

OA POLICY ALIGNMENT CHECKLIST

Fill this form by checking the choices provided, that correspond to the European Commission's Horizon 2020 [Multi-beneficiary General Model Grant Agreement](#), Version 1.0, December 11, 2013 requirements.

If your answer does not fit in any of the choices provided, check "Other" and describe that particular requirement. If you need to choose "Other" that means your policy is not aligned with the H2020 one, in that particular case.

1. ARE BENEFICIARIES REQUIRED TO DEPOSIT IN AN INSTITUTIONAL REPOSITORY?

- Yes, all beneficiaries are required to deposit and ensure Open Access
- Other, _____

2. WHAT TO DEPOSIT?

- A machine-readable electronic copy of the published version: publisher's final version of the paper, including all modifications from the peer review process, copyediting and stylistic edits, and formatting changes (usually a PDF document)
- A final peer-reviewed manuscript accepted for publication: final manuscript of a peer-reviewed paper accepted for journal publication, including all modifications from the peer review process, but not yet formatted by the publisher (also referred to as "post-print" version)
- Other, _____

3. WHERE TO DEPOSIT?

- Institutional repository of the research institution with which they are affiliated
- Subject-based/thematic repository
- Centralised repository, e.g. Zenodo repository
- Other, _____

4. WHEN TO DEPOSIT?

- Each beneficiary must deposit as soon as possible and at the latest on publication
- Other, _____

5. WHEN SHOULD OPEN ACCESS BE PROVIDED?

- Each beneficiary must ensure Open Access to the deposited publication — via the repository — on publication, if an electronic version is available for free via the publisher
- Each beneficiary must ensure Open Access to the deposited publication — via the repository — within six months of publication (twelve months for publications in the social sciences and humanities)
- Other, _____

6. POLICY MONITORING AND COMPLIANCE

- If a beneficiary breaches any of its obligations, the grant may be reduced.
- Other, _____

7. OTHER ISSUES TO CONSIDER

Copyright: In all cases, the authors should be encouraged to retain their copyright and grant adequate licenses to publishers. Creative Commons offers useful licensing solutions in this regard (e.g. CC-BY, see [Creative Commons Licenses](#)).

Bibliographic Metadata: Beneficiaries must also ensure Open Access to the bibliographic metadata that identify the deposited publication. The bibliographic metadata must be in a **standard format** and must include the following information (e.g.):

- the terms [e.g. "European Union (EU)" and "Horizon 2020"]["Euratom" and Euratom research and training programme 2014-2018"];
- the name of the action, acronym and grant number;
- the publication date, and length of embargo period if applicable, and
- a persistent identifier.

Open Access publishing: If your organization supports Open Access publishing in full Open Access journals, where the case, the Article Processing Charges (APCs) incurred by beneficiaries are eligible for reimbursement during the duration of the project. The hybrid model, as currently defined and implemented by publishers, is not a working and viable pathway to Open Access. Any model for transition to Open Access must prevent 'double dipping' and increase cost transparency. Please keep in mind the [Principles on Open Access Publisher Services](#) adopted in April 2015 by Science Europe that provide minimum expected services from publishers, which are applicable when providing payments/subsidies for Open Access publishing. If your organization supports journals/monographs publishing, these journals/monographs should be published in Open Access.

Research Data: Deposit in a research data repository and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate free of charge for any user the [data from publicly funded research](#). Check out the details of the the European Commission's Horizon 2020 Open Research Data pilot [here](#) and [here](#).

Policy-effectiveness: [PASTEUR4OA report on the Open Access policy-effectiveness](#) provides important evidence that Open Access policies should include at least three elements for effectiveness, namely, a **mandatory deposit that cannot be waived**, and **linking depositing with research evaluation**.

8. REFERENCES

- July 2012 [Commission's Recommendations](#) on access to and preservation of scientific information, in which the European Commission encouraged all EU Member States to put publicly-funded research results in the public sphere in order to strengthen science and the knowledge-based economy;
- The [Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020](#) adopted in December 2013, requiring researchers funded by Horizon 2020 to deposit peer-reviewed publications in repositories and to ensure Open Access to the publications whilst also encouraging researchers to deposit the research data that validate the publications results; the European Commission advises European countries to develop their Open Access policies on the basis of the same principles;
- [Science Europe Principles on Open Access to Research Publications](#) updated in May 2015;
- [PASTEUR4OA report on the Open Access policy-effectiveness](#);
- [BOAI 10 Recommendations: Ten years on from the Budapest Open Access Initiative: setting the default to open](#).

9. FURTHER READING

- [PASTEUR4OA Advocacy Resources](#)