



Policy report on joint policies and strategies for Eutopia institutions on developing and integrating the Open Science agenda (Model policy on Open Science for EUTOPIA institutions)

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DRAFT	24/02/2021	UPF	DRAFT STRUCTURE
DRAFT-v1	15/03/2021	UL, VUB, CY, GU, UoW	COMMENTS AND FEEDBACKS
V1	27/05/2021	UPF	INTEGRATION OF COMMENTS AND FEEDBACKS
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V2	05/05/2022	UL, VUB, CY, GU, UoW	COMMENTS
V2	29/06/2022	UPF	INTEGRATION OF COMMENTS; FINAL VERSION

Institutional Abbreviations

UNIVERZA V LJUBLJANI	UL
VRIJE UNIVERSITEIT BRUSSEL	VUB
CY CERGY PARIS UNIVERSITÉ	CY
GÖTEBORGS UNIVERSITET	GU
UNIVERSITAT POMPEU FABRA	UPF
UNIVERSITY OF WARWICK	UoW

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1. Introduction

The present model policy is meant as a shared roadmap that aims to assist EUTOPIA institutions in developing policies for Open Science. The work has been carried out within Eutopia 2050's Work Package 3 (WP3), entitled 'Integrating and Opening Research, Innovation and Knowledge Creation in EUTOPIA'. SubWP3.4 is devoted to the Advancement of Open Science. The first output in SubWP3.4 was the document 'Towards a best-practices report for Open Science'. One of the proposed lines of work listed in the conclusion of this document, which is in line with the stated goals of the Eutopia 2050 project proposal, is the development of a shared Open Science model policy which can then be locally adapted to each of the EUTOPIA universities.

Since the policy described in this document is an ideal model policy, several of the points it includes are expressed in rather maximalist terms. Given EUTOPIA's commitment to openness, the elements included in the policy should be seen, to a large extent, as desirable goals. This is, of course, perfectly compatible with diverse particular strategies developed at each institution for different components of open science and with the pace of progression on the application of these strategies.

In sum, the model policy is to be taken as a convenient encompassing roadmap for EUTOPIA institutions, from which to draw inspiration to work and advance in the fulfillment of Open Science, as a whole or in a modular fashion, over the next few years.

The proposed model policy is based on the OpenAIRE "[Model Policy on Open Science for Research Performing Organisations \(RPOs\)](#)"¹ and takes into account the following documents:

- [Directive on open data and the re-use of public sector information \(Directive \(EU\) 2019/1024\)](#);
- [Council conclusions on the New European Research Area](#);
- [Council conclusions on the European Universities initiative - Bridging higher education, research, innovation and society: paving the way for a new dimension in European higher education](#);
- [Regulation \(EU\) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation](#),

¹ At the same time, this policy draws heavily on the [UNESCO Open Access policy development guidelines](#), the [MedOANet guidelines for Open Access](#), [PASTEUR4OA Toolkit](#) and [Policy Guidelines](#), the [RECODE](#) project policy recommendations for Open Access policies to research data, the [LEARN](#) project Model Research Data Management Policy, [the policy working group of the EOSC Pilot project](#), and the [SPARC Europe report on Open Data and Open Science policies in Europe](#).

[laying down its rules for participation and dissemination, and repealing Regulations \(EU\) No 1290/2013 and \(EU\) No 1291/2013;](#)

- [Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on the Global Approach to Research and Innovation: Europe's strategy for international cooperation in a changing world.](#)

This model policy has been elaborated in a two-step process. In the first step (Feb-June 2021), an initial draft document was circulated among librarians and other specialists at each university. After three rounds of discussion, and as part of the second step, the revised document was distributed among relevant policy-makers (July 2021-June 2022). The Annex includes a list of the people from each institution involved in this two-step process. [2nd step to be completed]

2. Model Policy on Open Science for EUTOPIA institutions

1 Preamble

1. The [Name of EUTOPIA institution] commits to the advancement of science and the wide dissemination of knowledge to the benefit of society by adopting practices on open, reproducible and responsible research.
2. The [Name of the EUTOPIA institution] recognizes “openness” as one of its guiding principles and commits to promoting it by –among others- encouraging and supporting research processes and tools that encourage collaboration, enabling new working models and new social relationships, stimulating the dissemination of knowledge and the accessibility and re-usability of research outputs, encouraging open access to publications and research data and facilitating the necessary infrastructure to support open science.

2 Jurisdiction and Effect of Policy

The Policy applies to all researchers active at [Name of EUTOPIA institution]. In cases where research is funded by a third party, any agreement with that party concerning access rights, deposit and storage takes precedence over this Policy.

The Policy has been approved by [dean/ commission/.....] and takes effect from [dd/mm/yy]

3 Rights, Responsibilities, and Duties

3.1 The [Name of EUTOPIA institution] is responsible for:

1. Supporting and empowering the transition to Open Access/ Open Science through education, training and awareness-raising actions targeting researchers and other employees, along with the provision of the necessary infrastructure and funding to support this transition. Acquisition

of Open Science skills should form an integral part of professional training and career development offered to researchers.

2. Establishing (if one does not yet exist) an Institutional Open Access Repository [[Name of the Repository](#)] according to international standards, containing digital content and providing advanced tools for search, navigation and Open Access to its content.
3. Mandating the use of unique identifiers like DOIs and Handles for publications and research data, ORCID for researchers or other identifiers.
4. Appointing a Data Officer (DPO) responsible for all data related matters, including the supervision of research data issues, e.g. development of Data Management Plans (DMPs) and compliance with GDPR and other relevant legislation, data curation and stewardship.
5. Developing and providing mechanisms and services for the storage, safekeeping, registration, deposition and distribution of research data and other records as well as their long-term preservation and providing appropriate guidance to researchers.
6. Encourage Open Science practices in recruitment, research assessment and evaluation criteria beyond the provision of open access to publications and research data, like participation in citizen science projects, experimentation with open peer review or the use of Open Educational Resources (OER).
7. Monitoring compliance with the Open Access Policy to publications. Based on the number of total OA publications with regards to the number of total publications collected in the CRIS or analogous infrastructure.
8. Compiling information and producing reports related to publishing costs when following the Gold route respectively and engaging in discussions concerning agreements with publishers. Information will also be collected in relation to RDM costs, where this information is available.
9. Ensuring the compliance of the institution's research data repository with certification requirements in relation to FAIR data principles and EOSC technical specifications.
10. Having intellectual property rights (IPR) and data protection policies that can support open science.
11. Having an Open Licensing policy mandating a coherent and comprehensive set of licenses for releasing content and research data.
12. Having instructions and other specific supporting documentation on IPR for all resources to be released, which must take into account the legislation, regulations and policies of the country and the institution and make best endeavors to ensure that all material made open access has a clear reuse statement associated with it.

3.2 Researchers are responsible for:

1. Managing publications, research data and educational resources in adherence with the principles and requirements expressed in this Policy.
2. Complying with the organizational, regulatory, institutional, and other contractual and legal requirements related to the production, curation, deposit, management, and distribution of publications and research data in case there is no other agreement with third parties taking precedence.
3. Ensuring that the principles governing the handling of research data (in adherence with the present Policy and funders' mandates) are included in a Data Management Plan (DMP). DMPs should also include a sustainability plan. Contact details should also be included.
4. Compiling a DMP for every relevant research activity they are coordinating.
5. Documenting the IPR status of their research
6. Choosing the type of licensing for their research data at the point in time that they consider appropriate

4 Open Access to Publications

The [\[Name of EUTOPIA institution\]](#):

1. Requires researchers to deposit in the institutional repository or other equivalent compliant repository sanctioned by the home institution, a machine-readable electronic copy (this includes an electronic version of the paper with machine-readable metadata) of the full text, i.e. published version (including final layout) or final peer-reviewed manuscript, as well as the related metadata before, at the same time or after publication. Researchers are responsible for the timely deposit of their publications in the institutional repository. This step also applies in the case of open access publishing ("Gold Open Access").
2. In the case of "Green Open Access", the [\[Name of EUTOPIA institution\]](#) requires the full text of all publications referred to in 4.1 above to be made available immediately in open access, retaining sufficient intellectual property rights, if possible under a standard open license as CC BY. For monographs, the deposit remains mandatory, but access is closed until the publisher embargo elapses. (monographs: CC BY-NC, CC BY-ND).
3. Requires the metadata of the publication to be made openly accessible in the case of 'closed' publications with the aim to increase their visibility.
4. For purposes of individual or institutional evaluation of the research output of the institution and its members, [\[Name of EUTOPIA institution\]](#) will only consider as publications those whose

metadata and full texts are deposited in an institutional repository according to the requirements stated above.

5. Encourages its members to retain ownership of copyright and to license to publishers only those rights necessary for publication. This is possible through the use of addenda to the publishing contract. Templates are available at [SPARC](#) and [cOAlition S Rights Retention Strategy](#).
6. Encourages researchers to deposit in the institutional repository publications authored prior to the date of effect of the current policy and make them openly accessible whenever possible.

5 Research Data Management

The [\[Name of EUTOPIA institution\]](#):

1. Requires researchers to deposit the research data needed to validate the results presented in scientific publications in a suitable repository such as [\[Name of Repository/Research infrastructure\]](#). Research data should be provided with persistent identifiers.
2. Requires that research data and services are handled according to open and FAIR principles (i.e. Findable, Accessible, Interoperable and Re-usable). Research data should be traceable and whenever possible available for subsequent use.
3. The [\[Name of Repository/Name of the research infrastructure\]](#) follows the principle “as open as possible as closed as necessary”. If research data cannot be open due to legal, privacy or other concerns (for example sensitive data or personal data) this should be clearly explained. Metadata ensuring that research data are findable should be provided in all instances.
4. The [\[Name of EUTOPIA institution\]](#) will work towards adopting the EOSC requirements for monitoring of open science resources.
5. Requires researchers to submit a DMP to the appropriate service for every relevant research activity they are coordinating.
6. Requires researchers to define post-project usage rights through the assignment of appropriate licenses.
7. Requires that research data are stored for a period as defined by the respective communities.
8. The minimum archive duration for research data is 10 years after the assignment of a persistent identifier. In the event that these records need to be deleted or destroyed after the expiration of the required archived duration or for legal and ethical reasons, such actions need to consider all legal and ethical perspectives.

6 Open Science

1. The [\[Name of EUTOPIA institution\]](#) actively encourages the uptake of Open Science practices (beyond open access to publications and research data) such as the involvement in citizen science projects, the use of open peer review, the use of open educational resources, the release of research data and content under open and standard open licenses, etc., and tracks their uptake.

7 Infrastructure

1. Ensuring that the [\[EUTOPIA institution Repository\]](#) meets trusted quality standards (OpenAIRE compatible, meeting FAIR principles) and are linked with EOSC. The metadata would also be available to a future EUTOPIA portal.
2. Ensuring that the [\[EUTOPIA institution Repository\]](#) is registered in appropriate registries and interoperable through the OpenAIRE Metadata Schema for Repositories.

8 Research Assessment and Evaluation

The [\[Name of EUTOPIA institution\]](#) commits to:

1. Developing in cooperation with the other EUTOPIA institutions, funding agencies and institutional departments and other appropriate units a framework for research assessment and evaluation that incentivizes research quality and Open Science behaviors and practices following European developments on the topic and the work of the European Open Science Policy Platform. Such systems should take into consideration disciplinary differences and their impact on researchers at different career stages.
2. Setting up reward mechanisms for researchers using Open Science practices (e.g., sharing provisional results through open platforms, using open software and other tools, participation in open collaborative projects (citizen science) etc.)
3. Sign the San Francisco Declaration on Research Assessment (DORA) or another analogous declaration.

9 Training

1. The university, through the appropriate units (such as the Library, legal services, research support staff, RDM experts, etc.) commits to developing training courses to facilitate the adoption of open science and equip researchers and librarians and other support staff with the necessary skills and expertise. Such training courses should include skills necessary for open access publishing, open research data and data management and research integrity.
2. Training should be tailored to different disciplines and delivered to researchers at all career stages and should be embedded into curricula.
3. Appropriate funding for these activities should be ensured and to that end synergies with RFOs and other stakeholders should be sought.

10 Validity of the Policy

This policy will be reviewed and updated by the [\[head/director\]](#) of the [\[Name of EUTOPIA institution\]](#) every [\[two years\]](#). The reviewing cycles of the different institutions should eventually converge in the interest of further policy alignment.

3. Annex 1: Definitions

- **Gold Open Access:** the process of achieving open access through publication in an open access journal (open access publishing).
- **Green Open Access:** the process of providing open access through an open access repository (also known as “self-archiving”).
- **Machine-readable copy** of a publication is a publication in a format that can be used and understood by a computer.
- **Metadata** are the descriptors used for describing, tracing, use and management of the deposited item (indicatively: title of publication, author(s), institutional affiliation, name of journal where the publication has been accepted).
- **Open Educational Resources (OER)** according to the OECD are “teaching, learning and research materials that make use of tools like open licenses that permit their free reuse, continuous improvement and repurposing by others for educational purposes”.]
- **Open Peer Review** is defined as a scholarly review mechanism where both the identities of the reviewer and the author are known to one another during the review and publication process.
- **Publication** is defined as the peer-reviewed published (or under publication) work of researchers based in the institution.
- **Research Data** is the data (such as statistics, results of experiments, measurements, observations, interview recordings, images, etc.) used to validate the results presented in scientific publications or other data used during a project and described in the Data Management Plan.
- **Research** is defined as any creative and systematically performed work with the goal of furthering knowledge.
- **Researcher** is defined as any member of the research staff of [Name of EUTOPIA institutions], of all levels and irrespective of their employment status including employees and doctoral students. Official definition by Euraxess <https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors>.
- **Suitable Repository** is one that meets quality standards like FAIR Principles, OpenAIRE compatibility, CoreTrustSeal.

4. Annex 2: List of people involved

First stage (librarians and other specialists)

Draft:

UPF: Mireia Alcalà, Anna Casaldàliga, Marina Losada, Enric Vallduví

Comments and feedback:

UL: Mojca Kotar

VUB: Elisa Maes

CY: Segolene Trapletti, Arnaud Boissiere

GU: Rangnar Nilsson

UoW: Yvonne Budden, Robin Green

Second stage (policy makers)

The following Vice-rectors / Vice-presidents / Deputy Vice-Chancellors / Pro-Vice-Chancellors for Research participated in the second stage and formally validated the model policy on open science on June 29, 2022 in a meeting held during the Eutopia Week at VUB (June 27 – July 1):

UL: Anton Ramšak

VUB: Karin Vanderkerken

CY: Frédéric Vidal, Arnaud Lefranc (Director of International Scientific Development)

GU: Carina Mallard

UPF: Enric Vallduví

UoW: Kerry Kirwan (Deputy Pro-Vice-Chancellor)