

# openaccessstalk

## Open-Access-Vorgaben in EU-Projekten

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organisiert von



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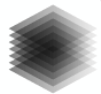
GEFÖRDERT VOM



Bundesministerium  
für Bildung  
und Forschung

# open access network

HELMHOLTZ  
Open Science



TIB  
LEIBNIZ-INFORMATIONSZENTRUM  
TECHNIK UND NATURWISSENSCHAFTEN  
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 [www.open-access.network](http://www.open-access.network)

 @openaccessnet

 @openaccess.net

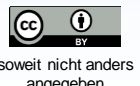
# Open-Access-Vorgaben

in EU-Projekten

**Lena Dreher**

Universität Konstanz

Open Access Talk | [open-access.network](https://open-access.network) | 27. August 2020



# Agenda

Was ist OpenAIRE?

Was bedeutet Open Access?

Open-Access-Mandat

Wie erfüllen?

Wie finanzieren?

Was gilt unter Plan S?

Was tun bei Fragen?

# Was ist OpenAIRE?

# Projekt OpenAIRE

- OpenAIRE ist ein Projekt, das von der EU-Kommission gefördert wird
- Repräsentationen in allen EU-Ländern und weiteren (z.B. Türkei)
- Soll helfen, Open Science Realität werden zu lassen
- Steht allen EU-geförderten Wissenschaftler\*innen bei Fragen zu Open Science mit Rat und Tat zur Seite
- Bietet Plattform [openaire.eu](https://openaire.eu) mit Training zu Open Science, Vernetzung, Hilfe für Content Provider und Forschungsinformationssystem OpenAIRE Research Graph



# Projektphasen OpenAIRE

## OpenAIRE

Dez. 2009 - Nov.  
2012

- Implementierung Open Access Pilot in FP7
- Aufbau der nationalen Open Access Büros

## OpenAIREplus

Dez. 2011 – Dez.  
2014

- Verlinkung von Publikationen mit Forschungsdaten

## OpenAIRE2020

Jan. 2015 - Jan.  
2018

Horizon2020:

- Open-Access-Mandat
- Open-Data-Pilot

## OpenAIREAdvance

Jan. 2018 - Dez. 2020

Horizon2020:

- Open-Access-Mandat
- Open Data als Regelfall

# Projektphasen OpenAIRE

**OpenAIREAdvance**  
Jan. 2018 - Dez. 2020

Horizon2020:

- Open-Access-Mandat
- Open Data als Regelfall

**OpenAIRE  
AMKE**  
ab Jan. 2021

- Keine Projektform mehr
- gemeinnütziger Verein
- griechisches Recht
- eigene Struktur & eigene Finanzierung
- Services nachhaltig weiter bereitstellen



# Infrastruktur mit zwei Komponenten

## *Human Network*

### Integriertes Forschungsinformations-System:

23 Millionen+ Publikationen; 600K+ Datensätze; 1000+ Dataprovider, 800K mit Projekten verlinkte Publikationen von 19 Förderern

### 34 Experten in ganz Europa:

Open Science Training & Support,  
OA Policy Harmonisierung,  
Infrastruktur-Compliance

## *Digital Network*

# Open-Access-Mandat

# Was bedeutet Open Access?

Open-Access-Literatur steht allen Nutzer/innen mit Internetzugang frei und kostenlos zur Verfügung – zum Lesen, Drucken, Verteilen, Zitieren.

Autoren behalten die Copyright an ihren Texten und Kontrolle über ihre Arbeit.

# Wie erfüllen?

## Was fordert die EU?

### 29.2 Open access to scientific publications

The beneficiary must ensure open access (free of charge online access for any user) to all peer-reviewed scientific publications relating to its results.

In particular, it must:

(a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications.

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

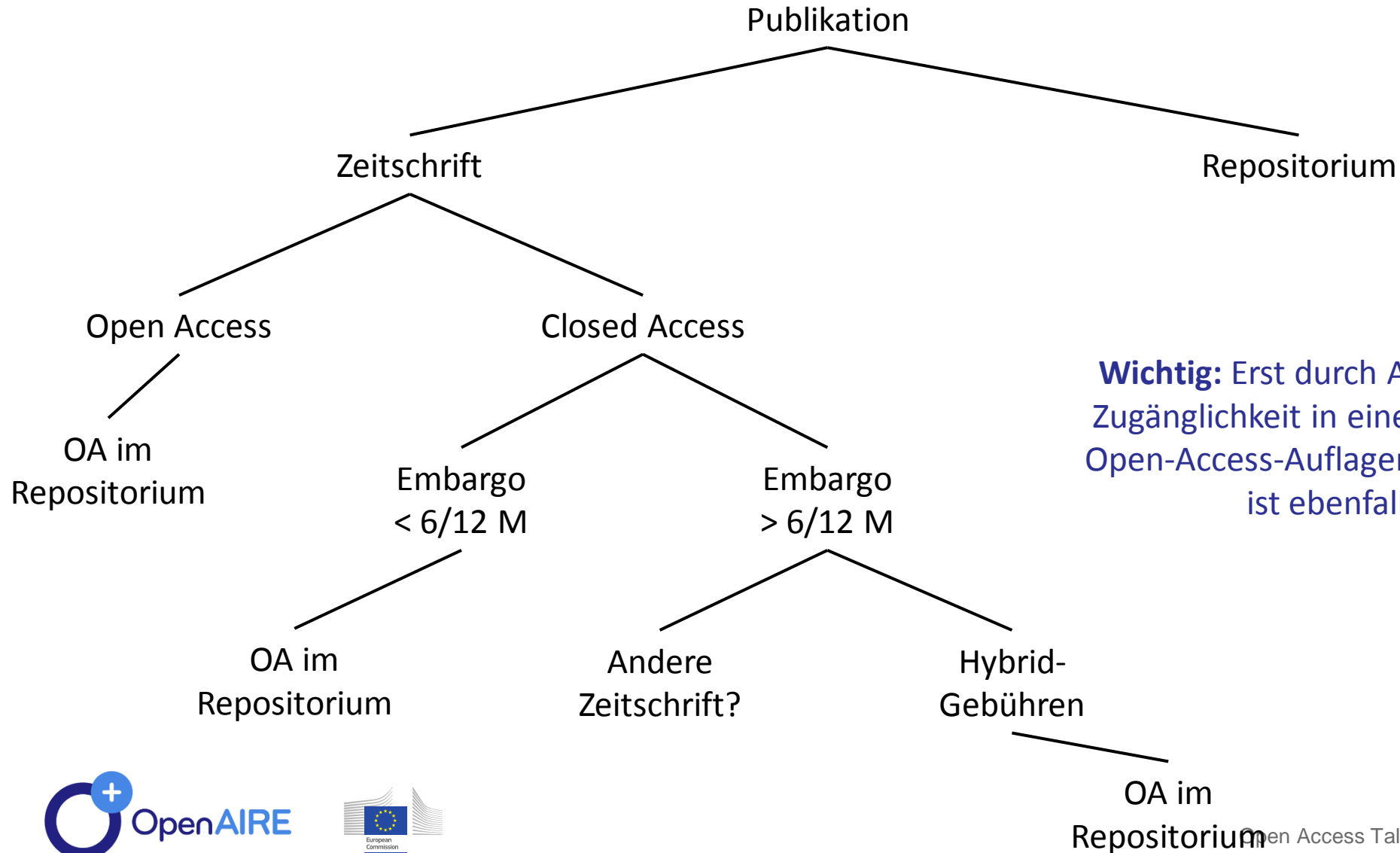
(b) ensure open access to the deposited publication — via the repository — at the latest:

(i) on publication, if an electronic version is available for free via the publisher, or

(ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.

(c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication, which must include a persistent identifier.

# Wie erfüllen?



**Wichtig:** Erst durch Ablage und Open-Access-Zugänglichkeit in einem Repository sind die Open-Access-Auflagen der EU erfüllt, das allein ist ebenfalls hinreichend.

# Wie erfüllen?

## In der Praxis:

1. Manuskript an ausgewählte Zeitschrift senden
2. Repository auswählen
3. Ablage Metadaten + Post-Print-Datei in Repository
  - Angabe der Embargo-Dauer für Post-Print
  - Angabe der EU-Förderung mit Grant-Agreement-Nummer

Auf Projektwebseite einstellen allein reicht nicht!

# Wozu ist das gut? [openaire.eu](https://openaire.eu)



The screenshot displays the OpenAIRE EXPLORE interface. At the top, there is a navigation bar with tabs for EXPLORE, PROVIDE, CONNECT, MONITOR, and DEVELOP. Below this, the OpenAIRE logo and 'EXPLORE' text are visible. The main content area features the project title 'GARNICS' and subtitle 'Gardening with a Cognitive System (247947)'. It includes filters for PROJECT, EC, OPEN ACCESS MANDATE FOR PUBLICATIONS, and SPECIAL CLAUSE 39. Key information such as Funding (FP7 | SP1 | ICT), Start Date (2010-03-01), and End Date (2013-02-28) is provided. The organization is listed as CSIC | FORSCHUNGSZENTRUM JULICH GMBH | UGOE | LIU. A 'Detailed project information (CORDIS)' link is also present.

Below the project details, a 'Publications (58)' section is shown with a 'View all 58 results' link. Three publications are listed:

- Förkroppsligad objektigenkänning** by Wallenberg, Marcus; (2017). DOCTORAL THESIS, ENGLISH, OPEN. Project: EC | GARNICS (247947).
- Efficient probability distribution function estimation for energy based image segmentation methods** by Dedovic, Ines; (2016). DOCTORAL THESIS, ENGLISH, OPEN. Project: EC | GARNICS (247947).
- ToF cameras for active vision in robotics**

On the right side of the screenshot, a 'Share - Bookmark' widget is visible, featuring social media icons and an 'Application Box' with options: 'Publications', 'Research Data', '<> Include in your site (HTML)', 'Get EC report (HTML)', 'Get EC report (CSV)', and 'Deposit'. An orange button at the bottom of the widget says 'Link this project to...'.

Das OpenAIRE-Portal greift automatisch Daten aus Repositorien ab und präsentiert sie offen.

Das erhöht die Sichtbarkeit Ihrer Arbeit massiv und dient als Grundlage für die Evaluation Ihres Projekts.

# Wie erfüllen?

## Repositoryum finden:

### 1. Institutionelles Repositoryum

- Hier bekommen Sie Services und Ansprechpartner vor Ort
- Bei Problemen oft kurzfristig individuelle Hilfe möglich

### 2. Anderes Repositoryum

- Fachspezifisches Repositoryum vorhanden? (Kennen Fach-Standards und sind evtl. in der Community bekannt)
- OpenAIRE compliant? (Wichtig für das automatische Abrufen der Daten durch das OpenAIRE-Portal, Compliance kann auf [explore.openaire.eu](https://explore.openaire.eu) geprüft werden, einfach Repo-Name suchen)
- Im Directory of Open Access Repositories OpenDOAR ([opendoar.org](https://opendoar.org)) verzeichnet? (Liste vertrauenswürdiger Text-Repositoryen)



# Wie finanzieren?

## Im Projekt:

- Umsichtige Wahl der Zeitschrift:
  - Open-Access-Zeitschrift
  - Embargo innerhalb der 6/12-Monate-Frist der EU
- Open-Access-Gebühren (Gold und Hybrid) können als *eligible Costs* geltend gemacht werden
- Evtl. institutionelle Förderung (Es kann sich lohnen, bei Ihrer Institution nachzufragen.)
- Reporte zu Publikationen bei Reviews (falls Probleme mit Open-Access-Status von Publikationen auftauchen: mit offenen Karten spielen, Kooperationsbereitschaft zeigen)

## Bei Antragstellung:

- Überblick über gewünschte Zeitschriften und deren Bedingungen
  - Embargo-Dauer?
  - Hybrid-Gebühren?
  - Open-Access-Zeitschrift?
- Voraussichtliche Kosten für Open-Access-Publikation überschlagen
- Gelder mit beantragen

# Was gilt unter Plan S?

# Was ist Plan S?

coalition-s.org

- Initiative für Open-Access-Publikationen
- cOAlition S
- Gestartet 2018
- Ziel:

“With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”

[coalition-s.org/about](https://coalition-s.org/about)

# Was will Plan S?

## Plan S Principles:

**01** Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC BY), in order to fulfil the requirements defined by the Berlin Declaration;

**02** The Funders will develop **robust criteria** and requirements for the services that high-quality Open Access journals, Open Access platforms, and Open Access repositories must provide;

**03** In cases where high-quality Open Access journals or platforms do not yet exist, the Funders will, in a coordinated way, **provide incentives** to establish and support them when appropriate; support will also be provided for Open Access infrastructures where necessary;

**04** Where applicable, **Open Access publication fees are covered by the Funders or research institutions, not by individual researchers**; it is acknowledged that all researchers should be able to publish their work Open Access;

# Was will Plan S?

## Plan S Principles:

**05** The Funders **support the diversity of business models for Open Access journals and platforms.** When Open Access publication fees are applied, they must be commensurate with the publication services delivered and the structure of such fees must be transparent to inform the market and funders potential standardisation and **capping of payments of fees;**

**06** The Funders encourage governments, universities, research organisations, libraries, academies, and learned societies to **align their strategies, policies, and practices, notably to ensure transparency.**

**07** The above principles shall **apply to all types of scholarly publications,** but it is understood that the timeline to achieve Open Access for monographs and book chapters will be longer and requires a separate and due process;

Quelle: coalition-s.org

# Was will Plan S?

## Plan S Principles:

**08 The Funders do not support the ‘hybrid’ model of publishing.** However, as a transitional pathway towards full Open Access within a clearly defined timeframe, and only as part of transformative arrangements, Funders may contribute to financially supporting such arrangements;

**09 The Funders will monitor compliance** and sanction non-compliant beneficiaries/grantees;

**10 The Funders commit that when assessing research outputs during funding decisions they will value the intrinsic merit of the work** and not consider the publication channel, its impact factor (or other journal metrics), or the publisher.

# Was will Plan S?

## Zusammengefasst:

- › No scholarly publication should be locked behind a paywall;
- › Open Access should be immediate i.e., without embargoes;
- › Full Open Access is implemented by the default use of a Creative Commons Attribution CC BY licence as per the [Berlin Declaration](#);
- › Funders commit to support Open Access publication fees at a reasonable level;
- › Funders will not support publication in hybrid (or mirror/sister) journals unless they are part of a transformative arrangement with a clearly defined endpoint.

# Was will Plan S?

## Änderungen nach Überarbeitung:

### But a number of important changes are proposed in the implementation guidance

- > In order to provide more time for researchers and publishers to adapt to the changes under Plan S, the timeline has been extended by one year to 2021;
- > Transformative agreements will be supported until 2024;
- > More options for transitional arrangements (transformative agreements, transformative model agreements, 'transformative journals') are supported;
- > Greater clarity is provided about the various compliance routes: Plan S is NOT just about a publication fee model of Open Access publishing. cOAlition S supports a diversity of sustainability models for Open Access journals and platforms;
- > More emphasis is put on changing the research reward and incentive system: cOAlition S funders explicitly commit to adapt the criteria by which they value researchers and scholarly output;
- > The importance of transparency in Open Access publication fees is emphasised in order to inform the market and funders' potential standardisation and capping of payments of such fees;
- > The technical requirements for Open Access repositories have been revised.



# Was tun bei Fragen?

# Was tun bei Fragen?

## Open-Access-Beauftragte Ihrer Institution

- Kennen sich mit allen Belangen zu Open-Access-Publikationen aus
- Kennen Fördermöglichkeiten
- Wissen um eventuelle Mitgliedschaften der Institution bei Verlagen (Rabatt auf Publikationsgebühren?)

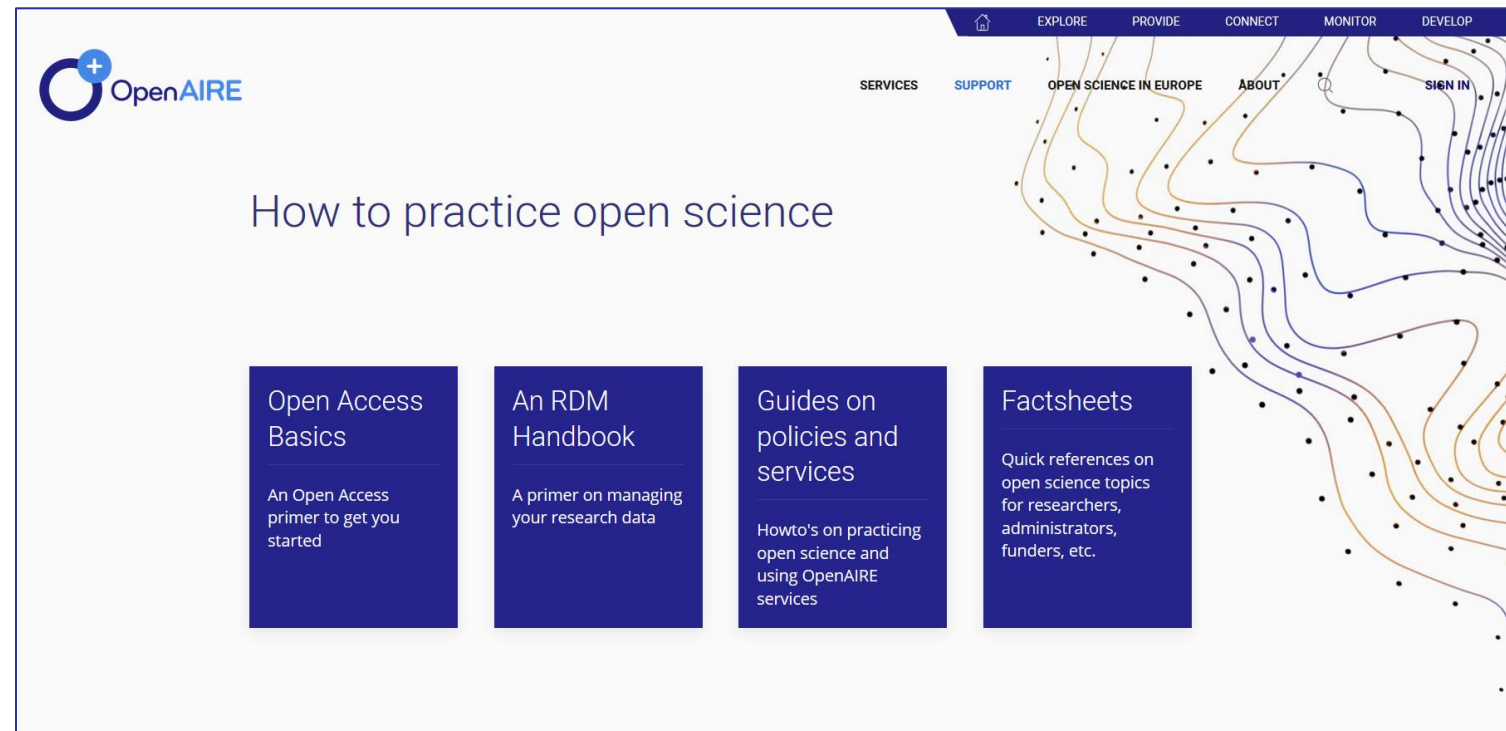
## Repositoriumsbetreiber Ihrer Institution

- Kennen rechtliche Umstände von Post-Print-Publikationen
- Kennen sich mit Dateiformaten und Textlizenzierungen aus
- Helfen bei Fragen zu Speicherung, Sicherung, Archivierung
- Kennen Compliance-Level ihres Repositoriums

# Was tun bei Fragen?

## OpenAIRE Portal [openaire.eu/support](https://openaire.eu/support)

- Guidelines und FAQs zu Fragen und Problemen rund um Open Access und FAIR Data
- Basiswissen über Open Access und Forschungsdatenmanagement
- Webinare
- Trainingsmaterialien



The screenshot shows the OpenAIRE Support Portal interface. At the top, there is a navigation bar with a home icon and links for EXPLORE, PROVIDE, CONNECT, MONITOR, and DEVELOP. Below this, a secondary navigation bar includes SERVICES, SUPPORT (highlighted), OPEN SCIENCE IN EUROPE, ABOUT, and SIGN IN. The main content area features the OpenAIRE logo and the heading "How to practice open science". Below the heading are four blue boxes, each representing a resource:

- Open Access Basics**: An Open Access primer to get you started
- An RDM Handbook**: A primer on managing your research data
- Guides on policies and services**: Howto's on practicing open science and using OpenAIRE services
- Factsheets**: Quick references on open science topics for researchers, administrators, funders, etc.

# Was tun bei Fragen?

## National Open Access Desk Germany

- Zuhause am KIM der Universität Konstanz
- Bei allen Fragen und Problemen zu OpenAIRE, Horizon2020, Open Access, Open Data

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# Thank you!

**Lena Dreher**

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# Kontakt



Schreiben Sie uns:  
[info@open-access.network](mailto:info@open-access.network)

Individuelle Fragen zu Open Access?  
Schreiben Sie an unseren Helpdesk: [help@open-access.network](mailto:help@open-access.network)

 [www.open-access.network](http://www.open-access.network)

 [@openaccessnet](https://twitter.com/openaccessnet)

 [@openaccess.net](https://facebook.com/openaccess.net)



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