

Eloy Rodrigues  
eloy@sdum.uminho.pt

# Horizon 2020 Open Access to Publications Mandate

OpenAIRE Webinar, October 22 - 2014

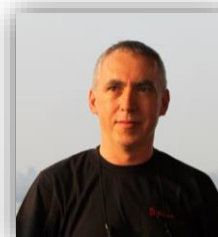


# Horizon 2020 Open Access to Publications Mandate

Wednesday, October 22 at 15:00 (CEST)

**OPEN WEBINAR** by  
Eloy Rodrigues, University of Minho

+ info: [www.openaire.eu](http://www.openaire.eu)  
[www.fosteropenscience.eu](http://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**





# 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](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 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:

- 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.**



OpenAIRE

# 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).



OpenAIRE

# 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.



OpenAIRE

# 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.



OpenAIRE

# 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](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](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](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf)



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<sup>1</sup>. 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.

<sup>1</sup> More information on this issue is available in the European IPR Helpdesk fact sheet 'Publishing vs. patenting'.

Research and innovation



**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?

### Locate repository via your institution

university of oxford |

### Or locate repository in map

### Repositories for institution: University of Oxford

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

#### Oxford University Research Archive - ORA

(147518 items - 19/11/2013)

Organizations: [University of Oxford](#)

Website URL: <http://ora.ox.ac.uk/>

OAI-PMH URL: <http://ora.ox.ac.uk:8080/fedora/oai>

#### First World War Poetry Digital Archive

(7000 items - 19/11/2013)

Organizations: [University of Oxford](#)

Website URL: <http://www.oucs.ox.ac.uk/ww1lit/>



<https://repositorium.sdum.uminho.pt>



# Submission workflow

OpenAIRE Searching by the name or the project id number

Browser address bar: <https://repositorium.sdum.uminho.pt/submit#null>

Universidade do Minho: De... | repositorium.sdum.uminho.pt

File Edit View Favorites Tools Help

X Find: del of the intervertebral disc diseases and regeneration Previous Next Options ▾

**Resumo** Entre 2003 e 20121, a Universidade do Minho publicou 7173 documentos de todos os tipos (dos quais 5480 documentos citáveis, tipos article e review) indexados na

Introduza o nome do projeto FP7 (Obrigatório no caso de projetos FP7 com acordos de concessão assinado dep  
Exemplo: 246686 - OPENAIRE - Open Access Infrastructure for Resea

Projeto FP7

Introduza os nomes de patrocinadores.  
Exemplo: Fundação para a Ciência e a Tecnologia (FCT

Patrocinadores

Introduza aqui mais alguma informação útil relativamente ao artigo e que não introduziu noutro campo coloque-a

Informações adicionais

Esta informação não será visível para o público. Pode indicar aqui se este documento deve ser partilhado numa coleção de outra comunidade.  
Exemplo: Partilhar este documento com a comunidade...

Comentários e sugestões

Esta coleção é por predefinição de Acesso Aberto, caso pretenda que este artigo tenha outra condição de acesso indique-a aqui.

Acesso | Acesso Aberto ▾

**Projetos FP7 contendo o termo pesquisado**

Results 1 to 2 from 2 for the term "switchbox"

- 259772 - SWITCHBOX - Switchbox: Maintaining health in old age L...  
Projeto não identificado
- info.eu-repo/grantAgreen  
Identificador do projeto (Se aceitar este valor ser colocado na caixa de texto do projeto)

Aceitar Ver mais resultados Cancelar



# Submission workflow

OpenAIRE *Select the project and accept... the necessary namespace will be filled*

Browser address bar: <https://repositorium.sdum.uminho.pt/submit#null>

Page title: Universidade do Minho: De... repository.sdum.uminho.pt

Find: del of the intervertebral disc diseases and regeneration Previous Next Options

**Resumo** Entre 2003 e 20121, a Universidade do Minho publicou 7173 documentos de todos os tipos (dos quais 5480 documentos citáveis, tipos article e review) indexados na

Remover esta entrada

Adicionar mais

Introduza o nome do projeto FP7 (Obrigatório no caso de projetos FP7 com acordos de concessão assinado depois de 2008 e que contenham a cláusula especial 39).  
Exemplo: 246686 - OPENAIRE - Open Access Infrastructure for Research in Europe

**Projeto FP7**

Introduza os nomes dos patrocinadores.  
Exemplo: Fundação para a Ciência e a Tecnologia (FCT)

**Patrocinadores**

Adicionar mais

Introduza aqui mais alguma informação útil relativamente ao artigo e que não introduziu noutro campo coloque-a aqui. Esta informação será visível no registo público.

**Informações adicionais**

Esta informação não será visível para o público. Pode indicar aqui se este documento deve ser partilhado numa coleção de outra comunidade.  
Exemplo: Partilhar este documento com a comunidade...

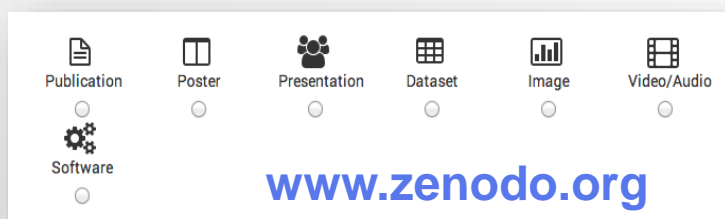
**Comentários e sugestões**

Esta coleção é por predefinição de Acesso Aberto, caso pretenda que este artigo tenha outra condição de acesso indique-a aqui.

**Acesso**

“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

1 Identify project

2 Select Publications

3 Set access rights

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



# OpenAIRE Pub Claim

1 Identify project

2 Select Publications

3 Set access rights

Select Project(s)

Select funding agency: ☒ FP7 ☐ WT

Type the project title or the acronym or: >

2 Publications / 2 Projects

Open Access Publications  
Publication DOI  
☒ ORCID (resolved via ORCID) 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

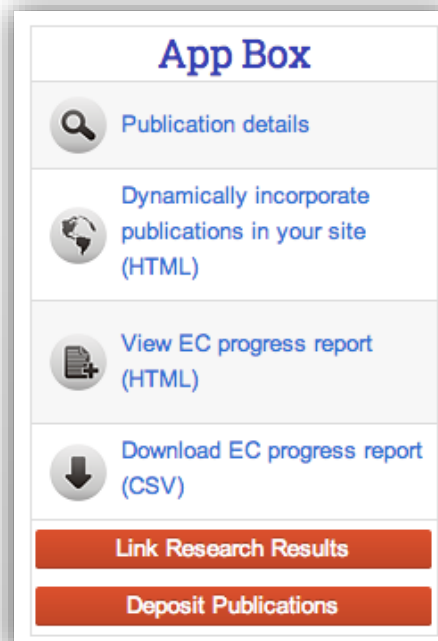
< Prev Finish

Set access rights  
mm/dd/yyyy  
☒ Set access rights  
Open Access  
Closed Access  
Embargoed Access  
Restricted Access

# 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

## Project: ELISA

TITLE

European Light Sources Activities - Synchrotrons and Free EL

Publications Data Statistics

### XAFS IN THE TRACKING OF REACTIONS IN AQUEOUS SOLUTION: A CASE OF REDOX REACTION BETWEEN $[AuCl_4](-)$ COMPLEX IONS AND ETHANOL

Padawski, K.; Sikora, M. (2012)  
Projects: ELISA (226716)

In this work the potential application of synchrotron radiation in the studies of reaction kinetics in aqueous phase were presented. After short introduction describing principles of technique and potential application of XAFS for the structural studies of reacting species, the experimental results of

view all 581

ORGANIZATIONS

INFN, DESY, HZDR, KIT, Helmholtz-Zentrum Be, DESY, Helmholtz-Zentrum Berlin, EMBL, Synchrotron SOLEIL, KIT, FOM, CNRS, Synchrotron SOLEIL, HZDR, CNRS, CELLS, EMBL, INFN

MORE INFORMATION

[Detailed project information \(CORDIS\)](#)

 ELISA

### European light sources activities - synchrotrons and free electron lasers

From 2009-03-01 to 2011-08-31 | [ELISA website](#)

Europe has the largest and most advanced system of synchrotrons and free electron lasers (FELs): 17 operating facilities, several under construction, some 300 beamlines, 25,000-30,000 users per year from many disciplines (materials, chemistry, biology, medicine, physics, technology and others); this is also the world's largest experimental network. The system is an open resource for all scientists ...

#### Project details

**Project reference:** 226716

**Status:** Completed

**Total cost:** EUR 11 527 104

**EU contribution:** EUR 10 000 000

**Programme acronym:**

FP7-INFRASTRUCTURES

**Subprogramme area:**

INFRA-2008-1.1.1

**Contract type:**

Combination of CP and CSA

#### Results


- Periodic Report Summary - ELISA (European light sources activities - synchrotrons and free electron lasers)

#### Documents

- Periodic Report - ELISA (European light sources activities - synchrotrons and free electron lasers)

#### Publications (436)

- Improved scintillation proportionality and energy resolution of  $LaBr_3(Ce)$  at 80 K  
Ivan V. Khodyuk - Mikhail S. Alekhin - Johan T. M. de Haas - Pieter Dorenbos
- Structure of the Dimeric Autoinhibited Conformation of DAPK2, a Pro-Apoptotic Protein Kinase  
Ashok K. Patel - Ravi P. Yadav - Vilvi Majava - Inari Kursula - Petri Kursula
- Examination of the Coordination Sphere of  $Al(III)$  in Trifluoromethyl-Heteroarylalkenolato Complex Ions by Gas-Phase IRMPD Spectroscopy and Computational Modelling  
Lisa Brueckmann - Wieland Tyrre - Sanjay Mathur - Giel Berden - Jos Oomens - Anthony J. H. M. Meijer - Mathias Schaefer

Via OpenAIRE 

# 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	<a href="http://hdl.handle.net/1822/15689">http://hdl.handle.net/1822/15689</a>	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	<a href="http://dx.doi.org/10.1107/S1744309109043152">http://dx.doi.org/10.1107/S1744309109043152</a>	CLOSED	
Structural and magnetic study of the annealing of Fe-Co nanoparticles	Desvaux, Celine	ROYAL SOC CHEMISTRY	2010-01-01	<a href="http://dx.doi.org/10.1039/b916294a">http://dx.doi.org/10.1039/b916294a</a>	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	<a href="http://dx.doi.org/10.1007/s00775-009-0597-2">http://dx.doi.org/10.1007/s00775-009-0597-2</a>	CLOSED	
Energy band structure and optical response function of isosceles B(12)A(2) A spectroscopic ellipsometry and first	Bakuleva, S.	AMER PHYSICAL SOC	2010-01-01	<a href="http://dx.doi.org/10.1103/PhysRevB.81.075114">http://dx.doi.org/10.1103/PhysRevB.81.075114</a>	CLOSED	

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

# Thank you!

## Questions?



[www.openaire.eu](http://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: [www.openaire.eu](http://www.openaire.eu)