



# **A European Policy on Open Access and its implementation in Horizon 2020**

**José C. Cotta**

**Head of Unit 'Digital Science'**

**Directorate-General for Communications Networks, Content & Technology (DG CONNECT)**

**1 May 2013 - STM Spring Conference 2013  
Proactive Scholarly Publishing: New Business Models, Partners  
and Customer Relationships**

# What is Horizon 2020?

**70.2 after Council scrutiny**

- **Commission proposal for a ~~80~~ billion euro research and innovation funding programme (2014-2020)**
- **A core part of Europe 2020, Innovation Union & European Research Area:**
  - **Responding to the economic crisis** to invest in future jobs and growth
  - **Addressing people's concerns** about their livelihoods, safety and environment
  - **Strengthening the EU's global position** in research, innovation and technology

# What's new?

***A single programme*** bringing together three previously separate programmes/initiatives\*

***More innovation***, from research to retail, all forms of innovation

***Focus on societal challenges*** facing EU society, e.g. health, clean energy and transport

***Simplified access***, for all companies, universities, institutes in all EU countries and beyond.

*\*The 7th research Framework Programme (FP7), innovation aspects of Competitiveness and Innovation Framework Programme (CIP), EU contribution to the European Institute of Innovation and Technology (EIT)*

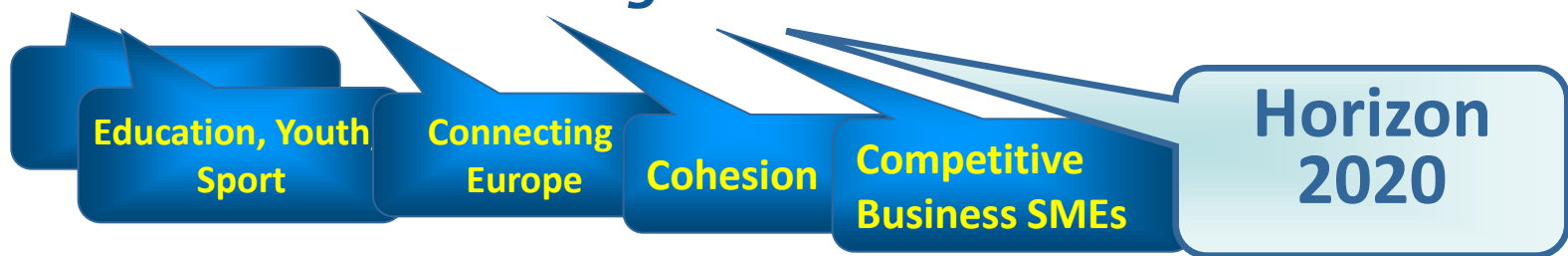
## **But - The goals have not changed**

- Growth, Jobs & Competitiveness
- Better articulation of research and innovation
- Seamless funding from idea to market

# Horizon 2020 in the context of the Multiannual Financial Framework 2014-2020

**Key challenge: stabilise the financial and economic system while taking measures to create economic opportunities**

## ***1. Smart & inclusive growth***



## ***2. Sustainable growth, natural resources***

## ***3. Security and citizenship***

## ***4. Global Europe***

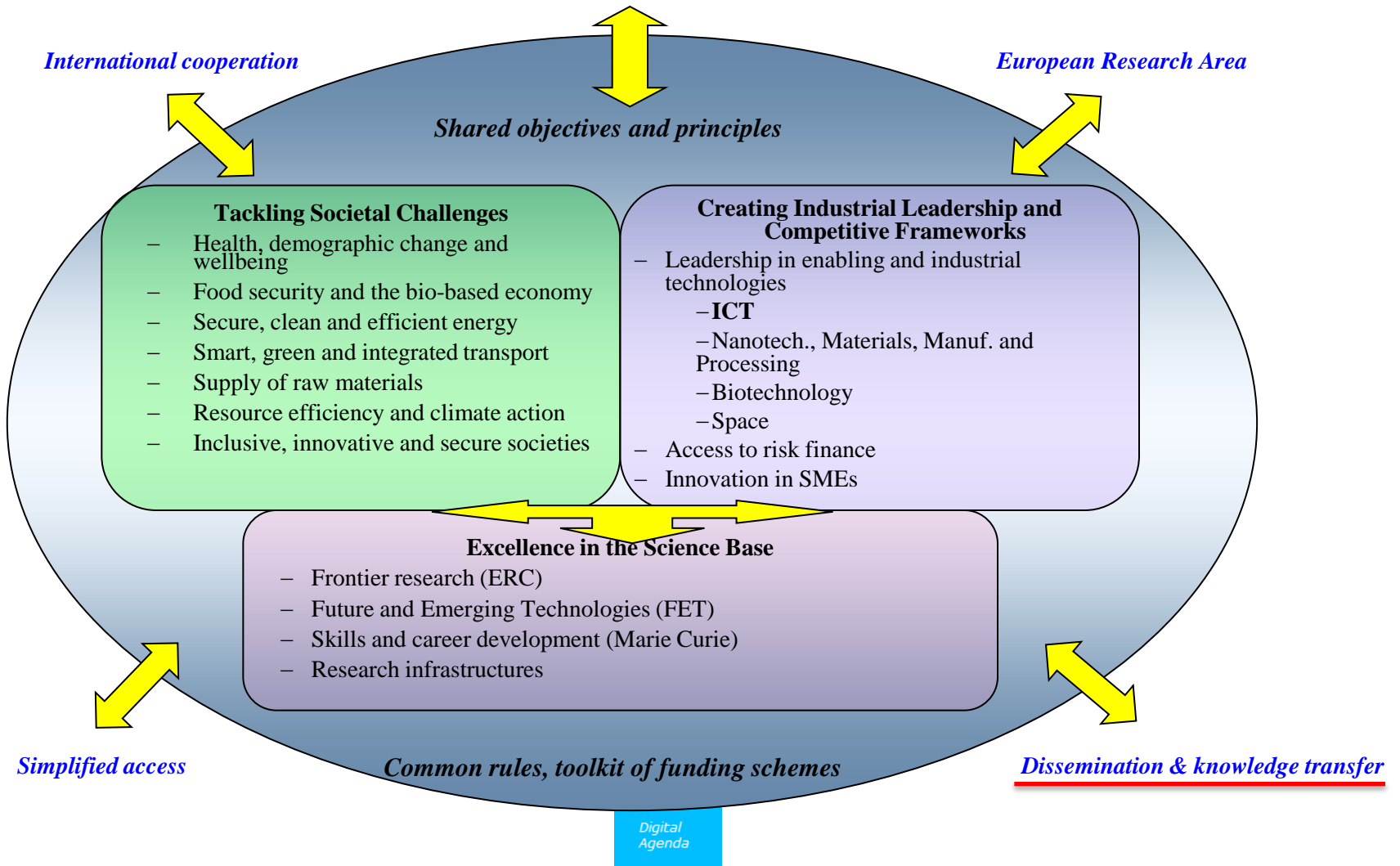
## ***5. Administration***



European  
Commission

# Objectives and structure

*Europe 2020 priorities*



# Policy objective

***To optimise the impact of publicly-funded scientific research***

- At European level (Framework Programmes)
- At Member State level

## ***Expected impacts:***

- Economic growth (accelerated innovation)
- Better & more efficient science (build on previous results, avoid duplication)
- Improved transparency (involving citizens & society)

# Open access to scientific information: a way to get there

***Open access (OA) = online access at no charge to the user***

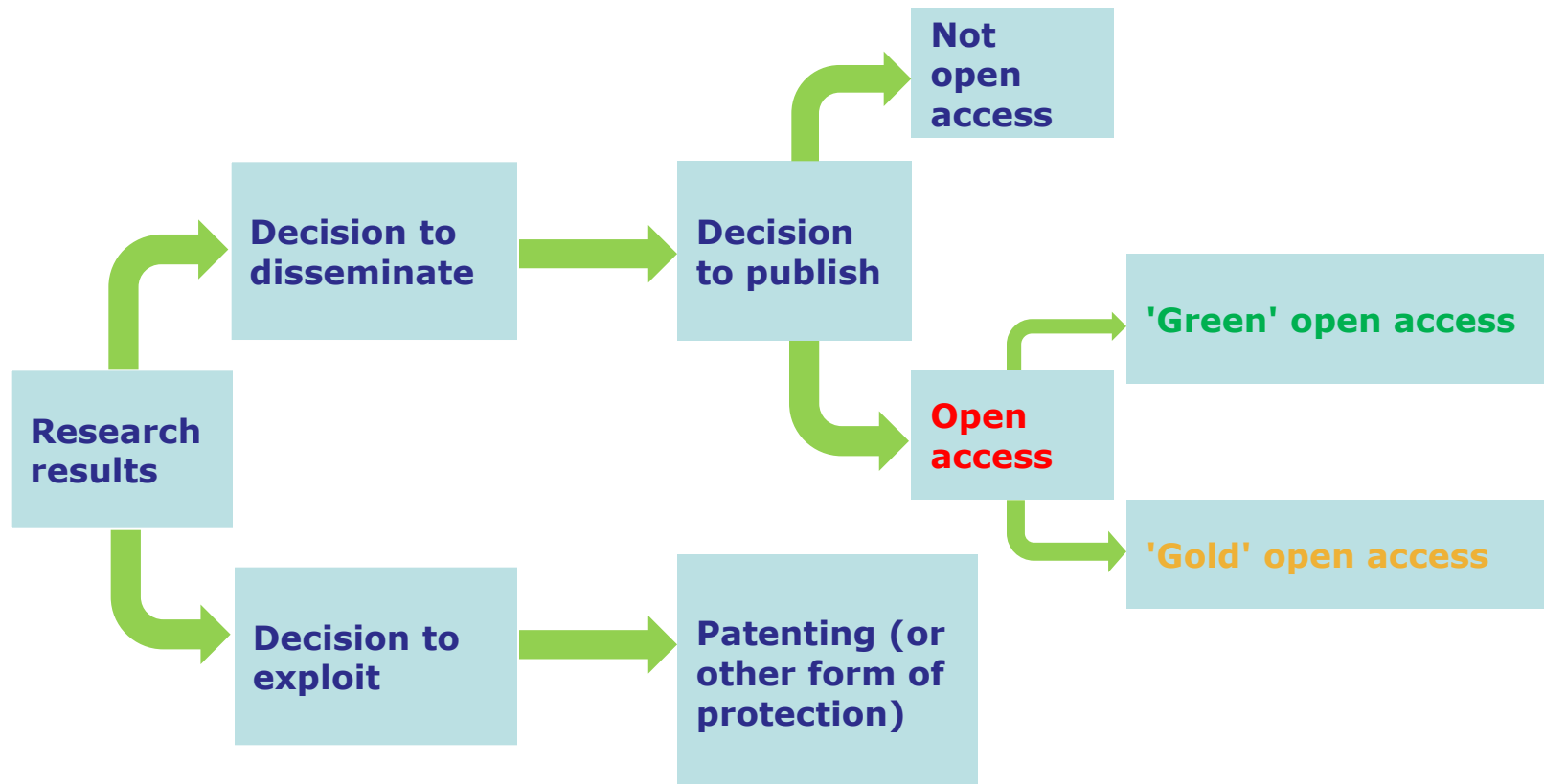
- to peer-reviewed scientific publications
- to research data

## ***Expected impacts of OA:***

- Results of publicly funded research can be disseminated more broadly for the benefit of researchers, industry and citizens
- Equal access across Europe and beyond
- Drive down the costs of dissemination without sacrificing quality



# Dissemination and Exploitation of research results





European  
Commission

# EU politics are complicated...



<http://ec.europa.eu/>



<http://consilium.europa.eu/>



<http://europarl.europa.eu/>

# ...aren't they?

## The College of Commissioners



## Digital Agenda



Neelie Kroes

## Research & Innovation



Máire Geoghegan-Quinn

# The European Commission is a...

## ***Policy maker***

- Proposes EU legislation
- Legislates with other EU institutions
- Invites Member States to act

## ***Funding agency***

- Sets access and dissemination rules for EC-funded research
- Research Framework Programmes (next: Horizon2020)

## ***Capacity builder***

- Funds infrastructure projects relevant for open access and Digital Science
- Funds projects that support EC policy



# Key open access policy steps

## 2007:

- EC Communication on scientific information in the digital age
- Council Conclusions on scientific information in the digital age

## 2008: Open Access Pilot in FP7 (publications)

## 2009: OpenAire platform launched (OA Infrastructure supporting FP7 Pilot)

## 2010: Flagship Initiatives: Digital Agenda and Innovation Union

## 2011: European Commission Proposals for Horizon 2020

## 2012:

- EC Scientific Information package (Communication & Recommendation to Member States)
- EC Communication on the European Research Area (ERA)

# Open access in FP7

2007: Communication and Council Conclusions

2008 OA to publications Pilot in FP7

- 7 areas (>1300 projects to date); 20% of FP7 budget (2007-2013)



OA publishing costs are eligible in FP7

- Since the beginning of FP7, for all projects
- Limited to duration of project

OpenAIRE

- EU-funded portal connecting repositories across Europe (implements FP7 OA Pilot)





# Scientific information package

- Two texts adopted on 17.7.2012:

**Commission Communication (COM(2012)401)** "Towards better access to scientific information: Boosting the benefits of public investments in research"

→ announces actions in Horizon 2020

- for publications
- for data

**Commission Recommendation (C(2012)4890)** on access to and preservation of scientific information

→ suggests actions for the MS

Adopted together with ERA Communication **"A Reinforced European Research Area Partnership for Excellence and Growth"**

# What is proposed for OA to publications in Horizon 2020?

## ***OA Pilot in FP7***

- 'Best effort' to provide OA
- 7 areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months

Green and  
gold OA

## ***OA mandate in H2020***

- Obligation to provide OA
- All areas
- Peer-reviewed publications
- Allowed embargos: 6/12 months



## ***OA publishing costs***

- Eligible while project runs

Gold OA

## ***OA publishing costs***

- Eligible while project runs



# What is proposed for OA to data in Horizon 2020?

- Pilot on open access to research data to be developed during 2013
- Will take into account data protection, security issues, commercial interests, IP protection
- Process: internal and external consultations, stakeholders and Member States



**Digital Science**



**Horizon 2020: A future-friendly  
programme**

# The role of publishers in the digital age

- **Remain key partners** (together with universities, libraries, researchers and research funders) in improving and optimising the scientific information system
- **Develop new business models** for scientific publishing (gold, green, platinum/premium, OA books, others?)
- **Create other new services** for science and research in the digital age (ex: CABI's plantwise Global Programme)

## In summary ...

- **Open access & related measures:** a means to improve knowledge circulation and thus innovation in Europe.
- **Open access to publications:** a general principle in H2020. Both **Green** and **Gold** open access models are promoted.
- **Open access to data / open data:** a pilot will explore possibilities.
- **Beyond open access:** creating incentives and a culture of sharing
- **Open access policy** is not a goal in itself, but rather a piece of the digital science puzzle

## In the words of Vice-President Kroes:

*"We spend hundreds of billions of euros on research in Europe and we need to make sure the results can have the largest possible impact ... The EU is placing European science as a global leader and giving taxpayers the value for money they deserve."*

17 July 2012 press  
conference



# In the words of Commissioner Geoghegan-Quinn:



*"Open access will ... boost Europe's innovation capacity and give citizens quicker access to the benefits of scientific discoveries."*

*September 2012  
ERA Stakeholders meeting*



# Thank you for your attention!

**José C. Cotta**

**[jose.cotta@ec.europa.eu](mailto:jose.cotta@ec.europa.eu)**