

The European Research Council

Scientific reporting and monitoring of ERC grants

Open Access



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ERCEA Information Session for Principal Investigators

Ministère de l'Education Nationale, de l'Enseignement Supérieur et de la Recherche

2 juin 2017

Pascal DISSARD, ERCEA Head of Sector for Project Follow-up

Outline



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- *Reporting*
- *Monitoring*
- *Open Access*
- *Implementing Arrangements*
- *Visiting Fellowship Programmes*

De-coupling of Financial and Scientific Reporting



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Mid-term Scientific Report
M30 + 60 days

Final Scientific Report
M60 + 60 days

Financial Report 1
M18

Financial Report 2
M36

Financial Report 3
M54

4
M60

5-year projects / 60 months

Scientific Reporting

• Submission

- Participant Portal (**FP7: SESAM – H2020: SYGMA**)
- Deadline for report submission: 60 days after end of reporting period (e.g. M32, M62)
- 15 days before end of reporting period → Advanced notice letter sent to PI
- Reminders are sent if needed

• Receipt

- Completeness check
- Monitoring process

Midterm Scientific Report SESAM - PI



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SUMMARY OF THE MAJOR ACHIEVEMENTS SINCE THE START OF THE PROJECT

1. research and technological achievements and the impact and use of them
2. novel and/or unconventional methodologies
3. inter and cross disciplinary developments
4. knowledge and technology transfer
5. establishment and/or consolidation of the research group and team composition
6. Others

PUBLISHABLE BRIEF SUMMARY OF THE ACHIEVEMENTS OF THE PROJECT

MAJOR PROBLEMS/DIFFICULTIES

1. Scientific problems
2. Technical problems
3. Support provided by the Host Institution (Start-up facilities, working space, access to labs, equipment, resources, etc.)
4. Others

LIST OF FREE KEYWORDS

Final Scientific Report SESAM - PI



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SUMMARY OF THE MAJOR PROJECT ACHIEVEMENTS OVER THE ENTIRE LIFETIME OF THE PROJECT

1. research and technological achievements and the impact and use of them
2. novel and/or unconventional methodologies
3. inter and cross disciplinary developments
4. knowledge and technology transfer
5. enhancing the immediate research environment
6. establishment and/or consolidation of the research group and team composition
7. Others

PUBLISHABLE BRIEF SUMMARY OF THE ACHIEVEMENTS OF THE PROJECT

OVERALL ASSESSMENT OF THE ACHIEVEMENTS AND SUCCESS OF THE PROJECT

1. To what extent have you achieved your objectives?
2. What are the most important conclusions of your research?
3. To what extent have you gone beyond the state of the art?
4. What is the impact of the project (within the scientific community and on society)?
5. How effectively has the project helped you start or consolidate your research group? (for Starting Grants/Consolidators Grants only)
6. How well have you been supported by your Host Institution?
7. What difference did the ERC make
8. How many people completed a PhD in the framework of the project?
9. How many people started a PhD in the framework of the project?

FURTHER INFORMATION

LIST OF FREE KEYWORDS



European
Commission

Horizon 2020
European Union funding
for Research & Innovation

Outcomes



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➤ Publications

Project Publications (Peer reviewed publication)

Order N°	N°	D.O.I.	Title	Author(s)	Title of the periodical or the series	Number, date or frequency	Publisher	Place of publication	Date of publication	Relevant pages	Does the article acknowledge ERC funding?	Open access is/will be provided to this publication	URL	File
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- Research Field Work
- Awards and Recognitions
- Dissemination Activities
- Patents

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Project Monitoring



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- **25 Panel Teams (SOs) in charge of monitoring**
 - ➔ 3-4 Scientific officers
- **Possible exchanges with PI**
 - ➔ Additional information
 - ➔ Missing elements (e.g. publications)
 - ➔ Acknowledgements
 - ➔ Open Access
- **Additional reviews can be required from external experts (nominated by ScC / PCs)**
- **Accept / Reject report**
- **9-month follow-up**

Project Monitoring



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- **Project monitoring is**
 - Monitoring of the project progress and achievements
 - Monitoring of the work carried out, not of the scientific results
 - Check whether the progress is consistent with the DoW
 - Check for signs of underperformance of the PI
- **Project monitoring is not**
 - A scientific re-evaluation of the project
 - A peer review of the scientific output
 - An assessment of the scientific quality of the project outcomes

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Background – Open Access



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Online access to scientific information at no charge to the user

- to scientific publications
- to research data

Two main models for providing open access to publications:

□ **Gold OA**: to publish open access → **immediate OA**

- In full open access journals
- In hybrid open access journals/publishers

Costs involved (APC) typically paid by the author/institution/funder

□ **Green OA**: to deposit a copy of publications in a repository → **immediate or delayed OA**

In principle cost-free for the author

Open access policy of the ERC



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"Since its creation, the ERC has been a strong supporter of the idea that the results stemming from publically funded research – including publications and primary data – should be made freely accessible on the Internet."

- **Dedicated Working Group in the ERC Scientific Council** for the topic of open access since 2009

Open Access to publications in ERC projects



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- *Open Access Guidelines for research results funded by the ERC*
and *Implementation of Open Access to Scientific Publications and Research Data*
(all ERC grantees encouraged to comply)

- The ERC requests that a copy of articles, monographs or other publication supported by ERC funding be deposited in a repository immediately upon publication.
- **Maximum delay** for providing open access to these:
6 months (12 months for Social Sciences and Humanities)
- **Use of discipline-specific repositories** strongly encouraged (Europe PubMed Central for LS domain (<http://europepmc.org>), arXiv for PE domain (<http://arxiv.org>), for monographs, book chapters: the OAPEN Library (<http://oapen.org>). Institutional or centralised repositories OK.

Open Access to publications in ERC projects



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- **All ERC grantees:**
 - Encouraged to comply with the ERC Open Access Guidelines

- **Projects funded through ERC calls 2012-2013:**
 - Special Clause 39 – grantees required to make their "**best efforts**" to provide open access to scientific publications

- **Projects funded through ERC calls in H2020 (2014-present):**
 - Article 29.2. – Open Access to peer reviewed scientific publications related to project results **is mandatory**

Open Access to publications in ERC projects



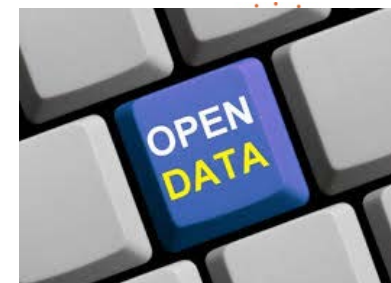
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- Grantees may choose green or gold open access
- Open access fees are eligible costs that can be charged to the ERC grant, if incurred in the duration of the project
 - No extra funding, advised to include an estimate in proposal budget
 - Grantees asked to provide information on open access in mid-term and final scientific report

Open Access to data

Pilot on Open Research Data in H2020



- Aims to improve and maximise access to and re-use of research data generated by projects
- Participants will have article 29.3 included in their Grant Agreement

Types of data concerned:

- DIGITAL research data
- Data needed to validate the results presented in scientific publications
- Other data as specified (=up to projects)

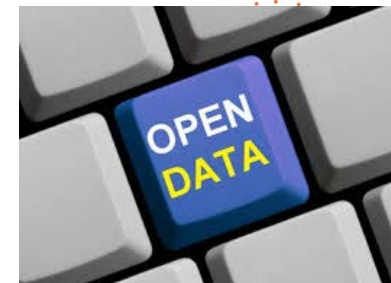
Beneficiaries participating in the Pilot will:

- Submit Data Management Plan at months 6 ([ERC template for DMP](#))
- Deposit this data in a research data repository
- Take measures to make it possible to access, mine, exploit, reproduce and disseminate free of charge
- Provide information about tools and instruments necessary for validating the results (where possible, provide these tools and instruments)



Open Access to data

Pilot on Open Research Data in H2020



- In the 2014-16 work programmes, the ORD pilot included only selected areas of Horizon 2020
- ERC's participation in the pilot:
 - **2014 calls:** no participation was possible
 - **2015 calls:** voluntary to participate, **opt-in at granting**
 - **2016 calls:** voluntary to participate, **opt-in at submission stage**
 - **2017 calls:** all projects are **opt-in by default**, possible to opt-out at any stage retroactively, no reasons have to be provided

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Implementing arrangements – list of countries



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Implementing arrangements are in place with the following non-EU countries:

- **USA**, National Science Foundation
- **Republic of Korea**, National Research Foundation
- **Argentina**, Ministry of Science, Technology and Productive Innovation
- **China**, National Natural Science Foundation of China
- **Japan**, Japan Society for the Promotion of Science
- **South Africa**, National Science Foundation
- **Mexico**, National Council of Science and Tech. of the United Mexican States
- **Brazil**, Brazilian National Council of the State funding agencies (CONFAP)
- **Canada**, Canadian Tri-Agency Institutional Programmes Secretariat (TIPS)

Implementing arrangements – conditions



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Common to all agreements:

- It is expected that collaborations will occur in similar areas of scientific pursuit or on topics of mutual interest
- Selection of the non-European scientists is done by each non-EU funding agency without any ERC intervention
- ERC does not intervene in the communication between the ERC PIs and potential visitors
- The visit should take place within the lifetime of the ERC project
- No additional funding is provided by the ERC, but any relevant expenses can be claimed under the ERC grant, provided they are eligible within the terms of the grant
- Visiting researchers may be incorporated into the research teams of the ERC-funded PI-s for the duration of the visit

Implementing arrangements – 2012-2016



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Calls for expressions of interest to ERC PIs:

- 2012, pilot exercise (USA)
- 2013 (USA, Korea)
- 2014 (USA, Korea)
- 2015 (USA, Korea, Japan, South Africa, Argentina, China)
- 2016 (USA, Korea, Japan, South Africa, Argentina, China, **Brazil, Mexico, Canada**)

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Visiting Fellowship Programmes

To promote widening the participation in the ERC calls of less performing countries. ERC promotes national programmes if they are in line with ERC guidelines. Duration of visits 3-6 months. Visiting fellows are obliged to apply for an ERC grant in specified timeframe. Costs covered by sending institution.

- Czech Republic
- Hungary
- Estonia
- Poland
- Slovenia
- Belgium (Flanders region)
- Croatia
- Slovak Republic

All PIs of the main grants who have at least 18 months until the end of the project are invited to express their interest (call once a year: next call May 15 - June 15 2017).

Thank you for your attention

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Scientific reporting

ERC-SC-REPORTS@ec.europa.eu

Open Access

ERC-OPEN-ACCESS@ec.europa.eu

EC advice for "best efforts": Guide to Intellectual Property Rules for FP7 projects (see section 7.3)

http://ec.europa.eu/research/participants/data/ref/fp7/89593/ipr_en.pdf

Implementing arrangements, Visiting Fellowship programmes

<https://erc.europa.eu/managing-your-project/set-and-develop-your-team>

ERC funded projects

<https://erc.europa.eu/projects-figures/erc-funded-projects>

Projects can be filtered according to funding scheme, call year, panel and/or country of host institution.
(or use the search box and enter free text words, for instance names of universities or principal investigators).

Special Clause 39 ERC (full text)



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In addition to Article II.30.3, the *beneficiary* shall deposit an electronic copy of the published version or the final manuscript accepted for publication of a scientific publication, related to *foreground* published before or after the final report, in an institutional or subject-based repository at the moment of publication.

The *beneficiary* is required to make its best efforts to ensure that this electronic copy becomes freely and electronically available to anyone through this repository:

immediately, if the scientific publication is published "open access", i.e. if an electronic version is also available free of charge via the publisher, or within 6 months of publication.

H2020 Art.29.2 ERC-MGA (full text)

Open access to scientific publications



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Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results.

In particular, it must:

(d) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications.

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

(e) ensure open access to the deposited publication — via the repository — at the latest:
(iii) on publication, if an electronic version is available for free via the publisher, or
(iv) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.

(f) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication, which must include a persistent identifier.