

## THE REQUIREMENTS OF HORIZON 2020 REGARDING OPEN ACCESS AND OPEN DATA

Briefly the H2020 Open Access (OA) policy<sup>1</sup>:

- Is mandatory for peer-reviewed publications;
- Is mandatory for Green OA:
  - Researchers publish as usual in subscription-based journals;
  - Researchers place copy of peer-reviewed publications in repositories, at the latest upon publication;
- Sees payments for OA journal publication (Gold OA) as eligible for grant expenditure;
- Does not favour either Gold or Green OA;
- Requires open access via a repository to the bibliographic metadata that identify the deposited publication;
- Is silent as regards monographs;
- Is definite on data, announcing an open data pilot for H2020<sup>2</sup>.

In the '[Recommendation on Access to and Preservation of Scientific Information](#)<sup>3</sup>' and the [H2020 OA policy](#)<sup>4</sup>, the EC recommends that Member States:

- Develop OA policies;
- Ensure consistency between Member States and H2020 OA policy;
- Promote coordination at EU level;
- Report on progress at MS and EU level;
- Establish multi-stakeholder dialogue.

The rationale to promote OA policy alignment in Member States is to:

- Iron out dissonances for researchers working in interdisciplinary areas or on international teams;
- Support the EU harmonisation agenda for ERA (research conditions, researcher mobility, etc.);
- Change authors' practices and norms;
- Allow generic infrastructural services to be established in support of policy.

The H2020 OA policy recognises:

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1 Mafalda Picarra. *London Meeting of National Experts Summary: Working Together to Promote Open Access Policy Alignment in Europe*. PASTEUR4OA, 2015. Available at:

<http://www.pasteur4oa.eu/sites/pasteur4oa/files/resource/Meeting%20of%20national%20experts%20summary%20FINAL.pdf>.

2 *Guidelines on Data Management in Horizon 2020*. European Commission, 2015. Available at: [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-data-mgt\\_en.pdf?utm\\_source=Pipeline+Newsletter&utm\\_campaign=783525c38d-Pipeline\\_January\\_201401&utm\\_medium=email&utm\\_term=0\\_a11772394f-783525c38d-](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf?utm_source=Pipeline+Newsletter&utm_campaign=783525c38d-Pipeline_January_201401&utm_medium=email&utm_term=0_a11772394f-783525c38d-)

3 *Recommendation on Access to and Preservation of Scientific Information*. European Commission, 2012. Available at: [https://ec.europa.eu/research/science-society/document\\_library/pdf\\_06/recommendation-access-and-preservation-scientific-information\\_en.pdf](https://ec.europa.eu/research/science-society/document_library/pdf_06/recommendation-access-and-preservation-scientific-information_en.pdf).

4 *Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020*. European Commission, 2013. Available at: [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf).

- Coordination across the EU;
- 28 Member States (some of which already have policies of their own);
- Some countries have centres of expertise, many do not;
- Some countries may welcome support, others may happily offer support;
- Co-ordination is key.

As regards research data:

- The 2012 European Commission recommendation on access to and preservation of scientific information states that: “*open access to scientific research data enhances data quality, reduces the need for duplication of research, speeds up scientific progress and helps to combat scientific fraud*”.<sup>5</sup>
- Research data are defined as the data, files, and other records, produced in research or that evidences and validates research results, or more specifically as units of information: facts or numbers used as the basis for reasoning and calculation.<sup>6</sup>

An *OA Policy Alignment Checklist* has been produced by the PASTEUR4OA Project (<http://pasteur4oa.eu/resources>). It enables institutions and funders to measure their compliance with the requirements of the European Commission's Horizon 2020 Multi-beneficiary General Model Grant Agreement ([http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf)).

More materials on the context and content of the H2020 Open Access mandate, and how to comply with it, are provided in another FOSTER short course: *Open Access to Publications in Horizon 2020* (<https://www.fosteropenscience.eu/content/open-access-publications-horizon-2020>).

**David Ball**

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<sup>5</sup> European Commission 2012 recommendation on access to and preservation of scientific information: [http://ec.europa.eu/research/science-society/document\\_library/pdf\\_06/recommendation-access-and-preservation-scientific-information\\_en.pdf](http://ec.europa.eu/research/science-society/document_library/pdf_06/recommendation-access-and-preservation-scientific-information_en.pdf)

<sup>6</sup> Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020: [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf)