NCP Follow – up paper on Open Access in Horizon 2020

based on Meet & Exchange workshop "Open Access to scientific information", organized in the frame of the NCP Academy, 15th March 2016, Brussels

1   Introduction: Why this workshop

In FP7, obligation to provide **open access (OA) to scientific publications** resulting from FP7 projects within specific areas of FP7 (pilot projects) was established. The aim was to support and monitor providing free of charge on-line access to scientific publications to anybody. With H2020 it has been decided to set OA to scientific publications as a general **obligation for all H2020 grant beneficiaries**. Moreover **OA to research data** has been introduced in H2020. In particular there is **Open Research Data Pilot (ORD)** which aims at supporting and monitoring OA to research data which results from pilot H2020 pilot projects (e.g. FET, Research Infrastructures area – the number of ORD areas in WP 2016-2017 has been raised comparing to WP 2014-2015). Even if there is a possibility to opt-out from ORD pilot projects, recent statistics show that a number of beneficiaries decide to opt-in i.e. provide free of charge on-line access to research data resulting from their H2020 projects on a voluntary basis. In any case **beneficiaries often have to deal with OA in their project proposals as well as during project implementation and thus NCPs may be faced with questions related to OA**.

NCP Academy organised the Meet & Exchange workshop on Open Access in H2020 with the intention to exchange knowledge on and experience with OA among NCPs as well as discuss obstacles when implementing OA in H2020 projects.

Based on the outcome of the workshop, this paper summarises issues raised during discussion sessions, in particular following four presentations on OA as well as answers of all the participants to the questions presented during final round table discussion session (see Chapter 3.1). Links to the presentations are included in Chapter 2. The agenda of the workshop and the list of participants are included in Annexes 1 and 2.

2   Presentations on OA including raised issues

2.1   Daniel Spichtinger (COM) - Open Access in a European Policy Context and its implementation in Horizon 2020

First part of the presentation was devoted to description of OA within a European Policy Context including the international landscape; OA policies in the US, Latin America, Canada, Australia and Japan were mentioned as examples. Moreover attention was payed to the new report "'NPR report' Access to and Preservation of Scientific Information in Europe" which was prepared by the COM having been based on self-reporting of MSs and issued in January 2016. Afterwards OA implementation in H2020 including up-to-date statistics and recommendations based on current experiences was presented.

Presentation is available [here](#).

Issues raised following the presentation:

- Eligibility of OA costs, in particular article processing charges (APC) related to Gold OA publishing – AGA could present more examples in this regard[1]

- For complete opt-out from ORD Pilot an amendment is needed; for partial opt-out explanation via DMP is sufficient;

- Possibility for OA to scientific information to become mandatory in MSs – most probably MSs would not accept it yet;

- Possibility to extend ORD Pilot to all H2020 projects – in any case opt-out should be kept.

2.2 Jana Kratěnová (CZ) - CZ OA national policy; Selected OA issues in H2020

Draft CZ OA national policy was presented, in particular the idea to follow H2020 OA rules as much as possible with selected variations – e.g. only partial support to hybrid OA journals, suggested much lesser number of ORD pilot areas, CC-0 not possible under Czech Copyright laws. Possible uses of Creative Commons licences within Gold as well as Green OA routes were introduced.

Presentation is available [here](#).

Issues raised following the presentation:

- Discouraging researchers/beneficiaries of national grants from publishing in hybrid journals – only 50% of article processing charges paid to hybrid journals are planned to be eligible which is a difference from H2020;

- Using CC-BY-NC as OA licence – H2020 OA guidelines recommend CC-BY or CC-0 as OA licence, CC-BY-NC is also a possibility.

2.3 Michael Schijns (NL) – Costs of Research Data Management

Michael Schijns presented **recent study** carried out by a couple of Dutch Universities with the aim of creating a practical and usable overview of possible costs per activity within each phase of the research process and thus preventing extra efforts and costs later on in the research cycle. Precise definition of research data management costs and their

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[1] At the moment there is only a statement on p.217 AGA *„Such author processing costs may be eligible (see Article 6.2.D.3) — if incurred before the end of the action."* Further explanation and examples of OA eligible costs would be useful – e.g. is it fine if article is accepted for publication before the end of the action, published on Gold OA journal after the end of the action and invoice for APC is issued before the end of the action?

categorization into in/eligible costs can be very useful for H2020 grant beneficiaries to avoid any unexpected costs.

Presentation is available [here](#).

Issues raised following the presentation:
- Presentation very much appreciated and link to the whole study was requested and distributed;
- Post-grant ORD Pilot – as costs are highest when it comes to research data maintenance and this phase usually follows the end of a research project, post-grant ORD Pilot would be very welcome in the future;
- Current state of play of Open Science Cloud was also discussed.

2.4 Morten Gylling-Jørgensen (DK) – Open Access - the Danish strategy

Danish OA strategy implementation has been monitored via Danish OA Indicator; detailed information including description of OA indicator can be found at http://www.forskningsdatabasen.dk/en/open_access/overview. In 2014 18% of all scientific publications were published Open Access; goal for 2016 is 80% and for 2021 100% should be reached. Danish OA strategy is not mandatory. Internal competition among universities could improve interest in OA.

Presentation is available [here](#).

Issues raised following the presentation:
- As it is not mandatory, one can be very sceptical if targeted 80% can be reached in 2016;
- Figures are based on data provided by Danish universities.

3 Round table discussion – OA at national level; OA in H2020

3.1 List of questions and aim of the round table discussion

The aim of the second half of the workshop was to collect participants' replies and opinion on presented questions in order to get an overview of what NCPs usually deal with when it comes to OA. All the participants were asked to answer following questions:

OA in general – current state of play at EU level as well as national levels

A.   Is there OA policy (obligatory/recommendations)/law dealing
     with OA in your country?

B.   If yes, is it generally in line with H2020 OA principles (as described in articles 29.2
     and 29.3 of MGA)?

EXCHANGE OF EXPERIENCE/OPINION

OA in H2020

1.   Have you come across any problems with OA during project implementation in
     FP7/H2020? - problems with embargo periods, licencing terms of publishers,
     copyright/Creative Commons issues; OA eligible costs, DMP as deliverable, …

2.   Have you dealt with Open Research Data Pilot projects, Data Management Plans
     while advising your clients?

3.   Any other comment – is there something that should be changed/what should be
     kept in the future?

3.2   Summary of participants´ replies to the posed questions

A.   Small number of participants replied there were mandatory OA policy/planned laws on
     OA in their countries; mostly the case is either voluntary OA policy or no OA policy, but
     ongoing activities supporting OA.

B.   If there are national OA policies, these usually follow H2020 OA principles (as set forth in
     H2020 MGA and guidance documents).

1.   The most frequent questions are eligibility of OA costs and DMPs; among other questions
     that NCPs have come across there belong for example publishers´ policies being/not
     being in line with H2020, OA in project proposals, general IP questions related to OA,
     definition of underlying data as it is unclear sometimes. Generally OpenAIRE project is
     considered to be a useful platform in this regard as a lot of advice can be found there
     and thus clients don´t need to approach NCPs but OpenAIRE partners instead.

2.   As this is a new issue in H2020, clients tend to ask NCPs for help with preparing data
     management plans and/or to provide them with DMP templates.

3.   There was a discussion on how to tackle OA in the future – for instance making OA
     obligatory regardless of scientific publications or research data; infrastructure for
     research data is needed as well as pilot programme for maintaining research data after
     the project is over.

Annex 1 Agenda

15th March 2016, Brussels

AGENDA (13:45-17:00)

13:45   *Registration*

14:00   ***OA in general – current state of play at EU level as well as national levels OA in H2020 - implementation of OA in H2020 projects***
Daniel Spichtinger (EC) – Open Access in a European Policy Context and its implementation in Horizon 2020
Jana Kratěnová (CZ) – CZ OA national policy; Selected OA issues in H2020
Michael Schijns (NL) – Costs of Research Data Management
Morten Gylling-Jørgensen (DK) – Open Access - the Danish strategy

Coffee Break

Discussion, exchange of views – OA at national level; OA in H2020

Concluding remarks and wrap-up discussion

17:00   *End of Meet&Exchange workshop*

Annex 2 List of participants

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