

**Research data management and Open Science**  
**Policies and Regulations of National and International Research Funders**

**Sli.do event code: #722 156**

**Unit VIII.3 Research Funding**

Dr. Florian Schreck, Team for National Research Funding Programs  
Dr. Veit Schwab, Team for International Research Funding Programs

## National Research Funders: DFG

---

### DFG Guidelines on the Handling of Research Data



2015

“Research data is an essential foundation for scientific work.”

“The **long-term archiving** and **accessibility** of research data contributes to the traceability and quality of scientific work and enables researchers to carry on work begun by others.”

“Applicants **should** consider during the planning stage whether and how much of the research data resulting from a project could be relevant for other research contexts and how this data can be made available to other researchers for reuse.”

## National Research Funders: DFG

---

### Do I have to submit a Data Management Plan (DMP) with my DFG Research Grant application?

DFG Guidelines on the Handling of Research Data 2015

- **No**, but you should consider data handling:

“Applicants **should** consider during the planning stage whether and how much of the research data resulting from a project could be relevant for other research contexts and how this data can be made available to other researchers for reuse.”

“In accordance with the **rules of good scientific practice**, research data should be **archived** in the researcher's own institution or an appropriate nationwide infrastructure for at least **10 years**.”

## National Research Funders: DFG

---

### Do I have to submit a Data Management Plan (DMP) with my DFG Research Grant application?

Revised Project Proposal Instructions 2020

- **You have to discuss how you handle research data in your project:**  
“If research data or information will be systematically produced in the project, **explain** the nature, scope and documentation of the data and how they will be stored.

In addition, **discuss** the possibility of subsequent **reuse** by other researchers. Please regard **existing standards** and data repositories or archives **in your discipline** where appropriate.”

Section 5.2 of the Project Proposal Template

## National Research Funders: DFG

---

### DFG Discipline Specific Recommendations for Data Handling

- **Recommendations by individual DFG review panels**

Mostly available in German only:

[https://www.dfg.de/foerderung/antrag\\_gutachter\\_gremien/antragstellende/nachnutzung\\_forschungsdaten/](https://www.dfg.de/foerderung/antrag_gutachter_gremien/antragstellende/nachnutzung_forschungsdaten/)

Some also in English:

[https://www.dfg.de/en/research\\_funding/proposal\\_review\\_decision/applicants/research\\_data/index.html](https://www.dfg.de/en/research_funding/proposal_review_decision/applicants/research_data/index.html)

## National Research Funders: DFG

---

### Do I have to submit a Data Management Plan (DMP) with my DFG Research Grant application?

Expected revision of DFG data handling requirements 2021

- **(probably) Yes:**

Major rework of DFG data handling requirements unofficially announced for 2021.

Data management plan expected to be mandatory and more impactful on project evaluation and selection.

## National Research Funders: DFG

---

### Do I have to publish results from DFG-funded projects open-access?

- **No.** DFG “Verwendungsrichtlinien” (p. 44):  
“Project results arising from projects funded with DFG resources **should** be published and **preferably** also published digitally and made available free of charge on the Internet on an **open-access** basis. Articles should either be submitted to discipline-specific or institutional **electronic archives** in addition to traditional publication by a publisher or published directly in peer-reviewed and/or renowned **open-access journals**. If project results are only published in a print publication, **a copy must be submitted** to and handed over to the DFG in an electronically archivable form (PDF document).”
- Please note that publications **must always** be clearly identified (p. 43)

## National Research Funders: DFG

---

### What does the DFG do to support open access?

- Political engagement
- Publication allowances in DFG funded projects available through
  - individual grants (€ 750 Euro p.a., for books up to € 5,000 p.a.)
  - coordinated programmes (e.g. lump-sum funding in CRCs)
  - additional option of using flexible funding  
(by reducing funding for staff or direct costs within the same grant)
- DFG Publication Grants
  - Since 2021: allows applications for funding of open access books



## National Research Funders: BMBF

---

### BMBF “Aktionsplan Forschungsdaten”

2020

Strategy to foster a culture of research data accessibility and reuse in academia and research.

#### Key elements

- Infrastructure: e.g. National Research Data Infrastructure (NFDI), European Open Science Cloud (EOSC)
- Project funding: FAIR-Principles to become mandatory for project funding. FAIR open access publication of research data could become selection criteria.

## National Research Funders: BMBF

---

### Does the BMBF have an open-access policy?

2016 BMBF Open Access Strategy

#### Leading principles

- Establish open access as standard in scientific publishing
- Parallel use of **green** and **gold** open access
- Strengthen participation in scientific insights
- High quality of scientific publications
- No restrictions to academic freedom
- Open access as basic principle in own funding



## National Research Funders: BMBF

---

### Do I have to publish results from BMBF-funded projects open-access?

- **Depending on the call.** Current example:

“Wenn der Zuwendungsempfänger seine aus dem Forschungsvorhaben resultierenden Ergebnisse als Beitrag in einer wissenschaftlichen Zeitschrift veröffentlicht, so **soll** dies so erfolgen, dass der Öffentlichkeit der unentgeltliche elektronische Zugriff (**Open Access**) auf den Beitrag möglich ist. Dies kann dadurch erfolgen, dass der Beitrag in einer der Öffentlichkeit **unentgeltlich zugänglichen elektronischen Zeitschrift** veröffentlicht wird. Erscheint der Beitrag zunächst nicht in einer der Öffentlichkeit unentgeltlich zugänglichen elektronischen Zeitschrift, so soll der Beitrag – gegebenenfalls nach Ablauf einer angemessenen Frist (Embargofrist) – der Öffentlichkeit unentgeltlich elektronisch zugänglich gemacht werden (**Zweitveröffentlichung**). Im Fall der Zweitveröffentlichung soll die Embargofrist **zwölf Monate** nicht überschreiten. Das BMBF begrüßt ausdrücklich die Open Access-Zweitveröffentlichung von aus dem Vorhaben resultierenden wissenschaftlichen **Monographien.**”

## National Research Funders: BMBF

---

### What does the BMBF do to support open access?

- Political engagement
- Option to apply for open access publication costs together with the other project costs within a BMBF project proposal
- Option to use overheads flexibly even after the funding has ended
- **Post Grant Fund** (since 2017)
  - Funding for open access publications resulting from BMBF projects
  - Up to 3 years after the end of the project
  - Up to € 2,000 per publication plus up to 20% of the surplus amount (max. € 2,400)

## International Research Funders: EU Funding

**Horizon  
Europe**



### New approach:

**Open Science =  
Open access publishing  
+ Open research data**

*\*Contractual obligation  
in the Grant Agreement*

\*H2020 policies continue to be effective for all H2020 projects, new rules are not applied retroactively!

## International Research Funders: Horizon Europe

---

Do I have to publish results from EU-funded Horizon Europe projects open-access?

- **Yes, in any case**
- Beneficiaries of Horizon Europe grants must ensure **immediate open access** to peer-reviewed scientific publications relating to their results, incl. relevant metadata.
- **Embargo periods are no longer tolerated.**
- Authors must retain **sufficient intellectual property rights**, funding must be acknowledged in the publication.
- **Publications costs in full open access venues are fully reimbursable** for the entire duration of the project.
- Fees for **'hybrid' journals are excluded from reimbursement.**

**Horizon  
Europe**



### **Tools & Resources**

- [Sherpa Romeo Database](#)
- [Plan S Journal Checker Tool](#)

## International Research Funders: Horizon Europe

What are the research data management requirements for Horizon Europe projects?

- **Open Data is mandatory for all projects**
- **Digital research data must be managed according to the FAIR data principles** (findable, accessible, interoperable, reusable), and **published open access in a trusted repository** (incl. relevant metadata).
- **A Data Management Plan (DMP) must be submitted and maintained.** Due dates depend on funding scheme! **Get in touch with us.**
- *“As open as possible, as closed as necessary”:* **No general opt-out, but justified exclusions are possible.**
- **Data management costs are fully reimbursable,** but budget flexibility depends on funding scheme! **Get in touch with us.**

**Horizon  
Europe**



### 💡 Tools & Resources

- [fairsharing.org](https://fairsharing.org)
- Registry of Research Data Repositories  
[re3data.org](https://re3data.org)

## International Research Funders: Horizon Europe

---

**Plan S:** *“With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”*

- **Transformative agenda** with a strong focus on rights retention, “true” open access licensing and publishing (Creative Commons or similar), as well as fair and transparent publication fees.
- **What will the future hold? :** *“The Funders commit that when assessing research outputs during funding decisions they **will value the intrinsic merit of the work and not consider the publication channel, its impact factor (or other journal metrics), or the publisher**” (Principle 10).*





## Our services

---

### 1. Information

- Workshops and information events
- Targeted mailing lists
- Factsheets

### 2. Consulting

- Individual consulting  
(from postdoc level onwards)
- Exchange of best practice  
(successful proposals / experience reports)

### 3. Proposal and project support

- Provision of tools and guidelines
- Formal checks incl. budget
- Proposal feedback

### Research Funding (Unit VIII.3)

***Are you planning an application?***

***Do you have questions about a specific funding program?***

***Would you like to know more about funding opportunities?***

**Get in touch with us:**

**[forschungsfoerderung@lmu.de](mailto:forschungsfoerderung@lmu.de)**