



Institiúid Ard-Léinn | Dublin Institute for  
Bhaile Átha Cliath | Advanced Studies

# Policy on Open Access to Publications and Data in DIAS

## Introduction

This policy aims at aligning the institutional policies of the Dublin Institute for Advanced Studies (hereinafter **DIAS**) with the **2012 Recommendation** of the European Commission on access to and preservation of scientific information and its **2018 update**, **the Horizon 2020 Guidelines on the rules of open access to scientific publications and research data**, and takes into consideration important developments at EU-level related to Open Science/ Open Access such as the **2016 European Council Conclusions** on the transition towards an Open Science system, **the “Plan S” and “cOAlition S”**, the developments of the **European Open Science Cloud (EOSC)** and the action lines of the **European Open Science Policy Platform**.

It draws heavily on the **UNESCO Open Access policy development guidelines**, the **MedOANet guidelines for Open Access**, **PASTEUR4OA Toolkit** and **Policy Guidelines**, the **RECODE** project policy recommendations for Open Access policies to research data, the **LEARN** project Model Research Data Management Policy, **the policy working group of the EOSC Pilot project**, and the **SPARC Europe report on Open Data and Open Science policies in Europe**.

## 1. Preamble

1. **DIAS** has always been committed to the advancement of science as a public good, and to the widest possible dissemination of knowledge for the benefit of society. It thus strongly supports the promotion of more open, reproducible and responsible research practices.
2. **DIAS** recognizes “openness” as one of its guiding principles and commits to promoting it by, inter alia, encouraging and supporting research processes and tools that encourage collaboration, enabling new working models and new social relationships, stimulating the dissemination of knowledge and the accessibility and re-usability of research outputs, encouraging open access to publications and data and building the necessary infrastructure to support open science.

## 2. Jurisdiction and Effect of Policy

The Policy applies to all researchers active at **DIAS**. In cases where research is funded by a third party, any agreement with that party concerning access rights, deposit and storage takes precedence over this Policy.

The Policy has been approved by **the Administration and Finance committee of the Council of DIAS** and takes effect from **[31/08/2020]**

### **3. Rights, Responsibilities, and Duties**

#### **3.1 DIAS is responsible for:**

1. Supporting and empowering the transition to Open Access/ Open Science through education, training and awareness-raising actions targeting researchers and other employees, along with the provision of the necessary infrastructure and funding to support this transition. Acquisition of Open Science skills should form an integral part of professional training and career development offered to researchers.
2. Maintaining its **Institutional Open Access Repository** DAIR <https://dair.dias.ie/> according to international standards, containing digital content and providing advanced tools for search, navigation and Open Access to its content.
3. Promoting the use of unique **permanent digital identifiers** (DOIs, ORCID etc) by DIAS researchers.
4. Developing and providing mechanisms and services for the storage, safekeeping, registration, deposition and distribution of data and other records as well as their long-term preservation and providing appropriate guidance to researchers.
5. Embedding Open Science practices in recruitment, research assessment and evaluation criteria beyond the provision of open access to publications and data, e.g. participation in citizen science projects, experimentation with open peer review or the use of Open Educational Resources (OER).
6. Monitoring policy compliance and compliance of the DAIR repository and other research infrastructures with certification requirements in relation to FAIR data principles and EOSC technical specifications.
7. Having appropriate IPR and data protection policies.

#### **3.2 Researchers are responsible for:**

1. Managing publications, data and educational resources in adherence with the principles and requirements expressed in this Policy.
2. Registering new research projects at the proposal stage with the Registrar's office to ensure that they can be provided with the necessary institutional support.
3. Ensuring that the principles governing the handling of data (in adherence with the present Policy and funders' mandates) are included in a Data Management Plan (DMP). DMPs should include a sustainability plan as well as contact details.
4. Compiling a DMP for every major research activity they are coordinating.
5. Documenting the IPR status of their research where appropriate.
6. Choosing the appropriate time and type of licensing for their research.

### **4. Open Access to Publications**

#### **DIAS:**

1. Requires researchers to deposit in its institutional repository DAIR, as well as in any other suitable infrastructure (e.g. arXiv) a machine-readable electronic copy of the full text (published article or final peer-reviewed manuscript), as well as the related metadata before, at the same time or after publication. Researchers are held responsible for the timely deposit of their publications in the institutional repository. This step also applies in the case of open access publishing ("Gold Open Access").

2. In the case of “Green Open Access”, requires the full text of all publications referred to in 1 to be made available under a standard open licence within at most 6 months (or 12 for publications in the social sciences and humanities).
3. Requires the metadata of the publication to be made openly accessible in the case of ‘closed’ publications with the aim of increasing their visibility.
4. For purposes of individual or institutional evaluation of the research output of the institution and its members, will only consider as publications those whose metadata and full texts are deposited in the institutional repository according to the requirements stated above.
5. Reminds its members that the Council of DIAS has ownership of copyright in works produced as a result of research in DIAS, and to licence to publishers only those rights necessary for publication. This is possible through the use of addenda to the publishing contract. Templates are available at [https://sparcopen.org/wp-content/uploads/2016/01/Access-Reuse\\_Addendum.pdf](https://sparcopen.org/wp-content/uploads/2016/01/Access-Reuse_Addendum.pdf)
6. Encourages researchers to deposit in the institutional repository publications authored prior to the date of effect of the current policy and make them openly accessible whenever possible.

## 5. Open Access to Research Data

### DIAS

1. Requires researchers to deposit the data needed to validate the results presented in scientific publications in a suitable repository. Data should be provided with persistent identifiers.
2. Requires that data and services are handled according to open and FAIR principles (i.e. Findable, Accessible, Interoperable and Re-usable). Data should also be traceable and whenever possible available for subsequent use.
3. Follows the principle “as open as possible as closed as necessary”. If data cannot be open due to legal, privacy or other concerns (for example sensitive data or personal data) this should be clearly explained. Metadata ensuring that data are findable should be provided in all instances.
4. Encourages the adoption of the EOSC requirements for monitoring of open science resources.
5. Requires researchers to submit a DMP for every major research activity they are involved in.
6. Requires researchers to define post-project usage rights through the assignment of appropriate licenses.
7. Requires that data are stored for a period as defined by the respective communities.
8. The minimum archive duration for research data is 10 years after the assignment of a persistent identifier. In the event that these records need to be deleted or destroyed after the expiration of the required archived duration or for legal and ethical reasons, such actions need to consider all legal and ethical perspectives.

## 6. Open Science

1. **DIAS** actively encourages the uptake of Open Science practices (beyond open access to publications and data) such as the involvement in citizen science projects, the use of open peer review, the use of open educational resources, the release of data and content under open and standard open licenses, etc., and tracks their uptake.

## 7. Infrastructure

1. **DIAS** will seek to ensure that its **data infrastructures** meet trusted quality standards (OpenAIRE compatible, meeting FAIR principles) and are linked with EOSC.
2. DIAS will seek to ensure that DAIR is registered in appropriate registries and is interoperable through the OpenAIRE Metadata Schema for Repositories.

## 8. Research Assessment and Evaluation

### **DIAS** commits to:

1. Developing in cooperation with funding agencies, government departments and other appropriate units a framework for research assessment and evaluation that incentivises research quality and Open Science behaviours and practices following European developments on the topic and the work of the European Open Science Policy Platform. Such systems should take into consideration disciplinary differences and their impact on researchers at different career stages.
2. Setting up reward mechanisms for researchers using Open Science practices (e.g. sharing provisional results through open platforms, using open software and other tools, participation in open collaborative projects (citizen science) etc.)

## 9. Training

1. **DIAS** commits to the provision of training courses to facilitate the adoption of open science. Such training courses should include the skills necessary for open access publishing, open data management, and research integrity. In providing such training synergies with Research funders and other stakeholders will be sought.

## 10. Validity of the Policy

This policy will be reviewed and updated by the Council of **DIAS** every five years, or as necessary.

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\*The text derives from the model policy for research performing organisations published by Openaire under the creative commons attribution 4.0 international licence <https://zenodo.org/record/2579629#.X3MgwC0ZOmkv>

## ANNEX: Definitions

- **Gold Open Access:** the process of achieving open access through publication in an open access journal (open access publishing).
- **Green Open Access:** the process of providing open access through an open access repository (also known as “self-archiving”).
- **Machine-readable copy** of a publication is a publication in a format can be used an understood by a computer.
- **Metadata** are the descriptors used for describing, tracing, use and management of the deposited item (indicatively: title of publication, author(s), institutional affiliation, name of journal where the publication has been accepted).
- **Open Educational Resources (OER)** according to the OECD are “teaching, learning and research materials that make use of tools like open licenses that permit their free reuse, continuous improvement and repurposing by others for educational purposes”.]
- **Open Peer Review** is defined as a scholarly review mechanism were both the identities of the reviewer and the author are known to one another during the review and publication process.
- **Publication** is defined as the peer-reviewed published (or under publication) work of researchers based in the institution.
- **Research Data** is the data (such as statistics, results of experiments, measurements, observations, interview recordings, images, etc.) used to validate the results presented in scientific publications or other data used during a project and described in the Data Management Plan.
- **Research** is defined as any creative and systematically performed work with the goal of furthering knowledge.
- **Researcher** is defined as any member of the research staff of **DIAS**, of all levels and irrespective of their employment status including employees and doctoral students
- **Suitable Repository** is one that meets quality standards like FAIR Principles, OpenAIRE compatibility, CoreTrust Seal.