



This presentation is licensed under the Creative Commons licence: CC-BY-SA-4.0 (<http://creativecommons.org/licenses/by-sa/4.0/>), via <http://invenio.nusl.cz/record/200840>

# Open Access to scientific publications and research data in Horizon 2020

**8<sup>th</sup> Conference on grey literature and repositories**  
**21 October 2015, Prague**

**Jana Kratěnová**  
*National Point of Reference for OA*  
*National Contact Point for Legal Issues of Horizon 2020*

# OPEC ACCESS TO SCIENTIFIC INFORMATION IN HORIZON 2020

## HORIZONT 2020

- The largest and most significant programme supporting science, research and innovation at European level during years 2014-2020; follows and is linked to FP7

## Open Access = OA

- *practice of providing on-line access to scientific information that is free of charge to the end-user and that is re-usable*

**Scientific  
publications**

**Research data**





# OPEC ACCESS TO SCIENTIFIC INFORMATION IN HORIZON 2020



# OPEC ACCESS TO SCIENTIFIC INFORMATION IN HORIZON 2020

## HORIZONT 2020

- The largest and most significant programme supporting science, research and innovation at European level during years 2014-2020; follows and is linked to FP7
-

# OPEC ACCESS TO SCIENTIFIC INFORMATION IN HORIZON 2020

## HORIZONT 2020

- The largest and most significant programme supporting science, research and innovation at European level during years 2014-2020; follows and is linked to FP7

## Open Access = OA

- *practice of providing on-line access to scientific information that is free of charge to the end-user and that is re-usable*
-

# OPEC ACCESS TO SCIENTIFIC INFORMATION IN HORIZON 2020

## HORIZONT 2020

- The largest and most significant programme supporting science, research and innovation at European level during years 2014-2020; follows and is linked to FP7

## Open Access = OA

- *practice of providing on-line access to scientific information that is free of charge to the end-user and that is re-usable*

**Scientific  
publications**



# OPEC ACCESS TO SCIENTIFIC INFORMATION IN HORIZON 2020

## HORIZONT 2020

- The largest and most significant programme supporting science, research and innovation at European level during years 2014-2020; follows and is linked to FP7

## Open Access = OA

- *practice of providing on-line access to scientific information that is free of charge to the end-user and that is re-usable*

**Scientific  
publications**

**Research data**



# OPEC ACCESS TO SCIENTIFIC INFORMATION IN HORIZON 2020

## HORIZONT 2020

- The largest and most significant programme supporting science, research and innovation at European level during years 2014-2020; follows and is linked to FP7

## Open Access = OA

- *practice of providing on-line access to scientific information that is free of charge to the end-user and that is re-usable*

**Scientific  
publications**

**Research data**



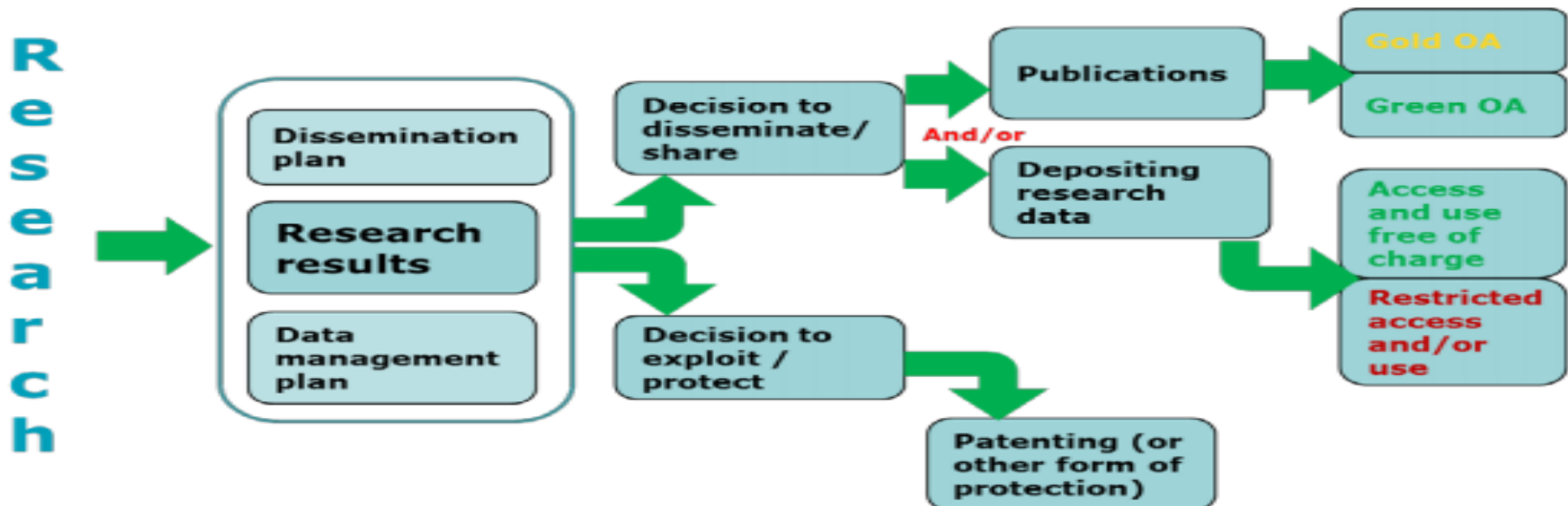


# OPEN ACCESS to scientific publications

- **NO** obligation to publish on project results
  - **IF** decision to publish – then Open Access regime applies
  - TWO options
    - **GOLD OA**
    - **GREEN OA**
-

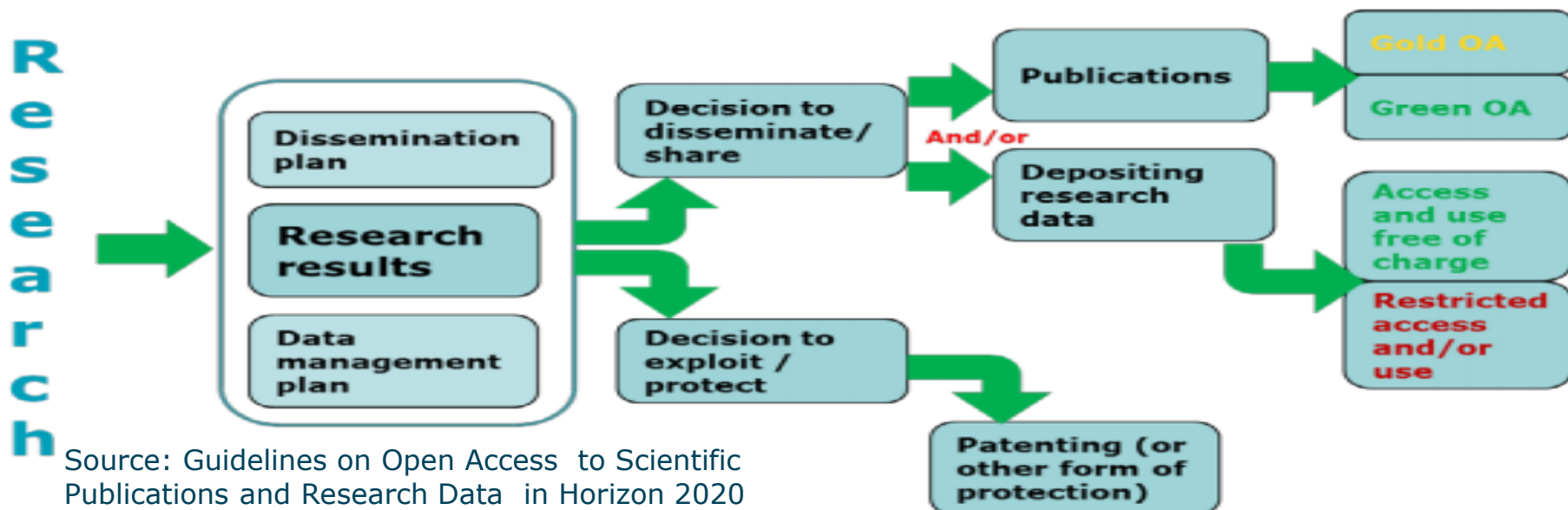
# OPEN ACCESS to scientific publications

- **NO** obligation to publish on project results
- **IF** decision to publish – then Open Access regime applies
- TWO options
  - **GOLD OA**
  - **GREEN OA**



# OPEN ACCESS to scientific publications

- **NO** obligation to publish on project results
- **IF** decision to publish – then Open Access regime applies
- TWO options
  - **GOLD OA**
  - **GREEN OA**



# OPEN ACCESS to scientific publications

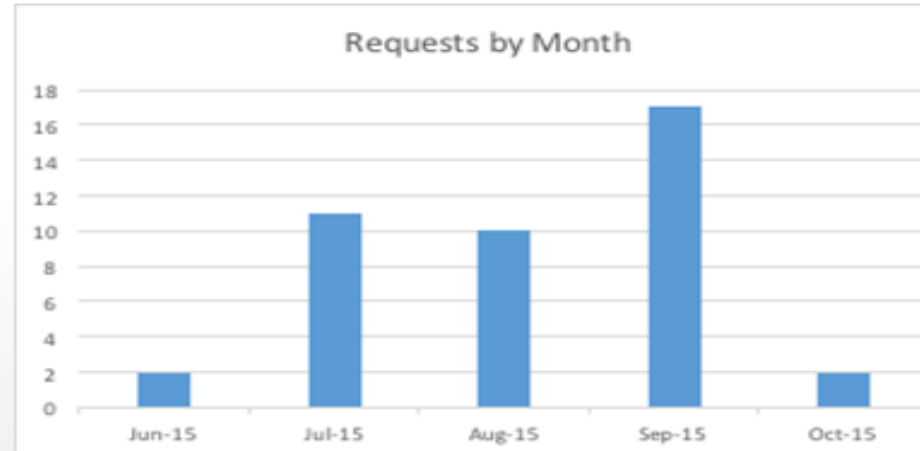
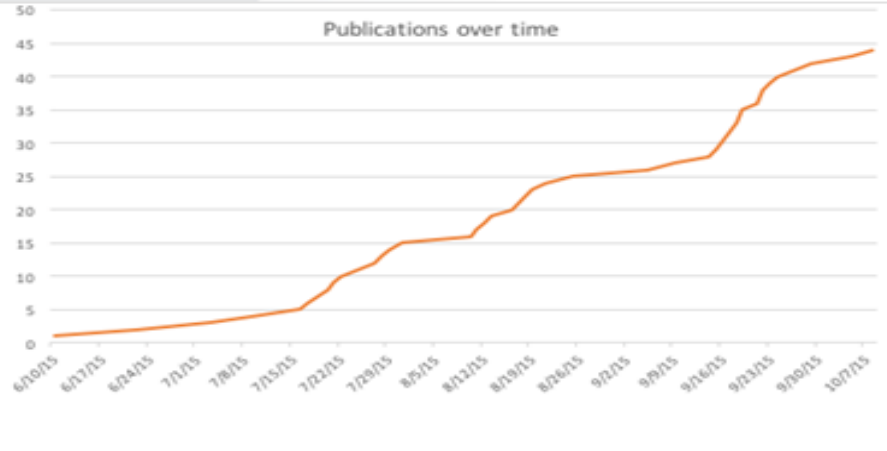
- **NE** povinnost publikovat o výsledcích
  - **POKUD** publikování – v režimu otevřeného přístupu
  - DVA modely:
    - **GOLD OA**
    - **GREEN OA**
  - **WHAT** - *all peer-reviewed scientific publications (research articles) relating to its results*
  - **HOW** – read online, download, print
    - provide other rights if possible
  - **FINANCE?** – eligible costs - **GOLD OA**
    - FP7 post-grant Open Access publishing funds pilot;  
<https://www.openaire.eu/postgrantoapilot>
-

# OPEN ACCESS to scientific publications

172 total requests

44 approved and paid

Total amount spent (June-Oct 2015): 57K



Zdroj: prezentace Jarkko Siren, „The EC/OpenAIRE FP7 Post-Grant Open Access Pilot:An Update“, 3rd Meeting of the NATIONAL POINTS OF REFERENCE for SCIENTIFIC INFORMATION NETWORK, October 13, 2015; Brusel

– FP7 post-grant Open Access publishing funds pilot;  
<https://www.openaire.eu/postgrantoapilot>

# OPEN ACCESS to scientific publications

## PROCEDURE

- 1. Upload into repository** - *a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication*
    - At the time of publishing at the latest; incl. GOLD
    - No need to make available (yet)
-

# OPEN ACCESS to scientific publications

## PROCEDURE

**1. Upload into repository** - *a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication*

- At the time of publishing at the latest; incl. GOLD
- No need to make available (yet)

**2. Must aim to deposit** - *underlying data*

- At the same time as 1.
  - No need to make available – no obligation
-

# OPEN ACCESS to scientific publications

## PROCEDURE

### 3. Making available = Open Access

- **GOLD** – at the time of publishing
  - **GREEN** – 6/12 months after publishing (*embargo period*)
-



# OPEN ACCESS to scientific publications

## PROCEDURE

### 3. Making available = Open Access

- **GOLD** – at the time of publishing
- **GREEN** – 6/12 months after publishing (*embargo period*)

### 4. Make available also bibliography metadata

- Programme title
  - Project title, abbreviation, Grant agreement number
  - Publishing date, length of embargo period
-

# **OPEN ACCESS** **to scientific publications**

---

# OPEN ACCESS to scientific publications

FP7	H2020
<b>OA to scientific publications</b>	<b>OA to scientific publications</b>
<ul style="list-style-type: none"><li>• Specific areas of FP7 (approximately 20% of FP7 budget)</li><li>• „Best-effort“ obligation</li><li>• Eligible costs</li></ul>	<ul style="list-style-type: none"><li>• Whole H2020</li><li>• Full OA obligation</li><li>• Eligible costs + OA post-grant fund (publications as FP7 project results)</li></ul>

---

# OPEN ACCESS to research data

## Data

- Information, in particular facts or numbers, collected to be examined and considered and as a basis for reasoning, discussion, or calculation;
  - Examples of data - statistics, results of experiments, measurements, ... ;
  - Digital form
-

# OPEN ACCESS to research data

## Data

- Information, in particular facts or numbers, collected to be examined and considered and as a basis for reasoning, discussion, or calculation;
- Examples of data - statistics, results of experiments, measurements, ... ;
- Digital form

- **Underlying data**
  - **Other data**
-

# OPEN ACCESS to research data

## Data

- Information, in particular facts or numbers, collected to be examined and considered and as a basis for reasoning, discussion, or calculation;
- Examples of data - statistics, results of experiments, measurements, ... ;
- Digital form

- **Underlying data**
- **Other data**

FP7	H2020
<b>OA to research data</b> <ul style="list-style-type: none"><li>• ERC Guidelines</li><li>• Financing of projects and studies on OA topic</li></ul>	<b>OA to research data</b> <ul style="list-style-type: none"><li>• <u>Pilot projects</u></li><li>• Financing of projects and studies on OA topic</li></ul>

# OPEN ACCESS to research data

H2020 – **pilot projects**, set out in work programme/call

---

# OPEN ACCESS to research data

H2020 – **pilot projects**, set out in work programme/call

- Areas of 2016-2017 work programme which participates at Open Research Data Pilot:
    - Future and Emerging Technologies
    - Research infrastructures – (**new**: coverage of the whole area)
    - Leadership in enabling and industrial technologies – Information and Communication Technologies
    - Nanotechnologies, Advanced Materials, Advanced Manufacturing and Processing, and Biotechnology: ‘nanosafety’ and ‘modelling’ topics (**new**)
    - Societal Challenge: Food security, sustainable agriculture and forestry, marine and maritime and inland water research and the bioeconomy - selected topics as specified in the work programme (**new**)
-



# OPEN ACCESS to research data

H2020 – **pilot projects**, set out in work programme/call

- Areas of 2016-2017 work programme which participates at Open Research Data Pilot (cont.):
-

# OPEN ACCESS to research data

H2020 – **pilot projects**, set out in work programme/call

- Areas of 2016-2017 work programme which participates at Open Research Data Pilot (cont.):
    - Societal Challenge: Climate Action, Environment, Resource Efficiency and Raw materials – except raw materials
    - Societal Challenge: Europe in a changing world – inclusive, innovative and reflective Societies
    - Science with and for Society
    - Cross-cutting activities - focus areas – part Smart and Sustainable Cities (**moved from Energy WP**)
-

# OPEN ACCESS to research data

H2020 – **pilot projects**, set out in work programme/call

- Areas of 2016-2017 work programme which participates at Open Research Data Pilot (cont.):
  - Societal Challenge: Climate Action, Environment, Resource Efficiency and Raw materials – except raw materials
  - Societal Challenge: Europe in a changing world – inclusive, innovative and reflective Societies
  - Science with and for Society
  - Cross-cutting activities - focus areas – part Smart and Sustainable Cities (**moved from Energy WP**)

**Voluntary participation is possible**

---

# OPEN ACCESS to research data

## PROCEDURE

1. Obligation to **upload data into repository**;
2. Obligation **to take measures to enable for third parties** to access, mine, exploit, reproduce and disseminate (free of charge for any user) this research data:
  - *Underlying data*
  - *Other data* (data management plan - Annex I.)
    - Always incl. relevant metadata
3. Should **provide information via the chosen repository about tools and instruments** at the disposal of the beneficiaries and necessary for validating the results

# OPEN ACCESS to research data

## EXCEPTIONS – when is it possible to „opt-out“?

- Project results IP protection
- Confidentiality
- Security area projects
- Personal data protection
- Other legitimate reason for „opt-out“

# OPEN ACCESS to research data

## EXCEPTIONS – when is it possible to „opt-out“?

- Project results IP protection
- Confidentiality
- Security area projects
- Personal data protection
- Other legitimate reason for „opt-out“

**Opting-out  
does not  
disadvantage  
an applicant  
during evaluation**

# OPEN ACCESS to research data

## EXCEPTIONS – when is it possible to „opt-out“?

- Project results IP protection
- Confidentiality
- Security area projects
- Personal data protection
- Other legitimate reason for „opt-out“

**The reasons  
are not  
checked by the EC**

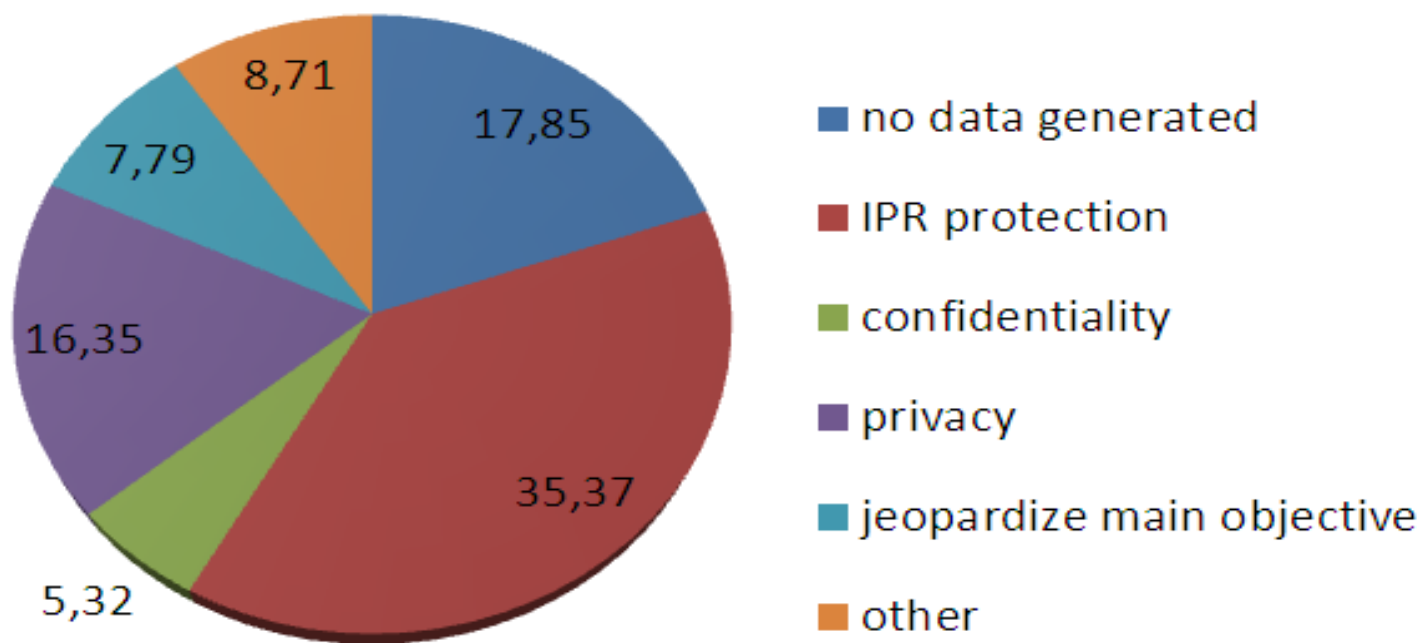
**Opting-out  
does not  
disadvantage  
an applicant  
during evaluation**

# ORD Pilot: take-up in first calls of H2020

- Basis: 3699 Horizon 2020 **signed grant agreements**
- Calls in core-areas: opt out **34,6%** (149/431)
  - In other words 65,4% of projects in the core areas participate in the ORD pilot.
- Other areas: voluntary opt in **11,9%** (409/3268)
  - Limited divergence from 2014 proposal figures but larger dataset used
  - Note that 100% participation is not feasible or even desirable (e.g. not all projects generate data)



# ORD Pilot: opt-out reasons among proposals



# OPEN ACCESS to research data

- **Data Management**

- If relevant – project proposal must contain part on „data management“ – evaluated as part of „Impact“
- Describe following:

- **Data Management**

- If relevant – project proposal must contain part on „data management“ – evaluated as part of „Impact“
- Describe following:

What types of data will the project generate/collect?

What standards will be used?

How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.

How will this data be curated and preserved?

- **Data Management**

- If relevant – project proposal must contain part on „data management“ – evaluated as part of „Impact“
- Describe following:

What types of data will the project generate/collect?

What standards will be used?

How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.

How will this data be curated and preserved?

# OPEN ACCESS to research data

- **Data Management Plan (DMP)**

- Frequently as separate project deliverable - 6M of a project
- Describes how data will be dealt with during a project and afterwards
- Obligatory – within pilot H2020 projects
- Not obligatory – within other H2020 projects

# OPEN ACCESS to research data

- **Data Management Plan (DMP)**
  - Frequently as separate project deliverable - 6M of a project
  - Describes how data will be dealt with during a project and afterwards
  - Obligatory – within pilot H2020 projects
  - Not obligatory – within other H2020 projects
- Beneficiaries may at any time decide not to participate at Open Research Data pilot
  - Describe reasons in DMP



TECHNOLOGICKÉ  
CENTRUM AV ČR



OTEVŘENÝ PŘÍSTUP  
K VĚDECKÝM INFORMACÍM  
V HORIZONTU 2020





OTEVŘENÝ PŘÍSTUP  
K VĚDECKÝM INFORMACÍM  
V HORIZONTU 2020



<http://www.h2020.cz/files/kotoucek/open-access-stranky-linky.pdf>

---

OTEVŘENÝ PŘÍSTUP  
K VĚDECKÝM INFORMACÍM  
V HORIZONTU 2020



[oa@tc.cz](mailto:oa@tc.cz)

<http://www.h2020.cz/files/kotoucek/open-access-stranky-linky.pdf>

---

OTEVŘENÝ PŘÍSTUP  
K VĚDECKÝM INFORMACÍM  
V HORIZONTU 2020



<http://www.h2020.cz/files/kotoucek/open-access-stranky-linky.pdf>

[oa@tc.cz](mailto:oa@tc.cz)

Jiří Kotouček

[kotoucek@tc.cz](mailto:kotoucek@tc.cz)

Jana Kratěnová

[kratenova@tc.cz](mailto:kratenova@tc.cz)

OTEVŘENÝ PŘÍSTUP  
K VĚDECKÝM INFORMACÍM  
V HORIZONTU 2020



<http://www.h2020.cz/files/kotoucek/open-access-stranky-linky.pdf>



[oa@tc.cz](mailto:oa@tc.cz)

Jiří Kotouček

[kotoucek@tc.cz](mailto:kotoucek@tc.cz)

Jana Kratěnová

[kratenova@tc.cz](mailto:kratenova@tc.cz)

Technologické centrum AV ČR  
Ve Struhách 27, 160 00 Praha 6  
[www.tc.cz](http://www.tc.cz) [www.h2020.cz](http://www.h2020.cz)