

# OPEN SCIENCE REQUIREMENTS IN HORIZON EUROPE

FOR PRINCIPAL INVESTIGATORS AND PROJECT MANAGERS

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EUI Library

Before **we start...**

Let's make a **round of introductions**

# Focus for today

- **An overview of Open Science:**
  - a criterion of 'scientific quality' in Horizon Europe
- **Project-related Publications in Open Access:**
  - an overview of options and what to think about
- **Research Data Management in Horizon Europe:**
  - data management plans; data protection, copyright and ethical use
- **Wrap-up and forward guidance:**
  - mandatory vs recommended practices in Horizon Europe, opportunities and challenges

How many of you are already familiar  
with the general idea of **Open Science**?

# What is **Open Science**?

*“Open science describes the practice of carrying out scientific research in a completely transparent manner, and making the results of that research available to everyone. Isn’t that just ‘science’?”*

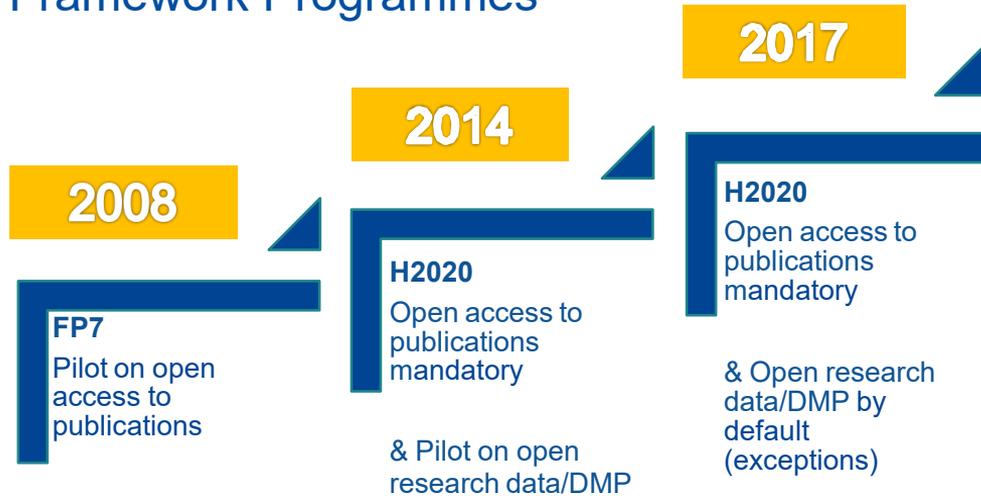
*Watson M., When will “open science” become simply “science”? Genome Biol. 2015;16:101*

# Open Science **is** (and **is not**)...

- **Open Science** is not a goal (in itself)
- **Open Science** is a means
- To achieve a spectrum of goals, all related to make science:
  - more efficient, reliable, and impactful
  - more visible, accessible, and inclusive
  - more transparent & robust
- To accelerate innovation, boost economy, better society as a whole
- For the EC: leverage at best public funding for research

# Open Science in the **FPS**

## Evolution of Open Science policies across Framework Programmes



### Under **Horizon Europe (2021)**

- Open Science embedded across Horizon Europe
  - **Evaluation** of proposals (excellence –methodology-, quality & efficiency of implementation )
  - **Grant Agreement, Work Programmes, guidelines**
  - **Reporting**—during the project's lifetime
- Strengthening of the open access obligations and focus on responsible research data management in line with the FAIR principles

# OS in **Horizon Europe**

*“**Open science**” means **an approach** to the scientific process based on open cooperative work, tools and diffusing knowledge*

(Horizon Europe Regulation and Model Grant Agreement)

*The concepts of **Open Science**, Open Innovation, Open to the World should ensure **excellence and impact** of the Union´s investment in research and innovation, while safeguarding the Union´s interests*

(Recital 7 Horizon Europe Regulation)

*The work programme may provide for **additional incentives or obligations** for the purpose of adhering to **open science practices***

(Horizon Europe Regulation, article 39)

# Aims for **Open Science policy** under Horizon Europe

- Ensure that beneficiaries **retain the intellectual property rights** they need to comply with their open access obligations
- Require **research data to be FAIR** and open by default (with exceptions notably for commercial purposes)
- Promote the **adoption of open science practices**, from sharing research outputs as early and widely as possible, to citizen science, and developing new indicators for evaluation research and rewarding researchers
- Engage and **involve citizens, civil society organisations and end-users** in co-design and co-creation processes and promote responsible research and innovation

# Evaluation of proposals

## “Excellence” criterion (methodology)

- Evaluation of the quality of open science practices
- Up to 1 page to describe Open Science practices + up to 1 page to describe research data/output management

Need to address both how you will comply with **mandatory practices** and you will adopt **recommended practices**  
Stress on **Openness, FAIR, and reproducibility** (Programme Guide pp. 38-54)

## “Quality and efficiency of implementation” criterion

(capacity of participants and consortium as a whole + list of achievements)

- Explain expertise on Open Science
- List publications, software, data, etc, relevant to the project with qualitative assessment and, where available, persistent identifiers

Publications are expected to be open access; datasets are expected to be FAIR and ‘as open as possible, as closed as necessary’. **Significance of publications to be evaluated on the basis of proposers’ qualitative assessment** and not per Journal Impact Factor

# Now following

- Project-related Publications in Open Access
- Research Data Management



# Project-related Publications in Open Access: an overview of options and what to think about

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by Lotta Svantesson, Open Science Office Coordinator, EUI Library

EUI Library Research Skills Session

Horizon Europe Open Science requirements: for Principal Investigators and Project Managers

6 October 2021, 14:00 - 16:00

SS, LS & TB, EUI Library



# EUI Open Access Milestones

Cadmus 1<sup>st</sup>  
installation (2003)

[EUI signs Berlin  
Declaration](#)  
(2011)

1<sup>st</sup> EUI OA policy  
(2011)

[EUI signs Budapest  
Open Access  
Initiative](#)  
(2012)

EUI signs Statement  
vs [Elsevier's sharing  
policy](#)  
2015

30% of Cadmus  
content is OA (2017)

Launch of EUI ResData  
Repository (2017)

2<sup>nd</sup> EUI Open Access Policy  
& ORCID  
membership/integration  
(2017-2018)

Extended Library  
Open Science Office  
(2019)

Merger of Cadmus  
with EUI Resdata  
(2019)

55% of Cadmus  
content is OA in  
2020

New Transformative  
Agreements (2020  
and 2021)

# OA requirements

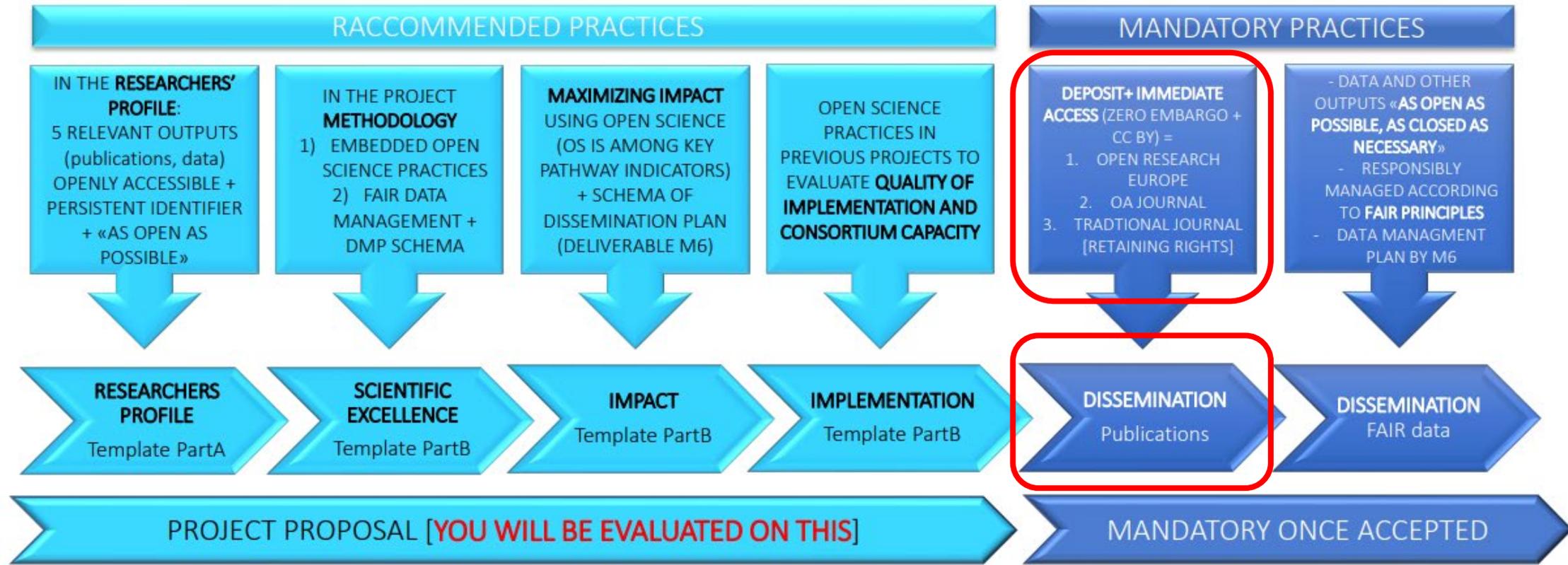
The open access obligation is NOT  
an obligation to publish.

- Simplified: if/when a fellow publishes a scientific article, it will have to be in open access
- Horizon Europe requires to retain sufficient intellectual property rights (IPR)
- The dissemination of Horizon results can be postponed to allow the appropriate protection of results beforehand\*
- **It is even necessary to ensure compliance with the obligation to protect the project results.** (This is something that can be explained in the proposal – that the strategy is, first, to secure IP protection, and that once this is completed, dissemination obligations will be fulfilled, including via open access if publications are foreseen.)

\* see the grant agreement clauses on dissemination (annex 5 to the MGA for Unit Grants, pp. 94-95) according to which the dissemination obligation is made subject to any restrictions linked to the protection of intellectual property. Source EC helpdesk: [https://intellectual-property-helpdesk.ec.europa.eu/news-events/news/open-science-vs-ipr-horizon-europe-which-one-wins-2021-09-17\\_en](https://intellectual-property-helpdesk.ec.europa.eu/news-events/news/open-science-vs-ipr-horizon-europe-which-one-wins-2021-09-17_en)

IN THE METHODOLOGY YOU NEED TO ADDRESS BOTH:  
 1) HOW YOU WILL COMPLY WITH THE **MANDATORY PRACTICES**  
 2) HOW YOU WILL ADOPT **RACCOMMENDED PRACTICES**

# Open Science in Horizon Europe



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Open Science in Horizon Europe guide  
<https://zenodo.org/record/5534111#.YVL91LgzaUk>



# Mandatory Practices for Dissemination Purposes

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OPEN ACCESS TO PUBLICATIONS - once the project has been accepted (detailed in the Grant Agreement)

You are **mandated** to **make all your peer-reviewed scientific publications Open Access** (including articles and long-text formats, such as monographs and other types of books), **at the latest upon publication**:

- depositing the Author Accepted Manuscript (AAM) or Version of Record (VoR) in a trusted repository, AND
- providing to the **deposited publication immediate open access** via the repository under CC BY or equivalent license (CC BY-NC/CC BY-ND are only allowed for long-text formats such as monographies)
- you must maintain the sufficient rights to comply with the immediate access mandate. A **clause** to be added to the publishers' agreement is provided in the **Programme Guide (p. 49) & next slides**
- Deposition in a **trusted repository** is always requested, even if you publish in an Open Access journal, for preservation and text mining purposes
- Via the same repository you will provide information about any research output/tools/instruments needed to validate the conclusions of the scientific publication. For example, you will be able to link to the DOI of datasets, code, etc...
- Metadata of publications must be open under CC 0 or equivalent, in line with the FAIR principles and provide information about the licensing terms and persistent identifiers, amongst others

# Required to retain sufficient intellectual property rights (IPR) - I

Proposers should be aware that beneficiaries are **required to retain sufficient intellectual property rights (IPR)** to comply with their open access obligations.

Authors may need to interact with prospective publishers, in particular when they publish in venues that are not open access.

To facilitate compliance with their open access obligations, beneficiaries/researchers are encouraged to notify publishers of their grant agreement obligations (including the licensing requirements) **already at manuscript submission.**

# Required to retain sufficient intellectual property rights (IPR) - II

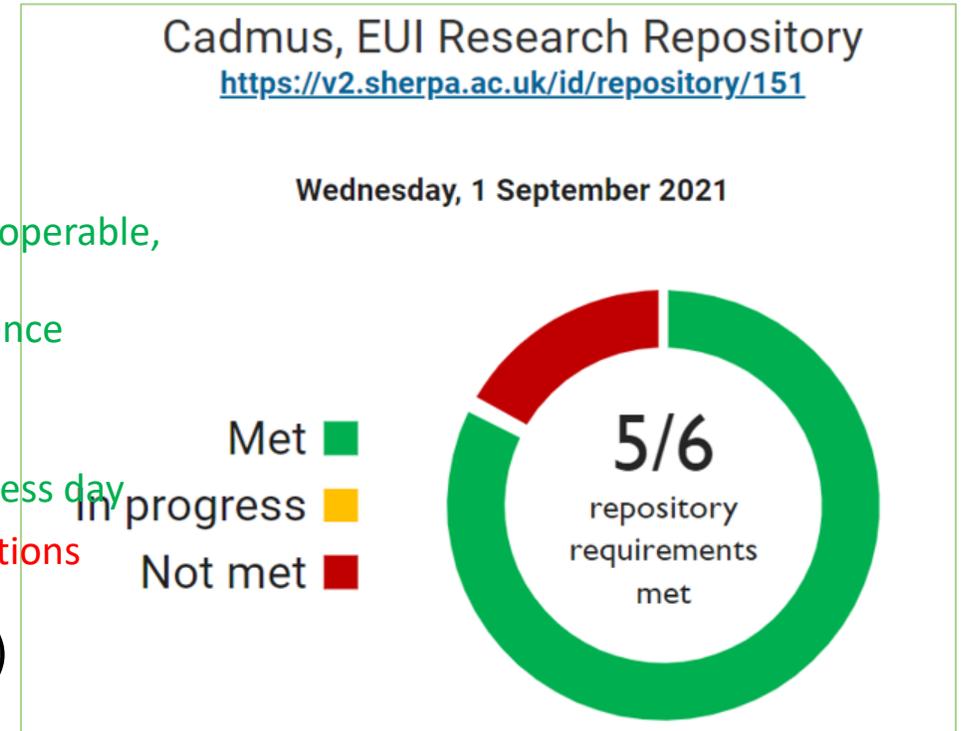
For example, you can add the following statement to the manuscript:

“This work was funded by the European Union under the Horizon Europe grant [grant number]. As set out in the Grant Agreement, **beneficiaries must ensure that at the latest at the time of publication, open access is provided via a trusted repository to the published version or the final peer-reviewed manuscript accepted for publication under the latest available version of the Creative Commons Attribution International Public Licence (CC BY) or a licence with equivalent rights. CC BY-NC, CC BY-ND, CC BY-NC-ND or equivalent licenses could be applied to long-text formats.**”

If the publishing agreement is contrary to the grant agreement obligations, authors should negotiate its terms and, alternatively, look for a different publishing venue/options.

# Cadmus: a trusted repository

- is the EUI's Institutional repository
- is Plan-S compliant: 5/6 requirements met
  - Registered in OpenDOAR
  - Inclusion of high quality article level metadata in a standard interoperable, non-proprietary format under a CC0 licence
  - Machine readable information on the open access status and licence embedded in the article
  - Repository website has continuous availability
  - Repository has a helpdesk with a response time within one business day
  - Use of persistent identifiers for the deposited versions of publications (planned to put in progress)
- is OAI-PMH compliant (international protocol for metadata harvesting)
- is OpenAIRE compliant



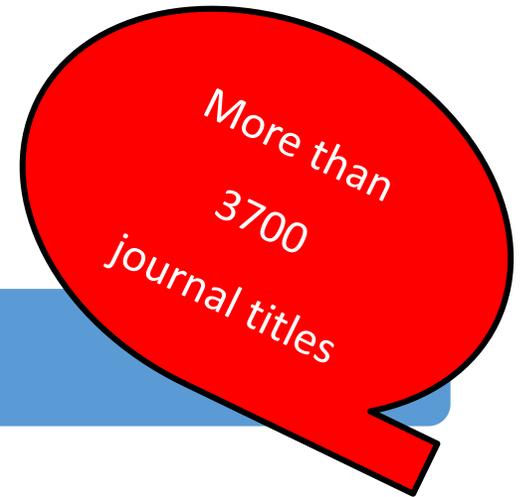
NB: Personal websites and databases, publisher websites, as well as cloud storage services (Dropbox, Google drive, etc) are not considered repositories. Academia.edu, ResearchGate and similar platforms do not allow open access under the terms required and are NOT considered repositories.

# Creative Commons Licences

## CREATIVE COMMONS LICENCES

Licence designation	Licence name	What does this mean for you as an author?
<b>CC BY</b> 	Attribution	The most liberal of the CC licences apart from CC0 Public Domain Dedication. This licence allows others to <b>distribute, remix</b> , tweak, and build upon a work – also commercially – provided they credit the author for the original creation and clearly indicate that changes were made to the work, if any.
<b>CC BY-SA</b> 	Attribution ShareAlike	Similar to CC BY; however, others must licence new creations under identical terms. Therefore, all new works reusing (parts of) such work will need to carry the same licence and any <b>derivatives</b> will also allow commercial use. <sup>3</sup>
<b>CC BY-ND</b> 	Attribution NoDerivatives	This licence allows for redistribution, commercial and non-commercial, provided it is passed along unchanged and in whole, with credit to the author.
<b>CC BY-NC</b> 	Attribution Non-Commercial	With this licence others must not remix, tweak, or build upon the original work for commercial purposes. Although new works must also acknowledge the author and be non-commercial, reusers do not have to licence their derivative works on the same terms.
<b>CC BY-NC-SA</b> 	Attribution Non-Commercial ShareAlike	This licence lets others remix, tweak, and build upon the author's work non-commercially, provided they credit the author and licence their new creations under the identical terms.
<b>CC BY-NC-ND</b> 	Attribution Non-Commercial NoDerivatives	This is the most restrictive of the six licences, only allowing others to download works and <b>share</b> them with others as long as they credit the author, but they cannot change them in any way or use them commercially.

# Library Transformative Agreements: Advantages for EUI members



More than  
3700  
journal titles

## Free Open Access (waived APCs)

- Springer
- Wiley
- Cambridge University Press
- Cogitatio

<https://www.eui.eu/Research/Library/PublishingAndOpenScience/OAPublishing-LibraryAgreements>

## Discount on APCs

- ECPR OA journal: 86% discount on APC (only £49 per article)
- Elsevier: currently 15 % discount on APC

# Sherpa Romeo

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*A very useful tool to check:*

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- The journal's publisher

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- The journal's OA policy, i.e. which version you have the right to upload in green Open Access

# How can a publication be made open access and where ?

## 1. Publish in ORE-Open Research Europe

- a free open publishing platform provided by the EU Commission.

## 2. Publish in an Open Access journal, immediate access

- There might be costs for APCs (reimbursable by funder). You still have to deposit in a «trusted repository
- Hybrid journals (i.e. traditional subscription journal with an «open choice» for a single article) are excluded from reimbursement.

## 3. Publish in a traditional subscription journal

- check in SHERPA RoMEO if you are allowed to give immediate access.
- If any embargo is requested, you need to add the «prior obligation» clause to the consent-to-publish statement to maintain the right to deposit in a «trusted repository» and give immediate access under a Creative Commons BY license

## Deposit in an Open repository - Green OA

- authors' accepted manuscript could be deposited
- [Sherpa-Romeo](#) (to check publishers' copyright policies))

# Advantages for EUI authors with Cadmus



## Visibility

- Immediate open access offers visibility and dissemination
- Increased possibility to be cited and to claim your work through unique identifiers
- Usage Statistics (views and downloads)



## Technical

- OAI-PMH - international protocol for harvesting
- Assures funder's requirements (ERC and H2020)



## Re-use of Cadmus data

- Departmental pages, Personal homepages
- Annual Reports, and other Portals
- Exports publications data to ORCID record as online CV grant information



## Secure

- Immediate and secure storage of your publications
- Long-term preservation

# EUI Support tools

## Cadmus

- Ensures recognition of project and is the institutional repository of the EUI
- Is the place for deposit of the projects' publications (preservation)
- Makes the publications available as open access
- Gives open usage statistics
- Makes the projects' publications available in OpenAIRE
- Makes the publications available on EUI web
- Uses CORDIS grant number registry
- Pushes publications to ORCID record

## OA

- [EUI OA Policy](#)
- [E-resources open access](#)
- [Tools Author rights](#)
- EUI ORCID Guide <https://www.eui.eu/ORCID>

# Funding & Tenders Portal (former Project Portal or Participants' portal)

- You can import ERC/H2020/Horizon Europe publications into the Project Portal from OpenAIRE
- ERC/H2020 instructions describes that the list of publications related to a project is visible in the 'reporting section' of the Project Portal, and that it is possible to simply 'tick' the publications related to the project and in Open AIRE publications list.
- Cadmus (OAI-PMH compliant), is compliant with OpenAIRE (since 2012). Cadmus pushes all H2020/ERC project related publications to OpenAIRE (project metadata is necessary!)
- [OpenAIRE | Explore](#) | *Choose: Publications, Research Data, Software, Other Research Products, Projects (POLCON, ACCEPT-PLURALISM, etc.)*

Ex. [POLCON](#) in OpenAIRE  
Use the publications download  
Content Provider: [Cadmus in  
OpenAIRE](#)

# Cadmus in OpenAIRE



SEARCH DEPOSIT LINK

Institutional Repository

## Cadmus, EUI Research Repository

Web page: <http://cadmus.eui.eu/>

OPENAIRE 2.0+ (DRIVER OA, EC FUNDING)

ITALY



SUMMARY	RELATED CONTENT PROVIDERS	PUBLICATIONS	RESEARCH DATA	OTHER RESEARCH	STATISTICS
		23,765	388	932	

### Description

Cadmus is the name of the EUI Research Repository. It contains EUI-members' academic publications produced during their time at the EUI and those based on research carried out during their time at the EUI. It also includes all publications from academic series sponsored by the EUI, such as working paper series and theses written by EUI researchers. Cadmus is built on DSpace, an open source software, and the metadata schema used is Dublin Core. The repository is OAI-PMH compliant and searchable worldwide. Therefore its publications are also searchable in, and harvested by, European and international networks and portals. Its content is also visible in Worldcat an...

OAI-PMH: <https://cadmus.eui.eu/oai/openaire>

Detailed information @ [OpenDOAR](#)

Organizations: [IUSE](#)

# Library services: Metadata and Publishers

Quality control of bibliographic details

Identifiers attribution (DOI)

Cadmus to ORCID integration

Project grant numbers (CORDIS)

Communication with authors on Copyright and Open Access

Transformative Agreements with Publishers

Monitoring of individual APCs at EUI

Dialogue and agreements with traditional publishers

Bibliographic services

Authors and publishers

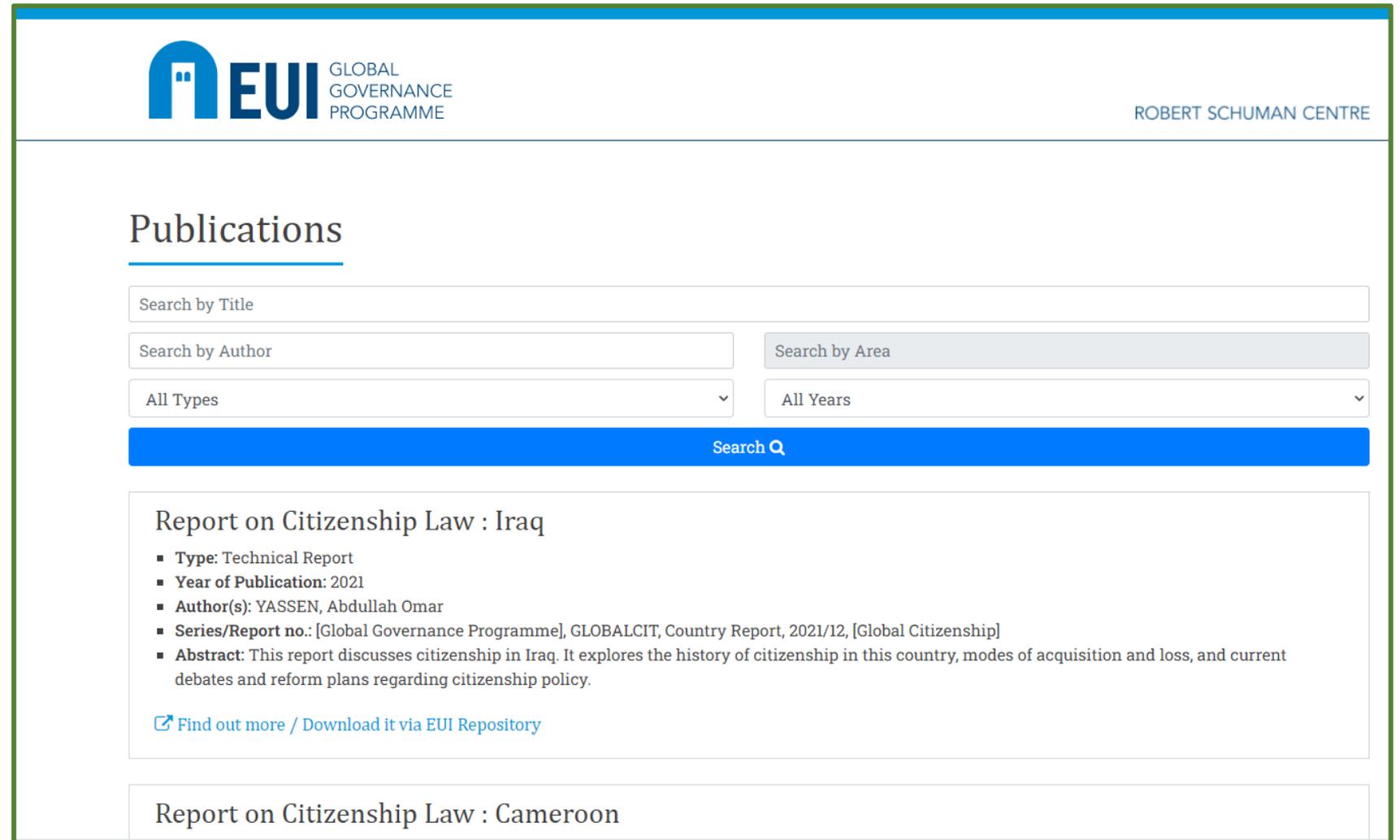
# Cadmus-web cms integration

Example: GGP

*it is all about and  
thanks to metadata*

*Always link to the handle in  
Cadmus*

*Coherent naming of types of  
publications*



The screenshot displays the EUI Global Governance Programme website. At the top left is the EUI logo with the text 'GLOBAL GOVERNANCE PROGRAMME'. At the top right is 'ROBERT SCHUMAN CENTRE'. The main heading is 'Publications'. Below this is a search interface with four input fields: 'Search by Title', 'Search by Author', 'Search by Area', and a dropdown menu for 'All Types'. A blue 'Search Q' button is positioned below these fields. The first search result is 'Report on Citizenship Law : Iraq', which includes a list of metadata: Type: Technical Report, Year of Publication: 2021, Author(s): YASSEN, Abdullah Omar, and Series/Report no.: [Global Governance Programme], GLOBALCIT, Country Report, 2021/12, [Global Citizenship]. An abstract follows, and a link is provided to 'Find out more / Download it via EUI Repository'. A second search result, 'Report on Citizenship Law : Cameroon', is partially visible at the bottom.

# Plan-S: Basic aim and main principles

“With effect from 2021\*, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”

Beneficiaries of Horizon EUROPE must comply with the principles of Plan S (not the case for ERC grant holders).

\*For funders agreeing after January 2020 to implement Plan-S in their policies, the start date will be one year from that agreement

[The Ten Principles](#): freely abbreviated

1. Retain copyright / open license
2. services to be provided by OA providers
3. Funders assure Open Access infrastructures
4. Open Access fees to be covered by funders or institutions
5. OA fees must be transparent
6. Funders encourage institutions to align their strategies, policies, and practices towards transparency
7. Tolerance to delay in OA for monographs and chapters
8. Funders do not support the ‘hybrid’ model of publishing but can support transformative agreements cost
9. Funders will monitor compliance, and sanction
10. Funders will value the merit of the work and not consider the publication channel (impact factor)

# Plan-S 3 Open Access Routes

There are [three routes](#) for being compliant with Plan S:

	<b>Open Access publishing venues (journals or platforms)</b>	<b>Subscription venues (repository route)</b>	<b>Transition of subscription venues (transformative arrangements)</b>
<b>Route</b>	Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.	Authors publish Open Access in a subscription journal under a transformative arrangement.
<b>Funding</b>	cOAlition S funders will financially support publication fees.	cOAlition S funders will not financially support 'hybrid' Open Access publication fees in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

# EUI forthcoming events on Open Science

- Open Access Week Roundtable, 26 October 2021, 14.00-16.00 Zoom & Capitolo, Badia
  - ❑ Prof. Simon Hix, Professor, Political and Social Sciences Department (SPS), *The Importance of Replication in the Social Sciences, and a Practical Experience of Sharing Data*
  - ❑ Dr. Demmy Verbeke, Head KU Leuven Libraries Artes, Associate Professor of Open Scholarship, Faculty of Arts, *Transformative Agreements (TAs): the good, the bad and the beautiful*
  - ❑ Andy Redman, Director – Open Access / OA books director, Oxford University Press, *Publishers and Models: The Ecstasy of Gold?*
  - ❑ Dr. Eva María Méndez Rodríguez, Deputy Vice-President for Scientific Policy, Universidad Carlos III de Madrid, *Open Science to build parachutes in the post-COVID time*
- Transformative agreements: publish your articles open access for free  
27 October 2021, 13.30-15.00
- Lotta Svantesson and Simone Sacchi, EUI Library Open Science Office

# Non-EUI events on Open Science

- [Horizon Europe: la strategia per una scienza europea aperta](#)

[7 ottobre 2021 \(recorded\)](#)

By Emma Lazzeri (in Italian)

<https://learning.garr.it/enrol/index.php?id=152>

- ICDI (Italian Computing and Data Infrastructure) Open Science café

<https://icdi.it/it/attivita/tf-cc/open-science-cafe>

# Open Science: some background discussions and milestones

- [Horizon Europe](#): new Framework Program, from 2021 until 2027, total budget of €95.5 billion.
- Open Research Europe (ORE): open access publishing platform launched by the European Commission. Fast publication and open peer review for research stemming from Horizon 2020 funding across all subject areas.
- [Plan S: A European Open Access Mandate](#) (2018 CoAlition S and EC) and [Guidance on the implementation of Plan-S: https://www.coalition-s.org/addendum-to-the-coalition-s-guidance-on-the-implementation-of-plan-s/principles-and-implementation/](https://www.coalition-s.org/addendum-to-the-coalition-s-guidance-on-the-implementation-of-plan-s/principles-and-implementation/)
- [LIBER Open science Roadmap](#) (2018)
- Formal Complaint about Elsevier's involvement in EOSC to Ombudsman (2018)
- [Recommendation European Commission](#) (2018) on Access to and preservation of scientific information
- Horizon 2020 EC and ERC. The EU Framework Programme for Research and Innovation, [Horizon2020](#), EU Research and Innovation programme (€80 billion of funding): 2014 to 2020.
- [Conclusions](#) of the Council of the European Union (May 2016)

# Bibliography / Resources

- Open Science in Horizon Europe guide: <https://zenodo.org/record/5534111#.YVL91LgzaUk>
- Horizon Europe (HORIZON) Programme Guide Version 2.1 - 4 Oct 2021: [https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide\\_horizon\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf)
- Guidance Horizon Europe, University Torino: <https://zenodo.org/record/5527043#.YVxWlppByUk>
- Horizon Europe Open Science Fact Sheet: <https://op.europa.eu/en/web/eu-law-and-publications/publication-detail/-/publication/9570017e-cd82-11eb-ac72-01aa75ed71a1>
- EUI Open Science Office web page on Library Agreements with Publishers: <https://www.eui.eu/Research/Library/PublishingAndOpenScience/OAPublishing-LibraryAgreements>
- EUI Open Science Office web page on Copyright: <https://www.eui.eu/Research/Library/PublishingAndOpenScience/CopyrightAndOpenAccess>
- Sherpa-Romeo: <https://v2.sherpa.ac.uk/romeo/search.html>
- [Directory Cordis](#) Search for projects containing EU-funded projects since 1990
- [DOAJ](#) (Directory of Open Access Journals, with mention of APC cost if any). EUI Library is funding member

# Open Science requirements in Horizon Europe for Principal Investigators and Project Managers

EUI Library

6 October 2021



[www.eui.eu](http://www.eui.eu)



# Open Science requirements in Horizon Europe for Principal Investigators and Project Managers

EUI Library

6 October 2021



[www.eui.eu](http://www.eui.eu)



# Research Data Management; data management plans; data protection, copyright and ethical use



[www.eui.eu](http://www.eui.eu)



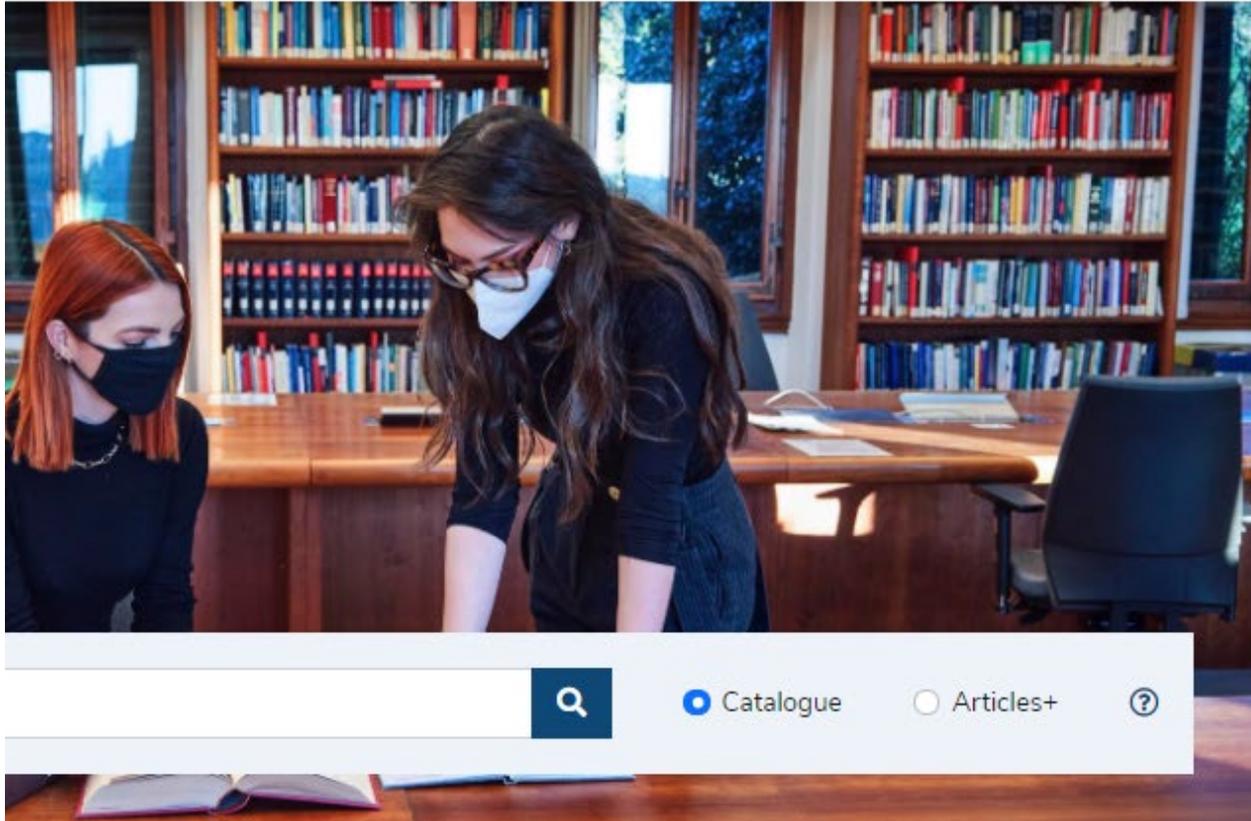
Apply

Events

News

People

Research



## Library

Europe's social science research library

Economics



History and Civilisation



Law



Political and Social Sciences



European Union Information



Research Data Services



## DATA PORTAL

The EUI Library [Data Portal](#) provides access to Library-licensed macroeconomic, micro-socioeconomic and Europe-related databases. 72 data resource guides provide information on coverage, variables, user networks, online manuals and terms and conditions of use. The [Data Portal](#) also provides information about the Library's restricted micro data server.

## DATA SERVICES

below for information about data discovery; use; data management plans; data protection; copyright; data preservation and sharing; data in funded projects and the EUI Research collection in the Cadmus repository. For instance, please write to [resdata@eui.eu](mailto:resdata@eui.eu) or visit one of the Library information desks: Badia Fiesolana BF-085 or Villa La Fonte VLF-026.



EUI members can submit their research datasets for inclusion in the [EUI Research Data](#) collection in the Cadmus repository. To submit a dataset for inclusion, please complete the Library's [online form](#). Library staff will make an appointment for transfer of data and documentation.

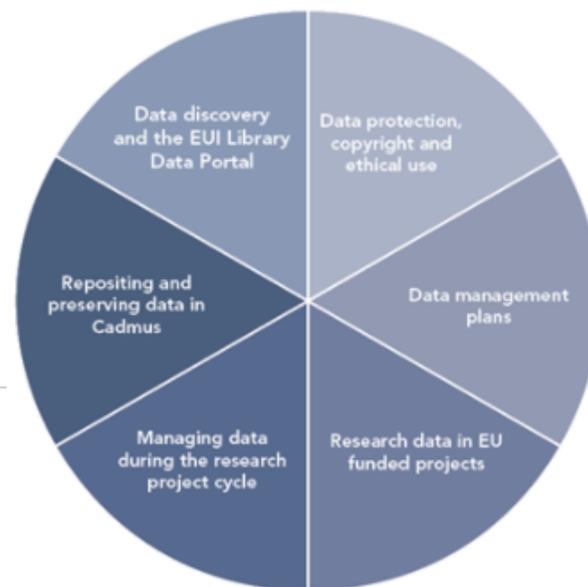
Library



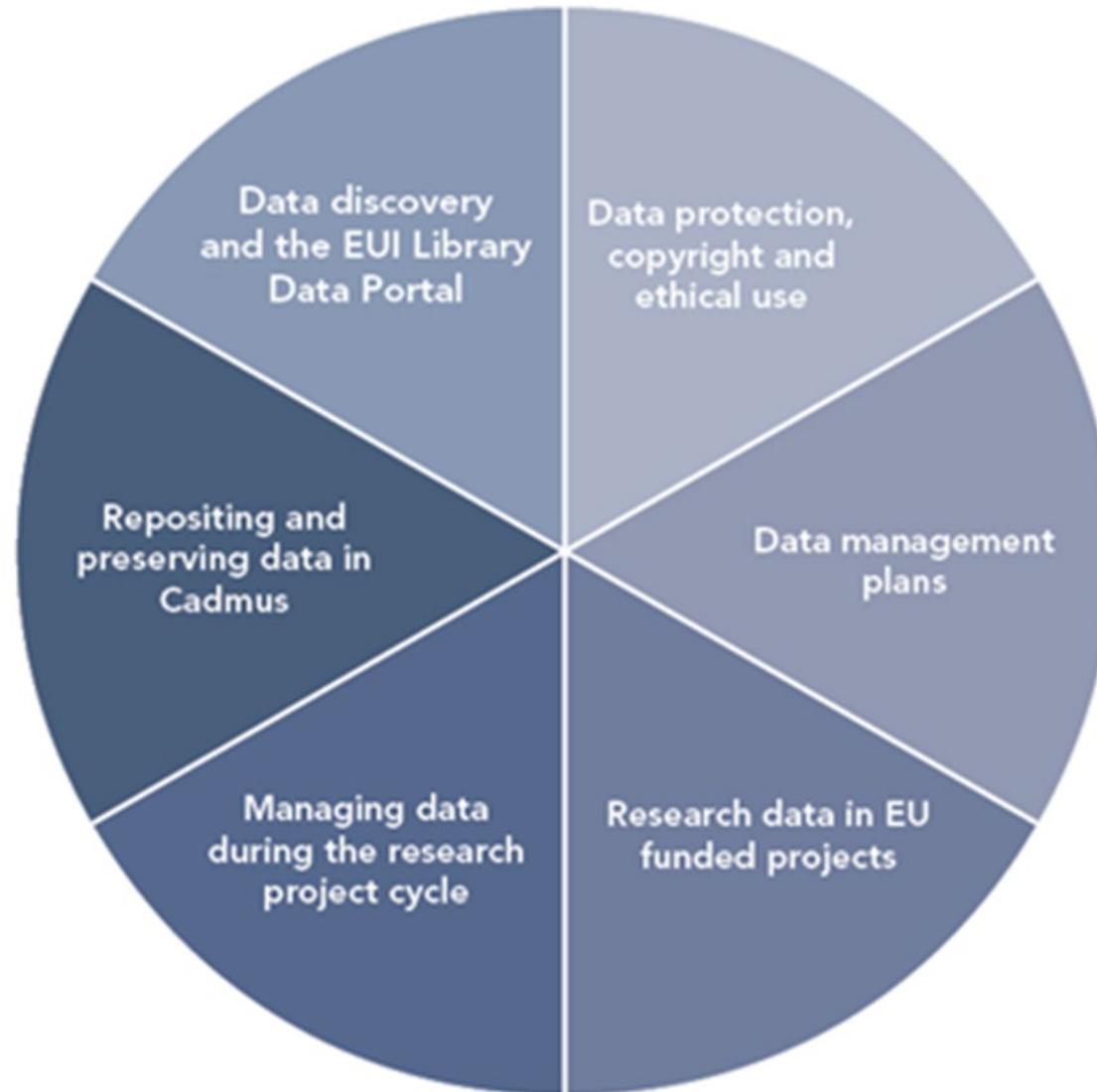
The EUI Library supports best practices for data discovery, data access, data management planning, data use, data protection, data preservation and data sharing. The information below is intended to help and support all members of the EUI academic community working with data throughout the lifecycle of their research endeavours, from initial data collection, discovery and access up to the sharing of original research data outputs. This page is based on the 2021 (9th edition) EUI Library [Research Data Guide \[PDF\]](#).

### 1. DATA DISCOVERY AND THE EUI LIBRARY DATA PORTAL

The Library maintains a [Data Portal](#) providing access to licensed resources for EUI members and introducing open data resources of relevance to EUI research themes. All 80 resources indexed in the Data Portal have an online guide with (i) data description and scope (ii) time-period coverage and



# Research Data Management



Provide information on:

- How data is collected and generated
- How data is used, elaborated and organised
- How data, and data subjects, are protected
- How data, code and ancillary elements are described and documented
- How data is stored and secured, and how long it will be retained
- How dataset authorship and credit are assigned
- How data is preserved
- How, whether and under what terms research data outputs can be shared.

## EUI research data guidelines and standards

- EUI members who are required to refer to institutional guidelines can cite these documents:
  - EUI Library 'Research Data Guide' (9<sup>th</sup> ed) 2021
  - EUI 'Code of Ethics in Academic Research' 2021



### GUIDE ON GOOD DATA PROTECTION PRACTICE IN RESEARCH



## Overview of research project

- Summary of the research project, indicating discipline / sub-discipline, scope, methodology and primary research questions
- Types of data being collected, generated and used
- Overview of data collection / data generation methods
- Origin of data inputs.

## Anticipated data outputs and utility

- Description of expected data outputs
- Distinction (where applicable) between (i) in-project data which will not be shared and (ii) post-project public research dataset outputs
- Expected community utility; eg. to academic researchers, policymakers, media organisations, the general public
- Possible inter-disciplinary use
- Data quality assurance processes.

## Resources required for data collection, generation, use and preservation

- Expected financial costs associated with accessing and generating data, where applicable
- Anticipated technical and research assistance requirements and data support
- Data management responsibilities of research project leaders, team members and other institutional partners.

## Data security, infrastructure and protocols

- EUI members should write to [econlibrary@eui.eu](mailto:econlibrary@eui.eu) to request the Library/ICT standard description of data security, infrastructure and protocols. This internal document describes layered physical security, network security, authentication protocols and other elements for inclusion in data management plans.

## Ethical considerations

- Description of data protection measures in place to scrupulously guarantee that persons, families and households are not identifiable in any dataset outputs
- Pre-project EUI Ethics Committee review may be required for survey, ethnographic, qualitative, experimental and other data collection, generation and processing
- The input of Data Protection Office and/or Legal Office may be required
- List pre-existing data resources to be used, and acknowledge database copyright compliance

## FAIR Data Principles making data

(i) Findable (ii) Accessible (iii) Interoperable and (iv) Reusable

### Making data Findable

- The repository where data outputs will be made available should be identified; eg. Cadmus, the EUI research repository
- Datasets should be assigned accurate and consistent metadata to aid findability and machine-retrievability. EUI members can refer to this Guide for metadata schema details. EUI Cadmus metadata are indexed for findability
- Folders, files, variables and versions should be consistently named to aid discovery
- Datasets should have persistent, unique digital object identifiers (eg. DOIs/handles)

**FAIR Data Principles making data**  
(i) Findable (ii) Accessible (iii) Interoperable and (iv) Reusable

Making data Accessible

- Distinction between in-project data which will remain closed (or will be destroyed) after the project, and data outputs which will be sharable after the project
- For restricted data, state reasons for restricted status (eg. personal data protection and/or database copyright compliance)
- For sharable data, the status 'open' (accessible immediately) or 'embargoed' (accessible at a later date) should be assigned
- Anonymisation and data protection measures should be described in detail
- State how the data can be accessed; software packages/tools required to access the data should be listed
- For EUI members; metadata records are indexed in Cadmus, the EUI research repository, which provides embedded machine-readable metadata for effective indexing by all major search engines and APIs for metadata exposure (eg. Google Scholar, OpenAIRE and CORE).

## FAIR Data Principles making data

(i) Findable (ii) Accessible (iii) Interoperable and (iv) Reusable

### Making data Interoperable

- Standard controlled vocabularies from the project's field-specific discipline should be indicated (social sciences, ethnography, anthropology &c.)
- Variable schemas and other standards should be explicit, and readable by standard software packages to facilitate data reuse
- Standard metadata and naming conventions should be used
- Cadmus, the EUI research repository, is built using web standards (the underlying DSpace software uses Java script) providing both human- and machine-readable interfaces to search, discover and access the repositied data.

## FAIR Data Principles making data

(i) Findable (ii) Accessible (iii) Interoperable and (iv) Reusable

### Making data Reusable

- Open data generated by the project should be made available under an open licence that supports, and clearly states, the reuse conditions - for example the Creative Commons Attribution International (CC-BY International)
- Supporting documentation and codebooks (eg. PDF/A documents and 'readme.txt' files) should be repositied with the data, to make the observations comprehensible and reusable by other scholars and stakeholders (researchers, policymakers, social partners, the media and the general public)
- Information about any tools or instruments necessary to reuse or verify the data should be provided (software, models, routines &c.)
- If there will be a data embargo period after the research project, this should be noted
- If there will be a time limit on retention, this should be stated
- Data quality control procedures should be described
- Before data is repositied in the EUI Cadmus research repository, Library staff undertake quality control, by requiring a detailed description of data sources, data protection provisions and (where applicable) relevant database copyright. Submitters are required to complete an online form, which provides further guidance.



Horizon Europe

Programme Guide

Version 1.1  
19 July 2021



EN  
ANNEX  
*European Commission Decision C(2021) 4860*

# ERC Work Programme 2022



**European Research Council**

Established by the European Commission



**Horizon Europe**

**Data Management Plan Template**

Version 1.0  
05 May 2021



**European Research Council**  
Executive Agency

Established by the European Commission

**ERC Data Management Plan**

**Template**

# Data Management Plans

- Online tool (with prompts for preparing a DMP)

**DMP**ONLINE 

- Generates document in Word, PDF &c.
- If science funder provides template:
  - Cut/paste text to template

- Create account > Organisation: 'Other'
- 'Write plan'



The screenshot displays the 'Write Plan' section of the DMPonline tool. At the top, there is a navigation bar with tabs for 'Project Details', 'Contributors', 'Plan overview', 'Write Plan' (which is active), 'Share', and 'Download'. Below the navigation bar, there are links for 'expand all | collapse all' and a progress indicator '0/13'. The main content area consists of a list of seven data management plan sections, each with a progress indicator and a plus sign to expand it:

Section	Progress	Action
Data Collection	0 / 2	+
Documentation and Metadata	0 / 1	+
Ethics and Legal Compliance	0 / 2	+
Storage and Backup	0 / 2	+
Selection and Preservation	0 / 2	+
Data Sharing	0 / 2	+
Responsibilities and Resources	0 / 2	+

## For each data set specify the following:

The DMP should address the points below on a dataset by dataset basis and should reflect the current status of reflection within the consortium about the data that will be produced.

### Data set reference and name

ADEMU Data 1

### Data set description

**B** *I*    

ADEMU project partners will generate three kinds of data:

- Standard empirical macroeconomic data (20-year time-series and international comparisons). Project partners contributing: all partner institutions.
- Data generated by simulation/calibration and testing of theoretical/structural models for the purpose of monetary policy scenario planning (eg. stress testing, back testing). Project partners contributing: EUI, Barcelona GSE, TSE and Cambridge.
- Experimental data generated from subject-response experiments (decisional, bounded, rational response). Project partners contributing: EUI and Barcelona GSE.

The data will be useful to other researchers, central banking policymakers, macroeconomic policymakers, the public and the media.

The data will be the basis for published scientific findings, including open access ADEMU working papers; scholarly articles, book chapters and reports.

Simulated data and accompanying models will provide insights into different policy scenarios. Both (i) the data and (ii) the simulation software code, will be shared to permit other scholars and policymakers to replicate, re-use and undertake new research using ADEMU data and tools.

Partners will use a variety of software packages, including Excel, Stata, GAUSS, R and MatLab, and the data will be released in accessible formats such as .csv, .txt and .xlsx.

Guidance

Comments

EC

Identifier for the data set to be produced.

Guidance

Comments

EC

DCC

Description of the data that will be generated or collected, its origin (in case it is collected), nature and scale and to whom it could be useful, and whether it underpins a scientific publication. Information on the existence (or not) of similar data and the possibilities for integration and reuse.

# 2021-2027



“As open as possible,  
as closed as necessary.”

# Support

Library



10 November, Wednesday, 14:00

Research Data Management  
Data Management Plans and Open Data

Sala del Capitolo (BF) and via Zoom



[www.eui.eu](http://www.eui.eu)



# Terms and conditions of use for licensed electronic resources

Access to and use of electronic resources is generally governed by copyright laws and individual license agreements (binding legal contracts) which define the specific terms of use and restrictions under which individuals can use the resource and the Library may make access available to its users, whether on and off-campus.

All individual users must comply with the specific Terms of Use or License Agreement for the applicable electronic resource. Users are individually responsible for their compliance with the terms and conditions of use.

Questions on specific terms and conditions may be addressed to [euiref@eui.eu](mailto:euiref@eui.eu)

## Terms of Use: General Restrictions

Access to the electronic resources listed on the EUI Library website and catalogue is restricted to current members of the EUI, and in some cases, to on-site users of EUI, for the purposes of research, teaching, and private study.

Under EUI Library's license agreements for electronic resources, **users may not:**

- ▶ Allow anyone other than an authorized user to use the licensed materials
- ▶ Modify or create a derivative work of the licensed materials without the permission of the licensor
- ▶ Remove, obscure or modify any copyright or other proprietary notices included in the licensed materials
- ▶ Use the licensed materials for commercial purposes
- ▶ Systematically download, distribute, or retain substantial portions of information (more information below)

- Special terms and conditions apply to access and use of micro-socioeconomic and qualitative data, reflecting the sensitive nature of data observations about persons, families and households
- Persons, families and households cannot be identifiable in any dataset. The collection and use of observations relating to ethnicity, health, orientation, religion, biometrics &c. are subject to data protection laws.

# Anonymisation & Pseudonymisation

## Anonymisation:

- Removing all links to personal data (name, date of birth, location &c.)

## Pseudonymisation:

- Substituting personally identifiable information with a unique identifier that is not connected to actual identity, using techniques such as coding.

- The structure of the dataset should be carefully considered at the start of the project
- Dataset design varies by conventions of discipline and sub-discipline, medium, types of variables, units of analysis, relationship between data elements, and whether or not the dataset is part of a series
- Clear and consistent metadata for folders, files, variables and versioning, helps facilitate future data retrieval, reuse and replicability
- File names should be standardised, eg: date, version
- Variables (age, country &c.) should be clearly tagged, avoiding special characters and spaces
- Temporary identifiers should be removed from the schema
- Different file versions should be systematically named, using a standardised date system (YYYY-MM-DD) or version numbering.

# Documentation and codebooks

- Clear and accurate documentation should be provided about the purpose and context of the research project, and about the research data output
- The sources of the data should be clearly indicated
  - Elaboration of pre-existing data
  - Data generation (surveys, interviews, experiments)
- Documentation should include a description of folders, files, variables, versioning, and – where applicable – information about problematic values, missing observations and weightings
- Codebooks, questionnaires and data dictionaries should be included. A concise note on methodology should be included
- Good documentation makes datasets **findable, accessible, interoperable** and **re-usable** (FAIR data principles).

Departments ▾ Programmes ▾ Robert Schuman Centre ▾ School of Transnational Governance ▾ Max Weber Programme ▾ Historical Archives ▾ Library ▾

Home » Services and Admin » ICT Service » Policy Documents » Acceptable Use Policy (AUP)

## User Responsibilities - Acceptable Use Policy (AUP)

As with other aspects of campus life, members are expected to know, understand, and abide by certain policies in their daily use of the Institute's computing, network, and information resources.

By becoming a member of the EUI you implicitly agree to said policies.

Some of these policies are driven by legal requirements, others are based on the fact that the network is a shared resource or are inspired by common sense about respecting the rights of others in the EUI community.

- [Computer Rooms and Office PCs](#)
- [Copyrighted Materials](#)
- [Email](#)
- [IT Security](#)
- [Network \(LAN and WiFi\)](#)
- [Passwords and Computing Accounts](#)
- [Patch Management and Cloning](#)
- [Personally-owned Devices](#)
- [EUI Licensed Software](#)
- [Use of Internal IT Resources](#)
- [User Support](#)
- [Consequences of Misuse](#)

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<a href="#">Parallel Computing</a>
<a href="#">Personally-owned Devices</a>
<a href="#">Printing Services</a>
<a href="#">Request Forms</a>

## Support for Access to and Use of Sensitive Data at the EUI

- Some data issuers require the EUI to guarantee extra security for access to, and use of, sensitive data
- EUI members who require support with contract workflow, infrastructure requirements and data management plans, should proceed as follows:
  - Write to [econlibrary@eui.eu](mailto:econlibrary@eui.eu) providing:
    - Name of data issuer
    - Title of dataset, with internet link (if available)
    - Names of all project participants, with email contacts
    - Details of access to, and use of, the data required:
      - Does the data issuer require a contract with the individual end-user(s)?
      - Does the data issuer require an institutional EUI contract ('guarantor') and/or signature of the EUI Data Protection Officer?
      - Are there special conditions regarding access to the data (eg. remote protocol)?
      - Are there special conditions regarding use of the data at the EUI?
      - Does the data issuer require that the data be used on a stand-alone, off-line computer?
      - Does the data issuer require that the data be used in a secured room?
      - Will any external project collaborators be working with the data?
      - Are any other requirements stipulated by the data issuer?
  - Some data providers require [EUI Ethics Committee](#) approval and/or [DPO](#) oversight. The Principal Investigator should initiate the request(s)
  - For data which is financed by EUI Departmental or Centre budgets, the local Financial Manager should be informed
  - If required by the data issuer, the ICT Data Security Officer can provide a description of ICT security protocols and infrastructure
  - EUI members who require a secured room - or dedicated PC - to access and use data, should contact their local Departmental / Centre Administrator.

# EUI Standard Infrastructure & Protocol Description

- Library & ICT staff will provide a standard description of the infrastructure and access protocols, when required by data issuers
- Write to [econlibrary@eui.eu](mailto:econlibrary@eui.eu)

# How to Submit Datasets to the Cadmus Repository

- ▶ EUI members can submit their research datasets for inclusion in the [EUI Research Data](#) collection in the Cadmus repository
- ▶ The first step is to complete the form below. The Library will then make an appointment for data transfer
- ▶ By submitting this form, EUI members certify that the dataset for deposit is the result of original data generation, or is the output of significant, value-added, elaboration of pre-existing sources
- ▶ Further information is available in the lower part of this page.



## Dataset metadata submission form

**Name of data submitter or principal investigator** ▼

First Last

**EUI email** ▼

**Title of dataset** ▼

**Name(s) of dataset creator(s)** ▼

**EUI email contact(s) of dataset creator(s)** ▼

# Research Data Services

- The EUI Library supports (i) data discovery (ii) data use and (iii) data preservation and sharing
- Write to Thomas Bourke, [conlibrary@eui.eu](mailto:conlibrary@eui.eu) for support.

## DATA PORTAL

The EUI Library [Data Portal](#) provides access to Library-licensed macroeconomic, micro-socioeconomic and Europe-related databases. 72 data resource guides provide information on coverage, variables, user networks, online manuals and terms and conditions of use. The [Data Portal](#) also provides information about the Library's restricted micro data server.

## DATA SERVICES

Click below for information about data discovery; data use; data management plans; data protection and copyright; data preservation and sharing; data in EU-funded projects and the EUI Research Data collection in the Cadmus repository. For assistance, please write to [resdata@eui.eu](mailto:resdata@eui.eu) or visit one of the Library information desks: Badia Fiesolani BF-085 or Villa La Fonte VLF-026.

## EUI Research Data

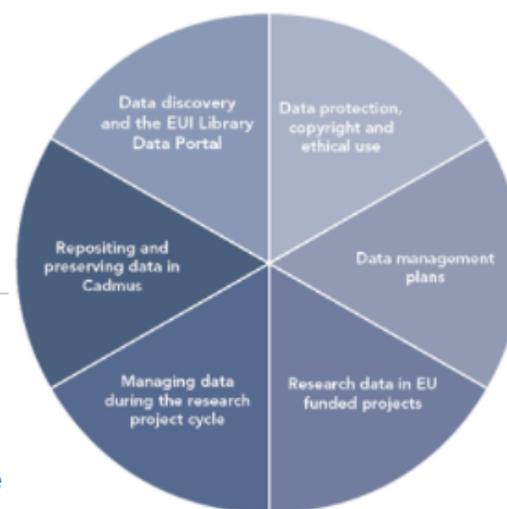
Researchers can submit their research datasets for the [EUI Research Data](#) collection in the repository. To submit a dataset for inclusion, complete the Library's [online form](#). Library staff take an appointment for transfer of data and documentation.



The EUI Library supports best practices for data discovery, data access, data management planning, data use, data protection, data preservation and data sharing. The information below is intended to help and support all members of the EUI academic community working with data throughout the lifecycle of their research endeavours, from initial data collection, discovery and access up to the sharing of original research data outputs. This page is based on the 2021 (9th edition) EUI Library [Research Data Guide](#).

## 1. DATA DISCOVERY AND THE EUI LIBRARY DATA PORTAL

The Library maintains a [Data Portal](#) providing access to licensed resources for EUI members and introduces open data resources of relevance to EUI research themes. All 80 resources indexed in the Data Portal have an online guide with (i) data description and scope (ii) time-period coverage and release/wave information (iii) support links (online manuals, software transfer routines, user networks) and (iv) terms





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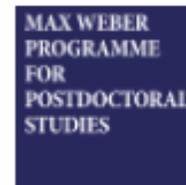
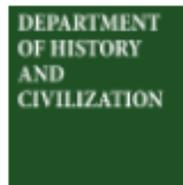


Technical Reports



Others

## Explore Cadmus by EUI Academic Units



# Metadata

- Title, names of creator(s)
- Description – ‘data abstract’
- Source(s)
- Creation date
- Spatial / temporal coverage
- Format
- Location of data
- Access status and embargo
- Licence
- Funding Statement
- Related publications



## Recent Submissions



**Title:** [Dataset of turnout rates for mobile EU citizens in European Parliament and municipal elections 2009-2018, v.1.1](#)  
**Author(s):** [HUTCHESON, Derek S.](#); [RUSSO, Luana](#)  
**Date:** 2021  
**Type:** Dataset  
**Series/Number:** EUI Research Data; 2021; Robert Schuman Centre for Advanced Studies; GLOBALCIT  
**Abstract:** The dataset contains information on turnout in the most recent municipal elections prior to 1 January 2019 to which EU Directive 94/80/EC applied, and also to the two most recent European Parliament elections prior to the ...



**Title:** [Differentiated integration and the EU member states : salience and governmental positions](#)  
**Author(s):** [BADULESCU, Claudia](#) ; [TELLE, Stefan](#)    
**Date:** 2021  
**Type:** Dataset  
**Series/Number:** EUI Research Data; 2021; Robert Schuman Centre for Advanced Studies  
**Abstract:** The dataset covers governmental positions on differentiated integration as well as the salience of differentiated integration in governmental discourses in 27 EU member states. The assessment is based on in-depth analyses ...



**Title:** [Panel dataset on non-trade policy outcome indicators \(v2\)](#)  
**Author(s):** [MANCHIN, Miriam](#)  
**Date:** 2021  
**Version:** The dataset documentation is available in: MANCHIN, Miriam, Description of version 2 of the panel dataset on non-trade policy outcome indicators (NTPOID\_v2), EUI RSCAS, 2021/02, Global Governance Programme-430, [Global Economics] Retrieved from Cadmus, European University Institute Research Repository, at: <https://hdl.handle.net/1814/69596>  
**Type:** Dataset  
**Series/Number:** EUI Research Data; 2021; Robert Schuman Centre for Advanced Studies  
**Abstract:** This dataset covers an extensive range of non-trade policy outcomes which can be found in trade agreements. The variables measuring these various non-trade outcomes are grouped along four main categories: (1) economics and ...



**Title:** [Regional authority index \(RAI\) v.3](#)

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[Survey data](#) (8)



# Dataset (output) as original work and source(s) of data

## EUI Library dataset submission form:

- The scholar(s) submitting the dataset for deposit must be the creator(s) of the dataset
- The dataset must be the output of original data generation; or must be the output of significant, value-added, elaboration of pre-existing sources
- The source(s) of the data must be indicated. If the dataset is the output of original data collection and elaboration, details must be provided. If the dataset is derived from pre-existing sources, those sources must be clearly indicated (data creator, institutional source, publisher).

# Wrap-up and forward guidance

# Let me stress again...

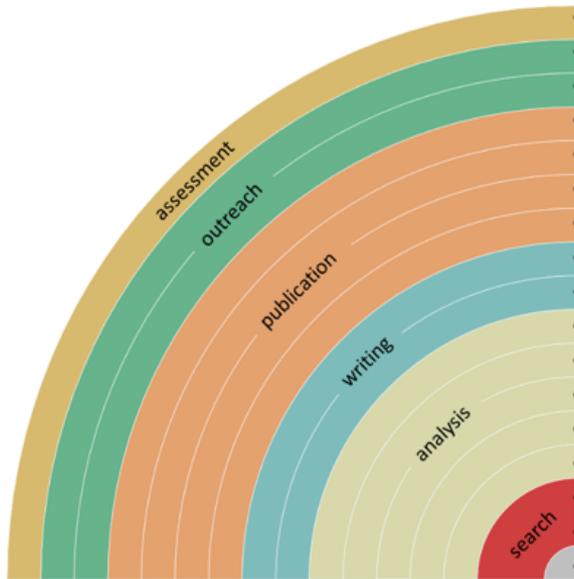
- In the proposal you need to address both how you will comply with **mandatory** practices and you will adopt **recommended** practices
- Evaluation under “**Excellence**” criterion and “**Quality and efficiency of implementation**” criterion
- Let’s have a look at a **summary of practices...**

# Mandatory/recommended practices

What?	How?	Mandatory in all calls/recommended
<b>Early and open sharing of research</b>	Preregistration, registered reports, preprints, etc.	Recommended
<b>Research output management</b>	Data management plan (DMP)	<b>Mandatory</b>
<b>Measures to ensure reproducibility of research outputs</b>	Information on outputs/tools/instruments and access to data/results for validation of publications	<b>Mandatory</b>
<b>Open access to research outputs through deposition in trusted repositories</b>	<ul style="list-style-type: none"> <li>• Open access to publications</li> <li>• Open access to data</li> <li>• Open access to software, models, algorithms, workflows etc.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Mandatory</b> for peer-reviewed publications</li> <li>• <b>Mandatory</b> for research data <b>but</b> with exceptions ('as open as possible...')</li> <li>• Recommended for other outputs</li> </ul>
<b>Participation in open peer-review</b>	Publishing in open peer-reviewed journals or platforms	Recommended
<b>Involving all relevant knowledge actors</b>	Involvement of citizens, civil society and end-users in co-creation of content (e.g. crowd-sourcing, etc.)	Recommended

# Open Science is a **process**

You can make your workflow more open by ...



- adding alternative evaluation, e.g. with altmetrics
- communicating through social media, e.g. Twitter
- sharing posters & presentations, e.g. at FigShare
- using open licenses, e.g. CC0 or CC-BY
- publishing open access, 'green' or 'gold'
- using open peer review, e.g. at journals or PubPeer
- sharing preprints, e.g. at OSF, arXiv or bioRxiv
- using actionable formats, e.g. with Jupyter or CoCalc
- open XML-drafting, e.g. at Overleaf or Authorea
- sharing protocols & workfl., e.g. at Protocols.io
- sharing notebooks, e.g. at OpenNotebookScience
- sharing code, e.g. at GitHub with GNU/MIT license
- sharing data, e.g. at Dryad, Zenodo or Dataverse
- pre-registering, e.g. at OSF or AsPredicted
- commenting openly, e.g. with Hypothes.is
- using shared reference libraries, e.g. with Zotero
- sharing (grant) proposals, e.g. at RIO



# We are here to help!

**Open Science Team  
Weekly Chat**  
Every Thursday  
11:00 – 11:30 on  
appointment

## Questions?



Thomas Bourke  
Info Specialist ECO



Lotta Svantesson  
Open Science  
Office Coordinator



Simone Sacchi  
Open Science Librarian



Monica Steletti  
Special Collections & STG

### Library Open Science Team



Laia Darbra Martinez  
Open Science Trainee



Paolo Baglioni  
Systems Analyst



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[cadmus@eui.eu](mailto:cadmus@eui.eu)



@CadmusEUI  
@simosacchi  
@lottasvantesson