



European
Commission

H2020-ITN-2017 Coordinators Info Day

11 December 2017

Open access to publications & research data

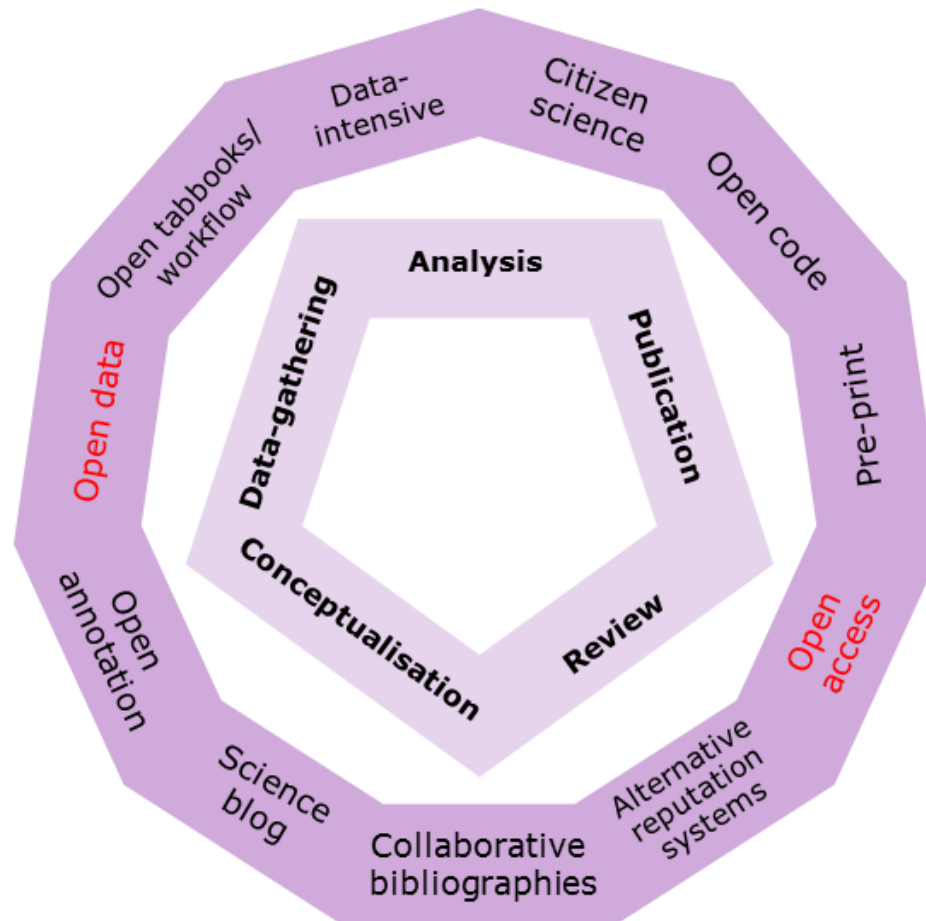
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Open Access and Open Science



Open Science – opening up the research process



Commissioner view

*A systemic change in the
modus operandi of science
and research*

*Affecting the whole research
cycle and its stakeholders*



"Open science is [...] about making sure that science serves innovation and growth. It guarantees **open access** to publicly-funded research results and the possibility of knowledge sharing [...]."

Commissioner Carlos Moedas
Open Science Presidency Conference
Amsterdam, 4 April 2016



Open Access

Online access at no charge to the *user*

- to peer-reviewed scientific research articles
- to research data

Open Science

- *A systemic change in the modus operandi of science and research*
- *Affecting the whole research cycle and its stakeholders*



Open access in Horizon 2020

Regulation establishing Horizon 2020

"To increase the circulation and exploitation of knowledge, open access to scientific publications should be ensured. Furthermore, open access to research data resulting from publicly funded research under Horizon 2020 should be promoted, taking into account constraints pertaining to privacy, national security and intellectual property rights"

*Open access to **scientific publications** resulting from publicly funded research under Horizon 2020 shall be **ensured** [...].*

*Open access to **research data** resulting from publicly funded research under Horizon 2020 shall be **promoted**. [...].*



Why OA to **publications** and **research data** in Horizon 2020?

Goal: optimise the impact of publicly-funded research and innovation

Expected impacts of opening up scientific information by broadening access to scientific publications and data:

- build on previous research results (improved quality of results)
- encourage collaboration and avoid duplication of effort (greater efficiency)
- speed up innovation (faster progress to market means faster growth)
- involve citizens and society (improved transparency of the scientific process)

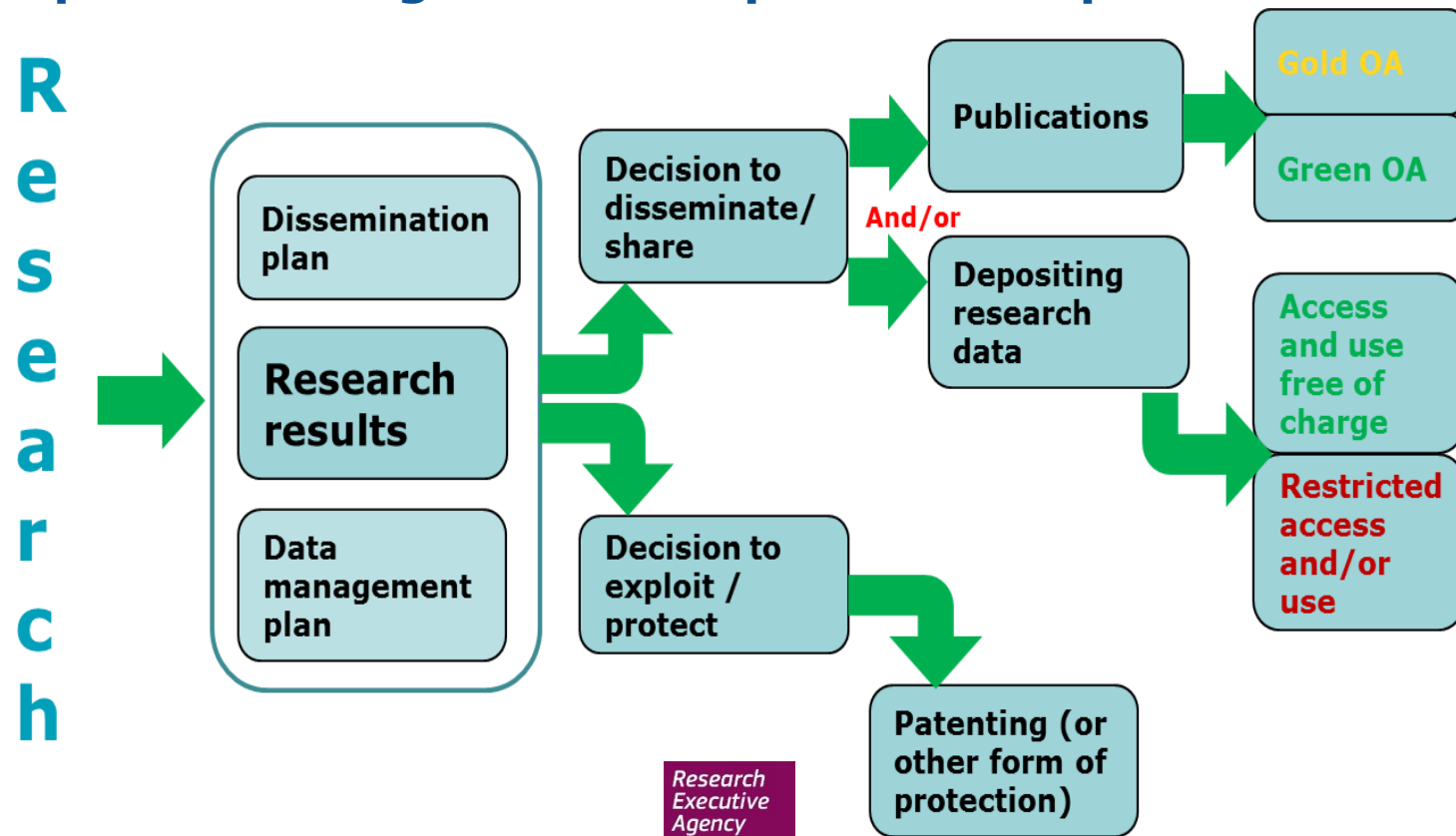
How?

- **Open up scientific information resulting from EU-funded research (Horizon 2020)**
- **Work with Member States to encourage co-ordination of policies**



What OA is NOT

- Not an obligation to publish (OA becomes an issue only if publication is chosen as a means of dissemination)
- Not at odds with patenting
- OA publications go the same peer review process





Open Access To Publications in Horizon 2020





From FP7 to H2020: OA to **publications**

FP7

- **Green** open access **pilot in 7 areas** of FP7 with 'best effort' stipulation
- Allowed embargoes: 6/12m **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs

Horizon 2020

- **Obligation** to provide OA, either through the **Green** or **Gold** way in all areas (deposition mandatory either way)
- Allowed embargoes: 6/12m **Gold** open access costs eligible for reimbursement as part of the project budget while the project runs & post-grant support being piloted through OpenAIRE
- Authors encouraged to retain copyright and grant licences instead



OA to publications in H2020

- Two step process:
 1. depositing publications in repositories (=online archive)
 2. providing open access to them (2 publishing business models):
 - **Self-archiving:** deposit of manuscripts & **immediate/delayed OA** provided by author ("Green OA")
 - **OA publishing: immediate OA** provided by publisher ("Gold OA"), e.g. 'author-pay' model (APC)
- Support services offered by OpenAIRE (entry point for researchers to determine what repository to choose)
- Authors encouraged to retain copyright and grant licences instead

Open access to publications = free online access for any user
right to read, download and print
the right to copy, distribute, search, link, crawl and mine.

Open Access to Publications



722046 (ESIT)
MSCA-ITN-ETN
PROGRAMME FOR RESEARCH AND INNOVATION
HORIZON 2020
Call: H2020-MSCA-ITN-2016
Topic: MSCA-ITN-2016
Unit: REA/A/01

Summary for publication

Deliverables

Milestones

Publications

Disseminati...

Patents (IPR)

Gender

Researchers

Training Activities

ABS Regulation

Publications

☐ This project does not currently have any scientific publication

Project publications (5 publications)

No. ▲	Type	Title	Authors	Title of the Journal/Proc./Book	Number, date or freq. of the Journal/Proc./Book	DOI	Repository Link
1	Publication in C		Bart Pannebakker	2016 International Congress of Entomology			

- Only the publications linked to the project should be included.
- The EU funding should be acknowledged.
- It is expected to see ESRs as co-authors of the publications.
- Joint publications are encouraged.
- Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results (Art. 29,2 of the GA).

Open Access to Publications



SyGMA - System for Grant Management - Mozilla Firefox

https://ec.europa.eu/research/participants/grants-app/reporting/DLV-642068

Grant Management

MSCA-ITN-ETN Sum pub

HORIZON 2020

Call: H2020-MSCA-ITN-2014
Topic: MSCA-ITN-2014-ETN Unit: REA/A/01

Publications ⓘ

☐ This project does not currently have any sciences

Suggested publications from OpenAIRE (0 p)

Project publications (0 publications) ⓘ

New publication

Please provide a DOI for the publication (recommended) or fill-in manually the required information.

DOI

Type of publication

Repository Link ⓘ

Link to the publication ⓘ

Title

Authors

Title of the Journal/Proceedings/Books series/Book (for book chapters)

Number, date or frequency of the Journal/Proceedings/Book

Relevant Pages

ISBN

Publisher

Place of publication

Year of publication

Is this publication available in Open-Access, or will it be made available?

☐ Yes - available in Green Open Access *
☐ Yes - available in Gold Open Access
☐ No

Is this a peer-reviewed publication? ☐ Yes ☐ No *

Is this a joint public/private publication? ⓘ ☐ Yes ☐ No *

* mandatory fields

Digital Object identifier: this is a unique string of characters allocated to a website, file, or other piece of digital information

The link leading to the Open Access repository

We need this information to answer one of the H2020 KPI. 'Both the joint publications coming from public and private project participants as well as from private/public project participants with public/private organisations outside the consortium (as long as they are related to the funded project) should be reported.'

The beneficiaries must answer YES to this question in the following cases:

- Joint publication coming from public and private project participants (for instances two participants, one from public sector and another from private sector are authors of the publication)
- Publication in which one or more participants from the public sector are authors, and the publication contains also author(s) from private sector who are not beneficiaries of the project
- Publication in which one or more participants from the private sector are authors, and the publication contains also author(s) from public sector who are not beneficiaries of the project

In summary the answer should be YES always that the publication has a mix of authors from public and private sectors.

Validate



Open Access To Research Data in Horizon 2020





Open **Research data** in H2020

Open Research Data Pilot (2014-2016) in selected areas
Extended Pilot on Open Access to Research Data (from 2017)
to cover all thematic areas of Horizon 2020 ('open by default')

- **Projects may still opt-out at any stage (IPR, personal data protection, national security, other reasons)**
- **Mainly concerns data underlying publications (other data optional)**
- **Data Management Plan obligatory by M6 (not part of project evaluation)**
- **The legal requirements for participating projects are set out in article 29.3 of the Model Grant Agreement**

Approach: as open as possible, as closed as necessary



Open **Research data** in H2020

Key questions:

What data is covered?

What are the requirements?

What about data management?



Open **Research data** in H2020

Types of data concerned:

- **Data needed to validate the results presented in scientific publications ("underlying data"), including associated metadata**
- **Other data as specified in Data Management Plan (produced by the project, reused by the project)**
- **statistics, results of experiments, measurements, observations resulting from fieldwork, survey results, interview recordings and images, personal data**

Beneficiaries participating in the Extended Pilot will:

- **Deposit this data in a research data repository of their choice**
- **Take measures to make it possible to access, mine, exploit, reproduce and disseminate free of charge**
- **Provide information about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (where possible, provide the tools and instruments themselves)**



Open **Research data** in H2020

Projects may opt out in a series of cases, at any stage (removing Article 29.3 from Grant Agreement through AMD)

- If the project will not generate / collect any data
- Conflict with obligation to protect results
- Conflict with confidentiality obligations
- Conflict with security obligations
- Conflict with rules on protection of personal data
- If the achievement of the action's main objective would be jeopardised by making specific parts of the research data openly accessible (to be explained in data management plan)
- Other legitimate reasons

Approach: as open as possible, as closed as necessary
If you opt out you have to justify it



Data Management Plan (DMP) in H2020

DMP mandatory for all projects participating in the Extended Pilot, optional for others

DMP defines the internal policy towards data produced/used by the project:

- *a project can have a DMP even without participating in the Extended Pilot;*
- *a project in the Extended Pilot might clarify in the DMP what data are open,*
as open as possible, as closed as necessary

DMP is NOT part of the proposal evaluation, BUT all the proposers to submit general information on data management - evaluated under 'Impact'

Projects participating in the Extended Pilot need to submit their DMP within the first 6 months of the project and update it as needed

DMP to explain: **It is in your interest to have it**

- *What data will be collected / generated?*
- *What standards will be used / how will metadata be generated?*
- *What data will be exploited? What data will be shared/made open?*
- *How will data be curated and preserved?*

RESEARCH DATA - OPEN BY DEFAULT





Data Management Plan in H2020

Template DMP (Annex to Guidelines on FAIR Data Management)

- Provided as a service, its use is currently optional

Standard DMP template is light and flexible

- Set of questions + summary table

One DMP per project not per dataset

- but mention if there are specific issues for a particular dataset)

DMP as a living document

- Updated as part of periodic evaluation and/or at least at the end of the project for final reporting

A FAIR DMP has to address that data are

'Findable', i.e. discoverable with metadata, identifiable and locatable by means of a standard identification mechanism;

'Accessible', i.e. always available and obtainable;

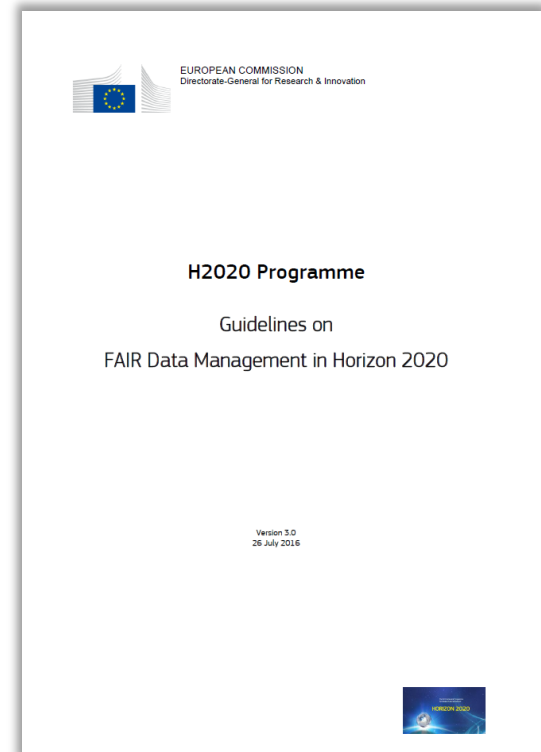
'Interoperable', i.e. both syntactically parseable and semantically understandable, allowing data exchange and reuse between researchers, institutions, organisations or countries; and

'Reusable', i.e. sufficiently described and shared with the least restrictive licences, allowing the widest reuse possible and the least cumbersome integration with other data sources.

Guidelines on FAIR Data Management

Available [here](#) on the
Participant Portal!

Read it!!!
Only 12 Pages!!!





References

Open innovation, open science, open to the world. A vision for Europe

<http://bookshop.europa.eu/en/open-innovation-open-science-open-to-the-world-pbKI0416263/>

NPR report

https://ec.europa.eu/research/openscience/pdf/openaccess/npr_report.pdf#view=fit&pagemode=none

H2020 guidance

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm

May 2016 Council Conclusions

<http://data.consilium.europa.eu/doc/document/ST-9526-2016-INIT/en/pdf>

Uptake of ORD pilot (dataset)

<https://data.europa.eu/euodp/data/dataset/open-research-data-the-uptake-of-the-pilot-in-the-first-calls-of-horizon-2020>

Publishing v. patenting

https://www.iprhelpdesk.eu/sites/default/files/newsdocuments/Patenting_v._publishing_0.pdf