

WEBINAR

Open Access to publications in Horizon 2020

2 December 2016

Overview

- 1. From FP7 to H2020
- 2. Summary of requirements
- 3. Practical implementation
- 4. OpenAIRE support services and tools



FROM FP7 TO H2020

1

EC OA Mandate Progression

FP7 OA Pilot (2008)

- Grant agreement SC39
- 20% programme areas
- Deposit in Repositories
- ERC's OA Guidelines: Deposit in discipline (or institutional) repositories. Cap embargo.

Horizon 2020 (2014)

- All grant agreements
- 100% programme areas
- Deposit in Repositories
- Open Data Pilot



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 infrastructure





Multibeneficiary General Model Grant Agreement



29.2 Open access to scientific publications;29.3 Open access to research data

AGA - Annotated Model Grant Agreement

Version 2. 1 30 October 2015



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.



SUMMARY OF REQUIREMENTS

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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



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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** (<u>www.zenodo.org</u>) if none of the above is available a EC-cofunded, multidisciplinary repository, for publications & data

Remarks:

- Finding a repository via registries: ROAR http://roar.eprints.org/,
 OpenDOAR http://www.opendoar.org/ or via OpenAIRE (more details later)
- 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 (compare SHERPA/RoMEO database).



PRACTICAL IMPLEMENTATION

3

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)



Average APC?

Björk/Solomon estimated (2014) 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.)



Some issues to consider

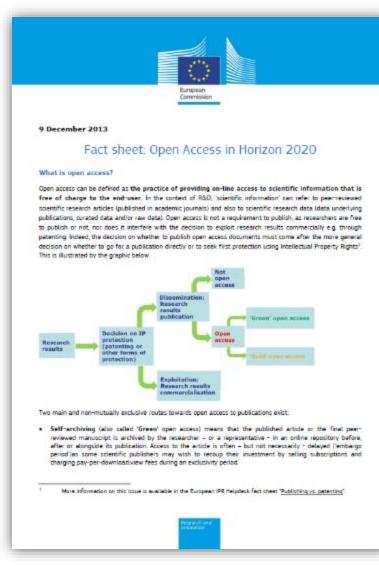
- 1. Publishing *all* articles in APC based gold OA is not probably the right solution, as this can lead to a substantial amount of the overall project budget. Therefore, a mixed strategy of GREEN/GOLD open access is highly recommended.
- 2. The growing open access market comes with some challenges
 - Lots of new journals/publishers, some of questionable quality (,predatory journals', http://scholarlyoa.com/publishers/)

Some caution is needed when publishing, this holds for all journals. Consult ,white lists' such as DOAJ.



EC SUPPORT INFO

- ✓EC Open Access Factsheet:
- https://ec.europa.eu/programmes/horiz on2020/sites/horizon2020/files/FactShe et_Open_Access.pdf
- ✓ Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020
- http://ec.europa.eu/research/participa nts/data/ref/h2020/grants_manual/hi/o a_pilot/h2020-hi-oa-pilot-guide_en.pdf



OPENAIRE SUPPORT SERVICES AND TOOLS

4

OpenAIRE implements the OPEN ACCESS EC requirements



- INSTITUTIONAL

 REPOSITORY

 of the research

 institution with which

 they are affiliated
- SUBJECT/THEMATIC REPOSITORY
- 3 Centralised option set up by the OpenAIRE project and CERN

OpenDOAR



as authoritative repository registries

Through OpenAIRE you can be directed to: Publication repositories (OpenDOAR), Research Data repositories (RE3DATA). If no repository is available: Zenodo at CERN (sponsored by OpenAIRE) OpenAIRE harvests directly from a number of OpenAIRE compliant OA publishers and journal aggregators.



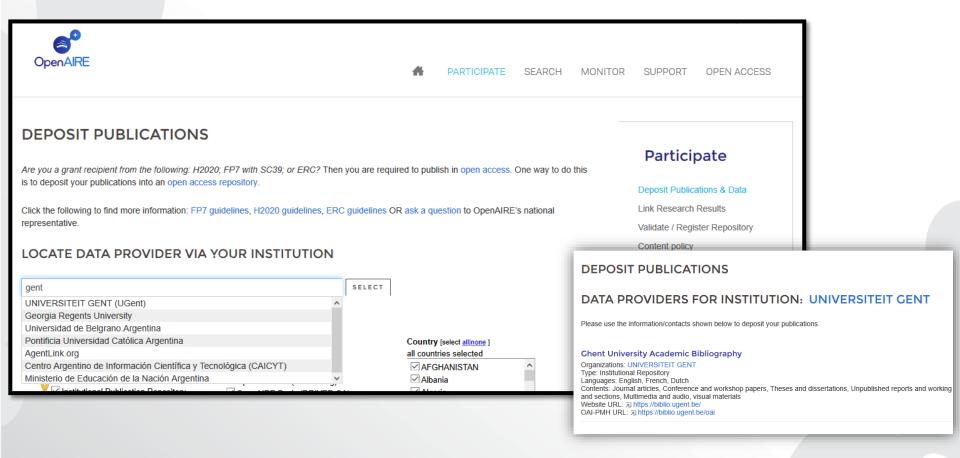
Deposit once!

LOCATE AN APPROPRIATED REPOSITORY

Via OpenAIRE



OpenAIRE Find where to deposit







OpenAIRE Data providers LIST



www.openaire.eu/search/data-providers





Zenodo Repository

"Catch-all" repository: OpenAIRE-CERN joint effort

- Multiple data types
 - Publications
 - Long tail of research data
- Citable data (DOI)
- Links to funding, pubs, data, software





H2020: Option to gather, preserve and share project's scientific output

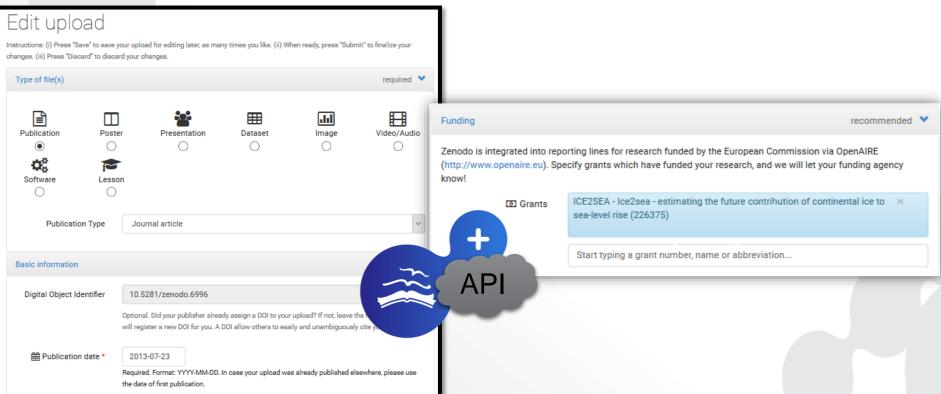


Acknowledge

PROJECT FUNDING IN THE BIBLIOGRAPHIC RECORD



Acknowledge project funding in the article's metadata: ZENODO





Title *

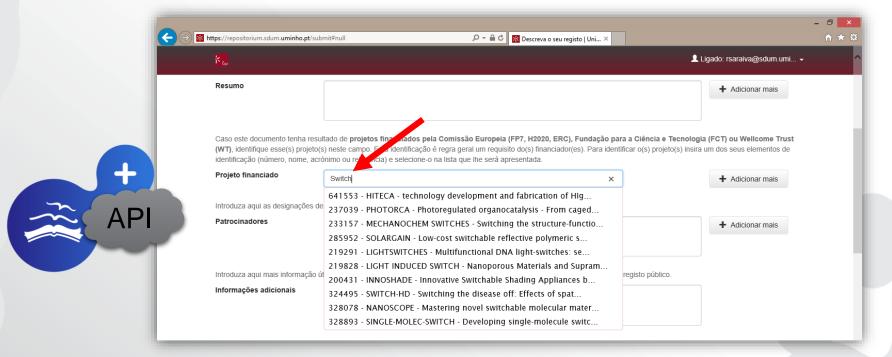
The gravitationally consistent sea-level fingerprint of future terrestrial ice loss



OpenAIRE Funders Projects List

REPOSITORIES DEPOSIT WORKFLOW:

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





OpenAIRE

STREAMLINES PROJECT REPORTING

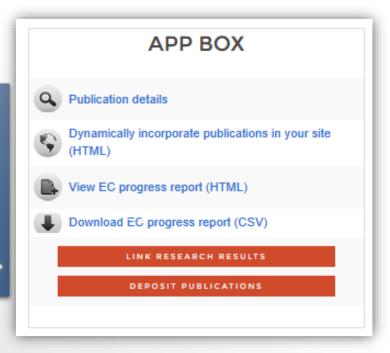
Maintains a page for every EC (H2020, FP7) project, featuring project information, related project publications and datasets, and a statistics section.



PROJECTS PUBLICATIONS LIST

https://www.openaire.eu/search/find/projects

OpenAIRE portal includes an App Box to generate a project publication list.
Communicate your project results.







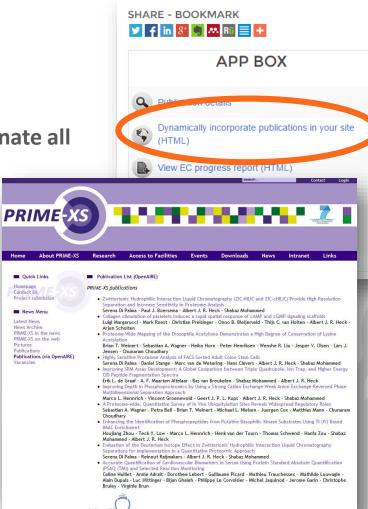
OpenAIRE Project apps

Use OpenAIRE to aggregate and disseminate all

project's publications











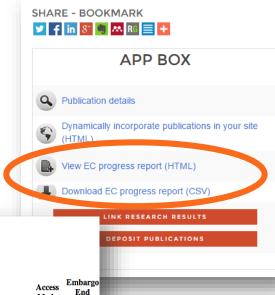
Project report

All project publications in HTML or CSV

Publications of Project ELISA

445 publications

| Title | Author | Publisher | Publication Date | Permanent Identifier | Access Mode | End Date |
|--|-----------------|------------------------------------|---------------------|--|----------------|-------------|
| Low-temperature fabrication of layered self organized ge clusters by RF-sputtering | Pinto, S. R. C. | Springer Verlag | 2011-04-14 | http://hdl.handle.net/1822/15689 | OPEN | |
| The high-resolution structure of the extracellular domain of human CD69 using a novel polymer | Kolenko, Petr | WILEY-BLACKWELL PUBLISHING, INC | 2009-01-01 | http://dx.doi.org/10.1107/S1744309109043152 | CLOSED | |
| Structural and magnetic study of the annealing of Fe-Co nanoparticles | Desvaux, Celine | ROYAL SOC CHEMISTRY | 2010-01-01 | http://dx.doi.org/10.1039/b916294a | CLOSED | |
| Neuroprotective action of FK-506 (tacrolimus) after seizures induced with pilocarpine: quantitative and topographic elemental analysis of brain tissue | Chwiej, Joanna | SPRINGER | 2010-01-01 | http://dx.doi.org/10.1007/s00775-009-0597-2 | CLOSED | |
| Energy band structure and optical response function of | Dakalawa C | AMED DUVSICAL SOC | 2010.01.01 | http://dv.doi.org/10.1103/DhusDavD.91.075114 | CLOSED | |





CAN'T FIND OR SEE ALL OF YOUR PROJECT'S PUBLICATIONS IN OPENAIRE AT REPORTING TIME?

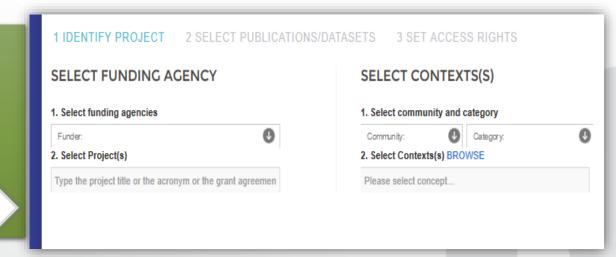


LINK RESEARCH RESULTS TOOL

https://www.openaire.eu/participate/claim

Link publication or datasets to projets.

Identify the project, select publications or datasets and set the access rights.











Automatically



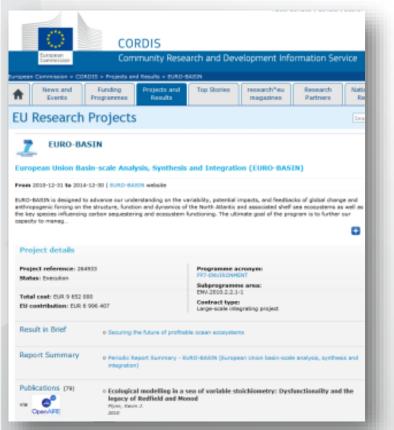


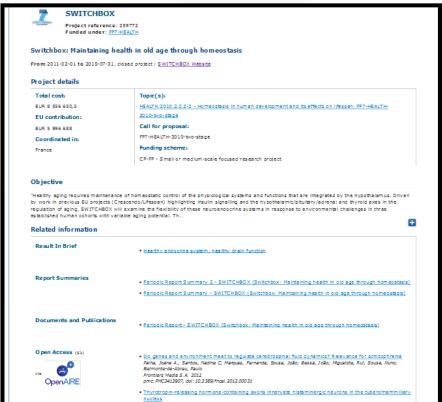




Automatically







Once you deposit in a fully OpenAIRE compliant repository

YOUR PUBLICATIONS WILL BE REPORTED AUTOMATICALLY TO THE EC'S PARTICIPANT PORTAL AT REPORTING TIME.



EC's participant portal





You are free to deposit your peer-reviewed publications in those repositories most appropriate for your subject and publication (for instance a thematic or institutional repository). But you must continuously report all publications related to your project in 1 of the following 3 ways:

1. OpenAIRE

For publications accessible via OpenAIRE, references to these publications (with link to the project ID) are displayed automatically in the reporting section of the Participant Portal for the project.

Simply check if the references are directly linked to the work performed within the project. If so, tick these publications as relevant and they will then be included in the table of publications when the report is generated.

OpenAIRE

links and federates existing repositories. As such it provides access to publications that have been deposited in all repositories that are technically interoperable with OpenAIRE ("OpenAIRE compliant")

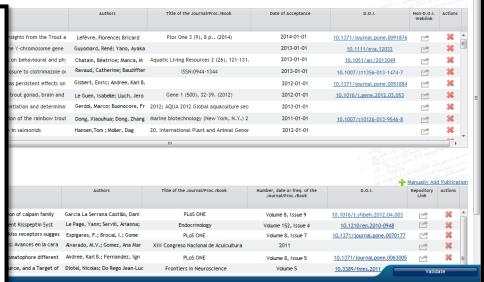
For publications not registered via OpenAIRE, you must enter the Digital Object Identifier (DOI). All the other columns of the table will then be filled automatically.

DOI - Digital Object Identifier

Permanent identifier which should be a persistent link to the published version full text or abstract (if article is pay per view) or to the final manuscript accepted for publication (link to article in repository).

3. No OpenAIRE or DOI

you must manually enter the full reference data.

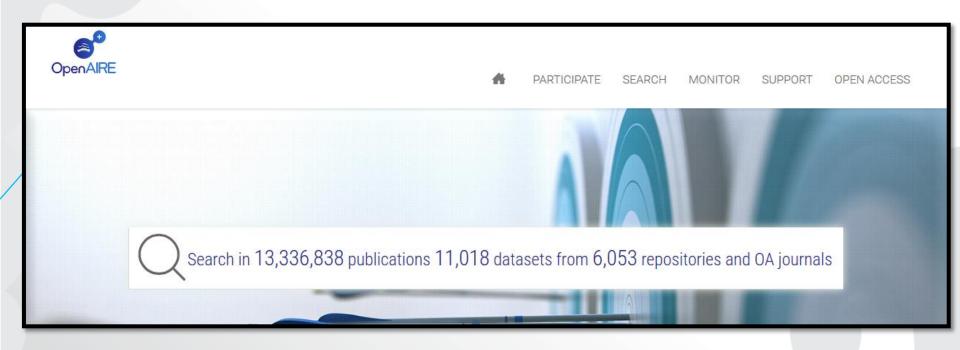






Discover and reuse

Research in context. Navigate and find related research entities.







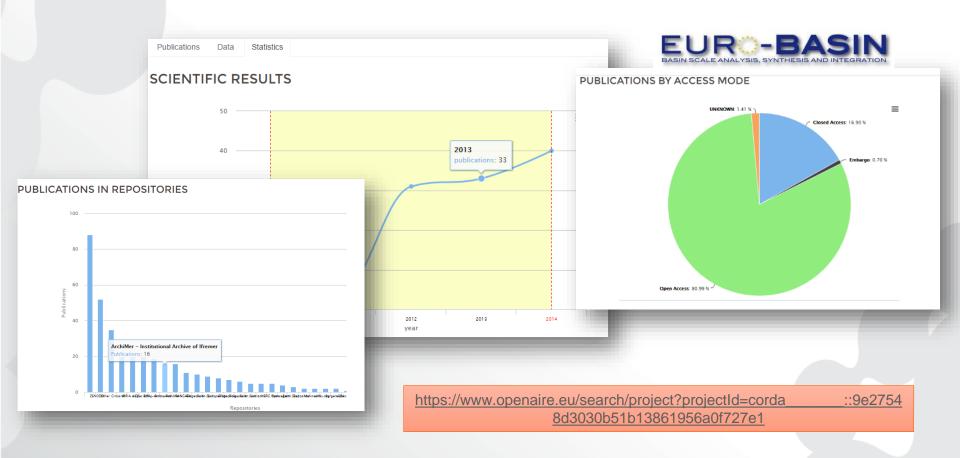
Statistics and monitoring

- Individual statistics
 - Project, publication/data (usage), author (see demo)
- Aggregated statistics for
 - Funding agency, programme, scientific area, country, institution
 - OA evaluation
- Advanced statistics based on content classification and clustering
- We welcome special requests work in progress





Project Statistics







Q&A

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