



## 5th Meeting of the Commission expert group on National Points of Reference (NPR) on Access to and Preservation of Scientific Information

Brussels, 5 December 2017

### MINUTES

#### Session 1: EC Open Science/OA Developments, Part I

**JF Dechamp (RTD)** presented the Open Science/Open Access policy for optimising the publicly funded scientific research. Particular reference was made on the Recommendation 2012, the FPs' contribution (e.g. funding, Data Management Plans, EOSC) and the European Cloud Initiative. Considerable progress has been made from the pilot Open Access (2008) to the (by default) Open Research Data initiative (2017). The intention is that FP9 will embed important elements of Open Science in its design; remaining challenges: to increase the OA success in H2020, to mainstream FAIR data, to work more towards Open Science, in view of FP9.

The EOSC state of play was presented by **V. Tsoukala (RTD)** and **M. Májek (CNECT)**. DGs RTD and CNECT are working together on this initiative that consists of 3 pillars: EOSC, EDI/HPC and Widening Access. They presented the progress so far according to the actions planned in the European Cloud Initiative Communication in EC and the expected calls for proposals (2018-2020) for EOSC e-Infrastructures and policy support. There are ongoing discussions with member states for aligning their resources, especially beyond 2020, as well as discussions regarding the governance of the EOSC.

**C. Ramjoue (CNECT)** presented the 2018 Data Package and the vision to make research, business and public data combinable and re-usable. For business data (e.g. machine generated data, B2B sharing and trade, free flow of data, portability, common standards and interoperability, private data for public interest), the EC consultation indicated that guidance, rather than regulation is needed. For public/government data (e.g. re-use for commercial/non-commercial purposes, EU Open Data portal, open access to para-public data, dynamic data), the online consultation ends next week. For the scientific data, the Recommendation 2012 will be revised, so there is an opportunity for changes.

#### Comments from NPRs & EC replies:

- Policies support opening up public data, but, at the same time, there is new legislation on IPRs, data protection, etc. (AT). Contradictions do exist, but there are also mechanisms to find a balance. Especially for business data, IPR has to be clear for opening (DE).
- A clear definition of "openness" under EOSC is needed (DE). EC referred to the principle of "open as possible, closed as necessary" and the FAIR data. Aligning national and institutional policies and practices is discussed with diverse stakeholders.
- Regarding the incentives for researchers to share their data (DE), EC clarified that funders, member states and institutions should promote OA through their policies, including funding. This is also a cultural change and it is expected to take time.
- Associate Countries that are interested in OA policies (BA) could profit from SWAFS projects and other initiatives on policy support. E-Infrastructures provide access to services, not policies.
- For the stakeholders, that have already endorsed the EOSC Declaration, there is no clarity on the next steps (CH). EOSC is moving from vision to implementation and the latter is a joint responsibility with the member states. Many actors are involved, leading possibly to complexity, inaccuracy. As the process evolves, it becomes clearer. For enhancing the engagement of stakeholders in EOSC (IE), signing the Declaration is indeed the first step. For other proposals, stakeholders can contact directly the Commission.

- Regarding the universal access through EOSC (CH), EC clarified that the access of non-European researchers depends, for example, on whether they participate in an EU project, or not. The aim is to broaden access in the future, but, at this stage, there is no straightforward answer.
- H2020 Programme Committees should be informed about the Open Access/Open research Data policies (CH). EC clarified that PC members are informed from the perspective of their mandate, which is the implementation of H2020.
- Regarding the monitoring of OA/ORD benefits (CH), there are some ongoing reports, e.g. a study on the researchers' attitudes to OA/ORD (to be published in 2018). For monitoring the implementation of OA/ORD (IT), there are published reports (e.g. report on skills/rewards).
- For the revision of the Recommendation (IE), it has been underlined that changes for the scientific data are rather incremental. Through the Recommendation, EC encourages member states to take action. Changes should be supported by the research community, but mandates can help to this direction.
- Regarding PSI, there could be difficulties in opening administrative data (e.g. UK, competition among Universities; probably more difficult than opening scientific data).

## **Session 2: Developments across Member States, Part I**

V. Tsoukala (RTD) presented the main conclusions of the 2<sup>nd</sup> NPR Report and the next steps. The report (covering 2015-2016, EU-28 & Turkey, Norway, Croatia and Switzerland, as well as an Annex with reporting from West Balkan countries (Albania, Kosovo, FYROM, Montenegro, Bosnia-Herzegovina) will be published in March 2018. It stems from a consultation process that took place throughout 2017. Some of the findings are the below:

- Overall, the Recommendation is considered to be "very valuable", and the OA situations in MS are considered to have from "slightly" to "significantly" improved, but obviously more work is needed.
- 2/3 support a move from soft to harder policy implementation.
- OA policies to publications: only half of countries conduct a thorough monitoring of the situation; there is progress but still a third of countries report that none of the research funders have a specific OA policy to publications, the majority of countries report that "some of them" have one.
- The progress of OA policies to research data is very poorly monitored by countries and reveals to be very slow (national policies or strategies are only at discussion stage or inexistent, only a third have one).
- Copyright is considered to be a complex issue and the current situation is unfavourable to researchers
- Support to TDM is only at discussion stage
- Much more concrete developments on e-Infrastructures where most of the countries have plans/policies/strategies at least in discussion, if not adopted (clearly the EU actions play a role in the development of quality standards, interoperability in cloud services).
- Rewards and skills: not tackled or only at institutional level. Obviously, pushing national governments in this direction would make a difference.

NPRs reported their progress, as follows:

- AT: ongoing agreements with Universities; requirement of OA/ORD from grantees as of next year
- BE: initiatives at community/federal level, incl. forthcoming law for secondary publication right, federal open access repository (ORFEO), recommendations for OA roadmap at the Flemish level, the DMP Belgium for a common DMP template; federal mandate is expected in the spring; legal deposit to be extended to the digital medium as well as was the case in NL
- DK: recommendation to Ministries to scale down the target of 100% OA by 2020; cost-benefit analysis for introducing FAIR data is being carried out to be published in 2018; early results of the study suggest that FAIR data will benefit the business sector; benefits take long time to materialize.
- CZ: national OA strategy (2017, not mandatory); action plans to be approved in the next months; government change could change things
- DE: federal strategy developed in 2016; has a mandatory OA clause for funded projects; Information campaign; a post-grant fund for open access publishing was set up; OA national monitor to be set up; National Research Data Infrastructure being implemented at federal and state level; national deposit and secondary publication right also exist in Germany; case against the mandatory clause for open access in institutional policies in German constitutional court.
- EE: OA cost-benefit analysis on research data to be carried out; follow-up analysis for Recommendation-2016; National Council for Research grantees are required to produce DMPs

- IR: national Open Research Board established; WGs in different topics, feeding the strategy, based on national principles established a few years ago; discussion on OA platform like the one the EC proposes; monitoring of OA to publications is taking place; there is a national CRIS system
- BA: Commitment to implement ERA principles; there is an improvement in the country; great benefit of participating in the EU networks.
- ME: first steps to implement OA policies are being taken; policies to be presented to national council next year for adoption; no general policy about open science in the country.
- AL: OS will be included in national strategy for research and innovation
- EL: National Strategic Framework for OS; WG led by the General Secretariat for Research and Technology (OpenAIRE involved); will record national initiatives;
- HR: national repository for OA journals with 450 journal; currently improving tools for access; national repository infrastructures is new: more than 100 repositories; no top-down initiatives from the government.
- IT: OA moving slowly in IT; forthcoming initiatives for ORD in RIs; universities disposing in CINECA repository, or interoperable ones; co-development of common DMP template, adopted by U Milan and to be evaluated for general use by the Council of Rectors; The H2020 mandate on data was a push for IT.
- CY: national strategy for OA, to be implemented by national funding agency; awareness events; working on national monitoring mechanism
- LT: OA guidelines published in 2016, evaluation expected in 2018; DMPs compulsory in grants, as of 2018; interest to integrate in the EOOSC; LT lacking in e-infrastructures
- HU: good progress in OA with policies but low compliance; ORD not in radar so far; expert group on OA Roadmap (2017)
- MT: OA policy in University of Malta, repository for all researchers; no government policy, but liaising with government on this.
- NL: national plan for OS. Ambition: target of 100% OA by 2020; research data management; recognition/rewards; support for promotions; OS platform launched; monitoring progress of national plan. New government: OS and OA to be the new norm; go fair initiative on data started in NL.
- PL: OA difficult in PL; only small steps; OA Conference expected
- MK: repository developed, currently tested, available as of next year; currently 10 OA journals; no policy
- NO: OA national guidelines published in 2017; Research Council requesting OA in the funded projects; awareness activities; national negotiation on offsetting deals, collaboration with other countries through EUA; new national platform for SSH journals; cost of OA to publications worrisome; National strategy on research data to materialize soon; RC will require DMP as of 2018; largest universities with policies or underway.
- KS: no national strategy so far; National Library's platform to be launched for OA in 2018
- CH: National OA strategy and implementation plan in 2017; ORD mandate: DMPs compulsory for Swiss Research Council grantees as of 2018 at the proposal stage; DMPs publicly accessible at the end of project; costs for data repositories claimable only for public repositories;
- RS: OA expert group and policy paper expected by end of year; inclusion of OA/DMPs in funded projects; green OA preference, funding a problem for gold OA; no national infrastructure for repositories a problem; use of OpenAIRE
- SI: OA strategy and action plan adopted in May 2017; fully aligned with H2020
- SK: action plan for OA in 2017 in the context of Open Government Partnership (OGP); national repository in progress; OA expert group (2016)
- FI: digital preservation infrastructure up and running; question becomes which datasets to preserve; country is enhancing its CRIS system; PIDs are used; interest to renew the country's HPC system; vision for Research & Innovation till 2030, OA included; Openness a cross-cutting issue also for educational resources.
- SE: WGs on research data, OA fees, etc.; discussion on integrating DMPs in proposals' evaluation; tool to improve registry of datasets supported by Research Council; investigate how much SE researchers paying for APCs; supports DOAJ; will fund activities to support data stewards.
- UK: ongoing work on high level position for Open Science ; there is a new funding body: UK Research and Innovation; ORD concordat of 2016 agreed by funders; task force on ORD for developing a roadmap to be published early 2018; recommendation for OA metrics (Wellcome Trust, Gates Foundation); e-infrastructures discussed also in the context of the EOOSC; UK supports gold open access but green is also important; report on the status of the OA implementation published 5/12/2017 for the consideration of the Minister; ministerial position is that OA to research is fundamental good.

### Session 3: EC Open Science/OA Developments, Part II

**D. Spictinger (RTD)** presented the proposal for Open Research Platform. A public procurement is foreseen in WP2018, but the tender is not yet launched (expected by end 2017, or January 2018). The contract will be for 4 years, covering the e-infrastructure, the publication/review process and communication activities. The response of NPRs was overwhelmingly positive and feedback included the following: reports for similar initiatives in MS (DE, IE). IE suggested that it can collaborate with the EC to provide know-how on their recent experience. Platform is an excellent vehicle for discussion. Some MS thought this may be a significant development and congratulated the commission (DE, NO, BE, IE, HR, NO). They also asked whether collaborations with national funders are considered by the EC and coordination (DE, BE).

Clarifications were given on the following:

- A minimum number of published articles is expected for the whole period of 4 years (not calculated per year); the estimation is based on current data from FP7 and H2020;
- The initiative will not duplicate the work of other funders; the collaboration with national funders is significant and will be mentioned in ToR;
- The platform could follow the disciplines/structure of H2020; Researchers under FP projects will be able to publish in the platform for free;
- High quality peer review is foreseen; open peer review (different approaches) could apply;
- Big publishers can apply;
- Long-term sustainability plan will be included in the proposal.

**C. Ramjoue (CNECT)** presented the plan for revision of the Recommendation 2012. The draft is expected between December 2017 and February 2018. The adoption is estimated in spring 2018. A hearing on PSI Directive is also scheduled for January 2018. NPRs were requested to contribute with proposals on policy and technology issues.

Feedback regarding the review of the Recommendation included the following:

- Need for stable policy environment (the Recommendation is still valid) and KPIs for public platforms; Trend towards publishing platforms (UK); Recommendation 2012 is good and comprehensive; Route indicated is still valid, but need to be strengthened (DE);
- Research indicators (altmetrics), openness in data underlying research (UK); Need for open science metrics, which could be followed alongside traditional metrics for the transition period (IE);
- Decreasing costs and increasing visibility of research is good, but quality also matters; it is not clear how to ensure it; Need research on research (CH);
- TDM, copyright (R&D exception in copyright law in Estonia) and secondary publishing right (to enable publishing in repositories) to be included/considered (EE, DE); member states need to follow the same framework on larger scale (e.g. secondary publishing right) to have an impact; Need for guidance on GDPR implementation (IE);
- Importance of preservation; Discoverability issue, especially for green OA (HU);
- Linking career openness with incentives for Open Science to be considered (DE); Certification, researchers trained in open science (IE);
- FAIR principle, DPMs: the research community is ready; the issues should now be brought at institutional level (IE);
- Research results should be released at earlier stage; an overall Open Science concept is needed; access from publications/data to all objects, ideas, workflows, etc. (IT);
- Ethics, research integrity to be considered (IE);
- Open review of proposals; open process for funders; (FI)
- New publishing business models are needed and you should be supported (HR);
- For the technical aspect, NPRs proposed more guidance on: citation, linking, PIDs (EE); the role of private platforms (DE); machine-readability policies (UK); provenance, traceability (IT); reproducibility (CH);
- The need for cooperation among member states on repositories and platforms was mentioned (AT). It was proposed that the sustainability of infrastructures like OpenAIRE and DOAJ should be compulsory (contributions by member states);

- It should be clarified where EOSC is a rule of engagement, and where it is merely recommended (EE);
- There are many national initiatives across MS, role of the EC is important, but more intergovernmental coordination would also be needed (AT).

More proposals can be sent to the Commission by the end of the year (deadline: Christmas).

#### **Session 4: Developments across Member States, Part II**

I.V. Nieuwerburgh presented how OpenAIRE NOADs can assist the NPRs. EC strongly supported the collaboration of NOADs and NPRs, especially for reporting to the Commission on the OA/OS policies. RCC (the Western Balkan Countries Council) to connect with OpenAIRE to see whether participation is possible in the future.

The developments in Open Science in Austria and Finland were presented by P. Seitz and S.Niinimäki respectively. The Austrian representative reported significant progress in AT in the last two years at the policy and infrastructure level: recommendations by the Open Access Network Austria were adopted by the government in 2016; along with the open innovation policy, the digital roadmap, and the Vienna principles for scholarly communication. The FWF funding policy requires open access and supports OA to research data; several infrastructure projects were funded to follow up the Amsterdam call for Open Science. The project Austrian transition to Open Access (AT2OA) funds four strands of work to support full open access to research funded in Austria.

Finland also reported significant progress, with the strategic plan for Open Science and Research 2014-2017 being towards its end. The goal has been to make Finland a leader in openness in science by 2017. Finland implements different comprehensive measures to enhance open science, as well as measures indicators of success in the country, the funders and the HEIs: open science is supported through funder requirements, institutional maturity assessments, training, and a framework architecture and supporting service stack. The country has significant progress both at the policy, infrastructure levels and in embedding open science in HEIs to a large extent.