



Open Access
Infrastructure
for Research in Europe

OpenAIRE

The 8th e-Infrastructure Concertation Meeting
Nov 5, 2010
CERN - Geneva



FP7 and ERC Open Access Policies - How to comply

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eIFL



Outline

- Open Access
 - Why & impact
- Open Access Policies
- OpenAIRE and project coordinators
- OpenAIRE
 - Portal: information & helpdesk
 - Services demo: deposition & statistics



Why Open Access (OA)?

- OA aims to ensure the widest possible dissemination and access to the results of research
- OA provides free, online access to research literature
 - at no costs for readers - apart from internet access
 - offers a wide range of usage rights: read, download, copy, distribute, print, index etc.
 - author/s have to be properly acknowledged and cited, copyright remains with the author/s



Flavours of Open Access

- **OA Self-Archiving** = Deposit of author's final manuscripts in digital repositories
- **OA Publishing** = OA journals offer immediate open access. Sometimes subscription income is replaced by publication charges (using research grants, institutional funds etc.)
Examples: BioMed Central's journals, New Journal of Physics, Nucleic Acids Research...
- **Hybrid OA Publishing** = Publisher charges for OA option within its subscription journals
Example: Springer's Open Choice



Benefits for researchers

- Increased visibility of research output
- Potentially increased number of citations and impact of publications
- Faster access, speeding up research and discovery process
- Usage statistics of publications – downloads, etc.
- Up to date bibliographies (CVs) and publication lists
- Compliance with funding body OA policies

The Open Access citation advantage

Studies and results to date

Citation_advantage_paper.pdf - Adobe Reader

File Edit View Document Tools Window Help

17 / 17 160% Find

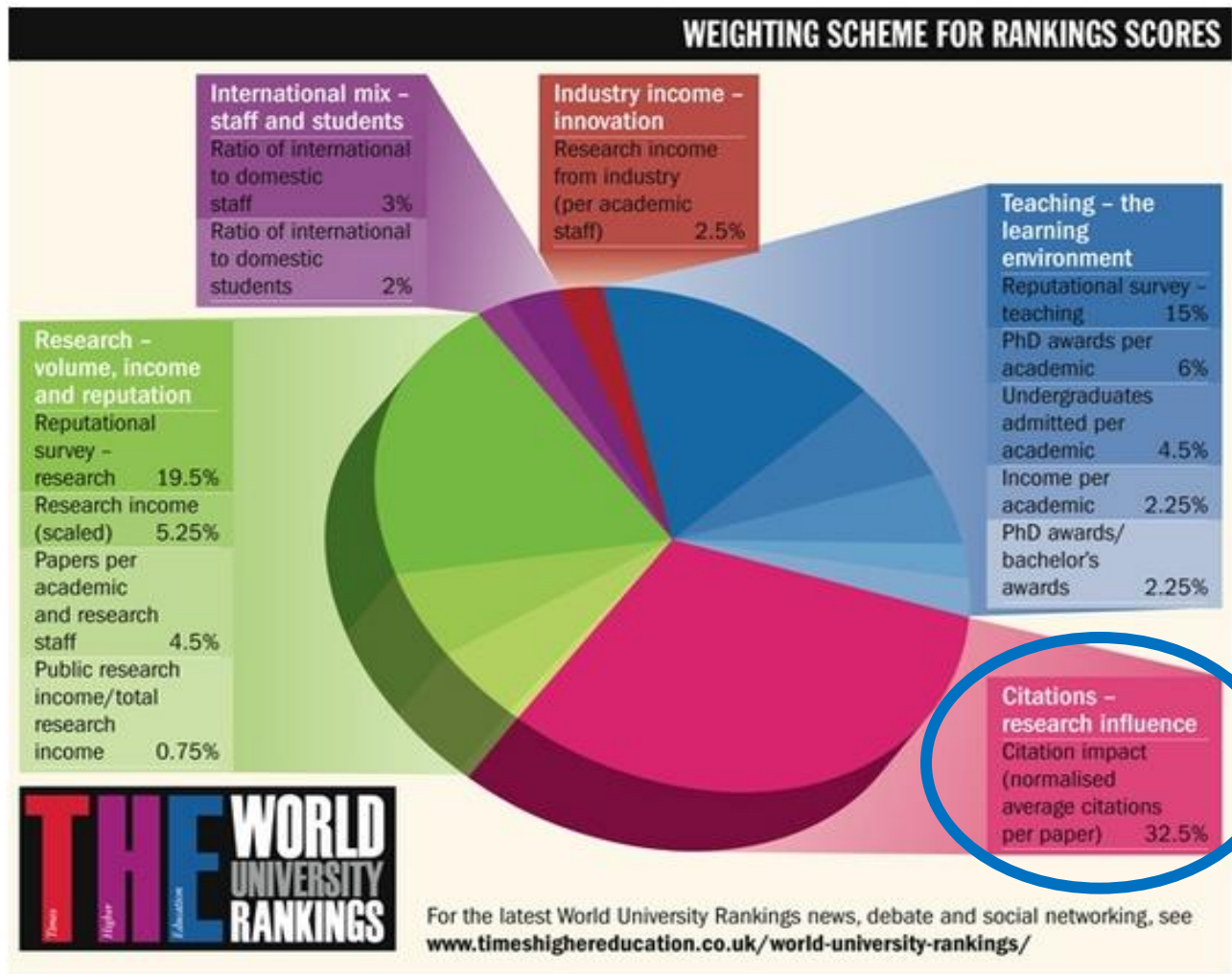
Summary data from these studies are provided below.

Measure	Result
Studies finding a positive Open Access citation advantage	27
Studies finding no Open Access citation advantage (or an OA citation disadvantage)	4

Source: Swan, A. (2010)

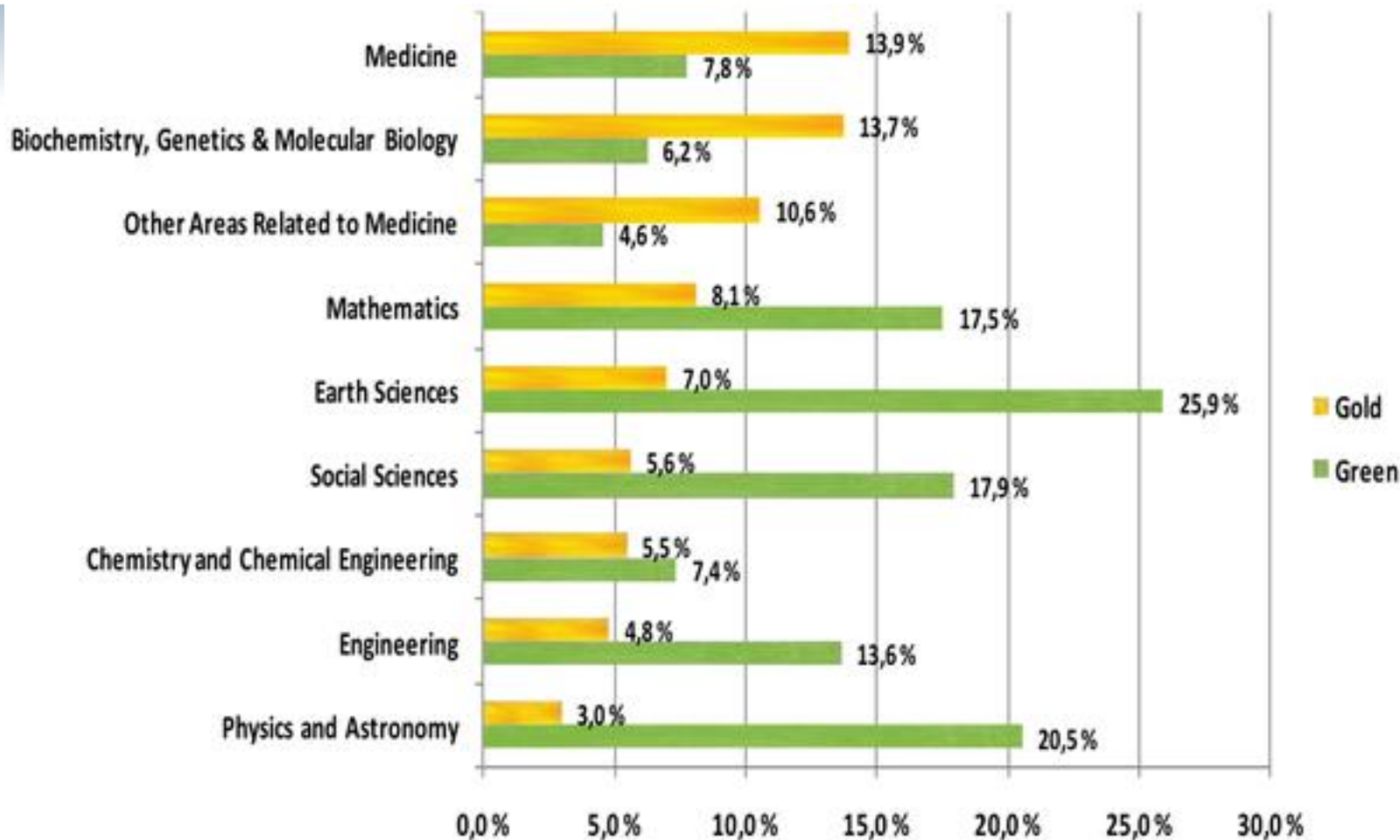
Size of OA citation advantage when found (and where explicitly stated by discipline)	% increase in citations with Open Access
Physics/astronomy	170 to 580
Mathematics	35 to 91
Biology	-5 to 36
Electrical engineering	51
Computer science	157
Political science	86
Philosophy	45
Medicine	300 to 450
Communications studies (IT)	200
Agricultural sciences	200 to 600

Citation impact in University Rankings





OA Availability by Discipline



<http://www.plosone.org/article/info:doi/10.1371/journal.pone.0011273>



Repositories

- 1.794 institutional & disciplinary repositories worldwide, 843 in Europe
- Content types: journal articles, theses & dissertations, reports, conference papers, book chapters, multimedia etc.

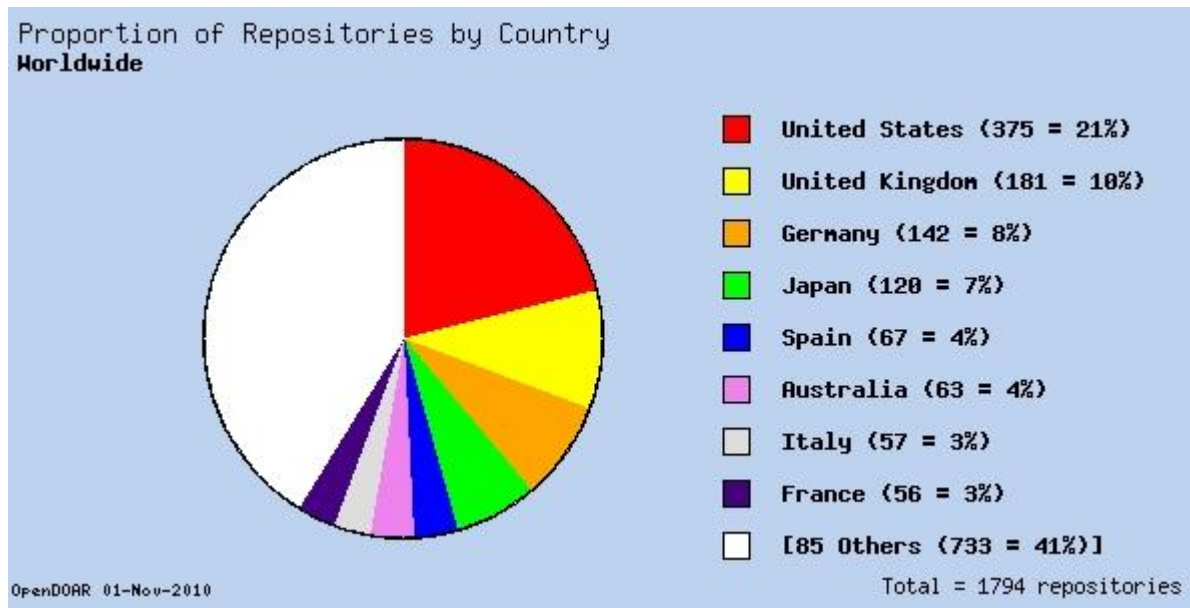
<http://www.opendoar.org/>

OpenDOAR

Directory of Open Access Repositories

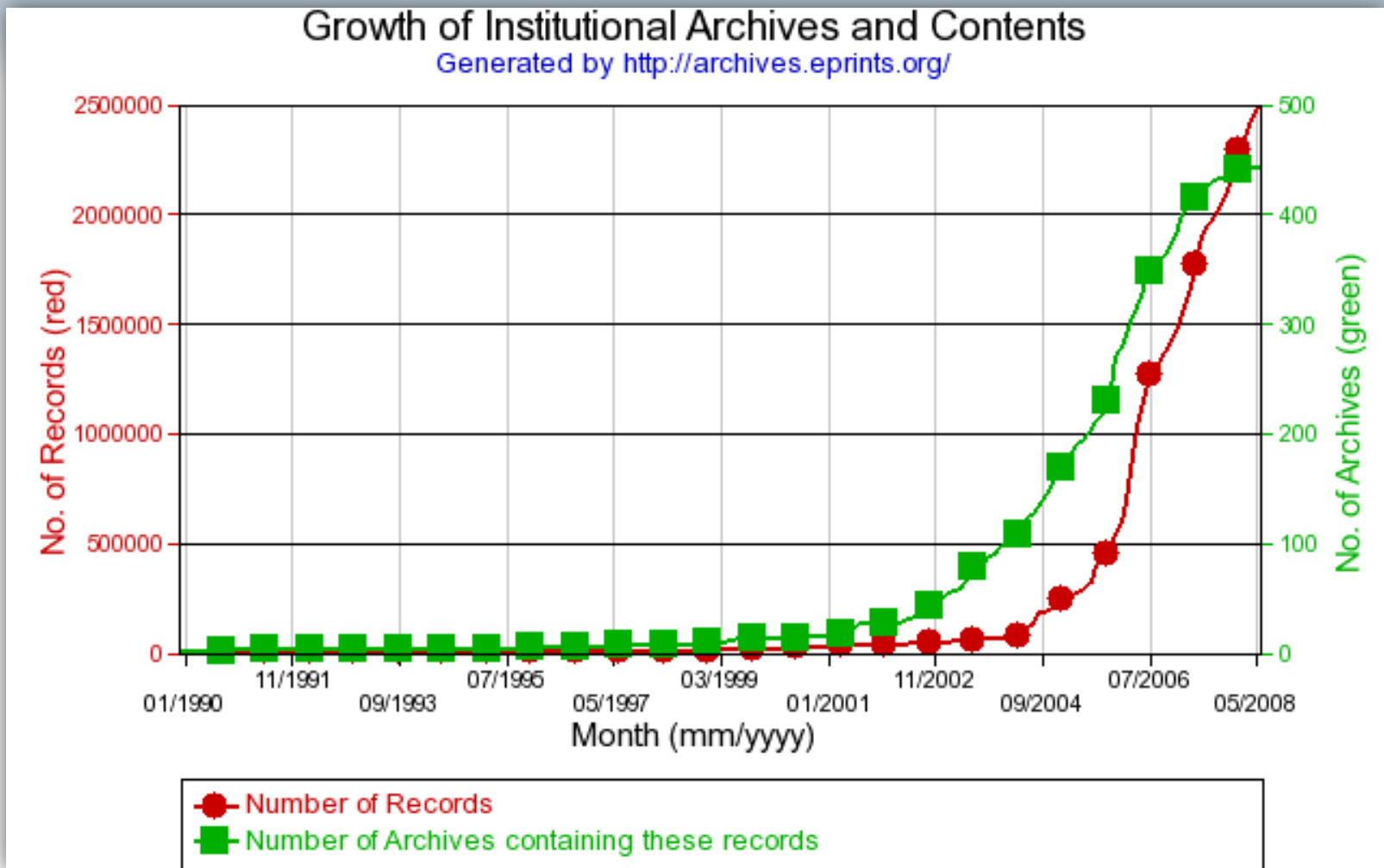
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Proportion of Repositories by Country - Worldwide





Repository growth





Open Access Policies



Open Access mandates

- 246 OA mandates internationally
 - 46 funder mandates
 - 104 institutional mandates
 - ...

Source: ROARMAP (<http://www.eprints.org/openaccess/policysignup>)

- EC Open Access initiatives – Aug 2008
 - FP7 pilot within seven scientific areas
 - ERC OA guidelines



European Commission RESEARCH - Science in Society

European Commission > Research > SiS > Policy Initiatives > Open Access > Open Access In Fp7

[HOME](#)[HOT TOPICS](#)[FUNDING](#)[ACTIVITIES](#)[TOOLS](#)[E-LIBRARY](#)[EVENTS](#)[WHAT'S NEW](#)

Welcome
to the
Science **in** Society
portal

Policy Initiatives

POLICY INITIATIVES

[Exploratory Activities](#)[Open Access](#)[Open Access in FP7](#)[Background](#)[Relevant EU-funded projects](#)[Nanosciences and nanotechnologies](#)[Promoting International Dialogue](#)[Gender and Research](#)[Research for CSOs](#)[Scientific expertise \(SINAPSE\)](#)[Share](#)

OPEN ACCESS IN FP7

Reimbursement of Open Access publication costs in FP7

In the Seventh Framework Programme (FP7), 'gold' Open Access fees (i.e. 'Open Access publishing' and 'author pays' fees) are eligible for reimbursement. Details can be found in the FP7 model Grant Agreement:

Reimbursement of publication costs (191KB) ('paid' Open Access), article II.16.4 'other activities'.

Open Access Pilot in FP7

In August 2008, the European Commission launched the Open Access Pilot in FP7 that will run until the end of the Framework Programme. It aims to ensure that research results funded by the EU citizen are made available to the population at large for free. In this way, Open Access is considered a way to improve the EU's return on research and development (R&D) investment.

Under the Open Access pilot, FP7 grant recipients in seven areas (energy, environment, health, information and communication technologies [only cognitive systems, interaction, and robotics], research infrastructures [only e-infrastructures], science in society, and socioeconomic sciences and humanities) are expected to:

- deposit peer-reviewed research articles or final manuscripts resulting from their FP7 projects into an online repository;
- make their best effort to ensure open access to these articles within either 6 months (health, energy, environment, information and communication technologies, research infrastructures) or 12 months (science in society, socioeconomic sciences and humanities) after publication.



SC39 Overview

- Special Clause 39 on Open Access, applies to all contracts signed after August 20, 2008
- In **seven areas** of the 7th Framework Programme:
 - 6 month embargo: “Health”, “Energy”, “Environment”, “Information & Communication Technology” (Cognitive systems/robotics), “Research infrastructures” (e-infrastructures)
 - 12 month embargo: “Socio-economic Sciences and Humanities” and “Science in Society”
- Pilot based on „Self-Archiving“ / „green“ OA

http://ec.europa.eu/research/press/2008/pdf/annex_1_new_clauses.pdf



ERC OA Guidelines

- ERC awards individual researchers with grants in the FP7 Specific Programme IDEAS.
- Since December 2007, the ERC requires researchers to deposit **all peer-reviewed publications** from ERC-funded research projects into an appropriate **institutional or disciplinary repository** and subsequently make them open access **within 6 months of publication**.
- Moreover, researchers are encouraged to deposit **primary data** into relevant databases (such as DDBJ/EMBL/GenBank) as soon as possible, preferably immediately but not later than 6 months after the date of publication.

http://erc.europa.eu/pdf/ScC_Guidelines_Open_Access_revised_Dec07_FINAL.pdf



@Project Coordinators – What can you do?



Learn about OA and deposit

- Does my project have SC39?
 - How can I find this out?
 - Project Grant Agreement
 - Information on www.openaire.eu
- What about copyright?
 - Authors versions post-prints (after peer-review),
 - Publishers policies – SHERPA/RoMEO database
 - Template letters to inform the publishers
- Where and How to deposit?
 - Straightforward workflow.....



Special Clause 39 (SC39)

OPEN ACCESS (SPECIFIC TO THE THEMATIC AREAS "HEALTH", "ENERGY", "ENVIRONMENT (INCLUDING CLIMATE CHANGE)", "INFORMATION & COMMUNICATION TECHNOLOGIES" (CHALLENGE 2), AND "SOCIOECONOMIC SCIENCES AND THE HUMANITIES", AS WELL AS TO THE ACTIVITIES "RESEARCH INFRASTRUCTURES" (E-INFRASTRUCTURES), AND "SCIENCE IN SOCIETY")

In addition to Article II.30.4, beneficiaries shall deposit an electronic copy of the published version or the final manuscript accepted for publication of a scientific publication relating to foreground published before or after the final report in an institutional or subject-based repository at the moment of publication.

Beneficiaries are required to make their best efforts to ensure that this electronic copy becomes freely and electronically available to anyone through this repository:

- immediately if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or
- within X months of publication.

The number X will be 6 months in the thematic areas "Health", "Energy", "Environment (including Climate Change)", "Information & communication technologies" (Challenge 2) and the activity "Research infrastructures" (e-infrastructures), months in the thematic area "Socio-economic Sciences and the Humanities" and the activity "Science in Society".

http://ec.europa.eu/research/press/2008/pdf/annex_1_new_clauses.pdf



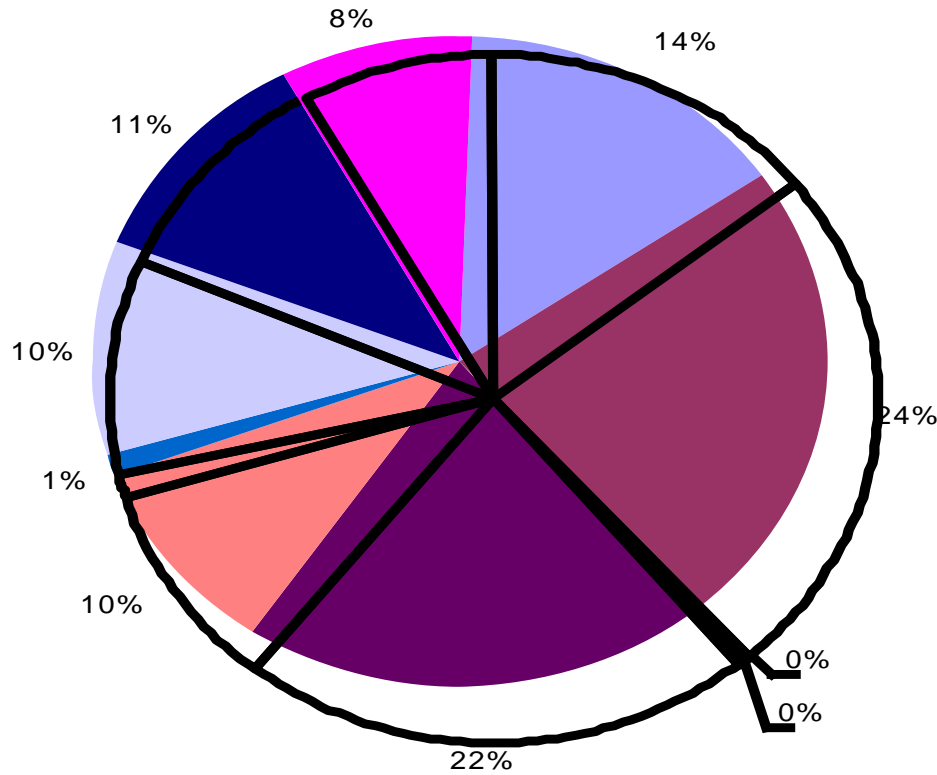
Projects with Special Clause 39 (as of Oct.2010)

- 76 Energy
- 127 Environment
- 1 Food, Agriculture and Fisheries, and Biotechnology
- 2 General Activities
- 115 Health
- 51 ICT
- 6 Nanosciences, Nanotechnologies, Materials and new Production Technologies
- 54 Research Infrastructures
- 56 Science in Society
- 42 Socio-economic Sciences and Humanities

530 projects with SC39, 120 - countries involved



SC39 Projects by Work Programme (as of October 2010)



- Energy
- Environment
- Food, Agriculture and Fisheries
- Biotechnology
- General Activities
- Health
- ICT
- Nanosciences, Nanotechnology and Materials
- new Production Technologies
- Research Infrastructures
- Science in Society
- Socio-economic Sciences and Humanities



Copyright Issues

- Author (prior to publication):
 - Use the „Addendum to Publication Agreement“ as provided by the EC
- Library (after publication):
 - Repository manager / librarian checks copyright issues
 - Majority of publishers allow deposit of author's manuscript in OA repositories



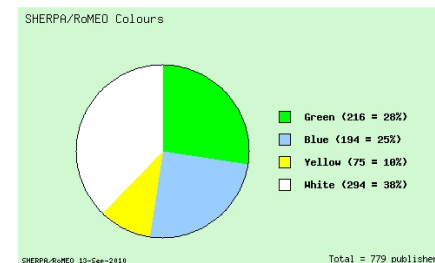
...opening access to research
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Publisher copyright policies & self-archiving

Statistics for the 779 publishers on this list

RoMEO colour	Archiving policy	Publishers	%
green	can archive pre-print and post-print	216	28
blue	can archive post-print (ie final draft post-refereeing)	194	25
yellow	can archive pre-print (ie pre-refereeing)	75	10
white	archiving not formally supported	294	38

Summary: 62% of publishers on this list formally allow some form of self-archiving.



www.sherpa.ac.uk/romeo



Publication Agreement

http://cordis.europa.eu/fp7/find-doc_en.html

(Publisher's contact details):
.....

(Place and date):
.....

Dear Sir/Madam,

I am contacting you concerning the following article to be published by your publishing house for which I am the corresponding author:

Title: _____

Corresponding Author: _____

Journal: _____

The research underlying this article [is being] [has been] co-funded by the 7th Framework Programme (FP7) (<http://cordis.europa.eu/fp7>) of the European Commission, and more specifically under one of the programmes covered by the Open Access Pilot in FP7 (http://ec.europa.eu/research/science-society/open_access). Under this pilot, articles are to be deposited in an electronic repository upon publication and are to be made open access, either immediately if the article is published open access by the publisher, or after an embargo period of 6 or 12 months depending on the area of research. The wider goal of this pilot is to improve access to the results of publicly funded research.

In order to comply with the policy of the European Commission, I wish to opt for an addendum to the publication agreement. I am attaching this document for your consideration and signature.

I look forward to your reply, and thank you for your support and collaboration on this matter.

Sincerely yours,

(Name and signature of corresponding author)

Enclosures:

- Signed publication agreement
- Signed addendum to the publication agreement for signature by publisher

Addendum to Publication Agreement

1. This Addendum modifies and supplements the attached Publication Agreement concerning the following article:

Title: _____

Journal: _____

2. The parties to the Publication Agreement are:

Corresponding author: _____

Publisher: _____

3. The parties agree that wherever there is any conflict between this Addendum and the Publication Agreement, the provisions of this Addendum are paramount and the Publication Agreement shall be construed accordingly.

4. Notwithstanding any terms in the Publication Agreement to the contrary, the author retains the following rights:

- to deposit an electronic copy of the published version (if permitted by the publication agreement) or the final manuscript (after peer review) accepted for publication in an institutional and/or subject-based repository at the moment of publication.
- to provide free of charge access to this electronic copy to anyone through this repository:
 - o immediately if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or
 - o within [6] [12]¹ months of publication.

5. For record keeping purposes, the author requests that the publisher sign a copy of this Addendum and return it to the author. However, if the publisher publishes the article in the journal or in any other form without signing a copy of this Addendum, such publication manifests the publisher's assent to the terms of this Addendum.

AUTHOR	PUBLISHER
_____	_____
(corresponding author on behalf of all authors)	_____
Date	Date

¹ Choose 6 months for publications resulting from projects in the thematic areas "Health", "Energy", "Environment (including Climate Change)", and "Information & communication technologies" (Challenge 2) and the activity "Research infrastructures" (e-infrastructure). Choose 12 months for publications resulting from projects in the thematic area "Socio-economic Sciences and the Humanities" and the activity "Science in Society". The number of months selected should be identical to the number of months found in the relevant 7th Framework Programme Grant Agreement (see Special Clause 39).



OA publishing costs

fp7-ga-annex2-v3_en.pdf - Adobe Reader

File Edit View Document Tools Window Help

18 / 37 150% Find

II.16. Upper funding limits

1. For **research and technological development activities**, the *Community financial contribution* may reach a maximum of 50% of the total eligible costs.

However, for *beneficiaries* that are *non-profit public bodies*, secondary and higher education establishments, *research organisations* and *SMEs*, the rate may reach a maximum of 75% of the total eligible costs. If these *beneficiaries* change their status during the life of the *project*, this reimbursement rate shall be applicable up to the moment they lose their status.
2. For **demonstration activities**, the *Community financial contribution* may reach a maximum of 50% of the total eligible costs.
3. For **coordination and support actions**, the *Community financial contribution* may reach a maximum of 100% of the total eligible costs.
4. For **other activities** not covered by paragraphs 1 and 2, *inter alia*, management activities, training, coordination, networking and *dissemination* (including publications), the contribution may reach a maximum of 100% of the total eligible costs.

Paragraphs 1 to 4 shall apply also in the case of *projects* where flat rate financing or lump sum financing is used for the whole or for part of the *project*.

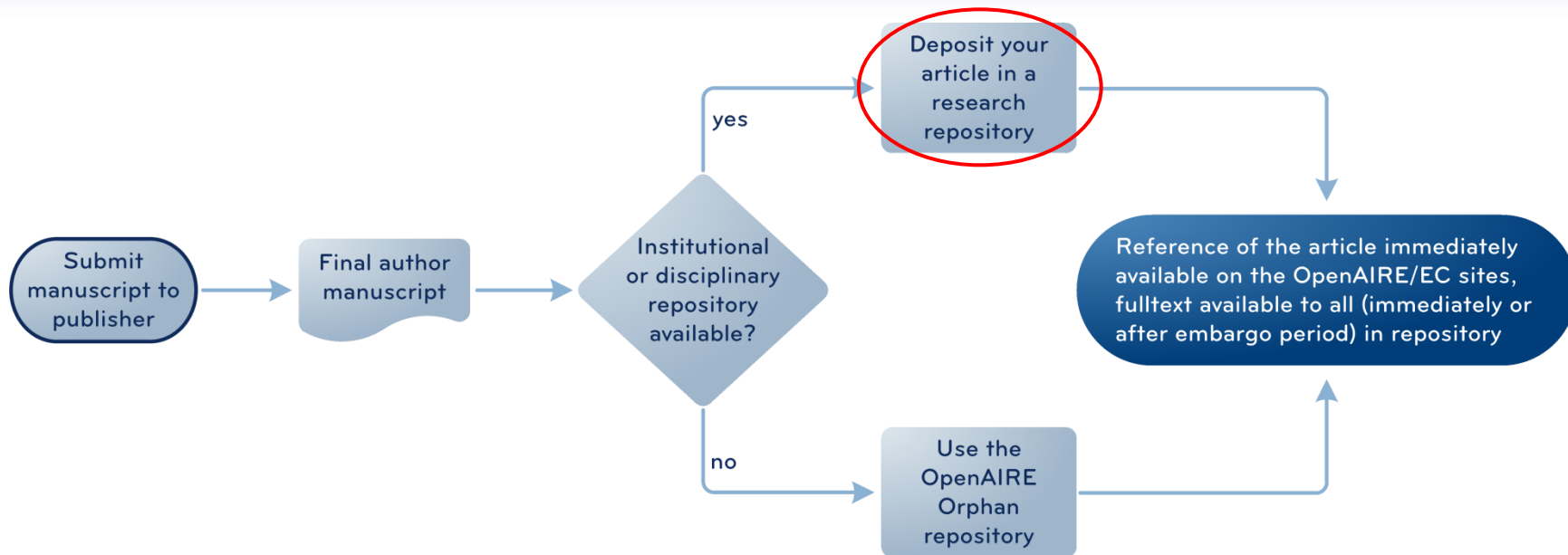
8,26 x 11,69 in

The 8th e-Infrastructure Concertation Meeting, November 5, 2010, CERN

Microsoft PowerPoi... eFL fp7-ga-annex2-v3_e... EN 23:14



Publication & Deposit Workflow





Steps for Compliance

- 1. Submit your article** to a journal of your choice.
 - Please use the cover letter and the „Addendum to Publication Agreement“
- 2. Deposit your accepted author manuscript** (a PDF of your final version as submitted to the publisher after peer review) in your institutional repository, subject repository or orphan repository



Help OpenAIRE identify FP7 publications

- Acknowledge project in publication
- Use publication identifier at reporting time
- Urge institutional repository to become OpenAIRE compliant

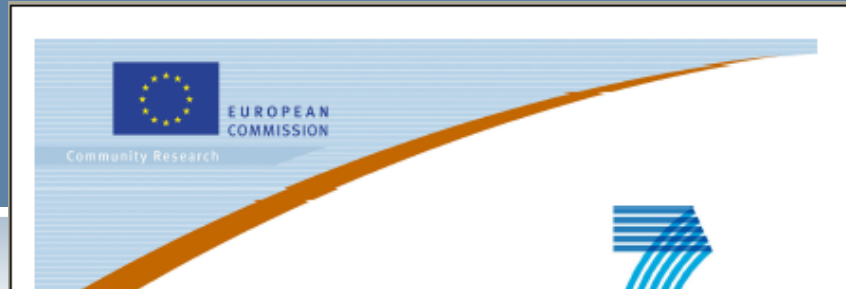


Acknowledgement of Funding

- Examples of acknowledging FP7 in your publication
 - Financial support by the European Commission (FP7-ICT-2009-1, Grant Agreement no. XXXX) is gratefully acknowledged.
 - This work has been supported by the EC within the 7th framework programme under grant agreement no. FP7-IST-XXXX.
 - This work has been supported by the XXXX project, grant agreement number YYYY, funded by the EC Seventh Framework Programme theme FP7-ENERGY-2008-2.
 - The authors acknowledge the financial support by the European Union FP7-ICT project ZZZZ under contract no. XXXX.



Reporting



Section A (public)

This section includes two templates

- Template A1: List of all scientific (peer reviewed) publications relating to the foreground of the project.
- Template A2: List of all dissemination activities (publications, conferences, workshops, web sites/applications, press releases, flyers, articles published in the popular press, videos, media briefings, presentations, exhibitions, thesis, interviews, films, TV clips, posters).

These tables are cumulative, which means that they should always show all publications and activities from the beginning until after the end of the project. Updates are possible at any time.

Open Access

TEMPLATE A1: LIST OF SCIENTIFIC (PEER REVIEWED) PUBLICATIONS, STARTING WITH THE MOST IMPORTANT

NO.	Title	Main author	Title of the periodical or the series	Number, date or frequency	Publisher	Place of publication	Year of publication	Relevant pages	Permanent identifiers ¹³ (if available)	Is/Will open access ¹⁴ provided to the publication. yes/no
1	<i>Economic transformation in Hungary and Poland</i>		<i>European Economy</i>	<i>No 43, March 1990</i>	<i>Office for Official Publications of the European Communities</i>	<i>Luxembourg</i>	<i>1990</i>	<i>pp. 151 - 167</i>		
2										
3										

¹³ A permanent identifier should be a persistent link to the published version full text if open access is provided (link to article in repository).

¹⁴ Open Access is defined as free of charge access for anyone via Internet. Please answer "yes" if the publication is already open access is not yet over but you intend to establish open access afterwards.

Publication Identifier

accepted for publication (link to article in repository) if the embargo period for open access is not yet over but you intend to establish open access afterwards.



OpenAIRE compliant repositories

- Find out if your institutional repository is OpenAIRE compliant

In July 2010 the OpenAIRE team released the OpenAIRE Guidelines 1.0 - Guidelines for content providers of the OpenAIRE information space:

<http://www.openaire.eu/en/component/attachments/download/31.html>

- Advocate for it



OpenAIRE portal



Open Access Infrastructure for Research in Europe

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English

search...

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[How to comply](#)

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[About the Project](#)

Deposit **Open Access**



Helpdesk on **OA**



Access **EC publications**



Open Access in **Europe**



Quick Links

[FAQ](#)

[Ask a Question](#)

[News & Events](#)

[Publications & Presentations](#)

[Related Projects](#)

Researcher **OA corner**

[Why deposit OA?](#)

[Learn on your country's OA policies](#)

[Find a repository to deposit...](#)

Repository **Manager Corner**

Is your repository OpenAIRE compliant? [Click here to find out...](#)

[View the OpenAIRE Guidelines.](#)

[Register your repository to OpenAIRE.](#)

20 FEBRUARY 2010



European Countries join forces to realize the EC Open Access pilot: OpenAIRE

OpenAIRE (Open Access Infrastructure for Research in Europe), a three-years project funded under the 7th Framework Programme of the European Commission, has now taken up its work to implement Open Access on a pan-European scale. This ambitious effort unites 38 partners from 27 European countries.

The main goal of OpenAIRE is to support the Open Access pilot, launched by the European Commission in August 2008. This Open Access pilot, which covers about 20% of the FP7 budget, commits researchers from 7 thematic areas (Health, Energy, Environment, Information & Communication Technology, Research Infrastructures, Socio-economic sciences & Humanities and Science in Society) to deposit their research publications in an institutional or disciplinary Open Access repository, to be made available worldwide in full text. OpenAIRE will establish underlying

Latest News

OTHER ARTICLES

- [DL.org School on Digital Libraries & Repositories: Modeling, Best Practices, Interoperability](#)
- [COAR and OpenAIRE: Enhancing the Interoperability of Repositories for International Research](#)

Mark your calendar

Mon Nov 08





National Open Access Desks

Region 1 North (DTU)

Denmark
(Danish Technical
University)

Finland
(University of Helsinki)

Sweden
(National Library of
Sweden)

Region 2 South (UMINHO)

Cyprus
(University of Cyprus)

Greece
(National
Documentation Center)

Italy
(CASPAR)

Malta
(Malta Council for
Science & Technology)

Portugal
(University of Minho)

Spain
(Spanish Foundation for
Science & Technology)

Region 3 East (eIFL)

Czech Republic
(Technical University of
Ostrava)

Hungary (HUNOR)

Lithuania
(Kaunas Technical
University)

Romania
(Kosson)

Slovakia
(university Library of
Bratislava)

Bulgaria
(Bulgarian Academy of
Sciences)

Estonia
(University of Tartu)

Latvia
(University of Latvia)

Poland
(ICM – University of
Warsaw)

Slovenia
(University of Ljubljana)

Region 4 West (UGENT)

Austria
(University of Wien)

Belgium
(Universtiy of Gent)

France
(Couperin)

Germany
(University of Kostanz)

Ireland
(Trinity College)

Netherlands
(Utrecht University)

UK
(SHERPA)



Info on OA in your country

The screenshot shows a Mozilla Firefox browser window displaying the OpenAIRE website. The address bar shows the URL <http://www.openaire.eu/en/nlo/country-information.html>. The page title is "OpenAIRE - National Open Access Desks".

The main content area is titled "National Open Access Desks" and dated "16 MARCH 2010". It contains the following text:

The National Open Access Desks connect researchers, research institutions, and policy makers at a national level on the one end, and the OpenAIRE project services on the other.

The OpenAIRE network of Open Access desks is structured similarly to the Europe-wide information network on European Research Programmes. The focus of the Open Access Desks activities is on support for compliance with the EC Open Access Pilot.

The Open Access desks can be contacted for all questions on Open Access, depositing, the EC Pilot, etc. on the national level. Central support is provided through the OpenAIRE portal.

In this section information is presented on each participating country, including information on:

- ➔ The National Research Environment (research institutions, funding)
- ➔ Open Access and Repositories (awareness, repositories, journals, organizations)
- ➔ Contact details of the Open Access Desk

Please click on one of the countries in the list for further information.

Share this... [Twitter](#) [Facebook](#) [LinkedIn](#) [Google+](#) [StumbleUpon](#) [More...](#)

The left sidebar contains a list of countries under the heading "In this section":

- Austria
- Belgium
- Bulgaria
- Cyprus
- Czech Republic
- Denmark
- Estonia
- Finland
- France
- Germany
- Greece
- Hungary
- Ireland
- Italy
- Latvia
- Lithuania
- Malta
- Netherlands
- Norway
- Poland
- Portugal
- Romania
- Slovakia
- Slovenia
- Spain
- Sweden
- United Kingdom

The Windows taskbar at the bottom shows the system tray with the time 23:06 and the language set to EN. The taskbar includes icons for OpenAIRE - National Open Access Desks and Microsoft PowerPoint.



Helpdesk for everyone

The screenshot shows a Mozilla Firefox browser window displaying the OpenAIRE FAQ page. The browser's address bar shows the URL <http://www.openaire.eu/en/support/faq.html>. The page features the OpenAIRE logo and the text "Open Access Infrastructure for Research in Europe". Navigation tabs include "How to deposit", "Open Access & EC Pilot", "Support" (which is active), "National OA Desks", "News & Events", and "About the Project". A secondary navigation bar contains "FAQ", "Ask a question", "Toolkits", and "Copyright Issues".

The main content area is titled "FAQ" and includes a breadcrumb trail: "Home > Support > FAQ". A "Q&A" icon is present, with the text: "OpenAIRE provides some quick answers to some of your questions. Check this section as it becomes continuously updated." Below this, there are three sections:

- Open Access**: Frequently asked questions about Open Access. Assigned items: 12.
- OpenAIRE for Researchers**: Assigned items: 10.
- OpenAIRE for Repository Managers**

On the left side, there is a box titled "In this section" with links for "Open Access", "For Researchers", and "For Repository Managers". An RSS icon is also visible.

The browser's taskbar at the bottom shows the system tray with the time 23:04 and the language set to EN. Open applications include "OpenAIRE - FAQ - ..." and "Microsoft PowerPoi...".



Helpdesk - ticketing

The screenshot shows a Mozilla Firefox browser window displaying the OpenAIRE Helpdesk 'New Ticket' form. The browser's address bar shows the URL: [http://www.openaire.eu/en/support/helpdesk.html?view=detail&cid\[0\]=-1](http://www.openaire.eu/en/support/helpdesk.html?view=detail&cid[0]=-1). The page title is 'OpenAIRE - Ask a question'. The form is titled 'OpenAIRE Helpdesk' and includes a navigation menu with 'Home', 'Support', and 'Ask a question'. On the left side, there is a box labeled 'In this section' with a link to 'Helpdesk Instructions'. The form itself is divided into several sections: 'New Ticket' (header), 'Contact Information' (with fields for Name, E-Mail, Geographical region, and Institute/Affiliation), 'Classification' (with a dropdown for Subject, Status, Priority, and Assigned To), 'Ticket Information' (with a Title field and a large Description text area), and 'Enter Additional Notes' (with a text area). At the top right of the form, there are icons for Submit, Print, Cancel, Refresh, and Home. The browser's taskbar at the bottom shows the Windows logo, several open applications, and the system tray with the time 23:05.



OpenAIRE beta demo