



Dr Frank C. Manista
European Open Science Manager, Jisc
National Open Access Desk for the UK

OPEN ACCESS TO PUBLICATIONS IN HORIZON 2020

Oxford OA Week: 15 June 2018





Covering...

The Open Access mandate in H2020, what is expected of projects with regard to the OA policies in H2020 and how OpenAIRE can help.

- 1. OA in H2020: summary of requirements**
- 2. OA in H2020: Practical implementation**
- 3. OpenAIRE support services and tools**



Open Access is the

DEFAULT

for research results in H2020



WHY OPEN ACCESS TO SCIENTIFIC PEER-REVIEWED PUBLICATIONS?



GOOD FOR SCIENCE

allows scientists to build on previous research results and avoids unnecessary duplication of effort
improved quality and greater efficiency



GOOD FOR THE ECONOMY

speeds up innovation
faster progress to market



GOOD FOR SOCIETY

makes research available to individual citizens and to non-profit organisations
greater transparency

HORIZON 2020 OPEN ACCESS TO SCIENTIFIC PUBLICATIONS



Each Horizon 2020 beneficiary must ensure open access to peer-reviewed scientific publications relating to projects.
See Article 29.2 of the Horizon 2020 Grant Agreement

WHY OPEN ACCESS TO SCIENTIFIC PEER-REVIEWED PUBLICATIONS?



GOOD FOR SCIENCE
allows scientists to build on previous research results and avoid unnecessary duplication of effort
improved quality and greater efficiency



GOOD FOR THE ECONOMY
speeds up innovation
faster progress to market



GOOD FOR SOCIETY
makes research available to individual citizens and to non-profit organisations
greater transparency

HOW TO ACHIEVE OPEN ACCESS IN HORIZON 2020



SELF-ARCHIVING
(GREEN) OPEN ACCESS
deposit the final peer-reviewed manuscript in a repository of your choice
researchers must ensure open access to the publication within at most 6 months
EU members for publications in the social sciences and humanities



OPEN ACCESS PUBLISHING
(GOLD) OPEN ACCESS
publish in open access journals or hybrid journals
Article processing charges are eligible for reimbursement during the duration of your project. Hybrid journals sell subscriptions to non-open access AND offer the option of making some individual articles open access



BOTH OPTIONS ARE POSSIBLE
if the gold route is chosen, the article must also be deposited in a repository to comply with Article 29.2

MISCONCEPTIONS ABOUT OPEN ACCESS



OPEN ACCESS IS NOT A REQUIREMENT TO PUBLISH
In Horizon 2020 researchers are free to publish or not



OPEN ACCESS DOES NOT AFFECT THE DECISION TO EXPLOIT RESEARCH RESULTS COMMERCIALLY
e.g. through patenting



The decision whether to publish through open access comes after the main general decision on whether to publish directly or to first seek protection



It is important to stress that open access publications undergo the same kind of peer-review process as subscription publications

Get support

Participant Portal section on Open Access
Open Science
OpenAIRE

#openaccess
@Horizon2020
#OpenAccessEC



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.

OA in H2020: summary of requirements

1



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**

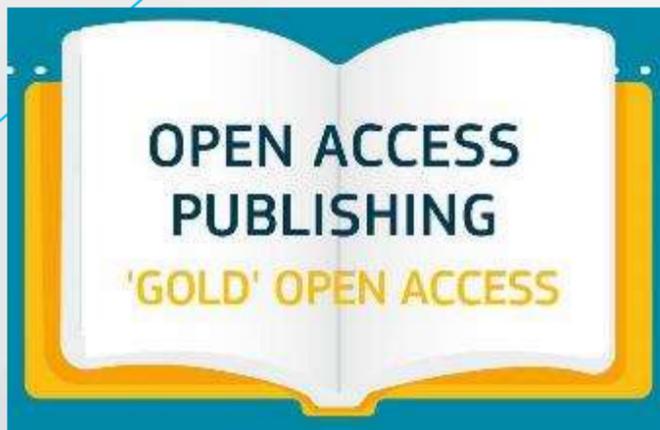


http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

In other words...

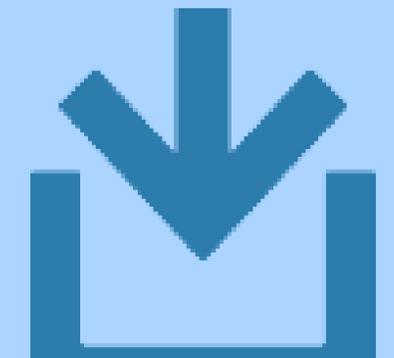


Authors are free to choose between the two main and non-exclusive routes toward Open Access



- **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) if none of the above is available. EC-co-funded, multidisciplinary repository, for publications and data.

Remarks:

- Finding a repository via registries: ROAR <http://roar.eprints.org/>, OpenDOAR <http://www.opendoar.org/> or via OpenAIRE (<https://www.openaire.eu/20-for-researchers/491-where-can-i-find-a-suitable-repository> & <https://www.openaire.eu/participate/deposit-publications-data>)
- **How to bring all publications together?**
 - **OpenAIRE-compatibility to enable the harvesting of metadata**

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

what

when



When to deposit?



- Each beneficiary must deposit as soon as possible and, **at the latest, on publication.**

where

what

when



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.



Practical implementation

2



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 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? (i.e., which will not be covered by the budget) – for post-FP7 project publications there was a gold OA pilot in H2020
- .Who takes care of deposit in repositories after the project end?

Some issues to consider

1. Publishing *all* articles in APC based gold OA is probably not the right solution, as this can lead to a substantial financial burden on the overall project budget.

Therefore, a **mixed strategy of GREEN/GOLD open access is generally 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 so-called white lists such as the DOAJ.**



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.

