Open Science dalla A alla Z
7 – Open Science nella proposta Horizon Europe

Università di Perugia, settembre 2021

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Elena Giglia
Università di Torino
elena.giglia@unito.it
@egiglia

Un nuovo panorama per la valutazione

Responsible research assessment:
rethinking what we value in research

S.Curry Sept.17, 2021

Let's change what we value in research.
Sign DORA

Stephen Curry
Imperial College and DORA

We have allowed scholarly publishing to come into opposition to the publi

Science
Zika virus initiative reveals deeper malady in scientific publishing
Stephen Curry

"our research ecosystem provides **no incentives for publishing reliably, rapidly or openly** – all features that one might hope to see in a system that works effectively. Despite a decade or more of talk about open access, [...] we are still mired in technical and cultural debates that remain largely internal to the ivory tower."

https://www.theguardian.com/science/occams-corner/2016/feb/16/zika-virus-scientific-publishing-malady

Science
No revolution: COVID-19 boosted open access, but preprints are only a fraction of pandemic papers

https://www.science.org/content/article/no-re... boosted-open-access-preprints-are-only-fracti...

onsible research assessment: rethinking what we value in res

Market value (incentives) in academia

Impact factors and university rankings have become normalised

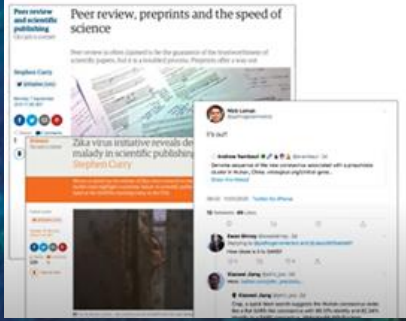
Evaluation based on journal metrics **reduces** productivity
- Chase for Journal Impact Factors slows publication
- Positive bias in the literature (no place for sharing negative results)

Metric-driven **hyper-competition** in which only the ***result*** matters:
- devalues other important academic activities – and academics
- focuses on the 'what', not the 'how' or 'who'
- incentivises fraud
- undermines reliability & public trust

The Times Higher Education World University Rankings
World University Rankings 2013-2014

Rank	Full Journal Title	Total Cites	Journal Impact
1	CA-A CANCER JOURNAL FOR CLINICIANS	28,839	244.585
2	NEW ENGLAND JOURNAL OF MEDICINE	332,830	70.394
3	LANCET	233,269	53.254
4	CHEMICAL REVIEWS	174,920	52.613
5	Nature Reviews Materials	3,218	51.941
6	NATURE REVIEWS DRUG DISCOVERY	31,312	50.167
7	JAMA-JOURNAL OF THE AMERICAN MEDICAL ASSOCIATION	148,774	47.661

Practicalities: we need to talk about how ***open*** science can be ***bet***



Preprints: faster communication
Focus on the content, not the container (journal)
Encourages **open peer review**

OA generally: a global audience
Sharing + Scrutiny = Reliability

Data & code sharing: re-use & scrutiny benefits
Sharing + Scrutiny = Reliability

Open science is better for changing the world
e.g. Zika crisis, new coronavirus

[obsession + side effects]

RESEARCH ASSESSMENT IS BECOMING A BUSINESS [AND CAN ORIENTATE CHOICES – FREEDOM AT RISK?]

REPORT
JUN 22, 2020

2020 Update: SPARC Landscape Analysis & Roadmap for Action

A Time for Radical Change

Use this opportunity not just t
current academic system but a
substantive progress toward b
more equitable and open one.

University rankings, journal impact factors, performance-based funding for universities – these have all affected the culture of academic institutions for years and have progressively led to an erosion of control by academic institutions over their own destiny. Data analytics services have a market and are in demand – in spite of all the issues they pose – because academic life has become a race to secure funding. As a result, research assessment is becoming a business opportunity, and one that commercial vendors appear eager to control, regardless of their possible conflicts of interest. SPARC's Landscape Analysis and the Roadmap for Action are intended to support institutions in reclaiming control.

2020

Björn Brembs
@brembs

Sept. 27 2021

This, from the FT, should give everybody pause: "Ranking has become a more profitable business than publishing, from which it sprung"

Traduci il Tweet

University rankings are just an educated guess
St Andrews beating Oxford and Cambridge in a league table caused a commotion but signifies little

Academic capture

27 September 2021 John M

Sept. 27, 2021

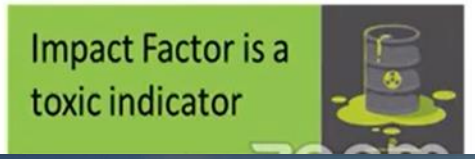
Imagine the worst implications of the Cambridge Analytica data scandal, and then apply this to the entire academic workflow. Not a pretty picture for sure.

Lessons lear

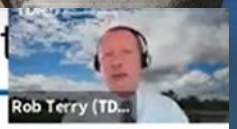
NEED TO RETHINK THE ORDER
1) PUBLISH
2) OPEN PEER REVIEW
3) EARN IMPACT
FOR REAL, NOT USING THE TOXIC IMPACT FACTOR
(AWARDING MEDALS BEFORE THE RACE HAS RUN)

Implications of pandemic for publications

- Need to rethink publishing
  - 1st Publish
  - 2nd Open (meta) peer review
  - 3rd Earn impact
- Why have impact factors?! - Like awarding the medals BEFORE the race has run
- Traditional publishing model is no longer fit for purpose too slow and no guarantee of quality
- It feels like we're running electric cars on steam train tracks



Use of pre-prints – calling time on subscript



- WHO repository IRIS 150 publications relating to Covid-19 - 25% referencing pre-prints
- NEW development WHO Living Guidelines available online via the MAGICapp
- 3 WHO Living guidelines for Covid-19.
  Therapeutics 6 versions since November 2020.

  Analysis of version 5 March 2021
  - 44% of its references as pre-print
  - 33% unpublished results shared with WHO
  - Therefore < 25% from traditional published literature.....

<25% FROM TRADITIONAL LITERATURE INCLUDED IN WHO GUIDELINES
THEY FAILED US RIGHT WHEN WE NEEDED THEM MORE

Robert Terry OSfair 2021 [min. 16.48-46]

Lessons learned from COVID / 4

Implications of pandemic for publications

- No such thing as the Version of Record – science is dynamic, changing and evolving
- The concept of the 'Journal' is dead = wasteful and biased
- Role for post-published aggregations perhaps Papers of the month
- Open science must create the interoperable links across all stages and disciplines. Links between the paper and the data are indivisible

All public science should be open access

Citizens should demand this

Pre-prints encouraged recognized and reward

Robert Terry OSfair 2021 [min. 16.48-46]

Replacement goal. Any solution needs to not only solve the current problems but also be capable of preventing the takeover by the corporations. Technically, there is broad agreement on the goal for a modern scholarly digital infrastructure: it needs to replace traditional journals with a decentralized, resilient, evolvable network that is interconnected by open standards under the governance of the scholarly community. It needs to replace the monopolies connected to the journals with a genuine, functioning and well-regulated market. In this new market, substitutable service providers compete and innovate according to the conditions of the scholarly community, avoiding another vendor lock-in.

REPLACING ACADEMIC JOURNALS

Authors

Björn Brembs, Universität Regensburg, Germany
Philippe Huneman, IHPST, CNRS, Paris, France
Felix Schönbrodt, LMU Munich, Germany
Gustav Nilsonne, Karolinska Institutet, Sweden
Toma Susi, University of Vienna, Austria
Renke Siems, Reutlingen, Germany
Pandelis Perakakis, Complutense University of Madrid, Spain
Varvara Trachana, University of Thessaly, Larisa, Greece

B.Brembs Sept. 24 2021

In questo modulo impareremo:

1. le novità Open Science in Horizon Europe
2. Le sezioni in cui Open Science è rielvante

MESSAGGI CHIAVE

- Open Science rientra nella valutazione della vostra proposta di progetto!

[una chiamata]

…NON AVERE DATI FAIR E NON ESSERE IN EOSC SIGNIFICA RESTARE TAGLIATI FUORI DALLA RICERCA EUROPEA…
HORIZON EUROPE PREVEDE OPEN SCIENCE NELLA VALUTAZIONE DELLA ECCELLENZA SCIENTIFICA DELLA PROPOSTA…

Horizon Europe relevant docs

ART. 6.2 SPECIFIC ELIGIBILITY CONDITIONS FOR EACH BUDGET CATEGORY C.3 OTHER GOODS [P.30]
ART. 17 COMMUNICATION, DISSEMINATION AND VISIBILITY [P.49]
ANNEX 5, TO ART. 17, OPEN SCIENCE [P.107-109]

PART A – LIST OF RELEVANT OUTPUTS (OPEN ACCESS) [P.12]
PART B – 1.EXCELLENCE – 1.2 METHODOLOGY (OPEN SCIENCE+DATA MANAGEMENT) [P.8]
PART B – 2.IMPACT
PART B – 3.2 CONSORTIUM CAPACITY [P.15]

Horizon Europe relevant docs

- DISSEMINATION & IPR MANAGEMENT [P.30-37]
- OPEN SCIENCE [P.38-52]

INCLUDING RIGHTS RETENTION CLAUSE [P.49] + A LIST OF USEFUL RESOURCES

- CITIZIEN SCIENCE [P.52-54]

- ART. 6.2.C.3 OTHER COSTS (DISSEMINATION) P.[69]
- ART.17 COMMUNICATION& DISSEMINATION [P.113-115]
- ANNEX 5 IPR RULES [P.124-125 E 133-146 EXPLOITATION&PROTECTION]
- ANNEX 5 DISSEMINATION & OPEN SCIENCE [P.153-161]

INCLUDING THE DEFINITION OF «TRUSTED REPOSITORY» P. 156

- ANNEX 5 DISSEMINATION PLAN [P. 162]

Horizon Europe

Open Science in Horizon Europe RIA/IA/CSA

NELLA METODOLOGIA VANNO DESCRITTE ENTRAMBE:
1) COME SI SARÀ CONFORMI ALLE PRATICHE OBBLIGATORIE
2) COME SI ADOTTERANNO PRATICHE RACCOMANDATE

PRATICHE RACCOMANDATE

- NEL **LISTA DEI RISULTATI RILEVANTI**: 5 RISULTATI RILEVANTI (pubblicazioni, dati) ACCESSIBILI IN MODO OPEN (es. in IRIS) E CON IDENTIFICATIVO UNIVOCO (se possibile)
- NELLA **METODOLOGIA** DEL PROGETTO
  1) PRATICHE OPEN SCIENCE ADATTATE AL PROGETTO
  2) GESTIONE DEI DATI FAIR CON SCHEMA DEL FUTURO DMP
- **MASSIMIZZAZIONE DELL'IMPATTO** CON OPEN SCIENCE (OS È FRA I KEY PATHWAY INDICATORS) IN BOZZA DI DISSEMINATION PLAN (FUTURO DELIVERABLE M6)
- PRATICHE OPEN PREGRESSE E CAPACITÀ DI FARE OPEN SCIENCE NELLA VALUTAZIONE DELLA **QUALITÀ DI IMPLEMENTAZIONE** E **SOLIDITÀ DEL CONSORZIO**

PRATICHE OBBLIGATORIE

- **DEPOSITO+ ACCESSO IMMEDIATO** (ZERO EMBARGO E CC BY) =
  1. OPEN RESEARCH EUROPE
  2. RIVISTA OPEN
  3. RIVISTA TRADIZIONALE MANTENENDO DIRITTI
- DATI E OGNI ALTRO ELEMENTO **«AS OPEN AS POSSIBLE, AS CLOSED AS NECESSARY»**
  - GESTITI RESPNSABILMENTE SECONDO **PRINCIPI FAIR**
  - DATA MANAGMENT PLAN ENTRO MESE 6

LIST OF ACHIEVEMENTS Template PartA → **EXCELLENCE** Template PartB → **IMPACT** Template PartB → **IMPLEMENTATION** Template PartB → **DISSEMINATION** Publications → **DISSEMINATION** FAIR data

PROPOSTA DI PROGETTO [SU QUESTO SI VIENE VALUTATI] → OBBLIGHI A PROGETTO APPROVATO

Giglia 2021

Come applico Open Science alla proposta?

HORIZON EUROPE

Open Science (OS) gioca un ruolo fondamentale in Horizon Europe e le pratiche Open Science sono considerate nella valutazione della proposta di progetto.
Ci sono pratiche obbligatorie (Open Access a testi e dati) e raccomandate (open peer preview, preprint, pre registrazione...).
Se non fossero applicabili, occorre fornire una giustificazione solida.

Part A: Application form

Lista di 5 fra pubblicazioni, datasets, software, protocolli, ogni altro risultato rilevante per il progetto

- le pubblicazioni devono essere Open (NON "pubblicate", ok "depositate")
- i dataset devono essere FAIR e Open*

* "As open as possible, as closed as necessary"

Part B: Project proposal - Technical description

1 Excellence

1.1 Objectives and ambition

1.2 Methodology

Open Science [max 1 pag.]

In che modo il progetto adotterà /adatterà le pratiche Open Science obbligatorie e raccomandate?

Pratiche OS obbligatorie	Pratiche OS raccomandate
Open Access# per le pubblicazioni: deposito+accesso immediato	Condivisione aperta e immediata
Open Access* per i dati	Preregistrazione, open peer-review
Informazioni e documentazioni per validare la ricerca / per il riuso	Citizen science, public engagement
Gestione responsabile dei dati in linea con i principi FAIR	Gestione degli altri elementi della ricerca (oltre ai dati)
	Riproducibilità

#1) pubblico in ORE-Open Research Europe
2) pubblico su rivista Open Access
3) pubblico su rivista tradizionale MA mantengo i diritti per deposito e accesso immediato

Research Data Management (RDM) and management of other research outputs (exc. publications) [max 1 pag.]

Come saranno gestiti i dati e altri elementi della ricerca in modo FAIR?

Dati e altri elementi...	...devono essere Findable Accessible* Interoperable Reusable	costi e responsabilità nella gestione, deposito e conservazione dei dati

2 Impact

2.1 Project's pathways towards impact

2.2 Measures to maximize impact. Dissemination, exploitation & communication

Es. Serve solo uno schema. Fate riferimento alle pratiche Open Science descritte nella sezione Methodology (Open Access ai risultati, condivisione aperta e immediata...)

Controllate che le pratiche propsote siano compatibili con il Dissemination and exploitation plan (es. protezione della propietà intellettuale) e con il Consortium agreement

3 Quality and efficiency of the implementation

3.1 Work plan and resources

Es. Date visibilità alla gestione dei dati con specifici tasks/work packages

Includete il Data Management Plan (DMP) completo come deliverable (M6)

Includete altre attività di gestione dati/elementi e mettete a budget i costi

3.2 Capacity of participants & consortium as a whole

Es. Descrivete le competenze dei partners nel fare Open Science

Maggiori dettagli in Guida all'Open Science in Horizon Europe

https://doi.org/10.5281/zenodo.4826662

GHENT UNIVERSITY Data Stewards

Traduzione e adattamento: Elena Giglia

Open Science in HEU

PRATICHE OPEN SCIENCE
VALUTATE SOTTO
«EXCELLENCE»
a) OBBLIGATORIE
b) RACCOMANDATE
DOVETE INTEGRARE
ENTRAMBE NELLA PROPOSTA

Open science

Open science in Horizon Europe

Open science is an approach based on open cooperative work and systematic sharing o knowledge and tools as early and widely as possible in the process. It has the potenti to increase the quality and efficiency of research and accelerate the advancement o knowledge and innovation by sharing results, making them more reusable an improving their reproducibility. It entails the involvement of all relevant knowledg actors.

Horizon Europe moves beyond open access to open science for which it feature a comprehensive policy implemented from the proposal stage to project reporting. Th Horizon Europe Regulation sets the legal basis for the open science obligations an incentives that apply to Horizon Europe beneficiaries. The Annotated Grant Agreemer provides guidance on how to comply with the open science obligations required in th Model Grant Agreement. **The present guide complements the information pro the**

In Horizon Europe, open science practices are considered in the evaluation of proposals, under 'excellence' and under the 'quality and efficiency of implementation'.[17] There are mandatory open science practices, which are required for all projects through the Model Grant Agreement and/or through the work programme or call conditions, and recommended practices (all open science practices that are not mandatory). Recommended open science practices are incentivised through their the evaluation at the proposal stage. Proposers should be aware of both mandatory and recommended practices and integrate them into their proposals.

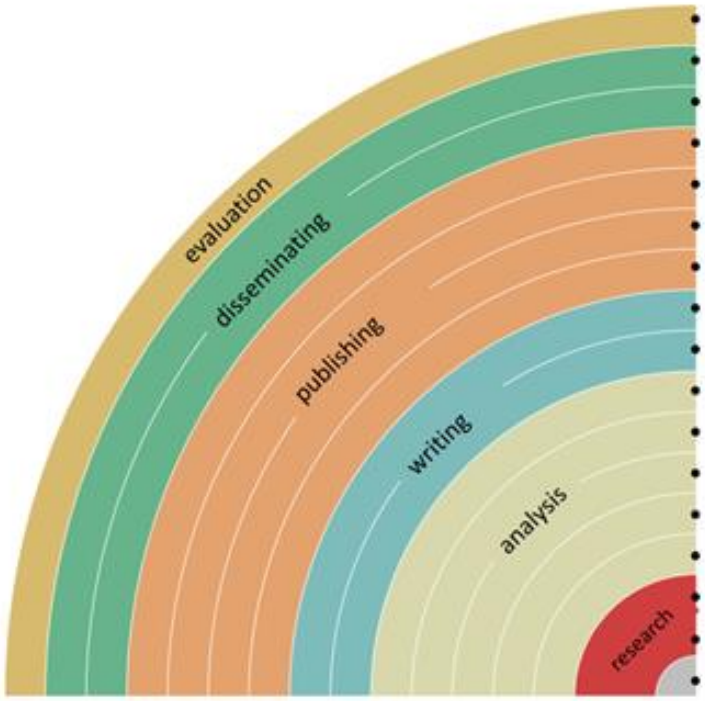
V.1 June 17 2021

Horizon Europe

Programme Guide

Open science practices

YOU CAN MAKE YOUR WORKFLOW MORE OPEN BY...



- adding alternative evaluation, e.g. with. altmetrics
- communicating through social media, e.g Twitter
- sharing posters & presentations, e.g. at FigShare
- using open licenses, e.g. Creative Commons BY
- self archiving in archives or publishing on Open journals
- using open peer review, e.g. at PubPeer o F1000
- sharing preprints, e.g. at OSFpreprint, arXiv o biorXiv
- using actionable formats, e.g. with Jupyter o CoCalc
- open XML-drafting, e.g. at Overleaf o Authorea
- sharing protocols & workflows, e.g. at Protocols.io
- sharing notebooks, e.g. at OpenLabNotebook
- sharing code, e.g. at GitHub licensing GNU/MIT
- sharing data, e.g. at Dryad, Zenodo o Dataverse
- pre-registering, e.g. at OSFregistry o AsPredicted
- commenting openly, e.g. with Hypothes.is o Pund.it
- using shared reference libraries, e.g. with Zotero
- sharing (grant) proposals, e.g. with RIO Journal

2021

Elementi obbligatori e non

LE PRATICHE OPEN SCIENCE DETTAGLIATE NEL GRANT AGREEMENT SONO **OBBLIGATORIE**:

- OPEN ACCESS ALLE PUBBLICAZIONI
- OPEN ACCESS AI DATI

ALCUNE CALL POTRANNO AVERE ULTERIORI OBBLIGHI (SARÀ SPECIFICATO)

LE PRATICHE OPEN SCIENCE SUGGERITE NEL PROPOSAL TEMPLATE SONO **RACCOMANDATE**:

es. open peer review, pre registration, citizen science…

MA SU QUESTE PRATICHE SI VALUTA ECCELLENZA SCIENTIFICA E SOLIDITÀ DEL CONSORZIO

Open Science in HEU

IN EXCELLENCE – METHODOLOGY /QUALITY OF IMPLEMENTATION

1) SPIEGATE COME IMPLEMENTERETE MANDATORY OS PRACTICES
2) COME ADOTTERETE RECOMMENDED OS PRACTICES – VALUTAZIONE MIGLIORE!
3) GISUTIFICATE SE RITENETE CHE NESSUNA PRATICA OS SIA ADATTA AL PROGETTO

Open science practices are evaluated under the **'Excellence'** criterion (in particular under methodology) and under the **'Quality and efficiency of implementation'** award criterion. Proposers should address open science practices in the relevant section on open science under methodology[20].

Proposers will have to provide concrete information on **how** they plan to comply with the **mandatory open science** practices. Failure to sufficiently address this, will result in a lower evaluation score.

A clear explanation of how they will adopt **recommended practices**, as appropriate for their projects, will result in a higher evaluation score.

If proposers believe that none of the open science practices (mandatory or recommended) apply to their project, then they have to provide a **justification**.

Under the 'excellence' part of their proposals, in the section on methodology, proposers should describe how open science practices (mandatory and recommended, as appropriate) are implemented as an integral part of the methodology and show how their implementation is adapted to the nature of their work, therefore increasing the chances of the project delivering on its objectives. Information relevant to the specific area of the proposal should be provided in no more than one page. If open science practices are not applicable to the proposal, justifications should be provided sp that, if

Mandatory OS practices

DA DETTAGLIARE ANCHE NELLA PROPOSTA. COME SARÀ CONFORME IL PROGETTO A QUESTI OBBLIGHI?

OPEN ACCESS AI TESTI:

1. DEPOSITO IN TRUSTED REPOSITORY [SEMPRE]
2. DARE ACCESSO IMMEDIATO
3. OGNI ELEMENTO UTILE A VALIDARE
4. METADATI

TESTI
Tre modi per essere conformi

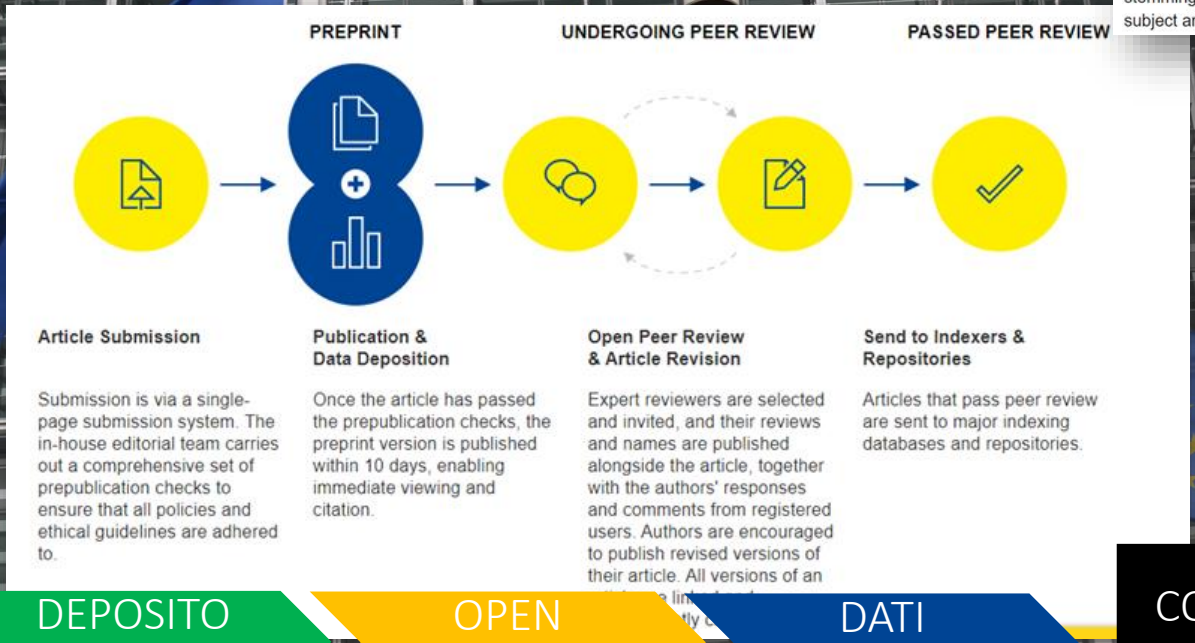
1. PUBBLICO SU ORE – OPEN RESEARCH EUROPE

2. PUBBLICO SU UNA RIVISTA OPEN ACCESS E DEPOSITO

3. PUBBLICO SU UNA RIVISTA TRADIZIONALE E MANTENGO I DIRITTI PER DEPOSITO+ ACCESSO IMMEDIATO

Come fare / 1. pubblico in ORE

ORE



DEPOSITO [INCLUSO]

OPEN IMMEDIATO

DATI [INCLUSO]

CON QUESTO SIETE GIÀ CONFORMI

CON ORE, IN PIÙ:

GRATIS

OPEN PEER REVIEW

INDICIZZAZIONE

NON INCLUDERE NEL BUDGET

CONTA COME PRATICA OPEN

CONTA PER MAX IMPATTO

Come fare / 2. Pubblico su una rivista Open Access [Gold o Diamond]

Three tips to choose a publishing venue using the Directory of Open Access Journals (DOAJ)

Published on January 11, 2021

Jan. 11, 2021

Andrea Chiarelli
Senior Consultant at Research Consulting | Enhancing the effectiveness and impact of research
4 articles ✓ Following

DOAJ DIRECTORY OF OPEN ACCESS JOURNALS
Apply News About For Publishers API

DOAJ

OLTRE 15.000 RIVISTE
FULL OPEN ACCESS

DEPOSITO [STA A VOI]

OPEN IMMEDIATO

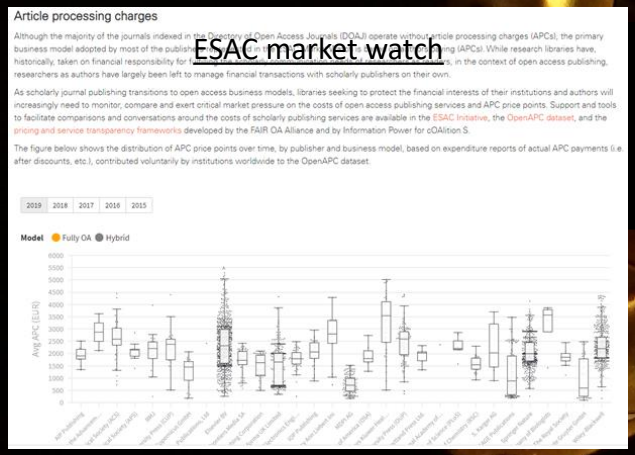
DATI [STA A VOI]

SIETE CONFORMI

- IRIS/APERTO
- ZENODO

COSTI?

- ZENODO
- [RE3DATA]



ESAC market watch

27% CHIEDE PAGAMENTO SPESE PUBBLICAZIONE 250-2900 $

- EVENTUALI SPESE VANNO INCLUSE NEL BUDGET
- PER CALCOLARE, UNA MEDIA IN ESAC MARKET
- CONTROLLATE LA VOSTRA RIVISTA

RIMBORSABILI SOLO SPESE PER
- FULL OPEN ACCESS (NO IBRIDO)
- DIGITALE (NO LIBRI A STAMPA)

Come fare / 3. Pubblico su una rivista tradizionale

DEPOSITO [STA A VOI]

- IRIS/APERTO
- ZENODO

OPEN IMMEDIATO

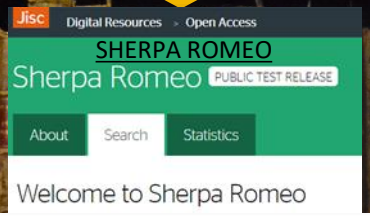
POSSO?

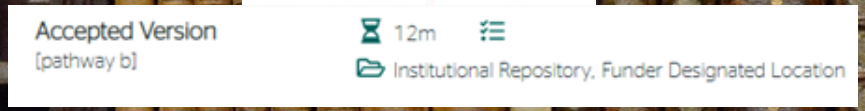
DATI [STA A VOI]

- ZENODO
- [RE3DATA]

SIETE CONFORMI

VERIFICATE EVENTUALE EMBARGO (SHERPA ROMEO)





SE VIENE RICHIESTO EMBARGO, DOVETE MANTENERE I DIRITTI PER DARE ACCESSO IMMEDIATO NELL'ARCHIVIO OPEN

SI TRATTA DI UNA PRIOR OBLIGATION VERSO L'ENTE FINANZIATORE CON CUI AVETE FIRMATO AGREEMENT

NELL' ANNOTATED MODEL GRANT AGREEMENT CI SARÀ UNA CLAUSOLA DA AGGIUNGERE AI CONTRATTI

Come fare / 3. Pubblico su una rivista tradizionale

⚠ Publishing fees (including page charges or colour charges) for publications in other venues, for example in subscription journals (including hybrid journals) or in books that contain some scholarly content that is open and some that is closed are NOT eligible costs. Publishing fees for open access books may be eligible to the extent that they cover the first digital open access edition of the book (which could include different formats such as html, pdf, epub, etc.). Printing fees for monographs and other books are NOT eligible.

«TRUSTED REPOSITORY»

Trusted repositories are:

- Certified repositories (e.g. CoreTrustSeal, nestor Seal DIN31644, ISO16363) or disciplinary and domain repositories commonly used and endorsed by the research communities. Such repositories should be recognised internationally.
- General-purpose repositories or institutional repositories that present the essential characteristics of trusted repositories, i.e.:
  - display specific characteristics of organisational, technical and procedural quality such as services, mechanisms and/or provisions that are intended to secure the integrity and authenticity of their contents, thus facilitating their use and re-use in the short- and long-term. Trusted repositories have specific provisions in place and offer explicit information online about their policies, which define their services (e.g. acquisition, access, security of content, long-term sustainability of service including funding etc.).
  - provide broad, equitable and ideally open access to content free at the point of use, as appropriate, and respect applicable legal and ethical limitations. They assign persistent unique identifiers to contents (e.g. DOIs, handles, etc.), such that the contents (publications, data and other research outputs) are unequivocally referenced and thus citeable. They ensure that contents are accompanied by metadata sufficiently detailed and of sufficiently high quality to enable discovery, reuse and citation and contain information about provenance

facilitate mid- and long-term preservation of the deposited material. They have mechanisms or provisions for expert curation and quality assurance for the accuracy and integrity of datasets and metadata, as well as procedures to liaise with depositors where issues are detected. They meet generally accepted international and national criteria for security to prevent unauthorized access and release of content and have different levels of security depending on the sensitivity of the data being deposited to maintain privacy and confidentiality.

- INTEGRITY
- PRESERVATION
- SECURITY
- IDENTIFIERS
- OPEN REUSE (LICENCES)

Right retention clause

CLAUSOLA DA USARE AL MOMENTO DELLA SUBMISSION
[PRIOR OBLIGATION]

beneficiaries/researchers are encouraged to notify publishers of their grant agreement obligations (including the licensing requirements) already at manuscript submission. For example, by adding the following statement to their manuscript: "*This work was funded by the European Union under the Horizon Europe grant [grant number]. As set out in the Grant Agreement, beneficiaries must ensure that at the latest at the time of publication, open access is provided via a trusted repository to the published version or the final peer-reviewed manuscript accepted for publication under the latest available version of the Creative Commons Attribution International Public Licence (CC BY) or a licence with equivalent rights. CC BY-NC, CC BY-ND, CC BY-NC-ND or equivalent licenses could be applied to long-text formats.*" If the publishing agreement is contrary to the grant agreement obligations, authors should negotiate its terms and, alternatively, look for a different publishing venue/options.

GLI EDITORI COMMERCIALI STANNO DANDO INFORMAZIONI FUORVIANTI

[ATTENZIONE]

Plan S
Making full and immediate Open Acc

2021 March

The Rights Retention Strategy: cOAlition S and beyond

Webinar: International and national copyright policy action for Open Access | 8 March 2021

Publishers' smoke & mirrors
What authors may be told

- *You cannot use the RRS statement when submitting to this journal.*
  Answer: You can and you should. The only option for the journal is to refuse your paper.
- *This journal does not allow AAMs to be made OA under the RRS*
  Answer: The RRS takes precedence over any restrictions formulated by the publisher. Are you rejecting my submission?
- *If you use your AAM it will have to be under the journal's embargo, even if you used the RRS wording.*
  Answer: The CC BY licence applied to the AAM by the author takes precedence over any publisher embargo.
- *Choosing the green route means the work is under an embargo that is not compatible with your funder's policy.*
  Answer: Let me repeat: the CC BY licence applied to the AAM by the author takes precedence over any publisher embargo.

Publishers' smoke & mirrors
What authors may be told

- *You must pay an APC to be compliant with your funder, even if the funder will not reimburse it (e.g. in a hybrid journal with no TA)*
  Answer: No need not pay for an APC in such journals to be compliant with your funder's policy, the RRS suffices.
- *Before proceeding with your submission, you must click here to agree to paying for an APC for publication (even if your funder does not)*
  Answer: Submit elsewhere. The publisher is tricking you into a contractual agreement and subverting the RRS.
- *Using the RRS will undermine academic publishers and their transition to Open Access.*
  Answer: Physics papers in ArXiv have not led to the demise of their corresponding physics journals. See also Royal Society!
- *The repositories where you deposit the AAM are not up to the task*
  Answer: Repositories are largely compliant with Plan S.

[PlanS alla

Apr. 2021

Plan S
Making full & immediate Open Access a reality

Plan S | Principles & Implementation | cOAlition S | News | Resources | FAQ | Blog | Contact

Go back

The Rights Retention Strategy and publisher equivocation: an open letter to researchers

20/04/2021

cOAlition S strategy of applying a prior licence to the Author's Accepted Manuscript (AAM) is designed to facilitate full and immediate open access of funded scientific research for the greater benefit of science and society. It helps authors exercise their ownership rights on the AAM, so they can share it immediately in a repository under an open licence.

The manuscript – even after peer-review – is the intellectual creation of the authors. The RRS is designed to protect authors' rights. The costs that publishers incur for the AAM, such as managing the peer-review process, are covered by subscriptions or publication fees. Delivering such publication services does therefore not entitle publishers to limit, constrain or appropriate ownership rights in the author's AAM.

Some subscription publishers have recently put in place practices that attempt to prevent cOAlition S funded researchers from exercising their right to make their AAM open access immediately on publication.

Publisher practices

ISTRUZIONI PER CONTRASTARE LE INFORMAZIONI/PRATICHE FUORVIANTI DEGLI EDITORI

Confusing and misleading guidance to authors

For example, some publishers indicate that they do not "support" rights
cOAlition S funded researchers do not need the publisher's permission to immediately share their AAM zero embargo with a CC BY licence, as long as the publisher has been given notice of the prior licence. The July 2020 letter to publishers made this clear, and these requirements are reinforced by funded researchers who are required to include specific language with every submission.

Other publishers suggest that authors can only comply with funders' requirements by using a gold open access route. That is simply incorrect. The JCT provides guidance here.

Rejecting submissions to a subscription journal that carry the RRS language and re-routing these submissions to full Open Access journals

To avoid the possibility that an AAM in a subscription journal is made open access without embargo, the publisher may try to re-route the submission to a fully open access journal in which they publish. Such a re-routing process should be explicitly highlighted at the start of the submission process.

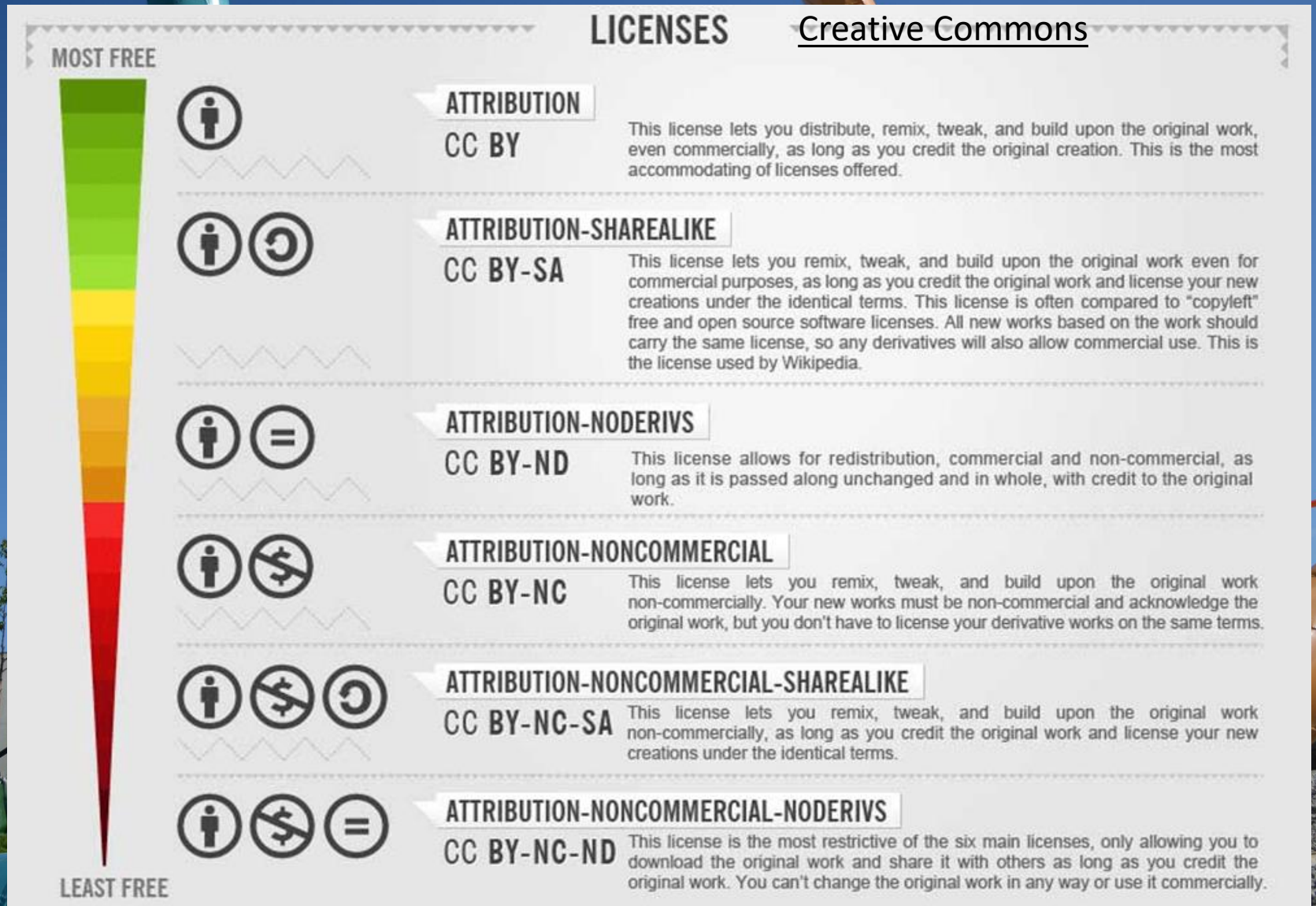
Modifying submission systems such that authors are required to agree to paying an open access fee (Article Processing Charge)

In this example, publishers only allow articles to be submitted to a hybrid journal if the author agrees to pay an APC, even though the publisher is aware that the cOAlition S funder will not cover these costs and that the author may not have access to alternative funds for the APC. We urge researchers to be cautious about what they sign or select on their submission screens.

Encouraging authors to breach their funder's grant conditions

Some publishers, who recognise that from a copyright perspective the prior licence trumps any conflicting provision in a subsequent licence, are now asking authors to agree to specific terms within their publishing agreements to try and stop them sharing their AAM immediately on publication.

[Licenze Creative Commons]



[Guide

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Horizon Europe

Programme Guide

While it is not mandatory to publish (if a project intends to exploit its results, it may decide not to publish), if **scientific peer-reviewed publications** are produced then they must be open access immediately at publication time under open licenses (such as Creative Commons), providing specific minimum sets of rights of reuse (CC BY for articles and book chapters in edited books and CC BY, CC BY-NC, CC BY-ND, CC BY-NC-ND or equivalent for long-text formats. The following checklist shows what users can do with publications and other outputs licensed under the following Creative Commons licenses.

	YOU CAN			**YOU MUST**	**YOU MAINTAIN**
	Share	**Use for**	**Adapt**	**Attribute**	**Copyright,**
	(copy and redistribute the material in any medium or format)	**commercial purposes**	**(remix, transform and build upon the material)**	**Give appropriate credit, provide a link to the license, and indicate if changes were made.**	**database rights**
CC BY	Yes	Yes	Yes	Yes	Yes
CC BY NC	Yes	No	Yes	Yes	Yes
CC BY ND	Yes	Yes	No If you remix, transform, or build upon the material, you may not distribute the modified material.	Yes	Yes
CC BY NC ND	Yes	No	No	Yes	Yes
CC0	Yes	Yes	Yes	No	No: Waived

It is important to be aware that Horizon Europe requires that enough intellectual property rights are maintained by beneficiaries or authors to ensure the required open access to scientific publications.

[Licenze Creative Commons]

Licenze Open Access: perché non c'è più bisogno di discuterne?

infografica a cura di Simone Aliprandi (www.aliprandi.org)

Perché? Per un semplice motivo: perché la Dichiarazione di Berlino del 2003 **è così chiara** su quell'aspetto che non ha più senso continuare a chiedersi quali siano le licenze adeguate per fare Open Access.

Chiunque sostiene che ci sia bisogno di ulteriore dibattito o non ha letto/compreso quel documento o ha interesse a diffondere incertezza.

La Dichiarazione di Berlino pone **due semplici requisiti** per rientrare nella definizione di Open Access cristallizzata dal 2003 e universalmente accettata.
Il primo dei due requisiti recita:

> *L'autore e il detentore dei diritti del contenuto devono garantire a tutti gli utilizzatori il diritto d'accesso gratuito, irrevocabile ed universale e l'autorizzazione a riprodurlo, utilizzarlo, distribuirlo, trasmetterlo e mostrarlo pubblicamente e a produrre e distribuire lavori da esso derivati, mantenendo comunque l'attribuzione della paternità intellettuale originaria.*

SIMONE ALIPRANDI BLOG: Licenze Open Access: perché non c'è più bisogno di discuterne?

[Licen

Di conseguenza, usando come riferimento il set Creative Commons le licenze per fare Open Access sono...

CC Zero*

Attribution

Attribution – Share Alike

licenze coerenti con la definizione di Open Access

Attribution – No Derivatives

* *tecnicamente CC Zero non è una licenza, ma un atto di rinuncia ai diritti.*

Attribution – Non commercial

Attribution – Non commercial – Share Alike

Attribution – Non commercial – No Derivatives

Obiezioni?

1) Ma il sito DOAJ.ORG indicizza anche le riviste con licenze diverse da quelle tre...

Certo, infatti i responsabili di quel sito sbagliano. Basterebbe indicare le riviste sotto licenza CC BY e CC BY-SA con un colore diverso rispetto alle altre, o distinguerle con un asterisco.

2) Ma l'editore XY ha una sezione "Open Access" sul suo sito e da lì lascia scaricare i PDF di libri e articoli senza alcuna licenza…

Certo; ma quello è marketing, non è vero Open Access.

SIMONE ALIPRANDI BLOG: Licenze Open Access: perché non c'è più bisogno di discuterne?

Mandatory OS practices

DA DETTAGLIARE ANCHE NELLA PROPOSTA. COME SARÀ CONFORME IL PROGETTO A QUESTI OBBLIGHI?

OPEN ACCESS AI DATI:

1. FORNIRE UN **DATA MANAGEMENT PLAN** E AGGIORNARLO REGOLARMENTE
2. DEPOSITARE IN UN ARCHIVIO AFFIDABILE, **SE ESPLICITAMENTE RICHIESTO** DALLA CALL L'ARCHIVIO DOVRÀ ESSERE FEDERATO IN EOSC

«AS OPEN AS POSSIBLE AS CLOSED AS NECESSARY»

Deposito dei dati

2. Beneficiaries must deposit the data in a trusted repository (see explanation above) a
open access through the repository, as soon as possible and within the deadlines set
DMP.

Deposition of data must take place as soon as possible after data production/gen
after adequate processing and quality control have taken place, providing value and context to the data and at the latest by the end of the project. This does not entail that data must be made open, but rather that it is deposited so that metadata information is available and hence information about the data is findable. In exceptional cases in which specific constraints apply (e.g. security rules), deposition can be delayed beyond the end of the project.

Data includes raw data, to the extent technically feasible, but especially if it is crucial to enable reanalysis, reproducibility and/or data reuse.

Data underpinning a scientific publication should be deposited at the latest at the time of publication, and in line with standard community practices.

For calls with a condition relating to the European Open Science Cloud (EOSC): data must be deposited in trusted repositories that are federated in the EOSC in compliance with the EOSC requirements. A list of the services offered by EOSC, including for storage and processing of research data, can be found at the EOSC Portal.

Open access is required as the default for research data under the principle 'as open as possible, as closed as necessary'. This means that, as an exception, beneficiaries may or must keep certain data closed for justified reasons (see below); beneficiaries must explain in the DMP the exception(s) under which they choose to or must restrict access to some or all of the research data.

⚠ These exceptions are: if providing open access is against the beneficiary's legitimate interests, including regarding commercial exploitation; if it is contrary to any other constraints, such as data protection rules, privacy, confidentiality, trade secrets, Union competitive interests, security rules, intellectual property rights or would be against other obligations under the Grant Agreement.

eneral > Annex 5 > HE Annex 5

Deposito dei dati

RICHIESTA
CC0

Licensing requirements. Research data made open access must be licensed under the latest version of a Creative Commons Attribution International Public Licence (CC BY) requiring attribution of authorship, or a licence providing equivalent rights, or under a Creative Commons Public Domain Dedication (CC0) or equivalent (which waives any rights to the data). The latter may be appropriate in particular for large datasets that can be more easily reused without restrictions, or in any other case if authors so desire. A Creative Commons Public Domain Mark (PDM) or equivalent should be applied to raw research data unless the data meet the requirements to be protected by copyright/database right.

Requirements for the re-use and validation of data. Information must be given via the repository about any research output or any other tools and instruments needed for the re-use or validation of research data. Research outputs, tools and instruments may include data, software, algorithms, protocols, models, workflows, electronic notebooks and others. Information must include a detailed description of the research output/tool/instrument, how to access it, any dependencies on commercial products, potential version/type, potential parameters etc.

Best practice: Beneficiaries are encouraged to provide open access to these research outputs, tools and instruments unless legitimate interests or constraints apply.

Pratiche raccomandate / 1

Application form (Part A)

Application Forms

Proposal ID **XXXXXXXXX** *Acronym* **XXXXXXX** Participant short name: **XXXX**

Researchers involved in the proposal

Include only the researchers involved in the proposal, (see below definition of 'researcher'). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.

'Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)'

Include also person in charge of the proposal if a researcher.

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage[1]	Role of researcher (in the project)	Reference Identifier	Type of identifier
			[Woman] [Man] [...inary]			[Category A – Top grade researcher] [Category B – Senior researcher] [Category C – Recognised researcher]	[Leading] [Team member]		[ORCID] [Researcher Id] [Other - specify]

LISTA DEI RISULTATI RILEVANTI AI FINI DELLA PROPOSTA

List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description
[Publication] [Dataset] [Software] [Good]	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent identifier (PID). Publications, in particular journal articles, are expected to be open access. Datasets are expected to be FAIR and 'as open as possible, as closed as necessary'.

SIGNIFICA CHE DEVONO ESSERE ACCESSIBILI CON UN CLICK

- RICHIESTI GLI IDENTIFICATIVI [ORCID, DOI…]
- ARTICOLI OPEN [DEPOSITO O PUBBLICAZIONE]
- DATI FAIR AS OPEN AS POSSIBLE

Open Science in HEU

PARTE A, LE 5 PUBBLICAZIONI:

- SE NON PUBBLICATE OPEN, DEPOSITATELE!
- NON VERRANNO VALUTATE CON IMPACT FACTOR

PARTE A, I DATI:

- AS OPEN AS POSSIBLE, FAIR

Finally, in **part A of their proposals**, proposers are asked to list up to five relevant publications, widely used datasets or other achievements of consortium members that they consider significant for the action proposed. Open access is expected for publications, in particular journal articles, while datasets are expected to be FAIR and 'as open as possible, as closed as necessary'. If publications are not open access, proposers are strongly encouraged to deposit them retroactively in repositories and provide open access to them when possible. The significance of publications will not be evaluated on the basis of the Journal Impact Factor of the venue they are published in, but on the basis of a qualitative assessment provided by the proposers for each publication.

Pratiche raccomandate / 2

OPEN SCIENCE COME METODO

Proposal template Part B: technical description

Excellence – aspects to be taken into account.

- Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art.

Soundness of the proposed methodology, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

V.2 April 2021

Horizon Europe Programme

Standard Application Form (RIA, IA)

Application form (Part A)
Project proposal – Technical description (Part B)

PART B

1.2 Methodology *[e.g. 15 pages]*

- Describe how appropriate open science practices are implemented as an integral part of the proposed methodology. Show how the choice of practices and their implementation are adapted to the nature of your work, in a way that will increase the chances of the project delivering on its objectives *[e.g. 1 page]*. If you believe that none of these practices are appropriate for your project, please provide a justification here.

⚠ *Open science is an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process. Open science practices include early and open sharing of research (for example through preregistration, registered reports, pre-prints, or crowd-sourcing); research output management; measures to ensure reproducibility of research outputs; providing open access to research outputs (such as publications, data, software, models, algorithms, and workflows); participation in open peer-review; and involving all relevant knowledge actors including citizens, civil society and end users in the co-creation of R&I agendas and contents (such as citizen science).*

⚠ *Please note that this question does not refer to outreach actions that may be planned as part of communication, dissemination and exploitation activities. These aspects should instead be described below under 'Impact'.*

NOVITÀ ASSOLUTA IN HEU: DECLINARE LE PRATICHE OPEN

OPEN SCIENCE NON RIGUARDA QUI LA DISSEMINAZIONE MA LA METODOLOGIA DI RICERCA [«ECCELLENZA»]

[Guide]

OPEN ACCESS [P.41 and 48-50]

Open access: Offer specific information on how you will meet the open access requirements, that is deposition and immediate open access to publications and open access to data (the latter with some exceptions and within the deadlines set in the DMP) through a trusted repository, and under open licenses. You may elaborate on the (subscription-based or open access) publishing venues that you will use. You may also elaborate on the trusted repository/repositories through which open access to publications and research data will be provided (article 17). Open access to research data and other research outputs should be addressed in the section on research data management of your proposal. Research data should be open as a default, unless there are legitimate reasons for keeping them closed. On open access to data and the legitimate reasons for restricting access, consult the AGA (article 17).

As a general rule, open access to other research outputs such as software, models, algorithms, workflows, protocols, simulations, electronic notebooks and others is not required but strongly recommended. Access to 'physical' results like cell lines, biospecimens, compounds, materials, etc. is also strongly encouraged.

NON DIMENTICATE:
OPEN ACCESS È
- MANDATED
- RECOMMENDED
DOVETE DECLINARLI ENTRAMBI NELLA PROPOSTA!
E NON SOLO PER ARTICOLI!

[Guide]

How should you address open science practices in your proposal?

Make sure to read the Annotated Grant Agreement on the mandatory open science practices in combination with this guide[21].

Early and open sharing: Provide specific information on whether and how you will implement early and open sharing and for which part of your expected output. For example, you may mention what type of early and open sharing is appropriate for your

Preregistration of the research plan in a public repository makes available the research hypothesis, study design and planned analysis before data is collected. Preregistration is assisted by dedicated platforms; it increases the transparency, credibility and reproducibility of the results and helps addressing publication bias toward positive findings.

Registered reports are research articles that are peer-reviewed and published in two stages. The study design and analysis plan including hypothesis and methodology undergo peer-review of the quality and suitability of the research question and protocol. If accepted, research protocols are preregistered *(see preregistration)* and the final research article is provisionally accepted for publication. After the research is conducted, an article containing the results and discussion as well as any changes is submitted and undergoes a second round of peer-reviewing. Registered reports reduce publishing bias for positive results as the acceptance for publication is based on the quality of the research, regardless of the outcome.

EARLY AND OPEN SHARING [P. 40 and 42]

Preprints are scientific manuscripts that are publicly shared pr journal publication via preprint platforms. An increasing numb sharing of preprints prior to publication, but there are exception check the policy of their target journal to clear that a preprin publication.

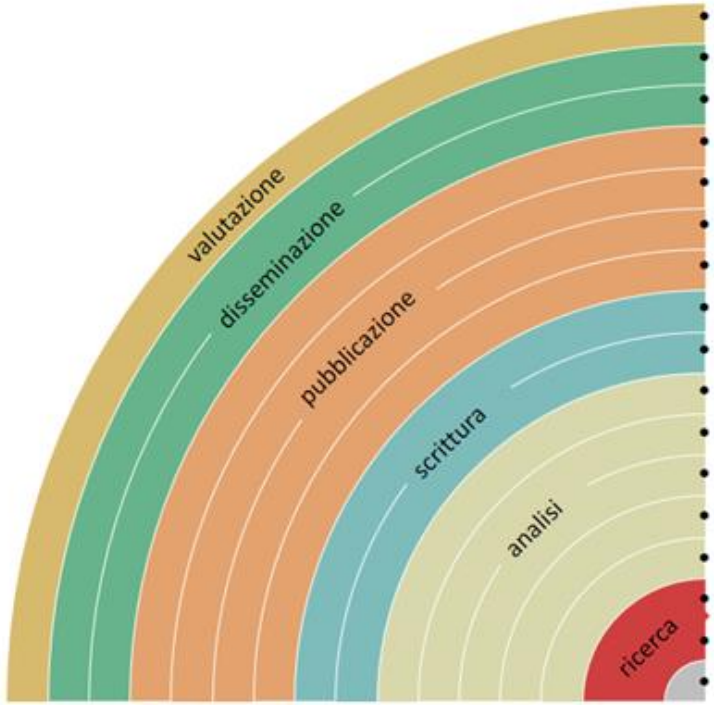
- Preclinicaltrials.eu (preclinical animal study p
- PROSPERO (health and social care)
- Evidence in Governance and Politics (EGAP) (
- Registry for International Development In sciences)

Preprint servers (examples)

- Zenodo – multidisciplinary;
- Preprints - multidisciplinary
- bioRxiv - Life sciences;

…verso l'Open Science

Come rendere Open ogni passo della ricerca…



- aggiungendo misure di impatto alternative, es. altmetrics
- comunicando sui social media, es. Twitter
- condividendo poster e presentazioni, es. su FigShare
- utilizzando licenze aperte, es. Creative Commons BY
- depositando in archivi o pubblicando su riviste Open
- provando la open peer review, es. PubPeer o F1000
- condividendo preprints, su OSFpreprint, arXiv o bioRxiv
- con formati leggibili dalle macchine, es. Jupyter o CoCalc
- con la scrittura collaborativa, es. Overleaf o Authorea
- condividendo protocolli e workflow, es. su Protocols.io
- condividendo note di laboratorio, es. OpenLabNotebook
- condividendo software, es. su GitHub con licenza GNU/MIT
- condividendo i dati, es. su Dryad, Zenodo o Dataverse
- pre-registrando esperimenti, es. OSFregistry o AsPredicted
- commentando pagine web, es. su Hypothes.is o Pund.it
- usando bibliografie condivise, es. su Zotero
- condividendo progetti di ricerca, es. su RIO Journal

OS rainbow

[Guide]

REPRODUCIBILITY
[P.41 and 47-48]

Reproducibility of research outputs: you should outline the measures planned in the project that tend to increase reproducibility. Such measures may already be interweaved in other parts of the methodology of a proposal (such as transparent research design, the robustness of statistical analyses, addressing negative results, etc) or in mandatory/non-mandatory open science practices *(e.g. the DMP, early sharing through preregistration and preprints, open access to software, workflows, tools, etc)* to be implemented. More detailed suggestions on good practices for enhancing reproducibility and resources in the relevant section below.

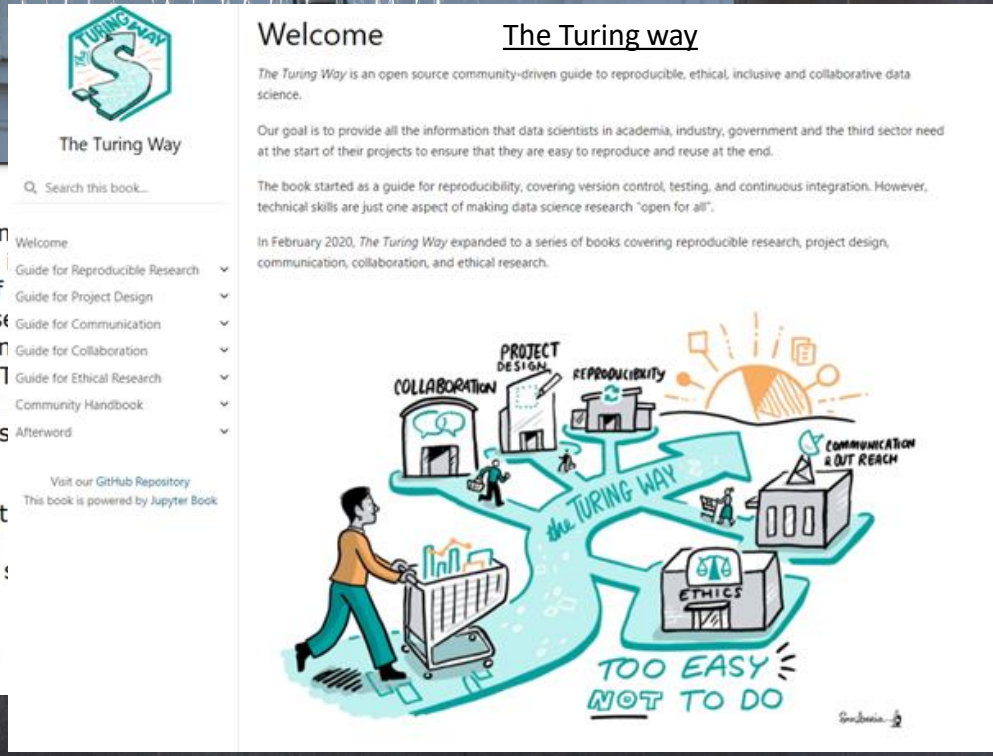
Horizon Europe requires information via the repository where publications and data have been deposited on any research output or any other tools and instruments - *data, software, algorithms, protocols, models, workflows, electronic notebooks and others* - needed for the re-use or validation of the conclusions of scientific publications and the validation and reuse of research data. Further, beneficiaries must provide digital or physical access to data or other results needed for the validation of the conclusions of

Measures to ensure reproducibility of results

Reproducibility is the possibility for the scientific community to obtain the san
as the originators of specific findings. Reproducibility of some or all results is
as it increases the performance of research & innovation (wider use of
results); it limits waste of resources (less duplication and fewer false base
increases the quality and the reliability of research (stronger methods, con
reporting); and, as a result, it may increase the trust of citizens in science. T
reproducibility is integral part of 'Excellence'; we expect the results of Horizon
be reproducible, and planning should start at proposal stage to make results
and reproducible.

Below is a list of practices which tend to increase reproducibility. Some of t
already be required by the MGA (for example DMP, FAIR) or by specific
proposers may interweave such practices in various parts of the methodology s
appropriate:

- Specify with precision and no ambiguities the research design methodologies that you will be applying.



[Guide]

Open peer review: Anytime it is possible, you are invited to prefer open peer review for your publications over traditional ('blind' or 'closed') peer review. When the case, you should provide specific information regarding the publishing venues you envisage to make use of, and highlight the venues that would qualify as providing open peer review.

Publishing using open peer-review

Open peer review is an umbrella term for various alternative review methods that seek to make classical peer review more transparent and accountable. It has neither a standardised definition, nor an agreed schema of its features and implementations. Open peer review refers to a peer review process that contains one or more of these elements[25]:

- Authors and reviewers are aware of each other's identity during or after the review process.
- Review reports are published alongside the relevant article.
- The wider community is able to contribute to the review process (peer researcher or even general public).
- Manuscripts are made immediately available in advance of the formal peer review procedure.
- Review or commenting on the final 'version of record' is made possible.
- Direct, reciprocal discussion between authors and reviewers and/or between reviewers is allowed and encouraged.
- Review can be decoupled from publishing when facilitated by a different organisational entity than the venue of publication *(e.g. publishing platforms)*.

Some journals and scholarly publishers apply open peer review. Some platforms, including preprint servers, may also facilitate open peer review of preprints. For example, Open Research Europe, the open access publishing platform of the European Commission uses the open peer review model, where both names of authors and reviewers are public, and the review report is open access.

Open peer review is an important aspect of open science. Opening up what has traditionally been a closed process increases opportunities to spot errors, validate findings and to increase the overall trust in published outputs. Open peer-review is considered by some among the measures that increase the quality of the peer review process (by making it more constructive), and the transparency of research (with

OPEN PEER REVIEW [P.41 and 51]

SE PUBBLICATE IN ORE-OPEN RESEARCH EUROPE LA ADOTTA SEMPRE

[Guide]

CITIZEN SCIENCE [P.42 and 52-53]

Citizen, civil society and end-user engagement

Citizen and civil society engagement is a programme principle and operational objective that refers to the opening up of R&I processes to society to develop better, more innovative and more relevant outcomes, and to increase societal trust in the processes and outcomes of R&I.

Opening up the R&I system towards society and supporting citizens, civil society and end-users to participate in R&I – as sources of ideas, knowledge and/or data, as data collectors and/or analysers, and/or as testers and/or end users – enlarges the collective intelligence, capabilities and scope of the R&I and is likely to lead to greater creativity and robustness of the outcomes and reduced time-to-market of the innovative products and services. It also increases the relevance and responsiveness of R&I, ensuring that its outcomes align with the needs, expectations and values of society. Moreover, it is a key element for improving the transparency, co-ownership and trust of society in the process and outcomes of R&I. Conducting R&I openly, responsibly, transparently, and in adherence to the highest standards of research integrity and ethics is also important for responding to increased science denial.

Co-design activities could involve workshops, focus groups or other means to develop R&I agendas, roadmaps or policies. These could be one-off activities in one or several different localities or repeated consultations with the same or varying groups. They could involve citizens and/or one or many organisation types at the same time. Co-

Co-creation activities, such as citizen science or user-led innovation, involve citizens or end-users directly in the development of new knowledge or innovations, through a range of different levels of participation. These could include identifying R&I questions to be tackled by the project, developing a methodology, observing, gathering and processing data, right up to the publication and presentation of results. The co-creation activities could be the focus of a proposal, or could be one of the methodological approaches taken alongside others.

Co-assessment activities, such as assisting in the monitoring and evaluation of the progress of the project, portfolio of projects, policies or programmes, help ensure an

[Guide]

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Horizon Europe

Programme Guide

2021

ORION open science

ORION INSPIRING STORIES

Ideas & examples

Co-creation menu

What is Co-creation?

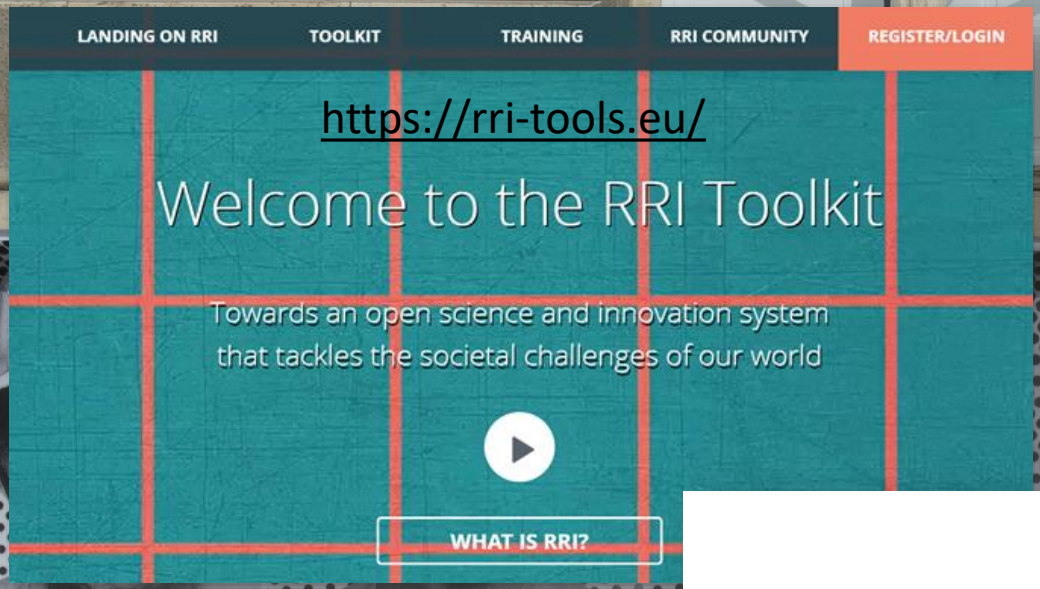
Co-creation has been defined as **"purposeful action of associating with strategic customers, partners or employees to ideate, problem solve, improve performance, or create a new product, service or business"**. In essence, co-creation experiences are a way in which to connect multiple stakeholders, bringing them together to discover their interests and values and using these opportunities to discuss, develop and implement projects or ideas to achieve new, inclusive, forward-thinking research strategies. As a result, co-creation experiences allow high-quality interactions and unique experiences, with those involved becoming connected, informed and empowered.

Co-creation experiences seek to engage multiple stakeholders at all points of the research lifecycle, from conception of a novel research project, through funding selection and resourcing, to dissemination of research findings and use of those findings within society, which in turn informs future funding calls. In this way, the hopes, concerns and aspirations of the end users of research, the public, are integrated from the very beginning of the process right through to the end. This concept maps well with the idea of making science truly open, transparent and responsive to societal needs, a new approach of the European Research Areaknown as Open Science.

Scenario Building Exercise	To plan and prepare fo
World Café & Science Café	To provide a about societal iss
Community-Based participatory Research (CBPR)	To involve CSOs members in all stages to framing and doing the researc
Participatory Action Research (PAR)	To engage citizens in a practical and transfo of their living conditions and everyday pr
Crowd Wise	To encourage
Demand Driven Research in Curriculum	To place research projects for t
Focus Groups	To determine the preferences of
Open Space Technology	Policy formulation, Programme development, P
Perspective Workshop	To explore possible myth forward guidelines on a given
Public Dialogue	To gather social intelligence to inform policy,
Public Participation in Developing an Common Framework for the Assessment and Management of Sustainable Innovation	To develop prio
User committee / Valorisation panels	To involve users formal monitoring and steeri
Consensus Conference	To enrich and expand a c
Future Search Conference	To encourage participants to th
Online Forums	To provide some form
Deliberative Polling	To get both a representative and an informed (deliberative)

Method Type	Method Name(s)	Objective	Audience Size	Audience Type	Event Time	Total Time	Budget (€-€€€€)	
Deliberative	Citizens Hearing	To inform and create discussion among citizens	20-25	Citizens, experts, decision-makers	1D	7M	€€€	Regional Development in Co
	Citizens Summit / Assembly	To find out the citizens' attitudes about political priorities and possible courses of action provided on an informed basis	200-5000	Anyone	1D	Var	€€€€	EU Proj
	Civic Dialogue	To encourage innovation, trust and confidence to facilitate the creation of a legitimate roadmap for moving forward in a particular direction	Var	CSOs, policy-makers, researchers	Var	Var	€€€	High-level dialogue on Intern
	Deep Democracy / The Lewis Method	To access and bring out the wisdom within a group, and particularly to release the creative potential that results from conflict	Var	Anyone	1-2 D	Var	€€	Conversation Across the Socic
	Deliberative Mapping	To provide a more robust, democratic and accountable decision making which better reflects public values	~ 60	Citizens, experts	6D	4M-1Y	€€€€	Appraising options for addressir
	Democs Card Game / Play Decide	To enable small groups of people to engage with complex public policy issues	4 to 8	Citizens	1-4 D	Var	€	Public engagement o 'Democs' tool, ESRC G
	Distributed Dialogue	To develop ongoing, embedded discussions around a topic	>5000	Researchers, citizens	2-5 D	>1Y	€€€	Bioenergy Dial
	Expert Panel	To synthesise a variety of inputs on a specialised topic and produce recommendations	~ 100	Researchers, citizens, policy makers	1-2 H	6M	€€	Translating Research into Practic
	Interdisciplinary Work Groups	To take professional stock of the situation and partly to propose possible courses of action to ensure, initiate, promote or check development in the area	15-30	CSOs, policy-makers, researchers	2-5 D	8M	€€	Opening up the Hur community, Da
	Multi Criteria Decision Analysis (MCDA)	To rank a set of options from the most preferred to the least preferred option; policy formulation, programme development	Var	CSOs, researchers, citizens	4D	1Y	€€	PorGrow - Polic growing challer
	Planning Cells / Citizens Jury	To develop a set of solutions to a problem delegated to the participants by a commissioning body	25	Citizens	4-5 D	5M	€€€€	Citizens jury on Water Mi
	Q Methodology	To gain insight into the diversity of perspectives	50-100	CSOs, policy-makers, researchers	3M	6M	€€	Biomass Dialogue, Instit
	Scenario Building Exercise	To plan and prepare for an uncertain future; vision building	Var	Anyone	2-5 D	6M	€-€€€	Research Agenda Scenario f
		To provide a means for public debates						
			100-500	Citizens with	1D	8M	€€€€	Europolis: Delil

Responsible research and innovation



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Pag. 52

Action catalogue of inclusive research methods

Methods to engage the public

The societal readiness Thinking Tool

Innovation Compass Self-check Tool for SMEs

Living innovation co-creation tool-kit for responsible innovation

Resources to open up research and innovation actors to society

Models and guidelines to increase patient engagement in health research

RRI Practice Handbook for research organisations

EU portal for citizen science projects, initiatives, networks, organisations, and training courses

Horizon Europe

Programme Guide

Pratiche raccomandate / 3

Proposal template Part B: technical description

1.2 **Methodology** *[e.g. 15 pages]*

- Research **data management and management of other research outputs:** Applicants generating/collecting data and/or other research outputs (except for publications) during the project must provide maximum 1 page on how the data/ research outputs will be managed in line with the FAIR principles (Findable, Accessible, Interoperable, Reusable), addressing the following (the description should be specific to your project): *[1 page]*

GESTIONE DATI

Types of data/research outputs (e.g. experimental, observational, images, text, numerical) and their estimated size; if applicable, combination with, and provenance of, existing data.

Findability of data/research outputs: Types of persistent and unique identifiers (e.g. digital object identifiers) and trusted repositories that will be used.

Accessibility of data/research outputs: IPR considerations and timeline for open access (if open access not provided, explain why); provisions for access to restricted data for verification purposes.

Interoperability of data/research outputs: Standards, formats and vocabularies for data and metadata.

Reusability of data/research outputs: Licenses for data sharing and re-use (e.g. Creative Commons, Open Data Commons); availability of tools/software/models for data generation and validation/interpretation /re-use.

ART. 6.2.C3 GRANT

Curation and storage/preservation costs, person/team responsible for data management and quality assurance.

⚠ *Proposals selected for funding under Horizon Europe will need to develop a detailed data management plan (DMP) for making their data/research outputs findable, accessible, interoperable and reusable (FAIR) as a deliverable by month 6 and revised towards the end of a project's lifetime.*

⚠ *For guidance on open science practices and research data management, please refer to the relevant section of the HE Programme Guide on the Funding & Tenders Portal.*

DATA MANAGEMENT INCLUSO IN «ECCELLENZA»

- QUI VA SOLO FORNITO UNO SCHEMA (1 PAGINA)
- DIMOSTRATE CHE LI GESTIRETE FAIR
- IL DMP VA PRESENTATO ENTRO M6 (DELIVERABLE)

[Guide]

FAIR DATA MANAGEMENT [P.41 and 44-46]

Research data management and management of other research outputs

Research data management (RDM) is the process within the research lifecycle that includes the data collection or acquisition, organisation, curation, storage, (long-term) preservation, security, quality assurance, allocation of persistent identifiers (PIDs), provision of metadata in line with disciplinary requirements, licencing, and rules and procedures for sharing of data. RDM is an essential element in any project that generates, collects or re-uses data. Planning ahead to data needs that proposers are likely to encounter during the project is a best practice. For example, provisions need to be in place to ensure that data is managed responsibly *(e.g. the right venue is chosen for deposition, adequate are issued, legal provisions suc Regulation (GDPR) are respected, etc)*. Further, data m

with the FAIR principles[23], to ensure that researchers car other's data, maximising the effectiveness and rep undertaken.

RDM, in line with the FAIR principles is a requiremen regardless of whether the data generated and re-used in openly accessible, or if access restrictions are foreseen. open data (publicly available to everyone to access and re FAIR even when access is restricted.

RDM and the FAIR principles can be applied to research outputs other than data *(i.e. workflows, protocols, software, samples, etc)*. Proposers are recommended to consider robust management practices for data and other research outputs as early as the proposal stage of their project.

NON DIMENTICATE: FAIR DATA MANAGEMENT È
- MANDATED
- RECOMMENDED
DOVETE TRATTARLI ENTRAMBI!

- **Data set description**: a sufficiently detailed description of the data generated or re-used, including the scientific focus and technical approach to allow association of their data sets with specific research as well as information on data types and an estimate of the data set's size.
- **Standards and metadata**: the protocols and standards used to structure the data (i.e. fully reference the metadata) so that other scientists can make an assessment and reproduce the dataset. If available, a reference to the community data standards with which their data conform and that make them interoperable with other data sets of similar type.
- **Name and persistent identifier for the data-sets**: a unique and persistent identification (an identifier) of the data sets and a stable resolvable link to where the data sets can be directly accessed. Submission to a public repository normally provides this; many institutional repositories provide similar services.

BEWARE OF COSTS!!!!!

- **Curation and preservation methodology**: information on the standards that will be used to ensure the integrity of the data sets and the period during which they will be maintained, as well as how they will be preserved and kept accessible in the longer term. A reference to the public data repository in which the data will be/is deposited with relevant consideration on whether the chosen repository meets the requirements of a trusted repository.
- **Data sharing methodology**: information on how the data sets can be accessed, including the terms-of-use or the license under which they can be accessed and re-used, and information on any restrictions that may apply or relevant security and privacy considerations. It is also important to specify and

DMP schematico

QUI DOVETE ANCHE GIÀ ANTICIPARE SE CI SARANNO DATI CHIUSI E PER QUALE MOTIVO

1 PAGINA CHE INCLUDA

1. TIPO DI DATI (SPERIMENTALI, OSSERVAZIONI…)
2. IDENTIFICATIVI
3. POLITICHE DI ACCESSO (OPEN/CLOSED/EMBARGO)
4. LUOGO DI ACCESSO (REPOSITORY)
5. STANDARD, ONTOLOGIE
6. DOCUMENTAZIONE E TUTTO CIÒ CHE SERVE A VALIDARE E RIUSARE
7. LICENZE PER RIUSO
8. CONSERVAZIONE (E COSTI CONNESSI)

IN QUESTA SEZIONE DOVETE DARE L'IDEA DI SAPER GESTIRE OGNI FASE DEL CICLO DEI DATI IN MODO FAIR E RESPONSABILE

DMP template Horizon Europe

2021

Horizon Europe

Data Management Plan Template

NUOVO MODELLO PER DMP
(GIÀ IN DMPONLINE)

1. Data Summary

Will you re-use any existing data and what will you re-use it for? State the reasons if re-use of any existing data has been considered but discarded.

What types and formats of data will the project generate or re-use?

What is the purpose of the data generation or re-use and its relation to the objectives of the project?

What is the expected size of the data that you intend to generate or re-use?

What is the origin/provenance of the data, either generated or re-used?

To whom might your data be useful ('data utility'), outside your project?

2. FAIR data

2.1. Making data findable, including provisions for metadata

Will data be identified by a persistent identifier?

Will rich metadata be provided to allow discovery? What metadata will be created? What disciplinary or general standards will be followed? In case metadata standards do not exist in your discipline, please outline what type of metadata will be created and how.

Will s

Will r

2.2. Making data accessible

Repository:

Will the data be deposited in a trusted repository?

Have you explored appropriate arrangements with the identified repository where your data will be deposited?

Does the repository ensure that the data is assigned an identifier? Will the repository resolve the identifier to a digital object?

Data:

Will all data be made openly available? If certain datasets cannot be shared (or need to be shared under restricted access conditions), explain why, clearly separating legal and contractual reasons from intentional restrictions. Note that in multi-beneficiary projects it is also possible for specific beneficiaries to keep their data closed if opening their data goes against their legitimate interests or other constraints as per the Grant Agreement.

If an embargo is applied to give time to publish or seek protection of the intellectual property (e.g. patents), specify why and how long this will apply, bearing in mind that research data should be made available as soon as possible.

Will the data be accessible through a free and standardized access protocol?

If there are restrictions on use, how will access be provided to the data, both during and after the end of the project?

How will the identity of the person accessing the data be ascertained?

Is there a need for a data access committee (e.g. to evaluate/approve access requests to personal/sensitive data)?

Metadata:

Will metadata be made openly available and licenced under a public domain dedication CC0, as per the Grant Agreement? If not, please clarify why. Will metadata contain information to enable the user to access the data?

Pratiche raccomandate / 4

MASSIMIZZARE L'IMPATTO – DEVE ESSERE COERENTE CON 1.2

Proposal template Part B: technical description

2. Impact

pact – aspects to be taken into account.

- Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.
- Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

res to maximise impact - Dissemination, exploitation and communication *[e.g. 5 pages, including section 2.3]*

- Describe the planned measures to maximise the impact of your project by providing a first version of your 'plan for the dissemination and exploitation including communication activities'. Describe the dissemination, exploitation and communication measures that are planned, and the target group(s) addressed (e.g. scientific community, end users, financial actors, public at large).

⚠ *Please remember that this plan is an admissibility condition, unless the work programme topic explicitly states otherwise. In case your proposal is selected for funding, a more detailed 'plan for dissemination and exploitation including communication activities' will need to be provided as a mandatory project deliverable within 6 months after signature date. This plan shall be periodically updated in alignment with the project's progress.*

⚠ *Communication[1] measures should promote the project throughout the full lifespan of the project. The aim is to inform and reach out to society and show the activities performed, and the use and the benefits the project will have for citizens. Activities must be strategically planned, with clear objectives, start at the outset and continue through the lifetime of the project. The description of the communication activities needs to state the main messages as well as the tools and channels that will be used to reach out to each of the chosen target groups.*

⚠ *All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project, e.g. standardisation activities. Your plan should give due consideration to the possible follow-up of your project, once it is finished. In the justification, explain why each measure chosen is best suited to reach the target group addressed. Where relevant, and for innovation actions, in particular, describe the measures for a plausible path to commercialise the innovations.*

V.2 April 2021

Horizon Europe Programme

Standard Application Form (RIA, IA)

Application form (Part A)
Project proposal – Technical description (Part B)

Version 2.0
22 April 2021

PART B

DELINEARE IL PIANO DI DISSEMINAZIONE E COMUNICAZIONE (VA POI PRESENTATO AL MESE 6 COME DELIVERABLE) CHE È NECESSARIO PER AMMISSIBILITÀ

HEU- template - IMPATTO

SIATE SCHEMATICI

T B

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
What are the specific needs that triggered this project?	What do you expect to generate by the end of the project?	What dissemination, exploitation and communication measures will you apply to the results?
Example 1 Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers.	Example 1 **Successful large-scale demonstrator:** **Successful large-scale demonstrator:** Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management. **Algorithmic model:** Novel algorithmic model for proactive airport passenger flow management.	Example 1 **Exploitation:** Patenting the algorithmic model. **Dissemination towards the scientific community and airports:** Scientific publication with the results of the large-scale demonstration. **Communication towards citizens:** An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives.
Example 2 Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.	Example 2 Publication of a **scientific discovery on transparent electronics.** **New product:** More sustainable electronic circuits. **Three PhD students trained**	Example 2 **Exploitation of the new product:** Patenting the new product; Licencing to major electronic companies. **Dissemination towards the scientific community and industry:** Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolios to disseminate the results as part of a group and maximise the visibility vis-à-vis companies.

RICORDARSI CHE LA DECISIONE SE SFRUTTARE COMMERCIALMENTE (BREVETTO) O PUBBLICARE [NON IN OPEN ACCESS, MA IN SENSO DI «RENDERE PUBBLICO», CHE INFICEREBBE IL BREVETTO] VA PRESA ALL'INIZIO

[Brevetti e Open Science]

European Commission

IP Helpdesk

Home | Services | Regional helpdesks | IP management and resources | About | News & Events

European Commission > IP Helpdesk > News & Events > News > Open Science vs. IPR in Horizon Europe – which one wins?

NEWS ARTICLE | 17 September 2021 | European Innovation Council and SMEs Executive Agency

Open Science vs. IPR in Horizon Europe – which one wins?

1) OBBLIGO DI PROTEGGERE I RISULTATI (SE DEL CASO)
2) OBBLIGO DI DISSEMINARE IN OPEN ACCESS NON SIGNIFICA OBBLIGO DI PUBBLICARE. SE SONO PREVISTE PUBBLICAZIONI, DEVONO ESSERE OPEN

Our enquirer's concerns were the following: is it possible to first file for a patent (his proposed project would involve the development of a new invention), and only then to proceed to the dissemination of results via an open access article? Or does the Open Science policy applicable in Horizon Europe prevail over IPR protection, and imposes the disclosure of the invention in an open access journal as soon as possible?

To answer this, it is essential to keep in mind that in Horizon Europe (including MSCA), grant beneficiaries have the **obligation to protect their results** - see Annex 5 to the model GA for Unit Grants incl. MSCA (page 88 onwards).

On the other hand, Open Science practices, while compulsory in Horizon Europe, are not incompatible with this obligation… even though they may seem so. Indeed, the open access obligation (for example) is NOT an obligation to publish. Simply, if/when fellows publish a scientific article, it will have to be in open access.

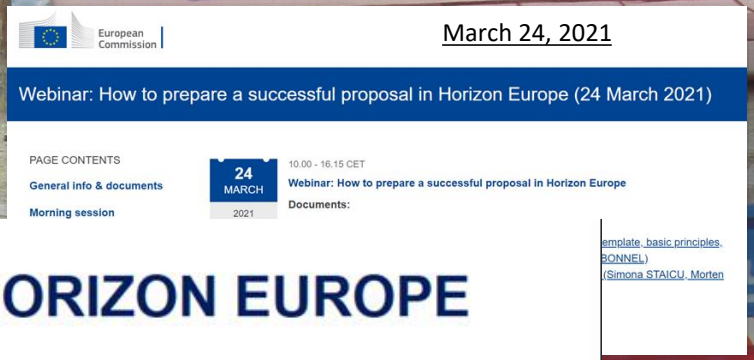
In other words, Open Science obligations in Horizon Europe are NOT a general obligation to disseminate. **They are even less an obligation to surrender IP rights, and for this reason should not be construed in opposition to IP protection**. The dissemination of Horizon results can be postponed to allow the appropriate protection of results beforehand - see the grant agreement clauses on dissemination (annex 5 to the MGA for Unit Grants, pp.94-95) according to which **the dissemination obligation is made subject to any restrictions linked to the protection of intellectual property**.

This is confirmed by the European Commission in the annotated model grant agreement for Horizon Europe (see page 153).

To sum up: not only is it possible for fellows and beneficiaries to protect their results first (e.g. via a patent filing), but **it is also necessary to ensure compliance with the obligation to protect the project results**. This is something that can be explained in the proposal – that the strategy is, first, to secure IP protection, and that once this is completed, dissemination obligations will be fulfilled, including via open access if publications are foreseen.

Impatto

DECLINATE IMPATTO IN TUTTI E TRE GLI ELEMENTI (SE PERTINENTE) E USATE TECNICHE OPEN SCIENCE APPROPRIATE



European Commission

March 24, 2021

Webinar: How to prepare a successful proposal in Horizon Europe (24 March 2021)

PAGE CONTENTS

General info & documents

Morning session

24 MARCH 2021

10.00 - 16.15 CET

Webinar: How to prepare a successful proposal in Horizon Europe

Documents:

emplate, basic principles,
BONNEL)
(Simona STAICU, Morten

IMPACT DESIGN IN HORIZON EUROPE

THREE TYPES OF IMPACT BASED ON OBJECTIVES

Scientific impact

Promote scientific excellence, support the creation and diffusion of high-quality new fundamental and applied knowledge, skills, training and mobility of researchers, attract talent at all levels, and contribute to full engagement of Union's talent pool in actions supported under the Programme.

Societal impact

Generate knowledge, strengthen the impact of R&I in developing, supporting and implementing Union policies, and support the uptake of innovative solutions in industry, notably in SMEs, and society to address global challenges, inter alia the SDGs

Economic impact

Foster all forms of innovation, facilitate technological development, demonstration and knowledge transfer, and strengthen deployment of innovative solutions

European Commission

Impatto

RICORDATE CHE UNA DELLE KEY IMPACT PATHWAYS PER IMPATTO SCIENTIFICO È LA OPEN SCIENCE

March 24, 2021

European Commission

Webinar: How to prepare a successful proposal in Horizon Europe (24 March 2021)

PAGE CONTENTS

- General info & documents
- Morning session
- Afternoon session
- Next events

24 MARCH 2021

10.00 - 16.15 CET

Webinar: How to prepare a successful proposal in Horizon Europe

Documents:

Agenda

Presentation: Submission and evaluation of proposals - Proposal template, basic principles, evaluation criteria (Isabel VERGARA OGANDO, Bénédicte CHARBONNEL)

Presentation: The rules of the game - the Model Grant Agreement (Simona STAICU, Morten GYLLING-JORGENSEN, Julien DULOT, Sorin SERBAN)

Standard application form (RIA/IA)

General Model Grant Agreement

Gender Equality in Academia and Research - GEAR tool

HORIZON EUROPE LEGISLATION defines three types of impact, tracked with Key Impact Pathways

Scientific Impact

1. Creating high-quality new knowledge
2. Strengthening human capital in R&I
3. Fostering diffusion of knowledge and Open Science

Societal Impact

4. Addressing EU policy priorities & global challenges through R&I
5. Delivering benefits & impact via R&I missions
6. Strengthening the uptake of R&I in society

Economic/ Technological Impact

7. Generating innovation-based growth
8. Creating more and better jobs
9. Leveraging investments in R&I

Article 50 & Annex V *'Time-bound indicators to report on an annual basis on progress of the Programme towards the achievement of the objectives referred to in Article 3 and set in Annex V along impact pathways'*

European Commission

[perché è importante? Impatto!]

Horizon Europe, an impact-driven framework progamme

The impact-driven design of Horizon Europe[1] aims at maximising the effects of Research and Innovation investments, ensuring their contribution to the Commission's policy priorities.

It marks a paradigm change in the design of the EU R&I Framework Programmes from an activity-driven to an impact-driven programme.

One of the novelties in the implementation of the Horizon Europe programme which facilitates such an impact-driven approach is the strategic planning process (as described above), which identifies the expected impacts of the first four years of Horizon Europe.

This represents a paradigm change also for the work programmes, that henceforth builds on this strategic planning. The structure of Horizon Europe work programmes translates this impact-driven nature: they are organised around 'Destinations', describing the expected impacts identified in the Strategic Planning, and 'topics', describing the related expected outcomes critical to the achievement of such impacts.

Piano di disseminazione e comunicazione

SCHEMATICO NELLA PROPOSAL (~5 PAG.)

ALCUNE DELLE PRATICHE OPEN SCIENCE VISTE SOPRA PERMETTONO LA MASSIMA DISSEMINAZIONE

CORRELATE SEMPRE AL TARGET CHE AVETE INDIVIDUATO PER L'IMPATTO

E SPECIFICATE SEMPRE CHE SARANNO PRATICHE APERTE: DEVE ESSERE COERENTE CON 1.2

Dissemination

Guidelines for your dissemination, exploitation and communication activities

We suggest you take a step-by-step approach to dissemination, exploitation and communcation when developing your proposals for an application. These guidelines are not compulsory.

The dissemination and exploitation part

1. Prepare your planned summary for exploitation and dissemination activities carefully.

This must be a distinct part of your proposal (unless excluded by the call conditions). As it is too early to know what kind of results you will have, at this stage we only expect a planned summary for Dissemination and Exploitation (D&E) activities. Unless otherwise specified in the call conditions, you will be asked to submit a detailed D&E plan along with a plan for communication activities at the latest 6 months after the date of signature of your grant agreement.

In order to give you an idea of how these recommendations could be described in your proposal, we have devised an example of a project involved in water treatment:

1) Identify the problem/need to address

Horizon Europe – Grant Agreement

ARTICLE 17 — COMMUNICATION, DISSEMINATION AND VISIBILITY

17.1 Communication — Dissemination — Promoting the action

Unless otherwise agreed with the granting authority, the beneficiaries must promote the action and its results by providing targeted information to multiple audiences (including the media and the public), in accordance with Annex 1 and in a strategic, coherent and effective manner.

Before engaging in a communication or dissemination activity expected to have a major media impact, the beneficiaries must inform the granting authority.

17.4 Specific communication, dissemination and visibility rules

Specific communication, dissemination and visibility rules (if any) are set out in Annex 5.

17.5 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

VA REDATTO UN PIANO DI COMUNICAZIONE E DISSEMINAZIONE
LA MANCATA CONFORMITÀ A QUESTI OBBLIGHI [OPEN SCIENCE] COMPORTA UNA RIDUZIONE DEL FINANZIAMENTO

Plan for the exploitation and dissemination of results including communication activities

ANNEX 5

Unless excluded by the call conditions, the beneficiaries must provide and regularly update a plan for the exploitation and dissemination of results including communication activities.

Piano di disseminazione

Guidelines for your dissemination, exploitation and communication activities

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The dissemination and exploitation part

1. Prepare your planned summary for exploitation and dissemination activities carefully.

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with a plan for communication
signature of your grant agreemer

In order to give you an idea of h
proposal, we have devised an exa

1) Identify the problem/need

2. Involve potential end-users and stakeholders in your proposal.

If they're committed from early on, they may help guide your work towards specific qualities and applications of your results. End-users could come from the regional, national and international networks of the partners in your consortium, or from the value chains they operate in. They could be involved as partners in the project, or, throughout its duration, as members of an advisory board or user group tasked with co-creating and testing the results and providing feedback. In the case your project aims at providing policy recommendations, you may want to approach policy makers from local/regional/national authorities, or regulatory bodies in order to design your research project bearing in mind their needs from the start, and to actively involve them during the project to integrate their feedback and know their potentially evolving policy needs.

3. Say how you expect the results of your project to be exploited/further developed and give the main advantages of the new solution(s) you expect to emerge.

The results could befor example: a manual, test, model, new therapy, better product or process, or improved understanding of mechanisms **and advantages** for reduced material or energy usage, improved safety, or better-trained staff.

ACCENTO SULLO SFRUTTAMENTO

Piano di disseminazione

4. Link your proposal to the policy context of the call for proposals.

Think of how your project's results will contribute to the outcomes specified in the calls and topics and how they are linked with the wider impact, in the longer term, specified in the respective destinations in the work programe. Consider the following questions:

- What are the objectives of your project?
- Why and how they can be important in view of work programme?
- What target audience (user communities? Parts of the society?) would benefit?
- Is it clear how
  wider impact?

5. Implement open science practices

Think of use, ownership and access rights.

Open science practices are addressed and evaluated under 'excellence' as they are considered a part of the methodology. However, open access in particular also results in the broad dissemination of knowledge and is relevant in the context of dissemination.

Providing open access to peer-reviewed publications is mandatory in Horizon Europe, when peer-reviewed publications are produced. Open access to generated research data is required under the premise 'as open as possible as closed as necessary', meaning that there can be exceptions to this. Data management plans are mandatory for all

33

CONTEMPERANDO

SFRUTTAMENTO E PRATICHE OPEN SCIENCE

Piano di disseminazione

6. Show you understand the barriers to any exploitation of your results How will you tackle them? Possible obstacles may include:

Strategy for intellectual property management

Applicants must outline their strategy for the management of intellectual property (IP), including intended protection measures (if relevant) and how these would be used to support exploitation in the proposal (section on impact).

Particularly in the case of projects aimed at economic and societal exploitation, the strategy for IP management must be commensurate with the desired outcomes and impacts. Hence, a weakness or failure to submit such a strategy would also need to be reflected in the proposal evaluation (scoring) with view to the 'credibility' of the envisaged impact pathways.

Results ownership

What is the ownership of results?

The owner of results is the natural or legal entity that has generated the results.

Results are defined as any tangi
know-how or information, whate
protected, as well as any rights at

Why does the results ownership matter?

Horizon Europe has the specific objective to strengthen the deployment and exploitation of innovative solutions. This objective calls for transparency and clarity in terms of results ownership.

The lack of clarity on the ownership of results can be one of the main obstacles for exploitation and commercialisation, especially for SMEs. Clarity of results ownership is a critical factor for attracting investors. Beneficiaries should also clarify their freedom to operate without infringing on intellectual property owned by third parties that might require specific action *(e.g. licencing)* to fully exploit the own intellectual property.

More practically speaking, it is important that potential future consortium members decide on the ownership of results when drafting the proposal to simplify their lives as beneficiaries. Indeed, beneficiaries must indicate the owner(s) of the results in the final periodic report of the Horizon Europe project in the so called Results Ownership List. If the ownership of results has not been carefully thought through at the proposal phase, beneficiaries may face difficulties in filling in the Results Ownership List at the reporting stage. Knowing that failure to fill in the Results Ownership List will block the submission

RESULTS OWNERSHIP LIST

Exploitation

EXPLOITATION PUÒ ANCHE NON ESSERE COMMERCIALE

Where possible, the measures should be consistent with the impact expected from the action and the plan for the exploitation and dissemination of the results. The exploitation of results should take into consideration the objectives of the Programme (see the specific objectives set out in Article 3(2) of the Horizon Europe Regulation 2021/695), including promoting innovation in the Union and strengthening the European Research Area.

Exploitation (as defined) means the use of results in further research and innovation activities other than those covered by the action concerned, including among other things, commercial exploitation such as developing, creating, manufacturing and marketing a product or process, creating and providing a service, or in standardisation activities.

⚠ Exploitation can also be **non commercial**, for example use in non-commercial research or non-commercial teaching activities. When results of the action are used to influence R&I policy or decision making, this is another form of exploitation.

Exploitation

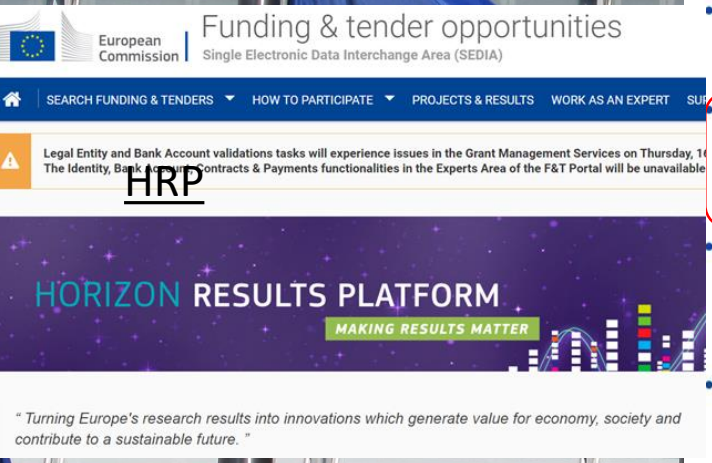
Exploitation & Open science in Horizon Europe

EC 2020

- In Horizon Europe, as in H2020, the obligation to exploit remains and is a responsibility of the beneficiaries on a "best efforts" approach
- When specified in the WP additional exploitation obligations could be applied
- Horizon Europe encourages the use of the R&I results through third party exploitation (where appropriate)
- If despite the best effort for exploitation no uptake happens within a specific period after the end of the project (1 year), then the project must use the Horizon Results Platform to make exploitable results visible (unless obligation is waived)
- The Horizon Results Platform is free, is part of the F&T portal, available to all beneficiaries and is based on results, not on projects.

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/horizon-results-platform

SE DOPO UN ANNO NON SIETE ANCORA RIUSCITI A SFRUTTARE, DOVETE USARE HORIZON RESULTS PLATFORM



HRP

- In Horizon Europe, the follow up of the exploitation activities will continue after the end of the project
- The first year after the end of the project, and if no exploitation takes place, beneficiaries must use the Horizon Results Platform for making their exploitable results visible
- For the following period there will probably be a structured questionnaire available to beneficiaries to report on the progress, their needs and obstacles on their path for exploitation
- This questionnaire could be part of the EC grant management system and will remain open until the conclusion of the follow up period after the end of the project where a final report will be created.

Pratiche raccomandate / 4

V.2 April 2021

Horizon Europe Programme

Standard Application Form (RIA, IA)

Application form (Part A)
Project proposal – Technical description (Part B)

Version 2.0
22 April 2021

PART B

COME IMPLEMENTARE

Proposal template Part B: technical description

3. Quality and efficiency of the implementation

Quality and efficiency of the implementation – aspects to be taken into account

Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall

Capacity and role of each participant, and extent to which the consortium as a whole brings together the necessary expertise.

3.2 Capacity of participants and consortium as a whole *[e.g. 3 pages]*

⚠ *The individual members of the consortium are described in a separate section under Part A. There is no need to repeat that information here.*

- Describe the consortium. How does it match the project's objectives, and bring together the necessary disciplinary and inter-disciplinary knowledge. Show how this includes expertise in social sciences and humanities, open science practices, and gender aspects of R&I, as appropriate.
- Show how the partners will have access to critical infrastructure needed to carry out the project activities.
- Describe how the members complement one another (and cover the value chain, where appropriate)
- In what way does each of them contribute to the project? Show that each has a valid role, and adequate resources in the project to fulfil that role.
- If applicable, describe the industrial/commercial involvement in the project to ensure exploitation of the results and explain why this is consistent with and will help to achieve the sp… proposed for exploitation of the results of the project (see section 2.2).

DIMOSTRARE CHE IL CONSORZIO HA COMPETENZE SU OPEN SCIENCE


…BUONA STESURA!
Commission