

Appendix 2: Draft National Statement following consultation process



National Statement on the Transition to an Open Research Environment

Draft December 2018

These principles support access to research funded by the Irish State. They support the free flow of information across national and international research communities, contributing to research-enabled teaching and learning, citizen science, Open Innovation, and greater transparency, accountability and public awareness of the results of publicly funded research. The transition to an open research environment has a key objective of enhancing and support of research excellence, research integrity, and public trust in science.

These principles build upon and replace existing national and international open research policies, and, through a planning process from 2018 to 2020, will move to alignment with developing European Commission policy¹ and the principles of 'Plan S'². Some funders and research performing institutions may have specific requirements relating to open research which should be observed in addition to the principles described herein.

Throughout the transition, researchers will be supported to maximise the impact of their work while ensuring that they are assisted, recognised and rewarded for practicing open research.

The implementation of this policy will be detailed in a national action plan which will be prepared with all relevant stakeholders in 2019 and which will be reviewed annually. The national plan will cover concrete objectives and indicators to measure progress, and priorities for implementation, including scoping potential cost implications and the allocation of responsibilities.

The Stakeholders³

Stakeholders are invited to endorse this national statement and to engage in the subsequent national planning process.



Research & E-Infrastructures



Research Libraries



Universities & Research Performing Organisations



Policy Making Organisations



Research Funding Organisations



Publishers



Researchers



Scientific Societies & Academies



Citizen Science & Public Engagement Organisations

Open Access to research publications

¹ <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32018H0790&from=EN>

² https://www.scienceurope.org/wp-content/uploads/2018/09/Plan_S.pdf

³ https://ec.europa.eu/research/openscience/pdf/integrated_advice_opspp_recommendations.pdf

1. All Irish scholarly publications resulting from publicly-funded⁴ research will be openly available by default from 2020 onwards and will be accessible on an ongoing basis. It is understood that the timeline to achieve Open Access for books and similar research outputs may take longer.
2. Where publication is in accordance with these principles researchers may publish where they feel is most appropriate. Researchers, research performing organisations and research funders have a collective duty of care for the research system as a whole and for ensuring the widest possible dissemination of research.
3. Every researcher in Ireland shall have the rights and the facility to deposit/publish via a suitable Open Access journal, platform or repository. All researchers should be able to publish their work on Open Access even when their institutions or disciplines have limited means or if they are researchers not in receipt of a research grant.
4. New and innovative models for Open Access publishing are encouraged, including high quality Open Access publishers who do not charge Open Access publication fees. In the event of publication fees being charged, their funding will be standardised and capped in line with European and/or international agreements and associated journals should be managed according to ethical and economically inclusive principles. The payment of Open Access fees to hybrid journals will not be supported.
5. The final published version of a publication or the author's final peer-reviewed manuscript should be made Open Access.
6. Open Access should be immediate upon publication. During the transitional planning process, it is recognised that embargos of no later than six months after the date of publication (twelve months for social sciences and humanities) may apply.
7. Open Access publications must be accompanied by an open licence, preferably the Creative Commons Attribution Licence CC BY or, as appropriate, another CC licence such as CC BY-SA or CC0.
8. Licensing terms should not unduly restrict text and data mining, in accordance with and without prejudice to applicable copyright legislation. The license applied should fulfil the requirements defined by the Berlin Declaration on Open Access.⁵
9. Authors/ institutions are encouraged to retain copyright of their publications.
10. In the interest of public transparency and fair competition and without prejudice to the protection of business information, information will be published, as a standard practice, about agreements between public institutions and publishers, including information on any 'big deal' arrangements, 'off-setting' agreements and processing charge payments.

⁴ Publicly-funded research is research undertaken in whole or in part via publicly-funded resourcing/ remuneration e.g. salaries, grants, contracts etc.

⁵ <https://openaccess.mpg.de/Berlin-Declaration>

11. Initiatives will be explored to enhance Open Access research papers with formats, supplementary content and technologies to assist people with disabilities, to support citizen science, public patient involvement, policy-making, enterprise use and re-use, and to generally increase the public accessibility and impact of the content. A key to accessibility is the availability of machine-readable structured content for all elements of a paper – a prerequisite for assistive technology that empowers people with disabilities to participate in the scientific and research process.
12. Open Access publications should be easily identifiable by appropriate technical means, defined through the national action plan. This will include the availability of specific metadata, interoperability standards and persistent identifiers. Such metadata should be available for re-use under a suitable open license. Data on citations (references from one publication to another) should be made available as openly licensed, structured metadata.
13. Through the national action plan, robust criteria for compliant Open Access publication, repository and archiving platforms will be defined, and a list of such platforms/repositories will be published as will agreed methodologies and processes for ongoing monitoring and reporting on Open Access publications.
14. The importance of open archives and repositories for hosting research outputs is acknowledged due to their sustained role in enabling Open Access over many years, their archiving and long-term preservation function and their potential for editorial innovation. In line with the Berlin Declaration on Open Access⁶, and via the national action plan, Irish stakeholders will ensure that a complete final version of each publication is made accessible and preserved via an online repository maintained by an academic institution, scholarly society, government agency, or other well-established organisation that seeks to enable Open Access, unrestricted distribution, interoperability, fault tolerance, immutability and long-term archiving.

Enabling FAIR research data

15. The following research data management principles are confirmed and supported:
 - i) Findable, Accessible, Interoperable, Reusable (FAIR)⁷ data contribute to research integrity and reproducibility.
 - ii) Research data should be as open as possible, and only as restricted as necessary.
 - iii) Those involved in each stage of the research process should have the capacity and skills necessary to enable FAIR data.
 - iv) Prior planning is essential to ensure research data are managed effectively through all stages of the research cycle, from creation to long-term preservation.
 - v) Research data should be interoperable across disciplinary boundaries to enable unrestricted sharing of reusable data between different systems and domains.

⁶ *ibid*

⁷ European Commission (2018) Turning FAIR into Reality: Final Report and Action Plan from the European Commission Expert Group on FAIR Data. Luxembourg: Publications Office of the European Union. <https://doi.org/10.2777/1524>

- vi) A robust citation mechanism for referencing data is necessary for research validation and to make data findable and accessible.
16. Data management planning is required as a standard practice from the earliest stage in the research process. Data management plans will be required as part of that standard practice and will outline data curation throughout the research cycle as well as legal and ethical requirements, data privacy issues, which data shall be selected for sharing and long-term preservation, who is responsible, and what resourcing, if any, is necessary to ensure that research data are findable, accessible, interoperable and reusable.
 17. Datasets should be made easily identifiable through persistent identifiers, accompanied by standardised metadata, including funder names and grant numbers.
 - i) Where appropriate, datasets should be linked to other datasets and publications through recognised mechanisms.
 - ii) Additional information should be provided to enable the proper evaluation and re-use of data.
 - iii) Interoperability standards should be applied to facilitate re-use of data within and across disciplines and support automated processes acting across large, heterogeneous datasets.
 18. Research data shall be as open as possible, and only as restricted as necessary.
 - i) Research will become and remain findable, accessible, interoperable and re-usable within a secure and trusted environment, through national and international digital infrastructures, including where appropriate, within the European Open Science Cloud (EOSC).
 - ii) Research data may be restricted for justifiable reasons, such as commercial exploitation, confidentiality, security, protection of personal data, the achievement of the project's aim, incompatibility with the further exploitation of the research results or other stated legitimate grounds. Shared metadata are especially important for restricted data and should be made accessible if possible.
 19.
 - iii) Taking into account technological developments (including of dynamic (real-time) data), licensing terms used should not unduly restrict text and data mining of research data resulting from publicly funded research, in accordance with and without prejudice to the applicable copyright legislation.
 - iv) Any data, know-how and/or information whatever its form or nature which is held by private parties in a joint public/private partnership prior to the research action will not be affected by this policy.
 20. Funders and institutions will include in grant conditions and other support for research, their requirements for data management plans and for data sharing, together with details of their mechanisms for monitoring compliance.

Infrastructures for access to and preservation of research

19. Researchers will need increased access to research resources and services for storing, managing, analysing, sharing, and re-using research information.
20. Synergies will be promoted via a coordinated approach among national infrastructures as well as with global and European initiatives, including the European Open Science Cloud (EOSC) and

relevant *European Strategy Forum on Research Infrastructures* (ESFRI) and European Research Infrastructure (ERIC) programmes.

21. The quality and reliability of the infrastructure will be ensured, including through the use of internationally recognised certification mechanisms, specifications and standards and utilising open source systems and software whenever possible.
22. Through the use of additional indicators and metrics, infrastructures will be made fit to collect information that underpins the monitoring and assessment of openness and impact.

Skills and competences

23. Standardised and accredited skills for open research will be provided for researchers and required at all career levels, including research students and supervisors. Equality of opportunity and access to skills training will be available for researchers regardless of discipline or institution or funder.
24. Library professionals, data stewards and ICT personnel who provide support, training, advocacy and infrastructural development for open research will be included in the national planning and implementation process. Planning for the provision of advanced, specialist professional skills will be considered as part of that process.

Incentives and rewards

25. Information on open research and associated skills attainment will be included in research reporting and evaluation at the national level.
26. The academic career system will support and reward researchers who participate in a culture of sharing the results of their research.
27. Funders and institutions will adopt open research metrics and ‘responsible metrics’⁸ along with ways of rewarding the full diversity of outputs and of recording the broader social impact of research (next generation metrics’).

⁸ See San Francisco Declaration on Research Assessment (DORA); Leiden Manifesto, EC ‘Rewards under Open Science’ WG report https://ec.europa.eu/research/openscience/pdf/os_rewards_wgreport_final.pdf