

# The EC/OpenAIRE FP7 Post-Grant Open Access Pilot: A Dissemination Challenge

**Saskia de Vries**  
Open Access Officer  
Radboud University Nijmegen

**Pablo de Castro**  
Open Access Project Officer  
LIBER





# Overview

- **Why a dissemination challenge?**
- **The FP7 Post-Grant Open Access Pilot: A few facts**
- **A few figures**
- **A few findings thus far**

# Why a dissemination challenge?

- The EC FP7 Post-Grant Open Access Pilot is a funding initiative aiming to cover Open Access publishing fees for researchers involved in FP7 projects
- Many of these researchers work in the biomedical sciences and are affiliated with University Medical Centres and Hospitals
- The Open Access networks and working groups have often been built around universities (via libraries), *leaving out very relevant stakeholders* for this specific funding initiative where libraries may not be so strong like the ones above, plus research centres, foundations, SMEs, etc.
- This is an attempt to reach out to some of these stakeholders

# FP7 Post-Grant OA Pilot: A Few Facts

- **What is this EC Gold Open Access Pilot?**
- **What are its policy guidelines?**
- **The Gold OA Pilot mission**
- **How to apply for funding**
- **”Two funding mechanisms?”**



# What is this FP7 Post-Grant Pilot?

## 'REGULAR' FUNDING MECHANISM

- The EC FP7 Post-Grant Open Access Pilot provides funding to *cover the OA publishing fees for publications arising from completed FP7 projects*
- 4 million euros have been made available by the EC to fund the OA “post-grant” publications of *over 8,000 completed FP7 projects*
- The Pilot will last for a *maximum of two years* (i.e. until Apr 30th, 2017) or until its budget is exhausted

## ALTERNATIVE FUNDING MECHANISM

- Funding available for APC-free Open Access journals/platforms that have published articles resulting from FP7 projects



# Main Policy Guidelines

- The FP7 project *should have finished* by the time the funding is requested, but *no longer than two years ago*;
- *A maximum of three publications* will be funded per eligible FP7 project as a means to ensure a fair distribution of the funding across projects;
- Funding requests must be submitted *once the publication has been accepted*;
- *Publications submitted to hybrid journals will not be funded*, but only those accepted at fully Open Access journals;
- The following *funding caps* apply to this funding: €2,000 for research articles and €6,000 for books (monographs/edited volumes);
- The final version of the funded output *must be deposited* in an OpenAIRE-compliant Open Access repository;

# EC Gold Open Access Pilot Mission

**The EC FP7 Post-Grant Open Access Pilot will have been successful if:**

**In two years time the whole or a significantly large share of its budget has been disbursed in a reasonably balanced way across projects, disciplines, countries *and business models*.**



# How to apply for funding

- OpenAIRE System for collecting and processing funding requests available at <https://postgrantoapilot.openaire.eu/>.
- Menu option *Manage Requests/New Funding Request*,
- Information requested on:
  - Researcher (at registration time)
  - FP7 project
  - Publication (article/journal/APC)
  - Accounting (invoicing)
- Funding requests should ideally be submitted once the publication data are completed *without waiting for an invoice to be available* – this way they can be assessed for eligibility

The screenshot displays the 'FP7 post-grant Open Access Pilot' interface. At the top, there is a navigation bar with 'HOME', 'MANAGE REQUESTS', and 'MONITOR'. Below this, a progress indicator shows five steps: 1. Researcher, 2. Project, 3. Publication, 4. Accounting, and 5. Summary (highlighted in red). The main heading reads 'Review your funding request so far and edit if needed before submitting'.

The page is divided into four sections, each with an icon and a list of details:

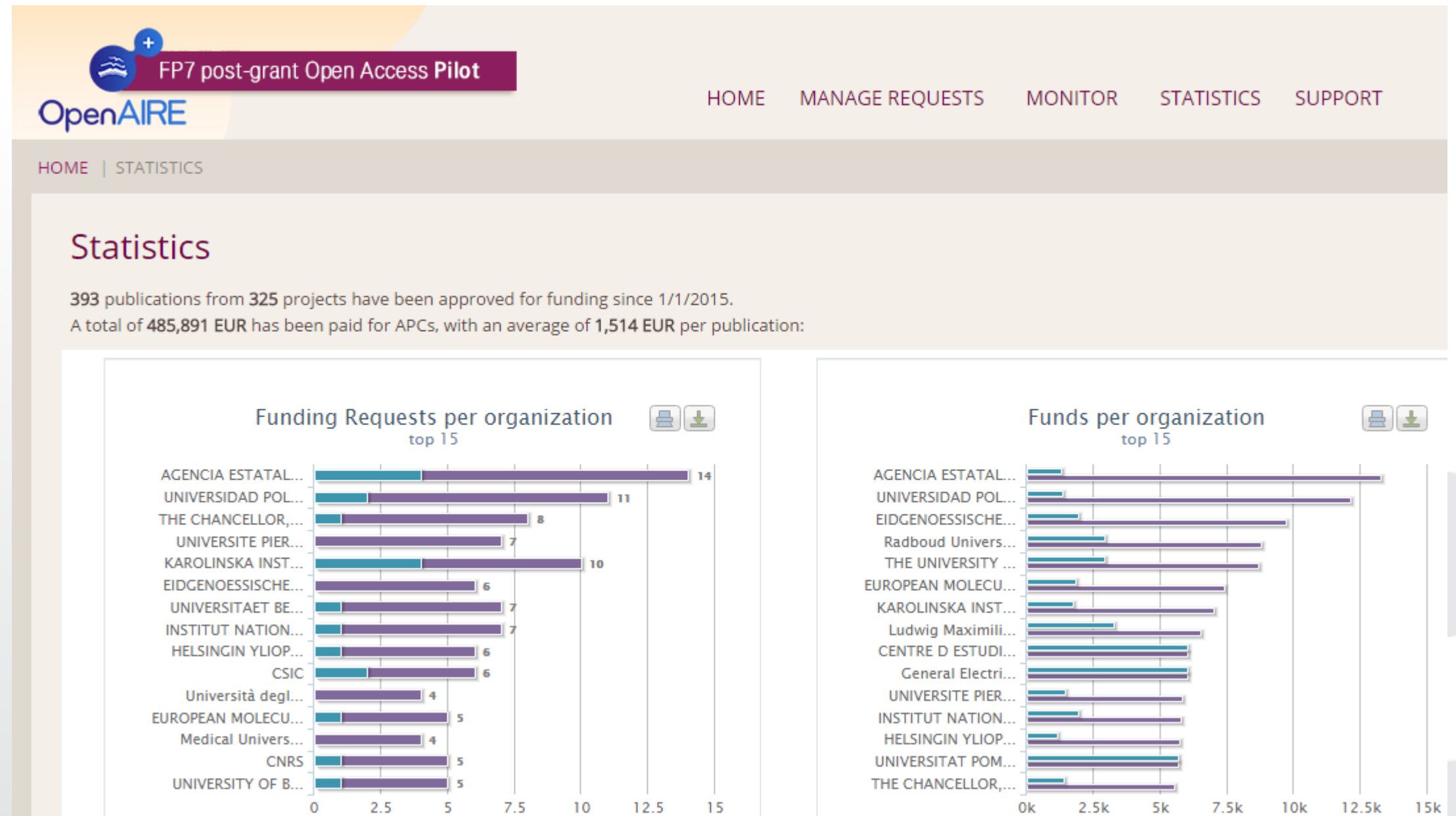
- RESEARCHER** (Microscope icon): Name, Email, Affiliation(s) (University of Amsterdam -IBED), and an '(Edit Info)' link.
- PROJECT** (Project icon): Acronym (FORCE), Title (Future of Reefs in a Changing Environment (FORCE): An ecosystem approach to managing Caribbean coral reefs in the face of climate change), Scientific area (ENV), Call (FP7-ENV-2009-1), Contract (GA) number (244151), and an '(Edit Info)' link.
- PUBLICATION** (Document icon): Title (Crude oil contamination interrupts settlement of coral larvae after direct exposure ends), DOI (10.3354/meps11437), and Author (AC Hartmann).
- ACCOUNTING** (Calculator icon): APCs (from OpenAIRE database): 0 Euro - 0% discount; APCs (provided by user): 1300 Euro - 0% discount; Project participation: 100%.





# Two funding mechanisms

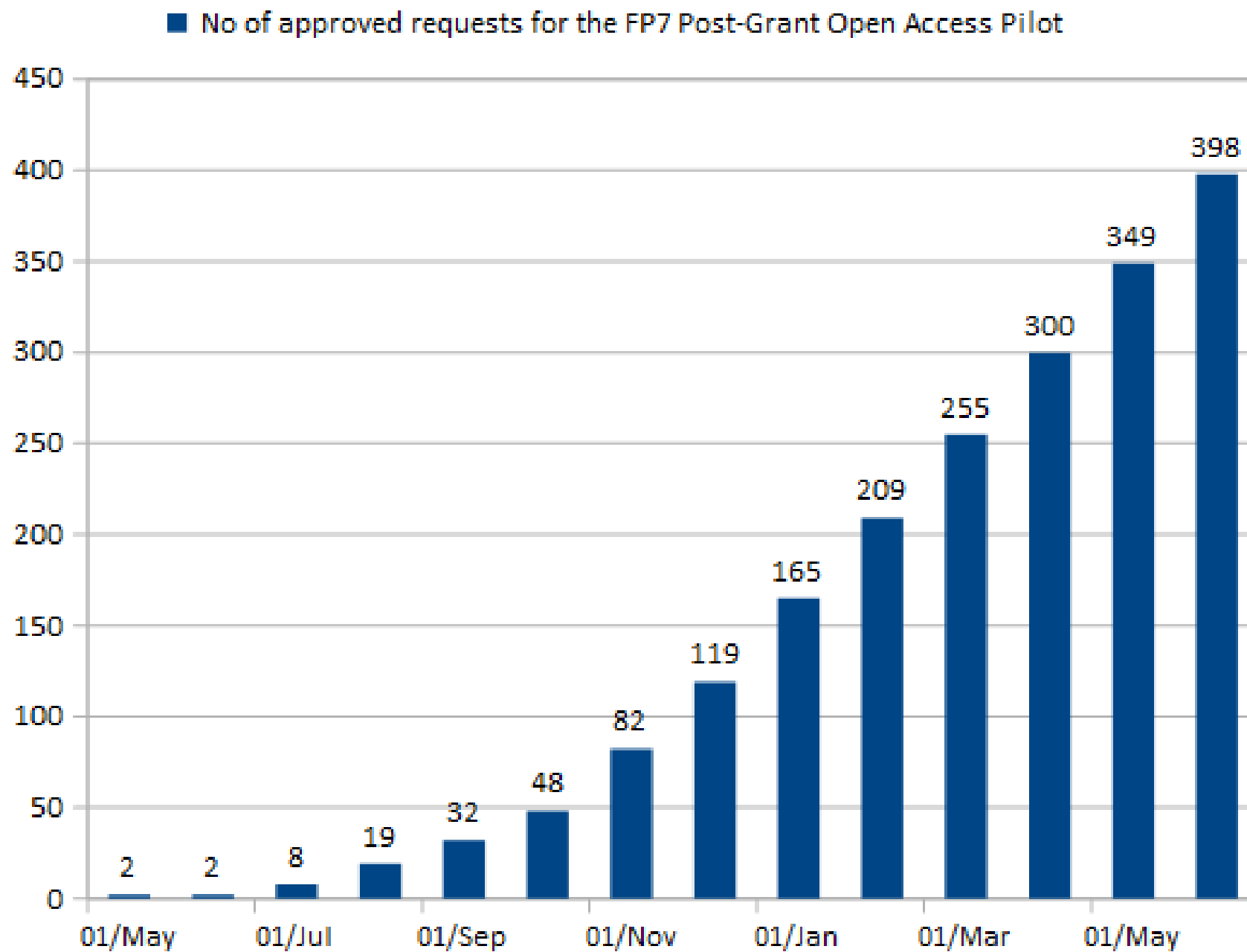
- Gold Open Access DOES NOT MEAN Article or Book Processing Charges;
- Two thirds of the journals in the DOAJ charge no APCs;
- The Alternative Funding Mechanism will fund APC-free OA journals for improving their publishing workflows;
- Call for proposals open since early May until June 30<sup>th</sup>, 2016: “Are you publishing your APC-free Open Access Journal on a shoestring?”, <https://www.openaire.eu/are-you-publishing-your-apc-free-oa-journal-on-a-shoestring>;
- A total of €200k funding available for up to 12 funding applications from APC-free OA journals or platforms;
- Technical improvements will be funded such as: systematically collecting funder/project information, becoming OpenAIRE compliant, issuing DOIs, producing XML versions of the articles;
- Technical improvement plan & budget for the bid to be submitted to [postgrantpilotinfo@openaire.eu](mailto:postgrantpilotinfo@openaire.eu) **before June 30<sup>th</sup>**.



OpenAIRE System  
live reporting module:

<https://postgrantoapilot.openaire.eu/#statistics>

# Approved funding requests so far



**Figures as of June 1<sup>st</sup>, 2016**

364 journal articles

26 books

7 book chapters

1 conf procs

# Funding requests by country

Country	Approved funding requests
Spain	67
UK	61
Italy	41
Germany	37
Switzerland, France, Netherlands	22
Portugal, Sweden	12
Belgium, Greece	11
Austria, Finland	9
Israel	8
Hungary	7
Ireland, Turkey	5
Denmark, Norway, Poland	4
Lithuania	3
Australia, Czech Republic, Serbia, Slovenia, South Africa	2
Bulgaria, Burkina Faso, Croatia, Luxembourg, Mexico, Slovakia	1
Cyprus, Estonia, Latvia, Malta, Romania (EU)	0

Distribution of approved funding requests by country as of Jun 1<sup>st</sup>, 2016

# Funded (non-Uni) organisations

Non-University organisation	Country
BC3	ES
CAR-CSIC	ES
<b>CBM-CSIC</b>	ES
Centre de Recerca en Agrigenomica (CRAG)	ES
<b>Centre de Recerca en Sanitat Animal (CRESA), IRTA</b>	ES
CIB-CSIC	ES
CIBERES	ES
CNIC	ES
CNIO	ES
<b>Consorci de Salut i d'Atenció Social de Catalunya</b>	ES
<b>Fundació Clínic per a la Recerca Biomèdica</b>	ES
FUNITEC La Salle - Engineering	ES
<b>GSK R&amp;D</b>	ES
IATA-CSIC	ES
<b>IATS-CSIC</b>	ES
ICFO	ES
ICMM-CSIC	ES
ICN2	ES
<b>IDAEA-CSIC</b>	ES
IFF-CSIC	ES
IG-CSIC	ES
<b>Institut Avedis Donabedian</b>	ES
NEIKER	ES

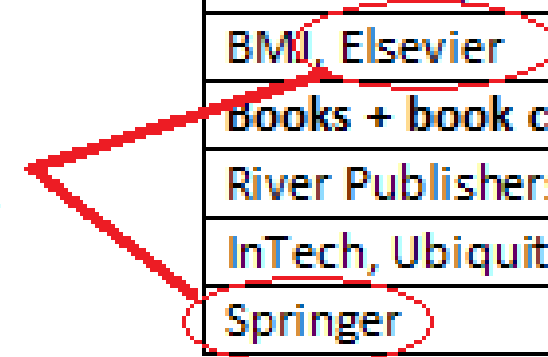
Non-University organisation	Country
Centro Euro-Mediterraneo sui CC (CMCC)	IT
CNR-ISAC	IT
CNR-ISTC	IT
Elettra-Sincrotrone Trieste	IT
<b>Fondazione Edmund Mach</b>	IT
<b>Humanitas Mirasole SpA</b>	IT
Instituto Italiano di Tecnologia	IT
IRPPS-CNR	IT
<b>Istituto Superiore di Sanità</b>	IT
<b>Liverpool School of Tropical Medicine</b>	UK
<b>London School of Hygiene and Tropical Medicine (LSHTM)</b>	UK
<b>National Health Service (NHS)</b>	UK
NERC	UK
<b>Oxford Technologies Ltd</b>	UK
Plymouth Marine Laboratory	UK
The James Hutton Institute	UK

Non-university organisations funded by the FP7 Post-Grant Open Access Pilot so far (top 3 countries by no. of approved requests)

# Funding requests by publisher

Publisher	Number of funded requests
<b>Journals</b>	
NPG/Macmillan	73
PLoS	56
Frontiers	37
BioMed Central	34
MDPI	32
Copernicus	22
Wiley	14
Institute of Physics	13
Hindawi, Optical Society of America	9
BMI, Elsevier	8
<b>Books + book chapters</b>	
River Publishers	6
InTech, Ubiquity Press	5
Springer	2

impact of  
no-hybrid policy



Distribution of approved funding requests by publisher as of Jun 4<sup>th</sup>, 2016



# A few findings thus far

- 1. Figures are rather low – it's difficult to disseminate the funding initiative directly to researchers. Libraries have a key role here: where the Library has helped, results are far better.**
- 2. Strong bias towards Western / North-Western Europe. Early explanations: awareness of Open Access among researchers, strength of Open Access dissemination networks, shift of corresponding authors towards sources of funding**



# A few findings thus far

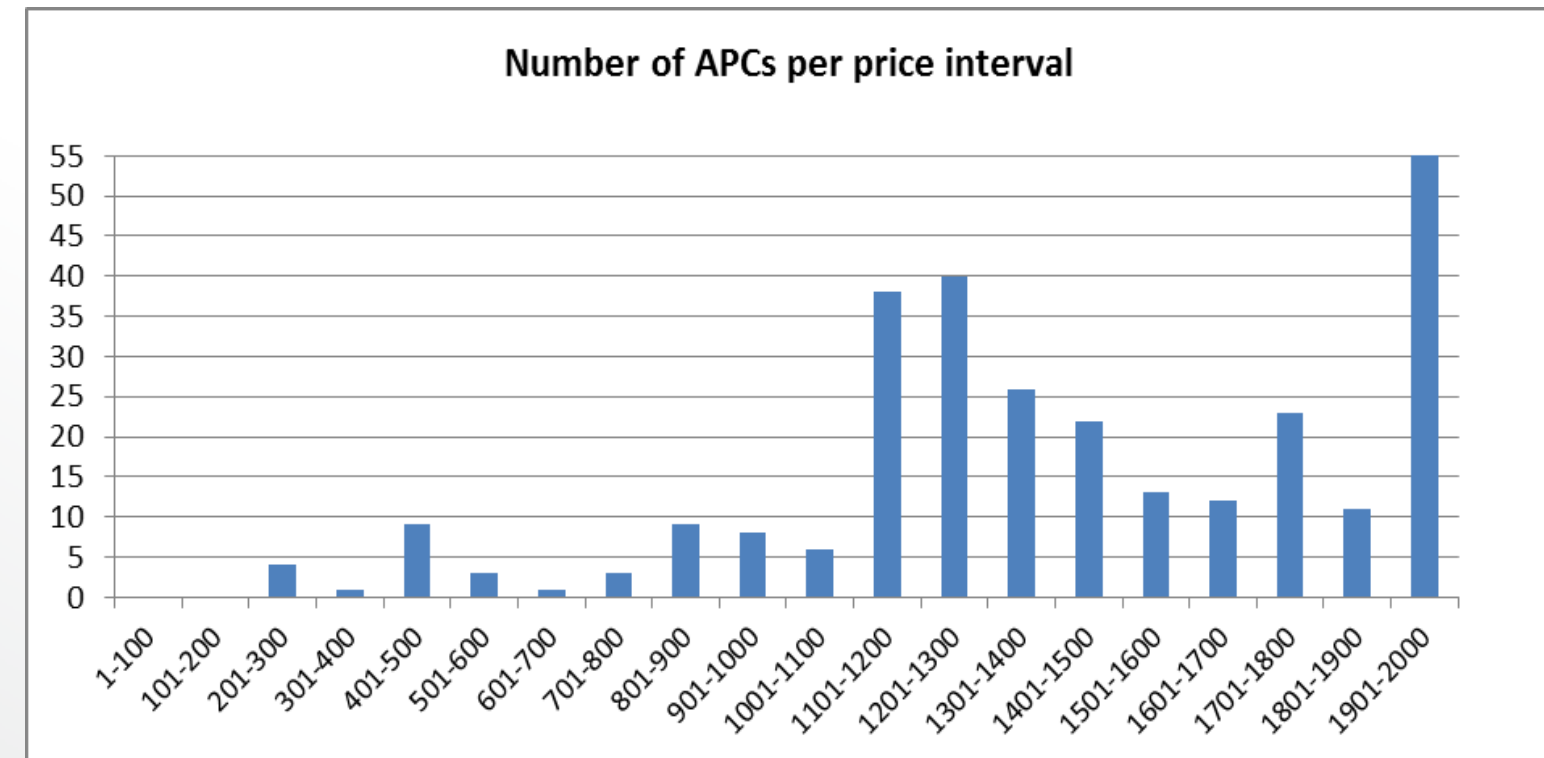
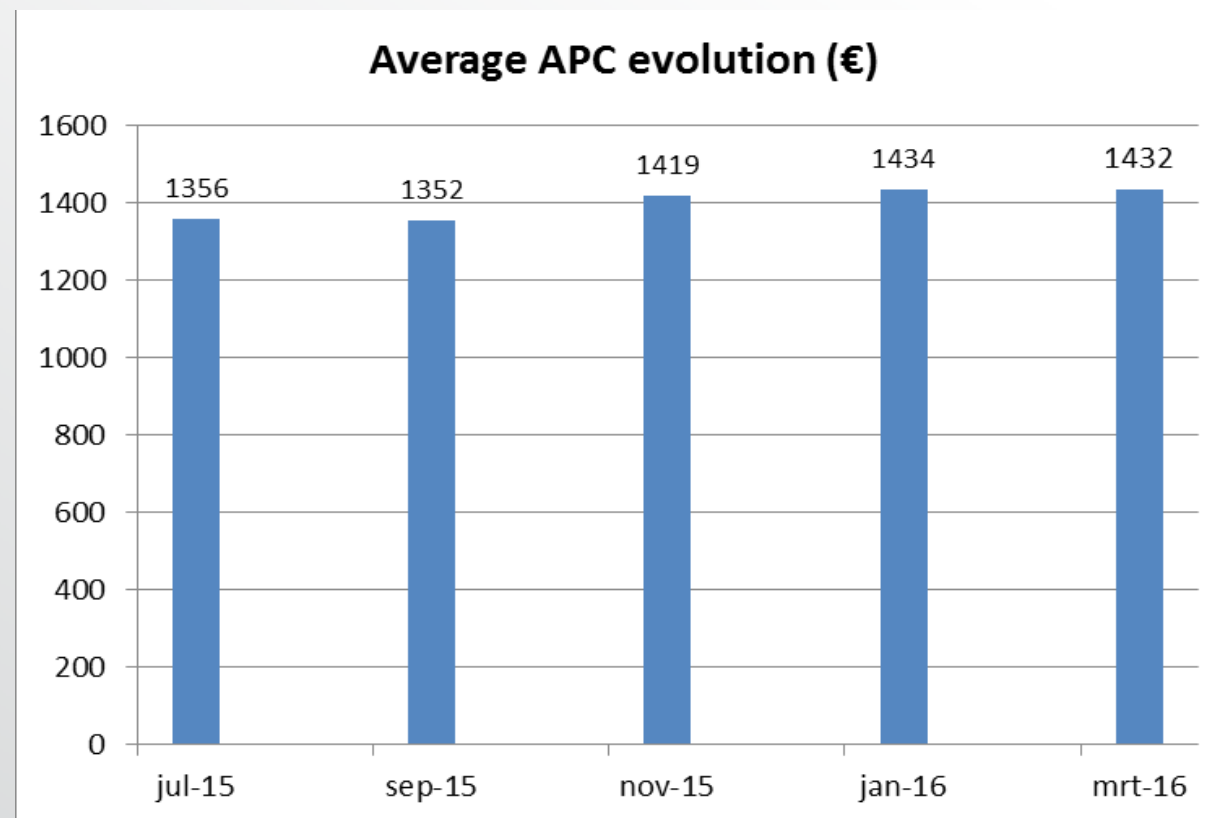
- 3. Funding distribution NOT RELATED to the existence of well-established Gold Open Access funding workflows: countries like Spain and Italy are good counter-examples.**
- 4. Low awareness among researchers and libraries of the importance of the funding and project information, which is key for this initiative.**





# A few findings thus far

**5. Average APC fee paid remains stable so far despite a significant number of maximum €2,000 payments for APCs above the funding cap the Pilot partially funds.**



# Thank you!



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3893548



s.c.j.devries@sampan.eu

postgrantpilotinfo@openaire.eu