RI4C2
Research & Innovation
For Cities & Citizens

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101035803

Case descriptions on Open Science

DELIVERABLE 7.1
MONTH 6

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D7.1 – Case descriptions on Open Science

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I. Open EC2U: Stories of Open Science practices

A. Task 7.1

The task 7.1 aims at identifying and establishing the best practices for the practical implementation of a range of Open Science practices, such as data sharing and FAIR data management, open access publishing, open code, open engagement of societal actors, open evaluation, participatory science and preregistration. It will support the participating universities in developing a broader and a more practical perspective towards supporting researchers in meeting the requirements of Open Science.

The task 7.1 consists of two deliverables:

- D7.1: Case descriptions (M6)

- D7.2: Case synthesis (M12)

B. Case descriptions: Collection of cases

In the first phase of task 7.1, we collected case descriptions about Open Science practices that are being implemented at the universities of the EC2U Alliance.

Case descriptions were collected using an online data collection form (Annex 2). The initial data collection period was 3 February – 28 February 2022. However, the data collection period was extended until 11 March 2022 as this was requested by the partner universities.

The participating universities made the data collection form (Annex 2) and related documents (Annexes 1 & 3) openly available on their respective intranets and/or e-mailing lists. The universities were also encouraged to directly invite researchers known to have adopted Open Science practices in their research.

The targeted primary audience for the questionnaire were researchers. However, specialists working in university administration were also invited to provide case descriptions about Open Science practices with which they work closely.

C. Results

By the end of the data collection period, 48 case descriptions were collected from the participating universities. The collected case descriptions are summarised in Table 1. The case descriptions cover a wide range of Open Science practices including e.g., Open Access publishing, data sharing, Open code, science outreach and communication, Open Science policymaking, open research infrastructures, open-source software, and open educational resources.

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In the second phase of task 7.1 (Deliverable 7.2), the collected case descriptions will be analysed and used to design and develop policy recommendations and tools that accelerate and mainstream Open Science practices at the EC2U partner universities.

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Table 1. Summary of collected case descriptions on Open Science practices

	Profession	Organisation	Category	What	Why	How
1	Researcher	University of Turku	Open Access Publishing	Publication of articles and data in OA	Promoting transparency, cooperation and independence of research	APCs can be expensive
2	Researcher	Alexandru Ioan Cuza University of Iași	Open Access Publishing	Publication of articles in OA	Increasing the number of reads, citations and recommendations	Finding an appropriate OA journal, following the journal's guidelines
3	Researcher	University of Coimbra	Open Access Publishing	Publication of articles in OA	Reaching other researchers, following OS policies	Institutional repository
4	Researcher	University of Coimbra	Open Access Publishing	Publication of articles in OA	Following requirements of the funder, reaching the widest possible audience	Institutional and private repositories
5	Researcher	Alexandru Ioan Cuza University of Iași	Open Access Publishing	Publication of an article in OA	Visibility, citations, fast peer-review process	Following journal's guidelines, paying for APCs
6	Researcher	Alexandru Ioan Cuza University of Iași	Open Access Publishing	Publication of several articles in OA	Increasing availability of scientific output and number of citations	Finding an appropriate OA journal
7	Researcher	Alexandru Ioan Cuza University of Iași	Open Access Publishing	Publication of an article in OA	Increasing scientific impact and citations	Paying for APCs
8	Researcher	Alexandru Ioan Cuza University of Iași	Open Access Publishing	Publication of articles in OA	Visibility	Finding a journal that offers OA at a reasonable cost
9	Researcher	University of Salamanca	Open Access Publishing	Publication of an article in OA	Quick publication and peer-review process, greater scientific impact	Publishing in OA can be expensive
10	Researcher	Alexandru Ioan Cuza University of Iași	Open Access Publishing	Depositing preprints in social networking sites for scientists / private repositories	Increasing accessibility for other researchers, expanding readership	Following publishers' guidelines regarding the version of the manuscript that may be shared and embargoes
11	Research administrator	University of Coimbra	Open Access Publishing	Development of collections of publications in the institutional repository of the University of Coimbra Deposit, metadata description and curation of all open access scientific production of the Research and Development Unit	Guarantee free, democratic and universal access, disseminating scientific output, contributing to the advancement of science and accumulation of knowledge, increasing visibility and impact	Promoting OA policies and benefits of OA among researchers, promoting publication of articles in Open Access journals with proven quality, promoting institutional OA repository, describe and make available for consultation and download the maximum of scientific outputs authored by researchers from the unit

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	Profession	Organisation	Category	What	Why	How
12	Research administrator	University of Poitiers	Open Access Publishing	Creation of an institutional publishing platform following the Diamond OA model	Promoting the Diamond OA model	Tools (LODEL/OAI-PMH), licensing
13	Research administrator	University of Poitiers	Open Access Publishing	Monitoring OA to publications and APC expenditure	Tracking the progress of OA at the university	Participation in national networks and surveys
14	Researcher	University of Turku	Open code and open-source software	Development of open research software and participation in developer communities	Improving methodology, increasing efficiency and quality of research, gaining a competitive edge, following the latest progress in the field, expanding collaboration network, sharing passion with other developers	Identifying an application problem in need of a solution, benchmarking existing alternatives, identifying gaps in available methods, developing solutions through community-driven software release platforms, publishing results in peer reviewed journals Challenges include lack of direct funding for research software development, continuity of development due to changing situations of individual developers, gaps in research education
15	Researcher	Friedrich Schiller University Jena	Open code and open-source, open-source software	Use of open-source software for programming	Freedom to work from anywhere, avoiding the problem of losing access to specific software if changing universities, large community to support in troubleshooting	Using open- source software through the entire pipeline of research
16	Researcher	Friedrich Schiller University Jena	Open code and open-source software	Development of an open research software extension	Giving back to the community, helping other researchers, increasing visibility and citations	Developing prototypes, following established standards in the field in terms of format, using GitHub for coding and initial publication, interacting with the community for support
17	Researcher	University of Coimbra	Open code and open-source, open-source software	Publication of code needed to reproduce the analyses	Advancing science	GitHub, research group website, FigShare
18	Researcher	Alexandru Ioan Cuza University of Iași	Open code and open-source software	Use of open-source software	Ease of use, multitude of existing materials on the Internet and the community	Finding relevant open-source software
19	Researcher	Friedrich Schiller University Jena	Open data and FAIR data management	Publication of a dataset and code in a data repository following FAIR principles	Building trust in research, ensuring the reusability of data	Providing clear documentation of the data, versioning
20	Researcher	University of Coimbra	Open data and FAIR data management	Participation in a workgroup to draft institutional policy for research data management	Position	Benchmarking international best practices and institutional policies, internal survey mapping good practices

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	Profession	Organisation	Category	What	Why	How
21	Researcher	University of Coimbra	Open data and FAIR data management	Publication of a dataset following the FAIR principles	Requirement by a journal, increasing visibility	Choosing an appropriate repository, organising the data, uploading the data to the repository
22	Researcher	University of Coimbra	Open educational resources	Creation of an open educational resource based on a science outreach project	Contributing to better scientific practices and a more transparent research system, communicating to students and the public, contributing to scientific literacy of society	Using a public repository to share the materials, appropriate licensing
23	Researcher	Alexandru Ioan Cuza University of Iași	Open educational resources	Creation of an open educational resource	Personal interest	
24	Research administrator	University of Coimbra	Open educational resources	Creation of an openly accessible guide on digital researcher identifier	Supporting researchers	Obtaining necessary permissions, licensing, depositing the guide online, disseminating the guide to the community
25	Research administrator	University of Turku	Open educational resources	Creation of an OA guide	Promoting Open Science	Publishing the guide on the LibGuides platform
26	Researcher	University of Turku	Open research infrastructures	Creation of multiple collaborative bibliographies	Position	Collecting bibliographical data, gathering collected information
27	Researcher	Alexandru Ioan Cuza University of Iași	Open research infrastructures	Development of a research platform hosting a voice-text corpus	Providing open access to research results to other researchers and the public	Building and testing the platform, harmonising formats, annotations and metadata, developing processing and access tools, augmenting the corpus, describing with metadata, disseminating
28	Researcher	Alexandru Ioan Cuza University of Iași	Open research infrastructures	Creation of open access services for research equipments	Accessibility	Making available the list of research infrastructures
29	Research administrator	Alexandru Ioan Cuza University of Iași	Open research infrastructures	Creation of a cloud platform providing open access to various Big Data processing (e.g. Hadoop, SQL and NoSQL data servers, Spark) and analysis (e.g. Python, R, Spark MLLib) resources and tools	Accessibility	Helping researchers and research teams to make their research more transparent
30	Researcher	Friedrich Schiller University Jena	Open Science infrastructures	Creation of an open-source solution (https://samarbeid.org)	Opening workflows and promoting collaboration	Designing and developing the open-source solution together with other researchers
31	Researcher	Alexandru Ioan Cuza University of Iași	Open Science infrastructures	PrivateSky Project (2016-2021)	Promoting knowledge transfer and open innovations	The source code for PrivateSky is licensed in open-source mode, offering open use of innovative technologies developed by the project and other interested companies (github.com/privatesky)

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	Profession	Organisation	Category	What	Why	How
32	Research administrator	University of Poitiers	Open Science infrastructures	Guidelines for opening the workflows	Ensuring reproducibility	Creating a recommendation for existing tools
33	Research administrator	University of Pavia	Open Science infrastructures	An institutional repository (IRIS)	Promoting open access to academic scientific production	Helping researchers to upload publications on the IRIS portal
34	Research administrator	University of Poitiers	Open Science infrastructures	Creation and opening of a HAL open archive portal for the university (2017)	Creating tools to enable the transition to Open Science	Use of national tools (HAL / CCSD) and local configuration of the discovery tool (Primo ExLibris)
35	Researcher	Friedrich Schiller University Jena	Open Science training	Creation of educational materials about open data	Promoting Open Science	Guiding and helping researchers to open their research data and introducing tools e.g. software R and the Open Science Framework (OSF)
36	Researcher	University of Coimbra	Open Science training	Lectures on Open Science	Promoting Open Science	Conducting lectures about Open Science in the PhD programme
37	Research administrator	University of Pavia	Open Science training	Introduction of FAIR Principles in Data Management	Promoting Open Science	Supporting researchers to apply FAIR principles
38	Research administrator	University of Poitiers	Open Science training	Creation of a university service for applying FAIR principles	Application of the guidelines of the funders and the national plan for Open Science	Guiding and helping researchers to apply FAIR principles to their research data
39	Research administrator	University of Poitiers	Open Science training	Training researchers on science outreach and communication	Promoting Open Science	Developing training materials and taking care of the practical implementation of the training
40	Research administrator	University of Poitiers	Open Science training	Training doctoral students and researchers about OS practices and tools (e.g., Zotero and HAL)	Promoting Open Science	Developing training materials and taking care of the practical implementation of the training
41	Researcher	University of Coimbra	Science outreach and communication	Participation in the European Researchers' Night (ERN), International Brain Week, and Science and Technology Week	Engagement with diverse non-academic audience	Participating in discussions with the wider community
42	Researcher	University of Coimbra	Science outreach and communication	Communicating about applied OS practices through a website, and social media	To contribute to society with the work of the university	Simplifying scientific information and sharing small pieces of information in social media to be able to reach the wider public
43	Researcher	University of Coimbra	Science outreach and communication	Creation of a comic book	Engagement with diverse non-academic audience	Planning and creating a comic book together with researchers and non-academic target audience
44	Researcher	University of Coimbra	Science outreach and communication	Creation of a game platform	Raising public interest in science	Planning and creating an "Archaeological Simulation" in a game platform
45	Researcher	University of Coimbra	Science outreach and communication	Participation in the European Researchers' Night (ERN)	Engagement with diverse non-academic audience	Preparing presentations with fellow researchers

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	Profession	Organisation	Category	What	Why	How
46	Researcher	University of Coimbra	Science outreach and communication	Coordination of the European Researchers' Night (ERN)	Raising citizens' awareness of and interest in science	Organising an event for over 400 participants and developing a web app (through an open-source code) to support the visitor's experience
47	Researcher	University of Coimbra	Science outreach and communication	Participation in the International Brain Week	Raising awareness and informing non-academic audiences about scientific findings	Focusing on communicating the scientific results to non-academic audiences
48	Research administrator	University of Coimbra	Science outreach and communication	Video for the European R&D Exhibition in the Humanities	Informing audiences that include people from outside of the science community	Producing the video with the help of the researchers

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II. Annexes

Annex 1 Participant information sheet

Participant information sheet – Open EC2U: Stories of Open Science practices

Please read this participant information sheet and the accompanying data protection statement thoroughly. If you agree to participate in the study, please proceed to the data collection form by following the link below: https://redcap.utu.fi/surveys/?s=98CPXRRAMA4E4NA8.

General information on the project

This study is part of the project 'Research & Innovation for Cities & Citizens (RI4C2)', a joint project of the member universities of the EC2U Alliance (universities of Coimbra, Alexandru Ioan Cuza of Iași, Friedrich Schiller Jena, Pavia, Poitiers, Salamanca and Turku). The overall objective of the RI4C2 project is to strengthen collaboration and knowledge circulation in research and innovation within the EC2U Alliance and, finally, to create a shared Pan-European Knowledge Ecosystem.

The RI4C2 project has received funding from the European Union's Horizon 2020 research and innovation programme under the grant agreement 101035803.

Purpose and significance of the study

Open Science has become a significant way to promote transparency and accessibility of scientific research and its effects and impact. Open Science is an umbrella term covering a wide range of practices, such as data sharing and FAIR data management, open access publishing, open code, open engagement of societal actors, open evaluation, participatory science and preregistration. Some of the practices are established and some are yet emerging. Awareness and practical implementation of Open Science practices vary across disciplines and organisations. Thus, identifying and sharing the best ways of implementing Open Science would benefit researchers and research organisations widely.

The study 'Open EC2U: Stories of Open Science practices' aims at identifying and establishing the best practices in Open Science. To reach our aim, we collect case descriptions from researchers and specialists in university administration who have adopted and engaged in Open Science practices in their academic and professional work. Collected case descriptions will be analysed to gain deeper understanding of Open Science practices being implemented at the EC2U partner universities.

How to participate

We invite you to write a case description about an Open Science practice you have implemented in your academic or professional work. In the case description, we will ask you to describe the carried out Open Science practice, reasons and motivations for engaging in the practice and the actual process of the implementation. Also, we will ask you to evaluate the process and give you an opportunity to provide ideas for its improvement.

Participation in the study and writing a single case description will take around 20–30 minutes. If you wish, you may provide multiple case descriptions.

Case descriptions of Open Science practices can be provided through the online data collection form until 11 March 2022. In the form, we will also enquire your interest in participating in a possible follow-up interview.

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Telephone +358 29 450 5000
utu.fi/en

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Voluntary participation

Participation in this study is entirely voluntary. You may decline to participate or withdraw from the study without providing an explanation at any time. If you decide to withdraw from the study, your data will be destroyed completely, and it will not be used in the project. You may withdraw from the study by informing a member of the project team.

How will your data be used?

The data collected in this study will be used to design and develop policy recommendations and tools that accelerate and mainstream Open Science practices at the EC2U partner universities. Publications will include policy briefs, Open Science guidebook, and possibly a conference article and a journal article. All publications will be made openly accessible.

We may use anonymised extracts from your case description in project outputs. Any non-anonymised data collected in this study will not be published or made openly accessible.

Risks and benefits

We do not expect the participation to cause any risks to the participants.

Participation in the study does not involve direct benefits to the participants. However, we expect that the study supports the participating universities in developing a broader and a more practical perspective towards supporting researchers in meeting the requirements of Open Science by identification and dissemination of best practices.

Data protection

Your personal data will be processed securely and following the regulations of the GDPR (2016/679). For the complete description of the processing of personal data in this study, please see the data protection statement on the front page of the data collection form.

Data storage and archiving

The collected data will be stored without direct personal identifiers on the University of Turku's own secured servers. The data is accessed by a personal, password protected organisational account, and only the members of the project team have access to the data. The data will be stored for 5 years after the completion of the project and destroyed in September 2029. Anonymised case descriptions from consenting participants and all metadata will be archived permanently in Zenodo.

Contact information

If you have any questions regarding this study or wish to receive more information on the RI4C2 project, do not hesitate to contact us.

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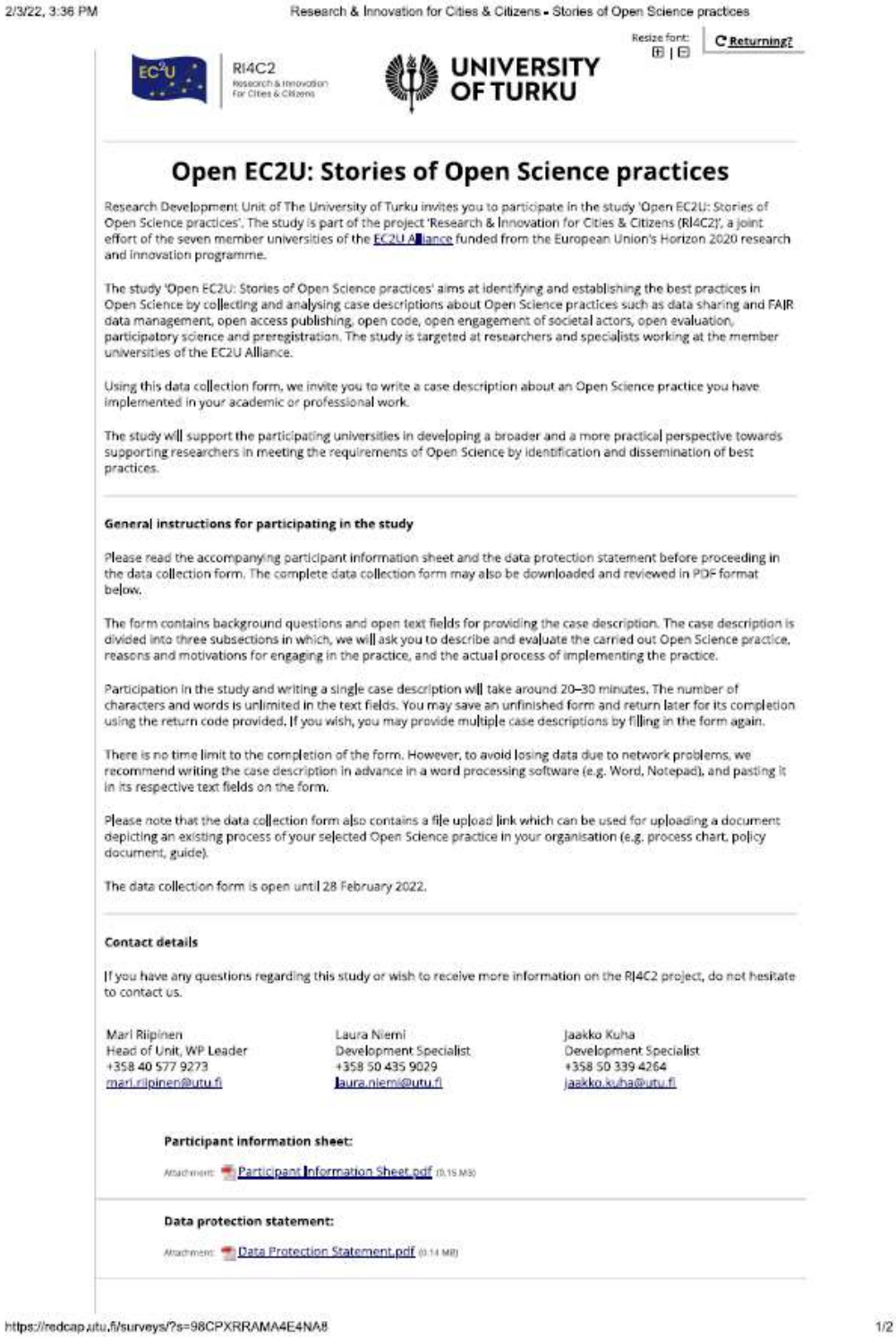
Annex 2 Data collection form



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RI4C2 Research & Innovation For Cities & Citizens

UNIVERSITY OF TURKU

Open EC2U: Stories of Open Science practices

Research Development Unit of The University of Turku invites you to participate in the study 'Open EC2U: Stories of Open Science practices'. The study is part of the project 'Research & Innovation for Cities & Citizens (RI4C2)', a joint effort of the seven member universities of the EC2U Alliance funded from the European Union's Horizon 2020 research and innovation programme.

The study 'Open EC2U: Stories of Open Science practices' aims at identifying and establishing the best practices in Open Science by collecting and analysing case descriptions about Open Science practices such as data sharing and FAIR data management, open access publishing, open code, open engagement of societal actors, open evaluation, participatory science and preregistration. The study is targeted at researchers and specialists working at the member universities of the EC2U Alliance.

Using this data collection form, we invite you to write a case description about an Open Science practice you have implemented in your academic or professional work.

The study will support the participating universities in developing a broader and a more practical perspective towards supporting researchers in meeting the requirements of Open Science by identification and dissemination of best practices.

General instructions for participating in the study

Please read the accompanying participant information sheet and the data protection statement before proceeding in the data collection form. The complete data collection form may also be downloaded and reviewed in PDF format below.

The form contains background questions and open text fields for providing the case description. The case description is divided into three subsections in which, we will ask you to describe and evaluate the carried out Open Science practice, reasons and motivations for engaging in the practice, and the actual process of implementing the practice.

Participation in the study and writing a single case description will take around 20–30 minutes. The number of characters and words is unlimited in the text fields. You may save an unfinished form and return later for its completion using the return code provided. If you wish, you may provide multiple case descriptions by filling in the form again.

There is no time limit to the completion of the form. However, to avoid losing data due to network problems, we recommend writing the case description in advance in a word processing software (e.g. Word, Notepad), and pasting it in its respective text fields on the form.

Please note that the data collection form also contains a file upload link which can be used for uploading a document depicting an existing process of your selected Open Science practice in your organisation (e.g. process chart, policy document, guide).

The data collection form is open until 28 February 2022.

Contact details

If you have any questions regarding this study or wish to receive more information on the RI4C2 project, do not hesitate to contact us.

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Participant information sheet:

Attachment: Participant Information Sheet.pdf (0.15 MB)

Data protection statement:

Attachment: Data Protection Statement.pdf (0.14 MB)

https://redcap.utu.fi/surveys/?s=98CPXRRAMA4E4NA8 1/2

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Data collection form in PDF format:

Attachment: data-collection-form_DRAFT.pdf (0.1 MB)

Informed consent

1) I have read and understood the participant information sheet. I consent to participate in the study.
* must provide value
- ○ Yes
- ○ No

2) The data I provide may be archived in an anonymised form in an open repository (if you choose 'no', your data will not be archived).
* must provide value
- ○ Yes
- ○ No

3) I may be contacted for a possible follow-up interview about Open Science practices.
* must provide value
- ○ Yes
- ○ No

4) I participate in this study in the role of
* must provide value
- ○ Researcher
- ○ Specialist in university administration

Submit

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Personal information

First name

Last name

Position
* must provide value

Organisation
* must provide value

Field of science
* must provide value

E-mail

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Case description: Background questions

In this section, we request you to answer both background questions indicating your engagement in open science practices.

What open science practice(s) have you engaged in within the last 3 years? Please check all applicable options	Which open science practice are you going to write a case description about? Please select one
☐ Citizen science	○ Citizen science
☐ Collaborative bibliographies	○ Collaborative bibliographies
☐ Crowdsourcing	○ Crowdsourcing
☐ Data sharing	○ Data sharing
☐ FAIR data management	○ FAIR data management
☐ Journal club	○ Journal club
☐ Open access publishing	○ Open access publishing
☐ Open access research instruments / equipment	○ Open access research instruments / equipment
☐ Open code	○ Open code
☐ Open educational resources	○ Open educational resources
☐ Open evaluation and peer review	○ Open evaluation and peer review
☐ Open hardware	○ Open hardware
☐ Open innovation	○ Open innovation
☐ Open lab books	○ Open lab books
☐ Open notebooks	○ Open notebooks
☐ Open research infrastructures	○ Open research infrastructures
☐ Open research methods and protocols	○ Open research methods and protocols
☐ Open science communities	○ Open science communities
☐ Open science education	○ Open science education
☐ Open science infrastructures (development of e.g. archives, digital research environments, platforms, repositories)	○ Open science infrastructures (development of e.g. archives, digital research environments, platforms, repositories)
☐ Open science policymaking	○ Open science policymaking
☐ Open science working groups	○ Open science working groups
☐ Open source software	○ Open source software
☐ Participatory science	○ Participatory science
☐ Preprints	○ Preprints
☐ Preregistration	○ Preregistration
☐ Science outreach and communication	○ Science outreach and communication
☐	○ Other
☐	
☐	
☐	
☐	

Case description: General instructions

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In this section, we request you to write a case description about an optional open science practice that you have implemented.

The case description is divided into three subsections:

- **What?**
  - Specify briefly the open science practice you engaged or were involved in
- **Why?**
  - Describe briefly the reasons and motivations for engaging in the open science practice
- **How?**
  - Write a detailed description of the actual process of the practical implementation of the open science practice
  - Evaluate the process of the implementation of the open science practice

Example questions you may address in your case description are provided above each text field.

There is no limit to the length of the case description. Your description may be as brief or as extensive as you wish. However, we wish that you describe the process as rigorously as possible.

To avoid losing data due to a network problem, you may write your case description in a word processing software (e.g. Word, Notepad) in advance, and paste each subsection in their respective text fields.

Anonymised extracts from your case description may be used in reports and other outputs of the RI4C2 project.

Please note: If your organisation has an existing process for your selected open science practice (_____), you may upload a document depicting the process using the upload link on the right (e.g. process chart, policy document, guide).

Case description: What?

Please specify briefly the open science practice you engaged or were involved in (your selection: _____)

In your description, you may address the following example questions:

- What was the open science practice you carried out?
- What kind of details were associated with the open science practice?
- What was your previous experience with the open science practice?

The text field expands automatically if you press the 'Expand' button in bottom right corner of the text field after entering text in the field.

Case description: Why?

Describe briefly the reasons and motivations for engaging in the open science practice (your selection: _____)

In your description, you may address the following example questions:

- What motivated you to engage in this open science practice?
- What kind of effects or impacts were you expecting when you engaged in this open science practice?

The text field expands automatically if you press the 'Expand' button in bottom right corner of the text field after entering text in the field.

Case description: How?

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Please write a detailed description of the actual process of the practical implementation of the open science practice (your selection: ____)

In your description, you may address the following example questions:

- What were the key actions you took when implementing the open science practice?
- What guidelines, policies, recommendations did follow in the process?
- What support services did you utilise over the course of the process?
- What infrastructure did you use (e.g. platforms, repositories, harware, software)?
- How was the process?
  - What went well? What did not?
  - What challenges did you encounter in the process?
  - How could the process be improved?

The text field expands automatically if you press the 'Expand' button in bottom right corner of the text field after entering text in the field.

Submit

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Annex 3 Data protection statement

UNIVERSITY OF TURKU

Data Protection Statement
The EU General Data Protection Regulation
(EU 2016/679), articles 13 and 14

Date: 2.2.2022

Information for participants on the project 'Open EC2U: Stories of Open Science practices'

You are taking part in a study conducted at the University of Turku. This privacy notice specifies how and for what purposes your personal data will be processed in the study.

1. Data Controller

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FI-20014 TURUN YLIOPISTO
FINLAND
E-mail: kirjaamo@utu.fi
Telephone: +358 02 450 5000 (switchboard)
Fax: +358 029 450 5040
Business ID: 0245896-3

Contact person in matters concerning the project:
Name: Laura Niemi
Telephone: +358 50 435 9029
E-mail: laura.niemi@utu.fi

2. Description of the study and the purposes of processing personal data

The study aims at identifying and establishing the best practices for the practical implementation of a range of Open Science practices. In the study, we will collect case descriptions from researchers and specialists working in university administration who have implemented Open Science practices in their own academic and professional work. The participants are researchers and staff members from the seven partner universities of the EC2U Alliance (University of Coimbra, Alexandru Ioan Cuza of Iași, University of Friedrich-Schiller University Jena, University of Pavia, University of Poitiers, University of Salamanca, University of Turku).

We collect the field of science or service unit, the position and the name of the organisation from all participants as background information. The background information is needed in the analyses of the case descriptions, and to provide policy recommendations to the partner universities in developing their existing processes concerning Open Science. Case descriptions together with the collected background information may enable indirect identification of a participant. Additionally, full name and e-mail address will be collected from the participants who voluntarily agree to being contacted for a possible follow-up interview. These direct personal identifiers will be used solely for the purpose of contacting participants.

3. Project team

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4. Contact information of the Data Protection Officer

E-mail: dpo@utu.fi
Further information: www.utu.fi/dpo

5. Persons processing personal data in the study

Only the members of the project team participate in the processing of personal data. Personal data will not be shared outside the project team.

6. Name and duration of the study

Name of the study: 'Open EC2U: Stories of Open Science practices'

Duration of the processing of personal data: 1.1.2022 - 31.8.2024.

All direct personal identifiers collected in the study will be destroyed at the latest in September 2024, immediately after the completion of the project. The data not containing direct identifiers (case description, participant's field of science or service unit, position, organisation) will be stored for 5 years after the completion of the project and will be destroyed in September 2029. Anonymised case descriptions from consenting participants will be archived permanently in Zenodo.

7. Lawful basis of processing

Personal data is processed on the following basis, which is based on Article 6(1) of the General Data Protection Regulation:

- ☐ data subject's consent;
- ☐ processing is based for the performance of a contract;
- ☐ compliance with a legal obligation to which the controller is subject;
- ☐ processing is necessary in order to protect the vital interest of the data subject;
- ☐ performance of a task carried out in the public interest or in the exercise of official authority vested in the controller:
  - ☐ scientific or historical research purposes or statistical purposes;
  - ☐ archiving of research materials or cultural heritage materials;
- ☒ legitimate interest pursued by the controller or by a third party

7. Legitimate interests of the data controller or a third party

The processing of personal data is based on the mission of the University as laid down in Article 2 of the Universities Act (558/2009). In addition, based on the legitimate interest described in Article 6 of the General Data Protection Regulation (2016/679), the information will be used to support the partner universities of the EC2U Alliance in building capacities and developing ways of promoting and monitoring Open Science and connecting science to society.

8. Personal data included in the data and protective measures

We collect the field of science or service unit, the position, the name of the organisation, and the case description from all participants. Case descriptions together with the aforementioned background information may enable indirect identification of a participant. Full name and e-mail address will be collected from the participants who consent to being contacted for a possible follow-up interview. The consent is obtained separately on the data collection form.

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Date: 2.2.2022

The data is collected using REDCap data collection tool. REDCap is a secure web application based on source code openly available to all member organisations of the REDCap consortium including the University of Turku. REDCap used at the University of Turku is provided from server facilities owned and operated by the University of Turku IT Services.

Direct identifiers will be removed from the data in the end of the data collection phase and stored separately from the data used in the analyses. The data will be stored and backed up in the secured cloud service Seafile provided by the University of Turku IT services. By adhering to this procedure, we are able to guarantee that the data will be kept safely on the University's own servers. The Seafile folder is accessed by a personal, password-protected organisational account, and only the members of the project team are given access rights to the folder.

9. Sensitive personal data

Sensitive personal data will not be collected in the study.

10.Sources of personal data

Personal data is collected directly from the participants. No other sources of personal data are used.

11. Information on transferring personal data to third parties

Personal data will not be transferred to third parties.

12. Information on transferring personal data to countries outside the EU or the European Economic Area

Personal data will not be transferred to countries outside the EU or the European Economic Area.

13. Automated decisions

Registered data will not be used for automatic decision making or profiling.

Safeguards to protect the personal data:

☐ The data is confidential.
☐ Protection of manual material:
☒ Personal data processed in IT systems:
The data is collected using REDCap data collection tool provided from server facilities owned and operated by the University of Turku IT Services. The data will be stored and backed up in the secured cloud service Seafile provided by the University of Turku IT services. The Seafile folder is accessed by a personal, password-protected organisational account, and only the members of the project team are given access rights to the folder.
☐ other

Processing of direct identifiers:

☒ Direct identifiers will be removed in the analysis phase
☐ The material to be analysed includes direct identifiers.

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14. Processing of personal data after the completion of the study

The research material will be archived:

☒ without identifiers
☐ with identifiers

All direct personal identifiers collected in the study will be destroyed at the latest in September 2024, immediately after the completion of the project. The data not containing direct identifiers (case description, participant's field of science or service unit, position, organisation) will be stored for 5 years after the completion of the project and will be destroyed in September 2029. Anonymised case descriptions from consenting participants will be archived permanently in Zenodo.

15. Rights of the data subject

As a data subject, you have the following rights:

☒ Right to obtain information on the processing of personal data (GDPR Articles 13 and 14)
☒ Right of access (GDPR Article 15)
☒ Right to rectification (GDPR Article 16)
☒ Right to erasure (GDPR Article 17)
☒ Notification obligation regarding rectification or erasure of personal data or restriction of processing (GDPR Article 19)
☒ Right to restriction of processing (GDPR Article 18)
☒ Right to object (GDPR Article 21)

For more information on your rights as a data subject, you may contact Laura Niemi (laura.niemi@utu.fi).

Right to lodge a complaint

You have the right to lodge a complaint with a supervisory authority if you think your personal data has been processed in violation of applicable data protection laws.

Contact information of the Data Protection Ombudsman:

Office of the Data Protection Ombudsman
Visiting address: Lintulahdenkuja 4, 00530 Helsinki
Postal address: P.O. Box 800, 00531 Helsinki, Finland
Telephone: +358 29 566 6700 (switchboard)
E-mail: tietosuoja@om.fi

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