire lifecycle, from inception to preservation.
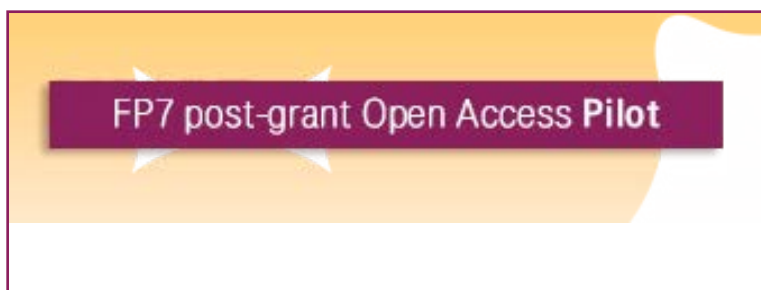
Areas participating in the Open Research Data Pilot in the 2016-2017 Work Programme

1. Future and Emerging Technologies
2. Research infrastructures
3. Leadership in enabling and industrial technologies – Information and Communication Technologies
4. Nanotechnologies, Advanced Materials, Advanced Manufacturing and Processing, and Biotechnology: 'nanosafety' and 'modelling' topics
5. 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
6. Societal Challenge: Climate Action, Environment, Resource Efficiency and Raw materials – except raw materials
7. Societal Challenge: Europe in a changing world – inclusive, innovative and reflective Societies
8. Science with and for Society
9. Cross-cutting activities - focus areas – part Smart and Sustainable Cities

What are the benefits of open access?

- Open Access improves the speed, efficiency and efficacy of research as researchers no longer need to spend time seeking out papers that their library does not subscribe to, nor waste time going into dead-ends or duplicating research of which they are unaware because they cannot access the right journals.

- Open Access increases the visibility, usage and impact of research and allows the professional, practitioner and business communities, and the interested public, to benefit from research.

- Open access spurs innovation by enabling research intensive institutions and SMEs to develop innovative products faster.

- Open Access helps create new paths for research and new knowledge by enabling interdisciplinary research and new forms of research, such as machine-intensive Text and Data mining research

- Funding agencies, universities and research institutions monitor the quality and transparency of the research process, the return on investment on research, while they benefit from increased visibility at a national and at an international level. They can also adopt new models for research assessment thanks to alternative metrics.

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The FP7 post-grant Open Access Publishing Funds Pilot

The EC has recently launched a Pilot to fund OA publications for finalized FP7 projects through OpenAIRE. The post-grant Open Access Pilot provides an additional instrument to improve access to research results from FP7 projects, but does not affect authors' choice on how their project publications are made Open Access. In a first phase the Pilot covers Open Access APCs for publications arising from FP7 projects finished no longer than two years ago at funding submission time. A maximum of three publications per FP7 project can be funded (document types include research articles (this also includes data papers and software papers), monographs, book chapters, and conference proceedings. Funded publications must be peer-reviewed and be made available under an open content license, as well as meet be piloted for non-APC Open Access journals.

PRACTICAL RESOURCES FOR NCPS AND RESEARCHERS

EC HORIZON 2020 GUIDELINES FOR OPEN ACCESS TO FUNDED WORK

Guidelines for open access to scientific publications and research data in Horizon 2020

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

Guidelines to data Management in Horizon 2020

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

FAQ on open access in Horizon 2020

http://ec.europa.eu/research/science-society/document_library/pdf_06/background-paper-open-access-october-2012_en.pdf

Open Access Factsheet Horizon 2020

https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/FactSheet_Open_Access.pdf

PRACTICAL INFORMATION FOR NCPs AND RESEARCHERS

Find out about publishers' self-archiving permission policies

SHERPA/RoMEO (www.sherpa.ac.uk/romeo) – a searchable database of publishers' copyright and self-archiving policies

EU's open access eInfrastructure (discover open access research funded by the European Commission) www.openaire.eu

Discover open access journals to publish in

DOAJ (www.doaj.org) – The directory of open access Journals

Discover open access books and open access book publishers

DOAB (www.doabooks.org) – Directory of open access Books

Locate open access repositories

OpenDOAR (www.opendoar.org) –directory of open access repositories

Locate open access research data repositories

www.re3data.org -the registry of open access research data repositories

Locate OpenAIRE compliant repositories

www.openaire.eu/search/data-providers

If institutional repository not available, deposit your research with

https://zenodo.org