



Brief on Open Access requirements in H2020

To support CORE Organic Cofund and the projects funded under it

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Introduction

It is a requirement by Horizon 2020 that all peer-reviewed scientific publications resulting from activities funded by H2020 must be Open Access and made available, please find further information here; ^{1, 2}. H2020 also encourages Open Access archiving of other types of publications such as conference abstracts and proceedings, books, reports and monographs. “Made available” refers to archiving the publication in a repository for scientific publications, and this must be at the latest at the date of publication. Even if an embargo exists, the metadata (information about the publication) must be made available on that date.

¹ https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/oa-pilot/h2020-hi-erc-oa-guide_en.pdf

² https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf art. 29.



This brief is intended to support CORE Organic projects and their participants in their implementation of this requirement. CORE Organic Cofund is funded under H2020 (with the grant agreement number 727495). While the projects funded under CORE Organic Cofund are primarily bound by the contract rules set out by the national funding bodies, it is, however, relevant for the projects to follow the Open Access requirement under H2020, since H2020 is cofunding the projects.

1. What is Open Access?

Open access to scientific publications means free online access for any user.

The 2 main routes to open access are:

1. Self-archiving / 'green' open access – the author, or a representative, archives (deposits) the published article or the final peer-reviewed manuscript in an online repository before, at the same time as, or after publication. Some publishers request that open access be granted only after an embargo period has elapsed.
2. Open access publishing / 'gold' open access - an article is immediately published in open access mode. In this model, the payment of publication costs is shifted away from subscribing readers.

Either route is acceptable for the H2020 requirement.

The most common business model for B) 'gold' open access is based on one-off payments by authors. These costs, often referred to as Article Processing Charges (APCs), are usually borne by the researcher's university or research institute or the agency funding the research. In other cases, the costs of open access publishing are covered by subsidies or other funding models.

1.2 Definition of “Embargo”

“Embargo” in this context means that in order for the journal to sell their issue or the article, the author is not allowed to make their publication freely available online before the end of the embargo period. This period is normally accepted by H2020 to be 6 months for most sciences or 12 months for social sciences and humanities. However, some journals/publisher have longer embargoes, see https://www.oaindikator.dk/oa-docs/oai_journal_blacklist_2019_24jan2019.xlsx before you send in your manuscript!

2. Copyright issues

2.1 Self-archiving – ‘green’ open access

2.1.1 Preprint - Regardless of copyright – original version pre-review

The author always has the original copyright to their own version of the paper (except in some business-like employments). So the author can always give open access to their own original paper



as they submitted it – before peer review (the preprint) on a website. However, this does not satisfy the H2020 requirement, which asks for the final, published paper or a final, peer-reviewed manuscript.

2.1.2 Postprint – peer reviewed version – not typeset

The author can also give open access to the accepted, peer-reviewed version (called a postprint, which has not been typeset by the journal), if the author has not explicitly transferred the copyright to this version to a publisher.

2.1.3 Copyrights transferred

If the author has transferred all copyrights to a publisher after the acceptance of a peer reviewed paper, as it is commonly done, the author cannot give open access to the accepted version (postprint) or the published copy-edited version (reprint or offprint) in the archive without infringing copyrights. This means the author would not be able to comply with the Open Access requirement of H2020.

Some publishers permit open access to either postprints or reprints, and some permit giving access to colleagues at one's own institution. The politics of the journals vary, so the author should assure what the journal they publish in allows. The author may check the policy here: <http://sherpa.ac.uk/romeo/index.php> (see also Annex 1).

2.1.4 Copyright & right to self-archive

In order to make more research freely available, authors should request that the right to online self-archiving is retained in any future transfers of copyrights, and research institutions and other actors can make a concerted effort to back up these requests. H2020 has made a model amendment³ to the publication agreement which authors can use to retain some of their copyrights. The author should present this to the publisher before they sign the copyright agreement.

Already today, many journals accept open access archiving after an embargo period of 6 months after publication (12 months for social sciences), and this is accepted by H2020. The authors should check whether this is the case⁴ before submitting their paper. In any case, the authors should use the model amendment to the copyright agreement to ensure this is possible (see Annex 2).

³ https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/oa-pilot/h2020-oa-guide-model-for-publishing-a_en.pdf

⁴ See https://www.oaindikator.dk/oa-docs/oai_journal_blacklist_2019_24jan2019.xlsx for journals with longer embargo periods



2.2 'Gold' open access

The authors pay the journal for publishing their paper and retain the copyright to the final, typeset version (reprint or offprint). In this case, the authors may deposit the paper in the archive of their choice with open access.

3. Archiving in Organic Eprints

CORE Organic projects already have an obligation to upload their publications to Organic Eprints. Uploading their publication to Organic Eprints fulfils the H2020 requirement, as Organic Eprints is OpenAire⁵ compliant. However, it is important to fill in the field with grant agreement number, which for CORE Organic Cofund is **727495**:

The screenshot shows the 'H2020 projects' step in the upload process. At the top, a navigation bar includes 'Type', 'Details', 'Subjects', 'Affiliation', 'Upload', 'H2020 projects' (highlighted), and 'Deposit'. Below this is a green bar with '< Previous', 'Save and Return', 'Cancel', and 'Next >'. The main form area is titled 'Details for outputs from H2020 project' and contains three fields: 'Output of an H2020 project?' with radio buttons for 'Yes' (selected) and 'No'; 'H2020 or FP7 Grant Agreement Number:' with a text input field containing '727495'; and 'Access rights:' with a dropdown menu. The dropdown menu is open, showing options: 'Open access' (highlighted in blue), 'Closed access', 'Embargoed access', and 'Restricted access'. A bottom green bar contains '< Previous', 'Cancel', and 'Next >'.

Indicate the access for the paper here – this is information for OpenAire. This does not change the visibility of the document in Organic Eprints. It is important to check the correct option under “Visible to” when uploading the paper to Organic Eprints. For Open Access, choose “Anyone” or “Registered users only”. For restricted access, choose “Depositor and staff only”.

If the publication does not have ‘gold’ open access and the publisher has an embargo period, this can be included using the “Embargo expiry date” when uploading

⁵ From https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf, p. 250: “We recommend that you use a repository that is compliant with the requirements of OpenAIRE and that you use the OpenAIRE database as a point of departure.”



Type → Details → Subjects → Affiliation → **Upload** → H2020 projects → Deposit

< Previous Save and Return Cancel Next >

Add a new document

File From URL

Choose File No file chosen

Microsoft Word - Published Version - English
Limited to [Depositor and staff only] bis 1 October 2019.
441kB

Hide options

Content type: Published Version

★ Language: English

★ Format type: Microsoft Word

Other content or format information:

★ Visible to:
Anyone
[Registered users only]
[Depositor and staff only]

License:

Embargo expiry date: Year: 2019 Month: October Day: 01

Update Metadata

Choose for embargo expiry date the date 6 (or 12) months after publication, as agreed with the publisher.

H2020 has a requirement for the metadata of papers. When papers and other material is submitted to Organic Eprints, it is checked by a national editor for the quality of the metadata, and as such, the metadata requirement by H2020 should be OK. However, the national editor is not responsible for making sure that the author has entered the grant agreement number and made an embargo expiry date. For this, the author is responsible.

If authors are in doubt about archiving in Organic Eprints or need help with Organic Eprints or with Open Access issues, they are always welcome to contact their national editor, who can be found here: <http://orgprints.org/contact.html> or contact the administrator of Organic Eprints, orgprints@icrofs.org.



4. Recommendations for authors

1. When submitting a paper from a project under CORE Organic Cofund to a journal, the author should make sure, e.g. by checking the journal policy or <http://sherpa.ac.uk/romeo/index.php> that EITHER
 - a. The journal is Open Access, at least for the final, peer-reviewed manuscript (postprint) OR
 - b. The author pays the journal for 'gold' Open Access OR
 - c. The journal only has an embargo period of 6 (or 12) months⁶ OR
 - d. The journal is willing to sign the amendment to the publication/copyright agreement suggested by H2020⁷ (see appendix 2).
2. Before or at the latest at the date of publication, the author must deposit the final, typeset version of the paper or a final, peer-reviewed manuscript, in machine-readable format (NOT a scanned version) into Organic Eprints with the correct metadata (information about the paper)
 - a. Choose the correct access under "Visible to" when uploading the document
 - b. If there is an embargo period, include this when uploading the document
 - c. Remember to check "Yes" for H2020 project and the CORE Organic Cofund grant agreement number 727495.
3. If a paper from a project has already been published without the amendment to the publication/copyright agreement (and without 'gold' Open Access)
 - a. Check the journal policy or <http://sherpa.ac.uk/romeo/index.php>
 - b. Ask the publisher to sign the amendment "after the fact"

⁶ See https://www.oaindikator.dk/oa-docs/oai_journal_blacklist_2019_24jan2019.xlsx for journals with longer embargo periods

⁷ https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/oa-pilot/h2020-oa-guide-model-for-publishing-a_en.pdf



Annex 1

Example of publisher policy on Open Access from <http://sherpa.ac.uk/romeo/index.php>



Search - Publisher copyright policies & self-archiving

One journal found when searched for: **organic agriculture**

Journal:	Organic Agriculture (ISSN: 1879-4238, ESSN: 1879-4246)
RoMEO:	This is a RoMEO green journal
Paid OA:	A paid open access option is available for this journal.
Author's Pre-print:	✓ author can archive pre-print (ie pre-refereeing)
Author's Post-print:	✓ author can archive post-print (ie final draft post-refereeing)
Publisher's Version/PDF:	✗ author cannot archive publisher's version/PDF
General Conditions:	<ul style="list-style-type: none">• Author's pre-print on author's personal website, non-commercial pre-print server• Author's post-print on author's personal website immediately• Author's post-print on institutional repository or funder designated repository after 12 months embargo from first online publication• Publisher's version/PDF cannot be used• Published source must be acknowledged• Must link to publisher version with DOI• Post-prints are subject to Springer Nature re-use terms
Mandated OA:	(Awaiting information)
Paid Open Access:	Springer Open Choice
Copyright:	Self-archiving Policy
Updated:	18-Oct-2018 - Suggest an update for this record
Link to this page:	http://sherpa.ac.uk/romeo/issn/1879-4238/
Published by:	Springer (part of Springer Nature): Springer Open Choice Hybrid Journals - Green Policies in RoMEO

Here the author may archive their final peer-reviewed manuscript, which complies with H2020 Open Access requirements, but they may not archive the final published version until after 12 months from first online publication. With the Amendment to the publication/copyright agreement (Annex 2), it could be possible to archive the final published version after 6 months, but in this case, it would not be necessary, as the final peer-reviewed manuscript can be archived even from publication.



Annex 2

H2020 amendment to publishing agreement/copyright agreement

OPEN ACCESS PUBLISHING AGREEMENT

- Instructions and footnotes in blue should be deleted.
- For options [in blue square brackets]: choose the applicable option. Options not chosen should be deleted.
- For fields in [in square brackets]: enter the appropriate data.

ADDENDUM

(To be filled out by the beneficiary/author and the publisher. This model is not mandatory but reflects the obligations for the beneficiary under the H2020 grant agreements. It can be supplemented by further provisions agreed between the parties, provided they are compatible with the Grant Agreement. The Commission/Agency takes no responsibility for the use of this model.)

This ‘Addendum’ is **between** the following parties:

on the one part,

1. the publisher

[full official name (short name)], established in [official address in full], represented by [...],

and

on the other part,

1. ‘the corresponding author’:

[full name], [official address in full], represented by [...]

and the following **other authors**

2. [full name], [official address in full], represented by [...]

3. [full name], [official address in full], represented by [...]

[same for each author].

With this Addendum, the **parties agree to complement and amend** the attached Publication Agreement concerning the publication [insert name of publication] in the Journal [insert name of journal] with the following open access clause:

Open access

The author(s) retain(s) the right to:

a) deposit a machine-readable electronic copy of the published version or the final manuscript (after peer review) in an institutional, centralised and/or subject-based repository

b) provide open access (i.e. free-of-charge access to the electronic copy to anyone) through this repository:

(i) immediately, if the publication itself is published ‘open access’ (i.e. if an electronic version is also available free of charge to the reader via the publisher) or

(ii) within [6//12]⁸ months after publication.

In case of conflicting provisions, this Addendum takes precedence over the Publication Agreement.

⁸ Choose 12 months for publications in the social sciences and humanities and 6 months for publications in other domains



All other provisions of the Publishing Agreement remain unchanged.

This Addendum enters into force on the day of the last signature.

[OPTION if addendum signed after publication: It takes effect on [insert publication date].]

SIGNATURES

For the authors:

name date

signature

For the publisher:

date

signature

stamp

name date

signature

name date

signature

Done in two originals, in English