FOSTER

Open Access in H2020 and the OpenAIRE Infrastructure
Overview

1. From FP7 to H2020
2. Summary of H2020 requirements
3. Practical implementation
4. OpenAIRE support services and resources
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
How was Open Access implemented in FP7?

General framework: EC and ERC Guidelines

- 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
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

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 are the general 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

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. Eventual 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** ([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
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)?
  - 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.
Further information

EC SUPPORT INFO

✓ EC Open Access Factsheet:

✓ Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020
From a pilot in FP7 to a key service in H2020

11,456,839 publications and 7,314 datasets from 5,862 repositories and OA journals

OpenAIRE

OpenAIREplus

OpenAIRE2020
Jan. 2015 to Jun. 2018
SCIENCE SET FREE
Share research outputs. Shape a better future!

SUPPORTING THE EC’S HORIZON 2020 OPEN ACCESS MANDATE AND OPEN RESEARCH DATA PILOT

OpenAIRE is a European community and service-driven infrastructure that enables Open Science - implementing Open Access policies to all research results. It is a Pan-European Research Information System with services for discovering, storing, linking, analyzing & monitoring all research outputs across all scientific disciplines.

50 ORGANISATIONS.
ALL EUROPE’S MEMBER STATES, AND BEYOND.
Integrated Scientific Information System

+ 11 millions publications
+ 600 data providers
+ 116000 publications linked to projects from 3 funders (CE, Wellcome Trust + FCT)
+ 7000 datasets linked to publications
+ 33000 organizations
OpenAIRE in practice

OpenAIRE Portal
Information on publications, datasets, authors, projects, organizations, datasources...

www.openaire.eu
Services and tools – Content
# Services and tools – PROJECTS

**Switchbox**

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<td><strong>Scientific Area</strong></td>
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<td><strong>Organizations</strong></td>
<td>UMINHO, IEM HAS, MPG, CNRS, LUMC, LMU MUNCHEN</td>
</tr>
<tr>
<td><strong>More Information</strong></td>
<td>Detailed project information (CORDIS)</td>
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![App Box](Image)
Services and tools – ORGANISATIONS

UNIVERSITA TA MALTA

Malta

CLARIN (212230), OPENAIREPLUS (283395), EVIDENCE (608185), HIRF SE (205294), SCIENCE IN THE CITY (609750), POINT (217207), SCARP (618149), C2LEARN (318480), REMC (217028), EUMEDGRID-SUPPORT (246589), PMHS (247273), JERICO (262584), ILEARNRW (318803), EUCARD (227579), MAPPING (612349), CREATIVELITTLESCENT (289081), EUCARD-2 (312453), WIMAAS (217931), RD-CONNECT (305444), MYOCEAN (218812), PERSEUS (287600), FRAGSUS (323727), SMART (261727), ACROSS (314501), COCONET (287844), HILDA (314534), DESIRE (602531), SUWANU (319998), TOSTODEM (327455), ODICIS (233605), ALICIA (233682), SEADATANET II (283607), CONSENT (244643), PREVENT ESCAPE (226885), SCIENCE IN THE CITY (316532), GN3 (238875), CIVIC EPISTEMOLOGIES (632694), MED-SUV (308665), PRIMAS (244380), RESPECT (285582), MYOCEAN2 (283367), GN3PLUS (605243), DITEC (303539), REFLECT (618418), BBMRI (212111), REPEAR (604733), AUTOGAMEDESIGN (630665)

No organization datasources found
Services and tools – REPOSITORIES

596 OpenAIRE compatible data sources

<table>
<thead>
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<th>Name</th>
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<td>8997</td>
<td>Instituto Politécnico de Braga</td>
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</table>
Example: RepositoriUM in OpenAIRE
Services and tools – Statistics

OpenAIRE Monitoring

11,456,839 publications from 15,743 data sources
11,035,829 published in OA and 116,701 of them are linked to funding

Publications in repositories over time

See what is happening in European countries in terms of Open Access policies and numbers
Services and tools – Support information and Helpdesk

FAQ
Check out our most frequent questions. If you cannot find an answer to your question, please contact us through our helpdesk.

- General Info
- For Researchers
- For Data Providers
- For Research Managers
- For Funding Agencies
- OpenAIRE
- FP7 post-grant Open Access publishing funds

General Info
The basics about Open Access and how you can participate.
OpenAIRE in practice

Deposit
Locate a Repository >> Zenodo >> Claim publication >> Project Identification

Project view
Project report >> Project dissemination >> Project statistics
Deposit the final manuscript or publisher’s PDF in a repository, either institutional or disciplinary.

NB: It is not enough to list publications via a project website. They will go unnoticed!
Depositing

Publications and Data

• We want researchers to deposit into their institutional repository

• Through OpenAIRE they can be directed to
  • Publication repositories (OpenDOAR)
  • Research Data repositories (RE3DATA)

• If they don’t find one of their choice
  • Zenodo at CERN (sponsored by OpenAIRE)
Depositing

Deposit once

Find where to deposit
– publications & data

Locate repository

Deposit Publications

Are you a grant recipient from ERC or from FP7? You are required to deposit your publications into the open access institutional repository of the research institution with which you are affiliated. Click here to read more...

Locate repository via your institution

Or locate repository in map

Datasource type
- Journal
- Publication Repository
- Publication Repository Aggregator
- Journal Aggregator
- Web Source

Compatibility
- non compatible
- OpenAIRE publication basic (DRIVER)
- OpenAIRE publication 2.0
- OpenAIRE publication 3.0
- native

Country (select all)
- Argentina
- Austria
- Belgium
- Brazil
- Bulgaria

The place to share your research results
From CERN and OpenAIRE

Repository registries from

Participate

Deposit
Link research results
Join OA Network
Submission workflow

Searching by the name or the project id number
Submission workflow

Select the project and accept... the necessary namespace will be filled
Zenodo

“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

H2020: Option to gather, preserve and share project’s scientific output
Linking research results
Publications and data to projects

1. Identify project
2. Select Publications/Datasets
3. Set access rights

Select Funding Agency
1. Select funding agencies
   - Funder:
2. Select Project(s)
   - Type the project title or the acronym or the grant

Select Contexts(s)
1. Select community and category
   - Community:
   - Category:
2. Select Contexts(s) BROWSE
   - Please select concept

Participate
- Deposit
- Link research results
- Join OA Network
View aggregated project scientific output

You can get to a project landing page through the use of our search/browse facilities and search for your project either by the name, acronym or project identifier.

YOU MAY USE THE OPENAIRE SERVICES TO GET THE AGGREGATED PROJECT OUTPUT IN A FORMAT THAT YOU CAN USE FOR YOUR REPORTING OR MONITORING.

App Box

- Publication details
- Dynamically incorporate publications in your site (HTML)
- View EC progress report (HTML)
- Download EC progress report (CSV)

Link Research Results
Deposit Publications
A project report

All project publications in HTML or CSV

Still missing: **One click away to EC project reporting systems**
Thank you!

Questions?

http://www.fosteropenscience.eu/

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