



# 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  
Jan Erik Frantsvåg, Open Access Adviser



# 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.
- 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
  - 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 (e-infrastructures)
  - 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

- 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.
- *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 **A**ccess **I**nfrastructure for **R**esearch in **E**urope
- Goals:
  - To create a technical infrastructure that enables
    - researchers to fulfil their obligations with regards to OA
    - 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

- December 2009–November 2012
- 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

- General rule: Depositing through CRISTin (Frida)
  - Mechanism for depositing in place since 2006
    - 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

- Project website  
<http://www.openaire.eu/>
- Norwegian NOAD
  - e-mail [openaire@list.uit.no](mailto:openaire@list.uit.no)
  - phone
    - Jan Erik Frantsvåg (+47) 77 64 49 50
    - Leif Longva (+47) 77 64 62 55
- NORA wiki: [www.openaccess.no](http://www.openaccess.no)