SFI's Open Access policy

Updated: 19th December 2019

Science Foundation Ireland is committed to Ireland's goal of ensuring that all scholarly publications resulting from publicly funded research are openly available.[1] To this end, Science Foundation Ireland endorses national and international best practice in Open Research, namely the National Framework on the Transition to an Open Research Environment and the EU Recommendations on access to and preservation of scientific information (2018)[2] . SFI is also a partner of cOAlition S and has aligned this policy with the principles espoused by Plan S, an initiative to make full and immediate Open Access (OA) to research publications a reality.

This policy applies to all scholarly publications arising in whole or in part from SFI funded research (i.e. where one of the authors has received SFI funding in support of the underlying research) and is effective from **1st January 2020**. Where the publication is in line with this policy, researchers may publish in the journal destination they feel is most appropriate.

Science Foundation Ireland is committed to ensuring that the transition to an Open Research environment does not negatively impact on researchers' careers. Therefore, as a signatory to the San Francisco Declaration of Research Assessment (DORA) SFI is committed to considering the content, availability and impact of publications rather than the journal or publisher when evaluating research outputs. In addition, SFI will seek to identify and develop initiatives that reward contributions to open research and integrate these into the evaluation process.

Open Access to peer-reviewed articles and conference proceedings[3]

The criteria below apply to all peer-reviewed articles and conference proceedings[3] arising in whole or in part from SFI funded research.

1. All SFI-funded publications (Version of Record e.g. final published version or Authors Accepted Manuscript) must be made openly available.

Until 31st December 2020:

   a. A maximum embargo period of 6 months from the date of publication will be permitted.

   b. Authors are encouraged to make publications available under an open licence (CC-BY preferably) and copyright should be retained by the author or institution.

From 1st January 2021:

   a. All publications (as defined above) must be immediately available from the date of publication (no embargo will be permitted).

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[1] http://norf-ireland.net/wp-content/uploads/2019/07/NORF_Framework_10_July_2019-2.pdf
[2] https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32018H0790&from=EN
[3] Peer-reviewed and / or edited conference proceedings that are published in journals and searchable on bibliographic databases through a DOI

b. Where OA charges apply, SFI will support a contribution to costs in open access venues or subscription journals with transformative agreements (e.g. agreements to include or offset these costs against subscription costs). SFI funds may not be used to support publication in subscription journals where transformative agreements do not exist and SFI will not support costs associated with non-OA publishing.

c. Publications **must** be available under a CC-BY licence unless an exception has been granted by SFI in advance. Licensing terms should not unduly restrict text and data mining and should fulfil the requirements defined by the Berlin Declaration on Open Access.[4]

d. Copyright shall be retained by the authors / institutions.

2. Where deposition in a repository is the route to compliance, institutional and disciplinary repositories should be used. Information on the Irish Universities' Institutional repositories is available through www.rian.ie. Publisher's copyright, licensing and embargo policies must be respected.

3. SFI encourages publication in high-quality, peer-reviewed venues. Publication venues and repositories must comply with international standards, particularly any guidelines released by cOAlition S.[5]

4. All publications should be accompanied by appropriate metadata in line with national and international standards for harvesting and interoperability. At a minimum this must include full bibliographic data, persistent identifiers (e.g. digital object identified (DOI); ORCID), funder information ("Science Foundation Ireland under Grant number [ ]"), license information, a link to the publication site in the case of deposition in a repository.

5. SFI encourages that research data and software should be Findable, Accessible, Interoperable & Reusable (FAIR). All data, original software or materials that underpins SFI-funded publications should be deposited in an open access repository. The associated publication should include information on how to access the related resources.

6. To facilitate prompt dissemination of research findings SFI encourages researchers to deposit preprints ahead of publication. These should be available under CC-BY licences. To this end SFI recognises preprints as valuable research outputs (where these are associated with a digital object identifier [DOI]).

7. SFI will monitor compliance with this policy through scientific and financial reporting, financial audits and utilise tools such as *Unpaywall [6]* to validate Research Outputs.

8. Publications that do not comply with this policy will not be considered when assessing progress made on an award.

9. In accordance with SFI Grant General Terms & Conditions, failure to comply with this policy may result in sanctions being applied. These may include the withholding of payments on live awards, or exclusion from applying to SFI for funding.

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[4] https://openaccess.mpg.de/67605/berlin_declaration_engl.pdf
[5] https://www.coalition-s.org/principles-and-implementation/
[6] https://unpaywall.org/

Open Access to academic books

SFI recognises the additional challenges that exist in relation to open access to academic books but as a valuable dissemination mechanism it is important that academic books are not excluded from the transition to Open Research. Therefore, the following criteria apply to academic books (e.g. monographs etc.) arising in whole or in part from SFI funding.

1. All academic books (e.g. monographs, book chapters) should be made openly available as soon as possible but no later than 12 months from the publication date.

2. Where open access charges apply, SFI will provide a contribution to the costs associated with production of the first digital copy for an open access dissemination.

3. Where a publishing charge is levied the item must be available immediately.

4. All academic books should be published under an open license, preferably the Creative Commons Attribution CC-BY (attribution only) license. This is at the discretion of the author and in some instances CC-BY-SA (Attribution + Share-alike), CC-BY-NC (Attribution + No Commercial use) or CC-BY-ND (Attribution + No derivatives) may be more appropriate.

5. All academic books should be associated with appropriate metadata in line with national and international standards for harvesting and interoperability. At a minimum this should include full bibliographic data, persistent identifiers (e.g. digital object identifier (DOI); ORCID), license information, funder information ("Science Foundation Ireland under Grant number [ ]"), license information, a link to the publication site in the case of deposition in a repository.

6. In accordance with SFI Grant General Terms & Conditions failure to comply with this policy may result in sanctions being applied. These may include the withholding of payments on live awards, or exclusion from applying to SFI for funding.