



Information Sheet

Purpose of the Study. I am Dr Catherine Ferris, [IReL](#) Open Scholarship Officer (Maynooth University) and Project Manager of the National Open Access Monitor Project, funded by the National Open Research Forum.

This project will develop a monitor for open access at the national level, initially through pilot reports and a national dashboard to publish, analyse and track progress towards 100% open access. The key objectives and expected outcomes are to:

- Work to arrive at a community-agreed definition for Open Access at the national level
- Build on previous NORF work, engaging with national stakeholders (DFHERIS, NORF, NORF 2022 Open Research Fund projects, HEA, research funding organisation, research performing organisations, national research infrastructures, publishers etc.) to gather and validate user requirements for Open Access monitoring
- Work with external vendors to deliver reports and a national dashboard to help Ireland publish, analyse and track open access rates at the national level.
- Document challenges that should be addressed in long-term monitoring solutions and recommend steps to be taken, including workflows for data validation and enrichment.
- Work to improve the quality and depth of data used for the national dashboard in line with international best practice through stakeholder collaboration with institutions, funders etc. and direct input or validation where possible.
- Following NORF and Science Europe recommendations, ensure that the monitor uses data and bibliographic databases that are openly accessible, is built using open infrastructure, and is publicly accessible to view and analyse.

A copy of the Project Plan is available here: <https://doi.org/10.5281/zenodo.7331432>

What will the study involve and what information will be collected?

Participants will be asked to provide input and contribute as representatives of stakeholder entities, over the course of the two-year project (1 November 2022-1 November 2024), in the following areas:

- to arrive at a community-agreed definition for Open Access in this context at the national level
- to validate, and if required expand on, the user stories and functional requirements of the National Open Access Monitor identified by the NORF OA Monitoring Policy Brief Group. These functional requirements should explicitly state current OA reporting metrics for each stakeholder, required data points and potential future requirements.
- to monitor and track the costs associated with contributing to this project and to provide this data to the Project Manager, for inclusion in the final report to the funder, in a pseudonymised format (to the high-level stakeholder group) to demonstrate the cost of this work to the national research system.
- to provide metadata and persistent identifiers as required, to enable the successful delivery of the pilot dashboard
- to provide feedback on the pilot dashboard
- if necessary, to work with the Project Manager to determine the impact of vendor non-deliverables
- to work with the Project Manager to identify gaps, incomplete representation, or errors in pilot data.
- to work to improve the quality and depth of data used for the national dashboard.

Participants will be invited to contribute during each project stage listed above, in a method that is most suitable or convenient to the participant (as appropriate for the project stage and the data to be collected) e.g. through emails, structured surveys, meetings, webinars, file-sharing.

All participants are asked to sign this consent form, in advance of participating, to give permission for their contribution will be used, stored and preserved in the development of the National Open Access Monitor. Signing the consent form does not obligate you to contribute in any or all stages of the project, but must be completed if you would like to participate.

Who has approved this study? This study has been reviewed and received ethical approval from Maynooth University Research Ethics committee. You may have a copy of this approval if you request it.

Why have you been asked to take part? You have been asked in your professional capacity as a representative of a stakeholder entity.

Do you have to take part?

No, you are under no obligation whatsoever to take part in this research. It is entirely up to you to decide whether or not you would like to take part. If you decide to do so, you will be asked to sign a consent form and given a copy and the information sheet for your own records. If you decide to take part, you are still free to withdraw at any time without giving a reason and/or to withdraw your information up until such time as the contributions are actioned upon for the development of the National Open Access Monitor. This will happen throughout the project and all participants will be informed of the relevant dates in advance. A decision to withdraw at any time, or a decision not to take part, will not affect your relationship with Maynooth University.

Will your participation in the study be kept confidential? No, transparency is a core principle of this project. Therefore, it is a project aim to capture contributor provenance at the outset: to capture *who/which entity* contributes *what* to the National Open Access Monitor Project. This will enable all decisions made in the delivery of the Monitor to be transparent.

This form is to obtain explicit consent to identify you, to attribute your contribution to you, and to include your name, job title, organisation and ORCID iD (if provided) within the project documentation which will be used for the delivery of the National Open Access Monitor and archived under a Creative Commons license on Zenodo.

By request, pseudonymisation will be carried out if you would rather your contribution was not publicly attributed to you. This can be requested in the consent form below. Your name, job title, organisation and email address will be captured to enable

1. the Project Manager to contact for potential follow-ups,
2. to identify responses by the same organisation, and
3. to enable the attribution of contributions by the same individual across time to the same pseudonymised identity.

Pseudonymisation will be to the level of stakeholder-group (e.g. Contributor 1, Research Funding Organisation 5). Please be aware that (a) if there are few organisations within the stakeholder group, the identity of your organisation or entity may likely be inferred (b) pseudonymisation will only be possible for contributions submitted through surveys or one-to-one meetings; individuals who contribute in group meetings and webinars will be identifiable.

All electronic information will be encrypted and held securely on MU servers. Pseudonymised identities and pseudonymisation keys will only be accessible to the Project Manager Dr Catherine Ferris only. It must be recognised that, in some circumstances, confidentiality of research data and records may be

overridden by courts in the event of litigation or in the course of investigation by lawful authority. In such circumstances the University will take all reasonable steps within law to ensure that confidentiality is maintained to the greatest possible extent.

What will happen to the information which you give?

Webinar, meeting and email contributions will be summarised and approved, in a collaborative document (participant and Project Manager), before becoming part of the project documentation to be actioned upon. Your emails and email addresses will not be included in the project documentation or archived in Zenodo. Support will be provided by the Project Manager and by peers within the community of practice, through dedicated project communications channels, webinars, informal meetings and by email. The content of such support will not be collected and/or included in the archived project documentation.

During the research process, data will be stored in Microsoft OneDrive, under the MU institutional subscription. Data will regularly be archived under a Creative Commons license in Zenodo for preservation and public sharing purposes and will be preserved for the lifetime of the repository. In case of closure of Zenodo, the repository states “best efforts will be made to integrate all content into suitable alternative institutional and/or subject based repositories.” Pseudonymised data will be kept on Maynooth University servers during the course of the project, in such a way that it will not be possible to identify you. On completion of the project, the keys identifying pseudonymised participants will be destroyed.

What will happen to the results? The stakeholder contributions will inform and shape the National Open Access Monitor. Research outputs in many formats (reports, presentations etc) will be produced to document the progression and deliverables of the project. The contributions will be archived, with the project documentation, under a Creative Commons license on Zenodo, to meet the transparency goals of the project. A copy of the research findings will be made available to you upon request.

What are the possible disadvantages of taking part? A possible disadvantage to you is the time it takes to contribute, under the required deadlines to deliver the project. Multiple ways to contribute will be provided e.g. webinars, meetings, emails, and surveys, and it will be possible to pause and save surveys mid-submission, to return to later.

Any further queries? If you need any further information, you can contact me: Dr Catherine Ferris, catherine.ferris@mu.ie

If you agree to take part in the project, please complete and sign the consent form overleaf and return to catherine.ferris@mu.ie

Thank you for taking the time to read this

Consent Form

I.....agree to contribute to the National Open Access Monitor Project, project managed by Dr Catherine Ferris.

Please tick each statement below:

The purpose and nature of the study has been explained to me in writing. I've been able to ask questions, which were answered satisfactorily.

I am participating voluntarily.

I understand that I can withdraw from the study, without repercussions, at any time, whether that is before it starts or while I am participating.

I understand that I can withdraw permission to use the data right up to when it will be actioned upon for the development of the National Open Access Monitor, and that I will be informed of such relevant dates in advance

It has been explained to me how my data will be managed and that I may access it on request.

I understand the limits of confidentiality as described in the information sheet

Please select (a) or (b):

(a) I agree for my data, attributed to me, to be retained indefinitely in the Zenodo archive and to be made available for reuse under an open Creative Commons license

(b) I agree for my data, pseudonymized at the general stakeholder group, to be retained indefinitely in the Zenodo archive and to be made available for reuse under an open Creative Commons license

Signed.....

Date.....

Participant Name in block capitals

I the undersigned have taken the time to fully explain to the above participant the nature and purpose of this study in a manner that they could understand. I have explained the risks involved as well as the possible benefits. I have invited them to ask questions on any aspect of the study that concerned them.

Signed.....

Date.....^{12 January 2023}

Researcher Name in block capitals: CATHERINE FERRIS

If during your participation in this study you feel the information and guidelines that you were given have been neglected or disregarded in any way, or if you are unhappy about the process, please contact the Secretary of the Maynooth University Ethics Committee at research.ethics@mu.ie or +353 (0)1 708 6019. Please be assured that your concerns will be dealt with in a sensitive manner.

For your information the Data Controller for this research project is Maynooth University, Maynooth, Co.

Kildare. Maynooth University Data Protection officer is Ann McKeon in Humanity house, room 17, who can be contacted at dataprotection@mu.ie. Maynooth University Data Privacy policies can be found at <https://www.maynoothuniversity.ie/data-protection>.

Two copies to be made: 1 for participant, 1 for PI