

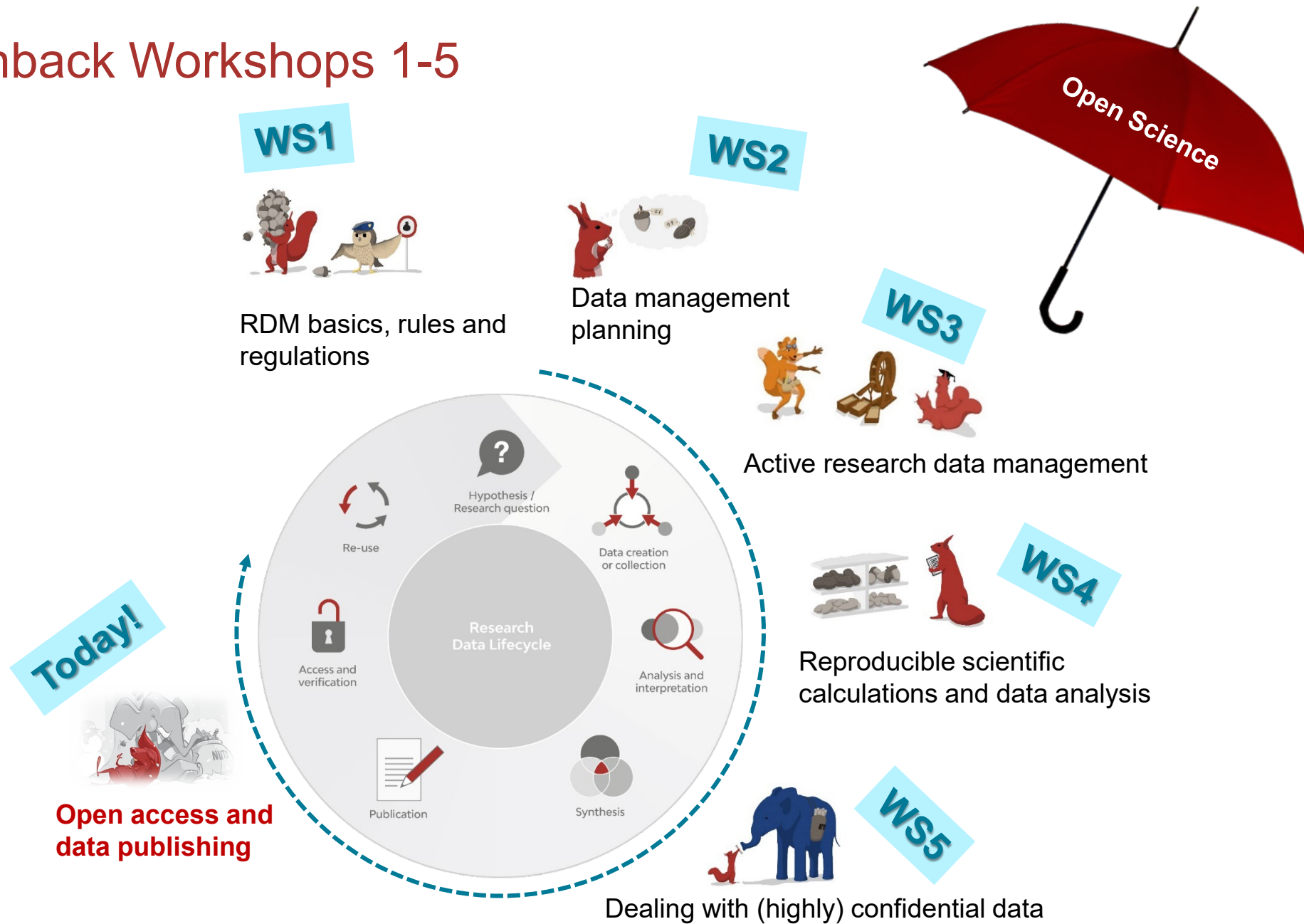
Open Access and Data Publishing

Barbara Hirschmann

Research Data Management Workshop Series, Part 6

5 April 2023

Flashback Workshops 1-5



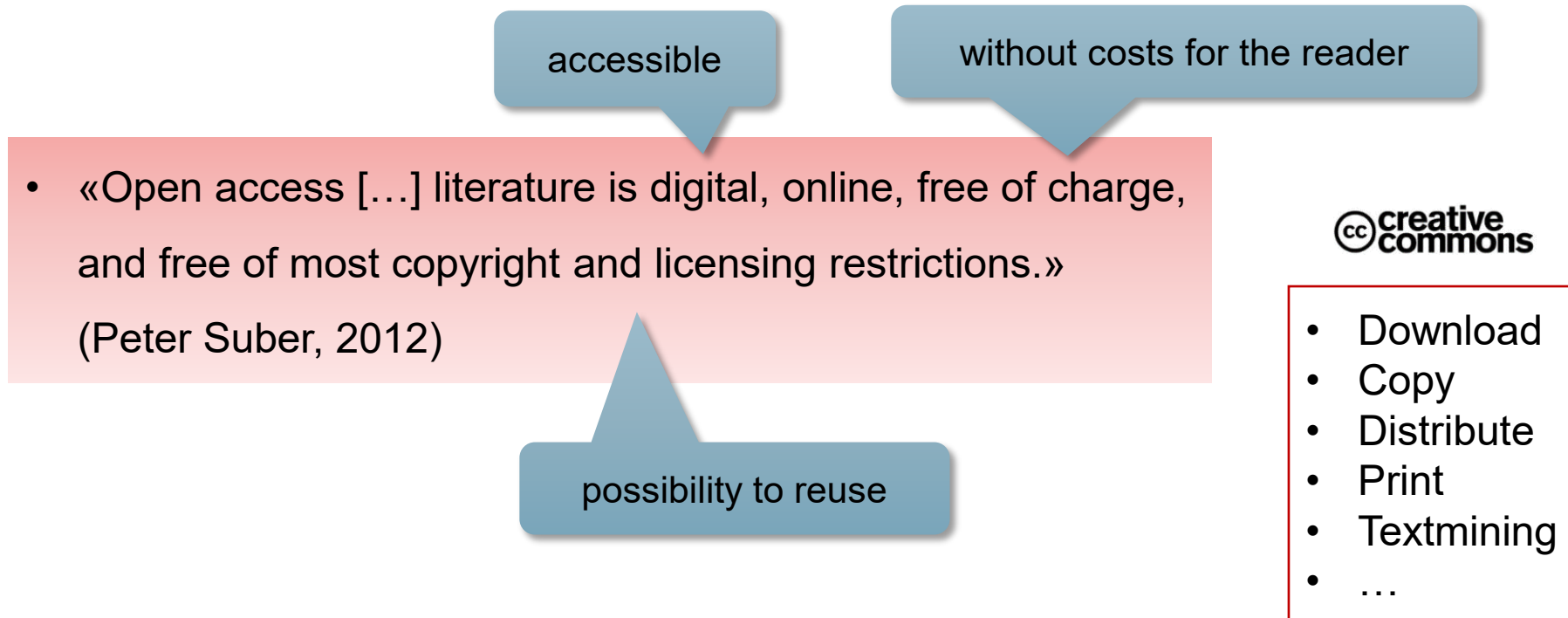
Agenda

- **Open access publishing**
 - «Green Road» (self-archiving), incl. copyright questions
 - «Gold Road» (OA journals), incl. funding & quality aspects
 - ETH & research funders' OA policies
- **Publishing research data**
 - Why publish research data?
 - FAIR Data Principles & trustworthy repositories
 - Copyright & Creative Commons Licences
 - Preparing your data for publication: Dos and dont's
 - How to publish data in ETH Zurich's Research Collection



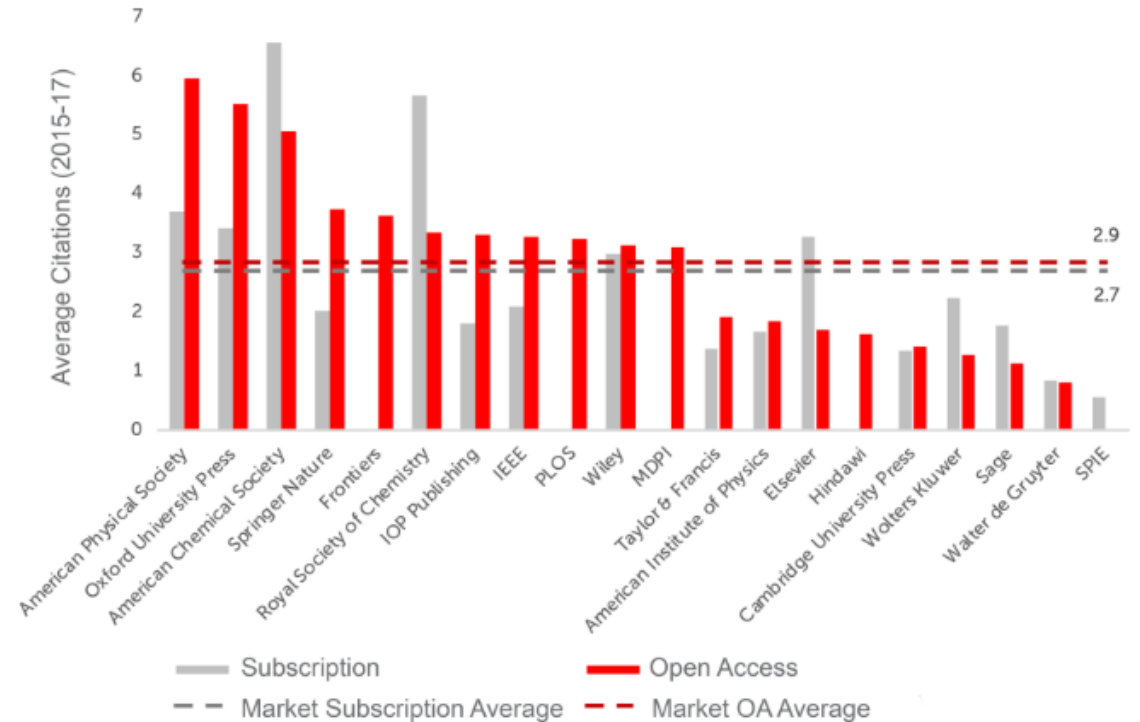
Open access publishing

- What is Open Access?



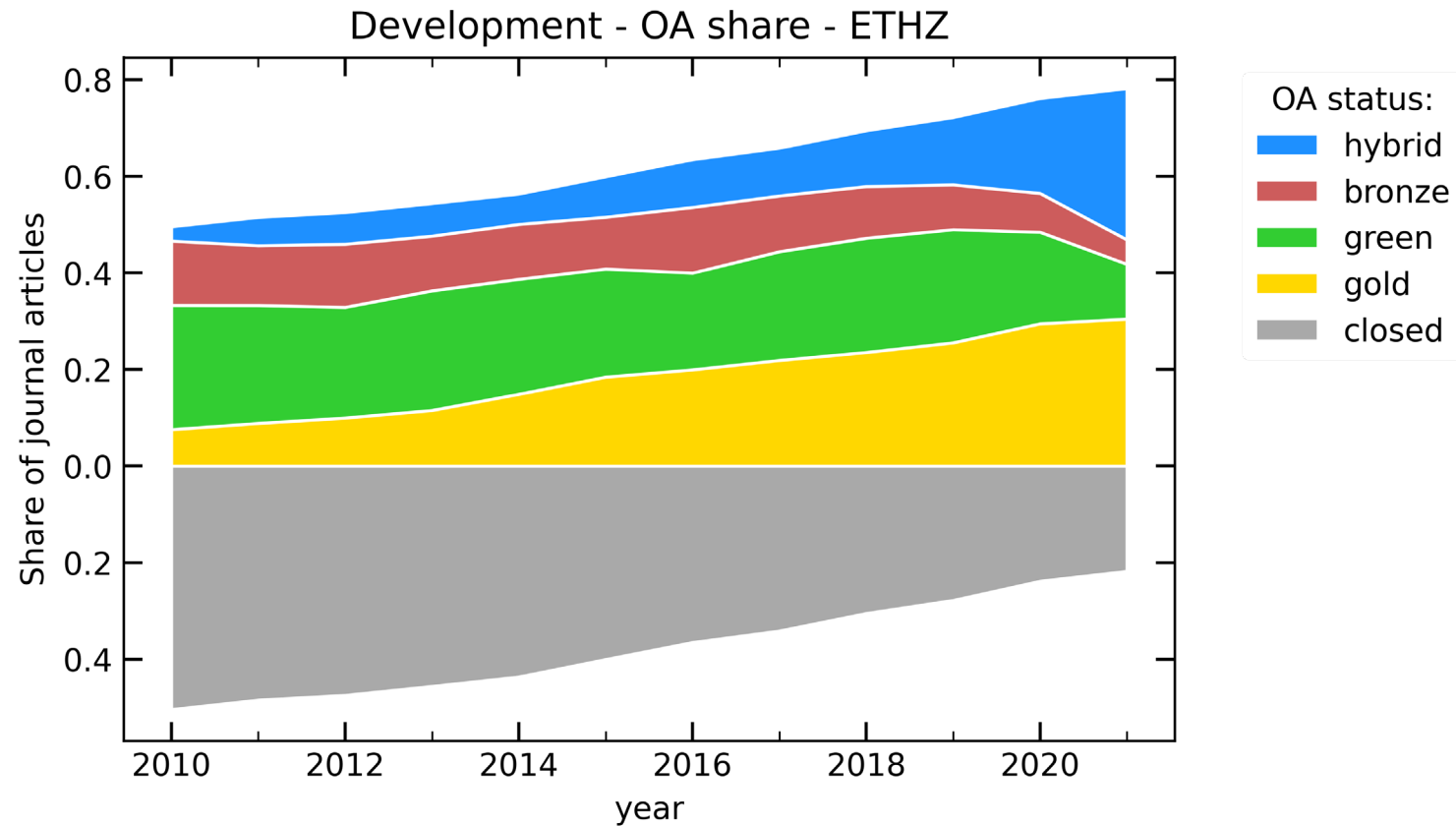
Why Open Access?

- Visibility of research results, easy access, citations
- Authors retain copyright
- Enables interdisciplinary and international collaboration
- Knowledge produced by public funds should be openly available
- Because your research funder requires it



Source: <https://blog.frontiersin.org/2018/07/11/scientific-excellence-at-scale-open-access-journals-have-a-clear-citation-advantage-over-subscription-journals/>

Current developments & state



Source: dimensions.ai, data as of Jan. 2022

How to publish open access

Gold Road



Publish directly in

- Open access journals
- Open access books
- Subscription journals with OA option («hybrid journals»)

Green Road



Self-archive «subscription content» in

- an institutional repository
(e.g. ETH Zurich's Research Collection)
- a disciplinary repository
(e.g. arXiv.org, ...)

Gold Open Access

Open access journals

- All content free to access and reuse
- Quality Control (Peer Review)
- Author retains copyright (standard licence: CC-BY)
- Different funding mechanisms
 - Institutional, society, library funding
 - Article Processing Charges (APCs): 0-6'000 EUR
- How to find OA journals?
 - Directory of Open Access Journals: www.doaj.org
 - Open access filter in [Journal citation reports](#)

The screenshot shows the DOAJ website homepage. At the top, there is a navigation bar with 'DOAJ' on the left, 'SUPPORT' with a dropdown arrow, and 'APPLY' with a dropdown arrow. Below this is a secondary navigation bar with 'SEARCH' with a dropdown arrow, 'DOCUMENTATION' with a dropdown arrow, and 'ABOUT' with a dropdown arrow. The main heading reads 'THE DIRECTORY OF OPEN ACCESS JOURNALS' followed by 'Find open access journals & articles.' Below the heading are two radio buttons: 'Journals' (selected) and 'Articles'. A search bar is present with a dropdown menu set to 'In all fields' and a red 'SEARCH' button. At the bottom, there are five statistics displayed in a row: '80 LANGUAGES', '124 COUNTRIES REPRESENTED', '11,470 JOURNALS WITHOUT APCs', '15,792 JOURNALS', and '5,592,078 ARTICLE RECORDS'.

Statistic	Value
LANGUAGES	80
COUNTRIES REPRESENTED	124
JOURNALS WITHOUT APCs	11,470
JOURNALS	15,792
ARTICLE RECORDS	5,592,078

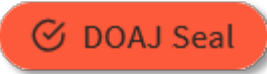
How to assess the quality of OA journals

- Did someone leave a review on **QOAM** ([Quality Open Access Market](#))?
- Is the publisher a member of **OASPA** (the [Open Access Scholarly Publishers Association](#)) or **COPE** (the [Committee on Publication Ethics](#))?
- Have a look at the journal's website:
 - Does the journal conduct a **peer review process**?
 - Are acknowledged scientists among the **authors** and **editorial board** members?
- More tips: <http://thinkchecksubmit.org>

Hybrid journals

- Subscription journals with **paid open access option**
- Mixed content: mainly available to licensing institutions, selected articles available open access
- APCs up to 10'000 EUR (!)
- No comprehensive database of hybrid journals available
 - Most journals not indexed in DOAJ are hybrid journals
 - Check the journal website for author information & open access option

Open access & hybrid journals: How much does it cost?

Journal	APC	DOAJ	Impact Factor 2021
Trees, Forests and People (Elsevier)	1'000 USD	✓	-
PLOS ONE	1'805 USD		3.752
Chemical Science (RSC)	-	✓	9.969
Nature Communications	6'290 USD	✓	17.694
Hybrid Journals	+25-50%	no	

Institutional APC funding

<https://documentation.library.ethz.ch/display/OA/Article+Processing+Charge+Funding>

Documentation Bereiche > Website ETH-Bibliothek Suchen Anmelden

Open Access

BEREICHsverknüpfungen
Open Access Wiki

SEITENhierarchie
Inhaltsverzeichnis
Table of Content
Article Processing Charge Funding
Eligibility criteria for the fund
Creative Commons Licenses
Cumulative doctoral theses
FAQ
Self-archiving

Seiten / Open Access Wiki / Table of Content

Article Processing Charge Funding

ETH Library provides researchers from ETH Zurich with the possibility to publish open access either free of charge or at a reduced price. This video briefly explains the general procedure: <https://www.youtube.com/watch?v=qXxWEyXTAF0>

Full Article Processing Charge funding

Publishers with an agreement

Please check the list below to see whether the ETH Library has an agreement with the publisher with whom you publish to cover the costs. The procedure for these publishers is described in the list. As a rule, you as an author will not receive an invoice from these publishers, but the ETH Library will automatically finance the open access fees. Please note the [funding criteria](#).

Publishers without an agreement

Fees for open-access articles in [pure open-access journals](#) (Gold Open Access) that are not covered by any agreement can be financed by the ETH-Bibliothek via the form [Application for Open Access Publication Costs](#). In this case, you must send us the publisher's invoice. The [funding criteria](#) apply here as well.

ETH Library does not fund fees for open access articles in subscription journals (so-called hybrid journals) unless they are part of one of the agreements mentioned below.

ETH-Bibliothek Website

Institutional funding – publishers with agreement

- › American Institute of Physics
- › Annual Reviews
- › BioMed Central/SpringerOpen..
- › Cambridge University Press
- › Company of Biologists
- › Copernicus Publications
- › Cogitatio
- › Elsevier
- › Frontiers
- › IEEE
- › IGI Global
- › Institute of Physics
- › Karger
- › MDPI
- › Public Library of Science (PLOS)
- › Royal Society of Chemistry
- › SAGE
- › SciPost
- › SCOAP3 (Zeitschriften der Hochenergiephysik)
- › Springer Nature
- › Taylor & Francis
- › TransTech Publications
- › Wiley

- ✓ **Check our list** if an agreement with the publisher exists and what conditions apply <https://documentation.library.ethz.ch/display/OA/Article+Processing+Charge+Funding>
- ✓ Submit your manuscript with your **ETH email address** to the publisher
- ✓ Go through publisher's affiliation check
 - ✓ Email domain
 - ✓ Author chooses
 - ✓ IP range
- ✓ Library approves the article
- ✓ Publisher sends the APC invoice directly to the library (or APC is covered up-front by read&publish contract)
- Please check individual conditions and workflow details in the publisher list!

Institutional funding – publishers without agreement

ETH zürich ETH Library

Locations and media Borrowing and ordering Publishing and archiving News About us

Application for open-access publication fees

Please fill out this form completely to ensure the fastest possible processing of your request. Upload the original invoice from the publisher for the open-access fees as PDF file with the following billing address:

ETH Zurich
ETH-Bibliothek
Rämistrasse 101
8092 Zurich
Switzerland


VAT (if needed): CHE-115.203.630

Please read the information on [eligibility criteria for the funding of open-access articles](#) before applying for open-access funds.

Fields marked with an asterisk (*) are mandatory.

If you have any questions, please contact us at e-publishing@library.ethz.ch.

Contact
Dr. Rainer Rees Mertins
☎ +41 44 632 31 79
✉ E-mail
Fachstelle E-Publishing


Related links
> [Open access at ETH Zurich](#)
> [Publishing in open-access journals](#)

Corresponding Author Information

Title

Name*

First name*

- ✓ Check via www.doaj.org that your journal is a **Gold OA journal** (hybrid journals not covered!) and that the list price is not higher than USD 5'000
- ✓ Check that your journal is not part of an agreement
- ✓ Check that your article meets the other [funding criteria](#)
- ✓ Fill in the [form](#) (and upload the invoice, if you already have it)
- ✓ Library checks eligibility of your article
- ✓ Library pays invoice to publishers or refunds your paid invoice

Institutional APC funding: Eligibility

ETH Library covers APCs if:

- **Submitting or corresponding author** must be a member of **ETH Zurich**
- Article **Affiliation details** → must clearly **indicate the author's affiliation with ETH.**
- An **institutional e-mail address** (jane.doe@inst.ethz.ch) has to be used.
- ETH publications **submitted after the corresponding author has left**, are generally eligible for funding → Confirmation might be necessary!
- **Outside agreements: Maximum fee 5'000\$, only OA fees** are covered
- **Externally funded publications (SNSF, EU, etc.) have to be financed by the respective funder.**
- License Recommendation → Creative Commons (CC or equivalent), as free as possible (e.g. CC BY).
- Open Access Policy: All ETH publications must be self-archived on the Research Collection.

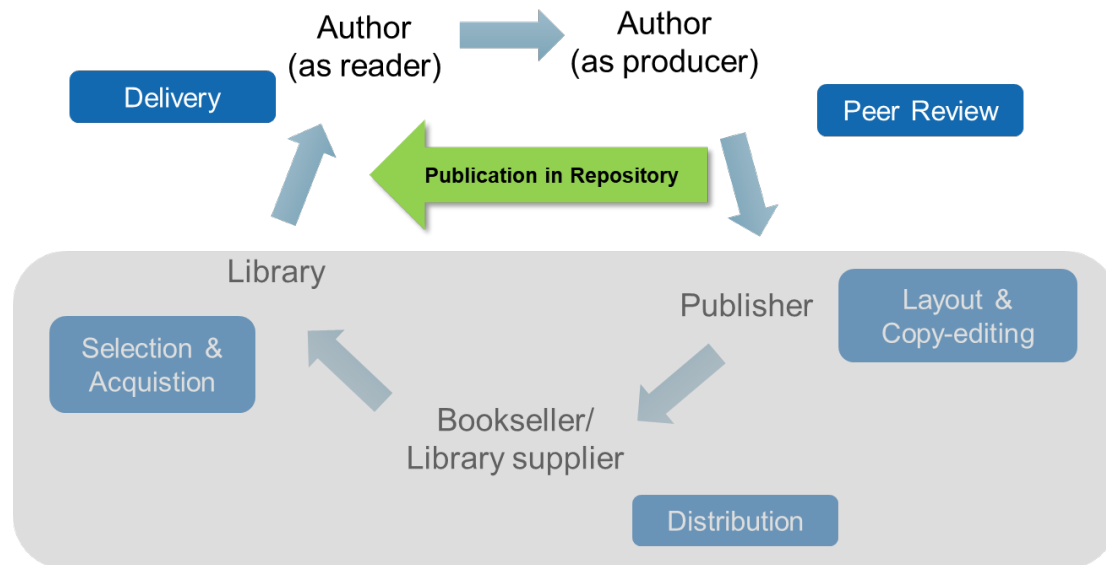
Green Open Access (self-archiving)

Example

The screenshot displays the Physical Review Fluids journal website. At the top, the journal title "PHYSICAL REVIEW FLUIDS" is prominently displayed in a dark blue header. Below the title, a navigation menu includes links for Highlights, Recent, Accepted, Collections, Authors, Referees, Search, Press, About, and Editorial Team. The main content area features a "NEW ARTICLE" section with the title "Aggregation and disaggregation processes in clusters of particles under flow: Simple numerical and theoretical insights" by Louis-Vincent Bouthier et al., published in Phys. Rev. Fluids 8, 023304 (2023). To the left of the article text are two log-log plots labeled "Coarctate" and "Poisuille", showing the relationship between $\beta \langle R \rangle - \alpha k$ and k for various adhesion numbers A . Below the article, there is a "FRENKIEL AWARD" section, a "COLLECTION" section for the Frenkiel Award for Fluid Mechanics, and an "EDITORIAL" section for the 2022 François Naftali Frenkiel Award for Fluid Mechanics. On the right side, there is a "Current Issue" section for Vol. 8, Iss. 2 — February 2023, with a "View Current Issue" button, and a "Previous Issues" section listing Vol. 8, Iss. 1 — January 2023; Vol. 7, Iss. 12 — December 2022; Vol. 7, Iss. 11 — November 2022; and Vol. 7, Iss. 10 — October 2022. A "Browse All Issues" link is also present.

- No OA agreement between ETH Libray and APS (yet)
- Hybrid journal (no APC funding through ETH Library)
- What to do?
→ Green Road to Open Access

Green Road (Self-archiving)



How does it work?

1. Publish in a «conventional» subscription journal / conference proceedings /book
2. Deposit a peer-reviewed open access version (e.g. author's accepted manuscript) of your paper in a **repository**

Self-archiving: Copyright issues

- Subscription publishers usually require authors to transfer copyright or grant them an exclusive license to publish their work
- But: They also usually allow some sort of self-archiving
 - After a certain period of time (**embargo**)
 - If you do not upload the publisher's PDF but a manuscript version of the paper (**no publisher layout & logo**)

Green Road OA publishing via the Research Collection

Publisher version

European Review of Agricultural Economics

Issues JEL More Content Submit Purchase About

Volume 47, Issue 3
July 2020

Article Contents

1. Introduction
2. Economic framework
3. Empirical implementation
4. Data
5. Results and discussion
6. Conclusions

Footnotes
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Author notes
Supplementary data

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JOURNAL ARTICLE

Revisiting firm flexibility and efficiency: evidence from the EU dairy processing industry

Stefan Hirsch, Ashok Mishra, Niklas Möhring, Robert Finger

European Review of Agricultural Economics Vol 47 (3) (2020) pp. 971–1008
doi:10.1093/erae/jba003
Advance Access Publication 11 March 2019

Published: 11 March 2019 Article

PDF Split View Cite

Abstract

We analyse the flexibility of EU dairy processors to adjust production to fluctuating economic conditions. For a set of 2,186 firms, we derive production flexibility measures representing the effect of output variations on costs. The results reveal that flexibility is highest in Poland and Italy and lowest in Spain. Several firm-specific factors, such as size and age of the firm, are found to affect firm flexibility. Moreover, we detect a tradeoff between flexibility and technical efficiency for large firms indicating that a sole focus on firm efficiency can be insufficient. Finally, the results show that during economic crisis flexibility can help to sustain profitability.

Keywords: production flexibility, flexibility-efficiency tradeoff, financial crisis, dairy industry

JEL classification: C23, C26, L23, L25, L66

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Received November 2017; editorial decision January 2019; final version accepted January 2019

Review coordinated by Jack Peerlings

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Revisiting firm flexibility and efficiency: evidence from the EU dairy processing industry

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Organisationseinheit
09564 - Finger, Robert / Finger, f

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Möhring, Niklas
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2020-07

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17 Zitate in Web of Science
18 Zitate in Scopus

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13
See more details
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Tweeted by 9
24 readers on Mendeley

Revisiting Firm Flexibility and Efficiency: Evidence from the EU Dairy Processing Industry

Abstract

We analyze the flexibility of EU dairy processors to adjust production to fluctuating economic conditions. For a set of 2,186 firms, we derive production flexibility measures representing the effect of output variations on costs. The results reveal that flexibility is highest in Poland and Italy and lowest in Spain. Several firm-specific factors such as size and age of the firm are found to affect firm flexibility. Moreover, we detect a tradeoff between flexibility and technical efficiency for large firms indicating that a sole focus on firm efficiency can be insufficient. Finally, the results show that during economic crisis flexibility can help to sustain profitability.

Keywords: Production flexibility; Flexibility-Efficiency tradeoff; Financial crisis; Dairy industry

JEL-codes: C23, C26, L23, L25, L66

1. Introduction

The ability to adjust to changing economic conditions is a crucial firm asset. Particularly production flexibility, i.e., firms' capability to adapt output without significant increases in average costs, can be an important factor for firms' competitiveness in dynamic environments. From a theoretical perspective, Mills and Schumann (1985) extend the standard competitive equilibrium model with identical firms and stationary demand by allowing for technological diversity and demand fluctuations. A primary assumption of this approach is the co-existence of large and small firms caused by a tradeoff between (static) efficiency and flexibility (dynamic efficiency) (Stigler, 1939; Ghemawat and Ricart Costa, 1993). Within this framework, it is possible for smaller, less efficient firms with high average costs to survive if they are sufficiently flexible to absorb a disproportionate share of output fluctuations. In contrast, large, efficient firms with low average costs but lower flexibility can rely on output levels more stable

Types of repositories

OpenDOAR
([Directory of Open Access Repositories](#))

Institutional
Repositories

Disciplinary
Repositories

Multidisciplinary
Repositories

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Networking Site

Research Collection

arXiv.org

zenodo

ResearchGate

DORA Empa

Digital Object Repository at Empa

ENGINEERING
enRxiv
ARCHIVE

figshare

MENDELEY

bioRxiv

ACADEMIA

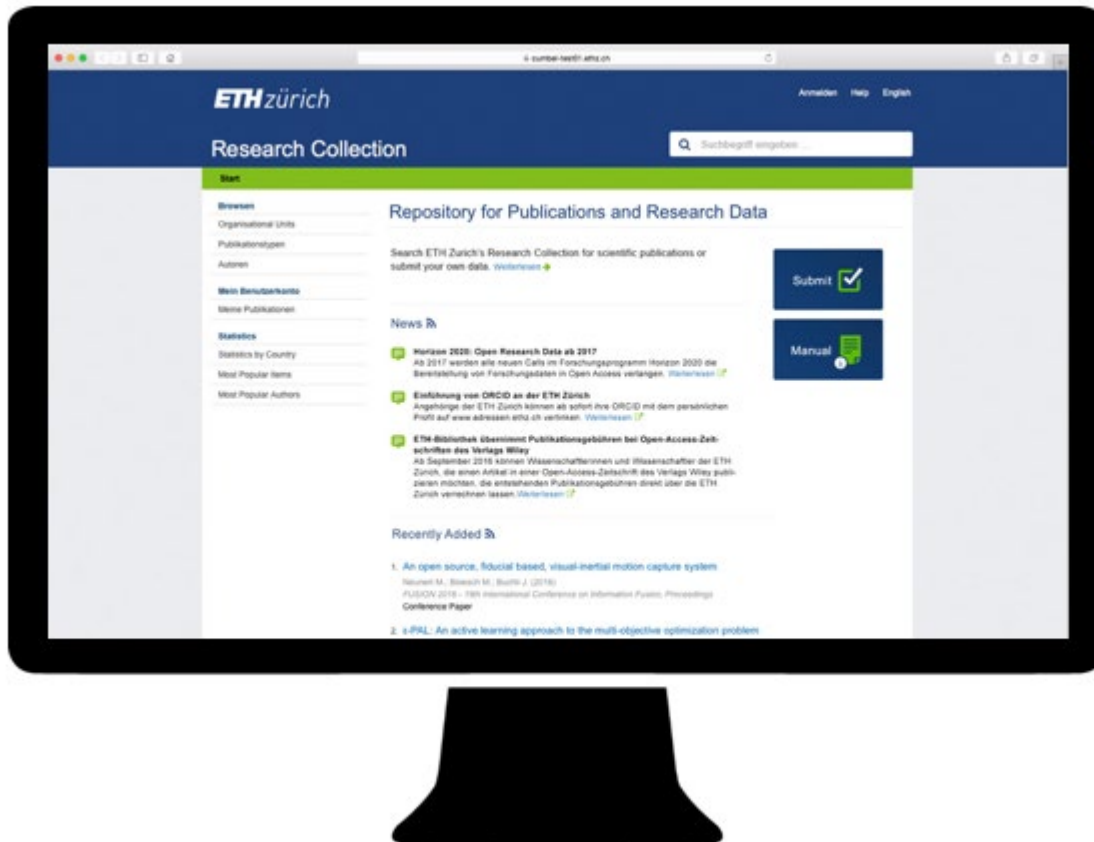
ChemRxiv™

- Not-for-profit
- All uploads checked against publishers' copyright regulations by library staff

- Usually mainly preprints
- Not all of them publish the author's accepted manuscript

- Commercial
- No copyright clarification
- Papers might be taken down later
- Not compliant with funder policies

ETH Zurich's repository: Research Collection



- Publication directory / university bibliography



- Open access repository



- Research data repository

www.research-collection.ethz.ch

What does the Research Collection offer for OA publishing?

- «Automatic» upload of Open Access articles
- Persistent Identifiers (DOIs) and possibility to reserve a DOI
- Usage Statistics, «Cited by» counts and Altmetrics
- Indexed in Google Scholar and other academic search engines
- Long-term archiving in ETH Zurich's IT infrastructure
- Advise on copyright issues
- and more...

Potential effects of the Income Stabilization Tool (IST) in Swiss agriculture

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Permanent link
<https://doi.org/10.3929/ethz-b-000108801>

Publication status
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Author
El Benni, Nadja
Finger, Robert
Meuwissen, Miranda

Date
2016-05-30

Journal / series
European Review of Agricultural Economics

Volume

Open access

Google Scholar

Artikel 8 Ergebnisse (0.02 Sek.)

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Publication status
published

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<https://doi.org/10.1002/cssc.201501048>
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Journal / series
ChemSusChem

Volume
8(22)

Pages / Article No.
3839 - 3846

Publisher
Wiley

Subject
Autothermal; Calcium; Carbon (dioxide) capture; Iron; Waste prevention

Organisational unit
03865 - Müller, Christoph R. / Müller, Christoph R. ✓

Metadata only

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Jiang, Jianguo
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[Video tutorial](#)

Instructions: <https://documentation.library.ethz.ch/x/ICM>

Green Road: copyright issues

- Where to look up the regulations?
 - SHERPA/RoMEO Database: <http://www.sherpa.ac.uk/romeo>
 - Publisher/journal website
 - Copyright transfer agreement / publishing contract / license to publish
 - For PhD Theses
<https://documentation.library.ethz.ch/display/RC/Cumulative+doctoral+theses>

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Biomacromolecules

















<https://v2.sherpa.ac.uk/romeo/>

^ Publication Information

Title	Biomacromolecules [English]
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URL	http://pubs.acs.org/journal/bomaf6
Publishers	American Chemical Society [Society Publisher]

^ Publisher Policy

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Accepted Version	  12m  	 Non-Commercial Institutional Repository, Non-Commercial Subject Repository, +3
Submitted Version	 None 	 Subject Repository, ChemRxiv, bioRxiv, arXiv, +1

Which version?

- Accepted or published version required by funders

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📄 Notes Reduced fee

Accepted Version



12m



Non-Commercial Institutional Repository, Non-Commercial Subject Repository, +3



Prerequisites

If Required by Funder, If Required by Institution



Embargo

12 Months



Location

Author's Homepage

Institutional Website

Non-Commercial Institutional Repository

Non-Commercial Subject Repository

Preprint Repository



Conditions

Must be accompanied by set statement (see policy)

Must link to publisher version



Notes

If mandated to deposit before 12 months, must obtain waiver from

Institution/Funding agency or use AuthorChoice


When?

- Possible embargos between 0 and 48 months

Where?

- Author's website
- Institutional repository
- Disciplinary repository

Submitted Version

 None 

 Subject Repository, ChemRxiv, bioRxiv, arXiv, +1

 Embargo

No Embargo

 Location

Named Repository (ChemRxiv, bioRxiv, arXiv)

Preprint Repository

Subject Repository

 Conditions

Must not violate ACS ethical Guidelines

Must note use of preprint server in cover letter and provide link to deposit

Upon publication add a link to published article with DOI

Rules for **preprints** are the most liberal, there is no contract with the publisher yet!

Green Road: copyright issues

- Where to look up the regulations?
 - SHERPA/RoMEO Database: <http://www.sherpa.ac.uk/romeo>
 - **Publisher/journal website** (→ e.g. [RSC](#))
 - Copyright transfer agreement / publishing contract / license to publish
 - For PhD Theses
<https://documentation.library.ethz.ch/display/RC/Cumulative+doctoral+theses>

Publisher/journal website

Sharing rights	Accepted manuscript	Version of record
Share with individuals on request, for personal use	✓	✓
Use for teaching or training materials	✓	✓
Use in submissions of grant applications, or academic requirements such as theses or dissertations*	✓	✓
Share with a closed group of research collaborators, for example via an intranet or privately via a scholarly communication network	✓	✓
Share publicly via a scholarly communication network that has signed up to STM sharing principles	⌚	✗
Share publicly via a personal website, institutional repository or other not-for-profit repository	⌚	✗
Share publicly via a scholarly communication network that has not signed up to STM sharing principles	✗	✗

Source: RSC Website

Green Road: copyright issues

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[Abstract \(Adobe PDF, 171.4Kb\)](#) ↓

Abstract
Agroforestry systems provide multiple ecosystem services and are refuges for diverse flora and fauna. Coffee is one of the main tropical agroforestry crops and of global economic importance. Over recent decades, coffee agroforestry systems have been increasingly intensified by the replacement of na [Show more](#) +

Permanent link
<https://doi.org/10.3929/ethz-b-000239904>

Publication status
accepted

External links
[Search via SFX](#) 

Contributors
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Supervisor: Küffer, Christoph

Publisher
ETH Zürich

Author
Nesper, Maike

Date
2017

Type
Doctoral Thesis

Embargoed until 2019-02-12

Chapter 2 |

Shade tree diversity enhances coffee production and quality in agroforestry systems in the Western Ghats

with C. Kueffer, S. Krishnan, C.G. Kushalappa, J. Ghazoul

Published in Agriculture, Ecosystems and Environment (2017), 247, 172 - 181

Abstract

Intensification of multispecies coffee agroforests reduces shade tree diversity with implications for tropical biodiversity.

- Mention original publication and co-authors for each chapter
- **Publisher's version are forbidden in cumulative thesis @ETH**
- Check publishers' requirements in our [list](#)

Hands-on I

Imagine you want to publish articles in these three journals (see Miro) and you want to publish open access:

- What would be the best open access (funding) option? Drag the journal symbol to the respective frame.
- What OA type is it (Gold, Green, Hybrid)?
- How long is the embargo period for green OA?

Funder requirements

Open Access in SNSF-funded projects

Regulations

OA mandatory	<ul style="list-style-type: none"> Peer-reviewed publications (journal articles, books, book chapters, conference proceedings)
Requirement	<ul style="list-style-type: none"> Gold or Green
Max. embargo period	<ul style="list-style-type: none"> Articles: 6 months (immediate OA → applications 01/23 onwards) Books: 12 months
Licence	<ul style="list-style-type: none"> For applications 01/2023 onwards: CC-BY mandatory
Proportion	<ul style="list-style-type: none"> SNSF funded minimum 50% of the research
Compliance monitoring	<ul style="list-style-type: none"> Via P3 / mySNF open access platform, http://www.snsf-oa-check.ch/
Funder statement	<ul style="list-style-type: none"> Mention SNSF funding in the acknowledgements

Open Access in SNSF-funded projects

Funding

Publication types	<ul style="list-style-type: none">• Journal articles, books, book chapters, conference proceedings (as book chapters)
OA type	<ul style="list-style-type: none">• Gold Open Access
Application	<ul style="list-style-type: none">• Upload the invoice via ChronosHub → SNSF pays the publisher directly
Timing	<ul style="list-style-type: none">• up to 6 months after publication, also after project end
Who	<ul style="list-style-type: none">• Grantees or project team members – mentioned as author
Quality	<ul style="list-style-type: none">• DOAJ recommended

Open Access in EU-funded projects



Regulation

OA mandatory	<ul style="list-style-type: none">• Peer-reviewed publications
Requirement	<ul style="list-style-type: none">• Gold or Green
Max. embargo period	<ul style="list-style-type: none">• STM: 6 months (0 Horizon Europe)• SSH: 12 months (0 Horizon Europe)
Licence	<ul style="list-style-type: none">• Horizon Europe: CC BY mandatory
Funding for OA articles	<ul style="list-style-type: none">• APCs for Gold (and Hybrid) journals can be claimed as project expenses → Include APCs in grant application
Compliance monitoring	<ul style="list-style-type: none">• Via reporting, institutional repositories and EU portal openAIRE

Regulation

Mandatory	<ul style="list-style-type: none">• Research papers, theses and any other research output
Requirement	<ul style="list-style-type: none">• Gold or Green• Repository: Research Collection
Max. embargo period	<ul style="list-style-type: none">• 3 years for Doctoral Theses
Funding for OA articles	<ul style="list-style-type: none">• ETH Library covers APCs for many OA & subscription journals• ETH Grants: APCs for Gold and Hybrid journals can be claimed as project expenses → Include it in application!

Hands-on II

Have a look at the solution of Hands-on I

- Would the funder requirements be fulfilled for:
 - A) The SNSF
 - B) The EU under Horizon Europe conditions
- Would there be funding available?

Challenges re. OA funding and compliance

- Gold OA: Immediate Open Access is sometimes still hard to achieve:
 - Hybrid Journals outside institutional agreements
 - Gold OA journals with APCs >5'000 USD
 - Non-corresponding author articles
- Green OA: Maximum embargo periods of funders often shorter than minimum embargo periods of journals
- New SNSF and Horizon Europe rules (0 months embargo, CC licence) will be challenging
- Books, book chapters, conference proceedings,...

Publishing research data

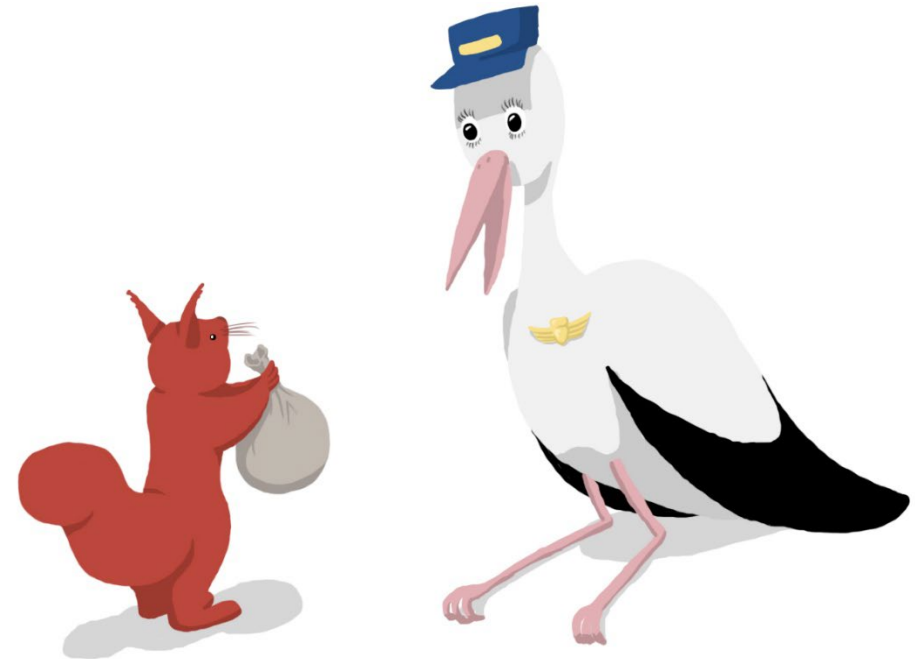
Group survey

Please share your experiences with data publishing and reuse:

- Have you already published a dataset yourself?
- Have you reused an open dataset published by other researchers?
- Have you generally reused data produced by other researchers?

Publishing research data

- Why publish research data?
- FAIR Data Principles & trustworthy repositories
- Copyright & Creative Commons Licences
- Preparing your data for publication: Dos and dont's
- How to publish data in ETH Zurich's Research Collection



Why publish research data?

Why? – Funder research data policies



Research data should be freely accessible to everyone – for scientists as well as for the general public.

(<https://www.snf.ch/en/dMILj9t4LNk8NwyR/topic/open-research-data>)

“as open as possible, as closed as necessary”

(https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm)

Why? – Journal research data policies

- **SpringerNature** Research Data Policies
<https://www.springernature.com/gp/authors/research-data-policy>
- **PLOS** Data Availability Policy
<https://journals.plos.org/plosone/s/data-availability>
- **Copernicus** Data Policy
https://www.publications.copernicus.org/services/data_policy.html





Lukas Gudmundsson

@LukGudmundsson

I did not expect this: our [#Global #Runoff Reconstruction](#) (GRUN, doi.org/10.3929/ethz-b...) is among the most downloaded data sets on the [@ETH](#) research collection. Paper describing the data by [@GionataGhiggi](#), [@vwhumphrey](#), [@SISeneviratne](#): doi.org/10.5194/essd-1...

[Tweet übersetzen](#)

Most Popular Items

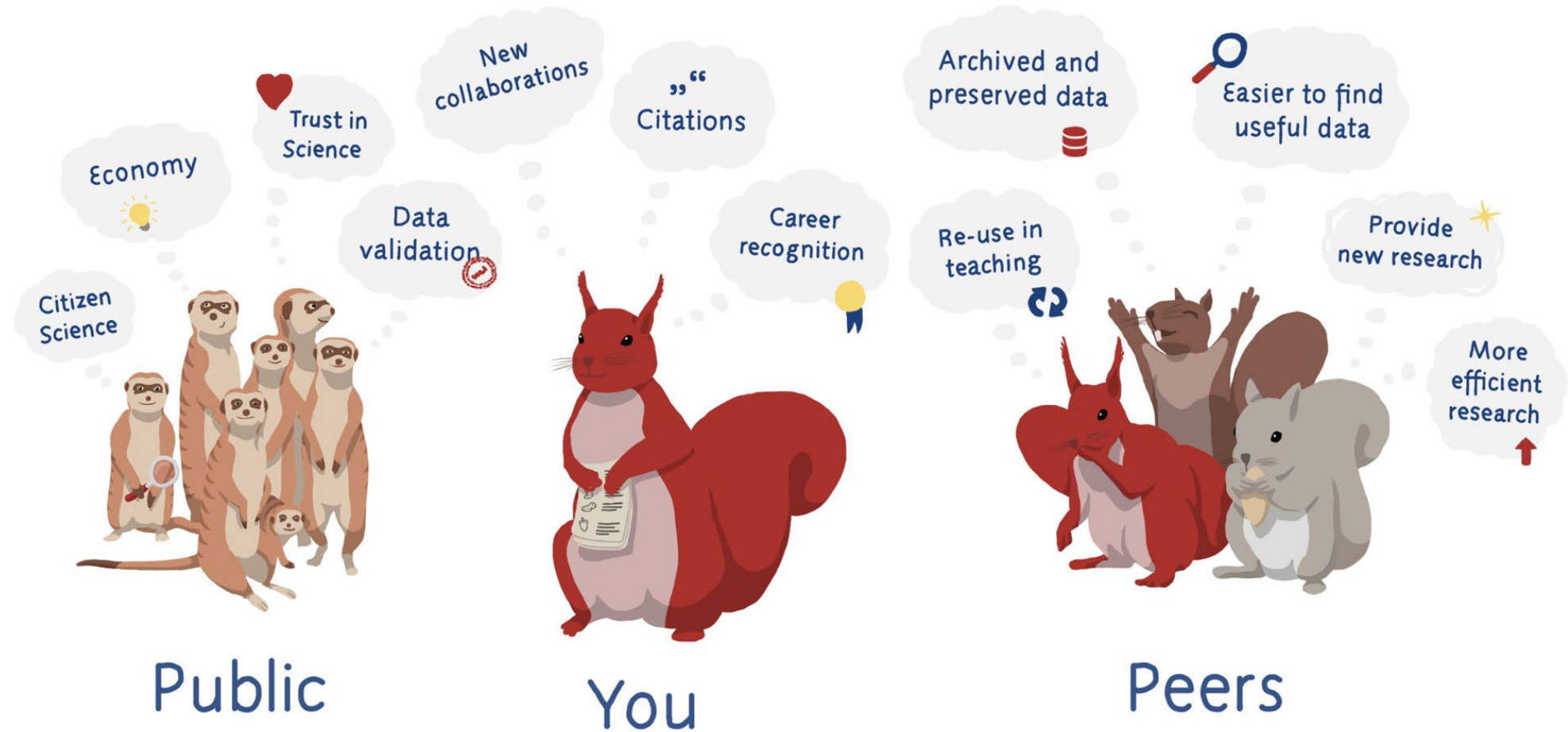
10 results Dataset All regions All time

Item title	File downloads	Item views	Sum
A consensus estimate for the ice thickness distribution of all glaciers on Earth - dataset	8,436	3,925	12,361
GRUN: Global Runoff Reconstruction (GRUN_v1)	2,968	1,096	4,064
Supplementary Data for Forest Restoration Potential	682	547	1,229

5:19 nachm. · 27. Jan. 2020 · [Twitter Web App](#)

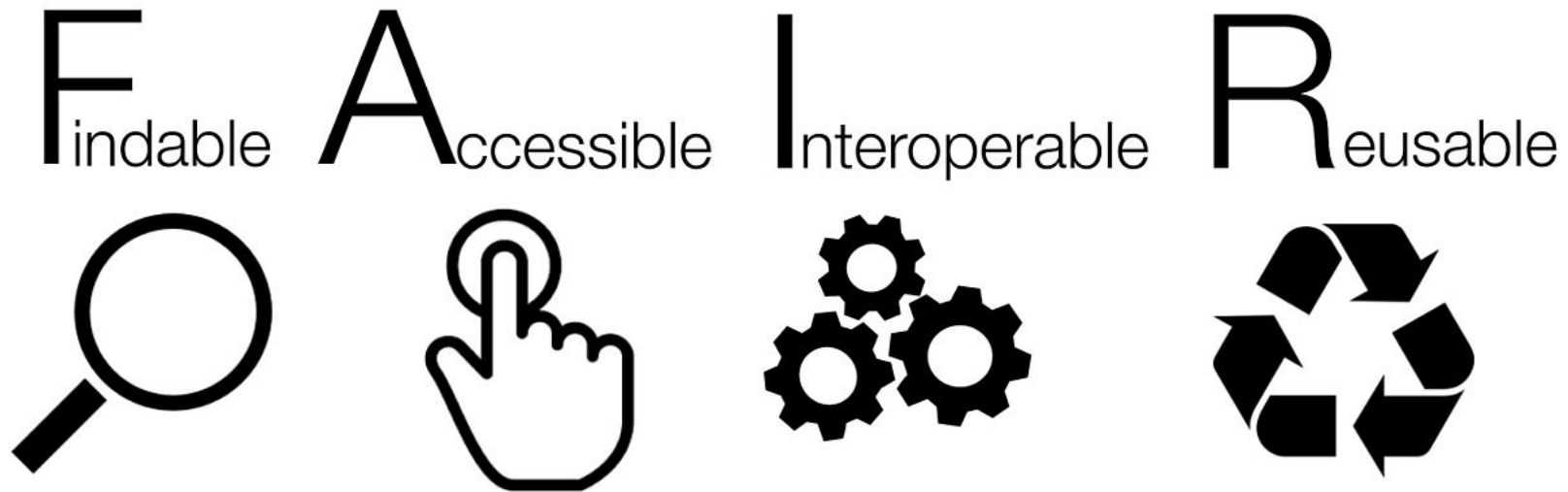
3 Retweets 27 „Gefällt mir“-Angaben

Benefits of Data Sharing



FAIR Data Principles & trustworthy repositories

How to publish data according to the FAIR Data Principles



CC-BY-SA 4.0 Sangya Pundir
https://upload.wikimedia.org/wikipedia/commons/a/aa/FAIR_data_principles.jpg

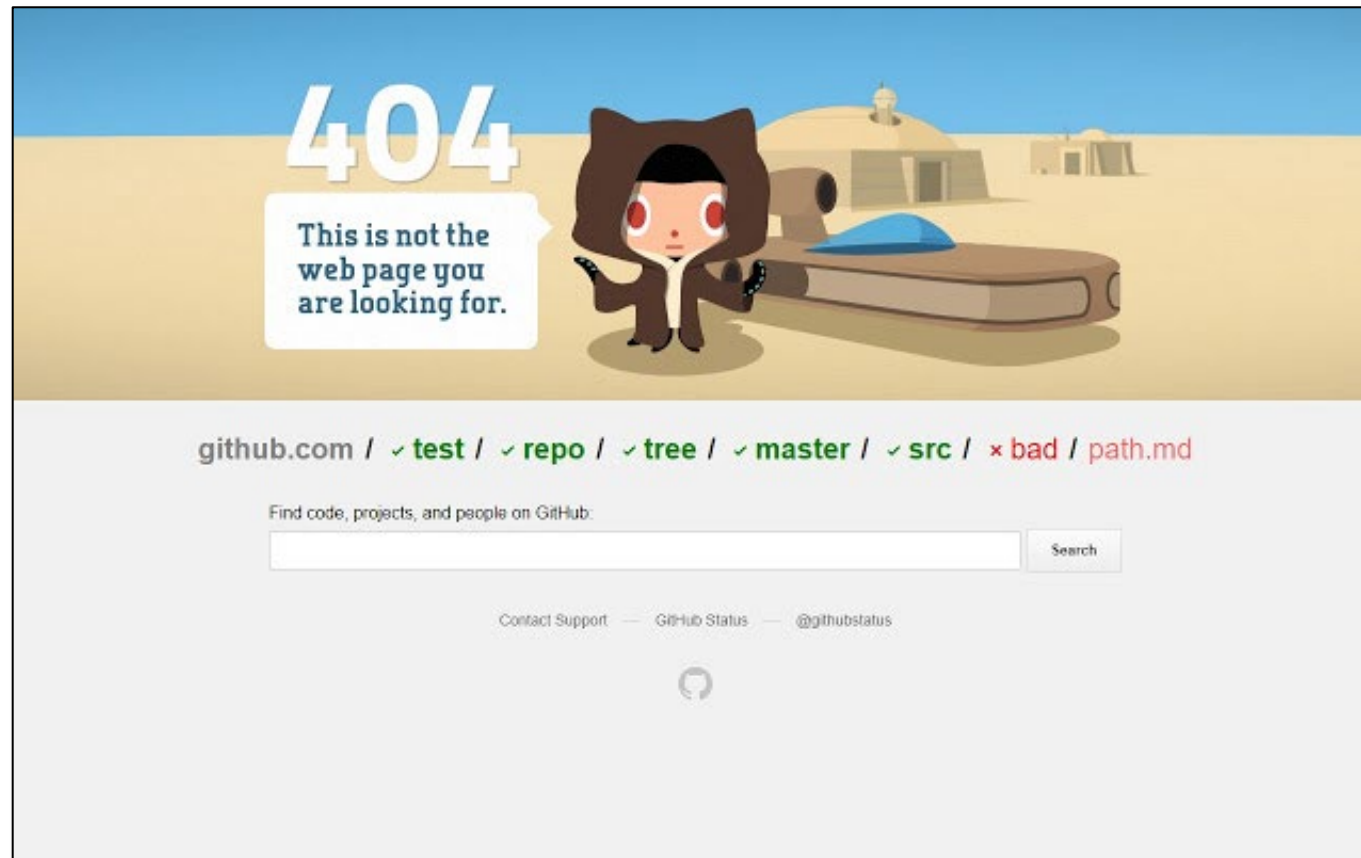
The FAIR Guiding Principles for scientific data management and stewardship, *Scientific Data*, Issue 3, 2016. 10.1038/sdata.2016.18.

Hands-on III

How to publish data in line with the FAIR Data Principles?

- Have a look at the features and requirements written on the sticky notes.
- Which of the four aspects of FAIR does it help you to implement in practice? Move the note to the respective letter on the right side.
- You can also copy a stick a note if it enables you to implement more than one aspect of FAIR.

DOIs – Solving link rot with Persistent Identifiers




DOIs – Solving link rot with Persistent Identifiers

- A **Persistent Identifier** is a long-lasting reference to a document, file, web page, or other object
 - It usually comes with a **resolving mechanism** where each Persistent Identifier resolves to a URL
 - While the URL where a publication / dataset is located may change over time, the PI **does not change** and **always leads to the most current location** of a resource

DOIs – Solving link rot with Persistent Identifiers

- **A DOI is a Persistent Identifier that is «citable»** because
 - ✓ Publishers / repositories **update the URLs** associated with DOIs
 - ✓ Publishers / repositories **don't change the content** associated with a DOI after its publication



DRYAD About ▾ For researchers ▾ For organizations ▾

Data from: **Simulating nutrient release from parental carcasses increases the growth, biomass and genetic diversity of juvenile Atlantic salmon**

McLennan D, Auer S, Anderson G, Reid T, Bassar R, Stewart D, Cauwelier E, Sampayo J, McKelvey S, Nislow K, Armstrong J, Metcalfe N

Date Published: May 31, 2019

DOI: <https://doi.org/10.5061/dryad.c6v3838>

Metadata

- Remember?
 - Metadata is the data about your data
 - Metadata can be supplied in the file header (e.g. TIFF, netCDF), as sidecar files (e.g. XML, JSON), as README text file or as columns in a database
- For publishing data in compliance with the FAIR Data Principles, you must provide this metadata to the repository
 - via a manual submission form
 - via XML upload, an API, ...



www.digitalbevaring.dk

Creative Commons Attribution 2.5 Denmark

Metadata / Landing Pages

- The repository will then provide the metadata to end-users in human as well as machine-readable form, via the dataset's "Landing Page"

The screenshot shows a Zenodo landing page for a dataset titled "DADA2 formatted 16S rRNA gene sequences for both bacteria & archaea". The page includes a search bar, navigation links, and a list of contact persons. The main content area features a large number "2,821" representing views and "389" representing downloads. Below this, there is a section for "OpenAIRE" and a "Publication date" of January 16, 2019. A "Keywords" section lists "DADA2 format", "16S rRNA", "Bacterial", and "Archaea". A "Versions" table shows two versions: Version 2 (DOI: 10.5281/zenodo.3188334) and Version 1 (DOI: 10.5281/zenodo.2541239). A "Files" table lists three files: "GTDB_bac-arc_ssu_r96.fa.gz" (7.1 MB), "mS327c9d7967e7e76d69fae6f699eb57" (4.0 MB), and "RefSeq-RDP16S_v3_May2018.fa.gz" (4.0 MB).

```
<!DOCTYPE html>
<html lang="en" dir="ltr">
  <head>
    <meta charset="utf-8">
    <meta http-equiv="X-UA-Compatible" content="IE=edge">
    <meta name="viewport" content="width=device-width, initial-scale=1">
    <meta name="google-site-verification" content="5fPGcllmiwvFvXHQWt11TadV7byEvFpCyk2Vks_s7"/>
    <meta name="google-site-verification" content="Rps5p04KWv-s11pT0G87Z6XV60LoZD5C3KTH-A1V4"/>
    <meta name="norton-safeweb-site-verification" content="umenay8zh4kswb1568zqp19bqb-jvngusibublygib0x3jne9rig0fmmofm8abb7lkz1qtp5yhms85sq24iqkm39x120-p5foixd-1xfq4yig07ugcd1spkmyvpe" />
    <title>DADA2 formatted 16S rRNA gene sequences for both bacteria & archaea | Zenodo</title>
    <link rel="shortcut icon" href="/static/favicon.ico"/>
    <link rel="apple-touch-icon-precomposed" sizes="144x144" href="/static/apple-touch-icon-144-precomposed.png"/>
    <link rel="apple-touch-icon-precomposed" sizes="114x114" href="/static/apple-touch-icon-114-precomposed.png"/>
    <link rel="apple-touch-icon-precomposed" sizes="72x72" href="/static/apple-touch-icon-72-precomposed.png"/>
    <link rel="apple-touch-icon-precomposed" sizes="57x57" href="/static/apple-touch-icon-57-precomposed.png"/>
    <link href="https://fonts.googleapis.com/css?family=Roboto:300,400,500,700,100,italic" rel="stylesheet">
    <link href="/static/gen/zenodo.6d727863.css" rel="stylesheet">
    <!-- HTML5 shim and Respond.js for IE8 support of HTML5 elements and media queries -->
    <!--[if lt IE 8]>
    <script src="https://oss.maxcdn.com/html5shiv/3.7.2/html5shiv.min.js"></script>
    <script src="https://oss.maxcdn.com/respond/1.4.2/respond.min.js"></script>
    <![endif]-->
    <meta name="description" content="These two combined bacterial and archaeal 16S rRNA gene sequence databases were collated from various sources and formatted for the purpose of using the &#34;assignTaxonomy&#34; command within the DADA2 pipeline. RefSeq+RDP: This database contains 14676 bacterial & 660 archaea full 16S rRNA gene sequences. It was compiled in 14/05/2018 from predominantly the NCBI RefSeq 16S rRNA database (https://www.ncbi.nlm.nih.gov/refseq/targetedloci/16S_process/) and was supplemented with extra sequences from the RDP database (https://rdp.cme.msu.edu/misc/resources.jsp). Genome Taxonomy Database (GTDB): our dada2 formatted GTDB reference sequence set contains 20486 bacteria and 1073 archaea full 16S rRNA gene sequences. The database was downloaded from (http://gtdb.ecogenomic.org/downloads) on 20/11/2018. The formatting to DADA2 format of the databases was done using a locally written python 2.7 script. The script takes as input a taxonomy .txt file and a fasta file as provided by the core databases creators and then these two files are matched according to a unique sequence identifier available in both files. Then it outputs a fasta file with all 7 taxonomy ranks separated by ";" as required for DADA2 compatibility. Additionally, we have concatenated the unique sequence ID to be it NCBI/RDP or GTDB ID to the species entry. We see this as an important QC step to highlight the issues/confidence associated with short read taxonomy assignment at the more finer rank levels." />
    <meta name="citation_title" content="DADA2 formatted 16S rRNA gene sequences for both bacteria & archaea" />
    <meta name="citation_author" content="Ali Alishum" />
    <meta name="citation_publication_date" content="2019/01/16" />
    <meta name="citation_doi" content="10.5281/zenodo.3188334" />
    <meta name="citation_keywords" content="DADA2 format" />
    <meta name="citation_keywords" content="16S rRNA" />
    <meta name="citation_keywords" content="Bacterial" />
    <meta name="citation_keywords" content="Archaea" />
    <meta name="citation_abstract_html_url" content="https://www.zenodo.org/record/3188334" />
    <meta property="og:title" content="DADA2 formatted 16S rRNA gene sequences for both bacteria & archaea" />
    <meta property="og:description" content="These two combined bacterial and archaeal 16S rRNA gene sequence databases were collated from various sources and formatted for the purpose of using the &#34;assignTaxonomy&#34; command within the DADA2 pipeline. RefSeq+RDP: This database contains 14676 bacterial & 660 archaea full 16S rRNA gene sequences. It was compiled in 14/05/2018 from predominantly the NCBI RefSeq 16S rRNA database (https://www.ncbi.nlm.nih.gov/refseq/targetedloci/16S_process/) and was supplemented with extra sequences from the RDP database (https://rdp.cme.msu.edu/misc/resources.jsp). Genome Taxonomy Database (GTDB): our dada2 formatted GTDB reference sequence set contains 20486 bacteria and 1073 archaea full 16S rRNA gene sequences. The database was downloaded from (http://gtdb.ecogenomic.org/downloads) on 20/11/2018. The formatting to DADA2 format of the databases was done using a locally written python 2.7 script. The script takes as input a taxonomy .txt file and a fasta file as provided by the core databases creators and then these two files are matched according to a unique sequence identifier available in both files. Then it outputs a fasta file with all 7 taxonomy ranks separated by &#34;";&#34; as required for DADA2 compatibility. Additionally, we have concatenated the unique sequence ID to be it NCBI/RDP or GTDB ID to the species entry. We see this as an important QC step to highlight the issues/confidence associated with short read taxonomy assignment at the more finer rank levels." />
    <meta property="og:url" content="https://www.zenodo.org/record/3188334" />
    <meta property="og:site_name" content="Zenodo" />
    <meta name="twitter:card" content="summary" />
```

What's a trustworthy repository?

- A repository
 - ... that provides all or most of the features described in the previous slides
- PLUS:
 - ... that is run by a **long-lived institution**
 - ... and that has **sustainable funding** sources



Criteria for choosing a data repository

- Compliance with **FAIR Data Principles**
- **Sustainability** and **trustworthiness**
- **Location** of the service and its servers
- Legal regulations on **data protection**
- Immediate/long-term **costs**
- How can you get your **data back**?



Data repositories – examples



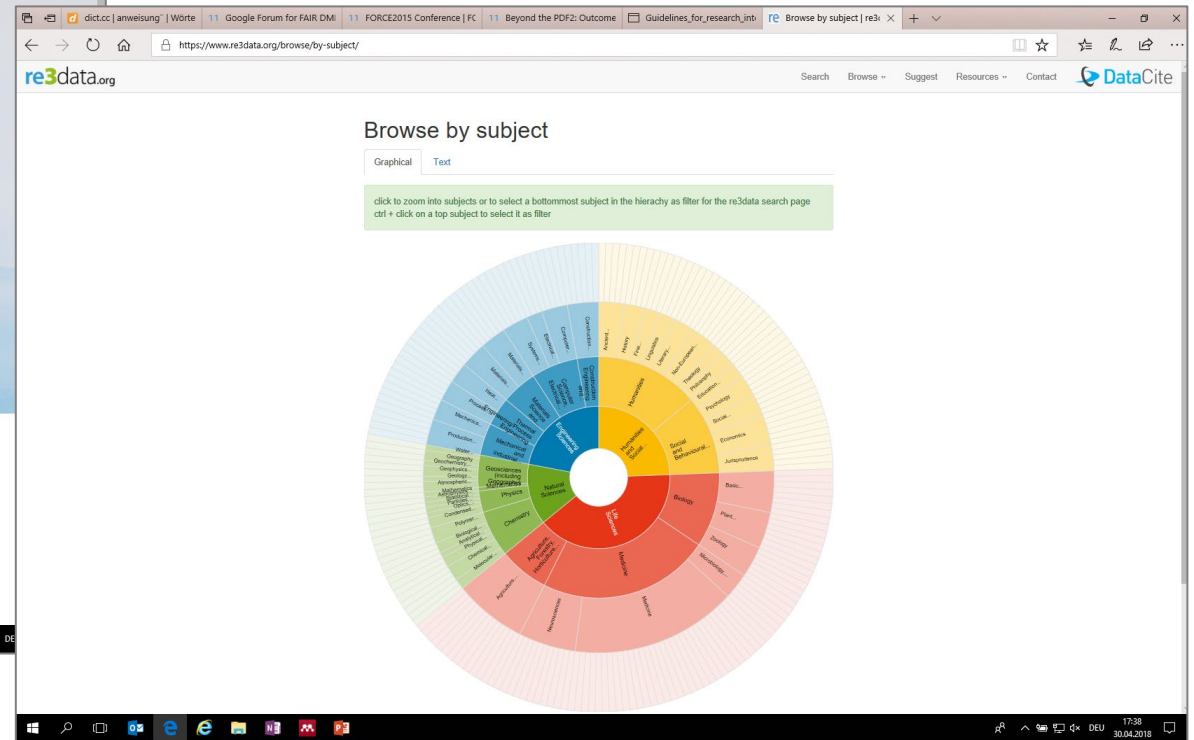
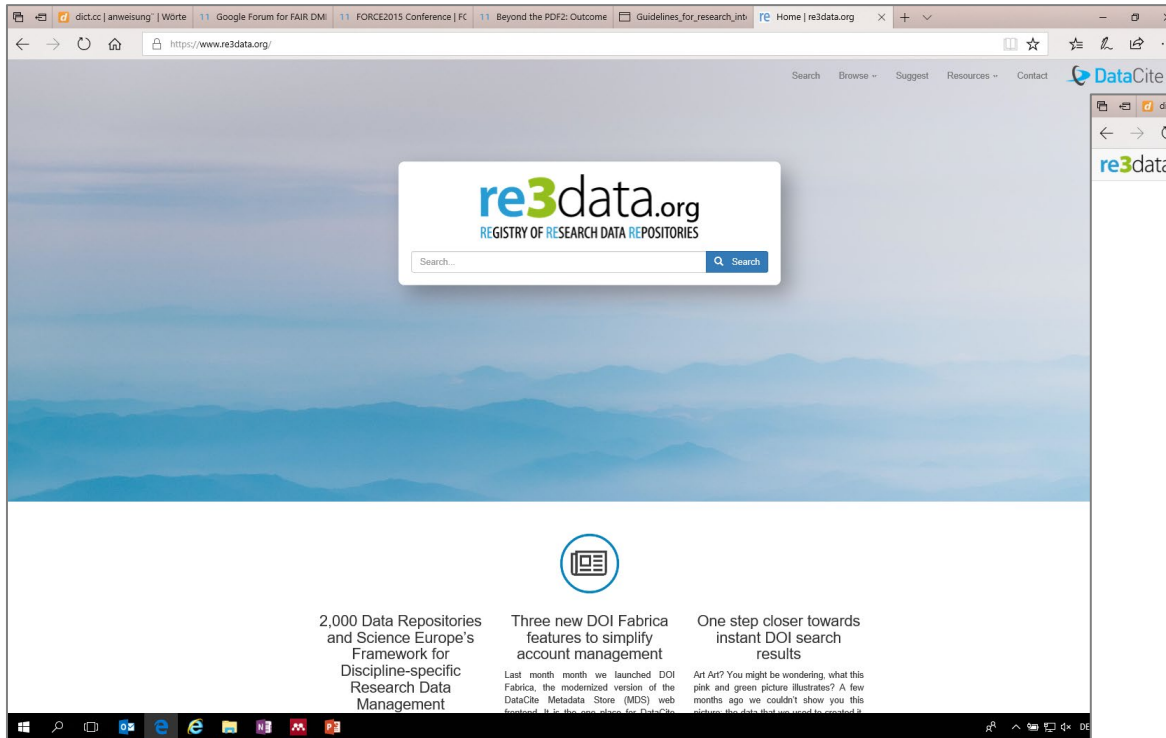
PANGAEA.

Data Publisher for Earth & Environmental Science

Data Journals



Finding trustworthy data repositories – www.re3data.org



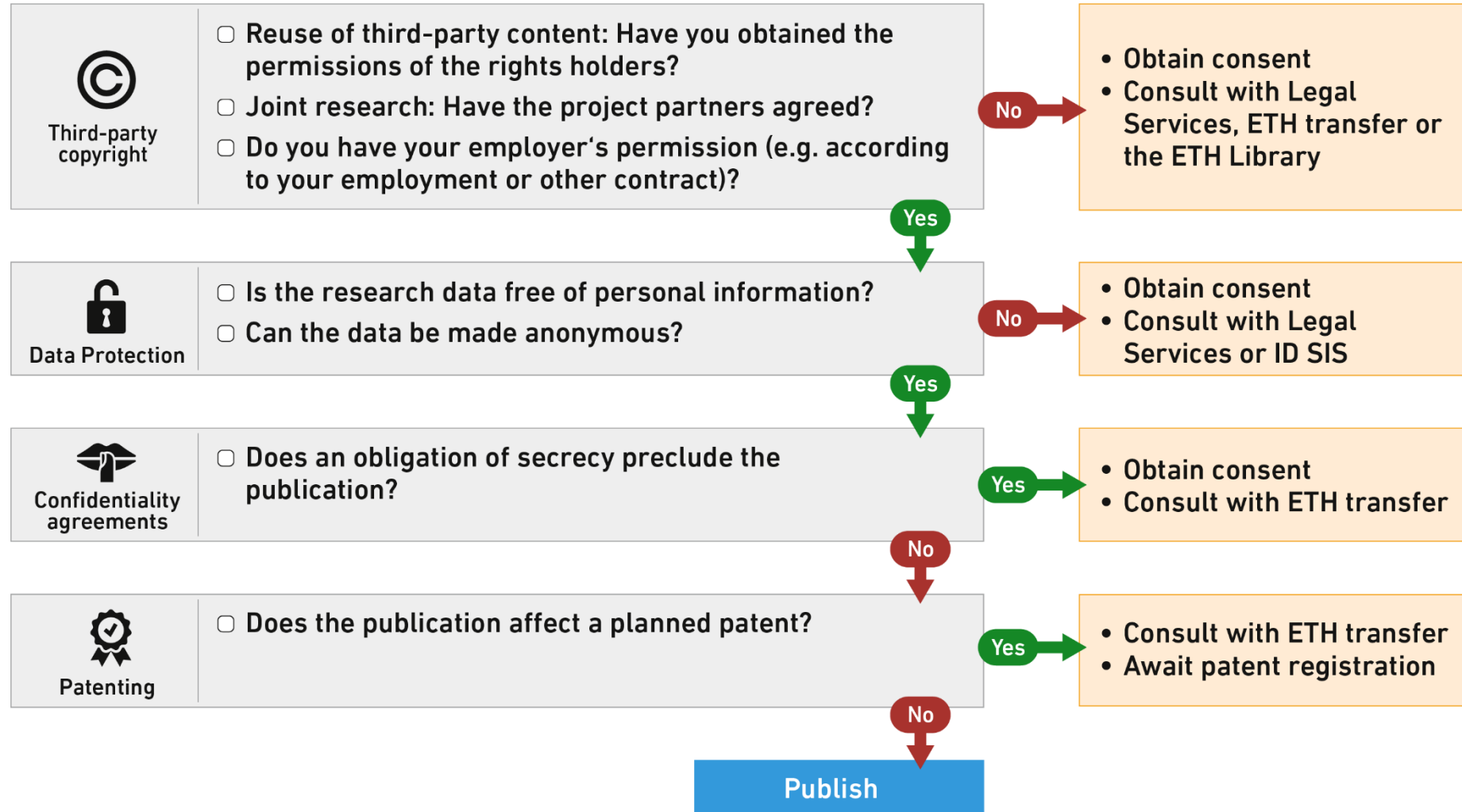
Hands-on IV

How many repositories can you find in www.re3data.org that

- are based in Switzerland
- and provide DOIs?

Copyright & Creative Commons Licences

Legal aspects: what to clarify before publishing your data



Creative Commons Licences



What are Creative Commons Licences?

- CC licences allow authors / data producers to define **what types of reuse are permitted** for their works

Who can grant a Creative Commons licence?



- CC licences can only be granted by **authors or copyright holders** themselves
- All co-authors / data producers / rights holders must agree to the licensing

Why should I apply a Creative Commons licence to my work?

- Because works published **without CC licence** can only be reused
 - with explicit **permission** from the copyright holder
 - or based on an exemption defined in copyright law (e.g., in Switzerland, for «**personal use**» or for «**quotation in scientific works**»)
→ c.f. [The right of quotation](#)

Why should I apply a Creative Commons licence to my work?

- Whereas works published **with CC licence** can be reused **as specified in the licence**, for example
 - for illustrating a presentation
 - for distribution in classrooms
 - for republication in Wikipedia
 - for commercial purposes
 - ...

How can a work be published under a CC license?

- Referring to the licence **in the work itself** (e.g. title page, legal notice section, readme.txt)
- Additionally: Adding the license to the **landing page and metadata** on a repository or publisher website
- The reference to the license should contain the **name** and **stable URL of the licence** as well as, optionally, the **licence logo**.
- Example:



This work is licensed under a [Creative Commons Attribution 4.0 International license](https://creativecommons.org/licenses/by/4.0/)

Which Creative Commons licence should I choose?

- CC licenses can be generated by combining the following elements:



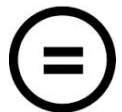
Attribution (BY) – mandatory element in all licenses



Share-Alike (SA)




NonCommerical (NC)



NoDerivatives (ND) – *recommended not to use in OA / ORD context*


Which Creative Commons licence should I choose?

CC-BY

License	Terms	Pros	Cons
<p>Creative Commons Attribution 4.0 International http://creativecommons.org/licenses/by/4.0/</p> 	<p>The name of the author must be stated.</p>	<p>Allows unrestricted copying, redistribution, publication, adaptation and use of a work.</p> <p>Many authors and publishers consider it best practice to license open access articles under a CC-BY license.</p>	<p>The author completely gives up control of re-use of his work.</p> <p>Attribution can be complicated to achieve when automated methods are used to assemble a dataset from various CC-BY-licensed sources.</p>


Which Creative Commons licence should I choose?

CC-BY-SA

License	Terms	Pros	Cons
<p>Creative Commons Attribution-ShareAlike 4.0 International http://creativecommons.org/licenses/by-sa/4.0/</p> 	<p>The name of the author must be stated.</p> <p>The work must be distributed under the same license after any changes.</p>	<p>This license has the character of a “viral license” which means that new works resulting from changes must be distributed under the same license.</p>	<p>It may lead to undesired limitations in re-use due to “license incompatibilities”: For example, the material used within a CC-BY-SA article can only be combined and republished with other CC-BY-SA content.</p>

Which Creative Commons licence should I choose?

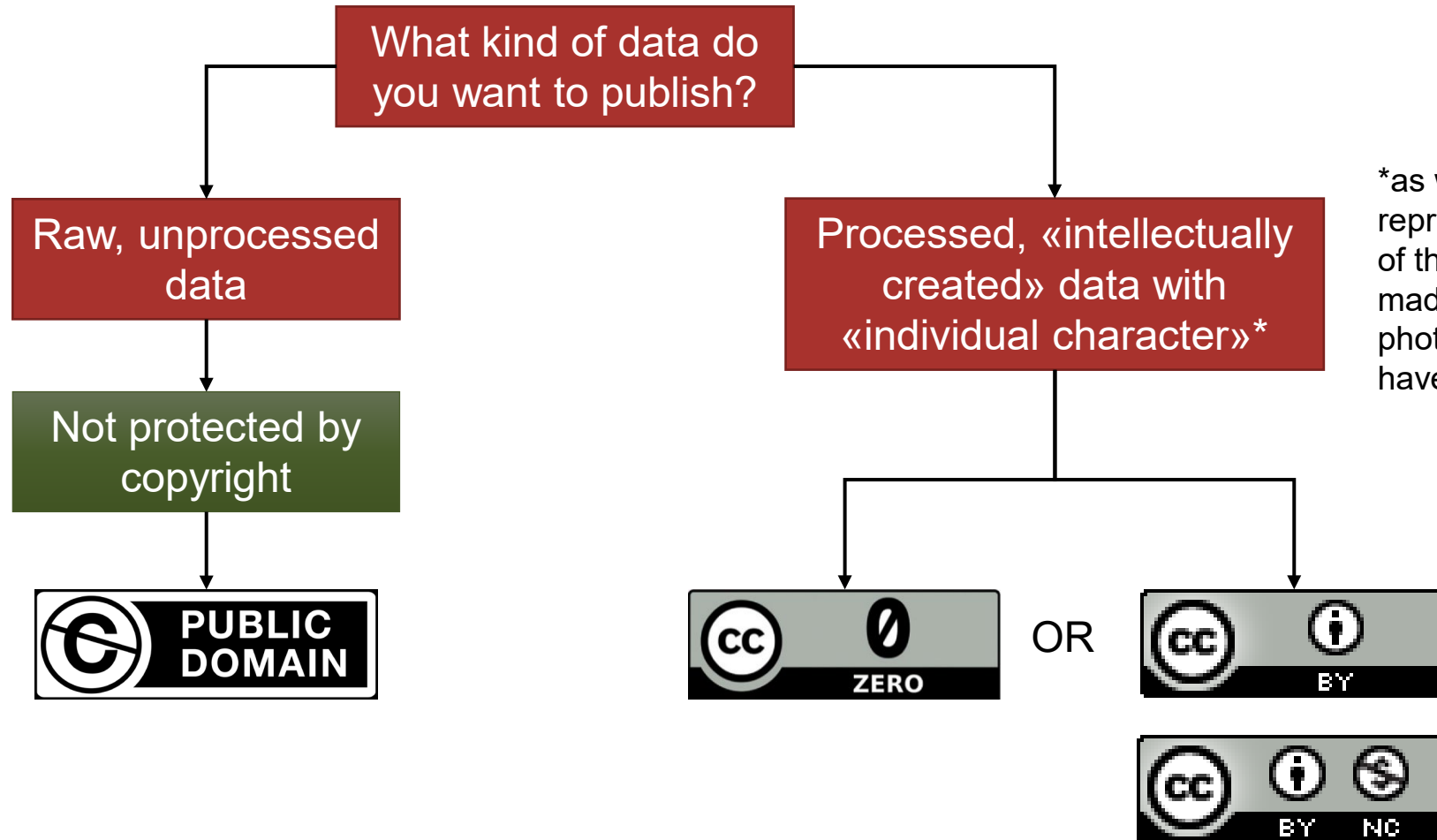
CC-BY-NC

License	Terms	Pros	Cons
<p>Creative Commons Attribution-NonCommercial 4.0 International http://creativecommons.org/licenses/by-nc/4.0/</p> 	<p>The name of the author must be stated.</p> <p>No commercial use is permitted.</p>	<p>This license is suitable if there is a realistic prospect of commercial users paying for use of the material.</p>	<p>May prevent use in education and research (e.g. use in fee-paying courses of study or public-private partnerships).</p> <p>May also prevent re-use in non-commercial services if they require a more liberal license (e.g. Wikipedia).</p>

Which Creative Commons licence should I choose?

- ✓ The main factor in deciding in favor of a specific license should be your **individual intention**.
- ✓ Consider that each additional **license limitation** always also leads to **increased legal uncertainty**.
- This means that more restrictive licenses are generally linked to disadvantages for licensors and users alike.

How to mark / licence Open Research Data for reuse



Preparing your data for publication: Dos and dont's

Document your data

- Include a README
- Use informative file and folder names
- Include metadata
- Link it to an article or other publication

Check your data for legal compliance

- Do you and your group members have the rights to all the data?
- If not, do you have permission to publish the data?
- Are you complying with the licence terms of any third party data?
- Are you complying with the regulations of your University (e.g. regarding software licences)?
- Under which licence will you publish your dataset?
- Have you included the licence terms in your README file?

Edit your data for publication

- Remove temporary and backup files
 - Rename files and folders where helpful
 - Remove third party files and software for which you don't have permission
 - Check for hardcoded file paths, symbolic links, references
 - Don't include your manuscript
 - Spell check your text files
-
- Good folder structure and regular cleanup should ideally already be part of the data management process

Choose appropriate file formats

- Domain specific
- Open standards
- Avoid proprietary, undocumented filetypes

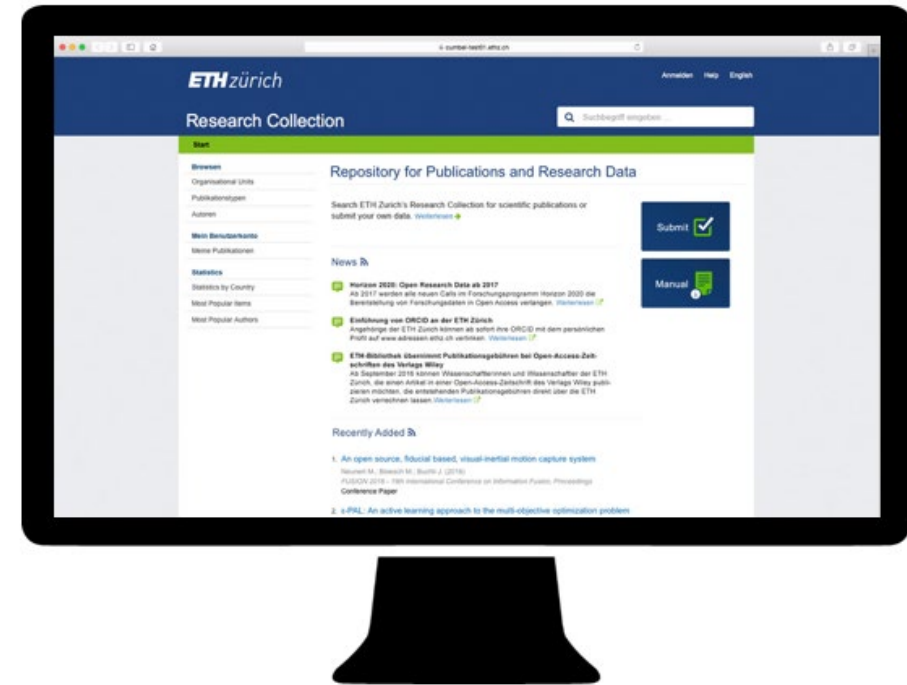
- For long term preservation: use recommended formats
(<https://documentation.library.ethz.ch/display/RC/File+formats+for+archiving+research+data>)

- Use standard containers
 - Zip or TAR-Files
 - No encryption/passwords

Uploading your data into the Research Collection

ETH Research Collection – www.research-collection.ethz.ch

- One-stop-shop for depositing research output
 - Publications, research data
 - Web upload, DOI-reservation and registration, ORCID, export to OpenAire...
 - Long-term preservation in ETH Data Archive
- Aligned with FAIR principles according to SNSF guidelines




Research Collection for research data

- Publish, share or archive research data
- As supplementary material or stand-alone publication
- All file formats allowed, recommendations for suitable formats provided
- Max. file size: 10 GB (50 GB per entry)
 - New service «libdrive» for larger datasets
- Free service for ETH members

LevelDynamics_Scilab/Xcos_v541_sources.7z



Open access 

Produzent(in)
Glattfelder, Adolf Hermann

Datum
2017-08-09

Typ
Model

Download
[LevelDynamics_ScilabXcos_v541_sources.7z \(Unknown, 25.32Mb\)](#) ↓

Rechte / Lizenz
[Creative Commons Attribution-ShareAlike 4.0 International](#) ↗

Abstract
Source files of models used in ' Free Surface Water Flow - Modeling, Simulation and Control ' developed in Scilab/Xcos v. 5.4.1

Persistenter Link
<https://doi.org/10.3929/ethz-b-000175543>

Beteiligte
Kontaktperson: Glattfelder, Adolf Hermann

Verlag
ETH Zurich

Software
Scilab/Xcos

Organisationseinheit
02650 - Institut für Automatik (IfA) / Automatic Control Laboratory (IfA)

Zugehörige Publikationen und Daten
Is supplement to: <https://doi.org/10.3929/ethz-b-000175527> ↗

Anmerkungen
7-zip 16.04 (64 bit) container with zero compression

Step 1: Choose a research data type

Browse

- Organisational Units
- Publication Types
- Authors

Publish

- New Submission


Statistics

- Downloads by Country
- Most Popular Items
- Most Popular Authors

Browse by Publication Type

Select a publication type to list all items of this type.

- + Books [9530]
- + Conference Contributions [39872]
- + Educational Material [395]
- + Journal Contributions [89121]
- + Other Publications [2634]
- + Patents [26]
- + Presentations [1515]
- + **Research Data [117]**
- + Theses [25909]
- + Working Papers/Reports [8000]



- **Research Data [117]**

- Data Collection [9]
- Dataset [81]
- Image [3]
- Model [5]
- Other Research Data [0]
- Software [7]
- Sound [0]
- Video [12]

Step 2: Describe your dataset

Item Submission

Describe Describe Duplicate Check Upload Usage permission Enduser License Review Complete

Describe Item

Creator: *

Last name First name(s)

Choose a name from the lookup table for an easier submission.

Title: *

Publication Date: *

Year Month Day

Only year is mandatory.

Organisational Unit: *

Methods:

Software:

Geolocation:

Placename Latitude Longitude

This encompasses the information of a geolocation. Only the name is required, the rest of the fields are optional.

Date collected:

The date or period of time the data was collected

Date created:

Step 3: Upload file(s)

Item Submission

Describe Describe Duplicate Check **Upload** Usage permission Enduser License Review Complete

Upload File(s)

File:
 Keine ausgewählt
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Abstract
Source files of models used in ' Free Surface Water Flow - Modeling, Simulation and Control ' developed in Scilab/Xcos v. 5.4.1

Persistenter Link
<https://doi.org/10.3929/ethz-b-000175543>

Beteiligte
Kontaktperson: Glattfelder, Adolf Hermann

Verlag
ETH Zurich

Software
Scilab/Xcos

Organisationseinheit
02650 - Institut für Automatik (IfA) / Automatic Control Laboratory (IfA)

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Anmerkungen
7-zip 16.04 (64 bit) container with zero compression

Produzent(in)
Glattfelder, Adolf Hermann


Datum
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Abstract
The bio-economic model calculates optimal weed control strategies for cultivation of silage maize in North-Rhine-Westphalia and can be used to simulate agri-environmental policy scenarios such as a glyphosate ban. The model is described in detail in the following article: Böcker, T., Britz, W., Fin [Mehr anzeigen](#) 

Produzent(in)
Böcker, Thomas
Britz, Wolfgang
Finger, Robert

Datum
2017-09-09

Typ
Model

Verlag
ETH Zurich

Software
The model is written in GAMS

Thema
AGRICULTURAL ECONOMICS; weed management; Glyphosate; AGRICULTURAL POLICY

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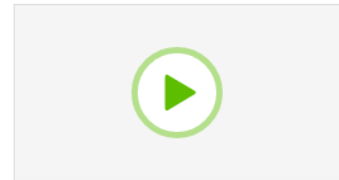
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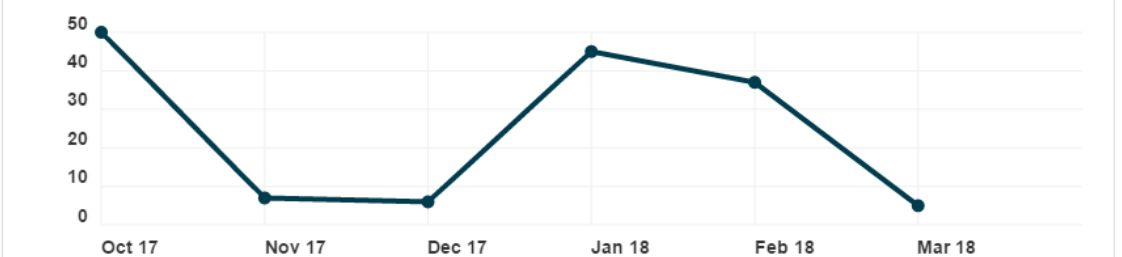
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Anmerkungen
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Hands-on V

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- Look at an example dataset in the Research Collection
- Discuss the data publication in your breakout group
- Collect the findings by posting them in your room's section on the Miro board

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 - + Software separately licenced and declared
 - + Linked to publication
 - + Well supported formats (except binary RDS-file, which can be recreated)
- <https://doi.org/10.3929/ethz-b-000455732>
 - + Well supported formats (CSV, PDF)
 - + Good licence: CC-BY
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 - + Well documented: Readme + description of variables

Take away: Recommendations for publishing research data

- Deposit in **trustworthy repositories** (→ check www.re3data.org)
 - Provides **landing pages** for individual datasets
 - Provides human and machine-readable **metadata** for datasets
 - Provides **DOIs** or other persistent identifiers for data
 - Provides the option to use open content **licences**
 - Has **sustainable funding** sources
- Before submitting your dataset...
 - Think about **which data** should be published
 - Check for **legal and ethical compliance**
 - Edit your data: Select **well supported formats**, remove unnecessary files
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And then..



- Make your research data a first class citizen in your scholarly record!
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