Eloy Rodrigues
eloy@sdum.uminho.pt

Horizon 2020 Open Access to Publications Mandate

OpenAIRE Webinar, October 22 - 2014

FOSTER

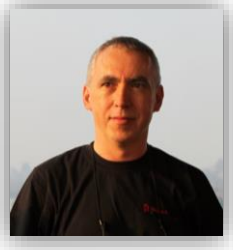
OpenAIRE

Horizon 2020 Open Access to Publications Mandate

Wednesday, October 22 at 15:00 (CEST)

OPEN WEBINAR by

Eloy Rodrigues, University of Minho



+ info: www.openaire.eu

www.fosteropenscience.eu

Overview

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

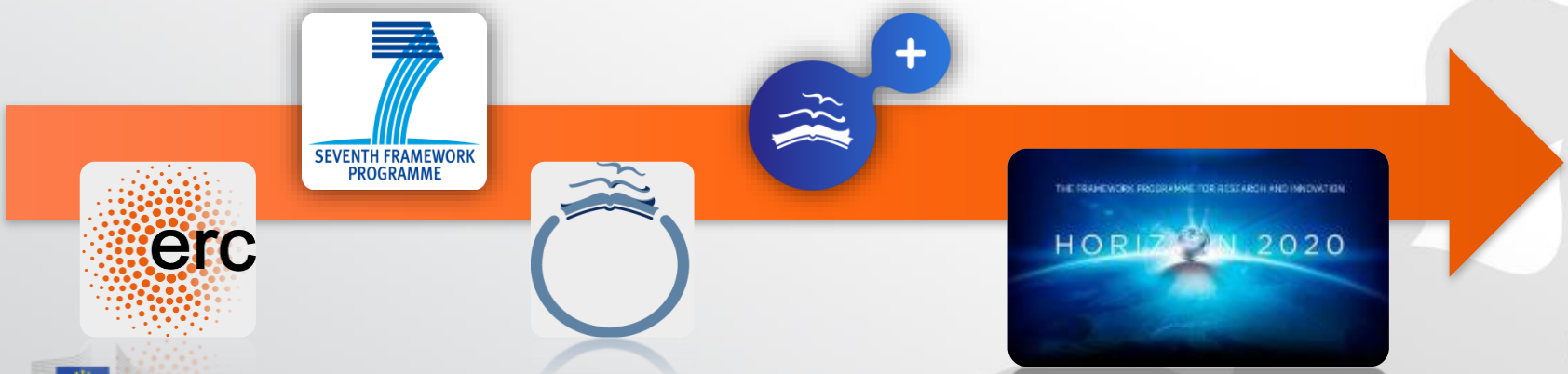
EC OA Mandate Progression

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)

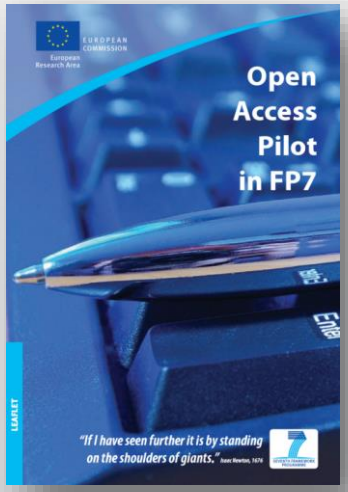
- All grant agreements
- 100% programme areas
- Deposit in Repositories
- Open Data Pilot



How was Open Access implemented in FP7?

General framework: EC and ERC Guidelines

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

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

http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf

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.

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**

http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf

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** **(www.zenodo.org) 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** of (compare SHERPA/RoMEO database).

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.

http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf

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 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.)

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/horizon2020/sites/horizon2020/files/FactSheet_Open_Access.pdf

✓ **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

European Commission

9 December 2013

Fact sheet: Open Access in Horizon 2020

What is open access?

Open access can be defined as **the practice of providing on-line access to scientific information that is free of charge to the end-user**. In the context of R&D, 'scientific information' can refer to peer-reviewed scientific research articles (published in academic journals) and also to scientific research data (data underlying publications, curated data and/or raw data). Open access is not a requirement to publish, as researchers are free to publish or not, nor does it interfere with the decision to exploit research results commercially e.g. through patenting. Indeed, the decision on whether to publish open access documents must come after the more general decision on whether to go for a publication directly or to seek first protection using Intellectual Property Rights[1]. This is illustrated by the graphic below:

Two main and non-mutually exclusive routes towards open access to publications exist:

- **Self-archiving** (also called **'Green'** open access) means that the published article or the final peer-reviewed manuscript is archived by the researcher – or a representative – in an online repository before, after or alongside its publication. Access to the article is often – but not necessarily – delayed ('embargo period') as some scientific publishers may wish to recoup their investment by selling subscriptions and charging pay-per-download/view fees during an exclusivity period.

[1] More information on this issue is available in the European IPR Helpdesk fact sheet "Publishing vs. patenting".

OpenAIRE implements the

OPEN ACCESS

EC requirements

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!

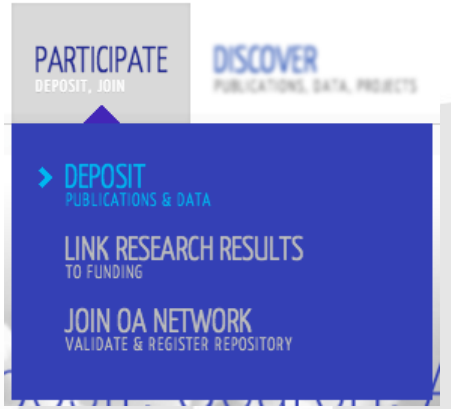
Depositing

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)

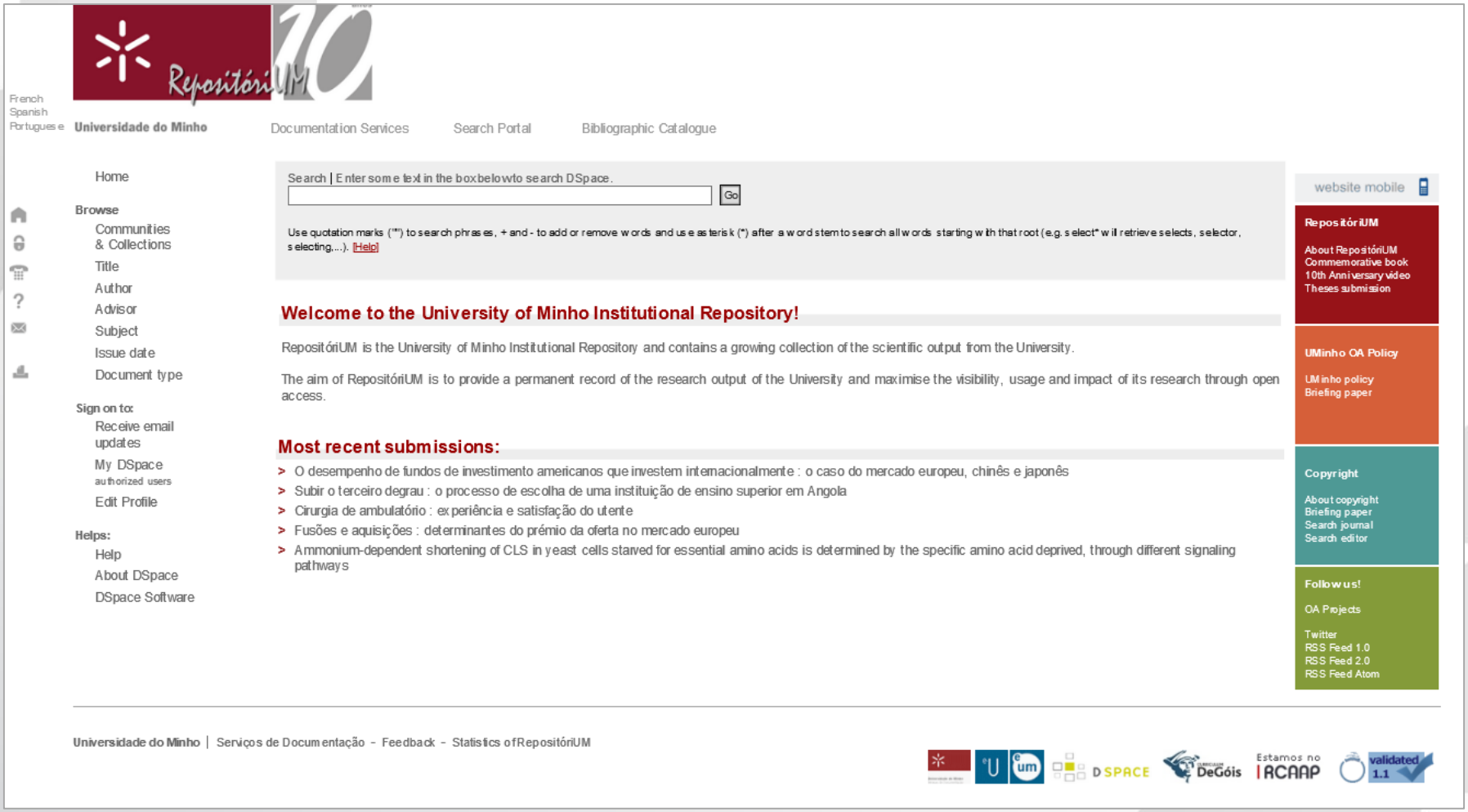


Depositing

Locate repository

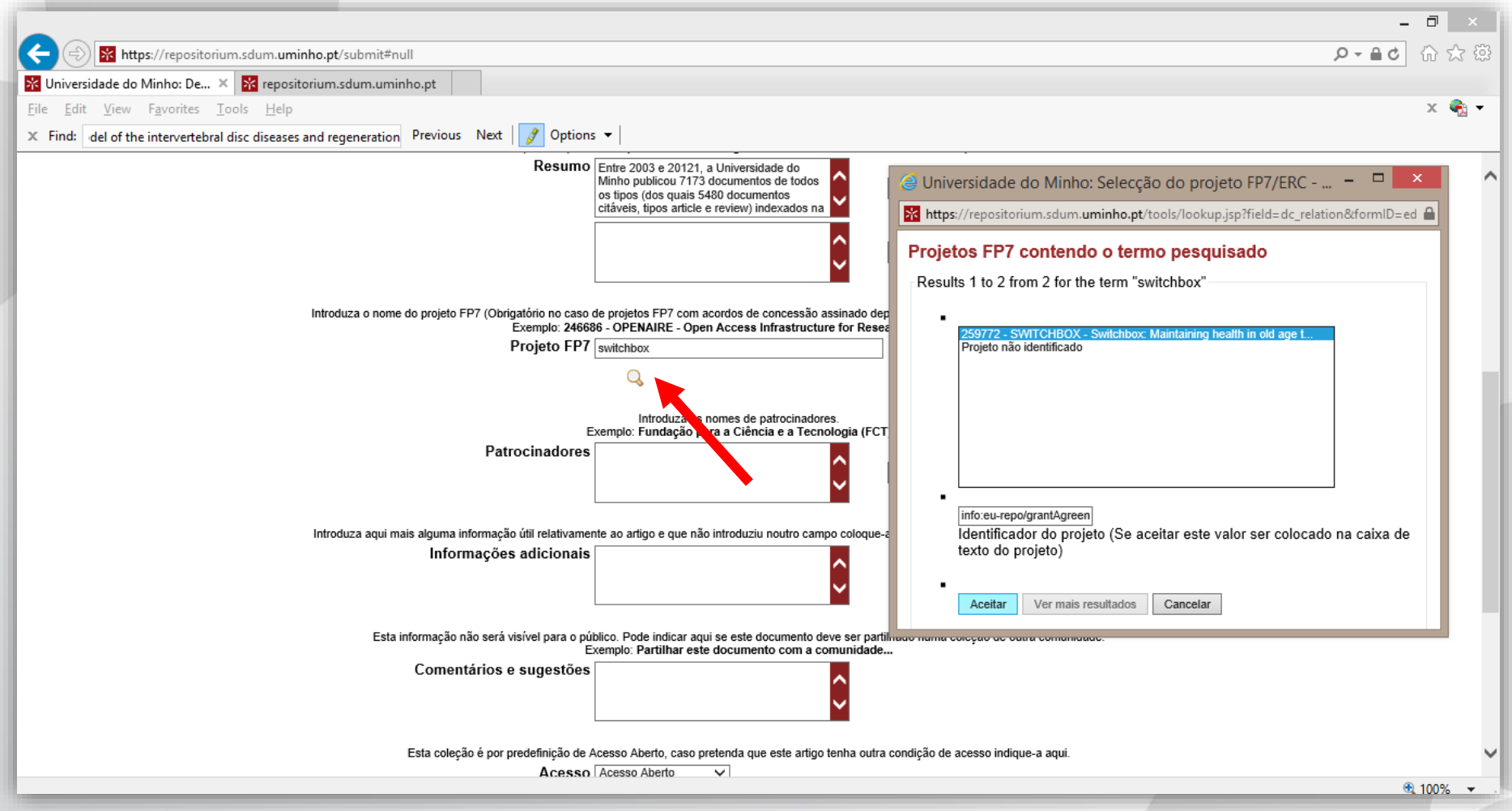
- Deposit once
  - Find where to deposit – **publications & data**
  - Local or thematic repository?

https://repositorium.sdum.uminho.pt



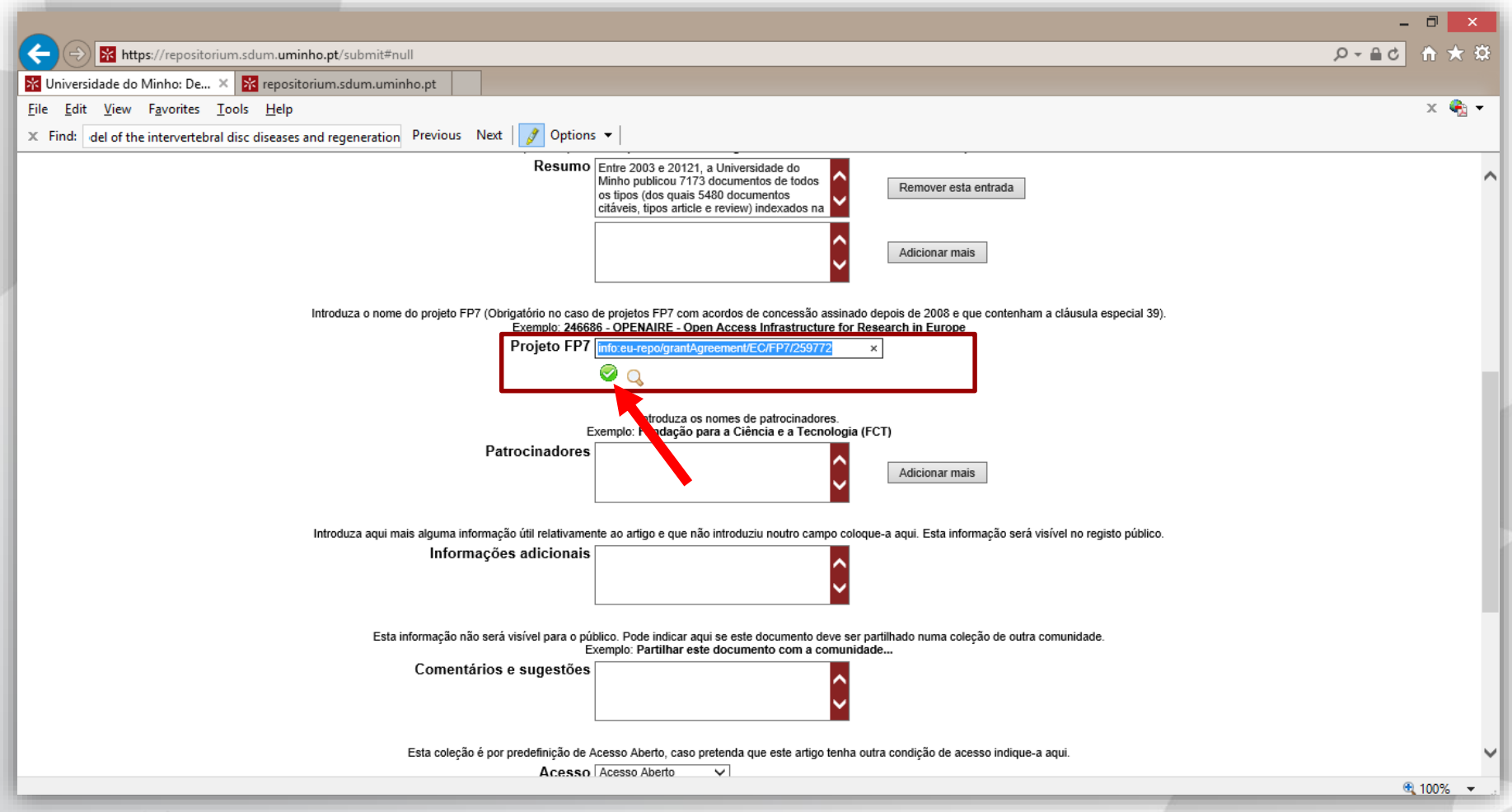
Submission workflow

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

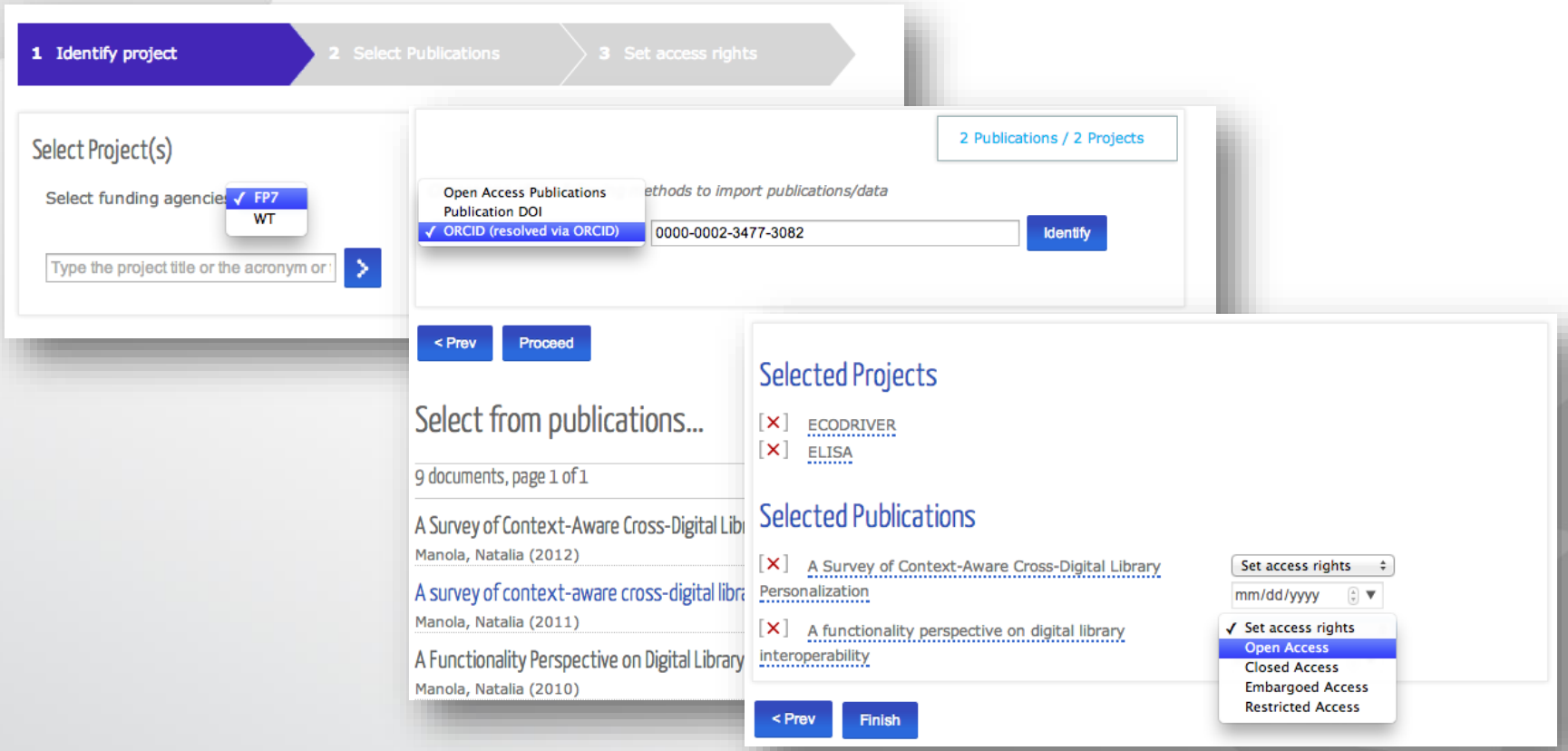
H2020: Option to gather, preserve and share
project's scientific output

Linking research results

Publications and data to projects

- 3 easy steps
  - Identify projects (EC +)
  - Find publications/data
  - Set access rights

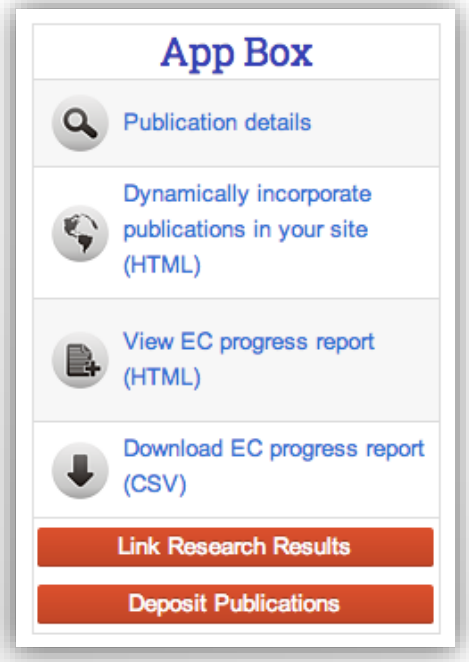
Pub Claim


1 Identify project
2 Select Publications
3 Set access rights
Select Project(s)
Select funding agencies
FP7
WT
Type the project title or the acronym or
2 Publications / 2 Projects
Open Access Publications
Publication DOI
ORCID (resolved via ORCID)
ethods to import publications/data
0000-0002-3477-3082
Identify
< Prev
Proceed
Select from publications...
9 documents, page 1 of 1
A Survey of Context-Aware Cross-Digital Lib
Manola, Natalia (2012)
A survey of context-aware cross-digital libr
Manola, Natalia (2011)
A Functionality Perspective on Digital Library
Manola, Natalia (2010)
Selected Projects
ECODRIVER
ELISA
Selected Publications
A Survey of Context-Aware Cross-Digital Library Personalization
A functionality perspective on digital library interoperability
Set access rights
mm/dd/yyyy
Set access rights
Open Access
Closed Access
Embargoed Access
Restricted Access
< Prev
Finish

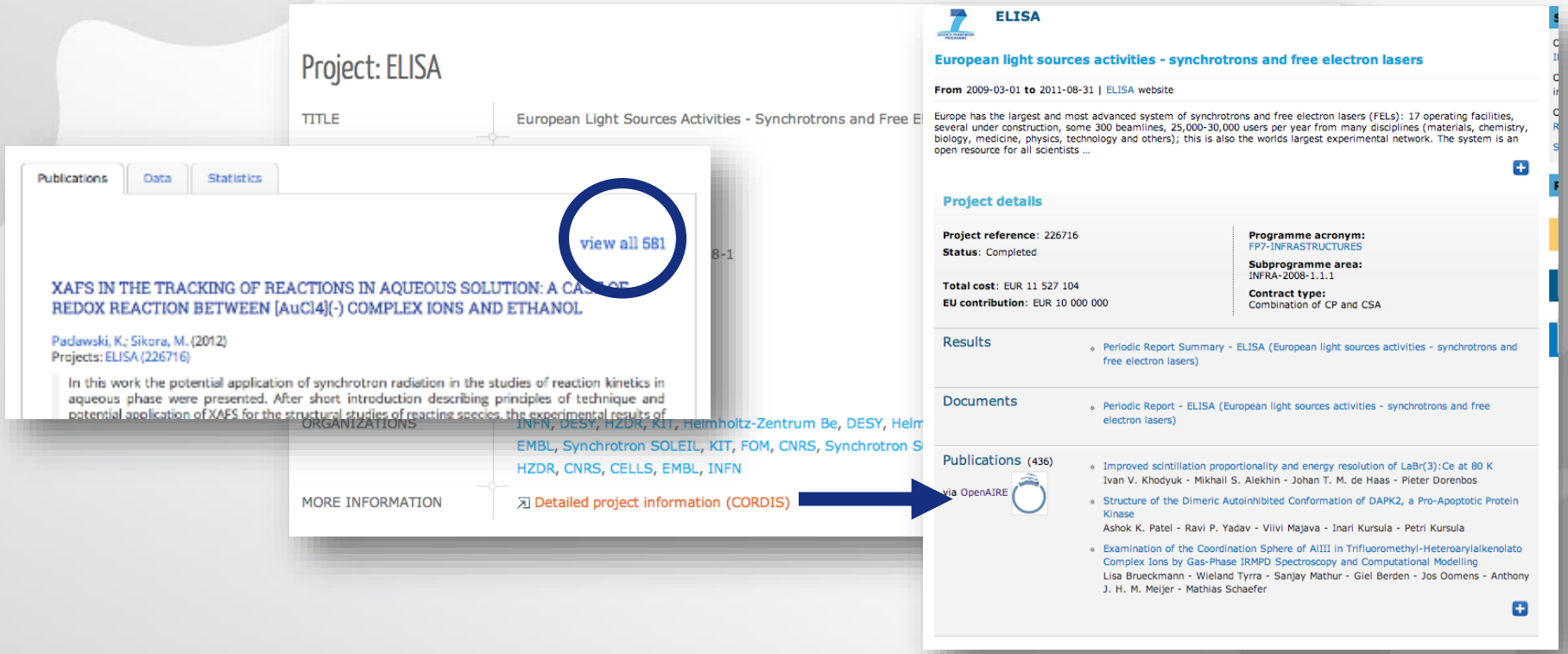
View aggregated project scientific output

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.



A project view



A project report

All project publications in HTML or CSV

Publications of Project ELISA

445 publications

Title	Author	Publisher	Publication Date	Permanent Identifier	Access Mode	Embargo 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						

Still missing: One click away to EC project reporting systems

Thank you!

Questions?

www.openaire.eu

@openaire_eu

facebook.com/groups/openaire

linkedin.com/groups/OpenAIRE-3893548

eloy@sdum.uminho.pt

Zenodo: Research. Shared.

Thursday, October 23 at 15:00 (CEST)

OPEN WEBINAR by

Lars Holm Nielsen, CERN

+ info: ww.openaire.eu