Open Access in Horizon 2020: A Factsheet for research institutions

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Introduction

With nearly €80 billion available for research between 2014 and 2020, Horizon 2020 (H2020) is the European Union's (EU) largest Research and Innovation Programme. Open Access to publications (and research data through the Open Research Data Pilot) is a key principle of H2020. Its legal basis is found in the Model Grant Agreement[1], the Framework Programme[2], and other Reference Documents[3].

This brief describes the main elements of the H2020 Open Access policy in order to help research institutions support their researchers in complying with the related policy requirements. As shown from the Figure below, national policies (institutional and funders policies) are not fully aligned with the H2020 Open Access policy. This means, that in a number of cases,
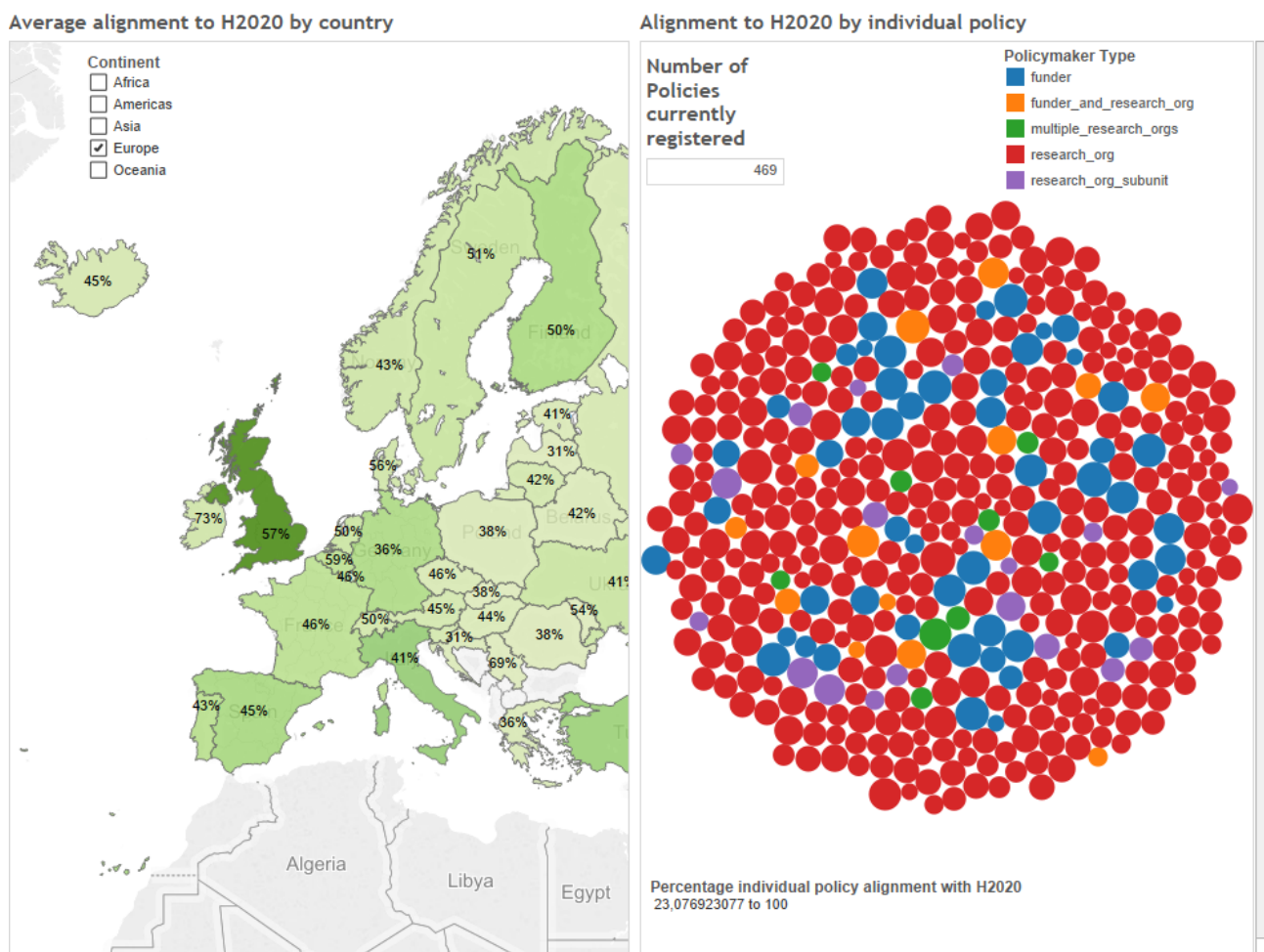
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[1] Horizon 2020 General Model Grant Agreement (**link**)
[2] Horizon 2020 Official Documents (**link**)
[3] Horizon 2020 Reference Documents (**link**)

beneficiaries of H2020 funding have to comply with a specific set of rules to meet the H2020 Open Access policy requirements that may be distinct from their national funders or even their institutional OA policy requirements.

Figure 1: Degrees of Alignment between funder and institutional Open Access policies in Europe with the H2020 Open Access policy

Alignment to the Horizon 2020 Open Access Policy

Average alignment to H2020 by country

Alignment to H2020 by individual policy

Source: PASTEUR4OA Data Visualisations available in ROARMAP (http://roarmap.eprints.org/dataviz.html).4

Open Access in H2020

The following section presents the key elements of the H2020 mandate on Open Access. The mandate applies to all peer-reviewed scientific publications arising from H2020 projects, while Open Access is also required for research data in those areas falling within the scope of the Open Data Research Pilot.

I. Open Access to research publications

Why provide Open Access to research publications

Open Access to research publications in H2020 supports the European Commission's vision that "information already paid for by the public purse should not be paid for again each time it is accessed or used, and that it should benefit European companies and citizens to the full"5.

Who should deposit
All the beneficiaries of the H2020 Programme that will publish the findings of their research.

Is Open Access to publications mandatory?
Yes, it is mandatory if beneficiaries decide to publish peer-reviewed articles as a means to disseminate their research findings. The H2020 Model Grant Agreement (article 29.2) stipulates that research publications **must** be deposited. The mandatory nature of this policy is a key element in ensuring its effectiveness[6] and research institutions play a key role in supporting the academics and researchers that participate in H2020 projects in complying with the policy.

What to deposit
- A machine-readable electronic copy of the published version or
- The final peer-reviewed manuscript accepted for publication

When to deposit
As soon as possible and at the latest upon publication. This requirement applies even in the case of Open Access publishing (Gold OA route) as this ensures long-term preservation of the article. The beneficiary's decision to choose the Open Access publishing route (Gold OA), if it is not accompanied by the deposit of the final peer-reviewed manuscript in a repository will result in non-compliance with the H2020 Open Access policy. The mode of publishing – either through Green OA or Gold OA – is different from the **obligation to deposit**.

When to provide Open Access
Beneficiaries must ensure Open Access to the deposited publication through the repository: a) at the latest upon publication if an electronic version is available for free via the publisher or b) within a maximum of six months (twelve for publications in the social sciences and humanities). Making an article openly available is a separate step from depositing it in a repository. This is a further element of the H2020 Open Access policy which is positively correlated with the successful outcome of a policy and with ensuring its effectiveness[7].

Where to deposit
In a repository for scientific publications: institutional, subject-based or centralised repositories are all acceptable choices. Depositing publications to a repository makes research more visible. Deposit is needed for visibility, traceability and monitoring.

II. Open Access to research data

Who should deposit

For the H2020 2016-2017 Work Programme, the following areas are part of the Open Research Data Pilot (ORDP)[8]:
- Future and Emerging Technologies
- Research infrastructures
- Leadership in enabling and industrial technologies – Information and Communication Technologies
- Nanotechnologies, Advanced Materials, Advanced Manufacturing and Processing, and Biotechnology: 'nanosafety' and 'modelling' topics
- Societal Challenge: Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy - selected topics as specified in the work programme
- Societal Challenge: Climate Action, Environment, Resource Efficiency and Raw materials – except raw materials

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4 Data drawn from **ROARMAP**. The tool is interactive and users can manipulate the tool to show varying degrees of alignment with the H2020 policy.
5 Commission EC. 2016. Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020, version 2.1, 16 February 2015 (**link**)
6 Open Access policy effectiveness: A briefing paper for research institutions (**link**)
7 Policy Effectiveness-Institutions (**link**)
8 Commission EC. 2016. Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020, version 2.1, 16 February 2015 (**link**)

- Societal Challenge: Europe in a changing world – inclusive, innovative and reflective Societies
- Science with and for Society
- Cross-cutting activities - focus areas – part Smart and Sustainable Cities.

Is Open Access for projects falling in the areas of the ORDP mandatory?

Opt-out (total or partial) from the pilot is possible at any stage for a variety of reasons, as described in the Guidelines9.
Voluntary participation (i.e. for projects not covered by the pilot) is also possible.

What to deposit

The ORDP applies to two types of data:

- The data, including their associated metadata, needed to validate the results presented in scientific publications as soon as possible
- Other data, including their associated metadata, as specified and within the deadlines foreseen in the data management plan

When to deposit

As soon as possible for data validating the results presented in scientific publications.

Where to deposit

Preferably in a research data repository (subject-based/ thematic, institutional or centralised).

Further Reading

PASTEUR4OA Advocacy Resources: http://www.pasteur4oa.eu/resources

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9 Commission EC. 2016. Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020, version 2.1, 16 February 2015 (**link**)