Facilitating Open Access through international networks: OpenAIRE and COAR

FRÉDoc 2011, Bordeaux
11 October 2011
Birgit Schmidt, Goettingen State and University Library
An introduction to two repository initiatives

- **OpenAIRE = Open Access Infrastructure for Research in Europe**
  - A three-year project funded by the European Commission, 36 partners in 27 European countries
  - A very specific goal: support of the implementation of the Open Access policies of the EC and the ERC
  - Towards a vision of integrated European OA e-infrastructures linking publications to data

- **COAR = Confederation of Open Access Repositories**
  - An international association uniting over 60 members and partners in 24 countries
  - Goals include: Coordination and support of the development of repository-based e-infrastructures, in particular addressing interoperability, the filling of repositories, and training and support activities
  - Global vision and approach, bringing together experiences from national, regional and international initiatives and projects (such as the above)
Overview

- Open Access in FP7
- About OpenAIRE
- Support of researchers
- Outlook on OpenAIREplus
Open Access in FP7
Reimbursement of Open Access publication costs in FP7

In the Seventh Framework Programme (FP7), 'gold' Open Access fees (i.e. 'Open Access publishing' and 'author pays' fees) are eligible for reimbursement. Details can be found in the FP7 model Grant Agreement:

Reimbursement of publication costs (191KB) ('paid' Open Access), article II.16.4 'other activities'.

Open Access Pilot in FP7

In August 2008, the European Commission launched the Open Access Pilot in FP7 that will run until the end of the Framework Programme. It aims to ensure that research results funded by the EU citizen are made available to the public at large for free. In this way, Open Access is considered a way to improve the EU’s return on research and development (R&D) investment.

Under the Open Access pilot, FP7 grant recipients in seven areas (energy, environment, health, information and communication technologies [only cognitive systems, interaction and robotics], research infrastructures [only e-infrastructures], science in society, and socioeconomic sciences and humanities) are expected to:

- deposit peer-reviewed research articles or final manuscripts resulting from their FP7 projects into an online repository;
- make their best effort to ensure open access to these articles within either 6 months (health, energy, environment, information and communication technologies, research infrastructures) or 12 months (science in society, socioeconomic sciences and humanities) after publication.
Launched in August 2008, will run until the end of FP7 (2013)

Special Clause 39 (SC39), part of the Grant Agreement with the EC, requires beneficiaries to:

“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”*

* - 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

- within 6 months in the thematic areas Health, Energy, Environment (including Climate Change), Information & communication technologies and Research infrastructures (e-infrastructures) and 12 months in the thematic areas Socio-economic Sciences and the Humanities and Science in Society.
December 2006 – ERC Scientific Council's Statement on 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.

December 2007 – ERC Guidelines for Open Access:

- The ERC requires that all peer-reviewed publications from ERC-funded research projects be deposited on publication into an appropriate research repository where available or an institutional repository, and subsequently made Open Access within 6 months of publication.
- The ERC considers essential that primary data are deposited to the relevant databases as soon as possible, preferably immediately after publication and in any case not later than 6 months after the date of publication.
SC39 Projects by Work Programme (as of September 2011)

- 786 projects with Special Clause 39
- Estimated by EC: at least 800-900 projects until end of FP7
- About 16-18,000 publications (?)
- ERC: FP7 IDEAS 1,500+ individual research grants
Researcher’s Workflow

1. Submit manuscript to publisher
2. Final author manuscript
3. Institutional or disciplinary repository available?
   - yes: Deposit your article in a research repository
     - Reference of the article immediately available on the OpenAIRE/EC sites, full text available to all (immediately or after embargo period) in repository
   - no: Use the OpenAIRE Orphan repository
Copyright issues

Author (prior to publication)
- Check if deposition rights are granted
- If needed use Addendum to Publication Agreement

Publishers
- Majority allows deposition of author manuscripts
- Inhomogeneous handling of OA mandates
- Varying licenses for OA articles (not all allow immediate deposition in repositories)

Library (after publication)
- Repository manager / librarian checks copyright and handles embargo period

www.sherpa.ac.uk/romeo
Addendum to Publication Agreement

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

   Title: __________________________
   Journal: _________________________
   Corresponding Author: ______________
   Publisher: ________________________

2. The parties to the Publication Agreement are:

   -- Corresponding author: ______________
   -- Publisher: ________________________

3. The parties agree that whenever 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 or subject-based repository at the moment of publication.
   - to provide free of charge access to this electronic copy to anyone through this repository, or if a publisher/other third party has the right to charge, then only at cost to reproduce or distribute the published article for free.
   - to provide the right to use the article for educational purposes.
   - to provide the right to use the article for non-commercial purposes.

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 constitutes the publisher's consent to the terms of this Addendum.

   AUTHOR: ____________________________
   (Corresponding author on behalf of all authors)
   Date: _______________________________

   PUBLISHER: _________________________
   Date: _______________________________

---

1. Choose 6 months for publications resulting from projects in the thematic areas “Health”, “Shaping”, “Environment (including Climate Change)”, and “Information and communication technologies” (Challenge 2); and the thematic areas “Business, Inclusion and Finance”, “Health”, “Shaping”, “Information and communication technologies” (Challenge 2); and the thematic areas “Business, Inclusion and Finance”, “Health”, “Shaping”, “Information and communication technologies” (Challenge 2). The author of this Addendum shall be identified in the Addendum to the terms of the relevant FP7 Framework Programme Grant Agreement (see Special Issue 39).
Section A (public)

This section includes two templates

- Template A1: List of all scientific (peer reviewed) publications relating to the foreground of the project.

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.

<table>
<thead>
<tr>
<th>NO.</th>
<th>Title</th>
<th>Main author</th>
<th>Title of the periodical or the series</th>
<th>Number, date or frequency</th>
<th>Publisher</th>
<th>Place of publication</th>
<th>Year of publication</th>
<th>Relevant pages</th>
<th>Permanent identifier* (if available)</th>
<th>Is/Will open access* provided to the publication?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Economic transformation in Hungary and Poland*</td>
<td>European Economy</td>
<td>No 43, March 1980</td>
<td>Office for Official Publications of the European Communities</td>
<td>Luxembourg</td>
<td>1990</td>
<td>pp. 151 - 167</td>
<td></td>
<td></td>
<td>yes/no</td>
</tr>
</tbody>
</table>

* A permanent identifier should be a persistent link to the published version (e.g. full text of article, conference abstract, project website, manuscript accepted for publication) to which the project can link.

* 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 want to establish open access afterwards.

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.
About OpenAIRE
OpenAIRE: implementing the Open Access Pilot in all EU member states
The Project

- OpenAIRE = *Open Access Infrastructure for Research in Europe*
- December 2009 – November 2012
- Budget: 5 Mio. with 4,1 Mio. EC contribution
- Partners: All EU member states (except Luxembourg) plus Norway
- Main goals: Support researchers in complying with the FP7 OA Pilot and the ERC OA Guidelines
  - technical infrastructure and support network of National Open Access Desks (NOADs)
National Open Access Desks
Reaching all European Member States*

Region 1 North (DTU)
- Denmark (Danish Technical University)
- Finland (University of Helsinki)
- Sweden (National Library of Sweden)
- Norway (University of Tromsoe)

Region 2 South (UMINHO)
- Cyprus (University of Cyprus)
- Greece (National Documentation Center)
- Malta (Malta Council for Science & Technology)
- Portugal (University of Minho)
- Spain (Spanish Foundation for Science & Technology)

Region 3 East (eIFL)
- Czech Republic (Technical University of Ostrava)
- Hungary (HUNOR)
- Lithuania (Kaunas Technical University)
- Romania (Kosson)
- Slovakia (University Library of Bratislava)
- Slovenia (University of Ljubljana)

Region 4 West (UGENT)
- Austria (University of Wien)
- Belgium (University of Gent)
- France (Couperin)
- Germany (University of Konstanz)
- Ireland (Trinity College)
- Netherlands (Utrecht University)
- UK (SHERPA)

*Excl. Luxembourg, plus Norway
Scope: Implementation of FP7 OA pilot

- Human infrastructure
  - Promote OA policies on European and national levels
  - Build up the OA repository network
  - Reach out to researchers and research administrators

- Technical infrastructure
  - Provide portal for deposition and access
  - Link publications to project information
  - Produce research output statistics

Already beyond SC39!
End user services

- Researchers
  - Deposition and access

- Funders, research administrators
  - Statistics on funding and usage

- Repository managers
  - Validation and registration ("OpenAIRE compliance")

- Helpdesk
  - Questions, FAQ, policy information
  - Open Access advocacy
Support of researchers
Support by various stakeholders needed

- Guide to repositories and claiming process
  >> OpenAIRE portal

- Explain requirements and available funds, support in admin and reporting
  >> research administrators

- Provide repository infrastructure which can be harvested by OpenAIRE (OpenAIRE compliance)
  >> repository managers / librarians

- Help to identify publications, allow grant reporting, deposit on behalf of authors
  >> publishers
Depositing a publication

In this section
- Deposit Publications
  - to institutional repository
  - to orphan repository
- Claim Publications
- View your depositions

Need to add thematic repositories

Deposit Publications
Are you a grant recipient from ERC or from FP?? You are required to deposit your publications into the open access institutional repository of the research institution with which you are affiliated. Click here to read more...

Find your institution
Start typing the name of your institution.

Repositories/institution list through OpenDOAR
Claiming a publication

Publications of all kinds can be claimed

- In publishers: identify via DOIs – CrossRef
- In OA repositories: search in aggregators (DRIVER, BASE, …)
- Provide information about access rights (OA, embargoed, …)
Join the network: OpenAIRE compliance

1. OpenAIRE Guidelines
   - Metadata
     • dc:relation > ProjektID (Grant Agreement Number)
     • dc:rights > openAccess, embargoedAccess,...
     • dc:date > embargo end date
   - Provide OAI set for harvesting

2. Validate

3. Register
Current status

- 36 compliant repositories
- About 1,300 publications

<table>
<thead>
<tr>
<th>Repository</th>
<th>Publications in OpenAIRE</th>
</tr>
</thead>
<tbody>
<tr>
<td>HAL/INRIA</td>
<td>450+</td>
</tr>
<tr>
<td>CERN</td>
<td>430+</td>
</tr>
<tr>
<td>Alicante</td>
<td>25+</td>
</tr>
<tr>
<td>all other repositories</td>
<td>0 - 15</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>~ 1,300</strong></td>
</tr>
</tbody>
</table>
NOAD Activities in France, supported by Couperin

- A working of 8 people coming from universities and research organisms, with good knowledge and experience in open repositories, has been created in order to implement the OpenAIRE project in France:
  - Jean-François Lutz, Univ. Nancy, project officer
  - André Dazy, Couperin
  - Marlène Delhaye, Univ. Aix-Marseille
  - Claire Douady, Univ. Limoges
  - Camille Espiau-Bechetoille, Univ. Lyon 2
  - Annaig Mahé, Urfist Paris
  - Fred Merceur, Ifremer
  - Julien Sicot, Univ. Rennes 2

- Since May 2011, Alexandra Deniot based at Nancy University coordinates the activities.
Survey of FP7 and ERC funded projects and resulting publications (based on WoS)

Outreach activities: workshops and presentations addressing researchers, administrators and librarians

Support in becoming OpenAIRE compliant

- Already compliant archives
  - CNRS/CCSD (HAL)
  - IFREMER (Archimer)
  - Toulouse (OATAO)

- Working on it currently
  - INRA (ProdInra)
  - Cemagref (CemOA)
  - Sciences Po (SPIRE)

>> Please do not hesitate to get in touch with the working group if you have any questions or need support.
Outlook on OpenAIREplus
OpenAIREplus: Linking publications to data

- Starting on 1 December 2011, 30 months, 40 partners in 32 countries, 5.2 Mio. total budget

- Linking publications with data and funding
  - Consolidate institutional repository network
  - Integrate data repositories
  - Import funding schemes from different sources

- Supporting Open Access in the European research area
  - Propagate policies, study IPR issues
  - Reach out to all Europe and beyond
    >> researchers, research managers, policy makers
Reaching out to all European member states

OpenAIREplus Networking Organization

Operational Support (eIFL)  Strategic Coordination (UGOE)  Helpdesk Management (UMINHO)

Region 1 North (DTU)  Region 2 South (UMINHO)  Region 3 East (eIFL)  Region 4 West (UGENT)

Denmark  Cyprus  Bulgaria  Austria
Finland  Greece  Croatia  Belgium
Iceland  Italy  Czech Republic  France
Norway  Malta  Estonia  Germany
Sweden  Portugal  Hungary  Ireland
Spain  Latvia  Luxembourg
Turkey  Lithuania  Netherlands

Human Network
Open Access infrastructure for the European research scientific production

Publication repositories
- Institutional & Thematic
- FP7 publications
- National funding publications

Data repositories
- OpenAIRE+ Guidelines for Data Providers
- Metadata on data sets

EC Project metadata
- National Project metadata

3,850,000 OA publications
310 validated repositories

DRIVER Guidelines
- v1.0
- v2.0

OpenAIRE Guidelines
- v1.0
- v2.0

Production infra at
- www.driver-community.eu
- www.openaire.eu

OpenAIREplus
Functionalities in a nutshell

- **“Enhanced publications”**
  - The new generation publications
- **Multiple funding sources**
  - Beyond FP7 pilot
  - National funding schemes
- **Statistics and research output**
  - Research metrics and impact
- **Repository for “homeless” authors**
  - Publications & data
- **Backend services for publication & data interlinking**
COAR’s Vision: A global knowledge infrastructure of OA repositories

...and Mission: To enhance and progress the provision, visibility and application of research outputs in the online world

http://coar-repositories.org/
• COAR e.V., a registered not-for-profit association of repository initiatives according to German law, Office seat: Göttingen, DE
• Founded in Ghent, BE, October 21, 2009, born out of the European DRIVER Project (FP7)
• Members & Partners (October 2011): 59 member organisations (87 institutions, 23 countries = Europe, Japan, Latin-America, Canada, China, USA), 5 partners; from France: CNRS
• 3 working groups
  – WG 1 Repository Content
  – WG 2 Repository Interoperability
  – WG 3 Repository and Repository Networks Support & Training
Working Group 1
Kathleen Shearer (Chair; CARL, CAN), Neil Jacobs (Co-chair; JISC, UK)

To populate repositories with content:
Collect, assemble and disseminate best practices for the inception, operation and growth of OA repositories
WG 1: Work Plan 2011-2012 (Selection)

- Compile **best practices** for populating repositories
- Develop **guidelines** for funding agencies on implementing open access policies
- **Pool of expertise** from COAR membership available for those at the beginning stages of implementing repository networks
- Compile **case studies** to assist others in implementing archiving language into licenses
Working Group 2
Eloy Rodrigues (Chair; U Minho, PT), Syun Tutiya (Co-chair; DRF, JP)

Facilitate the discussion on interoperability among OA repositories and as part of a wider e-Infrastructure
WG 2: Work Plan 2011-2012 (Selection)

- COAR Guidelines on Repository Interoperability
  - Inventory/wish list of interoperability functionalities (2\textsuperscript{nd} Quarter 2011)
  - Evaluation of Existing Guidelines (3\textsuperscript{rd} Quarter 2011)
    - DRIVER Guidelines http://www.driver-support.eu/managers.html
    - DINI Certificate http://www.dini.de/english/dini-certificate/
    - Knowledge Exchange CRIS interoperability project https://infoshare.dtv.dk/twiki/bin/view/KeCrisOar/WebHome
  - Drafting/Discussing/Publishing COAR Guidelines (4\textsuperscript{th} Quarter 2011-1\textsuperscript{st} Quarter 2012)
  - Integration of services based on COAR compliance (2012)
WG 2: Work Plan 2011-2012

- **Briefing paper** on repository interoperability – released for online discussion in September 2011

> Making the case for repository interoperability
  - Define repository interoperability
  - Identify the added value and the services that can be available, for the research community, through different levels of interoperability
Working Group 3
Iryna Kuchma (Chair; eIFL), Marnix van Berchum (Co-chair; SURF, NL)

- Support regional and national repository initiatives
- Foster the exchange of ideas and expertise within the repository community
- Facilitate the professionalisation of repository manager
WG 3: Work Plan 2011-2012
(Selection)

- **Training materials** on operational issues required to install, implement and deploy open repositories
- **Overview of national helpdesks**
  - contact information and expertise
  - readiness to share expertise, training materials, FAQs and to participate in the international helpdesk programme for repository managers
- Facilitating **translation** of training materials
- Support services involving national helpdesks
- **COAR Training events**
  - Online webinars
  - On-site training events
Why did institutions choose to become a member of COAR?

• To raise the international visibility of my local organization and our research output
• We need COAR international guidelines for INTEROPERABILITY to convince our national funders
• COAR provides a global pool of expertise and perspective, is an authoritative voice that can help in my country to persuade funders and ministries to support a repository network
• We expect best practices, guidelines and training materials
• We find new contacts, useful information
• At the 2nd annual meeting (March 2011) we found new friends working for the same goals. We also found support from COAR to our legislation initiative
• We expect COAR can start a dialogue with publishers, affirming the repository interests
• COAR can be the organisation to pursue linking of publications to research data
• COAR has the right vision to help researchers and to support the development of eResearch-infrastructures (publications & data)
Current activities

• Relaunch of the COAR website
• Working groups
  – WG 1: Session „Opting into Open Access: Challenges & Opportunities for library consortia“, ICOLC 2011 >> exchange of experiences & discussion of strategies
  – WG 2: Interoperability briefing paper under public discussion - towards COAR guidelines
  – WG 3: Development of training programmes and member survey
• Preparing actions to support further organisational development (with a view towards regional collaboration)
COAR, the Confederation of Open Access Repositories, is a young association of repository initiatives launched in October 2009, uniting 59 institutions in 23 countries from throughout Europe, Latin America, Asia, and North America. Its mission is to enhance greater visibility and application of research outputs through global networks of Open Access digital repositories.

COAR promotes infrastructure interoperability and a joint global data store of Open Access repositories to enable and support the re-use of data by service and portal providers. Currently, COAR has three working groups, each with its own set of responsibilities, objectives, and related activities.

Visit COAR on Facebook and COAR on Twitter!

We invite you to join COAR!

Joining COAR at the early stage of its development means that you will be able to contribute to shaping the organization’s objectives of interoperability, raising awareness and promoting OA repositories, supporting the repository community and working with partners in related fields such as research management and publishing.

COAR offers various forms of participation including single and group memberships as well as the opportunity to become a partner.
COAR Interoperability Project

COAR has identified "facilitating the discussion on interoperability among Open Access repositories and as part of a wider e-research infrastructure" as a key objective for 2011-2012.

This work is being carried out in a three-stage process:

- **Phase 1**: Kick off the process by writing and releasing a briefing paper to provide an overview of interoperability for OA repositories. (2nd quarter 2011). Status: completed. The output of Phase 1, "The Case for Interoperability for Open Access Repositories," a briefing paper, was released on 11-July-2011. It is available for download [here](#).

- **Phase 2**: Stimulate an open discussion to gather input about current and anticipated challenges related to global interoperability for OA repositories and conduct an environment assessment of the current interoperability environment. (3rd quarter 2011). The outputs from this phase are "Getting Involved in the COAR Interoperability Project." [Read more](#).

- **Phase 3**: Based on information gathered during phase 2, define and issue the COAR Roadmap for Global Open Access Repository Interoperability (4th quarter 2011, 1st quarter 2012).

---

Get Involved

Share your insights and ideas on interoperability with the COAR community. Join discussions, contribute to working groups, and become an active member of the COAR Interoperability Project! [Get Involved](#).

---

Statements

"We are delighted to announce our membership in COAR. COAR membership offers CARL and Canadian research libraries the opportunity to have a greater influence on the direction and expansion of open access worldwide."

—Tom Hickerson, Chair of the CARL Institutional Repositories Working Group and Vice-President/President Elect of CARL.

I have no doubt that this collaborative structure will lead to the successful sharing of research worldwide in the best form possible, harvesting national efforts all over the world, including Japan, and from the bottom of my heart I congratulate COAR on its launch.

—Masatada Horii, Director of Digital Repository Federation Vice-President of Hokkaido University.
Thank you for your attention!

More information
OpenAIRE www.openaire.eu
COAR www.coar-repositories.org

Birgit Schmidt bschmidt@sub.uni-goettingen.de