Horizon 2020 Mandate on Open Access to Publications
Acknowledgment

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Overview

1. From FP7 to H2020
2. Summary of requirements
3. Practical implementation
How was Open Access implemented in FP7?

• General framework: EC and ERC Guidelines
• **Special Clause 39** in Grant Agreements
  - Best effort to achieve open access to publications
  - Choice between the two routes: GREEN and GOLD OA
  - Deposit in repository is obligatory (through author or publisher)
  - Maximum embargo of 6 months (science, technology, medicine) and 12 months (humanities and social sciences)
• Support provided by OpenAIRE, IPR Helpdesk, others
• Support activities developed during the running of FP7
Monitoring OA policies

SC39 in FP7

FP7 OA pilot evaluation

Publications of FP7 projects with SC39 breakdown per access mode:
- Open Access: 53.45%
- Closed Access: 42.04%
- Restricted: 3.93%
- Embargo: 0.56%
- Other: 0.02%
What changes in Horizon2020?

• Update of Guidelines
• New clauses in Grant Agreements
  - OA to publications is mandatory for all projects
  - OA to data piloted for 7 selected areas
• Member States are requested to develop and align national OA policies and infrastructures
Grant Agreement: § 29.2 Open access to scientific publications

Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results.

In particular, it must:

(a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

(b) ensure open access to the deposited publication — via the repository — at the latest:
   (i) on publication, if an electronic version is available for free via the publisher, or
   (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.

(c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.

The bibliographic metadata must be in a standard format and must include all of the following:
- the terms "European Union (EU)" and "Horizon 2020";"Euratom" and Euratom research and training programme 2014-2018"
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.
What are the general Open Access requirements and who is covered by them?

• All beneficiaries of H2020 funding must provide open access (free of charge, online access for any user) to all peer-reviewed publications by depositing them into a repository.
In other words...

- Authors are free to choose between the two main and non-exclusive routes toward Open Access
  - Self-archiving ('green’ open access): the published article or the final peer reviewed manuscript is uploaded in an online repository – access is often delayed ('embargo period’)
  - Open access publishing ('gold’ open access): the article is immediately in open access mode, through the publisher. The associated costs are covered by the author/institution/funder.

- The article must always be deposited in a repository, even if the gold route has been choosen.
Where to deposit?

- **Institutional repository** OR
- **Disciplinary repository** (arXiv, Europe PubMed Central, etc.) OR
- **Zenodo** ([www.zenodo.org](http://www.zenodo.org)) if none of the above is available – a EC-cofunded, multidisciplinary repository, for publications & data

Remarks:
- A list of publications on the project website is not sufficient.
- How to bring all publications together? OpenAIRE-compatibility to enable the harvesting of metadata (more details later)
What to deposit?

• The final peer-reviewed manuscript, accepted for publication, including all modifications from the peer-review process

OR

• A machine-readable copy of the published version (usually a PDF document)

In principle this applies to all kinds of publications, but emphasis is on peer-reviewed journal articles.
When to deposit?

• Each beneficiary must deposit as soon as possible and at the latest on publication.
When should open access be provided?

- Open access must be ensured immediately or after an embargo period:
  - GREEN – 6-12 months depending on the research area and the choice of journal
  - GOLD – immediately

Some journals demand longer embargo periods of 6-36 months (compare SHERPA/RoMEO database).
Are there metadata requirements on repository deposition?

• Beneficiaries must ensure immediate open access to the bibliographic metadata that identify the deposited publication in a standard format and must include all of the following:
  - the terms ["European Union (EU)" and "Horizon 2020"] ["Euratom" and Euratom research and training programme 2014-2018"];
  - the name of the action, acronym and grant number;
  - the publication date, and length of embargo period if applicable, and
  - a persistent identifier.
Are Author Processing Charges (APCs) supported?

• Yes

• For open access publishing, researchers can publish in open access journals, or in journals that sell subscriptions and also offer the possibility of making individual articles openly accessible (hybrid journals).

• Where the case, the Author Processing Charges (APCs) incurred by beneficiaries are eligible for reimbursement during the duration of the action.
What are the consequences for non-compliance with OA requirements?

• If a beneficiary breaches any of its obligations, the grant may be reduced (Article 43) and it may also lead to any of the other measures described in Chapter 6 of the General Model Grant Agreement.
What are projects expected to do?

• Projects have to start planning early on

• **During proposal writing phase**
  - Outline of dissemination and exploitation strategy, including OA >> impact section of the proposal (how will results be shared, data be managed and shared?)
  - Include resources for publication costs (what journals, how many publications, what does it cost on average?)
  - Combine GREEN/GOLD strategies to achieve maximum of OA

• **During the project**
  - Additional provisions in the Consortium Agreement? (where to deposit, who is responsible)
  - Implementation of the dissemination strategy, report at reviews and update
  - What issues occur and how can they be solved? (publisher embargos, repositories for specific material, etc.)

• **After the project end**
  - Are there publications foreseen after the ending of the project (ie which will not be covered by the budget) – for post-FP7 project publications there will be a gold OA pilot in H2020
  - Who takes care of deposit in repositories after the project end?
Publication costs

Dissemination costs, e.g. for publishing in open access journals/books, are eligible costs if incurred during the project period.

What budget to consider in proposals?

APC = Article Processing Charges

Budget for Publications = Average APC x number of publications

Method 1: Average APC based on list of journals used by the consortium (look up prices at publisher website and/or consult librarian)
Method 2: Average APC based on general market figures (see next slide)
What does it cost?

Björk/Solomon estimate the average price of Article Processing Charges (APC)

• for established open access journals at ca. 1,020 EUR and

• for hybrid journals (subscription journal with OA option for individual articles) at ca. 1,980 EUR

Both types of OA publication costs can be reimbursed in H2020 projects.

Currently, there is no price-cap for APCs. (For post-grant publications in FP7 a GOLD OA pilot is foreseen where a price-cap will likely apply.)
What practices, what issues?

1. Publishing *all* articles in APC based gold OA is not often the right solution, as this can lead to a substantial amount of the overall project budget. Therefore, a **mixed strategy of GREEN/GOLD open access is highly recommended.**

2. The growing open access market comes with some challenges
   - Glossy magazines seize the market opportunities too.

Some caution is needed when publishing, this holds for all journals. **Consult ‘white lists‘ such as DOAJ.**
Thank you!

Questions?

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