



## EC/ OPENAIRE FP7 POST-GRANT OPEN ACCESS PILOT – APPLICATION GUIDELINES

The European Commission has launched a Pilot to fund Open Access publications for finalized FP7-funded projects through OpenAIRE. This document contains the application guidelines for the **EC post-grant Open Access Pilot** (referred to as the ‘Pilot’ throughout the document).

The European Commission’s “[Communication and Recommendation on access to and preservation of scientific information](#)” and [Recommendation C\(2012\) 4890 on access to and preservation of scientific information](#) (July 2012), identified a need to consider “whether and under what conditions open access publication fees can be reimbursed after the end of the grant agreement”. As a consequence, a pilot funding instrument to support Open Access publishing for post-grant FP7 projects has been initiated. The post-grant Open Access Pilot provides an additional instrument to improve access to research results from FP7 projects but does not affect authors’ choice on how their project publications are made Open Access.

The FP7 post-grant post-grant Open Access Pilot is being developed [in the context of the OpenAIRE2020 project](#) (H2020-EINFRA-2014-1, 643410) and is aligned with the Open Access infrastructure and support network provided by OpenAIRE. The current FP7 post-grant post-grant Open Access Pilot should not be confused with the previous FP7 [Green Open Access Pilot](#) launched in August 2008.

In the following sections, the conditions to receive reimbursements for peer-reviewed publications that arise from completed FP7 projects are outlined.

This policy will be subject to an early 2016 review based on the data gathered so far in order to ensure that the guidelines continue to support the project objectives.



## 1 | BASIC POST-GRANT OPEN ACCESS PILOT FEATURES

1. Four (4) million Euros are being provided by the EC to support Open Access publications arising from FP7 projects finished no longer than two years ago at funding request submission time<sup>1</sup>.
2. Only publications that are invoiced after end of the project (and are therefore not eligible for reimbursement from the project budget) are eligible for funding from this Pilot.
3. Only projects included in the FP7 CORDA project database will be funded. In case there are requests from EU funded projects not in the database, their eligibility will be checked with the European Commission (DG CONNECT).
4. A maximum of three (3) publications per project will be funded provided they meet the technical requirements described below. Funded document types will include research articles, monographs, book chapters and conference proceedings. Data papers and software papers are considered research articles for the purpose of this Pilot.
5. A central funding request and monitoring system will be available at <http://goldoa-pilot.openaire.eu/> for researchers from eligible FP7 projects to request funding for their publications. Requests will be processed following the order of submission to such system. These requests can be directly made by researchers themselves or – preferably – by mediating institutional services such as the Library or the Research Office where a verification of the eligibility criteria for the publication to be funded can be made in advance. In case the funding request is directly made by a researcher, the eligibility criteria and the invoicing will be centrally managed by OpenAIRE.
6. The pilot will run until the funding is exhausted, but for no longer than two years (until the end of April 2017). Reports on the use of the funding will periodically be made available in the meantime.

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<sup>1</sup> Given that the official start date of the OpenAIRE2020 project is 1 of January 2015, the FP7 project eligibility time-window will be applied with a certain degree of flexibility, especially to those projects finished between the 1st of January and the 30th of April 2013.



## 2 | TECHNICAL REQUIREMENTS FOR FUNDED PUBLICATIONS

The following criteria need to be met upon publication for the funding to be granted:

1. Funded publications must be peer-reviewed in order to be eligible for funding by this Pilot. Evidence on the peer-review process may be requested when applicable.
2. Funded publications must be made available under an [open content licence](#), preferably Creative Commons CC-BY or CC-BY-SA. As an exception, a [CC-BY-NC licence](#) will be acceptable for monographs during the first year of the Pilot.
3. Funded publications must be assigned a Digital Object Identifier (DOI) or equivalent persistent identifier as early as possible in the publication process, ideally when a publication is accepted. In any case, the identifier must be assigned before the invoice gets paid.
4. The published version for funded publications must be made available by the publisher in PDF/A format. Additional formats that allow better use of text and data mining techniques are strongly encouraged such as XML (see [here](#) for an example) or HTML.
5. Such PDF/A files (plus their TDM-able equivalents<sup>2</sup>) must be filed in [Zenodo](#), or [any other OpenAIRE-compliant repository](#) once they are published. The deposit into the OpenAIRE-compliant repository should be made by the publisher whenever possible, but it can also be delivered by researchers or their supporting institution.
6. The licensing information must be included in the metadata for the deposited item.<sup>3</sup>
7. Publications must include a statement where applicable on how underlying research materials, such as research data, samples or models, can be accessed.
8. Funded outputs must acknowledge the original FP7 project according to [FP7 model grant agreement rules](#). Additional acknowledgement information on the specific Open Access funding can be added. The acknowledgment must be included in the bibliographic metadata of the deposited publication whenever possible.

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<sup>2</sup> At least one additional format that allows text and data mining, such as XML, must be deposited.

<sup>3</sup> Additional technical guidance will be provided on how to encode this information.



### 3 | ADDITIONAL FUNDING CRITERIA

1. A maximum of €2,000 funding will be provided for covering the Open Access publication fees for research articles, book chapters and conference proceedings. A maximum of €6,000 will be allocated for publishing Open Access monographs. Where VAT is charged, the funding caps will apply to the total invoiced amount.
2. The €2,000 maximum funding above only applies to fully Open Access journal titles. Publications in hybrid journals (i.e. subscription-based journals offering the option of making individual articles Open Access upon payment of Article Processing Charges) will not be supported by this Pilot.
3. An APC-equivalent funding mechanism will be devised to support the publication of research articles in non-APC-based Open Access journals provided they meet the technical requirements described above. Requirements for setting up this alternative funding mechanism will be identified during the first months of the Pilot and its implementation will be considered at the early 2016 policy review.
4. No extra page/colour fees will be funded besides the APCs (or APC-equivalent fees).
5. For quality assurance purposes, eligible journal titles must be listed in standard directories like the Directory of Open Access Journals (DOAJ), Scopus, Web of Science or PubMed. For recently released journals that haven't yet been included in such directories, publishers must provide a clear description on their website of the peer-review process they perform.
6. In case an output is co-funded with other research funders, fair sharing of publishing funding is encouraged where applicable. Details and examples on how to handle this co-funding process will be provided as an appendix to this document.
7. Funding by this post-grant OA Pilot will solely be made available for APC payments to publishers, and will not cover staff expenses or internal system development at institutions. Additional details on invoicing will also be provided in the above-mentioned technical appendix to these guidelines.