Open Access to Publications in Horizon 2020

Webinar, February 7, 2019

Antónia Correia (FOSTER, University of Minho) & Pedro Príncipe, (OpenAIRE, University of Minho)
AGENDA

Are you participating in a H2020 funded project? Would you like to know more on how to comply with the H2020 Open Access mandate?

1. Open Access in H2020: summary of requirements
2. Open Access in H2020: practical implementation
3. Supporting the compliance: OpenAIRE services and tools
Open Access is the DEFAULT for research results in H2020
WHY OPEN ACCESS TO SCIENTIFIC PEER-REVIEWED PUBLICATIONS?

GOOD FOR SCIENCE
- allows scientists to build on previous research results
- avoids unnecessary duplication of effort
- improves quality and greater efficiency

GOOD FOR THE ECONOMY
- speeds up innovation
- faster progress to market

GOOD FOR SOCIETY
- makes research available to individual citizens and to non-profit organisations
- greater transparency

OPEN ACCESS TO SCIENTIFIC PUBLICATIONS
- promotes innovation
- increases economic and social impact
- contributes to global prosperity

MISCONCEPTIONS ABOUT OPEN ACCESS
- Not all open access is free
- Open access does not mean immediate access
- Open access reduces quality

HOW TO ACHIEVE OPEN ACCESS IN HORIZON 2020
- Plan your strategy
- Use the right tools

OPEN ACCESS FUNDING IN HORIZON 2020
- Direct funding
- Indirect funding
- Open access mandates

OPEN ACCESS IS NOT THE SAME AS FREE ACCESS
- Open access means immediate and free access
- Open access also means sustainable funding

Get support
- Visit the OpenAIRE website
- Email us at support@openaire.eu
Open Science policies: the evolution of the EU funding programmes for R&I

**FP7**
- OA Pilot
- Deposit and open access

**H2020**
- OA Mandatory
- Deposit and open access
- & ORD/DMP Pilot

**H2020**
- OA Mandatory
- Deposit and open access
- & ORD/DMP by default (opt-out)

**Horizon Europe**
- OA Mandatory
- Deposit and open access
- DMP + FAIR data Mandatory
- OD by default (opt-out)
- & Open Science embedded
Open Access in H2020: SUMMARY OF REQUIREMENTS
Multi-beneficiary General Model Grant Agreement

29.2 Open access to scientific publications

29.3 Open access to research data

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.
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.

www.openaire.eu/h2020openaccess
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 chosen.
How to make your publication OA?

1. Publish in any journal of your choice
   - Subscription based
   - Open Access Journal

→ **ALWAYS** deposit a version in a repository
  + Add metadata: funder, grant ID number, acronym, publication date….
## Which way to choose?

<table>
<thead>
<tr>
<th>Self-archive in repository</th>
<th>Open Access Journal</th>
</tr>
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<tbody>
<tr>
<td><strong>PROS</strong></td>
<td><strong>CONS</strong></td>
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<tr>
<td>• Any subscription based journal</td>
<td>• Possibility of an embargo period</td>
</tr>
<tr>
<td>• No fees</td>
<td></td>
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<tr>
<td><strong>+</strong></td>
<td><strong>-</strong></td>
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<tr>
<td>• Direct Open Access</td>
<td>• Possible costs (APC)</td>
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<td>• Retain copyright (sometimes)</td>
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Where to deposit?

- Institutional repository
- Disciplinary (arXiv, Europe PubMed Central...)
- Or use Zenodo.org: EC-cofounded, multidisciplinary, free repository

- The Directories of Open Access Repositories:
  - http://v2.sherpa.ac.uk/opendoar/
  - roar.eprints.org
  - Explore.openaire.eu
What to deposit?

- Final peer-reviewed manuscript
  OR
- Published version

+ metadata: funder, grant ID number, acronym, publication date…

→ Apply to all kind of publication, but emphasis on peer-reviewed journal articles
What can I deposit?

Check publishers policies

- SHERPA/ROMEO: [www.sherpa.ac.uk/romeo](http://www.sherpa.ac.uk/romeo)
- Overview of copyright policies and self-archiving permissions
What can I deposit?

- **Pre-print**
  Before peer review

- **Post-Print**
  After peer review

- **Publisher’s version**
  With lay-out

- **Embargo**
  Period during which access to the article is limited
When should I deposit?

Check publishers policies

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

Check publishers policies

Each beneficiary must deposit as soon as possible and at the latest on publication.

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 (see SHERPA/RoMEO database and journal’s homepages)
Open Access in H2020: PRACTICAL IMPLEMENTATION
RESEARCHER DECIDES WHERE TO PUBLISH

Check publishers policies on www.sherpa.ac.uk/romeo

Open Access Journals doaj.org

Check for Article Processing Charges

Subscription-based journal

Self-archive in a repository Find at: openaire.eu

IMMEDIATE OPEN ACCESS

IMMEDIATE OR DELAYED OPEN ACCESS
Not sure if your publisher allows self-archiving?

1) Check the journal self-archiving policy on the publisher's web-site.
2) If in doubt, check the self-archiving policy of your journal using publisher copyright policies & self-archiving tool SHERPA RoMEO (colours taxonomy).

- Try also DULCINEA which summarises self-archiving policies of Spanish journals,
- and Héloïse which summarises self-archiving policies of French journals.
Are Article 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).

But be aware... the Article Processing Charges (APCs) incurred by beneficiaries are eligible for reimbursement only during the duration of the action (project).
What budget to consider in proposal?

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

Budget for Publications = Average APC x number of publications

How?

Method 1: Average APC based on list of journals used by the consortium (look up prices at publisher website and/or ask a librarian).

Method 2: Average APC based on general market figures.
Average APCs

Average:
- 1378 €¹ - 1 978 €²
- 1186 / 1 754 € (OA journal) - 2 280 € (hybrid journal)³
- 1 479 € (OA journal) – 2 493 € (hybrid journal)⁴

Information on APCs per publisher and journal
→ openAPC project

Both types of OA publication cost can be reimbursed in H2020 projects. Currently, there is no price-cap for APCs.

2. Figure 1: APC pricing distribution. Article processing charges (APCs) and subscriptions. Shamash, K., 2016
4. https://treemaps.intact-project.org/page/about.html
Publication costs – issues to consider

1. Publishing ALL articles in APC based OA journals is probably not the right solution as it can lead to a substantial amount of the project budget. 
   ➔ a mix of depositing articles and publishing in OA journals is highly recommended (mixed strategy of GREEN/GOLD open access).

2. The growing OA market comes with some challenges. Some caution is needed. ➔ lots of new publishers/journals some of questionable quality. Consult white list such as [https://doaj.org/]
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?).
- Include resources for publication costs (what journals, how many publications, average cost?).
- 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, etc.)

AFTER THE PROJECT END

- Are there publications foreseen after the ending of the project (ie which will not be covered by the budget).
- Who takes care of deposit in repositories after the project end?
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.

Many challenges ahead

Open access to publications
- Increasing uptake to 100%
- Reinforcing monitoring and incentives/'sanctions'
- Hybrid journals & other financial issues (caps, post-grant etc.)

Supporting the compliance: OpenAIRE services and tools
Support and information?

OpenAIRE - An Open Knowledge & Research Information Infrastructure

OPENAIRE FOSTERS THE SOCIAL AND TECHNICAL LINKS THAT ENABLE OPEN SCIENCE IN EUROPE AND BEYOND.

www.openaire.eu
Key to Open Science uptake: services for all

Provide standards, **tools** and **services** for Open Science implementation and ensure their uptake on a global level.
OpenAIRE

Services and tools:
✓ Open Access depositing
✓ Storing research data in Zenodo
✓ Claiming publications & datasets
✓ Reporting research outputs
✓ Discover, analyse and access
✓ Support material and helpdesk
✓ Training and support material
Discover linked Open Research

Search for research results, projects, content providers and organizations

EXPLORE. OpenAIRE DISCOVERY SERVICE
<table>
<thead>
<tr>
<th>Funder</th>
<th>Project</th>
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<tr>
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<td>National Institutes of H.. (193,963)</td>
<td>COLLMOT (1.128)</td>
<td>2015 (1,560,802)</td>
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<td>National Science Foun.. (174,572)</td>
<td>HIPEAC (1.035)</td>
<td>2016 (1,493,292)</td>
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<td>Wellcome Trust (60,948)</td>
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<td>Research Council UK (49,069)</td>
<td>EUROfusion (955)</td>
<td>2012 (1,315,445)</td>
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<td>View more</td>
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<table>
<thead>
<tr>
<th>Access Mode</th>
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<tr>
<td>Closed Access (131,459)</td>
<td>Preprint (1,885,753)</td>
<td>Russian (1,499,246)</td>
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Researcher?

Explore all OA research results. Link all your research. Build your profile.

OpenAIRE.EXPLORE

Explore
Discover linked open research

Share
Deposit in a repository of your choice

Link
Connect all your research
Share, deposit and publish in OA

How to comply. What services to use.
Find where to deposit
Zenodo – Catch-all repository

• Catch-all repository for EU funded research
• Up to 50 GB per upload
• Data stored in the CERN Data Center
• Persistent identifiers (DOIs) for every upload
• Includes article level metrics
• Free for the long tail of Science
• Open to all research outputs from all disciplines
• Easily add EC funding information and report via OpenAIRE
Publish


http://www.datacite.org

www.openaire.eu
Deposit once!

- Locate an appropriated repository via OpenAIRE.
  - If no repository is available: use Zenodo (OpenAIRE/CERN repository).
- Acknowledge project funding in the publication or dataset metadata record.
- Use a fully OpenAIRE compatible repository. If don't... use the OpenAIRE linking services afterwards and associate your research results (Link/Claim publication or datasets to projects).
- We apply cleaning, transformation, disambiguation processes, and identify relationships among all research entities: publications, data, funding...

All publications accessible via OpenAIRE and linked to a project will be displayed automatically in the reporting section of the EC Participant Portal for the project.
ACKNOWLEDGE

PROJECT FUNDING IN THE PUBLICATION OR DATASET METADATA RECORD

API e.g. ZENODO
OpenAIRE Funders Projects List

Repositories Deposit Workflow:
Searching by the name, acronym or the project id number... Select the project and accept
Link your research results

Services for researchers, project coordinators and research managers
Check out this guide!

Guides for OpenAIRE Services

Explore - How to link a publication to your funding

What it is

Linking is a functionality provided by OpenAIRE, in order to link research results with a project, a research community or other research results and make the new information available in OpenAIRE information Space.

When you publish or deposit in Open Access you should use a fully OpenAIRE compatible repository. If you don't, use OpenAIRE Link service afterwards and associate your research results.

The Link research results service aims to facilitate the creation of proper relations between publications, research data, software and projects in one single place.

You need to be a registered user to perform these tasks and to specifically link a publication to your funded project.

www.openaire.eu/claim-publication

Services for researchers, project coordinators and research managers
Projects: publications and data
EMF-aware cell selection in heterogeneous cellular networks

The growing concern on the exposure of users to the electromagnetic field (EMF) has recently brought new challenges to the mobile research community. In this letter, we propose a novel cell association framework for heterogeneous cellular networks (HetNets), which aims to balance the load amongst heterogeneous cells so as to improve the resource usage and to increase the user satisfaction in terms of both data rate and EMF exposure. We model the cell selection problem as a General Assignment Problem (GAP) and we present two heuristic algorithms, which solve it with limited complexity. Our analysis shows that the proposed solutions lead to notable improvements with respect to legacy association schemes. This papers reports work undertaken in the context of the project LDENET. LDENET is a project supported by the European Commission in the 7th Framework Programme (Grant Agreement n. 318273).

Similar Research Results (2)
PROJECT PUBLICATIONS AND DATASETS

Automatically

OpenAIRE

European Commission > CORDIS >

RESEARCH & INNOVATION
Participant Portal - Grant Management Services

HORIZON 2020
EC's participant portal
Check out this guide!

Guides for OpenAIRE services

Explore - How to report your publication and data to the EC

What it is

Linking is a functionality provided by OpenAIRE, in order to link research results with a project, a research community or other research results and make the new information available in OpenAIRE information Space.

OpenAIRE is the authoritative source to the European Commission for H2020 projects, so deposit once and OpenAIRE will facilitate the posting of your publications and they will automatically appear in the EC Research Participant Portal (SygMa).

www.openaire.eu/reporting-to-the-ec
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Deposit your research outcomes
For researchers
Zenodo

Report your publication and data to the EC
For project coordinators
Search & Share

Claim a publication or data to your funding
For researchers
Search & Share

Support Resources

www.openaire.eu/support
Open Access to Publications in Horizon 2020

Questions?

antoniacorreia@sdum.uminho.pt; pedroprincipe@sdum.uminho.pt