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 and avoids unnecessary duplication of effort

improved quality and greater efficiency

GOOD FOR THE ECONOMY

speeds up innovation

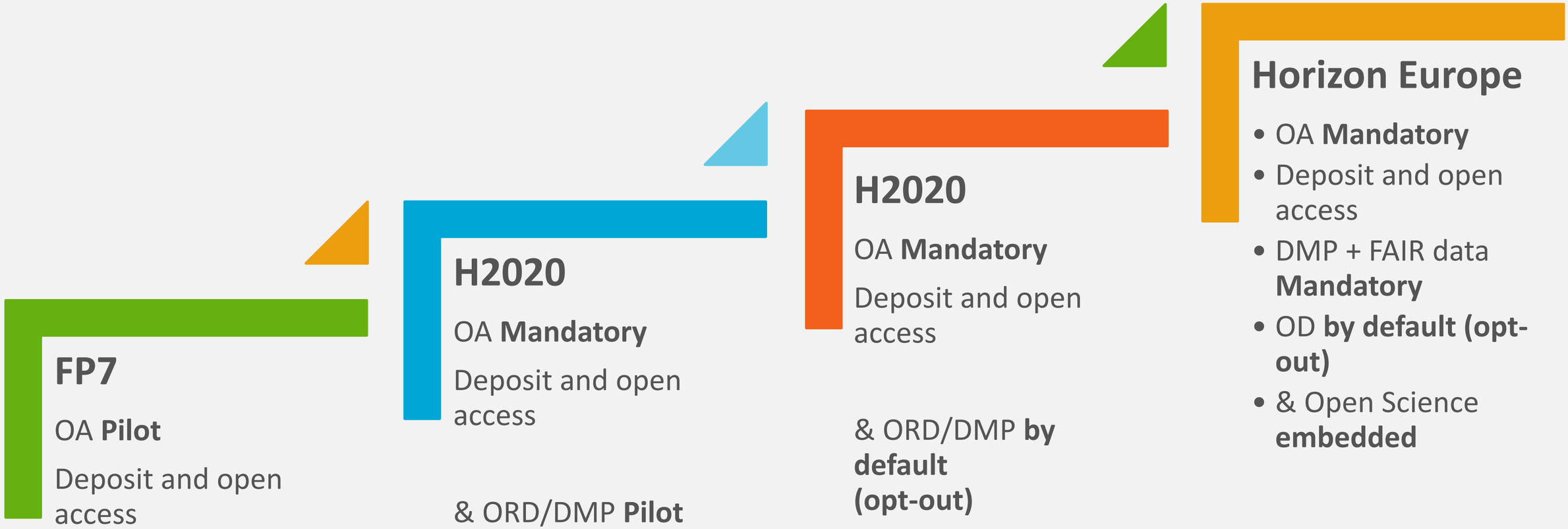
faster progress to market

GOOD FOR SOCIETY

makes research available to individual citizens and to non-profit organisations

greater transparency

Open Science policies: the evolution of the EU funding programmes for R&I



1

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

http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf

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

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf
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 choosen.

How to make your publication OA?

1. Publish in any journal of your choice

Subscription based

Deposit in a repository and provide access

Open Access Journal

Deposit in a repository and provide access

→ ALWAYS deposit a version in a repository

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

Which way to choose?

	PROS +	CONS -
Self-archive in repository	• Any subscription based journal • No fees	• Possibility of an embargo period
Open Access Journal	• Direct Open Access • Retain copyright (sometimes)	• Possible costs (APC)

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

where | what | when

What can I deposit?

Check publishers policies

- SHERPA/ROMEO: 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)

2

Open Access in H2020: PRACTICAL IMPLEMENTATION

RESEARCHER DECIDES WHERE TO PUBLISH

Open Access Journals
doaj.org

Check for Article Processing Charges

IMMEDIATE OPEN ACCESS

Subscription-based journal

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

IMMEDIATE OR DELAYED OPEN ACCESS

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

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).

SHERPA/RoMEO

ROMEO colour	Archiving policy
green	can archive pre-print *and* post-print or publisher's version/PDF
blue	can archive post-print (ie final draft post-refereeing) or publisher's version/PDF
yellow	can archive pre-print (ie pre-refereeing)
white	archiving not formally supported

- 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

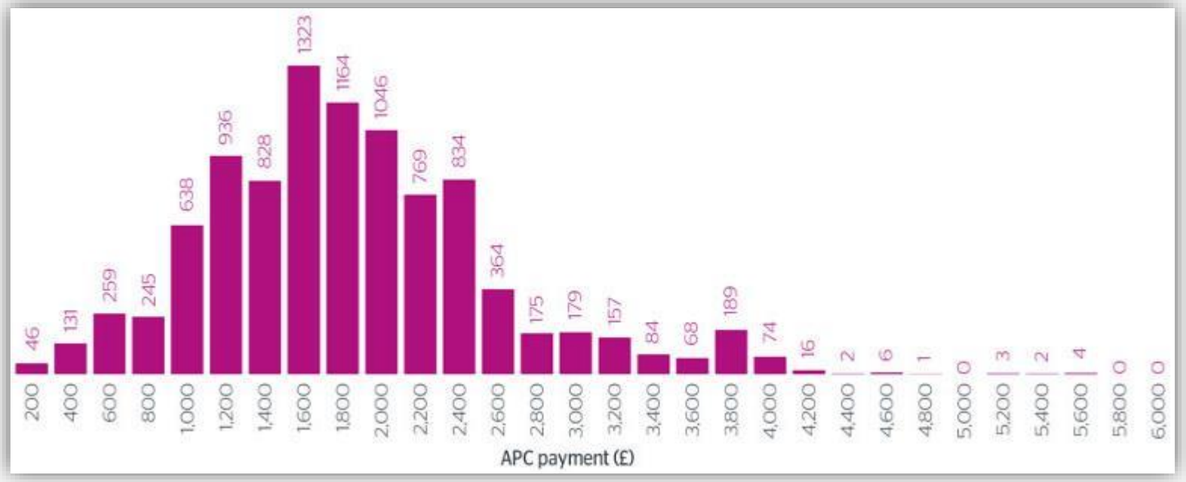
Average:

- 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

APCs vary widely



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

1. Open access central funds in UK universities. Learned Publishing, [online] 25(2). Pinfield, S., and Middleton, C., 2012
2. Figure 1: APC pricing distribution. Article processing charges (APCs) and subscriptions. Shamash , K. , 2016
3. A study of open access journals using article processing charges. Journal of the American Society for Information Science and Technology, 63(8), pp.1485–1495. Solomon, D.J., and Björk, B.-C., 2012
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.

http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf

3 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

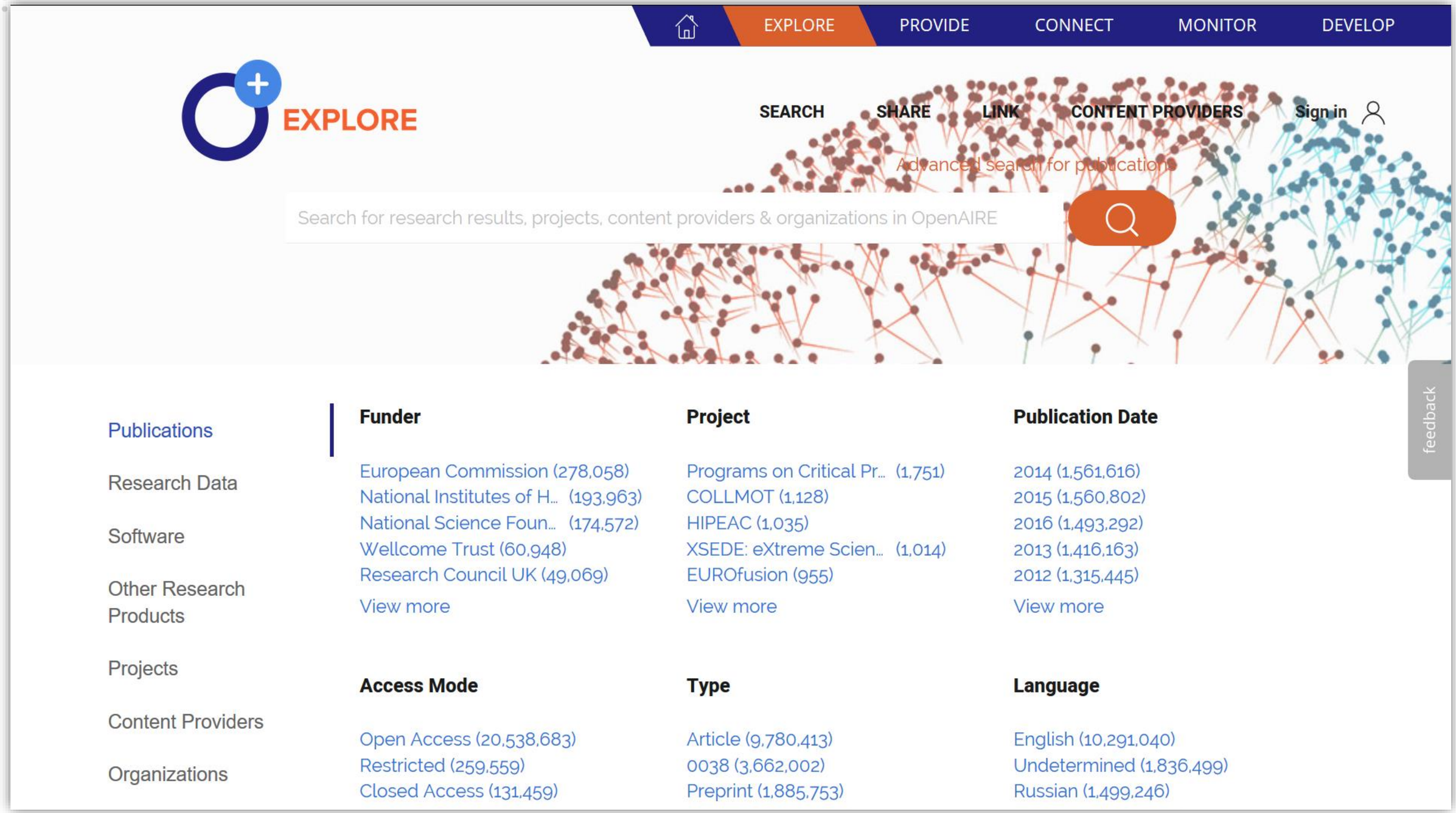
Provide standards, tools and services for Open Science implementation and ensure their uptake on a global level.

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 prodivers
and organizations
EXPLORE. OpenAIRE
DISCOVERY SERVICE


EXPLORE
PROVIDE
CONNECT
MONITOR
DEVELOP
EXPLORE
SEARCH
SHARE
LINK
CONTENT PROVIDERS
Sign in
Advanced search for publications
Search for research results, projects, content providers & organizations in OpenAIRE
Publications
Research Data
Software
Other Research Products
Projects
Content Providers
Organizations
Funder
European Commission (278,058)
National Institutes of H... (193,963)
National Science Foun... (174,572)
Wellcome Trust (60,948)
Research Council UK (49,069)
View more
Project
Programs on Critical Pr... (1,751)
COLLMOT (1,128)
HIPEAC (1,035)
XSEDE: eXtreme Scien... (1,014)
EUROfusion (955)
View more
Publication Date
2014 (1,561,616)
2015 (1,560,802)
2016 (1,493,292)
2013 (1,416,163)
2012 (1,315,445)
View more
Access Mode
Open Access (20,538,683)
Restricted (259,559)
Closed Access (131,459)
Type
Article (9,780,413)
0038 (3,662,002)
Preprint (1,885,753)
Language
English (10,291,040)
Undetermined (1,836,499)
Russian (1,499,246)
feedback

Researcher?

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

OpenAIRE.EXPLORE

Explore

Discover linked open research

Share

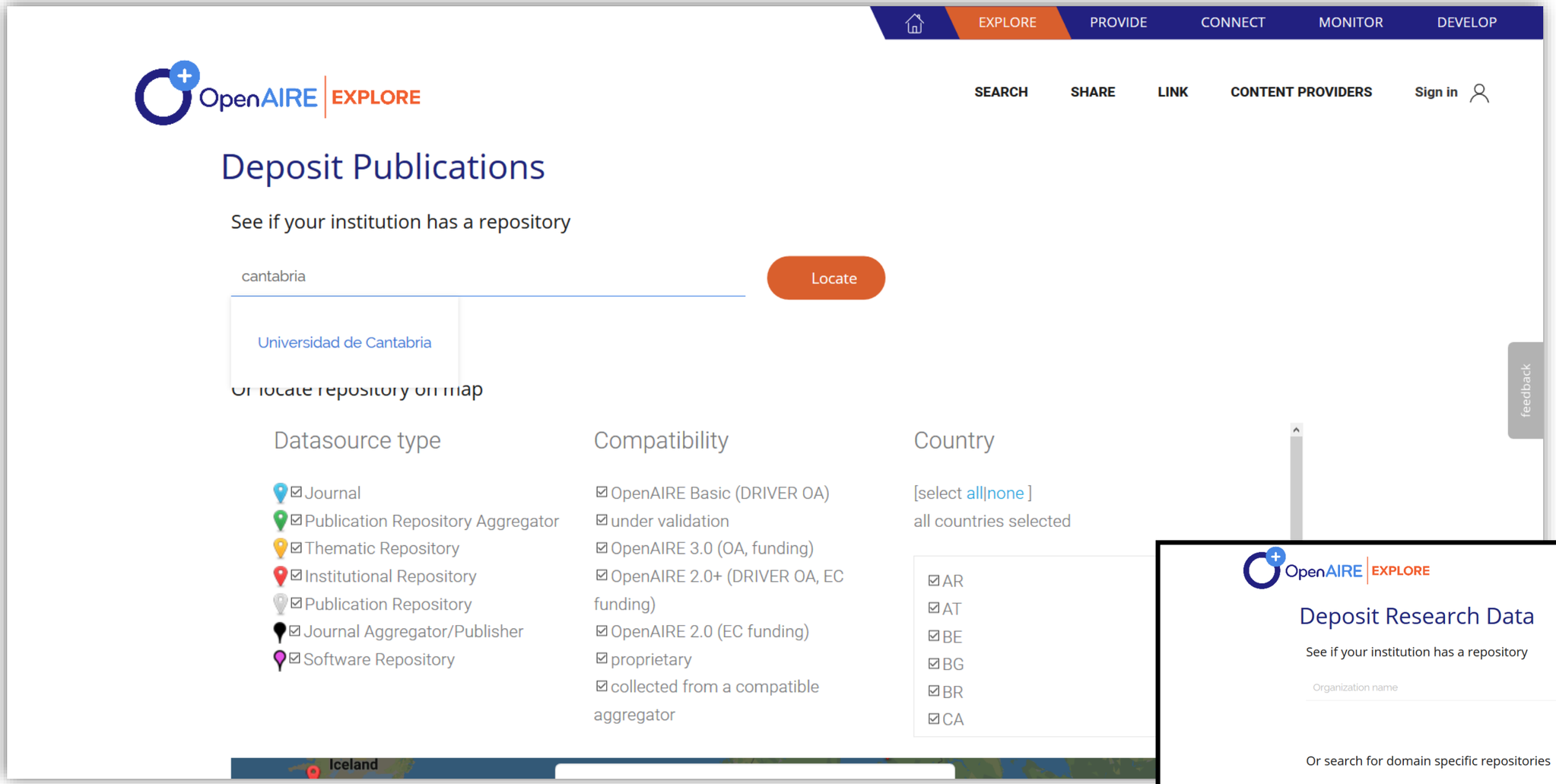
Deposit in a repository of your choice

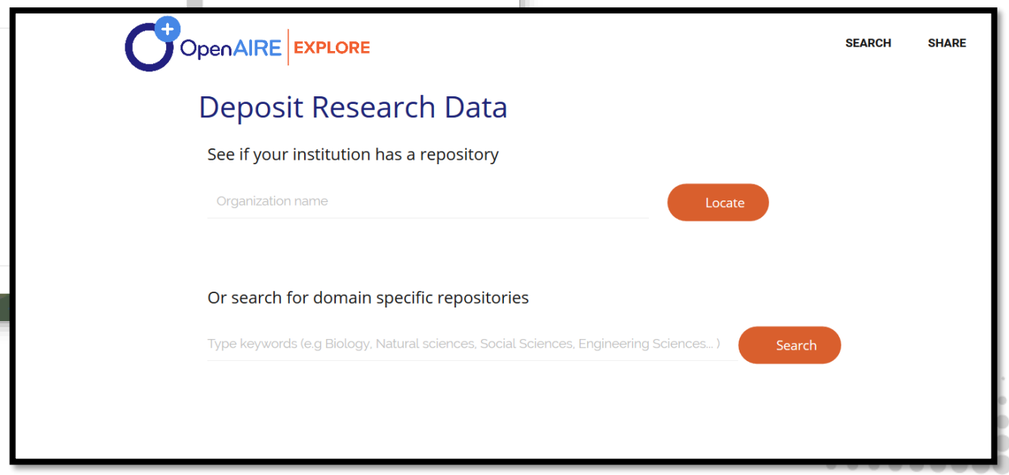
Link

Connect all your research

Share, deposit and publish in OA
How to comply. What services to use.

Find where to deposit



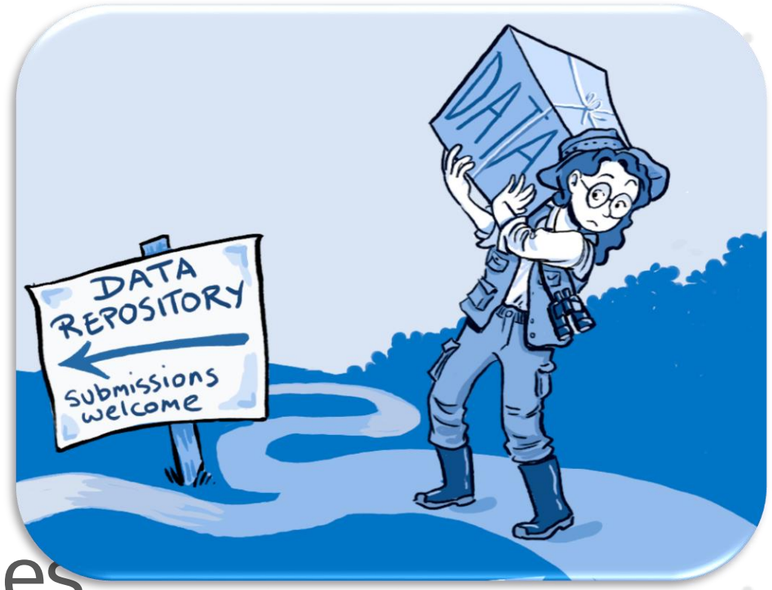


OpenAIRE

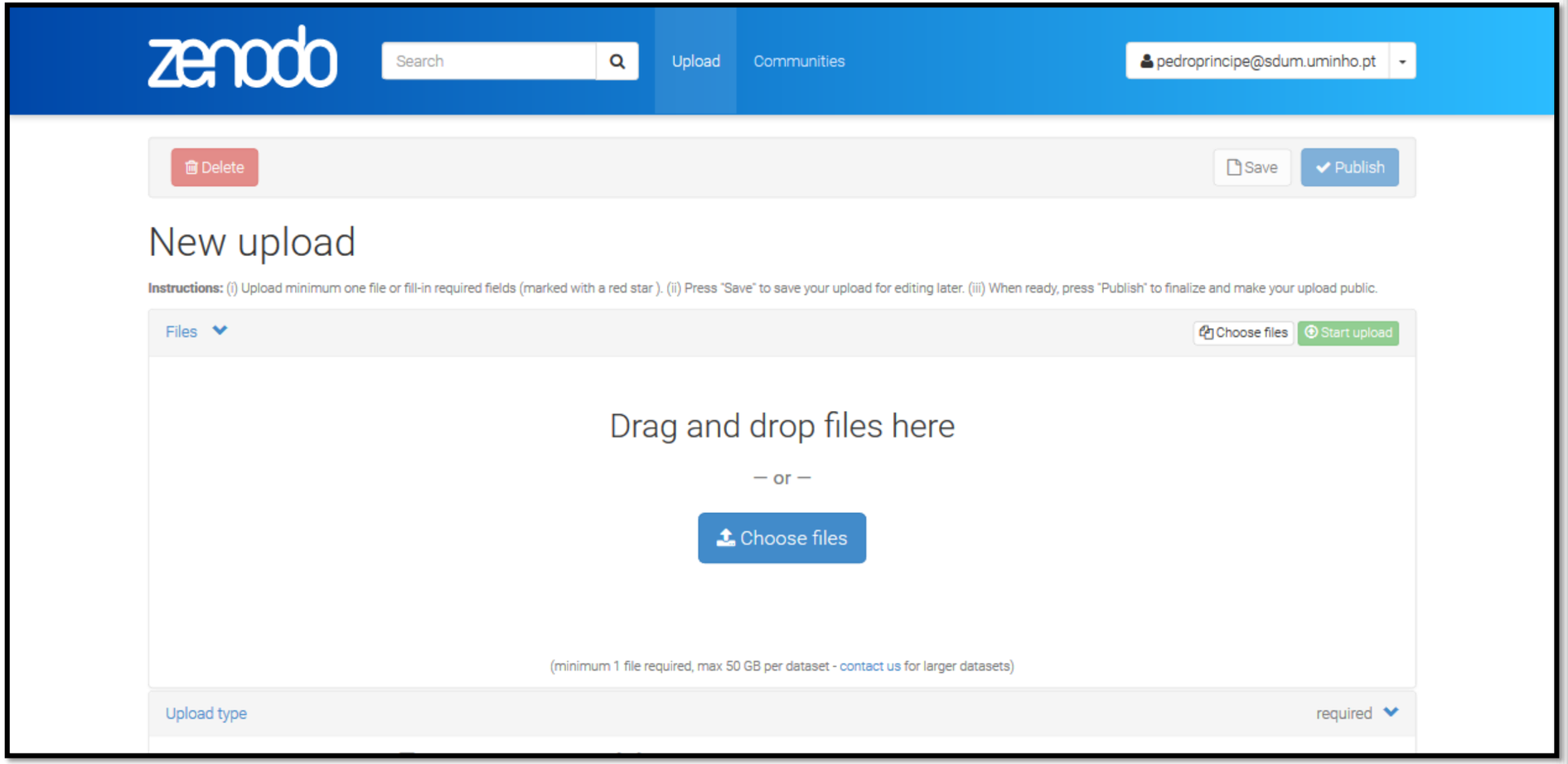
European Commission

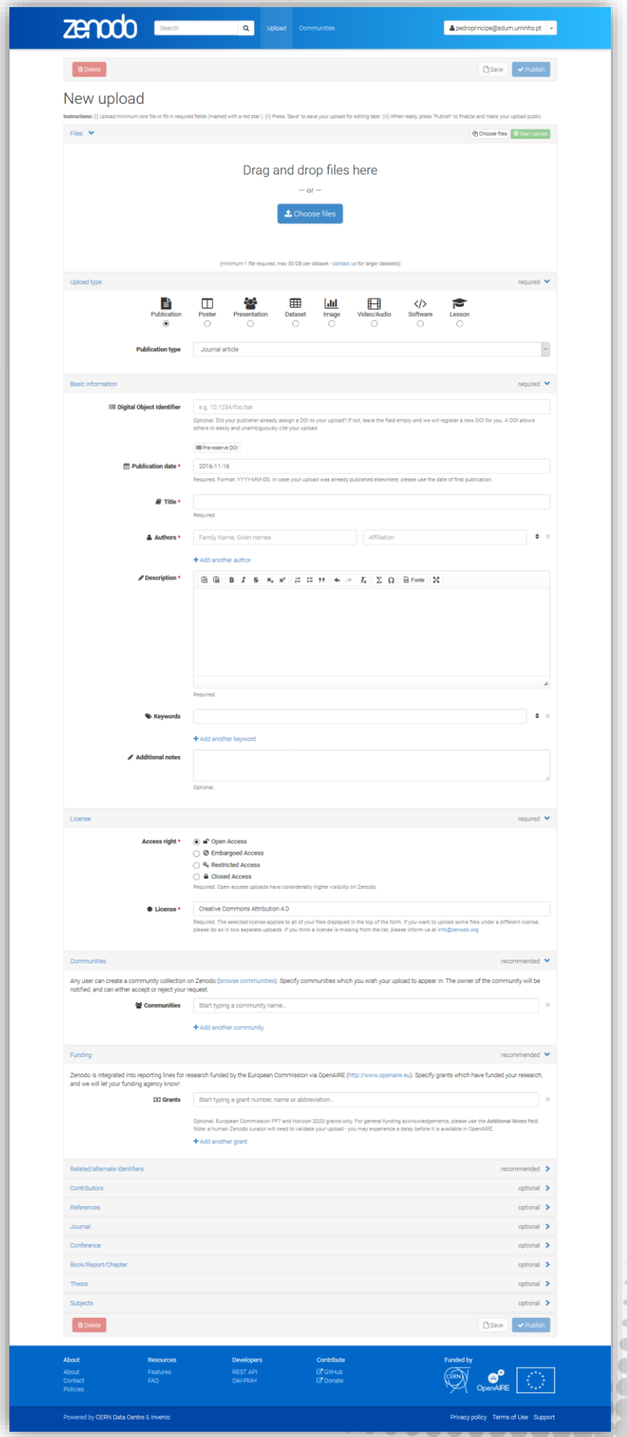
Zenodo – Catch-all repository

- 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



Upload





OpenAIRE

European Commission

Publish

DOI:

DOI 10.5281/zenodo.165760

http://www.datacite.org

Grants:

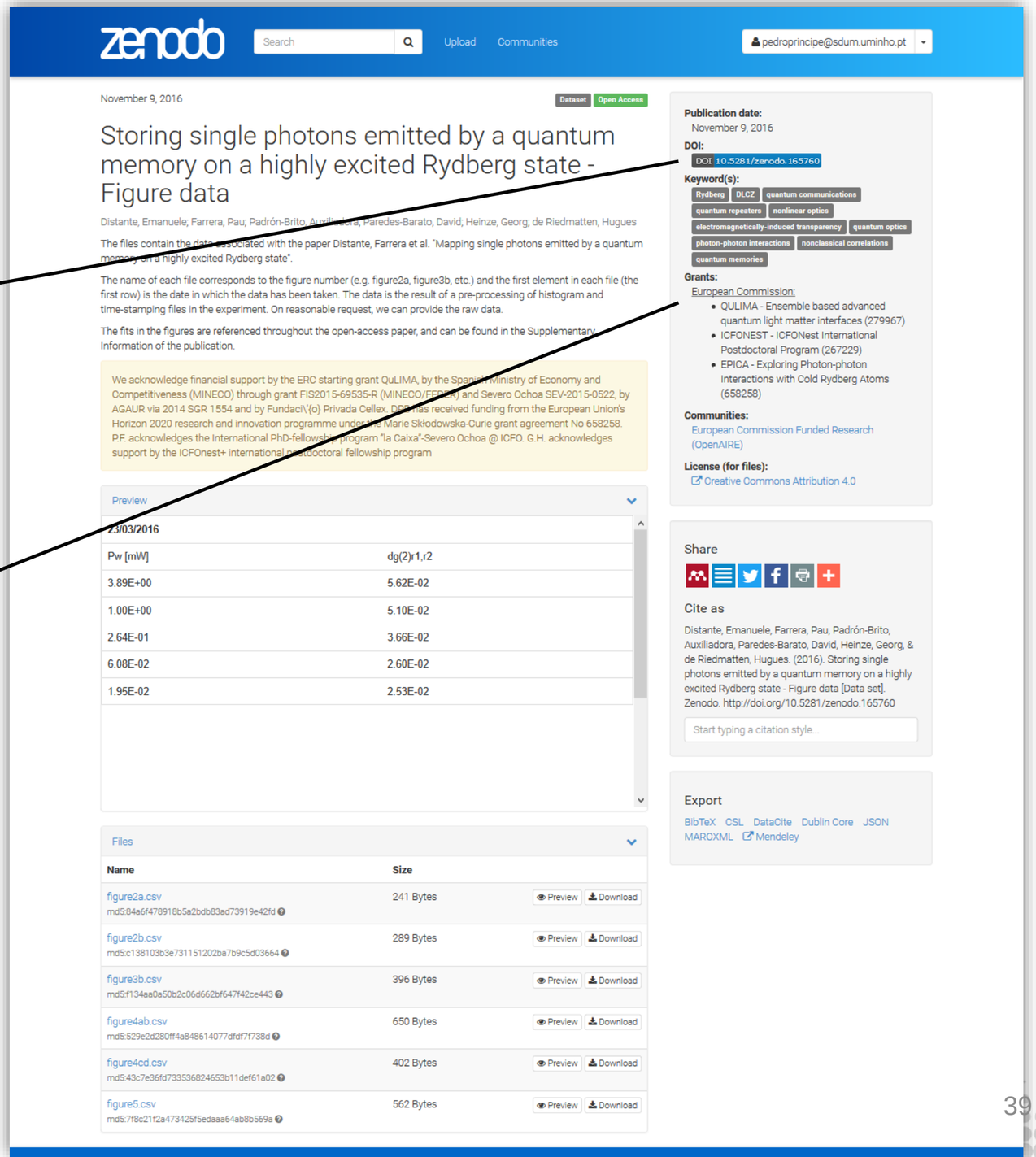
European Commission:

- QULIMA - Ensemble based advanced quantum light matter interfaces (279967)
- ICFONEST - ICFONest International Postdoctoral Program (267229)
- EPICA - Exploring Photon-photon Interactions with Cold Rydberg Atoms (658258)

www.openaire.eu

OpenAIRE

zenodo



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.

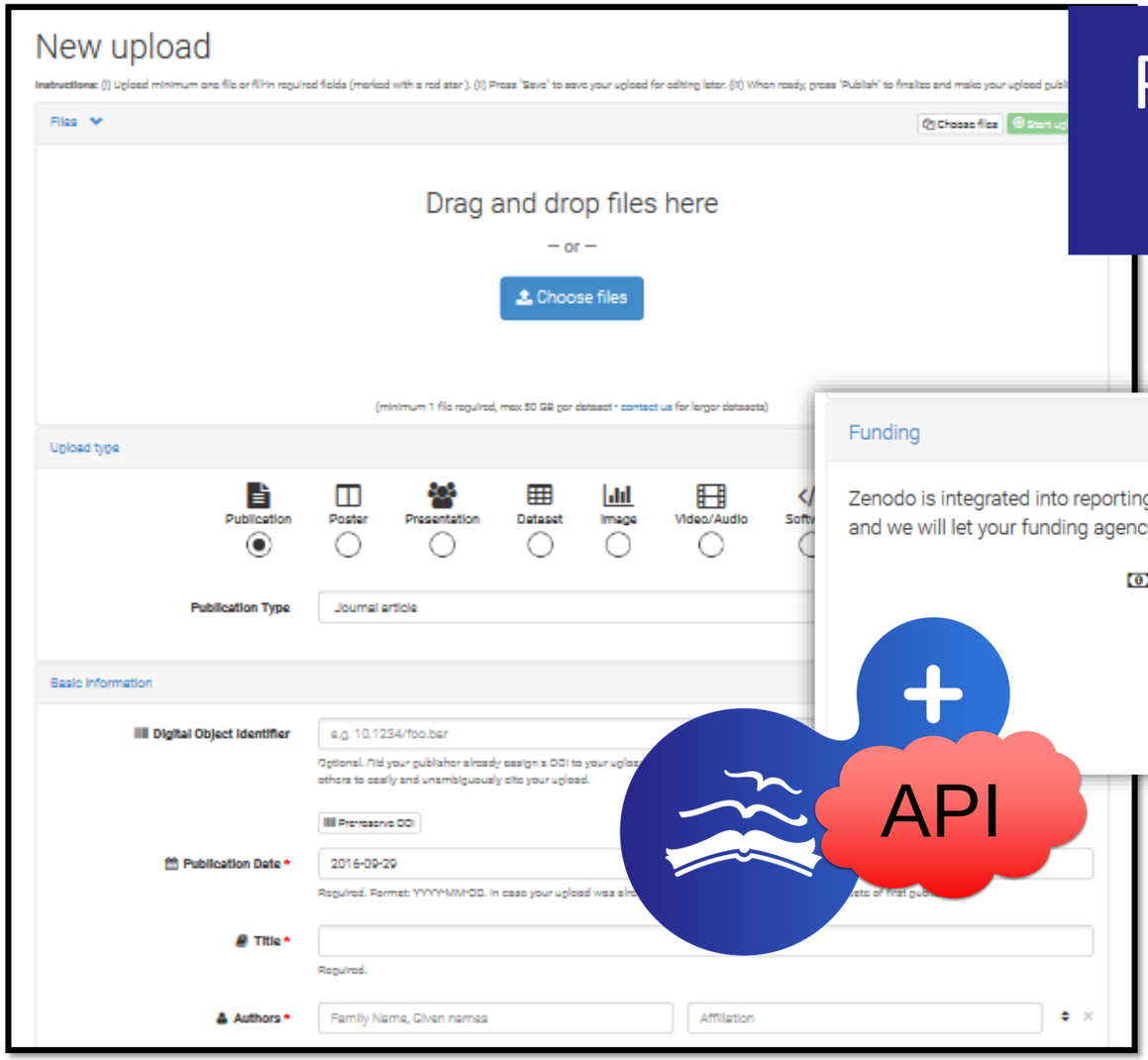
- Use a fully OpenAIRE compatible repository. If don't… use the OpenAIRE linking services afterwards and associate your research results (**Link/Claim** publication or datasets to projects).
- We apply cleaning, transformation, disambiguation processes, and **identify relationships** among all research entities: publications, data, funding…

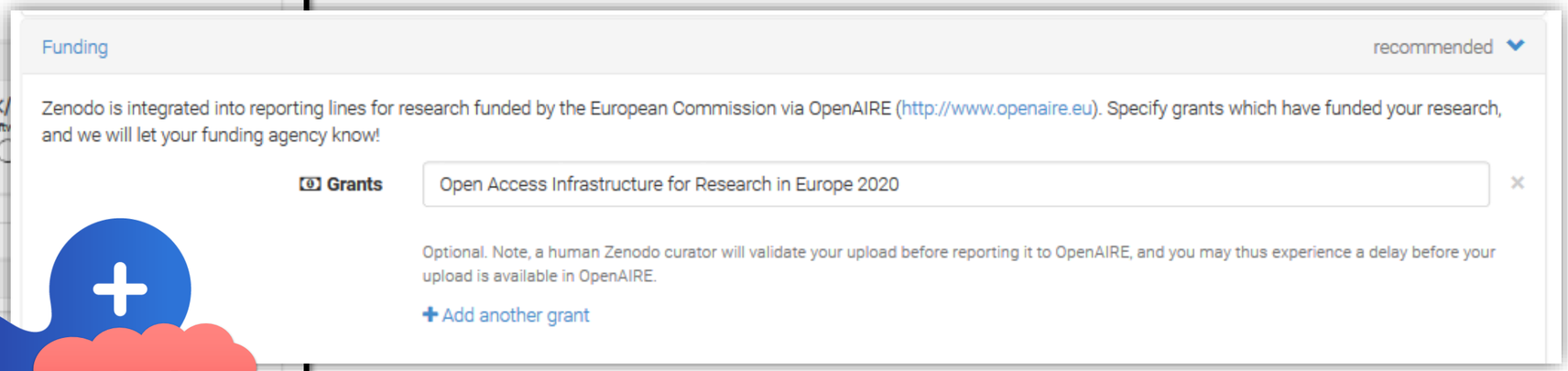
- All publications accessible via OpenAIRE and linked to a project will be displayed automatically in the reporting section of the EC Participant Portal for the project.

We did it!

ACKNOWLEDGE

PROJECT FUNDING IN THE PUBLICATION OR DATASET METADATA RECORD



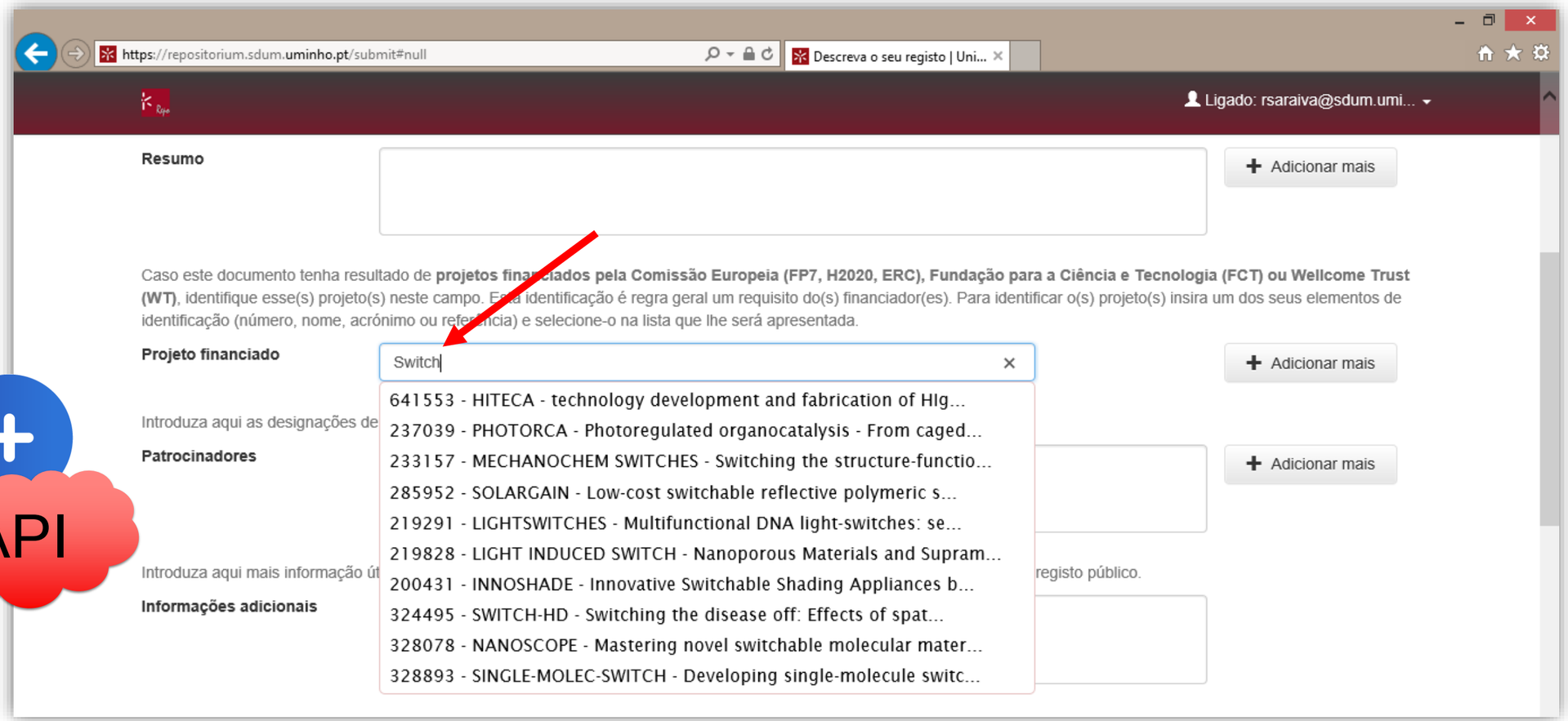


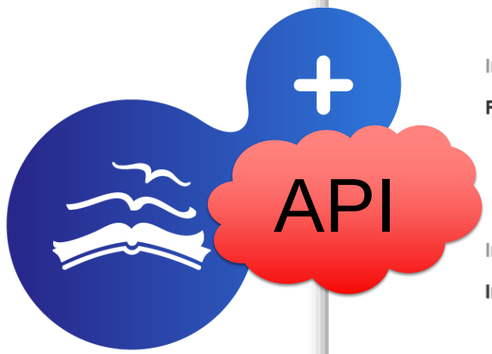
e.g. ZENODO

OpenAIRE Funders Projects List

REPOSITORIES DEPOSIT WORKFLOW:

Searching by the name, acronym or the project id number… Select the project and accept



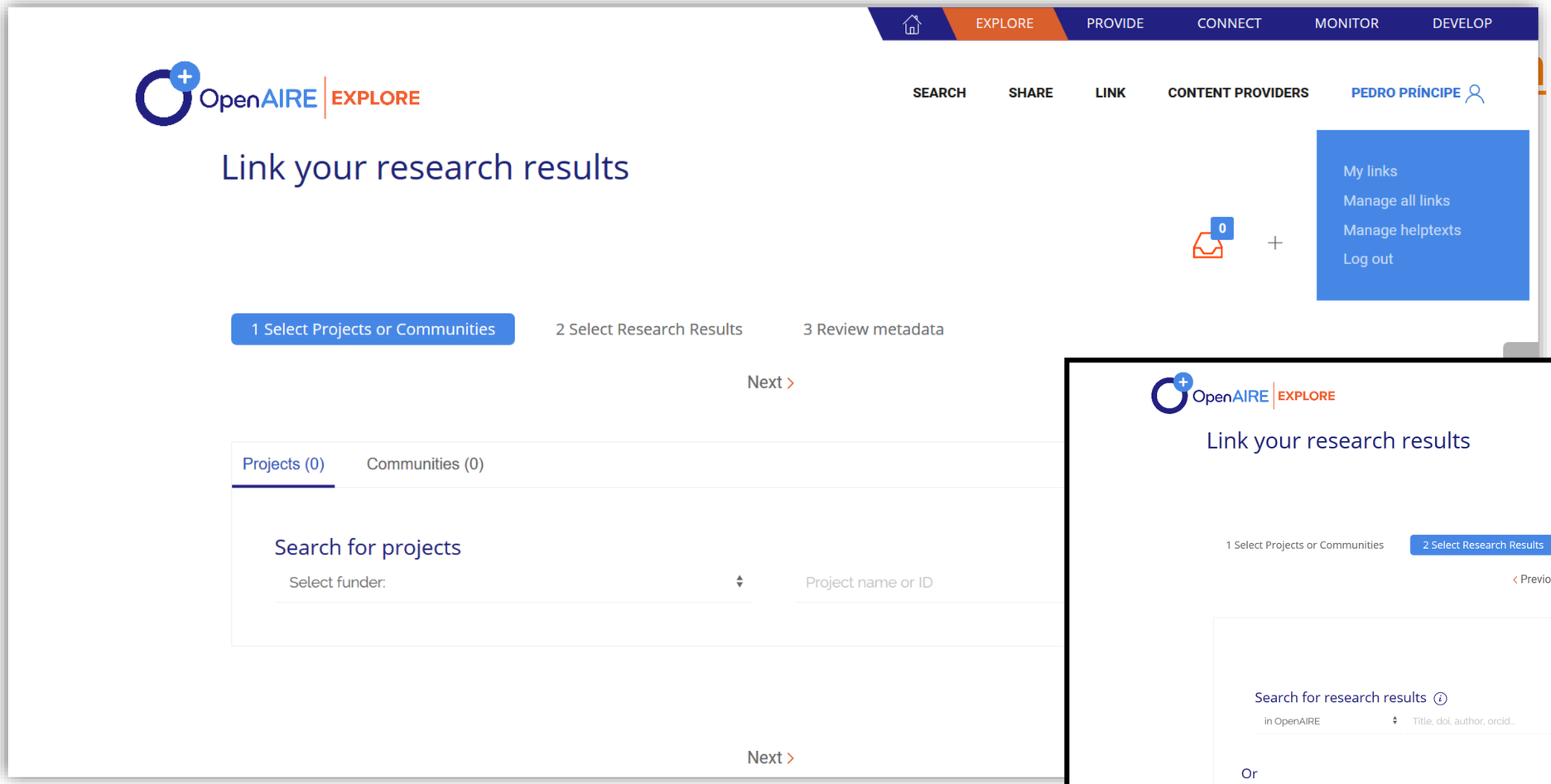


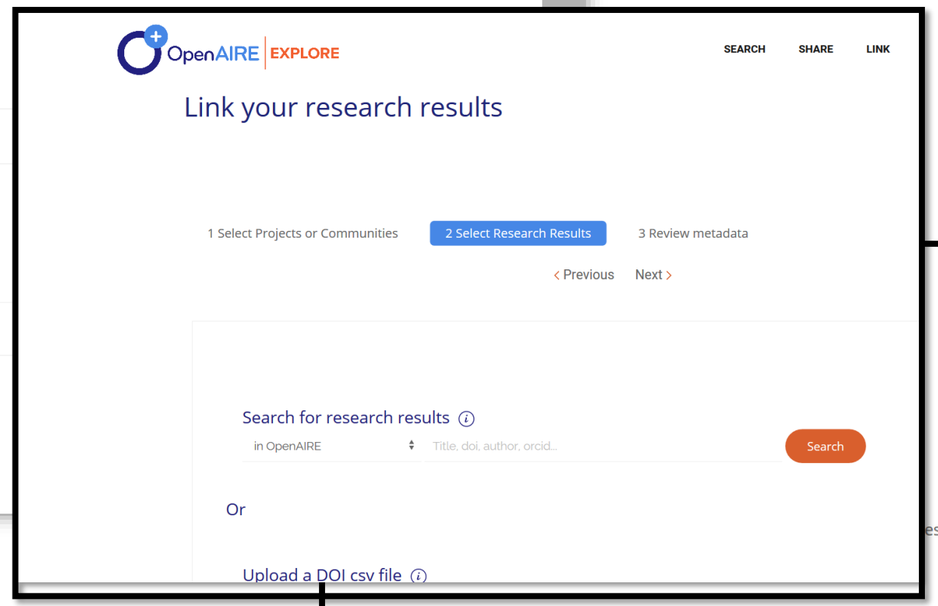
OpenAIRE

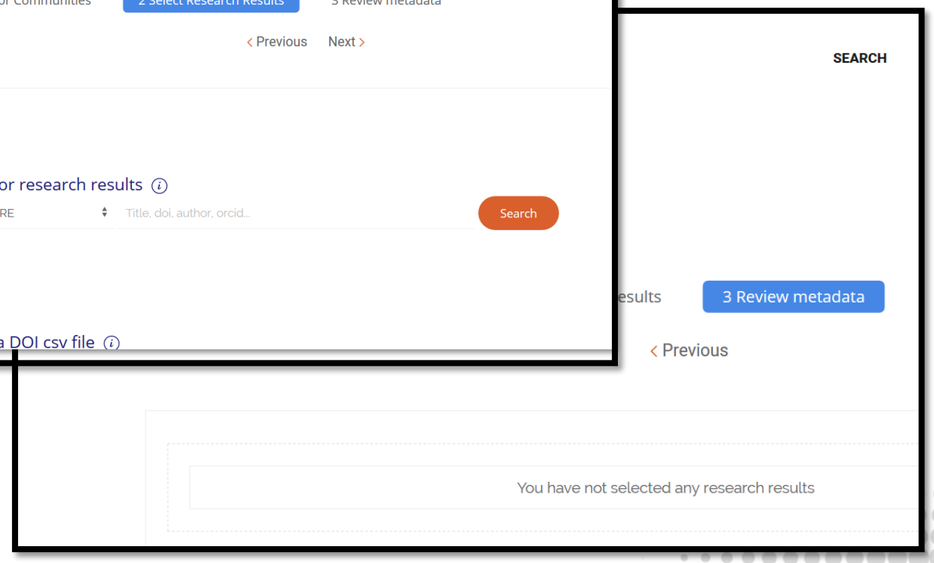
European Commission

Link your research results
Services for researchers, project coordinators and research managers

LINK RESEARCH RESULTS TOOL



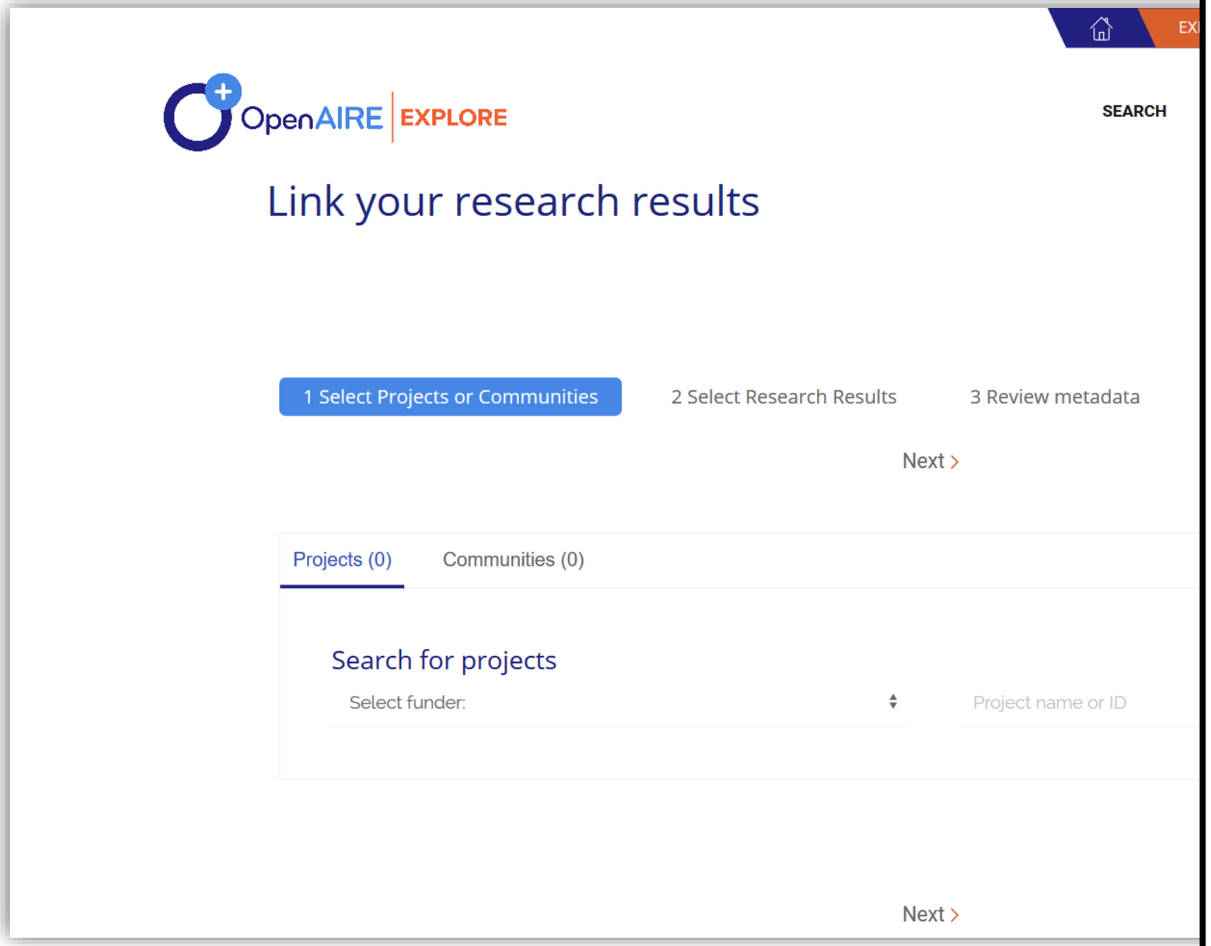


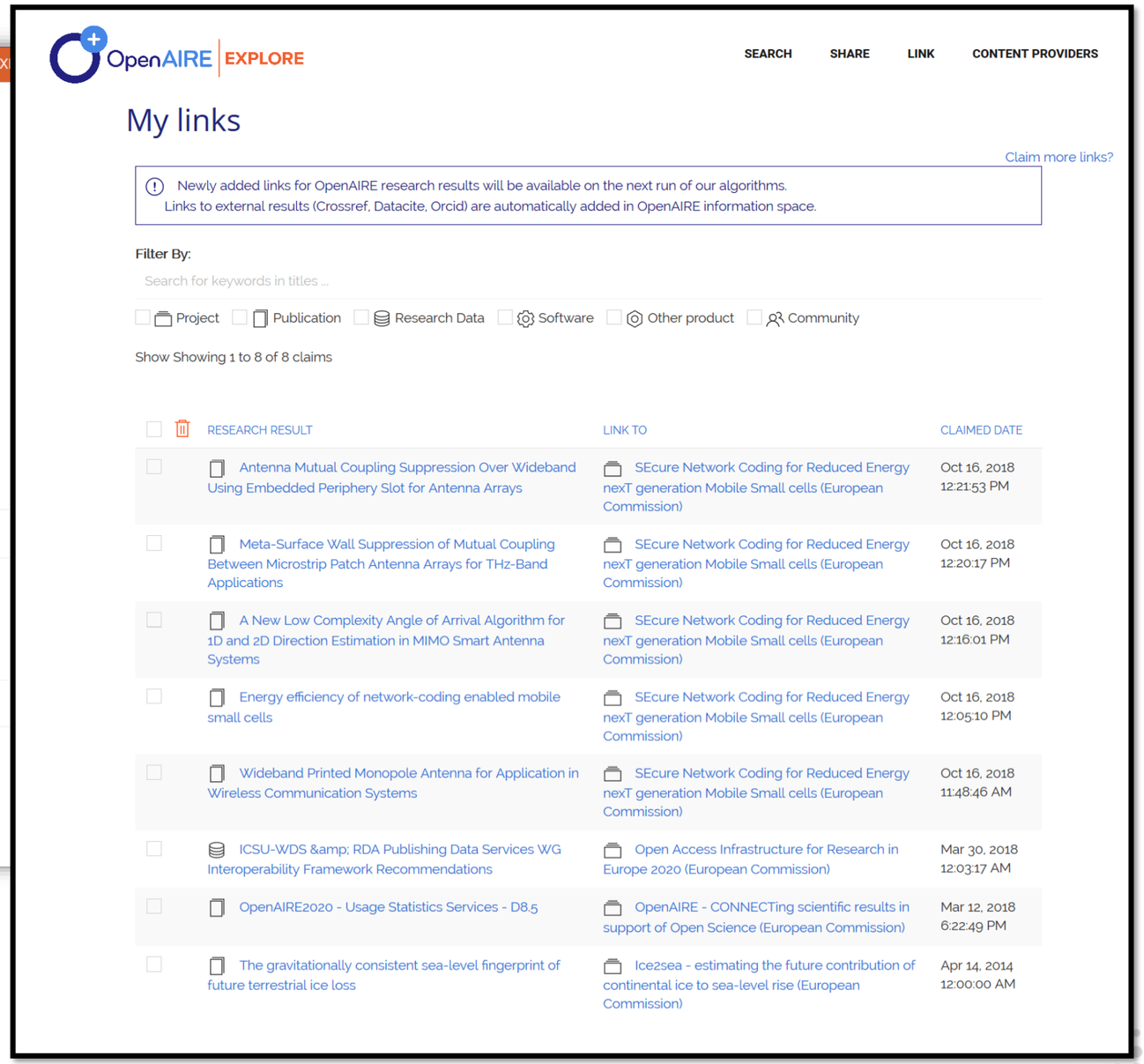


OpenAIRE

European Commission

LINK RESEARCH RESULTS TOOL

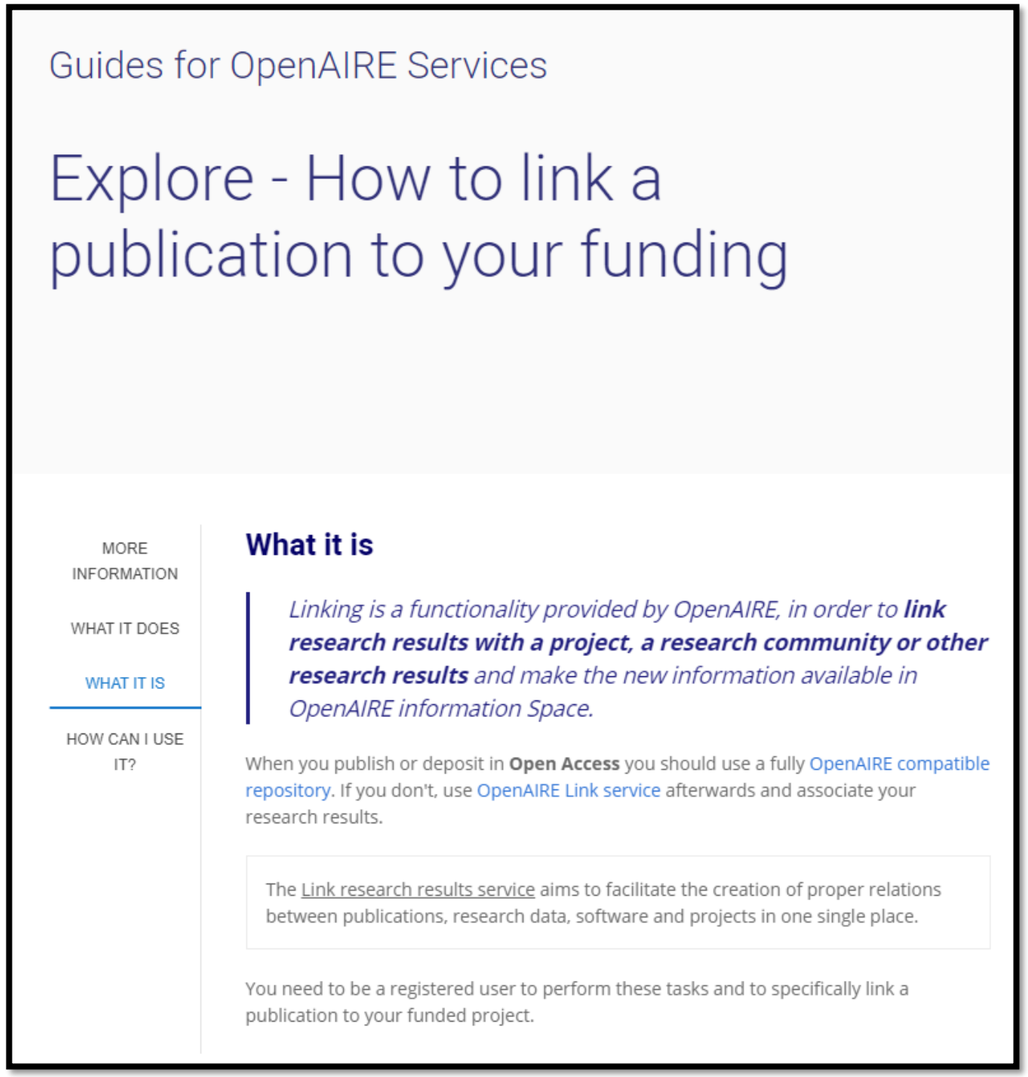




OpenAIRE

European Commission

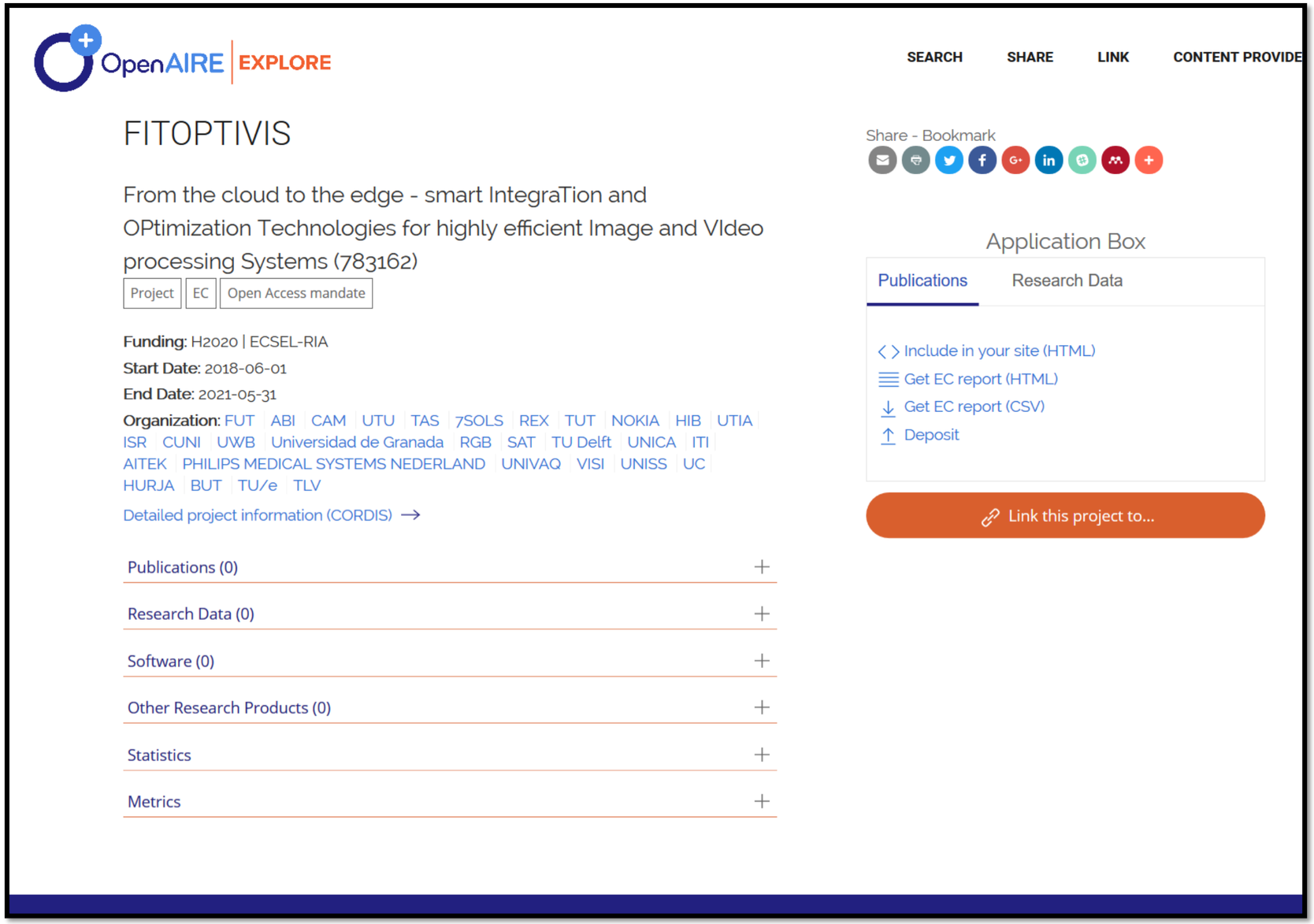
Check out this guide!



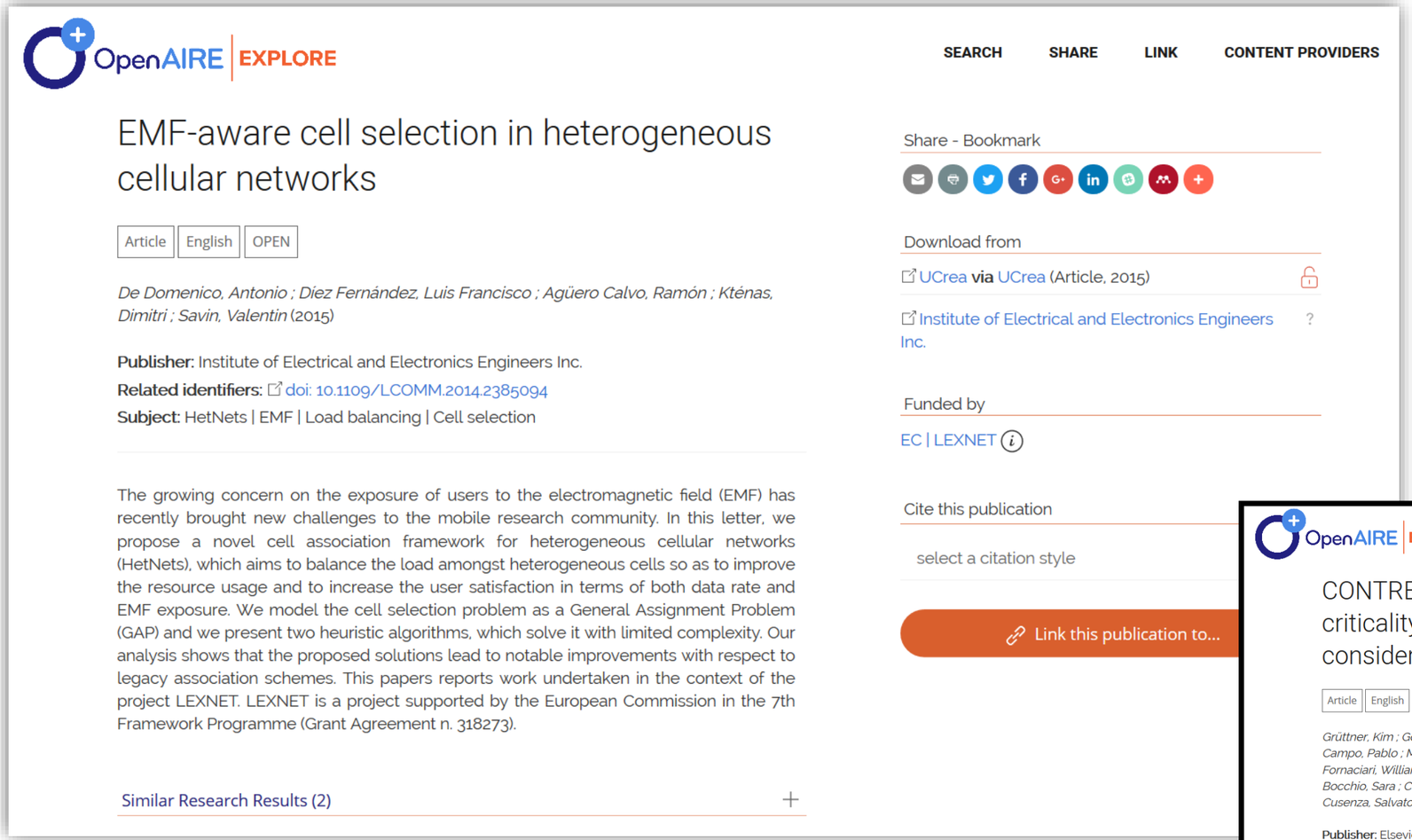
www.openaire.eu/claim-publication

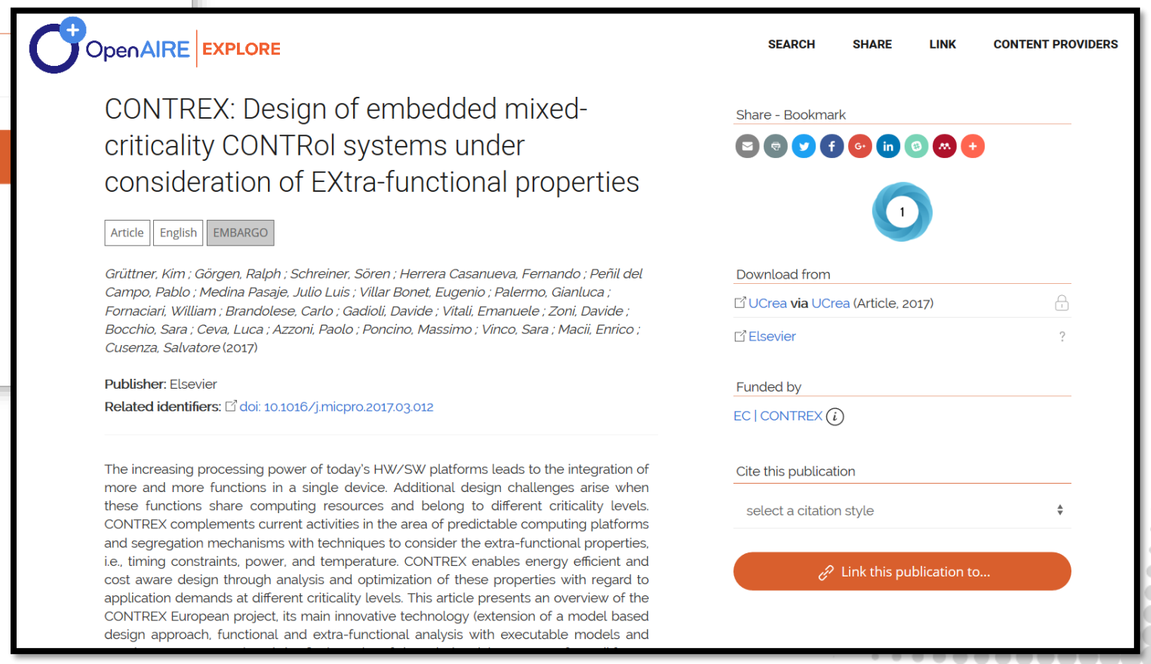
Gather outputs.
View progress and
report. Monitor.
Services for researchers, project
coordinators and research managers

Projects: publications and data



Projects: publications and data





OpenAIRE

European Commission

PROJECT PUBLICATIONS AND DATASETS

OpenAIRE

Automatically

European Commission

European Commission > CORDIS >

European Commission

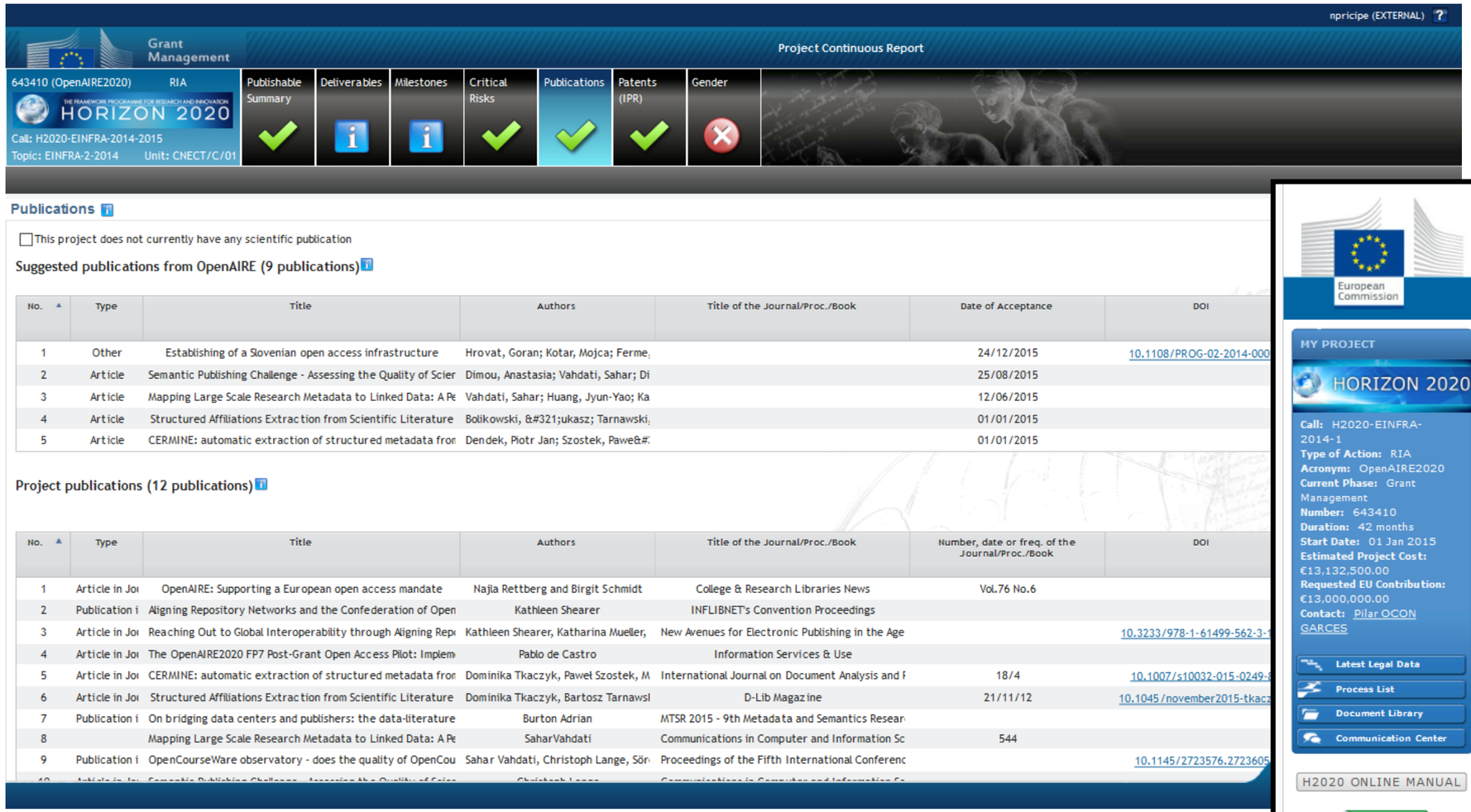
RESEARCH & INNOVATION

Participant Portal - Grant Management Services

MY PROJECT

HORIZON 2020

EC's participant portal

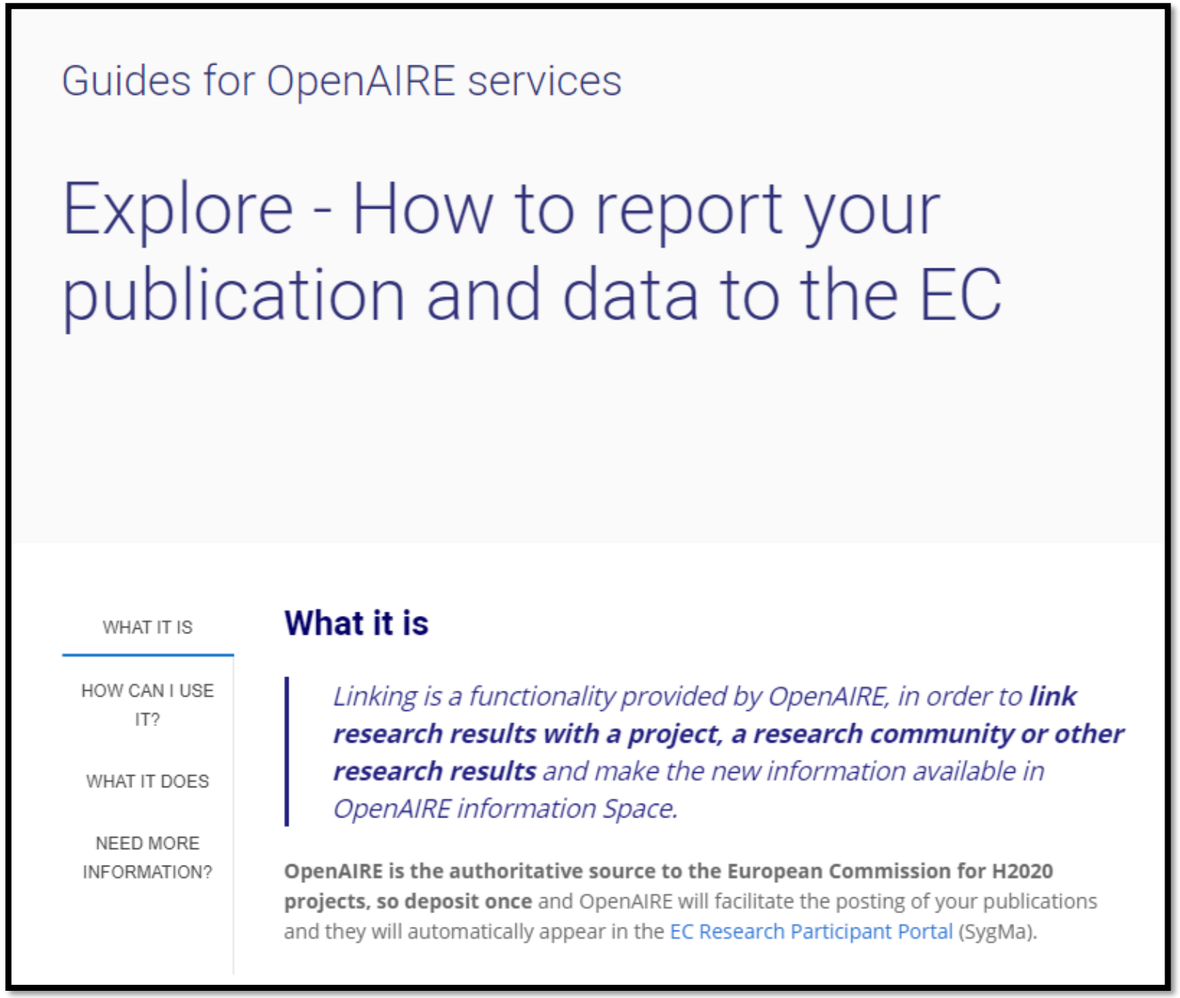


Continuous or Final Reporting

OpenAIRE

European Commission

Check out this guide!



Guides for OpenAIRE services

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

WHAT IT IS

HOW CAN I USE IT?

WHAT IT DOES

NEED MORE INFORMATION?

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

OpenAIRE services support guides

www.openaire.eu/zenodo-guide www.openaire.eu/reporting-to-the-ec www.openaire.eu/claim-publication

OpenAIRE

European Commission

Support Resources

www.openaire.eu/support

Primers

Getting started on Open Science good practices

www.openaire.eu/os-primers

Guides

Howto's on practicing Open Science and on using OpenAIRE services

www.openaire.eu/guides

Factsheets

Quick references on Open Science in H2020 topics

www.openaire.eu/openaire-h2020-factsheets

FAQs

Quick answers to Open Science practices and OpenAIRE services issues

www.openaire.eu/faqs

Use cases

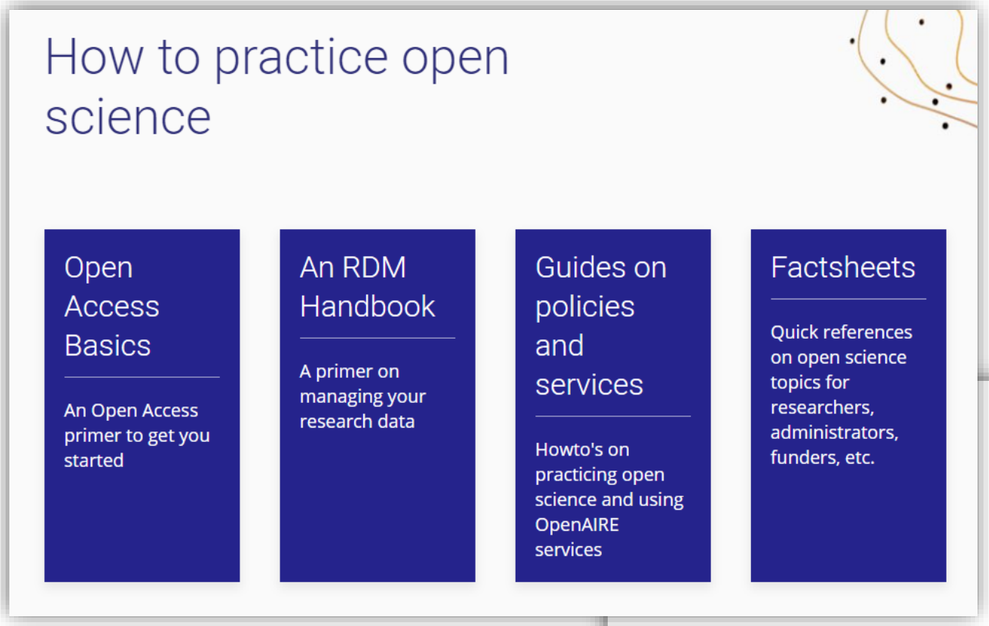
of OpenAIRE services for different stakeholders

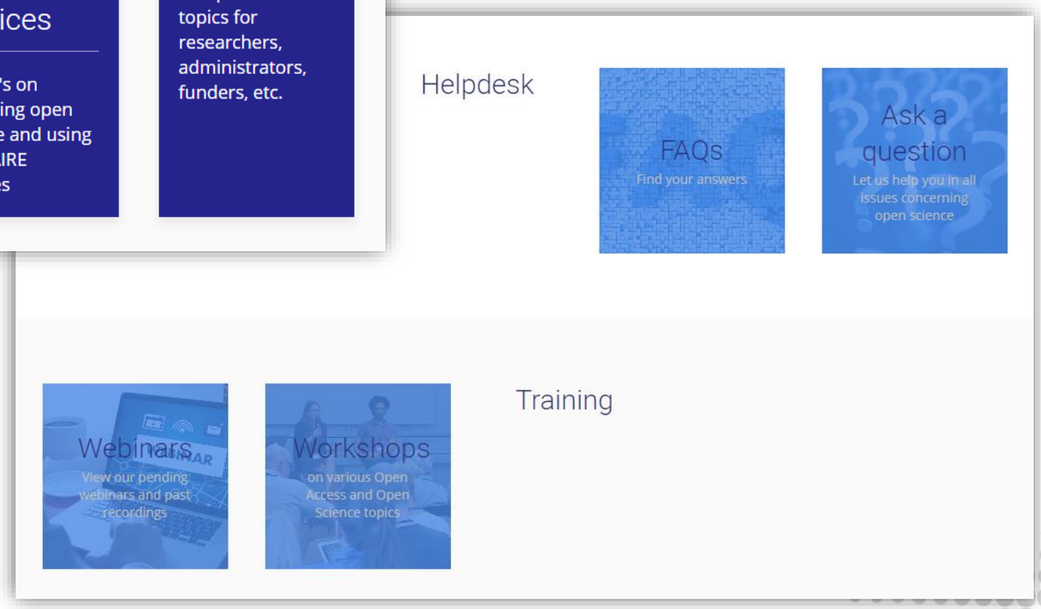
www.openaire.eu/use-cases

Webinars

Training on Open Science topics

www.openaire.eu/frontpage/webinars





FOSTER

Open Access to Publications in Horizon 2020

Questions?

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

OpenAIRE