What works when complying with the EC Open Access mandate: the experience of the Spanish National Research Council

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DIGITAL.CSIC services to CSIC research community

- The institutional repository serves a multidisciplinary community spread across 131 research centers and institutes.
- Besides gathering, disseminating and preserving CSIC research outputs, DIGITAL.CSIC offers other Open Access related services.
- Efforts devoted to open access mandates have multiplied over the last 4-5 years due to increasing researchers’ requests.
Services to the institutional community to comply with the EC Open Access mandate

At the proposal preparation stage
• Support in the preparation of proposal’s exploitation and dissemination plan
• Explaining copyright and publishers’ permissions policies for repositories and Open Access licensing before budgeting Open Access in the proposal
• Support of Open Access publication

Once the project kicks off
• Identification, deposit, description and access to research papers and other works resulting from EC-funded projects and harvesting by OpenAire aggregator
• Support of Open Access publication
• Support in the design of data management plans and in making research data open

https://www.openaire.eu/engaging-spanish-researchers-to-provide-oa-results
Support in the preparation of proposal’s exploitation and dissemination plan

• The Horizon 2020 work programme explicitly specifies that project proposals shall include a draft Plan for the Exploitation and Dissemination of Results
• This plan is required and assessed under the Impact section of the project proposal.
• Measures could include research activities, commercial exploitation activities, standardisation, skills and educational training, and policy making

Researchers’ FAQs:
• Questions about industrial property vs intellectual property rights, ownership of project’s results, confidentiality issues, scientific publications and other outcomes (e.g., software), potential innovation partnerships and contractual arrangements...and what Open Access has to do with this all
• Help to consider the 2 routes to comply with Open Access requirements >>>> the proposal consortium needs to think about expected number of resulting papers and preferred journals for potential publication beforehand

Graph: Open access to scientific publication and research data in the wider context of dissemination and exploitation
Explaining copyright and publishers’ permissions policies for repositories before budgeting OA in the proposal

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.

- DIGITAL.CSIC helps CSIC researchers sort out how many potential papers could comply with the H2020 mandate through the repository (6/12 month embargo period after publication maximum) >>> but will the researchers from the other institutions participating in the proposal do the same?

Researchers’ FAQs:

- Choosing the gold Open Access only may lead to high and unrealistic budgets for publication costs, which may “reduce” funds for other activities in the proposal (e.g. staff hiring)
- Constantly changing publishers policies as regards permissions for repositories and different publishers policies depending on the repository type (subject-based, institutional, centralized..) discourage the green Open Access route
- Learning process about types of author-publisher agreements: Copyright transfer agreements, licenses to publish, addenda.. Who and how to act when a publisher denies green open access clauses
Support of Open Access publication

- **Researchers can publish in Open Access journals, or in journals that sell subscriptions and also offer the possibility of making individual articles openly accessible (hybrid journals).** In that case, publishers often charge so-called “article processing charges” (APC). **These costs are eligible for reimbursement during the duration of the action as part of the Horizon 2020 grant.**

- **Beneficiaries must, at the very least, ensure that any scientific peer reviewed publications can be read online, downloaded and printed.** Since any further rights -such as the right to copy, distribute, search, link, crawl and mine - make publications more useful, beneficiaries should make every effort to provide as many of these options as possible.

**Researchers’ FAQs:**

- **Differences between gold and hybrid Open Access**
- **Impact Factor of OA journals** and comparison with JIF of “legacy journals”, registries of OA journals by discipline and quality..
- **Meaning and implications of different open access licenses** (Creative Commons and publishers’ own licenses...)
- Are open access articles with transfer of copyright to publishers acceptable???
- Is “delayed open access” acceptable?
Identification, deposit, description and access to research papers and other works resulting from EC-funded projects

- **Step 1**- depositing publications in repositories
  Beneficiaries must deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications. This must be done as soon as possible and at the latest upon publication. This step applies even where open access publishing ('gold' open access) is chosen to ensure that the article is preserved in the long term.

Information on EU funding must be included as part of bibliographic metadata so that Horizon 2020 can be properly monitored, statistics produced, and the programme’s impact assessed. The project concerned should be properly identified by the grant number and the project's name and/or acronym (preferably all three).

- **DIGITAL.CSIC services**
  Delegated Archiving Service for CSIC researchers
  DIGITAL.CSIC pulls data from the institutional CRIS (an intranet platform which gathers data for the annual researchers assessment exercise) and collaboration with the CSIC Department for European Affairs
  Description of works according to standards and indexation of funding agencies
  Compliance with OpenAire aggregator
  ORCIDs for authors and DATACite IDs for datasets on the way

- **Challenges**
  Tracking of works remains once the project is finished
  Non-standardised, incomplete or wrong identification of the project in many papers’ Acknowledgement notice
  Projects web sites are often out of date or incomplete
  How to handle the codification of multiple funders
Support in preparing data management plans and in making research data open

- Where relevant, the draft plan of dissemination and exploitation should also provide information on management of the research data generated and/or collected during the project, such as details on what types of data the project will generate, whether and how this data will be exploited or made accessible for verification and re-use.

- The beneficiary must also aim to deposit at the same time as the publication the research data needed to validate the results presented in the deposited scientific publications ('underlying data'), ideally in a data repository.

Researchers’ FAQs:

- Training and advice on building data management plans, what metadata and vocabularies standards to use, issues about formatting and licensing of open and restricted data.
- How to generate DOIs for datasets.
- Where to find registries of open data journals and publishers data policies.
- Training on datasets description, open data licenses and other services by the repository.
Thank you

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