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
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**
Multi-beneficiary 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
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 chosen.
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 (compare SHERPA/RoMEO database).
PRACTICAL IMPLEMENTATION
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?

\[ \text{APC} = \text{Article Processing Charges} \]

**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)
Björk/Solomon estimated (2014) the average price of Article Processing Charges (APC)

- for established open access journals at ca. 1,020 EUR
- 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:
  

✓ Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020:
  
OPENAIRE SUPPORT SERVICES AND TOOLS
OpenAIRE implements the OPEN ACCESS EC requirements
Depositing

1. INSTITUTIONAL REPOSITORY
   of the research institution with which they are affiliated

2. SUBJECT/THEMATIC REPOSITORY

3. ZENODO REPOSITORY
   Centralised option set up by the OpenAIRE project and CERN

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
Find where to deposit

DEPOSIT PUBLICATIONS

Are you a grant recipient from the following: H2020, FP7 with SC39, or ERC? Then you are required to publish in open access. One way to do this is to deposit your publications into an open access repository.

Click the following to find more information: FP7 guidelines, H2020 guidelines, ERC guidelines OR ask a question to OpenAIRE’s national representative.

LOCATE DATA PROVIDER VIA YOUR INSTITUTION

DEPOSIT PUBLICATIONS

DATA PROVIDERS FOR INSTITUTION: UNIVERSITEIT GENT

Please use the information/contacts shown below to deposit your publications.

Ghent University Academic Bibliography
Organizations: UNIVERSITEIT GENT
Type: Institutional Repository
Languages: English, French, Dutch
Contents: Journal articles, Conference and workshop papers, Theses and dissertations, Unpublished reports and working and sections, Multimedia and audio, visual materials
Website URL: https://biblio.ugent.be/oai
OAI-PMH URL: https://biblio.ugent.be/oai
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

www.zenodo.org
Acknowledge

PROJECT FUNDING IN THE BIBLIOGRAPHIC RECORD
Acknowledge project funding in the article’s metadata: ZENODO
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.
OpenAIRE portal includes an App Box to generate a project publication list. Communicate your project results.

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

Use OpenAIRE to aggregate and disseminate all project’s publications
Project report

All project publications in HTML or CSV

<table>
<thead>
<tr>
<th>Title</th>
<th>Author</th>
<th>Publisher</th>
<th>Publication Date</th>
<th>Permanent Identifier</th>
<th>Access Mode</th>
<th>Embargo End Date</th>
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<tr>
<td>Low-temperature fabrication of layered self organized ge clusters by RF-sputtering</td>
<td>Pinto, S. R. C.</td>
<td>Springer Verlag</td>
<td>2011-04-14</td>
<td><a href="http://hdl.handle.net/1822/15589">http://hdl.handle.net/1822/15589</a></td>
<td>OPEN</td>
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<td>The high-resolution structure of the extracellular domain of human CD69 using a novel polymer</td>
<td>Kolenko, Petr</td>
<td>WILEY-BLACKWELL PUBLISHING, INC</td>
<td>2009-01-01</td>
<td><a href="http://dx.doi.org/10.1107/S1744309109043152">http://dx.doi.org/10.1107/S1744309109043152</a></td>
<td>CLOSED</td>
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<td>Structural and magnetic study of the annealing of Fe-Co nanoparticles</td>
<td>Desvan, Celine</td>
<td>ROYAL SOC CHEMISTRY</td>
<td>2010-01-01</td>
<td><a href="http://dx.doi.org/10.1039/b916294a">http://dx.doi.org/10.1039/b916294a</a></td>
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<td>Neuroprotective action of FK-506 (tacrolimus) after seizures induced with pilocarpine: quantitative and topographic elemental analysis of brain tissue</td>
<td>Chwir, Joanna</td>
<td>SPRINGER</td>
<td>2010-01-01</td>
<td><a href="http://dx.doi.org/10.1007/s00275-009-0597-2">http://dx.doi.org/10.1007/s00275-009-0597-2</a></td>
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<td>Energy band structure and optical response function of the uniaxially aligned GaN nanowires and dots</td>
<td>Dhulipala, S.</td>
<td>AMRO PUBLISHERS SOCIETY</td>
<td>2010-01-01</td>
<td><a href="http://dx.doi.org/10.4103/0974-8241.114">http://dx.doi.org/10.4103/0974-8241.114</a></td>
<td>CLOSED</td>
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</tbody>
</table>
CAN'T FIND OR SEE ALL OF YOUR PROJECT'S PUBLICATIONS IN OPENAIRE AT REPORTING TIME?
Link publication or datasets to projects. Identify the project, select publications or datasets and set the access rights.

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

1. Identify project
2. Select publications/datasets
3. Set access rights

Select funding agency
1. Select funding agencies
2. Select project(s)

Select contexts(s)
1. Select community and category
2. Select contexts(s) BROWSE

Type the project title or the acronym or the grant agreement
PROJECT PUBLICATIONS

Automatically
Switchbox: Maintaining health in old age through homeostasis

From 2011-02-01 to 2015-01-31, closed project / SWITCHBOX-[project number]

**Project details**

- **Total costs**: [Cost amount]
- **EU contribution**: [EU contribution amount]
- **Coordination**: [Coordination details]
- **Funding scheme**: [Funding scheme details]

**Objective**

Healthy aging requires maintenance of homeostatic control of the physiological systems and functions that are integrated by the hypothalamic drive by nerve in related EU projects (Cordis/Europe) highlighting the role of stress and the hypothalamus/pituitary/adrenal and physical stress in the regulation of aging. SWITCHBOX will examine the feasibility of stress hormones and the insulin resistance response to environmental changes in those early-life controls that vary age potential.

**Related information**

- **Result in Brief**
- **Report Summaries**
- **Documents and Publications**
- **Open Access**
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")

2. DOI
   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

https://www.openaire.eu/search/project?projectld=corda::9e27548d3030b51b13861956a0f727e1
Q&A

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