

## The 93<sup>rd</sup> Meeting of the IIASA Council

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### IIASA Open Access To Data Policy

#### **Background:**

In November 2017, upon receipt of the [Catalogues of models, tools, software and databases](#) currently available at IIASA, Council requested IIASA to develop a policy on open access to data.

#### **Discussion:**

The attached proposed Open Access to Policy applies to all IIASA data produced by all IIASA staff in the course of their work on any IIASA funded or sponsored research project. The intent of this policy is to ensure compliance with funders and NMO expectations for good data management and open access to IIASA research data products.

The IIASA Library will serve as the Data Curators for all data stored in the IIASA Data Repository. As such, the IIASA Library has established a dedicated IIASA research data repository with appropriate access and security measures. This Data Repository, called DARE, is based upon the same E-Prints software, which has been successfully used in the implementation of IIASA's Publication Repository, PURE (pure.iiasa.ac.at), designed to provide a solid system for displaying and sharing IIASA's data while maximizing visibility and accessibility.

The proposed Open Access to Data Policy is the product of the Open Access to Data Task Force. The Task Force is comprised of three senior scientific staff, Volker Krey (ENE), Petr Havlik (ESM) and Wolfgang Schöpp (AIR), two staff from the Library, Michaela Rossini and Luke Kirwan, and Joseph Undercoffer (Head of ICT) serving as chair. The Policy was developed in a consultative process including reviews by the IRC and all scientific staff who provided valuable comments.

#### **Actions Required:**

Council is requested to approve the IIASA Open Access to Data Policy with the initial adoption for a period of 12 months during which the policy is monitored with a view to assessing its fit for purpose, effectiveness and efficiency with the goal to revise as necessary.

**Draft Resolution:**

The Council,

recognizing the importance of good data management and open access to IIASA's research data products, adopts the IIASA Open Access to Data Policy and the implementation of electronic data repository, DARE, for an initial review period of 12 months upon which time the policy should be revised as necessary to ensure effectiveness and efficiency.

## IIASA Open Access To Data Policy

### Scope

This open access to data policy applies to all IIASA data produced by all IIASA staff and associated, during their work on any IIASA funded or sponsored research project. The intent of this policy is to ensure compliance with funders and NMO expectations for good data management and open access to IIASA research data products.

### Data Management Responsibilities

1. Researchers:
  - a. Familiarize themselves with the data management requirements of the relevant funders and ensure compliance with these requirements.
  - b. Produce a Data Management plan for every research project that will produce data. This plan should be a living document that is updated during the lifetime of the project. The online tool <https://dmponline.dcc.ac.uk/> can be used to assist in developing this plan.
  - c. Store working-data during the course of the project within the IIASA Central Storage systems.
  - d. Work with the ICT Department, preferably via the ICT Forum, to ensure data storage requirements do not exceed the capacity currently available at IIASA and the storage space allotted to each Program.
  - e. Transfer the data to the Library for depositing in the IIASA Data Repository <sup>1</sup>, for long-term preservation and open access sharing. Alternatively, an external data repository can be used provided that is a reputable research data repository. The Registry of Research Data Repositories (<http://www.re3data.org/>) maintains an index of research data repositories. If an external repository is used the permanent ID and reference to the data must be passed on to the library.
  - f. Any models or software underlying the data must be versioned and locked to the time of data creation. If the model is held in an external repository the version number and a permanent link to the model must be sent to the repository staff.
  - g. Ensure that upon separation from IIASA, all data of long-term value remains accessible to the Institute.

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<sup>1</sup> The point of contact in the Library will request the data to be accompanied by metadata according to standards as described in the Resource Description Framework (RDF).

## 2. Library

- a. The IIASA Library will serve as the Data Curators for all data stored in the IIASA Data Repository.
- b. Will provide a dedicated IIASA research data repository with appropriate access and security measures.
- c. Repository staff will be responsible for ensuring the required metadata (according to best-practice international standards) is appropriately created, as well as for the storage and access to the data. Responsibility for the validity and authenticity of the content remains with the creator. The repository accepts no responsibility for mistakes, omissions or legal infringements within the deposited data.

## 3. ICT Department

- a. Will provide the necessary IT infrastructure to support the IIASA Data Repository to include internal data storage capacity, network and internet connectivity, server hardware and operating systems administration and data backup based on the current Data Backup Policy.

## Content Policy

1. IIASA will maintain an institutional repository for research data produced by IIASA affiliated researchers.
2. The repository will hold all types of data and data formats generated from research output.
3. Deposited data may include (but are not limited to), working datasets, data submitted as part of a journal submission, final datasets or data outputs from a project, data supporting research outputs or publications.
4. All deposited data will be tagged with full bibliographic information, depositing date and data version, related outputs and publications, copyright status, a persistent identifier.
5. Access to some items may be restricted.
6. Depending on the licensing conditions applied to an item, items in the repository can be:
  - a. Reproduced, displayed or performed, and given to third parties in any format
  - b. For personal research or study, educational, or not-for-profit purposes without prior permission or charge on the condition that it is appropriately referenced.
7. This repository is not the publisher; it is merely the data curator.

## External Repositories

1. While IIASA will provide an internal repository, it is understood that this may not be sufficient to cover the requirements of all research or models produced by IIASA. With this in mind, this policy envisages instances where data or models is hosted in an external repository.
2. If an external repository is used the researcher must inform the IIASA repository manager of the relevant details of the external repository, including the permanent id number and the full reference. This is to ensure that IIASA has a permanent record of all data and models produced as part of IIASA's research.
3. If an external repository is used the responsibility for versioning, accessibility, backups, and general data curation will be the sole responsibility of the researcher.

## Submission Policy

1. Items will only be deposited by IIASA affiliated researchers.
2. Researchers may only submit work on which they were one of the primary authors.
3. Deposits will be undertaken by repository staff upon submission of the dataset and accompanying descriptive data.
4. The repository only vets items for the eligibility of authors or depositors. The validity and authenticity of the content of a submission is the sole responsibility of the authors.
5. Any copyright violations are entirely the responsibility of the authors.
6. Where possible an open data format should be used. Any required software packages should be clearly identified by the researcher.
7. The repository will accept any format but cannot guarantee accessibility in the event of obsolescence or obscure formats.
8. A persistent identifier will always link to the referenced version, but any updated or improved version will be clearly identified on previous versions landing page.

## Data Policy

1. The default license for all data shall be CC-BY (Creative Commons Attribution License).
2. Publicly and NMO funded research data are deemed to be public goods which should be made as openly available with as few restrictions as possible in a timely manner.
3. Research data must be actively managed to ensure availability for later validation, access and re-use.

## Preservation Policy

1. Items will be retained for a minimum of 10 years according to IIASA policy or as long as is mandated by the funding body. While every care will be taken to preserve the data, the repository cannot take any liability for any data loss that occurs due to obsolescence or data migration.

2. Items will not be normally removed from the repository. However, withdrawal may happen in cases of proven copyright violation or plagiarism, legal requirements and proven violations, falsified research
3. Changes to deposited items are not permitted. However, updated items may be deposited, and the repository will explicitly link any previous versions to the updated item.