

# EU's OpenAIRE project on Open Access





FP7-Infrastructures

The 5th Annual Munin Conference on Scientific Publishing 2010
"Open Access – The Competitive Advantage"
Tromsø, November 25th 2010
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## EU and Open Access

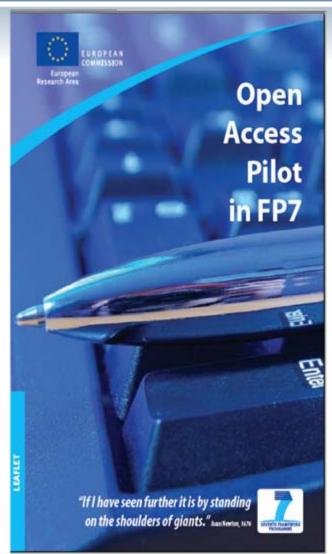
- As all research and innovation builds on earlier achievements, an efficient system for broad dissemination of and access to research publications and raw data can accelerate scientific progress. This in turn is essential for Europe's ability to innovate, to enhance its economic performance and improve its capacity to compete through knowledge on a global scale.
- Open access can boost the visibility of European research, give researchers access to a wider body of research literature that can be built upon for future developments, and offer small and medium sized enterprises access to the latest quality research for exploitation which will speed up commercialisation and innovation. Developing nations and institutions who cannot afford costly journal subscriptions can use open access to provide equal learning opportunities to their researchers, thereby increasing the possibility for new scientific discoveries.
- O By helping researchers to disseminate their research results to the broadest possible audience, open access generates a broader scientific debate and can trigger the interest of the wider public and of industry. This can in turn open new avenues to the commercialisation of research results, especially for taking them beyond national borders.



- Habermas: Increase democracy by bringing science back into the public sphere
- O Houghton: Increase the return on investment in science through Open Access
- The Habermas-Houghton combined position, shared by the EU:
  - Open Access is ethically good
  - Open Access is economically sound
    - Let's do Open Access!



### FP7 OA Pilot



- The European Commission launched the open access pilot in August 2008 in seven thematic research areas and it will run until the end of FP7:
  - Energy
  - Environment (including Climate Change)
  - Health
  - Information and Communication Technologies (Cognitive Systems, Interaction, Robotics)
  - Research Infrastructures (einfrastructures)
  - Science in society
  - Socio-economic sciences and the humanities
- This covers about 20 % of funds in FP7
- Special clause 39 on Open Access in project contracts



# Why an OA Pilot in FP7

- Through FP7, the Commission is investing, between 2007 and 2013, over € 50 billion in research and expects to get the best possible return on this investment.
- The open access pilot [...] will test, until the end of FP7, giving open access to research publications resulting from EU-funded research as a possible model for broader application under the next research programme, and also in the Member States.



# ERC OA guidelines

The ERC (European Research Council) requires that all peer-reviewed publications from ERC-funded research projects be deposited on publication into an appropriate research repository where available, such as PubMed Central, ArXiv or an institutional repository, and subsequently made Open Access within 6 months of publication.



## Special Clause 39

- O In addition to Article II.30.4, beneficiaries shall deposit an electronic copy of the published version or the final manuscript accepted for publication of a scientific publication [...] published before or after the final report in an institutional or subject-based repository at the moment of publication.
- O Beneficiaries are required to make their best efforts to ensure that this electronic copy becomes freely and electronically available to anyone through this repository:
  - immediately if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or
  - within [X1] months of publication.



#### "Best effort"

- "Best effort" formulation strongly encourages researchers and publishers to comply while guaranteeing scientific and academic freedom
- Details to researchers on how to fulfill 'best effort' to be provided in FP7 IPR Guidelines
- Making "best efforts":
  - Seeking information on publishing models and copyright/licensing policies of the journal(s) to which authors plan to submit [...]
  - 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
  - If they cannot comply with special clause, beneficiaries should inform the Commission and provide publisher's letter of refusal



#### The contracts

- Many publishers require authors to sign an agreement by which authors transfer their copyrights to publishers and thereby exclude publication elsewhere. This type of agreement may also limit authors' rights to deposit articles into openly accessible repositories (open archives) upon publication.
- The obligations defined in the EC grant agreement are **not** affected by any subsequent publication (or other) agreement [...]. It is **the participants' responsibility to ensure that any subsequent agreement** they might enter into with a publisher **does not conflict with the EC grant** agreement provisions



# The OpenAIRE project

- OpenAIRE =
  Open Access Infrastructure for Research in Europe
  - O Goals:
    - To create a technical infrastructure that enables
      - researchers to fulfil their obligations with regards to
         OA
      - o the EU to monitor how researchers fulfil their obligations
    - To create an information infrastructure to help and support researchers in their endeavours to fulfil their obligations



# The project

- O December 2009–November 2012
- **Ö** Budget EUR 4,953,203
  - EU funding EUR 4,169,927
- All EU member states (except Luxembourg)
  - Plus Norway
    - University of Tromsø represents Norway on behalf of NORA (Norwegian Open Research Archives)



## Technical infrastructure

- A portal for making all funded publications available
  - Content mainly to be harvested from existing repositories
    - Creation of necessary metadata structures
    - Implementing harvesting from all repositories
- An orphan repository
  - For researchers without access to an institutional or relevant subject-based repository



## Information infrastructure

- National Open Access Desks
  - National helpdesks in all participating countries
    - A common ticketing system and knowledge database
  - Information activities on the OA Pilot and OpenAIRE
    - Raising awareness about the OA Pilot, Special
       Clause 39 and how to comply
  - Co-operation with other institutions to ensure efficient depositing and harvesting mechanisms



## In Norway

- O General rule: Depositing through CRIStin (Frida)
  - Mechanism for depositing in place since 2006
    - O Little use so far, but very efficient for those who exploit it
  - Generally, libraries take responsibility for checking out publishers policies
  - Today, only a handful of institutions have this possibility
    - CRIStin will be mandatory for almost all research in Norway from 01.01.2012
    - Mandatory for all HE institutions from 01.01.2011
- Repositories get metadata and full-text from CRIStin
- Repositories are harvested by NORA
- Metadata and full-text further exported by NORA to DRIVER and then to the OpenAIRE portal



## Norway cont.

- Data structures and data input functionalities not fully implemented yet in repositories
- Harvesting partially complete, but new data not tested
- Will be operational during 2011
- There are a number of scientists that do not have an IR, they have to rely on the orphan repository
  - Registration of information both in CRIStin and in the orphan repository



#### More information

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