



Open Access to Publications

From FP7 Pilot to Horizon 2020 Mandate



Overview

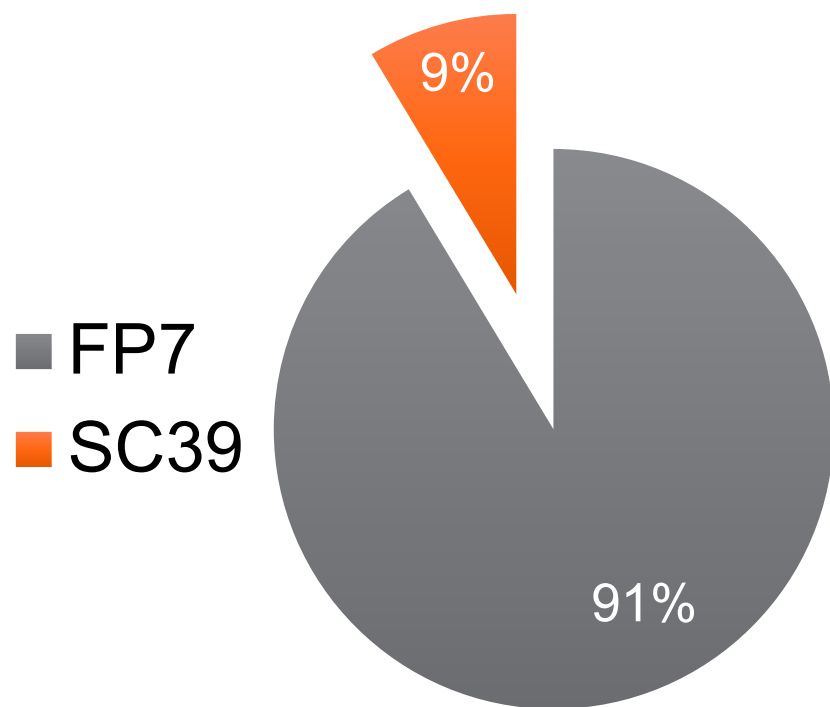
1. Summary of requirements
2. Practical implementation
3. Discussion



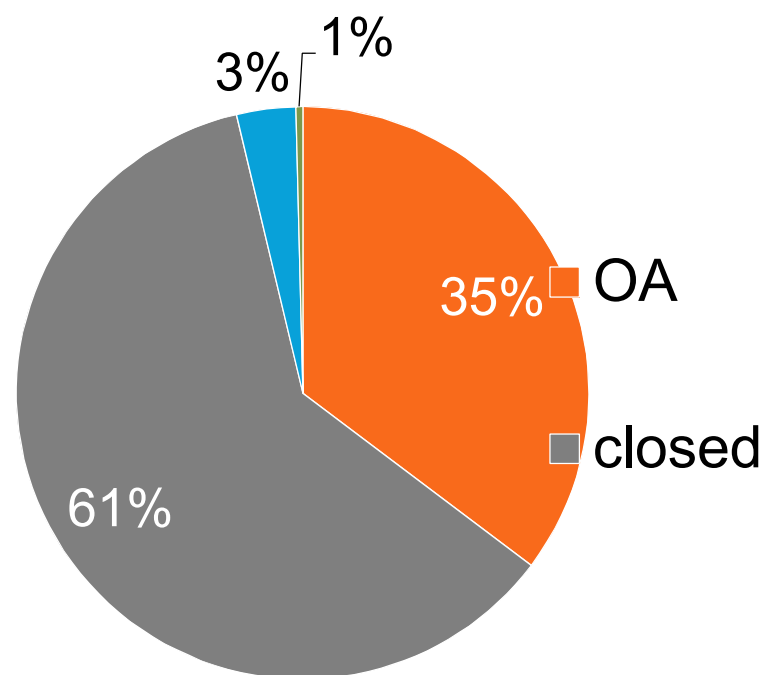
How was Open Access implemented in FP7?

- 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



SC39 OA evaluation

FP7 OA pilot evaluation

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 does this mean?

- 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.

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.



Where to deposit

- Institutional repository

OR

- Disciplinary repository (arXiv, Europe PubMed Central, etc.)

OR

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

Remarks:

- ERC: Strong recommendation to use disciplinary repositories (agreements with arXiv and Europe PMC).
- Finding a repository via registries: ROAR <http://roar.eprints.org/>, OpenDOAR <http://www.opendoar.org/> or via OpenAIRE (see demo)
- 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)

When to deposit



- 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 of 6-36 months (compare SHERPA/RoMEO database).

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 gold OA may be challenging, 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/>)
 - Glossy magazines seize the market opportunities too.Some caution is needed when publishing, this holds for all journals. **Consult ,white lists‘ such as DOAJ.**

What practices, what issues?

3. Some publishers are **worried about GREEN OA** and demand long embargo periods and/or agreements with research funders.
Ca. 65% of publishers allow posting in repositories (some with embargos). Agreements with publishers do not seem advisable as this typically perpetuates the status quo regarding restrictions to deposit in repositories (or adds a price).
4. **Copyright remains an issue**: authors still sign away too many rights, i.e. the deposited copy can typically only be used in a limited way (download, printing, etc.) but is not available under an open content license (Creative Commons or similar).
Authors need support by the funder, institutional and national policy to secure such rights.



Dissemination strategy & OA

- Strategy: goals, target audiences, messages
 - Methods and tools
 - Conventional dissemination material: logo, fact sheet, presentation, press release, newsletter, website, etc.
 - Social media channels and networks
 - Peer reviewed publications and participation in conferences
 - List of targeted journals and conferences >> with quality tiers, OA/non-OA
 - Recommended OA repositories for publications and data
 - Additional guidance
 - Publication budget (typically from each partner's budget) - OA and non-OA
 - Acknowledgement statement
 - Maximum embargo period for OA
 - Recommended licenses for publications and data
- >> Consider to complement this by provisions in the Consortium Agreement

What are your FAQs from projects?

- OA Publishing & APCs
- Do they use OA repositories?
- Embargos for GREEN OA
- What other issues?
- What are your recommendations?

References

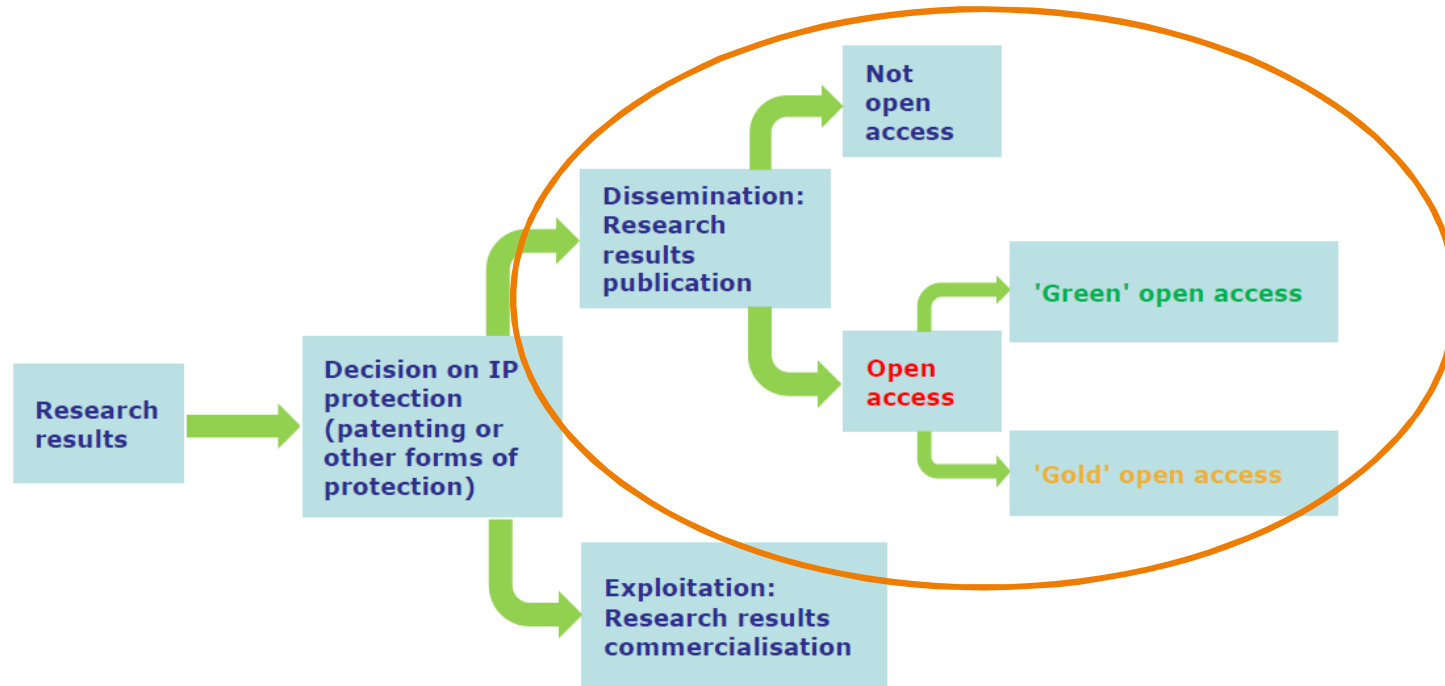
- Bo-Christer Björk, David Solomon (2014): Developing an Effective Market for Open Access Article Processing Charges, http://www.fwf.ac.at/de/public_relations/oai/pdf/Dev_Effective_Market_OA_Article_Processing_Charges.pdf

Example: List of targeted journals (FuelFromWaste project)

- British Food Journal >> publisher: Emerald - OA: author can voluntarily self-archive without payment or embargo (but 24 months embargo if there is a mandate or ask for exception) / Gold OA Fee (hybrid) of **£995/article**
- International Journal of Production economics >> publisher: Elsevier - OA: Gold OA Fee (hybrid) of **\$1800/article** - author can voluntary self-archive immediately (embargo period if a mandate applies)
- Journal of Cleaner Production >> publisher: Elsevier - OA: Gold OA Fee (hybrid) of **\$3300**, same policy for green OA as above
- International Biodeterioration and Biodegradation Waste Management >> publisher: Elsevier - OA: Gold OA Fee (hybrid) of **\$2500**
- Informatore agrario-speciale energie rinnovabili - categorized as a journal without peer review
- Journal of Analytical and Applied Pyrolysis >> publisher: Elsevier - OA: Gold OA Fee (hybrid) of **\$2600**
- Catalysis Today >> publisher: Elsevier - OA: Gold OA Fee (hybrid) of **\$3300**
- Journal of Nanotechnology >> publisher: IOP Science - OA: Gold OA Fee (hybrid) of **\$2700/€1950** - author can post postprint with **12 months embargo**
- Chemical Engineering Journal >> publisher: Elsevier - Gold OA Fee (hybrid) of **\$3300**

Research results & their exploitation and/or dissemination

The decision on whether to publish open access comes **after** the decision on whether to seek protection for intellectual property rights. We'll concentrate on cases where the researchers have decided to publish their results.



IPR Helpdesk, Factsheet Open access to publications and data in Horizon 2020

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Open_Access_in_H2020_0.pdf

Examples: A SC39 project

← → ↻ www.amarsi-project.eu/impact

AMARSi

SEVENTH FRAMEWORK PROGRAMME

EUROPEAN UNION

facts research **impact** news partners publications robots

impact

- publications
 - Authors
 - Keywords
- dissemination events
 - talks
 - conference presentations
 - workshops
 - popular press
 - exhibitions
 - interviews
 - press releases
 - videos
 - news expanded
- open source
- deliverables
- photos & videos

impact

The AMARSi project aims at high impact in society. Human motions, robotics, bio-inspired intelligence and learning are the main scientific areas.

AMARSi further aims at changing the way robots interact with humans by introducing more flexible, compliant, learning and user friendly robots.

The project fosters dissemination activities in the following areas:

- The AMARSi project commits to a number of public deliverables that are periodically published online on the deliverable page.
- Peer-reviewed publications are made immediately available on the publication page of the AMARSi website.
- Dissemination events as keynote talks, conference talks, media events and others are advertised online via Twitter and listed in our news page.
- The project commits to the publication of blueprints and source code.
- Images and dissemination videos are available on the AMARSi YouTube channel and

Twitter

Tweets Follow

Webots @webots 11 Dec
New stunning #AMARSi's #Oncilla robot simulation [ow.ly/rEHDN](#) [ow.ly/rEHNW](#)
Retweeted by AMARSi Project
Expand

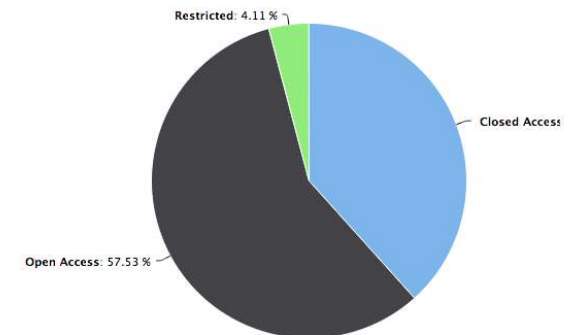
Arne Nordmann @norro58 9 Oct
"Ein Vierbeiner für Bielefeld" [botzeit.de/blog/2013-10-0...](#) (german) /via @robotik #quadruped #amarsi
Retweeted by AMARSi Project
Expand

Publications - PDFs, links repositories, some links to publisher websites, some just a search in GScholar

AMARSI - What is the open access share?

The screenshot shows the Ghent University Academic Bibliography website for Project AMARSI. The URL is <https://biblio.ugent.be/project/41807809>. The page features the Ghent University logo and navigation tabs for Home, Publications, People, Organizations, and Projects. A search bar is located on the right. The main content area displays the project title "Project AMARSI: Adaptive Modular Architecture for Rich Motor Skills" and its duration "28/02/10 - 28/02/14". Below this, there are options to "show: 10" and "sort: year (new to old)", along with buttons for "News feed", "Embed this list", "Save this search", "Mark all", and "Export". A list of publications is shown, with the first entry being "Robustness: a new SLIP model based criterion for gait transitions in bipedal locomotion" by Harold Roberto Martinez Salazar, Juan Pablo Carbajal UGent and Yuri P. Ivanenko (2014). To the right, there are two pie charts: one for "Publications" showing "Open Access (45.5%)" and another for "Project authors" showing "Publications Access Mode" with "Open Access: 57.53%", "Restricted: 4.11%", and "Closed Access".

- OpenAIRE records 73 publications - of these c 58% are OA
- Project website lists 214 publications
- The project has closed in February 2012



Another example: TRUST

- SC39 project, 83% OA via institutional repository

The screenshot shows a web browser displaying the TRUST project page on the CORDIS website. The browser's address bar shows the URL cordis.europa.eu/projects/265122. The page features the TRUST logo and the CORDIS logo (Community Research and Development Information Service). The project title is "Transitions to the Urban Water Services of Tomorrow". The project details section includes:

- Project reference:** 265122
- Status:** Execution
- Total cost:** EUR 9 293 582
- EU contribution:** EUR 6 982 781
- Programme acronym:** FP7-ENVIRONMENT
- Subprogramme area:** ENV.2010.3.1.1-1
- Contract type:** Large-scale integrating project

The page also lists publications, including "Financial sustainability rating tool for urban water systems" and "Report on System Development, Method Applicability and Pipeline Condition Data for Modeling Purposes". A sidebar on the right contains sections for "See also", "Do not miss", and "Related services".

A non-SC39 project: CONFINE



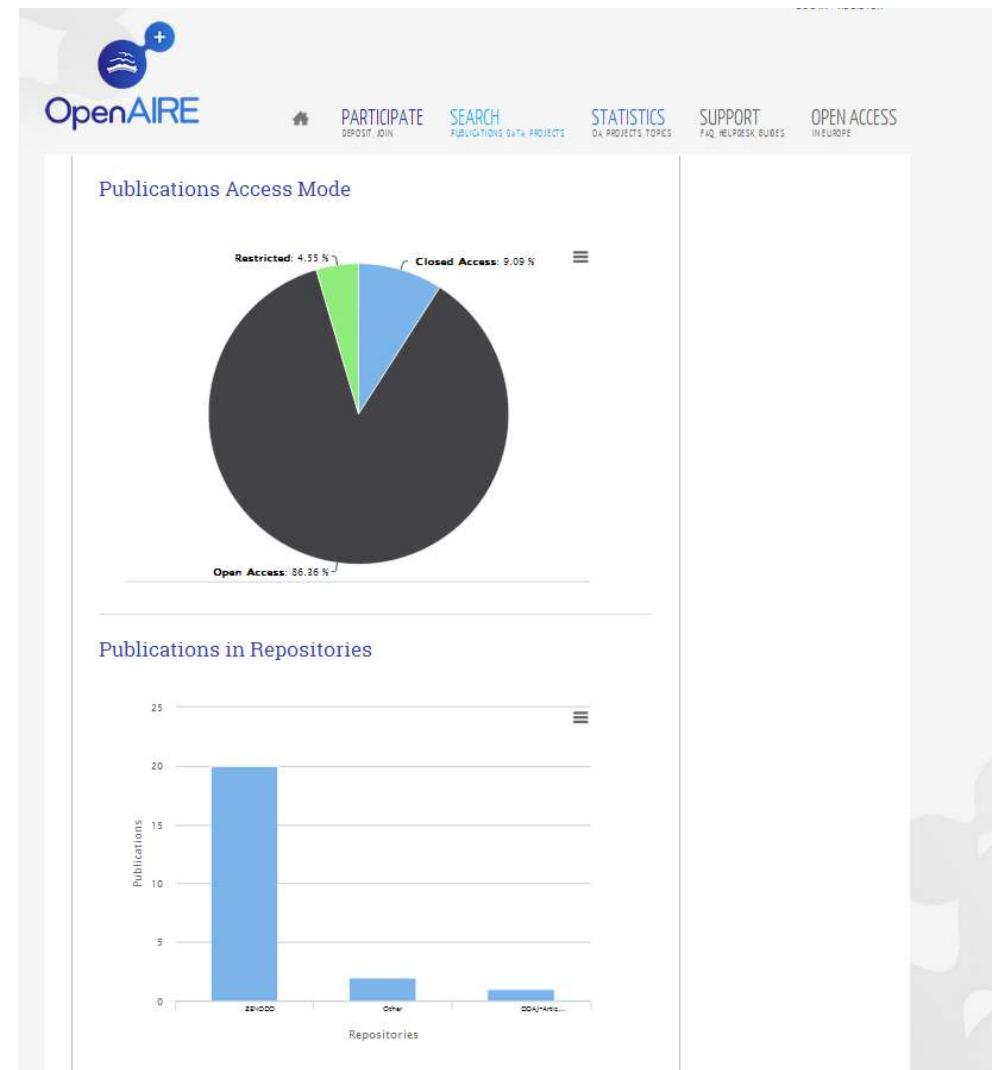
CONNECTED COMMUNITIES
CONFINE
COMING

- Curates publication list via OpenAIRE, i.e. the list can be considered complete
- 86% OA, 5% embargoed, 9% closed access
- Use of ZENODO, other repositories, OA journals

The screenshot shows the Zenodo website interface. At the top, there's a navigation bar with 'Search', 'Communities', 'Browse', 'Upload', and 'Get started'. Below this, the 'CONFINE project' is featured. It includes a search bar and a list of recent uploads. Two uploads are visible:

- 12 June 2014** | Conference paper | Closed access
Live P2P Streaming in CommunityLab: Experience and Insights
Baldozi, Luca; Maccari, Leonardo; Lo Cigno, Renato
Wireless Community Networks (WCHs) are flourishing as a means of providing Internet access, but most of all as alternative, bottom-up approach to reduce the digital divide and empower the users with control on their network. Video streaming and ...
Uploaded by leabo on 12 June 2014.
- 07 February 2014** | Journal article | Open access
Energy-Aware Topology Control Strategy for Human-Centric Wireless Sensor Networks
Rio, Meseguer, Carlos Molins, Sergio F. Ochoa, Rodrigo Santos
The adoption of mobile and ubiquitous solutions that involve participatory or opportunistic sensing increases every day. This situation has highlighted the relevance of optimizing the energy consumption of these solutions, because their operation depends ...

On the right side of the uploads, there's a 'Community collection' for the CONFINE project, with a description: 'The EU FP7 project CONFINE is developing a community networks testbed. This community contains all CONFINE publications.' It also lists metadata: Title: CONFINE project, Curated by: cibraem, Curation policy: Not specified, Created: 2013-10-17, Harvesting API: OAH/IIIF Interface.



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How can national policies and legislation help?

- Aligning / Strengthening European and national OA policies
- Providing frameworks for infrastructure and support in institutions
- Setting rules and securing author rights, e.g. for deposition in OA repositories
- Examples
 - **Italy (Oct 2013):** publicly funded research (at least 50%), choice between green and gold road, storage in repository no later than 18 / 24 months for science, technology and medicine / humanities and social sciences articles
 - **Germany (Jan 2014):** resulting from research that is funded for at least 50% by public funds, work published in a periodical collection (at least biannual), the author is allowed to republish in OA for non-commercial purposes after a period of 12 months (even if exclusive rights have been assigned to a publisher)
 - **Spain (2011):** mandates researchers that are mainly funded by the National Government to make public a copy of the final version as soon as possible but no later than 12 months after publication
 - **Portugal FCT** policy applying to all funded results (including thesis and dissertations), issued on 5 May 2014
 - **Lithuania, Poland,...**