



Open Access  
Infrastructure  
for Research in Europe

# OpenAIRE

Vernetzungstage 2011  
3. März 2011  
Osnabrück



## Open Access im FP7 – Wie können Institutionen ihre Wissenschaftler/Innen unterstützen?

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# Überblick

- Open Access Pilotprojekt der EU
- Über OpenAIRE
- Anforderungen erfüllen
- Wissenschaftler/innen unterstützen
- COAR
- OA-Erfolgsgeschichten



# Open Access Pilotprojekt der EU

# ERC OA Richtlinien

- *Dezember 2006 – Statement des Europäischen Forschungsrats (ERC) zu Open Access:*
  - „fundamental importance of peer-review in ensuring the certification and dissemination of high-quality scientific research“
  - „the importance of wide access and efficient dissemination of research results“
  
- *Dezember 2007 – ERC Richtlinien für Open Access:*
  - Der ERC fordert, dass die gesamten im Rahmen von ERC geförderten Forschungsprojekten entstandenen Publikationen in ein geeignete institutionelle oder fachliche Repositorien eingestellt werden und binnen sechs Monaten der freie Zugriff auf sie ermöglicht wird.
  - Zudem werden Wissenschaftler/innen ermutigt ihre primären Forschungsdaten so bald wie möglich in relevante Datenbanken einzustellen.



# FP7 Open Access Pilot



- Gestartet im August 2008, Laufzeit bis Auslaufen des FP7 (2013)
- Special Clause 39 (SC39), Teil des Grant Agreements mit der EC, verpflichtet geförderte Wissenschaftler/innen:  
  
“**deposit peer reviewed research articles** or final manuscripts resulting from their FP7 projects into an **online repository** and make their **best efforts to ensure open access** to these articles”



# Special Clause 39 (SC39)

Das OA-Pilotprojekt gilt für jedes Manuskript, das:

- Finanziert wurde durch einen Fördervertrag der nach August 2008 unterzeichnet wurde.
- Im Verfahren des Peer Review begutachtet und zur Publikation freigegeben wurde.
- Ein Ergebnis geförderter Forschung in einem von sieben Themenbereichen ist: Energie, Umwelt, Informations- und Kommunikationstechnologien, Forschungsinfrastrukturen, Wissenschaft in der Gesellschaft, Sozio-ökonomische Wissenschaft und Geisteswissenschaften.

Die EC erwartet von den Wissenschaftler/innen, dass sie

- ihre Publikationen zum Zeitpunkt der Publikation in ein geeignetes Repository einstellen und
- sich darum bemühen, den freien Zugriff innerhalb von sechs bzw. zwölf Monaten sicherzustellen.

[http://ec.europa.eu/research/press/2008/pdf/annex\\_1\\_new\\_clauses.pdf](http://ec.europa.eu/research/press/2008/pdf/annex_1_new_clauses.pdf)



# OpenAIRE





# Das Projekt

- OpenAIRE = *Open Access Infrastructure for Research in Europe*
- Dezember 2009 – November 2012
- Budget: 5 Mio. davon 4,1 Mio. EC Mittel
- Projektpartner: Alle EU-Mitgliedstaaten (außer Luxemburg) plus Norwegen
- Ziele: Wissenschaftler/innen durch technische Infrastruktur und nationale OA-Kontaktstellen unterstützen, die Anforderungen des FP 7 OA-Pilotprojekt und die ERC OA-Richtlinien zu erfüllen



# Nationale Kontaktstellen *in den europäischen Mitgliedsstaaten \**

Region 1 North (DTU)	Region 2 South (UMINHO)	Region 3 East (eIFL)		Region 4 West (UGENT)
Denmark (Danish Technical University)	Cyprus (University of Cyprus)	Czech Republic (Technical University of Ostrava)	Bulgaria (Bulgarian Academy of Sciences)	Austria (University of Wien)
Finland (University of Helsinki)	Greece (National Documentation Center)	Hungary (HUNOR)	Estonia (University of Tartu)	Belgium (University of Gent)
Sweden (National Library of Sweden)	Italy (CASPUR)	Lithuania (Kaunas Technical University)	Latvia (University of Latvia)	France (Couperin)
Norway (University of Tromsøe)	Malta (Malta Council for Science & Technology)	Romania (Kosson)	Poland (ICM – University of Warsaw)	Germany (University of Konstanz)
	Portugal (University of Minho)	Slovakia (University Library of Bratislava)	Slovenia (University of Ljubljana)	Ireland (Trinity College)
	Spain (Spanish Foundation for Science & Technology)			Netherlands (Utrecht University)
				UK (SHERPA)

\*Excl. Luxemburg,  
plus Norwegen

# Unterstützende Infrastruktur für Wissenschaftler/innen



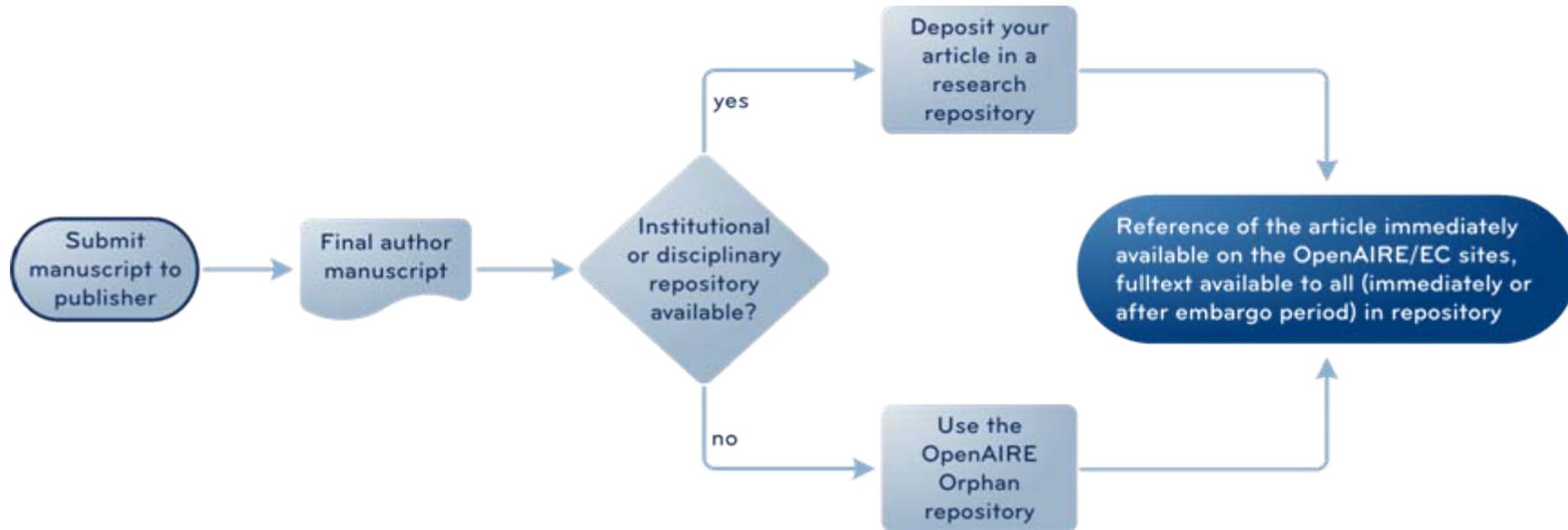
- Europaweiter Helpdesk, der 27 nationale OA-Kontaktstellen (NOAD's) koordiniert
- Toolkit für Wissenschaftler/innen (Informationen zum OA-Mandat/SC 39/Möglichkeiten der Rechtesicherung etc.)
- Mehr als 400 institutionelle Repositorien in Europa
- 1 zentrales, europäisches Orphan Repository
- Unterstützung bei der Einstellung von Dokumenten (wenn möglich)



# Wie können die Anforderungen erfüllt werden?



# Publikations- und Einstellungsworkflow



# Publikationsvertrag

[http://cordis.europa.eu/fp7/find-doc\\_en.html](http://cordis.europa.eu/fp7/find-doc_en.html)

(Publisher's contact details):  
.....

(Place and date):  
.....

Dear Sir/Madam,

I am contacting you concerning the following article to be published by your publishing house for which I am the corresponding author:

Title: \_\_\_\_\_

Corresponding Author: \_\_\_\_\_

Journal: \_\_\_\_\_

The research underlying this article [is being] [has been] co-funded by the 7<sup>th</sup> Framework Programme (FP7) (<http://cordis.europa.eu/fp7>) of the European Commission, and more specifically under one of the programmes covered by the Open Access Pilot in FP7 ([http://ec.europa.eu/research/science-society/open\\_access](http://ec.europa.eu/research/science-society/open_access)). Under this pilot, articles are to be deposited in an electronic repository upon publication and are to be made open access, either immediately if the article is published open access by the publisher, or after an embargo period of 6 or 12 months depending on the area of research. The wider goal of this pilot is to improve access to the results of publicly funded research.

In order to comply with the policy of the European Commission, I wish to opt for an addendum to the publication agreement. I am attaching this document for your consideration and signature.

I look forward to your reply, and thank you for your support and collaboration on this matter.

Sincerely yours,

(Name and signature of corresponding author)

Enclosures:

- Signed publication agreement
- Signed addendum to the publication agreement for signature by publisher

## Addendum to Publication Agreement

1. This Addendum modifies and supplements the attached Publication Agreement concerning the following article:

Title: \_\_\_\_\_

Journal: \_\_\_\_\_

2. The parties to the Publication Agreement are:

Corresponding author: \_\_\_\_\_

Publisher: \_\_\_\_\_

3. The parties agree that wherever there is any conflict between this Addendum and the Publication Agreement, the provisions of this Addendum are paramount and the Publication Agreement shall be construed accordingly.

4. Notwithstanding any terms in the Publication Agreement to the contrary, the author retains the following rights:

- to deposit an electronic copy of the published version (if permitted by the publication agreement) or the final manuscript (after peer review) accepted for publication in an institutional and/or subject-based repository at the moment of publication.
- to provide free of charge access to this electronic copy to anyone through this repository:
  - o immediately if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or
  - o within [6] [12]<sup>1</sup> months of publication.

5. For record keeping purposes, the author requests that the publisher sign a copy of this Addendum and return it to the author. However, if the publisher publishes the article in the journal or in any other form without signing a copy of this Addendum, such publication manifests the publisher's assent to the terms of this Addendum.

AUTHOR	PUBLISHER
_____	_____
(corresponding author on behalf of all authors)	_____
Date	Date

<sup>1</sup> Choose 6 months for publications resulting from projects in the thematic areas "Health", "Energy", "Environment (including Climate Change)", and "Information & communication technologies" (Challenge 2) and the activity "Research infrastructures" (e-infrastructure). Choose 12 months for publications resulting from projects in the thematic area "Socio-economic Sciences and the Humanities" and the activity "Science in Society". The number of months selected should be identical to the number of months found in the relevant 7<sup>th</sup> Framework Programme Grant Agreement (see Special Clause 39).

# OA Publikationskosten

## II.16. Upper funding limits

1. For **research and technological development activities**, the *Community financial contribution* may reach a maximum of 50% of the total eligible costs.

However, for *beneficiaries* that are *non-profit public bodies*, secondary and higher education establishments, *research organisations* and *SMEs*, the rate may reach a maximum of 75% of the total eligible costs. If these *beneficiaries* change their status during the life of the *project*, this reimbursement rate shall be applicable up to the moment they lose their status.

2. For **demonstration activities**, the *Community financial contribution* may reach a maximum of 50% of the total eligible costs.
3. For **coordination and support actions**, the *Community financial contribution* may reach a maximum of 100% of the total eligible costs.
4. For **other activities** not covered by paragraphs 1 and 2, *inter alia*, management activities, training, coordination, networking and *dissemination* (including publications), the contribution may reach a maximum of 100% of the total eligible costs.

Paragraphs 1 to 4 shall apply also in the case of *projects* where flat rate financing or lump sum financing is used for the whole or for part of the *project*.



# Publikationen melden

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Register your repository to OpenAIRE

**Research Institutions' Corner**  
How your institution can help

**OpenAIRE launch**  
from Antonis Makriniannis | Design

**Research: OpenAIRE opens access to EU scientific results**  
03 DECEMBER 2010  
EC Press release (Brussels, 2 December 2010)  
EU researchers, businesses and citizens can have free and open access

**Latest News**  
**Report on open access in Southern European countries published by FECYT**  
08/12/2010  
Open Access in Southern European Countries, report published by FECYT The Spanish Foundation for Science and Technology (FECYT) has published a report about the results of the Seminar for Open Access [...]

Read more...

**OTHER ARTICLES**

- Research: OpenAIRE opens access to EU scientific results
- New Open Access Mandate in Spain: ...

OpenAIRE Launch

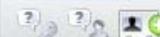
December 2, 2010  
Ghent Library  
Belgium



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## Deposit your publications

If a publication has already been deposited in an [OpenAIRE compliant](#) Institutional or Subject Repository, then it is most likely that the publication already exists in OpenAIRE and you don't have to do anything.

### Submit New Publications

**D**o you want to submit new publications that do not exist in an Institutional or Subject Digital Repository? Then OpenAIRE will guide you in a few easy steps:

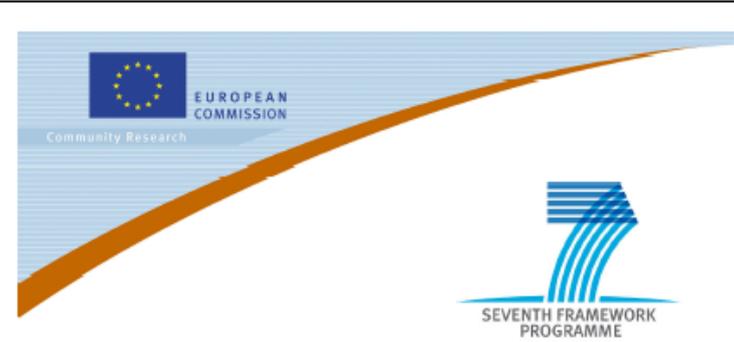
[Submit New Publications](#)

### Locate & Confirm Deposited Publications

**A**re your publications already deposited in an Institutional or Subject Digital Repository? Then you only need to help us locate them and confirm them to OpenAIRE.

[Locate & Confirm Publications](#)

# Reporting



## Guidance Notes on Project Reporting

### Section A (public)

This section includes two templates

- Template A1: List of all scientific (peer reviewed) publications relating to the foreground of the project.
- Template A2: List of all dissemination activities (publications, conferences, workshops, web sites/applications, press releases, flyers, articles published in the popular press, videos, media briefings, presentations, exhibitions, thesis, interviews, films, TV clips, posters).

These tables are cumulative, which means that they should always show all publications and activities from the beginning of the project. Updates are possible at any time.

Open Access

TEMPLATE A1: LIST OF SCIENTIFIC (PEER REVIEWED) PUBLICATIONS, STARTING WITH THE MOST IMPORTANT ONES										
NO.	Title	Main author	Title of the periodical or the series	Number, date or frequency	Publisher	Place of publication	Year of publication	Relevant pages	Permanent identifiers <sup>13</sup> (if available)	Is/Will open access <sup>14</sup> provided to this publication?
1	<i>Economic transformation in Hungary and Poland'</i>		<i>European Economy</i>	<i>No 43, March 1990</i>	<i>Office for Official Publications of the European Communities</i>	<i>Luxembourg</i>	<i>1990</i>	<i>pp. 151 - 167</i>		yes/no
2										
3										

Publication Identifier

<sup>13</sup> A permanent identifier should be a persistent link to the published version full text if open access is provided or a persistent link to the manuscript accepted for publication (link to article in repository).

<sup>14</sup> Open Access is defined as free of charge access for anyone via Internet. Please answer "yes" if the open access to the publication is already established and also if the embargo period for open access is not yet over but you intend to establish open access afterwards.

[ftp://ftp.cordis.europa.eu/pub/fp7/docs/project\\_reporting\\_en.pdf](ftp://ftp.cordis.europa.eu/pub/fp7/docs/project_reporting_en.pdf)



# Wissenschaftler/innen unterstützen



# Was Sie tun können:

- Wissenschaftler/innen informieren und aktivieren und sie bei Rechtsfragen unterstützen
- Ein Repository zur Verfügung stellen und die OpenAIRE Richtlinien umsetzen
- Publikationen identifizieren, durch Recherchen Beziehungen zwischen Projekten und Publikationen herstellen, Rechte prüfen und Wissenschaftler/innen bei der Einstellung unterstützen
- Metadaten im Repository entsprechend ergänzen und diese mittels eines oai-sets für das Harvesting bereitstellen

# Open Access in FP7



Georg-August-Universität Göttingen

Die Universität Fakultäten Forschung Studium Einrichtungen Alumni Service

Aktuelle Seite: ▶ Startseite ▶ Einrichtungen ▶ ... ▶ EU-Hochschulbüro ▶ Open Access Pilot in ...

Aa+ Aa- 🔍 Suche | English



## Kontakt

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### OpenAIRE, SUB Göttingen

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Dr. Birgit Schmidt  
bschmidt@sub.uni-goettingen.de

### Homepage SUB

## Open Access Pilot in FP7

### Warum freier Zugang zu europäischen Forschungsergebnissen?

Jegliche Forschung baut auf früheren Arbeiten auf und ist davon abhängig, dass Forscher/innen auf wissenschaftliche Informationen zugreifen und sie miteinander teilen können. Deshalb ist der Zugang zu Informationen und Daten von grundlegender Bedeutung für Bildung, Forschung und generell für den Fortschritt einer Gesellschaft.

### Was ist das Open Access Pilotprojekt?

Die Europäische Kommission (EC) und der Europäische Forschungsrat (ERC) verfolgen das Ziel, eine möglichst weite Verbreitung und einen weltweiten Zugang zu den von ihnen geförderten Publikationen sicher zu stellen. Deshalb verpflichtet das „Open Access Pilotprojekt“ die Wissenschaftler/innen, ihre Publikationen im Volltext über ein geeignetes institutionelles oder fachliches Repositorium frei zugänglich zu machen. Falls ein solches Repositorium nicht verfügbar sein sollte, steht Wissenschaftler/innen ergänzend das OpenAIRE Orphan Repository zur Verfügung.

Das Open Access Pilotprojekt startete im August 2008 und deckt die Bereiche Gesundheit, Energie, Informations- und Kommunikationstechnologien (IKT), Forschungsinfrastrukturen, Sozial-, Wirtschafts- und Geisteswissenschaften und Wissenschaft in der Gesellschaft des FP7 ab. Dieses Pilotprojekt schließt sich den Richtlinien des ERC Scientific Council zu Open Access, die sich seit Dezember 2007 etabliert haben, an.

## Overview

- ▶ [OpenAIRE How to comply UGOE \(Handout\)](#)
- ▶ [OpenAIRE at UGOE \(Vortrag 20100927\)](#)

## About OpenAIRE

- ▶ [Open access pilot \(en\)](#)
- ▶ [OpenAIRE leaflet \(de\)](#)
- ▶ [OpenAIRE leaflet \(en\)](#)
- ▶ [OpenAIRE](#)
- ▶ [Openaire-net: Launch Press release \(02.12.10\)](#)

## Open Access Policies

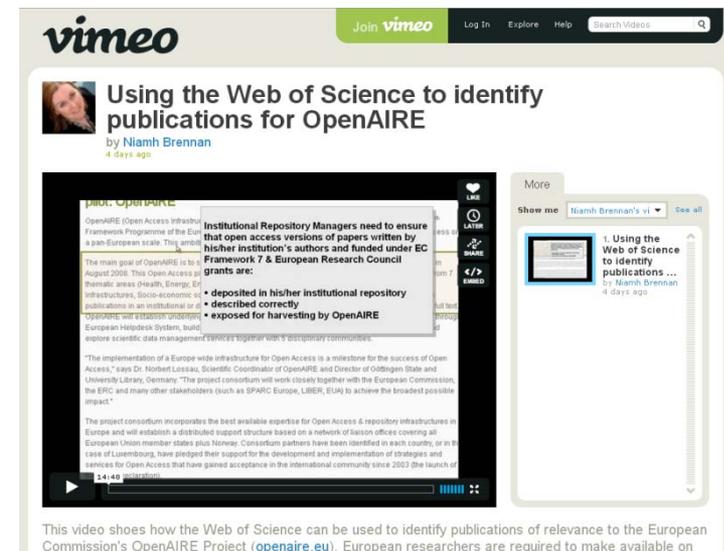
- ▶ [EC Special Clause 39 \(Aug 2008\)](#)
- ▶ [ERC OA Guidelines \(Dec 2007\)](#)

## Copyright Issues & Reporting

- ▶ [Model cover letter for amendment \(de\)](#)

# Publikationen identifizieren

- Wissenschaftler/innen um Publikationslisten bitten
- Web of Science (und andere Datenbanken) nutzen



<http://vimeo.com/17624891>,  
<http://vimeo.com/17371191>

# OpenAIRE Guidelines



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## OpenAIRE Guidelines

18 NOVEMBER 2010



The OpenAIRE Guidelines will provide orientation for repository managers to define and implement their local data management policies in compliance with the Open Access demands of the European Commission. Furthermore they will comply with the technical requirements of the OpenAIRE infrastructure that is being established to support and monitor the implementation of the FP7 OA pilot and [ERC Guidelines for Open Access](#). By implementing these Guidelines repository managers are facilitating the authors who deposit their publications in the repository, in complying with the EC Open Access requirements.

For developers of repository platforms the Guidelines provide guidance to add supportive functionalities for authors of EC funded research in future versions. The OAI-Extended add-on for DSpace, compliant with these Guidelines are available [here](#).

The current version 1.1 of the OpenAIRE Guidelines is available in the following languages:

-  [EN - OpenAIRE Guidelines 1.1](#)
-  [ES - Directrices OpenAIRE 1.1](#)
-  [PT - Directrizes OpenAIRE 1.1](#)

*OpenAIRE would like to receive comments on the Guidelines, and experiences with the implementation of them. Please send all your feedback to [Marnix van Berchum](#) and [Eloy Rodrigues](#).*

<http://bit.ly/hLi5L2>



# Compliance

Metadaten von EU-Publikationen sollten die folgenden 3 Felder beinhalten:

- **projectID (dc:relation)**: Hier wird die Grant Agreement Nummer angegeben (verpflichtend).
- **accessRights (dc:rights)** mit kontrolliertem Vokabular. Die erlaubten Werte sind: "closedAccess", "embargoedAccess", "restrictedAccess" und "openAccess" (verpflichtend).
- **EmbargoEndDate (dc:date)**: Ablauf der Embargo-Frist bzw. weitere Datumsangaben (empfohlen).



# COAR (Confederation of Open Access Repositories)

## Deutsche Gruppe in COAR

- HU Berlin
- SLUB Dresden
- Helmholtz Gemeinschaft
- Bibliothek der Universität Konstanz (Koordination)
- UB Regensburg
- UB Stuttgart



# OA-Erfolgsgeschichten

- Für ein Knowledge Exchange Projekt sind wir auf der Suche nach OA-Erfolgsgeschichten, z.B. von erfolgreichen Autoren, Journalumwandlungen
- Weitere Informationen unter:  
<http://www.michellepauli.co.uk/openaccess>



Vielen Dank für Ihre Aufmerksamkeit!

[www.openaire.eu](http://www.openaire.eu)

**Bibliothek der Universität Konstanz**

Anja Oberländer

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