PRACTICAL GUIDE ON OPEN SCIENCE

Deliverable 1.2

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PP = Restricted to other programme participants (including the Commission Services)

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Authors' affiliations

Luisa Barbosa - Coordinator of international projects at the Studies Centre on Science, Communication and Society of the University Pompeu Fabra. Ambassador of Responsible Research and Innovation and public engagement in science.

Elisa Albiñana - Biology student at the University of Valencia. Intern in science communication at the SCS-University Pompeu Fabra.

Sabine Haas - Researcher at Reiner Lemoine Institute in the Transformation of Energy Systems Unit. Project manager focused on Open Science approaches in photovoltaics research.

Pilar Rico - Director of the Unit for Open Access, Repositories and Journals of the Spanish Foundation for Science and Technology (FECYT).

Oscar Corcho - Full professor and director of the Ontology Engineering Group at the Universidad Politécnica de Madrid. Co-founder of Localidata, a spin-off that finds value in open and closed data in the context of smart cities. Member of the European Open Science Cloud (EOSC) Executive Board Working Group on FAIR.

Teresa Malo - Director of the Library service of the University Carlos III of Madrid. She has been the Technical director of the National Library of Spain.

Giuliana Rubbia - Vice president of the Italian Association Women and Science and Senior Technologist at Istituto Nazionale di Geofisica e Vulcanologia.

Ludwig Hülk - Researcher at Reiner Lemoine Institute in the Transformation of Energy Systems Unit. His research focuses on energy data, data management with database systems, and open science in energy system research.

Gaël Nardin - Research and development manager in Insolight, a Swiss company that produces new technologies for solar panels.

Eva Méndez - Chair of the European Open Science Policy Platform (OSPP). Deputy Vice President for Scientific Policy-Open Science at the University Carlos III of Madrid.

Regina Schwald - Project manager at the European Science Communication Institute (ESCI).

Carlos del Cañizo - Full professor at the Universidad Politécnica de Madrid and director of the Institute of Solar Energy. Coordinator of the project GRECO.

Ana Belén Cristóbal - Principal Investigator and Scientific Coordinator of the project GRECO. Manager of Innovation, Research and Development at the Institute of Solar Energy of the Universidad Politécnica de Madrid.

Gema Revuelta - Director of the Studies Centre on Science, Communication and Society of the University Pompeu Fabra. Principal investigator of the project GRECO for citizen engagement, participatory processes and Responsible Research and Innovation.

Executive Summary

For two years, the project GRECO has conducted a survey to analyse the opinions, doubts and experiences of researchers on the field of engineering and photovoltaic (PV) energy about Open Science (OS). We gathered 106 responses, analysed them and came up with 39 Frequently Asked Questions on Open Science. The experience of researchers from the PV field is useful for other fields too. So, this document is a Practical Guide for Researchers and tries to solve the most prevalent doubts, concerns and fears. It starts with a checklist for OS, that researchers may consider in various phases of their investigation. Then, the reader will find a Q&A section, structured in nine categories: 1) where to start, 2) open data, 3) open access, 4) open to society, 5) other open practices, 6) property, 7) resources, 8) politics and 9) metrics. There are 3 to 5 questions for each category, and the responses come from experts on the field and other researchers that have tried and applied OS in its different forms. At the end of the document there are two additional sections. One with the benefits expressed by the researchers in our survey and another that comments on the gender perspective. Following OS values, this guide will enter an open peer review process and be openly available after revision at the end of 2020.

Glossary- Abbreviations

APC – Article Processing Charge

CS – Citizen Science

DCAT – Data Catalogue Vocabulary

EC – European Commission

FAIR – Findable, Accessible, Interoperable and Reusable

JIF – Journal Impact Factor

NASEM – National Academies of Science, Engineering and Medicine

OA – Open Access

OD – Open Data

OS – Open Science

R&D – Research & Development

RRI – Responsible Research and Innovation

CHAPTER (CATEGORIES)	Checklist	WHERE TO START?	OPEN DATA	OPEN ACCESS	OPEN TO SOCIETY
PAGES	p. 11	p. 15	p. 22	p. 27	p. 37
FAQs	**CHECKLIST TO OPEN SCIENCE**	**1)** Where can I find more information about Open Science? **2)** Are there different levels to implement OS? **3)** Where can I find examples of projects that have applied Open Science? Are there any specifically of my field? **4)** Are there networks to discuss Open Science? **5)** Does Open Science definition include Public Participation in Science?	**6)** How to ensure the data shared is well interpreted and useful? **7)** Is there still privacy for confidential data? **8)** Doesn't "closed" data have better quality than open? **9)** When shall I open my data? **10)** How can I put in practice the FAIR principles? Is it difficult? **11)** How is archiving data going to give me some benefit as a researcher?	**12)** Are there different levels of open publications? Can I choose which one to use? **13)** What is an embargo period? Is it the same for editorials and funders? **14)** Where can I know about journals' open access policies? **15)** How much does Open Access cost and where can I get funds to publish in Open Access? **16)** Does Open Access also imply Peer Review? Is Open Access going to mean more criticism on my publications? **17)** Is there any way to comply funders' requirements, journal policies and do not pay for opening my paper? **18)** What are repositories and how can they be used? Which one should I select? **19)** Should I archive data and publication in the same repository?	**20)** Who else should I engage outside academia and how? **21)** Is society ready to join in on the high-level debates about new technical solutions and be included in the decision-making when they might not have the capability to foresee the benefit? **22)** Is Citizen Science useful? **23)** Which are good examples of citizen science?
DESCRIPTION	A list of concrete actions to do, step by step	This section will give you resources to get to know Open Science (OS)	Here we'll answer questions about opening data and research outputs	This section is dedicated to solving doubts about open access to journals and publications	Public Participation is an essential part of OS and here you'll get to know it better

OTHER OPEN PRACTICES	PROPERTY	RESOURCES	POLITICS	METRICS	BENEFITS and GENDER
p. 43	p. 48	p. 53	p. 59	p. 63	p. 67 - 69
24) What should I do to open my notebooks? What should I know about them? **25)** What does Open Peer Review imply? How can I explore this route? **26)** How can software, models, procedures be openly shared and reviewed?	**27)** How is my Intellectual Property protected to prevent others from stealing or benefiting from my research if I make it open? **28)** What do I have to know to use open material from other authors? **29)** Is the competitivity between companies going to decrease because of the need to publish in Open Access? If so, how can this be handled?	**30)** I already have tons of work; does it mean more? Can I do it on my own? **31)** Will I need additional time to apply OS? **32)** Is Open Science more expensive? **33)** Does Responsible Research and Innovation (RRI) and OS mean more bureaucratic work? **34)** Will I need powerful infrastructure, IT or other resources alike?	**35)** Is Open Science a requirement for funding? **36)** How do we know if we are doing Open Science according to the law? Where can I get legal advice? **37)** Will there be less funding for certain fields of research?	**38)** Doesn't Open Science affect my academic recognition as Open Access journals have a lower impact factor? **39)** Are there any incentives or ways of assessing my career that consider societal impact or responsibility?	*Click to go directly!*
This section collects questions about other OS practices	OS is usually associated with loss of property. Here you'll find out this is false	Do you need extra resources to implement OS? Find the answers in this section	If you want to know more about the regulatory aspect of OS, check this part	What about recognition and incentives for OS? To know that, read this last part	Quotes from researchers on OS benefits and a short gender analysis of OS

1. Introduction

Open Science is gaining momentum. More and more, funding agencies and research organisations demand concrete actions for researchers to implement in their daily work and their projects. Although not many people would doubt the benefits and opportunities of this new way of doing science, researchers face many concerns, doubts and lack of knowledge to cope with the demands[1]. The EU-funded project GRECO is a pilot that tries to implement Open Science (in all its levels) into solar photovoltaic research. In this adventure, the project has gathered useful insights on how to tackle the demands, solve the questions and ease the concerns (or not) of researchers. This guide is a way to share this knowledge from practice, and to encourage the implementation and the critical reflection on Open Science practices all around the world.

Although this guide targets mainly researchers, we want to stress that moving towards Open Science requires actions in several levels: It cannot rest entirely into the researchers' shoulders. There is a necessity for incentives to fully implement all forms of OS. The institutions, the funding agencies and the decision-makers should promote and design different evaluation and reward systems.

> **"Science is like a parachute. If it doesn't open, it doesn't work"**
> Eva Méndez - *Chair of the European Open Science Policy Platform*

This guide is structured in four parts:

1- **Checklist** for OS. A list of concrete statements to consider and implement.

2- **Q&A**. Frequent questions asked by researchers and the corresponding answers from experts on the field and other investigators that have applied OS one way or another.

3- **Benefits** for OS as expressed by the researchers in our survey; and

4- The **gender perspective** on OS practices, by Giuliana Rubbia, vice president of the Italian Association Women and Science and member of GRECO Social Advisory Board.

#IamAnOpenScientistBecause[2]

Allen C & Mehler DMA (2019) Open science challenges, benefits and tips in early career and beyond. PLOS Biology 17(12): e3000587

[2] "Twitter - By Pixel perfect" © Flaticon | CC-BY-4.0

The Universal declaration of Human Rights states:

"Everyone has the right freely to participate in the cultural life of the community, to enjoy the arts and to share in scientific advancements and its benefits"

- Lea Shaver

The Right to Science and Culture (2009)

2. Checklist

WHERE TO START

☐ Read and watch videos about Open Science (OS) – *Here and there*

☐ Check the rainbow of OS practices - *Here*

☐ Find examples of OS projects made in your field to get inspiration – *Here*

☐ Take part on small trainings– *Here or there*

OPEN DATA

☐ Make your data clear and comprehensible, following the FAIR principles and providing clear metadata

☐ Use open notebooks whenever possible

☐ Open your data early enough: before even having the full results, you can use collaborative platforms such as GitHub for developing code for processing your data.

☐ Upload your data in an open repository (specific of your field or generalist)

Remember: make your data as open as possible and as close as necessary!

OPEN ACCESS

☐ Contact the librarians from your institution or from a public organization for support

☐ Find out the publishing conditions from your funder

☐ Check SHERPA/RoMEO database to identify the archiving policies of the publisher you are considering

☐ Discuss the best route to openness: either Green (is there an embargo period?) or Gold (is there an extra payment, also called APC?)

OPEN TO SOCIETY

☐ Get in touch with the communication department of your institution, or with national or regional councils for scientific culture.

☐ Map the stakeholders involved in your project and plan communication actions for them so they can contribute and improve your work

☐ If possible, find a way of involving society in your research process: defining research questions, collecting data, helping with the analysis and more!

PROPERTY

 Specify the license of your scientific products. When possible, use a Creative Commons License so other authors can reuse and share your work

 Check for property rights of other products you may use in your work (images, data, graphs, etc.) and do the proper use and attribution

RESOURCES

 Make Open Science a new habit in your work!

 Find support in the administrative departments of your institution, your region or your country. There are lots!

POLITICS

 Get involved in the decision making of your institution and support frameworks that create an environment to boost for Open Science

 Discover which funding programs incorporate and assess positively Open Science practices

METRICS

 Follow the new proposals for career assessment, as in the Open Science Policy Platform and Altmetrics

 Be open to the new publishing tendencies and reconsider your personal assessment of what impact of research is

Download this checklist, share it with colleagues and have it next to your desk[3]

[3] "Checklist - by tezar tantular" © The Noun Project | CC-BY-4.0

3.   **Frequently Asked Questions (FAQs)**

This guide presents a compilation of 39 questions frequently asked by researchers in regard to Open Science (OS). For two years, the project GRECO surveyed researchers from various geographical locations, mainly in the field of engineering and photovoltaic (PV) energy. This is outstanding, as we addressed a field of knowledge that has very little participation in the OS movement but possesses concerns and inputs that are highly relevant to other fields. Our survey was based on the methodology "Six Thinking Hats", by the psychologist Edward de Bono. We collected 106 responses in which researchers shared their thoughts, concerns, perceptions, etc., in relation to OS. The data from the surveys was analysed using the qualitative analysis software, Atlas.ti.

Nine categories were defined to structure the answers. The graph below represents the number of comments researchers made in relation to each category. Almost 65% of all responses lie in four categories: Open to Society, Where to start?, Open data and Open Access. Also, as the graph clearly shows, the majority of comments gathered relate to the category "Open to society".

To understand this result, it is important to highlight the context in which these surveys were taken: they all took place coinciding with a course on Responsible Research and Innovation. As part of this course, there is a strong focus on public engagement. Therefore, most of the researchers taking the survey where aware that "opening to the world" is also part of OS.

Percentage distribution of the researchers' responses in the nine categories of the guide, according to our qualitative analysis.
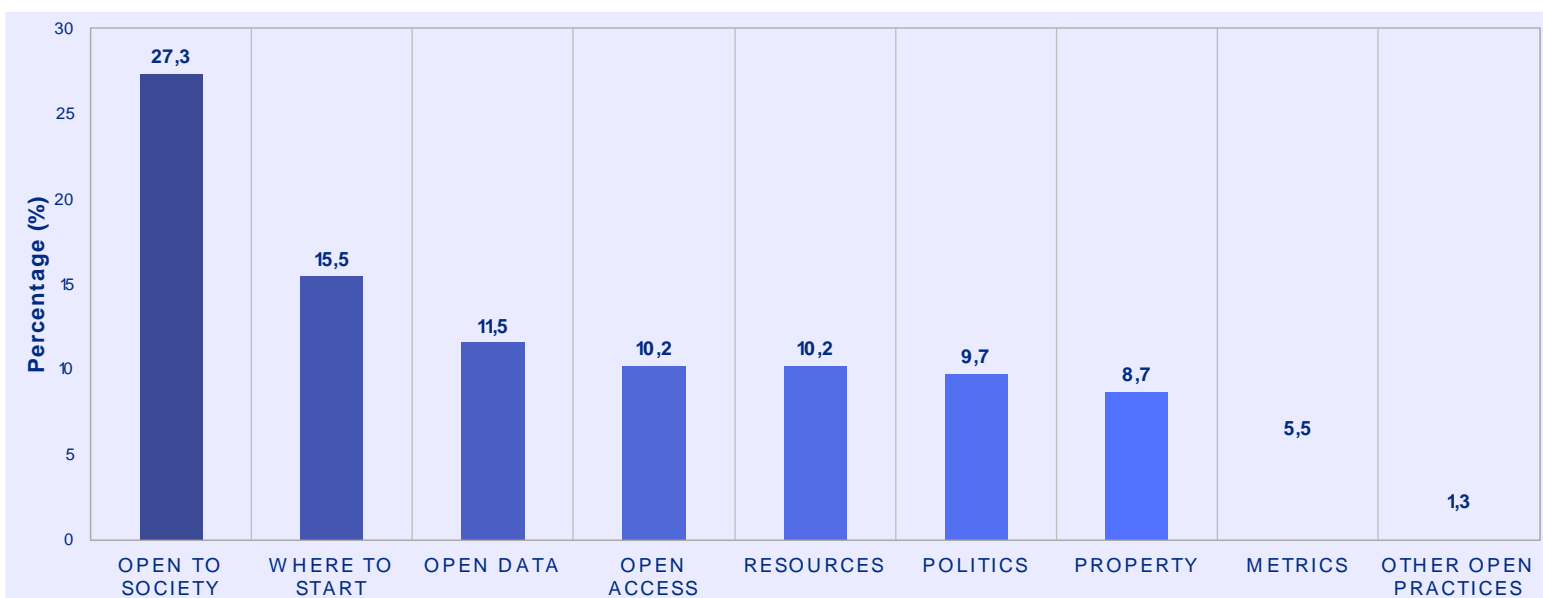
Moreover, although other categories of Open Science are quite familiar to researchers, as they clearly relate them to their professional tasks (collecting data, referencing, publishing, etc.), the category "Open to Society" faces a lot of criticism and concern. Many researchers agree that public engagement and science communication is

Emotions, gut feelings

Benefits, positive thoughts

Possibilities, creative ideas

Planning ideas, process

Cautions, concerns

Facts, neutral information

The six thinking hats are a tool to structure thinking from different perspectives. We used this tool to gather information from researchers in relation to Open Science.
"6 thinking hats" © Needpix.com | CC-BY-4.0

not part of their task. In another study, Llorente *et al.,* (2019)[4] shows that researchers consider that the task of communicating science outside academia lies on the hands of specialized communication staff and journalists.

This translates into survey responses that were more concrete, but also less reflective and less drawn to researchers' daily practice. For instance: "If the end user is part of the decision, there is a high possibility of acceptance" is a nice statement, but it comes unpersonal, it does not imply action or engagement of the researcher. Other comments express concerns, like "I might feel controlled" or are very critical, "Do I really want citizens to intervene?".

Therefore, we highlight the necessity to encourage science communication skills and purpose in early career researchers, as a way to Open Science, also to the non-expert part of society. As one of the respondents stressed: "I feel excited to apply a novel methodology that could engage society and be a good example for other researchers."

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[4] Llorente C, Revuelta G, Carrió M, Porta M (2019) Scientists' opinions and attitudes towards citizens' understanding of science and their role in public engagement activities. PLoS ONE 14(11): e0224262. https://doi.org/10.1371/journal.pone.0224262

WHERE TO START?

This approach is **new** for me, I don't know much about it

I guess I should read a lot to know what works.

Is it **worth it**?

Like the rest of aspects of our society, I feel there is too much information and options that I usually **get lost**.

I would appreciate clearer guidelines and procedures

I feel **insecure**. I don't have the right background nor the right thinking framework

It has a **limited scope**: easier in basic science, more difficult in applied sciences and engineering

I am f**orced** to **follow** this path without understanding it deeply

1

Where can I find more information about Open Science?

- p. 17 -

2

Are there different levels to implement it?

- p. 18 -

3

Where can I find examples of projects that have applied Open Science? Are there any specifically of my field?

- p. 19 -

4

Are there networks to discuss Open Science topics?

- p. 20-

5

Is Open Science definition including Public Participation in Science?

- p. 20 -

1. Where can I find more information about Open Science?

There are different places where you can get informed and stay current about Open Science (OS).

HERE you can find news and events from the **European Commission**.

For example, two recently published reports show how putting the FAIR data model into practice could save a great amount of expenses, making several recommendations to implement it.

The EU Open Science Policy Platform is the group that counsels the European Commission about which steps to take in order to develop a policy for OS. Recently, they've published their Final Report about their work during the last four years. There, they analyse the path walked after the publication of the OSPP-Recommendations to confront the Eight Challenges on Open Science. In the report, the OSSP also includes Practical Commitments for Implementation made by different stakeholders and stablish the next move: to create a Shared Research Knowledge System by 2030, which would foster OS and all the practices that contribute to share and reuse reliable knowledge.

You can keep up with their work following them on Twitter!

The Science, Technology and Industry Policy department from the Organisation for Economic Co-operation and Development (OECD) published in 2015 a report called "Making Open Science a Reality" where they reviewed the progress of many countries in applying Open Access and Open Data to publicly funded research. Also, the book "Open Science by Design: Realizing a Vision for 21st Century Research" from the US National Academies of Sciences, Engineering, and Medicine, contains a chapter with OS design strategies and US legal framework.

The European Open Science Cloud is a digital platform by the EC that federates existing data infrastructures for the storage, management, analysis and re-use of data. Together with OpenAire, they provide technical infrastructure to harvest research outputs. Here you can find lots of info for open data management.

Finally, here you'll find a toolkit for Public Engagement, and many other tools to learn about and implement Responsible Research and Innovation (RRI).

2. Are there different levels to implement OS?

Of course! You can approach Open Science by lots of different routes and start by implementing one or more actions. There is no need (and possibly no resources) to do it all at once.

The 101 Innovations project came up with what's called the "**Rainbow of OS Practices**"[5], where they present the different levels for OS, and describe examples and the corresponding tools for each one. Rainbow refers to that combinations of the practices that all together make Open Science.

The six different levels match the steps that compose a research process. You can apply OS in all of them:

As an example, you can start your bibliography search by using shared reference libraries, such as Zotero. After that, you can open your research data with Dryad and open metadata, like the Extensible Markup Language (XML) with Overleaf. When creating images, doing presentations or posters, you can use an open license, like CC – BY; when publishing, use Open Access journals and repositories. You can also disseminate your results with the public via social media or talks.

Note: In this rainbow, the level of outreach is represented as "Communicating through social media". However, the interaction with society doesn't stay there. A whole area of OS is called Citizen Science that aims at involving society in the process of research (more about it the chapter "Open to Society").

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[5] Kramer, Bianca, & Bosman, Jeroen. (2018, January). Rainbow of open science practices. Zenodo. http://doi.org/10.5281/zenodo.1147025

3. Where can I find examples of projects that have applied Open Science? Are there any specifically of my field?

There are platforms like the Center for Open Science (COS) which goal is to help researchers and projects to implement Open Science, assuring they're doing it correctly.

COS has a free and open platform called Open Science Framework, a management tool that helps you collaborate with other projects and integrate different tools, so you can keep track of every file created in your project and its open/closed state. COS established a partnership with 68 journals[6] to use OS badges, icons that signal that the content of a paper is available and certify its accessibility in a persistent location. You may search for OS badges in the journals of your interest to identify projects or institutions in your field that have implemented OS. Moreover, COS curates in Zotero a library of papers with OS badges, which is freely available.

Example of science badges used in a publication of SAGE journals.
The blue arrow and rectangle indicates the badges.

On the other hand, the website openscience.eu was very recently launched as a platform to discover projects, initiatives and groups that implement Open Science. This website has been created by OpenScience4OpenSocietes, a non-profit organisation formed by scientists, research managers and media experts whose goal is to facilitate the implementation of OS.

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[6] Current numbers in July 2020

4. Are there networks to discuss Open Science?

FOSTER is a basic tool if you want to know more and learn about Open Science practices. They provide lots of training resources. In some of their courses, you can engage in debate with other colleagues, or contact the organisers in case you have a concrete question. FOSTER provides an OS toolkit, formed by ten online courses; and an OS training handbook, full of information and methods.

The Center for Open Science also provides training services. They offer workshops with virtual conferences and document sharing tools, so you can learn and ask the questions you need in order to implement OS.

Finally, OpenAire is a pan-European interoperable Open Access network that offers training and solves key questions to find journals and suitable repositories. You can find their calendar of events and get in touch to solve questions.

5. Does Open Science definition include Public Participation in Science?

Yes, Open Science includes public participation. Engaging with people outside academia is an essential practice if you want to implement OS completely; even though sometimes it's considered as something completely different and that lies outside of the research profession (see FAQs, p.11). In fact, the European Directorate for research and innovation presented in 2016 the institutional vision of "Open Innovation, Open Science, Open to the World"[7] stressing that open science involves engaging with non-institutional participants, or in other words: the general public.

The line of OS that relates to the public is called Citizen Science. Its aim is to actively involve citizens and the different sectors of society (industry, government) in research, therefore co-creating science. This provides a great number of benefits, for example, helping science be more trustworthy, or make science useful and more directed to societal needs.

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[7] European Commission (2016). *Open Innovation, Open Science, Open to the World. A Vision for Europe.* Directorate General for Research and Innovation. doi: 10.2777/061652.

In favour of Citizen Science, the new funding framework programme of the European Commission (EC) (called Horizon Europe, as a follow up of Horizon 2020) promotes a more general conception of OS[8], which goes far beyond open access and data. It means "*sharing knowledge and data as early as possible in the research process* [and engaging] *in open collaboration with all relevant knowledge actors*"[9].

In this report you can read the eight ambitions of OS as defined by the EC, which includes education and Citizen Science. So, indeed, OS is also about communicating and sharing your research with different publics and involving them in the process.

As an example, OpenAIRE ran a project that involved schools (targeting a network of 10,000 schools in Europe) to connect students with scientific data from ongoing EU-publicly funded projects. Their aim was to find out how to engage at the local and national levels to support a culture of openness around data.

If you want to know more about Public Participation in Science, check the chapter "Open to Society".

Source: Luisa Barbosa

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[8] Burgelman, J.C., Pascu, C., Szkuta, K., Von Schomberg, R., Karalopoulos, A., Repanas, K. and Schouppe, M., 2019. Open science, open data and open scholarship: European policies to make science fit for the 21st century. *Frontiers in Big Data*, *2*, p.43.
[9] Von Schomberg, R. (2019). "Why responsible innovation?" in *International Handbook on Responsible Innovation A Global Resource*, eds R. Von Schomberg and J. Hankins (Cheltenham: Edward Elgar Publishing), 12–32.

OPEN DATA

Open data is not often available or the one that is available is **not as good** as private data

Data with open access, if not well explained, can lead to **interpretation problems**

Open data can promote **collaborations** or can benefit people who do not share

Sharing the research data is going to make us **lose competitivity** in our field

You can easily access public databases and repositories, so you get a better **understanding of the background** of a research

6

How to ensure that data shared is well interpreted and useful?

7

Is there still privacy for confidential data?

8

Doesn't "closed" data have better quality than open?

9

When shall I open my data?

10

How can I put in practice the FAIR principles? Is it difficult?

11

How is archiving data going to give me some benefit as a researcher?

6. How to ensure the data shared is well interpreted and useful?

The data that is opened needs to be sufficiently well described so it is easily interpreted and hence more useful for potential data re-users. No matter if it's open or closed, if you want someone else to use the data, it should always be well documented.

A good documentation is reached by adding metadata to your data, which provides additional information. It should include aspects that go from description and units of the parameters, to sources and copyright information. There are existing schemes that you can use, both general-purpose (e.g., Data Catalog Vocabulary, DCAT) for the representation of data such as authorship, update frequency, available formats, etc., and domain-specific for the description of aspects that are relevant to a specific scientific domain or format (e.g., the specification of a bounding box and scale in geography-related datasets).

This information ensures findability, accessibility, interoperability and the reuse of your data (FAIR principles). It's useful to create an ontology to find a common way of expressing things which then helps to ensure the correct understanding of metadata and data.

Source: Sabine Haas and Oscar Corcho

A set of concepts and categories in a subject area that shows their properties and the relations between them.

7. Is there still privacy for confidential data?

Yes, of course! OpenAIRE has developed a data anonymisation tool called Amnesia. Amnesia allows to remove identifying information from data. Amnesia not only removes direct identifiers like names, Social Security Numbers, etc. but also transforms secondary identifiers like birth dates and postcodes so that individuals cannot be recognised in the data.

Here you find a guide on how to deal with sensitive data according to OS principles.

Source: Pilar Rico

8. Doesn't "closed" data have better quality than open?

Not necessarily. Quality does not need to be associated to the openness or closedness of data, but to the processes that are used for data acquisition, curation and preservation, which are independent of the final decision on how to make data available (or not).

Source: Oscar Corcho

Actually, there are different standards and quality criteria for open data (OD) that the community of OD researchers have stablished. For instance, there is a list of legal, practical, technical and social requirements for a dataset to be of high quality (therefore, usable).

In the European Data Portal you can find Open Data Certificates developed by the Open Data Institute. The certificates work as a self-assessment questionnaire for publishers, and in some cases users, to assess the usability of a dataset according to the requirements.

9. When shall I open my data?

In Open Science, the general principle needs to be that data should be as open as possible, and as closed as necessary. If possible, you should make your data open since it is acquired and do not wait until the results of your experiments are published.

Of course, embargo periods may also be applicable for some specific types of data sources.

Source: Oscar Corcho

10. How can I put in practice the FAIR principles? Is it difficult?

The **FAIR principles** are: **F**indable, **A**ccessible, **I**nteroperable and **R**eusable!

It is not difficult. It is important to follow simple guidelines for the description and publication of your data or services, which may be adapted to your specific area of research: with specific repositories for sharing your data sources, with specific metadata items to be used, with specific ontology repositories to find ontologies, etc. (see also question 6).

Source: Oscar Corcho

11. How is archiving data going to give me some benefit as a researcher?

First of all, having a good archival and preservation strategy will provide you the guarantee that you will never lose that data that you needed so much time to capture and curate (something that may happen if you do not have a specific strategy and you store your data files in, e.g., Dropbox). Besides, you will normally obtain a Digital Object Identifier as a result of the archival process (so you will be able to refer to and cite your dataset).

Source: Oscar Corcho

> Check out the European Data Portal e-learning programme[10].

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[10] https://www.europeandataportal.eu/elearning/en/#/id/co-01
Icon "Study – By Laymik" © The Noun Project | CC-BY-4.0

OPEN ACCESS

Publications in open journals are going to be more **expensive** for us

Open journals **make money** out of it

It **saves time** (and **money**) avoiding repeating research and promoting synergies

Making all results and findings open will expose them to more **criticism**

Surely journals and companies that make money of publications don't want them to be open, as they will lose subscribers.

I believe it's a difficult subject because **money** is involved

12

Are there different levels of open publications? Can I choose which one to use?

13

What is embargo period? Is the same for editorials and funders

14

Where can I know about journals open access policies?

15

How much does Open Access cost and where can I get funds to publish in Open Access?

16

Does OA also imply Peer Review? Is Open Access going to mean more criticism with my publications?

17

Is there any way to comply Funders' requirements, journal policies and do not pay for opening my paper?

18

What are repositories and how can they be used? Which one should I select

19

Should I archive data and publication in the same repository

12. Are there different levels of open publications? Can I choose which one to use?

There are two main and non-mutually exclusive routes to Open Access:

'Green' Open Access (also called self-archiving):

- ✓ The authors archive (self-archiving or by a third person) in an open repository the final version of the article, the final manuscript Peer Reviewed or a pre-print which is not yet peer reviewed. The version deposited depends on the funder or the publisher.

- ✓ It can be deposited before, during or after the publication. Usually it is archived after an embargo period set by the publishers who review and publish the article in journals.

- ✓ Usually the commercial publisher's version is immediately available upon payment, during the embargo period, through subscriptions or fees for view / downloads.

- ✓ Both versions have the same content (Peer Reviewed) but may have a different format.

- ✓ This model is promoted by most of the open access community formed by researchers and librarians.

- ✓ The problem is that it usually doesn't imply an important impact in the scientific evaluation system, neither to the researcher career.

'Gold' Open Access (also known as Open Access publishing or author pays publishing):

- ✓ The publication is immediately made available in Open Access by the scientific publisher. Research articles are accessible permanently since they are published.

- ✓ The publication costs are covered by the authors, who retain the copyright of their work (the university or the research center to which the

researcher/author is affiliated, or to the funding agency which has financed the research). These costs are called Article processing charge, or APC.

✓ This model is usually the one promoted by the community of scientific publishing, as it helps publish articles in journals that are recognized inside their scientific field.

✓ Some paywalled journals, called **Hybrid Journals**, subscriptions and publications offer Open Access to certain articles. This has been adopted by some important scientific editors by imposing the APC payment.

✓ So, in the Gold route, articles can be published either in a fully OA journal (where all the content is accessible) or a hybrid journal (accessible by subscription, but with certain articles open).

However, when the research has been financed by a R&D Funding Agency, the OA mandate will be properly set in the funding conditions. For example, Horizon 2020 Framework Programme establishes that all beneficiaries must deposit a machine-readable electronic copy of the publication in a repository and ensure open access to the deposited publication. Therefore, they have to follow the Green route and archive in an institutional or thematic repository an OA version of their published work – no matter if it had been published in an open access journal or in a subscription access journal.[11]

Source: Pilar Rico and Teresa Malo de Molina

13. What is an embargo period? Is it the same for editorials and funders?

The embargo period is the time that authors are requested to cede their copyrights in favour of the publisher. It goes from the formal publication of the article until its

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Open Access publication (authors can't put it in an OA repository meanwhile). Editors have the exclusivity of reproduction, distribution, communications and transformation of the article. By this they want to protect subscriptions or purchases, and it can go from 6 months until a couple of years. Each editor and journal have its own policy about this aspect.

The concept is the same for publishers and funders. However, embargo periods imposed by publishers to authors may be longer than embargo periods allowed by funders. With the Hybrid model of OA, authors pay the corresponding APCs to the journals to get the possibility of OA to some of the articles. By this, the author complies both the funders and publishers. However, publishing in hybrid journals tends to be very costly for researchers. Financial considerations make it advisable to consult with the administrator of the repository the different options for offering Open Access to a paper within the embargo period allowed by funders before opting for a hybrid journal.

The different institutions or funding research agencies that demand Open Access publications of the research made with public funds, allow short embargo periods. In Horizon 2020 from the European Commission, the embargo period is 6 months, but it can be expanded to one year in the case of social science and humanities. Other national laws establish maximum 1 year for an embargo period.

Source: Teresa Malo de Molina and Pilar Rico

14. Where can I know about journals open access policies?

The Open Access policies can vary from one editor to another, but also within the same editor in different journals. In order to know about open access policies of an editor or a journal, the copyright issues and if there is a possibility of including it in a repository, there are some data bases that you should know: Sherpa Romeo, is the international one. In some countries you also find national databases. For example, Dulcinea, in Spain.

The databases are complementary. They classify the editors and the journals by four colours or categories in relation to their open access policies:

- GREEN: the level of openness is complete, as you can publish the preprint in an open status (which is not Peer Reviewed), the postprint (which is the Peer Review version) and the editor's version in pdf.

- BLUE: in this category, you can openly publish the postprint or the editor's version in pdf.

- YELLOW: you can only publish the preprint in open access.

- WHITE: open access publications are not formally admitted.

The databases help you judge which journal meets with your funder or institution requirements to follow the Green route, or if you'll have to follow the Gold route. Also, they help you to easily identify a fully OA journal from a hybrid.

It is important to double-check the policies at the Editorial Website, particularly the Green OA requirements (mandatory disclaimers or CCL). Some repositories such as arXiv or most of the institutional repositories are curated by librarians, who watch out if you are meeting the journal policies. But there are others like ZENODO where there's no curation process, so you should make sure you're doing it right.

Source: Teresa Malo de Molina and Ana Belén Cristóbal

15. How much does Open Access cost and where can I get funds to publish in Open Access?

Open Access is totally free if you use the Green Open Access (self-archiving), as you publish your articles in repositories (open software).

Researchers usually need to publish in paywalled journals that are recognised inside their scientific field. The route called Gold Open Access means these journals publish openly. It doesn't necessary imply that you'll have to pay for opening your paper, but they usually demand a publication payment called Article Processing Charge (APC) that depends on the editorial policy.

Nowadays, important scientific journals let you publish any article if the researcher or the funding agency pays the APC payment, which normally varies from 1.000$

to 1.200$ (but can vary from under 100$ to over 5000$). This depends mostly on the impact factor of the journal (IFJ), the knowledge discipline and the number of pages of the article. These are the called Hybrid Journals.
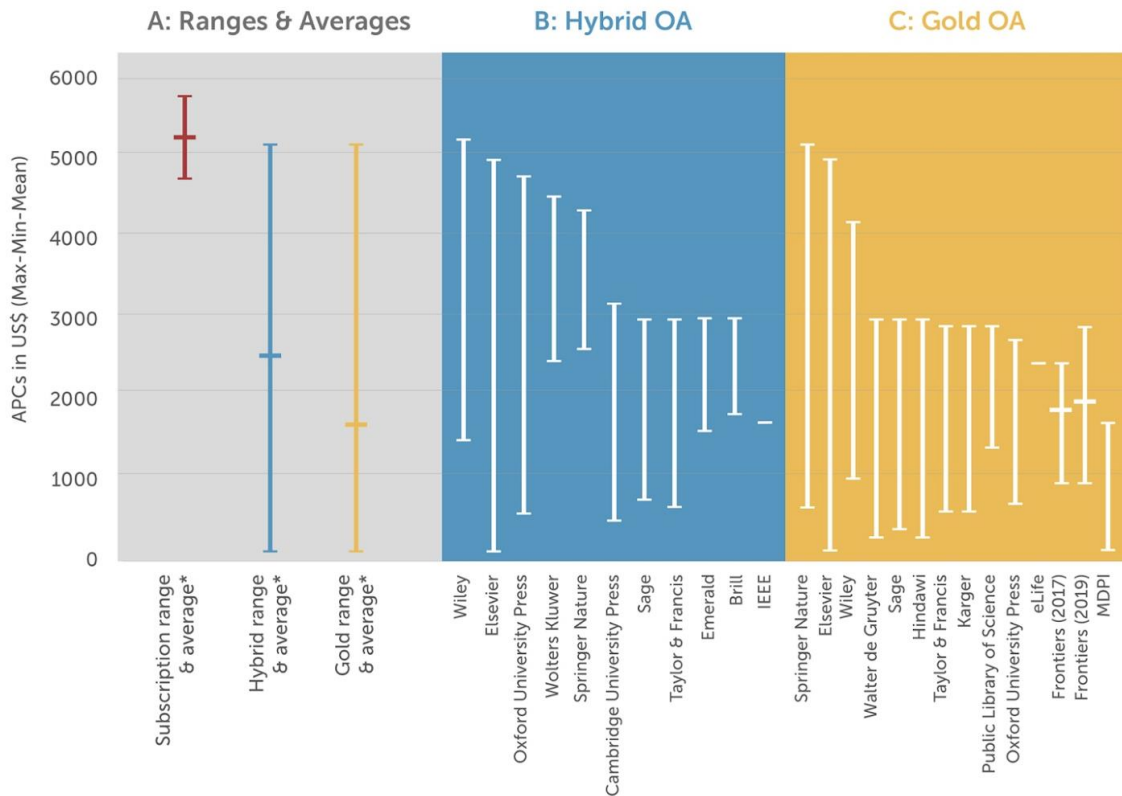
APCs charged by some editorials in 2016.
Source: https://blog.frontiersin.org/2017/12/08/frontiers-apcs-structure-and-rationale-2/

Nowadays, the payment APC is additional to the subscription payment. In order to avoid this extra charge, institutions and funding agencies are trying to negotiate the payment model with the editorials, because the pay both for reading and publishing. This model is called Read & Publish. Some transition agreements are being negotiated in order to encourage important scientific editors to use this model. It will hopefully be implemented in the upcoming years.

APCs are eligible direct costs for most funding agencies. However, an increasing number of funders all over the world, like PlanS signatories, do not support the Hybrid model of publishing.

Generally, if the Funder demands you to Open Access or Open Data, the charges will be included in your project financing. The problem is when your financing is

not that good so it's difficult to cover all the costs. Sometimes, institutions cover the fees of an OA article per year, under certain conditions.

Source: Teresa Malo de Molina, Pilar Rico and Ana Belén Cristóbal

Example from the energy field

In the area of energy and physics, Green OA tends to be allowed freely without embargo period. The only consideration is that several Editorials' policies only accept Green OA without an embargo period when using repositories like arXiv or REPEC (they are thematic, so your manuscript can be rejected). Another problem may arise if your funder sets a maximum embargo period and a specific repository. This embargo period may not agree with the one your publisher established; or the repository may not follow the requests from the Editorial. For that reason, you'll have to follow the Gold route, where you'll probably have to pay the extra charges (APCs).

Source: Ana Belén Cristóbal

16. Does Open Access also imply Peer Review? Is Open Access going to mean more criticism on my publications?

Of course, OA implies Peer Review! Publications are not of a lower quality since they go through the same Peer Review process as other publications.[12] Open Access does not mean more criticism on any publication, but researchers get great benefits from it. Authors gain visibility for their research output and thus the dissemination and usage of their results increases. Open Access leads to more impact, international collaborations and opportunities to new funding sources. It also saves the time researchers invest seeking articles they cannot access through their libraries.

Source: Pilar Rico

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[12] Ross-Hellauer T. (2017) "What is open peer review? A systematic review" [version 2; referees: 4 approved]. *F1000Research* 2017, 6:588 (https://doi.org/10.12688/f1000research.11369.2)

17. Is there any way to comply funders' requirements, journal policies and do not pay for opening my paper?

Yes! Many funder's OA requirements are based on Green Open Access, like Horizon 2020. The obligation to archive in an institutional or thematic repository an OA version of the published work is free of charge if authors do not give up their copyright in favour of the publisher for a longer period than funders allow them to do so. [13]

Source: Pilar Rico

18. What are repositories and how can they be used? Which one should I select?

The repositories are sites with open files that maintain interoperability protocols where you can publish open documents next to their metadata, which must be sufficiently clear to identify, locate and preserve the data. The metadata and the access protocols follow international standards. The most spread access protocol is the OAI PMH, which allows the interoperability of every repository that follows it, so that you can recollect and exchange the metadata of the documents included in them.

The repositories can be specialized in one field or discipline or can be institutional and collect the publications of one particular institution. In Spain, most universities have an institutional repository, whose metadata is incorporated in Recolecta, the national data aggregator run by the Spanish Foundation for Science and Technology (FECYT). An aggregator gathers the metadata of different repositories, so they all have a common access. There are regional aggregators, like e-ciencia (Community of Madrid), or Recercat (Catalonia). In the European Union, the data aggregator is called OpenAIRE.

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[13] Rico-Castro, P. (2019): "¿Amigos o enemigos? Cómo la open science pone a las políticas de open access frente al espejo". ("Friends or foes? how open science places open access policies in front of the mirror"). *RUIDERAe: Revista de Unidades de Información*, N°. 15, 2019. https://revista.uclm.es/index.php/ruiderae/article/view/2166

The Green Open Access is the type of OA in which articles are published in repositories.

Source: Teresa Malo de Molina

19. Should I archive data and publication in the same repository?

It depends on the politics of each repository. There are some repositories that accept data and publications. But these two types of information are distinct, and they need different formats and typologies. That's the reason why many repositories make a differentiation between the two of them.

Besides, data must follow the FAIR principles (Findable, Accessible, Interoperable and Reusable, see also question 6). There are some conditions in order to obtain this: data must have a unique identification assigned, present a detailed metadata, data and metadata must have an accessible license that allows their use and reuse, etc. That's why data should be archived, shared and curated at a disciplinary level, at the research facilities, or data repositories. This way, data can be more adequately deposited, described, shared and curated.

However, the liaison between data and publications is very much recommended and necessary. For that reason, a protocol (Scholix) has been established in the context of the Research Data Alliance (RDA) and the implied stakeholders (OpenAIRE, DataCite, CrossRef and CERN) created the repository Zenodo.

Source: Teresa Malo de Molina and Eva Méndez

Check out Springer's webpage on Open Access[14].

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[14] https://www.springer.com/gp/authors-editors/authorandreviewertutorials/open-access/what-is-open-access/10286522

OPEN TO SOCIETY

I fear greater **complexity** because of differences in viewpoints and opinions

I feel a bit **skeptical** about citizen science

Dialogue with stakeholders makes it possible to see from different angles: having a **higher understanding** of the whole scientific problem.

It will make my project better, more **pluralistic in views**

The **human being** is the focus, not the Nobel prize or the budget of the institutions

Do I really want citizens to intervene?

20

Who else should I engage outside academia and how?

- p. 39 -

21

Is society ready to join in on the high-level debates about new technical solutions and be included in the decision-making when they might not have the capability to foresee the benefit?

- p. 40 -

22

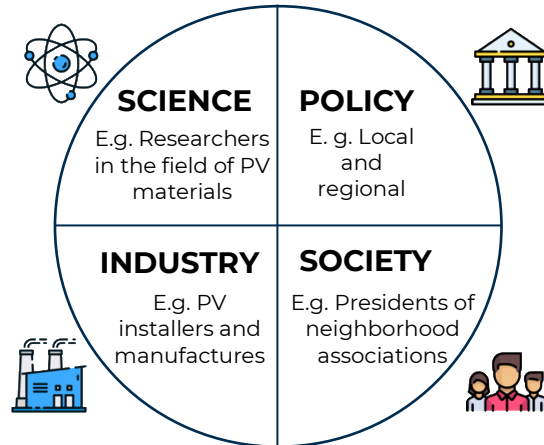Is Citizen Science useful?

- p. 41 -

23

Which are good examples of Citizen Science?

- p. 42 -

20. Who else should I engage outside academia and how?

The stakeholders you decide to involve will depend strongly on the project and field of study. However, it is important to take into account that a more diverse scenario will provide innovative and thought-provoking ideas. To put it simple, you should be considering representatives of the following sectors:

People or organisations who have an interest in your research, affect or are affected by its outcomes.

SCIENCE
E.g. Researchers in the field of PV materials

POLICY
E. g. Local and regional

INDUSTRY
E.g. PV installers and manufactures

SOCIETY
E.g. Presidents of neighborhood associations

These two websites present different methods to open your project and instructions on how to choose and do.

ActionCatalogue
http://actioncatalogue.eu/search

involve
http://www.involve.org.uk/resources

There are different levels of engagement with society and several ways of doing it:

Active Citizen Participation in Research

Citizen Science
Citizens get involved in some parts of the research process, such as analysis or design

Formal Engagement

Citizens Panels
A random representative group of citizens consulted via surveys to assess public preferences and opinions on specific issues

Informal Public Engagement

Mobilization and Mutual Learning (MML)
Dialogue events that allow stakeholders to share their opinions, expectations and concerns on a certain topic

Some Dialogue

Social Media
Networks allow users to comment and react to posts

One-way Communication

Open Days
Citizens can visit research facilities and learn what scientist do

No Information

Research is totally closed to the public and there is no engagement

The ladder of Public Engagement in Science

Modified by the Studies Centre on Science, Communication and Society – University Pompeu Fabra from Arnstein (1969) "A Ladder of Citizen Participation," JAIP, Vol. 35, No. 4, pp. 216-22
Source: *Gema Revuelta and Luisa Barbosa*

21. Is society ready to join in on the high-level debates about new technical solutions and be included in the decision-making when they might not have the capability to foresee the benefit?

Yes. The aim of engaging citizens in debates about science, technology and innovation is not to discuss the technical aspects of it, but the social, ethical, political and economic implications. Remember that society is actually made up of all kinds of people, with many different expertise. Some examples of scientific debates with citizens in the field of Artificial Intelligence, solar photovoltaics and neuroenhancement are:

Danish Board of Technology

In EuropeSay on Artificial Intelligence, citizens were invited to participate in debates where they share their thoughts and concerns about the impact and future of AI. They just have to gather with their friends or family, connect to the internet and discuss the questions that show up on screen. The answers are then collected and analysed by politicians and researchers, to define funding priorities and research projects.

GRECO project

The solar energy research and innovation project organised four workshops with different stakeholders -industries, policymakers and consumers- in order to discuss their perception about energy consumption for irrigation and the major issues it faces. After this, researchers proposed three different solutions and let the irrigator community define which solution would be most beneficial and relevant, considering the possible impacts of each one.
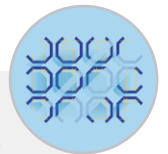
SuperMI (NERRI project)

SuperMI was a series of citizen debates about neuroenhancement to increase cognitive abilities in healthy people (to have a better memory, calculate faster, etc.). Experts were able to ask participants questions and receive the answers instantly, via an automatic and anonymous voting system. Thanks to these debates, experts and communicators could find out the point of view of attendees and realized the diversity of expectations and reluctances inspired by the technology.

Source: Elisa Albiñana, Luisa Barbosa and Gema Revuelta

22.Is Citizen Science useful?

By doing Citizen Science, researchers are enabled to a) conduct studies that would be impossible otherwise because of the amount of time or people needed[15,16]; and b) develop projects with societal impact. Concerns about data quality shouldn't be an obstacle, as long as design and methods assure data reliability[17]. On the long run, citizen science can also reduce the expenses of research[18].

Citizens can be involved in the process of research from different angles:

DEFINE RESEARCH QUESTIONS: E.g. CitieS-Health

CitieS-Health is a project where groups of citizens are engaged to co-design experiments (creating research questions) to explore the environmental pollution and health in their cities. They do so via workshops and surveys.

COLLECT DATA: E.g. Generation Solar

Generation Solar is the brainchild of the project GRECO, an app where citizens can collaborate to build a database of photovoltaic installations worldwide and create a network of users. The initiative helps developing more accurate models of future energy systems and helps promote clean energy.

ANALYSE THE DATA: E.g. Galaxy Zoo

Galaxy Zoo is a project where volunteers can help to analyse an immense number of satellite images that computer programming has not been able to do. Participants just have to identify galaxies and sort them out by shape. The results have been used in peer-reviewed publications.

WRITE AND PUBLISH PAPERS: E.g. EteRNA

EteRNA is a game where users solve puzzles to figure out the folding of RNA molecules or propose their own puzzles. The best designs are tested in the lab and

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[15] Erwin, T.L. & Johnson, P.J. *The Coleopterists Bulletin* **54**(3), 269-278 (2000).
[16] Hochachka, W.M. *et al. Trends in ecology & evolution* **27**(2), 130-137 (2012).
[17] Burgess, H.K. et al. *Biological Conservation* **208**, 113-120 (2017).
[18] Theobald, E.J. *et al. Biological Conservation* **181,** 236-244 (2015).

players are invited to co-write scientific papers. As most players are not experts, "their creativity isn't constrained by what they think a correct answer should look like", say EteRNA's creators.

Source: Elisa Albiñana and Luisa Barbosa

23. Which are good examples of Citizen Science?

There are different platforms that gather a wide variety of projects that have implemented Citizen Science. These are:

EU-Citizen.Science: https://eu-citizen.science/	Zooniverse: https://www.zooniverse.org/	SciStarter: https://scistarter.org/

Check our most recent highlights:

A good example of the power that society can have in science is the project **Safecast**. It was first created after the incident of the Fukushima Daiichi Nuclear Power Plant. Due to unavailability of radiation data, a group of expert volunteers started gathering and publishing useful public data, while enabling people to easily monitor their own homes and environments. https://safecast.org/

One of the projects that has been created due to the Covid-19 pandemic is **COVID-19 Symptom Study App**. It started in the United Kingdom but has now expanded. People can report their health condition daily, creating a huge database that scientists use to study the evolution of the pandemic and new breakouts, but also to have a better understanding of the symptoms and risk groups. It has turned up to be the largest public science project of its kind, with almost 4 million users. https://covid.joinzoe.com/

Source: Elisa Albiñana and Luisa Barbosa

OTHER OPEN PRACTICES

What **tool** is good for having open **notebooks**?

Open Science is **not only Open Data**. I think there is a risk of staying only there

It does not help at all because there are many **mistakes** and it's **not useful**

I can improve my research by getting **feedback**

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What should I
do to open
my notebooks?
What should I
know about
them?
- p. 45 -

25

What does
Open Peer
Review imply?
How can I explore
this route?

- p. 46 -

26

How can
software, models
and procedures
be openly shared
and reviewed?

- p. 47 -

24. What should I do to open my notebooks? What should I know about them?

1) Choose the appropriate software. We strongly recommend to gather information on the experience of fellow researchers with open notebooks beforehand, such as the study by the Gordon Institute. You probably won't be surprised by learning the choice is not easy. Our recommendation is ELABFTW, because:

- Although you will have to set your own server (it's well documented) you will own your data. This means if you are not happy with the performance of the software you are using, you can move your data. For us, this is a crucial feature you should look for in any software you use.

- It is open source. This means you have access to the code and you know there will be no loophole for third parties spying on you.

- It is free. Price on commercial solutions can increase with time. Will you be able to afford the payment of the software license of your choice in the future if things go bad? What if the price increases unreasonably and the service provider holds the data in their servers?

- It is multiplatform (Linux, Mac or Windows users).

- You control the access to the notebooks. Eventually, everybody can see them.

- In the worst-case scenario, it will allow you to get some practice on the use of open notebooks in order to improve your choice later.

2) Be aware your team will need training and time to adapt. Save time and money for that.

3) Try to understand all the features of the software. You will likely find useful features you never thought about in the first place. Save also time for that.

4) Once you decide to do the move, encourage everybody to use it.

Source: Antonio Martí

25. What does Open Peer Review imply? How can I explore this route?

Open Peer Review (OPR) was originally defined a review process, made by peers who revealed their identity. It has now expanded to include other innovations, to the point that a study found 122 different meanings![19,20] From our practical perspective, OPR implies two things:

- **Transparency** as you know who the peer-reviewers are plus the referee reports are published under CC-BY license. Besides, the decision letters after the review and author responses will be public too (for accepted papers only). Referee names will only be disclosed under their consent.

- **Openness** as anyone can participate. This is called Open Community Peer Review.

> *Note that submissions assessed via community OPR also undergo the usual peer review process (by author-nominated and editor-selected reviewers).*

For instance, PubPeer is a non-profit whose goal is to improve the quality of research by enabling the interaction between researchers, who can make comments on peer-reviewed publications. These comments can be seen as useful information, but its veracity must be checked by the readers themselves. Now they have created a version 2.0, where anonymous comments are allowed.

If you want to know more about Open Peer Review and how to start this practice, check out the course by FOSTER.

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[19]Ross-Hellauer, T., 2017. What is open peer review? A systematic review. *F1000Research*, 6.
[20] https://plos.org/resource/open-peer-review/

26. How can software, models and procedures be openly shared and reviewed?

The common way to do that is by developing a source code on the software developing platform GitHub. By providing this source code with an open license, you can make it available for everyone, free of charge and allow to use it according to the terms of the license.

The GitHub workflow[21] enables discussions, code reviews and easy collaborations. The development of the software is made transparently, because discussions are archived (in so-called "issues") and changes in the code are documented in the code history. By developing your code on GitHub, users and other developers can comment and suggest changes. Usually, changes made to the code must be accepted and, therefore, reviewed by one or more members of the development team.

Apart from developing code on GitHub, open source code can be handed in to JOSS, the Journal of Open Source Software, where an open peer-review process takes place similarly to the peer-review made on papers.

Source: Sabine Haas

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21   See an example of how to contribute to the oemof application developed in GRECO: https://github.com/greco-project/pvcompare/blob/dev/CONTRIBUTING.md

PROPERTY

I fear getting innovations and **ideas stolen**:

If me or my institute is not acknowledged, we don't get funding any more

Conflict of **interest** with patenting and economic usage?

Are there **control** and prevention systems to ensure intellectual property?

Public money, **public good**: It's enough that you are payed you don't have to be mentioned!

Greater **competition**. It can be a problem for companies because there is a need to share everything.

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How
is my Intellectual
Property protected to
prevent others from
stealing or
benefiting from my
research if I make it
open?
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What
do I have to know
to use open
material from
other authors?

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29
Is the
competitivity
between companies
going to decrease
because of the need
to publish in Open
Access?

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27. How is my Intellectual Property protected to prevent others from stealing or benefiting from my research if I make it open?

In most national legislations, every created intellectual or creative "work" is protected by default (e.g. § 2 UrhG in Germany)[22]. This copyright does not cover ideas and information themselves, only the form in which they are expressed[23].

When researchers publish their findings in (peer-reviewed) articles, the findings and conclusions are certainly accessible for readers. On the other side, the underlying data, methods (models, processing scripts) and results (plots, graphics) are still protected.

Publishing and applying suitable open licenses to these materials grant the "rights" (also called freedoms) to hold a copy, reuse, and republish these materials when following the defined obligations (e.g. attribution of the authors).

Good scientific practice follows the idea that research always has to be reproducible and should be available and verifiable to everybody, not just the audience of a certain scientific journal. Open Science provides the right tools and methods for this. In contrary, when research is done using public funds, it has been already paid by the public. Not publishing the created works would be considered stealing from the public and society (e.g. "Public Money, Public Code"[24]).

Besides these ethical considerations, the benefits of publishing all materials under open licenses increase the scientific credibility and legitimacy, and the improvement of cooperation and collaborative development. Current identified barriers are the need for knowledge and experience of the legal implications, additional effort, and the personal and institutional reservations in a performance-based science system.

Source: Ludwig Hülk

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[22] http://www.gesetze-im-internet.de/urhg/__2.html
[23] https://en.wikipedia.org/wiki/Intellectual_property#Copyright
[24] https://publiccode.eu/

28. What do I have to know to use open material from other authors?

If you want to use open material from other authors, you should first know the license they have adopted or signed so you can use their work properly. This license will indicate the type of openness the author is using and what actions you are allowed to take.

In the Open Science field, it's recommended that everyone uses a Creative Commons License, which is based on four principles:

- <u>Attribution</u>, the author requests that their authorship is always recognised.
- <u>Equal Sharing</u>, the author requests that any other publication that is based on theirs must use the same Creative Commons License that the first author has used.
- <u>No By-products</u>, the author doesn't authorise any alteration of their work; and
- <u>No Commercialisation</u>, the author wants to prevent their work from commercialisation.

The combination of these four principals leads to six different kinds of licenses, two of which are totally open:

- CC BY: The recognition of authorship is requested.
- CC BY SA: The authorship as well as Equal Sharing are requested.

Another option would be to adopt the Public Domain license (Ø), which does not include any restrictions and is the one recommended in the Open Science field.

Source: Teresa Malo de Molina

29. Is the competitivity between companies going to decrease because of the need to publish in Open Access?

Every company has trade secrets, such as production process parameters or design files. However, transparent access to performance and field test data of a product or technology can help customers to get a better understanding of the benefits and added value compared to competing options. Open Access is an obvious choice for disseminating such information, in order to increase the readership and its diversity, and provide maximal visibility for the company.

Publishing in Open Access will help find business and collaboration opportunities, and therefore increase the company's competitiveness rather than decreasing it. Open Access publication and trade secrets are not incompatible: for example, the functionality and operating principle of a device can be described without the need to explain details of the production process that enables its cost-effective production.

Source: Gaël Nardin

RESOURCES

We lack **time**... and **capabilities**! (OS has too many aspects; it is good for a team, not for a person)

You **need money** to actively be an open scientist

It can **increase** the already huge **workload** of scientists

It will consume **time** I need for research

There might be a large amount of additional work. However, **I like the idea**

30

I already have tons of work; does it mean more? Can I do it on my own?

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Will I need additional time to apply OS?

- p. 56 -

32

Is Open Science more expensive?

- p. 57 -

33

Does RRI and OS mean more bureaucratic work?

- p. 58 -

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Will I need powerful infrastructure, IT or other resources alike?

- p. 58 -

30. I already have tons of work; does it mean more? Can I do it on my own?

Embracing Open Science currently means more work, for sure. More work which is difficult to do on your own: you should have the support of your research group, sharing with your colleagues the belief that OS and Responsible Research and Innovation (RRI) are important and a bonus for your research. You should build a common strategy under which this extra work is distributed. However, most of the processes are going to be integrated in your daily routine at the end and they will not be seen as a load but as a way to contribute to a better science.

In any case, the main challenge is not the extra work, but the need to reframe the way you conceive your research. Because you have competences on a specific research topic, sometimes very specialised, where you honestly think that you can contribute. Making the exercise to align with the societal demands implies a change of mind: it is not about going from your expertise to society, but to "listen to society" (which is not an easy task!) and keep questioning and re-orienting your research, if needed.

Another point in this change of mindset is that you will have to recognise that you do not know everything: you will need to talk to people from other disciplines, sometimes far from those that you are familiar with, and learn to work together.

Source: Carlos del Cañizo

Example from open coding   I often hear people say that OS means extra work in terms of learning new tools. At least for open source development I cannot fully agree. If you have worked in software development before, you should have used already a version control programme and a tool for communicating with your fellows. So, you will easily get into GitHub. There'll be slight differences, but this also occurs when you're forced to update to the newest Windows version! Every change requires some extra work (open or not). I would say open coding comes to its best when done in teams and communities, however, of course you can start a project on your own. If you find interested people you will be able to get feedback and maybe even motivate them to contribute. *Source: Sabine Haas*

31. Will I need additional time to apply OS?

You will. And, what may be more painful, it will not be time recognised in your research career, nor time that will produce tangible results in the short time. But you have to distinguish between two stages: as many other things in your research career, first you'll have to develop the methodologies and the tools that work for you. This implies time, effort and resources, of course. But once you have them running, they will require less attention and become "business-as-usual" practices.

Being part of a research group where other researchers and support staff help to deploy these OS methodologies will make things much easier. The burden of extra work will be distributed, your OS practices enrichen through contrast and debate, and the feeling that you are not alone will motivate you.

Also, note that nowadays there is a huge number of tools available to facilitate the practice of Open Science and Citizen Engagement (see chapters "Where to start?" and "Open to society"): lots of collaborative tools and platforms from where to pick those that better suit your needs. And many of them are open!

Source: Carlos del Cañizo

Example from open coding

How much additional time, if any, you need for writing open instead of close code depends on the standards you usually want to follow. Writing open code means to produce clean code, adding comments and preparing a good documentation for others to understand it and moreover to use a code structure that is easy to extend. To my mind, this should also be done for closed code, as you can save yourself and your colleagues a lot of time by following these recommendations. *Source: Sabine Haas*

Example from energy research

To open data and publications will require to insert proper metadata in a repository. Open Data practices will request more time from you since the preparation of FAIR datasets is not standardised, it needs some work from you to adapt. From our experience, for other open science practices you could be interested in, you will need extra-time to learn Open Code or Open Software practices. *Source: Ana Belén Cristóbal*

32. Is Open Science more expensive?

It is hard to quantify. Although currently there are some concrete fees that have to be paid in order to implement OS (as for infrastructure and services)[25], the saved costs are not measured. For instance, it has been estimated that a world fully turned to open access could result in annual savings of around £400 million for the UK, €133m for the Netherlands and €80m for Denmark.[26]

From GRECO's experience, we can identify three lines that would result in concrete costs for implementing OS:

- Time. Although it is even harder to estimate its price, certainly the movement towards OS implies acquiring new knowledge and skills. Therefore, investing time to learn is crucial (see question 31).
- Article processing charges (APCs) in the Gold Open Access path. APCs cost around €1.000 - €1.200 euros per article (see question 15). In the solar energy sector, our researchers have paid on average €2.000 per article.
- Engagement activities. Currently considered as something external to the research profession, opening science to society (to involve other publics) requires proper planning, human resources and consumables. Many institutions may have a supporting communication department to collaborate with. If that's not the case, there is a need to hire a professional science communicator. Moreover, some engagement actions (as citizen science, see questions 21 and 22) involve developing IT tools. In that case, the costs may rise to several thousands of euros.

Source: Luisa Barbosa

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[25] Confederation of Open Access Repositories (COAR). (2020, May 31) Input to UNESCO Consultation on Open Science. https://www.coar-repositories.org/news-updates/unesco-open-science-consultation/
[26] Houghton et. al (2009) Economic implications of Alternative Scholarly Publishing Models: Exploring the Costs and Benefits. Swan, A. (2010) Modelling scholarly communication options: costs and benefits for universities

33. Does Responsible Research and Innovation (RRI) and OS mean more bureaucratic work?

From our experience, Open Science does not imply more bureaucratic work. Regarding RRI, engagement processes may entail more bureaucracy, due to the ethical rules (e. g. the General Data Protection Regulation) and the need of good planning when involving citizens and other third parties. Usually, either the funder or your institution will ask for detailed questionnaires, apart from information and consent sheets you'll have to distribute and store.

Another thought is that "Research" in general is becoming more and more bureaucratic. The need to quantify qualitative aspects through indicators has incorporated a burden of bureaucratic requirements to research. RRI should be about reflection, engagement and opening; not about having to justify your work through paperwork. It would be a pity if this would keep researchers off from incorporating these practices to their work.

However, institutional support is important in order to incorporate, promote and facilitate RRI and OS, as well as assuring its recognition in researchers' careers. Our impression nowadays is positive, as there's a bottom-to-top desire from researchers of making meaningful results to society and a top-to-bottom institutional promotion of RRI. Now intermediate institutions (like regional administrations or universities), should dedicate resources to RRI (and OS included).

Source: Ana Belén Cristóbal and Carlos del Cañizo

34. Will I need powerful infrastructure, IT or other resources alike?

Not necessarily. There are general-purpose and domain-specific platforms that will normally serve your needs in most cases (e.g., Zenodo for dataset archival). For very specific cases where large IT infrastructures are needed in order to handle datasets, there will be support provided by data centres and alike.

Source: Oscar Corcho

POLITICS

Am I in danger of **loosing funding** if I do not meet requirements or expectations?

Society and researchers can push to promote changes, but the current **system has to change** in terms of politics and science evaluation

This does not have the **acceptance** of my superior

I fear I might do something **illegal**

Is it a **condition** for all Funding Programs?

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Is Open Science a requirement for funding?

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How do we know if we are doing Open Science according to the law? Where can I get legal advice?

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37

Will there be less funding for certain fields of research?

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35. Is Open Science a requirement for funding?

It depends on the funder. It should be an unquestionable requirement for funding, *ex ante* (based on predictions or plans) and *ex post* (based on actual results) of the grant.

The current model of funding requires Open Science practices in relation to the results of a funded project. This is *ex post.* But it should also be a requirement *ex ante,* meaning: to demonstrate, before you get funding, that your previous research has also been following Open Science practices.

Source: Eva Méndez

36. How do we know if we are doing Open Science according to the law? Where can I get legal advice?

There is no need to worrt. Open Science practices in research cannot get you into legal troubles. Some aspects from OS you should consider from this "legal" perspective are:

Licenses. Be sure you use open licenses according to their disclaimers.

- Preserve the rights of data owners.
- Promote correct use of the data.

Sensitive information. Protect sensitive information like personal data.

OpenAIRE addresses the issue of handling sensitive information and you can always explore the licenses description in the Creative Commons website.

37.Will there be less funding for certain fields of research?

Not at all! Open Science should be the new normal, the default situation. Meaning it should be the rule, not just a trend.

The funding depending on the discipline does not need to be affected by Open Science practices. Open Science will only affect the way you perform research (with more collaboration, transparency and participation), the way you communicate the results (openly) and the outcomes you share (not only papers but also research data, methodologies, software, etc.).

Source: Eva Méndez

METRICS

The whole way of doing research is evaluated in **contradiction to RRI**

My publications could **lose importance** (lower impact index) in favor of greater visibility

Publishing in open access makes it **harder** to have a conventional academic **career**

I would like to find **appropriate** and **meaningful metrics** about how the RRI approach influences our research, our group, our values...

There are no Open Access journals in the **first quartiles**, and when they evaluate researchers profiles it's the first thing they check

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Doesn't Open
Science affect my
academic
recognition as Open
Access journals have
a lower
impact factor?

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39

Are there any
incentives or ways of
assessing my career
that consider
societal impact or
responsibility?

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38. Doesn't Open Science affect my academic recognition as Open Access journals have a lower impact factor?

This is one of the common misconceptions of Open Science since we're trying to place Open Access and other concepts related to the open knowledge practices in the current narrow and out-of-date scientific communication system.

Open Access (OA) to scientific publications does not only mean Gold Open Access Journals (see question 12), it is also about sharing the results in repositories, as in Green OA, which increases the likelihood to be cited. Open Access and further Open Science practices will have a bigger IMPACT of your research. The academic career assessment should not be based only on the Journal Impact Factor (JIF), which measures the impact of the Journal, not the impact of the researcher or even the publication. Open Science does not affect your academic career, what's more, perpetuating the JIF as the only means of recognition will damage science.

Source: Eva Méndez

39. Are there any incentives or ways of assessing my career that consider societal impact or responsibility?

Incentives and research evaluation are changing, making room for new research career paths and developments. Some examples include the Dutch approach, called Room for Everyone's talent: towards a new balance in recognition and rewards of academics, that focused on diversifying career paths and stimulating Open Science practices.

There's also new research evaluation frameworks, that are changing national scenarios of research careers, for example in the UK (Research Excellence Framework, REF) or Australia (Excellence in Research for Australia, ERA). More and more, transfer and social impact are being considered in the new indicators' frameworks.

Source: Eva Méndez

GRECO

"There is a pressing need to improve the ways in which the output of scientific research is evaluated by funding agencies, academic institutions, and other parties"

- San Francisco Declaration on Research Assessment

https://sfdora.org/

BENEFITS

The following comments highlight the benefits of Open Science according to researchers

There will be results more **"socially robust"**

A more "open" scientific community will also be a more **honest** scientific community

Open science **feels right**, working in black boxes doesn't

It allows for a better communication of research results and quicker **dissemination**

The use of RRI is necessary, especially in countries where the **resources** for research are very **limited**.

It provides more **opportunities** to scientists with less resources.

OS helps **gathering resources** of several researchers: findings bugs, working together.

This leads to outcomes with **higher quality**.

Open it up to more people will allow the **problem** to be **recognised**

It could improve the **reproducibility** of the results, solve real problems of the society, and **save time** (and money) avoiding redundant research and promoting **synergies**

I will get **funding** easily because the funding agencies like it

I think this is a great way to **democratise** public-funded research and innovation

The collaboration with the **industry** will be **easier** with open innovation, and this is a **key point** for a researcher

Reduce the "rejection" or **fear** towards science

It is obvious that Open Access and Open Data allow science to **spread**

It promotes interesting projects for society in collaboration with other groups to obtain **different approaches**

OS allows **transparency**, scientific advance, **reliability** of results and reproducibility

4. Gender

Interviewed researchers recognize gender as a current and urgent issue. Furthermore, they consider gender equality as profitable; as can be seen in the speech bubbles below.

Hence, there is a tangible **need for actions**, and there is a genuine need to know which actions to implement. «*Not clear what 'gender action' in my field of research even means*» says a researcher. «*Can we benefit by using male/female differences in communication campaigns or initiatives*?» The answer will be «yes, of course!»: using a gender-sensitive language we speak directly to men and women and talk explicitly about them, their needs and roles in the society. Beyond inclusive communication, we have a variety of actions available to improve both researchers' lives and quality of research from a gender perspective. **Encouraging mixed teams, mentoring, networking, allowing for work-life balance, contrasting violence in the workplaces** make the working environment more productive; mobilising different stakeholders and collecting gender-disaggregated data, to be analysed in combination with other factors, allow for more **societal acceptable research results**. Relying on cooperation and transparency for a broader access to knowledge and the whole research process, «*It (Open Science) will help gender equality.*»

Giuliana Rubbia, July 2020

GRECO