

## Open Access Publications in the EU-Research Framework programme Horizon 2020

This fact sheet summarizes the most important facts about Open Access publishing and focuses the current EU research programme Horizon 2020, in which Open Access publishing is mandatory.

### What is Open Access?

The European Commission (COM) and the European Research Council (ERC), as well as numerous other national and international public third party donors require in their funding guidelines to make the results of the funded projects freely accessible to the public. In addition to a printed publication or an online publication with restricted access, scientific publications must be made available through Open Access repositories. For selected projects the European Commission also requires the additional Open Access publication of the research data (Open Data).

The aim of Open Access is to make free and unrestricted online access to scientific and scholarly information possible, as well as to remove barriers in its subsequent uses. Users are allowed to read, download, copy, distribute, print, search, and refer to full texts without financial, legal or technical barriers. A widely recognized definition of Open Access is given in the [Berlin Declaration](#) on Open Access to Scientific Knowledge (2003)

### Are you as scientist committed to publish Open Access?

In principle, there is also no obligation to publish Open Access, and scientists are free to decide whether, at what time, in which medium and in which form (whether printed or electronic) they publish their research results. For example, if the utilization of the research results is a patent, then a novelty injurious publication can of course be dispensed with.

Open Access is not a requirement to publish, as researchers are free to publish their results or not, nor does it interfere with the decision to exploit research results commercially e.g. through patenting.

In the following figure the COM outlined the decision-making process:

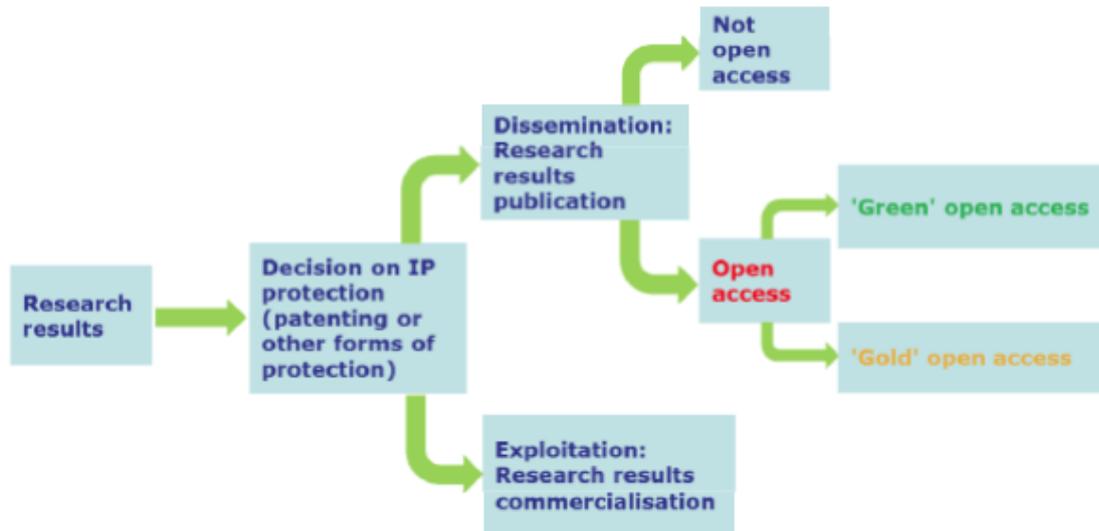


Figure 1: Decision-making process for the exploitation of results by patenting or publication.  
 Source: KOM - Fact sheet: Open Access in Horizon 2020

In addition to COM and ERC, however, more and more institutions from the field of research funding<sup>1</sup> are obliging their contributors to publish the results of this funded research Open Access. If scientists are receiving funding from a public third-party fund for their projects, it may happen that these institutions require mandatory Open Access to publications.

### What do KOM and ERC expect?

COM and ERC expect scientists to ensure Open Access to all publications that originate from the supported Horizon2020 project (see [Horizon 2020 Model Grant Agreement](#), Artikel 29.2):

- **Deposit of a machine-readable form** z (e.g., searchable PDF) of the publication OR of the final manuscript after the peer review process **in a repository** for scientific publications (e.g.: digital repository OPUS of BTU Cottbus - Senftenberg) at the time of publication.
- **Ensure Open Access** to this deposited publication, **either immediately**, if a free version is available by the publisher **or at the latest after six months** (twelve months in the humanities and social sciences).
- **Ensure Open Access to the bibliographic metadata**, which also includes information on the funding provider (such as "European Union (EU)", "Horizon

<sup>1</sup> Europäische Open-Access-Infrastruktur (<https://www.openaire.eu/>)

2020"), the funding line, the acronym and the grant number of the project, including a permanent identification feature (DOI - Digital Object Identifier).

This requirement can be met (either) by an **immediate Open Access publication ("golden path" of Open Access)**. This requires a (paid) publication in an Open Access journal or release of your article for a fee for immediate public access. In addition, the publishing version without embargo is to be provided in an Open Access repository. Or the **path of self-archiving ("green way" of the Open Access)** is chosen: The author publishes the author's manuscript (or the publisher version, if the publisher permits) in an institutional (e.g.: digital Repository of BTU Cottbus-Senftenberg) or discipline-specific repository (e.g.: Europe PubMed Central, arXiv or Zenodo). Open Access to these publications should be possible after a maximum period of six months (twelve months in the humanities and social sciences).

Scientific publications are primarily scientific articles, which appear in peer reviewed journals. Authors are also encouraged to implement open access for other types of publications, such as monographs and contributions to conference volumes.

### Labelling of the funding

Please always remember to state your funding by the European Commission or the European Research Council (see Model Grant Agreement, Article 29.4). This includes: ...

- ... the sentence „*This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No xxxxxx.*“ (Please read the exact formulation in the Grant Agreement Article 29.4).
- ... the EU-Emblem (Reference and Download under <https://erc.europa.eu/media-and-events/logos-and-banners>).

### What are the advantages of Open Access?

Research is always based on previous work and depends on the scientists' ability to access these scientific papers and share them with others. The advantages of the Internet and electronic publishing lead to unprecedented opportunities for the dissemination and exchange of information. In today's "information economy", where knowledge is the source of the competitive advantage, Open Access can have a number of advantages, as e.g.

- Accelerate the research process with a potential increase in results from R & D expenses.

- Avoid duplication of research while saving R & D expenditure.
- Increased opportunities for multidisciplinary research, as well as inter-institutional and inter-sectoral cooperation.
- Wider and faster adaptation and exploitation of research results with an increase in public R & D expenditures.
- The emergence of new industries based on scientific information.

### What should to be considered already during the application process-?

Publication costs can be offset in Horizon 2020 as in the 7th Research Framework Programme (under "other direct costs"). Therefore, when applying for third-party funded projects, you should also plan for publication funds to for example pay fees for

publishing in open access journals. The price for publication fees depends on the respective journal. According to the Open APC initiative (see <http://treemaps.intact-project.org/>), the price can range between €100 and €4000. The average price for publication fees paid in Germany is about €1500.

Please describe carefully in your applications (in the section "Dissemination and Exploitation of Project Results") how you intend to implement Open Access (in which journals you want to publish? How do they implement Open Access? In which Open Access repositories will the publications be provided?) And, if necessary, how the collected data in the project is managed and published. These areas are increasingly important for the success of your application!

### How can Open Access be implemented at BTU Cottbus-Senftenberg?

Article 29.2 of the Grant Agreement obliges open access to all publications generated from the sponsored project. With the project's final report, the project coordinators must list all project publications, indicating whether and how these were published open access.

The digital repository OPUS operated by the University Library of Cottbus-Senftenberg is available to you as a scientist at BTU Cottbus-Senftenberg for free in order to make your article available Open Access.

For the Open Access publication of your article, please proceed as follows:

1. Submit your article to a reviewed journal or other media of your choice. **Please inform the publisher about the obligation for an Open Access publication in order to receive a corresponding publishing contract.**
2. Go to the Digital Repository and upload the approved version of your article using the [Publish](#) button. Enter the additional information about the article in the registration form.
3. Print the Declaration of Consent and send it with the original signature to the address given in the head of the document. With this declaration, you transfer the simple right of use for the online publication to the Brandenburg Technical University Cottbus-Senftenberg and at the same time assure that your publication does not violate rights of third parties.
4. The Theses department will report back to you before the publication is released and will send you a preview of the data entered for your publication. After you have declared that everything is complete and correct, your publication will be unlocked.

Your publications are automatically indexed by scientific search engines (e.g., Google, BASE), as well as in national and international library catalogues and are therefore easier to find and accessible as full texts.

Your publications can also be found on the EU-funded project [OpenAIRE](#)<sup>2</sup> as well.

### What is the Open Research Data Pilot in Horizon 2020?

New in Horizon 2020 is the "Pilot on Open Research Data" (see— [Model Grant Agreement](#), 29.3). For data generated in the project, data management plans are to be developed that describe the approach for collection and processing of the data throughout the entire project cycle. A first draft of the procedure is expected for the application, which is to be elaborated in the course of the project. The **Open Data Pilot** refers to:

- All research data, including descriptive metadata, on which the scientific publications of the project are based.
- Where appropriate, further research data, as described in the data management plan, insofar as the project wants to publish it.

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<sup>2</sup> Europäische Open-Access-Infrastruktur (<https://www.openaire.eu/>)

The following areas of Horizon 2020 are part of the Open Research Data Pilot:

- Excellent Science: Future and Emerging Technologies (FET)
- Excellent Science: Research infrastructures (RI) – part e-Infrastructures
- Industrial Leadership: Information and Communication Technologies (ICT)
- Societal Challenge: Secure, Clean and Efficient Energy – part Smart cities and communities
- Societal Challenge: Climate Action, Environment, Resource Efficiency and Raw materials (except some Topics in the field of „raw materials“)
- Societal Challenge: Europe in a changing world – inclusive, innovative and reflective Societies
- Science with and for Society

In exceptional cases, projects can refuse to participate in the Open Research Data Pilot. Possible cases for such an opt-out clause are e.g. the protection of intellectual property, politico-security considerations, data protection and a threat to the project goals. At the same time, all Horizon 2020 projects have the possibility to participate in the Open Research Data Pilot on a voluntary basis.

### You have further questions

- Open Access in general and within the scope of Horizon 2020, APCs  
Charlotte Meixner, [meixner\[at\]b-tu.de](mailto:meixner[at]b-tu.de)
- If you have further questions or need support for publishing your documents, check [our Homepage](#) or ask the staff of the Theses department.  
Christine Mast, [mast\[at\]b-tu.de](mailto:mast[at]b-tu.de)  
Silvia Möller, [Moeller\[at\]b-tu.de](mailto:Moeller[at]b-tu.de)
- Question concerning Open Access in research funding in general and in EU-projects in particular  
Dr. Patrick Hoffmann, [patrick.hoffmann\[at\]b-tu.de](mailto:patrick.hoffmann[at]b-tu.de)

## Further Information

- Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020:  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf)
- Guidelines on Data Management in Horizon 2020:  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-data-mgt\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf)
- Open Access (Science in Society site): [http://ec.europa.eu/research/science-society/open\\_access](http://ec.europa.eu/research/science-society/open_access)
- Open Access (Digital Agenda site):  
<http://ec.europa.eu/research/swafs/index.cfm?pg=policy&lib=science>
- Fact sheets of the IPR Helpdesk:  
<https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Fact-Sheet-Open-Access-to-Publications-and-Data-in-H2020-FAQ.pdf>  
[https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/FactSheet\\_Open\\_Access.pdf](https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/FactSheet_Open_Access.pdf)
- OpenAIRE: <http://www.openaire.eu/>