

Policy Name: Open Access to Research

Title	Open Access to Research
Description	This policy is a guide to MIE staff and students for publishing in open access repositories
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1. Context

Advances in digital technology are transforming research processes and democratising and renewing channels of scholarly communication.

In Ireland, both the *National Principles for Open Access Policy Statement* (2012) and the *National Statement on the Transition to an Open Research Environment* (2018) recommend that every researcher in Ireland have the rights and the facility to deposit/publish via a suitable Open Access journal, platform or repository. Ireland's *National Action Plan for Open Research* (2022) outlines objectives and actions for the next chapter in Ireland's transition towards open research. The action plan serves as a roadmap for the implementation of open research across Ireland, outlining national goals and coordinated actions that will assist the research system as a whole to better support open research practices:

By 2030 Ireland will have implemented a sustainable and inclusive course for achieving 100% open access to research publications. Provisions put in place to support a diverse open access publishing ecosystem and the retention of authors' rights will ensure Irish researchers have the freedom to choose from a range of quality options for making their research open access. An interoperable and robust network of repositories will contribute to making Irish research more visible and accessible locally and internationally (p.6).

One of the aims of the European Commission's Open Science Policy under Horizon Europe is to promote the adoption of open science practices, including the sharing of research outputs as early and widely as possible.

In accordance with the Institute's strategic priority of committing to excellence in applied research and enabling the systematic dissemination and communication of MIE research, MIE is committed to creating a research culture that encourages and supports staff and students to contribute to research activities and dissemination.

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2. Scope

This policy provides an overview of national and international developments which have influenced MIE's participation in repositories promoting Open Access to research publications. This policy outlines the preferred routes through which MIE researchers can make their research openly available.

MIE actively supports 'Green' Open Access through assisted deposit in open repositories. Institutional repositories such as Trinity's Access to Research Archive (TARA), and national ones such as the Digital Repository of Ireland (DRI) represent a secure, digital environment in which to preserve, catalogue, index, and disseminate the research output of MIE.

The final published version of a publication or the accepted author manuscript plus metadata of articles accepted for publication in peer-reviewed journals and international conference proceedings should be made Open Access as soon as permissible through TARA. The accepted author manuscript is the version of a paper that has been peer reviewed and accepted for publication by a journal. This version should include all changes made during the peer review process, though it generally does not include copyediting and stylistic edits or formatting changes.

Where possible, MIE staff and students should also deposit books or book-chapters, conference papers, theses, research data and other research artefacts which feed the research process, created while the person is a member of staff or a student at MIE.

Student researchers sign a deposit form upon submission of their thesis and any articles to the Student Teacher Education Research (STER) journal which allows deposit to TARA.

3. Purpose

The intent of this policy and associated procedures is to promote better understanding of Open Scholarship practices and to enable and encourage participation in open publishing in MIE. Publishing Open Access allows work to reach a wider audience including practitioners, policy makers, the broader public, and researchers from developing countries. This may help lead to increased citations, as well as boosting engagement through social media and news mentions.

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4. Benefits

- 4.1 This policy provides a framework and driver that explains how and why researchers at MIE should deposit their research output to TARA or another suitable repository.
- 4.2 The effect of the policy is to encourage and foster Open Access to research publications for the use of the MIE community and external researchers, thus enabling the systematic dissemination and communication of research conducted at MIE.
- 4.3 The policy supports researchers in complying with funder and national policies.
- 4.4 The policy is designed to enable MIE to gain maximum benefits from Open Access.

5. Principles

- 5.1 Participation in Open Access by the scholarly community facilitates and improves the circulation and creation of knowledge by making research output and data available in institutional and digital repositories.
- 5.2 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.
- 5.3 MIE supports “Green” Open Access and encourages researchers to publish only in journals that allow them to be compliant with funder requirements. Authors who wish to pursue “Gold” routes to Open Access, i.e., immediate Open Access availability on payment of an article processing charge (APC), should factor APCs into grant applications or make provision in department budgets. On average, these can cost €2000 per article.
- 5.4 Authors are encouraged to retain copyright of their publications which is automatically assigned at creation but can be signed away through a Copyright Transfer Agreement (CTA) or Exclusive Licence to Publish (LTP) - (see [SPARC author addendum](#) and [Coalition S Rights Retention Strategy](#) for more information).
- 5.5 Publishers’ copyright, licensing and embargo policies must be respected. These can be checked using the [SHERPA RoMEO](#) service which lists publishers and their associated

copyright agreements. The RoMEO service can be searched for a publisher, or a particular journal, to see what rights are assigned to publishers and which are retained by the author.

- 5.6 Access restrictions to the full text article may be applied as required by certain publishers however these embargoes should not normally exceed six months for scientific, technical and health science research publications and 12 months for arts, humanities and social sciences research outputs.
- 5.7 Staff and students are responsible for ensuring that they comply with the principles set out in this policy but support is available through MIE Library on the deposit of research materials to either TARA or ACERR and further details are available on the MIE Library website or by contacting openaccess@mie.ie.
- 5.8 Open Access repositories do not affect rights as regards copyright. For example, when depositing material in TARA, researchers merely licence Trinity College Dublin to distribute the work. The copyright remains with the original holder, be it author or publisher.

6. Responsibilities of authors

Academics, researchers and postgraduate research students are asked to:

- 6.1 Plan for OA publishing: Discuss with collaborators at the start of a project how research results will be published to comply with the open access policies of both funders and MIE. Most journals/publishers usually set out the conditions under which their published material can be re-published on open access in Institutional repositories like TARA (Green Open Access). APCs for publishing via Gold Open Access journals is often an eligible cost in a grant application.
- 6.2 Obtain an ORCID unique author identifier, and use it everywhere, including when submitting publications to the Library for TARA, applying for grants, and in any research workflow, to ensure consistent linking of research outputs and activities in the one record and maximum discoverability of your work.

6.3 Ensure any Copyright Transfer Agreement (CTA) rights and permissions are acceptable to you before signing any CTA documents and challenge anything that stops you complying with the policy. Seek advice from the Research Office if in doubt.

6.4 Choose journals, where possible, and other publication outlets that enable you to deposit an open access version in the institutional repository.

6.5 Provide details on all forms of research output to the institutional repository including information about, and links to, datasets and other research materials (where appropriate). Outputs include journal articles, conference papers, reports, books, book sections and chapters.

6.6 Deposit a digital copy of the author accepted manuscript (AAM) of all journal articles to the institutional repository within 6 months of publication, subject to publishers' permissions. Researchers are also strongly encouraged to deposit the full text of all other types of publications, including reports, books and book chapters, in the institutional repository.

6.7 PG students on programmes with a dissertation/ research thesis component are required to submit a digital copy of their thesis to the library for deposit to the institutional repository. All theses awarded a mark of 65%+ will be made open access on deposit unless the student has been granted an embargo on the authorisation of the project supervisor. Other theses may be considered for deposit at the discretion of the programme board.

6.8 Maintain awareness of and comply with funder policies relating to open access, being mindful of funders' requirements relating to maximum embargo periods, licencing requirements and any requirement for deposit in specific repositories.

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7. Responsibilities of MIE

MIE will:
7.1 Support researchers in their choice of where to publish, having regard to quality, alternative dissemination channels, impact, personal re-use, & value for money.
7.2 Support researchers to consider how best to make their work visible and accessible, including how best to enable use of their work.
7.3 Undertake advocacy and collaboration with publishers and other bodies, making efforts to influence academic publishing models and practices that affect MIE authors, in order to support the aims of this policy.
7.4 Provide an MIE managed institutional repository within TARA, and support researchers in depositing work to make research outputs freely available as soon as possible (subject to the authors' and/or publisher's permissions and any confidentiality or commercial constraints), and to promote widespread discovery, dissemination and maximise citation of works.
7.5 Provide training, information and advice on OA matters, assisting researchers to be compliant with their funder's OA policy and MIE's OA policy.
7.6 Manage the long-term preservation, continued access, and storage of material in the institutional repository.
7.7 Maintain awareness of funder policies relating to open access and highlight to researchers new or changed requirements.

8. Definitions

- I. ACERR Ireland is an association of institutions committed to promoting Arts Education and Arts Education Research. The National Arts and Culture in Education Research Repository is hosted by the Digital Repository of Ireland (DRI) and provides open access to research data in the field of arts education. ACERR Collections include student journals and photobooks, filmed performances, musical recordings, poetry, and research and educational materials.

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- II. Accepted author manuscript (AAM): the version of a paper that has been peer reviewed and accepted for publication by a journal. This version should include all changes made during the peer review process, though it generally does not include copyediting and stylistic edits or formatting changes made by the publisher.
- III. Article processing charge (APC): a publisher's fee for covering publishing costs such as those associated with editorial and peer-review processes. A consequence of paying an APC is gold (immediate) open access to the research paper.
- IV. Copyright Transfer Agreement (CTA): includes permission for the publisher to publish the work - legally required for publication but also includes restrictions on how the author is 'allowed' to use the work.
- V. Date of acceptance: the date an article is accepted, after peer review, for publication by a journal.
- VI. Deposit: adding research output, such as an article, to a repository.
- VII. Digital Repository of Ireland (DRI): a trusted national digital repository for Ireland's humanities, social sciences, and cultural heritage data.
- VIII. Discoverable: the article can be found by readers and search engines, usually facilitated through a bibliographic or metadata record associated with the full text.
- IX. Embargo: a period during which access to scholarly work is restricted to those who have paid for access. Once the embargo period ends, an article can be deposited in a repository (if permitted by the publisher).
- X. Gold open access: publishers make research articles immediately and freely available from the point of publication, and usually apply an article processing charge.
- XI. Green open access: the author makes a version of a research output freely available via an institutional or subject repository. Publishers stipulate the version of manuscript that can be self-archived and the length of embargo period following publication before the paper is made open access.
- XII. Horizon Europe: the EU's key funding programme for research and innovation until 2027.
- XIII. Institutional repository: an online archive of an institution's scholarly outputs. The collection can include publications in peer-reviewed journals, books and book-sections,

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technical reports, working papers, monographs, conference presentations, audio and visual materials or any other research content that has some scholarly value.

- XIV. Metadata: data that describes other data. For items in open access repositories, this usually consists of a full bibliographic reference, abstract, keywords and similar information.
- XV. Open Access: the practice of providing free online access to research information.
- XVI. Open access licence: the licence outlines what a person may do with a third party copyright work. An example of an open licence is a Creative Commons (CC) licence, which combines 4 basic elements: the attribution, the derivatives, the commercial use, and the 'share-alike' principle.
- XVII. ORCID: Open Researcher and Contributor iD. You can register for free directly on the [ORCID site](#). This unique iD makes you distinctive from every other researcher and is a reliable, consistent way to link all of your research outputs and activities in the one record. You can add publications, grants, peer review activities, patents and more.
- XVIII. Output: a piece of research content, including articles, books, chapters, technical reports, working papers, monographs, conference presentations, or audio and visual materials. It can also include research datasets.
- XIX. Pre-print: the first draft of an article, before peer-review, possibly even before any contact with a publisher.
- XX. Post-print: the version of the paper after peer-review, with revisions having been made.
- XXI. Publisher's PDF: the final published version of an article, including the publisher's copy-editing, proof corrections, layout, and typesetting.
- XXII. Self-archiving: the process of depositing your research output to a repository along with bibliographic metadata.
- XXIII. Trinity's Access to Research Archive (TARA) is the institutional repository maintained by TCD Library.

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9. Related Documents and policies

- 9.1 [Procedure for Open Access deposit by MIE researchers](#)
- 9.2 [Coalition S Rights Retention Strategy](#)
- 9.3 [Guidelines to the Rules on Open Access to Scientific Publications and Open Access to Research Data in Horizon 2020](#)
- 9.4 [Horizon Europe Open science policy](#)
- 9.5 [MIE Good Research Practice Policy](#)
- 9.6 [National Action Plan for Open Research \(2022\)](#)
- 9.7 [National Principles for Open Access Policy Statement \(2012\)](#)
- 9.8 [National Statement on the Transition to an Open Research Environment \(2018\)](#)
- 9.9 [SPARC author addendum](#)
- 9.10 [Trinity College Dublin Open Access Publications Policy](#)