



Open access policies and requirements in Horizon 2020

Victoria Tsoukala, PhD

DG RTD, Unit Open Science

ITN 2020 – Coordinators Info Day, November 2020



The European Commission

We are a funding agency

- The EC sets its own rules for EC-funded scientific research and innovation

We are a policy maker

- The EC proposes EU legislation
- It legislates with other Community institutions (European Parliament, Council...)
- It invites Member States to act

We are a capacity builder

- The EC funds projects that support its own and EU policy



Commissioner Mariya Gabriel

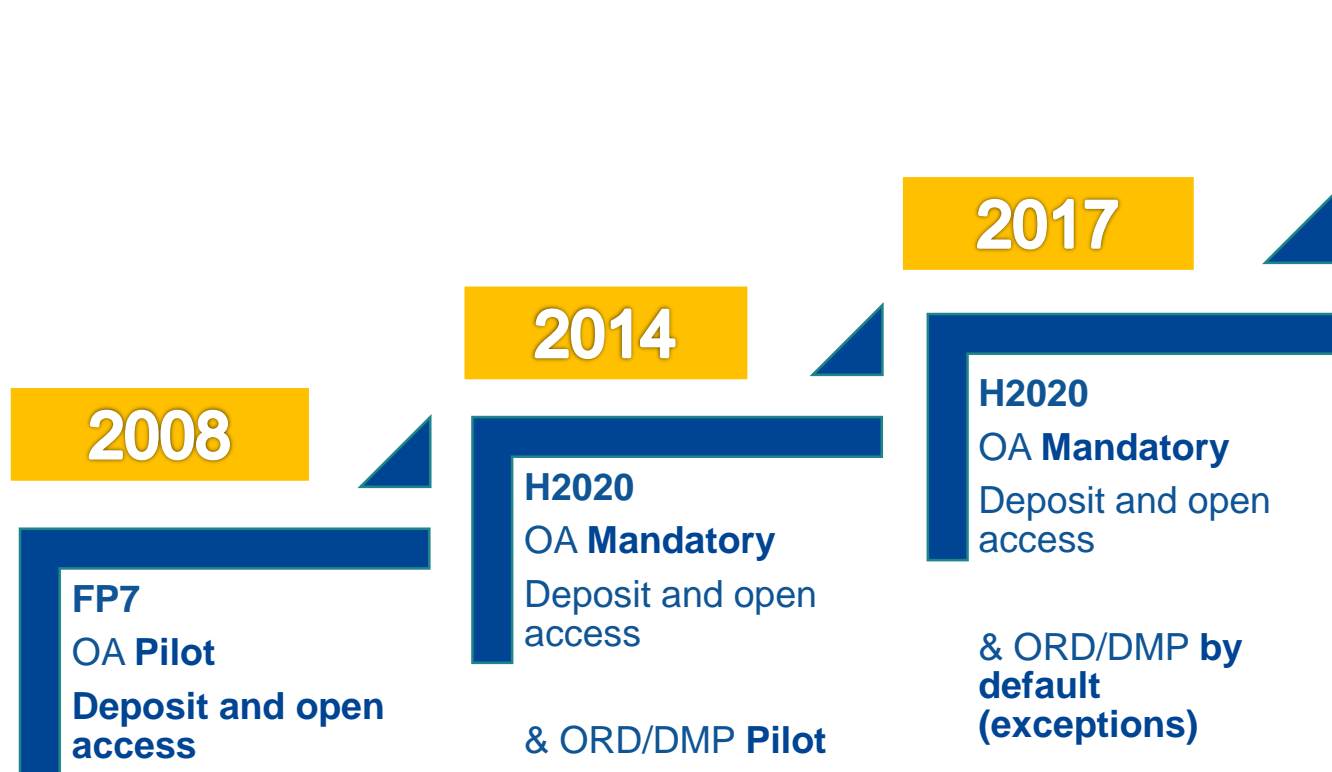
Why open access?

To optimise the impact and re-use of publicly-funded scientific research

Expected benefits:

- Better and more efficient science (incl. reproducibility)
- Economic growth
- Broader, faster, more transparent and equal access for the benefit of researchers, industry and citizens in the EU and beyond

Evolution of the policies across the FPs



Planned under **Horizon Europe (2021):**

- Open Science (**OA, RDM, citizens engagement** etc.) embedded throughout HE. OS to play a role in:
 - **Evaluation** of proposals (methodology)
 - **Grant Agreement**
 - **Reporting**—during the project's lifetime
- **Strengthening of the obligations** with respect to OA, and focus on **responsible RDM in line with FAIR**

MSCA & ITN publications are important for us!

- MSCA is the **second biggest producer of publications** in H2020 with 21% or 31.9k publications (after ERC)
- **MSCA produces ~23% of H2020 peer-reviewed publications** or 20.1k publications
- **ITN produces ~25% of MSCA publications** or ~7.8k publications

Source: [H2020 dashboard](#); Data capture: October 24, 2020

Myth to get rid of: *"H2020 is forcing me to publish!"*

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 COMMERCIALY,

e.g. through patenting.



The decision whether to publish through open access comes after the more 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.

Open Access to scientific publications in H2020 (Art. 29.2)

- Open access to **peer-reviewed publications** is **mandatory**
- Open access is **mandatory** through **a repository**
- **No exceptions** and no opt-out of open access to publications
- **Embargo allowed** for up to 6 (STEM) or 12 months (SSH)
- Article processing charges (**APCs**) are **eligible costs**

What to do to meet requirement?

1. publish
2. deposit (always deposit) in a repository and
3. open access

The golden rule of three

Subscription Publisher

Publish

Paper has been accepted in peer-reviewed venue, has been PRed and fully edited

- watch the contracts you sign with publishers- you can negotiate!
- make sure you can deposit

Deposit

Deposit final author copy or publisher pdf in repository at the same time as publication

- at your institutional repository or appropriate subject repository or zenodo

Open Access

Provide open access through repository at same time as publication

- max. acceptable embargo: 6/12 months (STEM/SSH)

Open access Publisher

Publish

Paper has been accepted in open access peer-reviewed venue and is published directly in open access by publisher

- you may need to pay fee (APC) or not (most journals don't charge)
- DOAJ.org

Deposit

Deposit final author copy or publisher pdf in repository at the same time as publication

- at your institutional repository or appropriate subject repository or zenodo

Open Access

Provide open access with a link from the repository to publisher's site

- no embargo here, since journal is open access

Leave me alone, isn't it enough that I publish in an open access venue/journal? Why do I need to deposit and provide oa through repository?



*By depositing and providing open access through your institutional or other appropriate repository you **empower your institution** to manage its intellectual output, as well as support the availability of research and **knowledge for the public good** for the future.*



A new OA publishing option for you: **Open Research Europe**

What is it?

A **SCIENTIFICALLY RIGOROUS PUBLISHING SERVICE** for researchers involved in Horizon 2020 and Horizon Europe projects



An **OPTIONAL** service



Allows researchers to **COMPLY WITH OPEN ACCESS OBLIGATIONS**



NO COST to researchers



Submissions as of end November 2020

Who can publish?



Authors involved
in **HORIZON 2020**
and **HORIZON EUROPE**
projects



Publications in
ALL SUBJECT AREAS
funded by Horizon 2020
and Horizon Europe



Submission of **ORIGINAL ARTICLES**
stemming from projects

How does it work?



Benefits

EFFICIENT



Rigorous open peer review

Rapid and transparent

International scientific advisory board

Open science in action



IMPACTFUL



Immediate open access

Article-level metrics

Open data for reproducibility and reuse

STRESS-FREE

Service available also after grant has ended



Optional service

No author fees

No administrative burden

Automatic compliance with open access requirements

Timeline for ORE

- Splash page with information, author guidelines, scientific advisory board members is up
- <https://open-research-europe.ec.europa.eu/for-authors/article-guidelines>
- Platform goes online end November 2020 and **submissions possible then**
- Powered by F1000 Research

What about research data in Horizon 2020?

CHALLENGE

Wider access to scientific facts and knowledge helps researchers, innovators and the public find and re-use data, and check research results:

offers better value for EU research funds



a public benefit

encourages research across scientific fields



essential for solving today's complex societal challenges

SOLUTION

Horizon 2020 already mandates open access to all scientific publications



From 2017,
research data is
open by default,
with possibilities to **opt out**

Research data in H2020 (Art. 29.3) I/II

- Formerly known as the **Open Research Data Pilot (ORDP)**
- Not a pilot any more: **all projects in by default!** (unless exception in WP)
- *You **may choose to opt-out of the article at any stage**, under specific conditions (not recommended)*

Research data in H2020 (Art. 29.3) II/III

- Art. 29.3 is about **streamlining Research Data Management (RDM)**, of which open access only a part ('open access to research data' in grant agreement a misnomer)
- Its aim: support RDM of FAIR (findable, accessible, interoperable and reusable) and open data
- **Not recommended to opt out** unless absolutely necessary
- **You can have article 29.3 and still keep your data closed if you need to**

What do you have to do (per art. 29.3)?

1. Projects must produce a **Data Management Plan**
 - Explains provisions for data curation, including access to it
 - Repeated deliverable; must include some provisions at proposal stage

✓ **RDM costs eligible**
✓ **Repository of your choice**
2. Projects must **deposit in a data repository** data needed to validate results in publications and other data
3. Projects **must provide open access** to data underlying publications and other data
 - This means ability to access, mine, exploit, reproduce and disseminate — free of charge for any user;
 - Open access is the default, under the principle '*as open as possible, as closed as necessary*';
 - *If you cannot provide open access you can explain in the DMP the reasons; they to be specific and can be used to opt-out of the article entirely (next slide).*
4. Provide **information, via the repository, about tools and instruments** for validating the results.
 - Where possible, the beneficiaries should provide those tools and instruments (e.g. specialis software or software code, algorithms, analysis protocols, etc.).

You may keep your data closed and/or opt out of article 29.3 if:

1. Participation/OA is incompatible with the obligation to **protect results** (see Article 27)
2. Participation/OA is incompatible with the **security obligations** (see Article 37)
3. Participation/OA is incompatible with rules on **protection of personal data**
4. Participation/OA would mean that the **project's main aim might not be achieved**
5. The project **will not generate/collect any research data**
6. There are other **legitimate reasons** not to take part



Participant Portal: online guide on open access

https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm

***FAQs at bottom of page

>H2020 Online Manual > Cross-cutting issues > Open access & Data management >

Open access Data management

Open access & Data management

These pages guide you through

- context and rules on **open access** covering beneficiaries in projects funded or co-funded under Horizon 2020 and
- **data management under Horizon 2020** for applicants and beneficiaries who take part in the **pilot on open access to research data**

What Is Open Access (OA)?

Open access can be defined as the practice of **providing on-line access to scientific information that is free of charge to the reader**. In the context of R&D, open access typically focuses on access to 'scientific information' or 'research results', which refers to two main categories:

- **Peer-reviewed scientific research articles** (primarily published in academic journals)
- **Research data**

More details about Horizon 2020 provisions for open access to publications and data is given below.

OPEN ACCESS TO PUBLICATIONS

Under Horizon 2020, each **beneficiary must ensure open access to all peer-reviewed scientific publications relating to its results**.

Beneficiaries can freely choose between the most appropriate route towards open access for them:

- **Self-archiving** (also referred to as '**green**' open access) means that a published article or the final peer-reviewed manuscript is archived (deposited) in an online repository before, alongside or after its publication. Repository software usually allows authors to delay access to the article ('embargo period'). If this route is chosen beneficiaries must ensure open access to the publication within a maximum of six months (twelve months for publications in peer-reviewed journals).

Reference documents

- **Guidelines to rules on Open Access to Scientific Publications & Open Access to Research Data in Horizon 2020**
- **Guidelines on the Implementation of Open Access to Scientific Publications & Research Data in projects supported by the European Research Council under Horizon 2020**
- **Guidelines on Data Management in Horizon 2020**
- **Template for the Data Management Plan [ODT format]**
- **Template for the Data Management Plan, Annotated version for participants under Societal Challenge 1**
- **ERC template for the Data Management Plan [ODT format]**
- **Scope of pilot indicated in the introduction to the Horizon 2020 Work Programme**
- **H2020 Annotated Model Grant Agreement - Open access to scientific publications**
- **H2020 Annotated Model Grant Agreement - Open access to research data**

Related links

- **European Commission Open Access Policy (Open Science)**
- **OpenAIRE - Open Access Infrastructure for Research in Europe**
- **European IPR Helpdesk factsheet "Publishing vs. patenting"**

FAQ

- **FAQs on open access to scientific publications**
- **FAQs on research data management and open research data**



H2020 Programme

AGA – Annotated Model Grant Agreement

Version 5.2
26 June 2019

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

Thank you!

<http://ec.europa.eu/research/openscience/index.cfm?pg=home>