



INTERNATIONAL EUROPEAN UNIVERSITY

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OPEN SCIENCE POLICY OF INTERNATIONAL EUROPEAN UNIVERSITY

<i>Open Science Policy of International European University</i>	<i>REGULATIONS</i>
	<i>Quality management system ISO 9001:2015</i>

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INTRODUCTION

The Private Higher Education Institution “International European University” (hereinafter referred to as the University) is going to adopt open science as a standard of educational and scientific activities aimed at the best international practices, standards, experience and recommendations, resulting in the successful development of the higher education institutions in all areas.

A new paradigm of organizing and conducting research and disseminating information about its results in the context of digitalization of social relations and development of information society is open science that allows:

- improving the use and exchange of resources, enhancing the efficiency of science by reducing duplication and expenses for data creation, transfer and reuse;
- enhancing the transparency of research findings;
- speeding up the shift from research to innovations;
- increasing the engagement of citizens in research.

Taking into account the general strategic vision, the University sets integration into the European Research Area as one of its development priorities based on the adoption of the principles of open science, which is a prerequisite for the establishment of an open innovative, inclusive educational environment to unlock and fulfill the creative, analytical and professional potential of participants in the educational process in terms of recognition and partnership in the global educational and research space.

The University creates appropriate conditions for integrating values and practices of open science into all working processes of its activities. Thus, the University relies on relevant policies and best practices of international institutions, particularly UNESCO and the European Commission, as well as experience in open science development at foreign and national higher education, scientific and research institutions.

The goal of the Open Science Policy of International European University (hereinafter referred to as the Policy) is to enhance scientific cooperation and information exchange for the development of science and public achievements, as well as to integrate the University into the European Research and Education Area. Therefore, the University strives to make scientific knowledge open, publicly available and reusable.

1. GENERAL PROVISIONS

1.1. The policy reflects a new approach to the educational process and scientific and technical activities based on values and principles of open science; defines the purpose, goals and objectives of open science at the University; defines the principles of unimpeded access to scientific results and research data of the University, the process of creating open educational resources; outlines the open science infrastructure of the University and areas of raising awareness and developing the competence in open science. The policy is also the foundation for disseminating, adopting and promoting open science by members of the University community at local, national and international levels.

<i>Open Science Policy of International European University</i>	<i>REGULATIONS</i>
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1.2. The Policy is developed in accordance with the Constitution of Ukraine, the Laws of Ukraine On Scientific and Scientific Technical Activities, On Scientific and Technical Information, On Copyright and Related Rights, On Education, On Higher Education, the Order of the Cabinet of Ministers of Ukraine No. 892-p dd. October 8, 2022. On Approval of the National Plan for Open Science, the Roadmap for Ukraine’s Integration into the European Research Area (ERA-UA) approved by the Order of the Ministry of Education and Science of Ukraine No. 167 dd. February 10, 2021, other regulatory acts in science and education, the UNESCO Recommendation on Open Science, Commission Recommendation of 11 March 2005 on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, European Research Area Policy Agenda: Overview of Actions for the Period 2022–2024 (ERA), Directive (EU) 2019/1024 of the European Parliament and of the Council of 20 June 2019 on open data and the re-use of public sector information, the Development Strategy of International European University for 2021-2031 (as amended), other Regulations and regulatory documents of the University.

The Policy does not contradict international practice, current legislation, national and internal university regulatory framework.

1.3. The adoption of open science principles at the University is implemented as a multi-level process based on the combination of institutional and infrastructural mechanisms, involving a wide range of highly qualified specialists of different areas. Their common activities create conditions for the establishment and development of the open innovative, inclusive educational environment favorable to unlock and fulfill creative, analytical and professional potential of participants in the educational process by supporting researchers in the use of open research practices, recognition and partnership in the global educational, scientific and research space.

1.4. The Policy is based on the principles of academic mobility, non-disclosure of confidential information, equal opportunities and respect for diversity.

1.5. The Policy applies to all the activities of the University, in particular, the educational process and scientific activities, participants in educational and scientific processes at the University and the results of scientific, scientific and technical and scientific and educational activities conducted using University resources.

The Policy does not apply to the results of activities conducted beyond job responsibilities of the University staff, but it does not exclude the possibility of using University systems for publication and archiving of the research findings (for example, the institutional repository).

1.6. The Policy is published on the official website of the University as part of public information on the main current regulatory framework of the University's quality management system.

1.7. The Open Science Policy of the University shall be introduced to all members of the University academic community, and they shall take it into account in their current activities.

1.8. The University undertakes to plan and conduct the planned activities focused on fulfilling provisions declared by this Policy.

2. DEFINITION OF KEY TERMS AND CONCEPTS¹

2.1. Terms in this document is used in the following meanings:

Creative Commons (hereinafter referred to as CC) is the most common open access license allowing the author or creator of the data to set conditions for the reuse or distribution of the work or research data by others. CC can include the following terms and conditions:

- ***CC BY*** allows you to distribute and use the work or research data with a mandatory reference to the author or creator of the data;
- ***CC BY-SA*** allows you to distribute or modify the original work, research data under the terms of the original license;
- ***CC BY-NC*** allows you to re-distribute and use the work or research data for non-commercial purposes.
- ***CC BY-ND*** allows you to distribute and use the work and research data without any changes.

FAIR principles are principles ensuring *Findable, Accessible, Interoperable* and *Reusable* of research data;

author is an individual who has created a work;

academic community means all members of the University community (lecturers, employees, students) involved in University's educational and scientific activities;

academic text is the author's scientific, scientific and technical and educational work in the form of a thesis, qualifying graduation paper, scientific publication, scientific article, report on scientific, scientific and technical activities, deposited research paper, textbook, study guide, other scientific, educational and methodical works;

open science is a set of principles and practices for implementing an approach to scientific, scientific and technical activities that provides access to research infrastructure, scientific results and scientific and technical information with the possibility of their reuse, exchange and

¹ Open source data

distribution using information and communication technologies in order to speed up scientific, technical and social development, deepen cooperation between scientists, etc.;

open access is a set of practices used to organize unimpeded and prompt access to scientific results and scientific and technical information using information and communication technologies;

open research data are data freely available on the Internet with the ability of any user to download, copy, analyze, re-process or use for any other purpose without financial, legal or technical obstacles;

open educational resources are materials for learning, teaching and research in any format and environment that are in the public domain or issued under an open license providing free access, reuse, repurposing, adaptation and redistribution by others without restriction or with minor restrictions;

research data means any information (data and/or metadata) collected and/or obtained in the course of scientific research in order to create a scientific result;

researcher is a person who is in a contractual relationship with the University, including scientific and academic staff, students of the University and other persons (including visiting and guest researchers) who use University resources and perform a research task at the University or otherwise take part in a research project, particularly projects funded by sponsors;

institutional repository of the University is an open electronic archive of the University that accumulates, stores, distributes and provides long-term, permanent and reliable access via the Internet to materials of scientific, educational and methodical materials created by employees of any structural unit as well as doctoral students, postgraduate students and students of the University;

institutional data repository of the University is an open electronic archive of the University that accumulates, stores, distributes and provides long-term, permanent and reliable access via the Internet to data and/or metadata collected and/or obtained in the course of basic or applied research, which, in particular, are used to confirm these studies and scientific findings by employees of any structural unit as well as doctoral students, postgraduate students and students of the University;

restricted information means confidential, secret and proprietary information;

open science infrastructure is a virtual and/or physical research infrastructure for shared use (including basic scientific equipment or toolkits, knowledge-based resources such as collections, journals and open access platforms, repositories, archives of scientific data, CRIS (databases for storing and managing information and metadata related to research activities of the institution), open scientometric and bibliometric systems for assessing and analyzing scientific knowledge areas, open infrastructures for computing and data processing that allow conducting the collective and multidisciplinary data analysis, digital infrastructure facilities) required to support open science and meet the scientific and research needs of the academic community;

open access license is the right holder's permission to use his/her work or research data by other persons under certain conditions.

metadata (data about data) is a detailed description of attributes (characteristics) of a document(s) (data file(s));

scientific activities are intellectual and creative activities aimed at obtaining new knowledge and/or finding ways to apply it, the main types of which are basic and applied scientific research;

scientific result (finding) means new scientific knowledge or research data obtained in the course of fundamental or applied scientific research and recorded on information carriers. The scientific result can be in the form of a report, qualifying paper of a scientific and educational and scientific level, preprint, published scientific article, scientific report, scientific report on the research paper, monographic study, scientific discovery, draft legal act, regulatory document, scientific software, hardware or scientific and methodical documents, the preparation of which requires relevant scientific findings or contains a scientific component, etc.;

scientific and technical activities mean scientific activities aimed at obtaining and using new knowledge to solve technological, engineering, economic, social and humanitarian problems, the main types of which are applied scientific research and scientific and technical (experimental) solutions;

scientific and educational activities mean educational activities at universities, academies, institutes and postgraduate education institutions related to scientific and/or scientific and technical activities;

scientific software is a scientific result obtained in the course of fundamental or applied scientific research in the form of executable files, source code or algorithm recorded on information carriers. Scientific software can be a part of the research infrastructure;

optimized research data (FAIR data) are data stored in electronic form and complying with the principles of good research data management (FAIR principles);

data management plan is a document describing stages of research data management throughout its life cycle: planning, collection or acquisition, analysis, publication and archiving;

reference is a set of bibliographic information about another work or dataset cited in a work or dataset;

right of access to research data means permission or prohibition of a certain type of access to research data, namely:

- *data in the public domain* means data are freely available by direct download from a publicly accessible web resource.
- *limited access to data* means that access to research data is possible upon request or after a certain period of time.

principles of good research data management are principles ensuring the reusability of research data, their accessibility, ability to interact with different types of data (interoperability) and prompt search for the necessary information; based on FAIR principles;

University resources are financial funds, information, including advertising, knowledge, material and technical facilities or other resources, including equipment, consumables of the University used when conducting scientific, scientific and technical, and scientific and educational activities;

service object of intellectual property rights is an object of intellectual property rights created by the author in the course of performing official duties in accordance with the official task or employment agreement (contract) between him/her and the employer using University resources.

work is the result of intellectual, analytical, synthetic or heuristic activities of an individual or group of people presented in the form enabling its distribution, receipt, storage, processing, reproduction for the use by various means, methods, techniques and technologies;

data creator is an individual who received data as a result of scientific research;

research data management is a set of tools, methods and architectures for the rapid, secure and cost-effective collection, access, maintenance and enhancement of data;

citation means the use of fragments of other previously published works or research data sets in one's work or research data set with the obligatory reference (mention) to its authors or data creators and the source of citation.

3. GOALS AND OBJECTIVES OF OPEN SCIENCE AT THE UNIVERSITY

3.1. Goals of the adoption of open science:

- support for dissemination, interpretation and reuse of research results;
- improving the validity, reliability and reproducibility of research results;
- ensuring the possibility of confirming, developing and advancing research results.

3.2. To achieve the above-mentioned goals, one shall:

- develop the University's scientific research as a process based on academic freedom and integrity, creativity and cooperation, openness and transparency, accessibility and verifiability;
- carry out scientific and scientific and technical activities in cooperation with the educational process as well as the creation of innovations using cutting-edge information and communication technologies, in particular via: open access to scientific

results and scientific and technical information; principles of good research data management (FAIR principles); open educational resources;

- provide access to scientific results within the legal and ethical framework, taking into account circumstances that can limit open access to scientific findings (including confidentiality requirements, contractual terms, etc.);
- create conditions for efficient work with scientific and technical information and open science infrastructure;
- raise awareness and develop competencies in open science;
- promote open science and involve the University community in projects aimed at implementing the principles of open science;
- develop a high level of open research culture at the University.

4. VALUES AND PRINCIPLES OF OPEN SCIENCE

4.1. Members of the University academic community share and rely on values and principles of open science in their academic activities.

4.2. The University adheres to the core values defined by the UNESCO Recommendation on Open Science, namely:

quality and integrity: open science is based on respect for academic freedoms and human rights, as well as promotes high-quality research by combining multiple sources of knowledge and providing free access to research methods and scientific results, which creates conditions for their thorough analysis and verification using transparent assessment procedures;

collective benefit: open science, as a global public good, should belong to and benefit all the humankind, which can only be achieved when scientific knowledge is made publicly available and scientific achievements are a part of the public domain. Scientific practice should be inclusive, sustainable and equitable, including in terms of opportunities for science education and capacity building;

equity and fairness: open science should play an important role in ensuring equal opportunities for researchers from developed and developing countries, creating conditions for fair and mutual exchange of scientific achievements and results, as well as providing all conditions for equal access to scientific knowledge for both those who create it and those who use it, regardless of location, nationality, race, gender, social and career conditions, and those who use it, regardless of location, nationality, race, age, gender, income, social and economic conditions, career level, language, religion, disability, migration status or any other circumstances;

diversity and inclusiveness: open science should embrace a variety of knowledge, practices, methods and procedures, languages, research results and topics that meet the needs and epistemic pluralism of the scientific community as a whole, different research teams and individual scientists, and the general public and knowledge holders outside the traditional scientific community, including representatives of indigenous peoples and local communities, as well as social subjects from different countries and regions.

4.3. The development of open science at the University is based on principles stipulated by the UNESCO Recommendation on Open Science:

transparency, scrutiny, critique and reproducibility:

– openness should be encouraged at all stages of scientific activities to reinforce the rigor of scientific results, enhance the positive impact of science on society and increase society's ability to solve complex interconnected problems. Increasing openness leads to greater transparency and trust in scientific information and strengthens fundamental principles of science as a separate form of knowledge based on evidence and verified through comparison with reality, logical analysis and expert control;

equality of opportunities: all scientists and other subjects and stakeholders of open science, regardless of their location, nationality, race, age, gender, income, social and economic status, career stage, language, religion, disability, ethnicity, migration status or any other circumstances, have the right to equal opportunities to access, participate in and use the results of open science;

responsibility, respect and accountability: increased openness leads to increased responsibility of all participants in open science, which, together with accountability to the public, prompt identification of conflicts of interest and potential social and environmental consequences of research activities, academic integrity and respect for ethical principles and research features should be the basis for proper management of open science;

collaboration, participation and inclusion: collaboration at all stages of scientific activities and levels of the scientific process, beyond geographical, linguistic, generational and resource barriers, should become the norm; one should encourage interdisciplinary cooperation that should also ensure the full and efficient involvement of the knowledge of members of the public, including marginalized communities, to address socially significant problems;

flexibility: the diversity of scientific systems, subjects and resources, as well as the rapid development of information and communication technologies, make it impossible to apply one-size-fits-all way approaches to open science tools and practices and encourage institutions to promote different ways of its development and forms of implementation, while adhering to the principles and values of open science;

sustainability: maximizing the efficiency and effectiveness of open science is facilitated by long-term sustainable working methods, services, infrastructure and funding models that allow ensuring equal participation of scientists from less privileged institutions and countries. Open science infrastructure facilities should be operated and funded primarily on a non-profit basis, based on a long-term concept of improving the open science methodology that maximizes permanent and unrestricted access to all interested parties.

4.4. The University systematically works on the establishment and development of the open science culture in the academic community.

4.1.1. advancement and development of the regulatory framework providing favorable conditions for adopting open science principles at the University, including the regulation of intellectual property and ethics issues in the context of open science;

4.1.2. establishment and development of the open science infrastructure;

4.1.3. promotion of open science principles among participants in the educational and scientific process;

- 4.1.4. advanced training and support for researchers in the form of studies, trainings and consultations on open practice issues in educational and scientific activities;
- 4.1.5. development and adoption of mechanisms for assessing the efficiency of educational and scientific activities of structural units, taking into account the adoption of open science principles at the University.

5. OPEN SCIENCE INFRASTRUCTURE OF THE UNIVERSITY

- 5.1. The University develops an appropriate infrastructure to achieve goals and objectives stipulated by this Policy. Some elements of the open science infrastructure are introduced and maintained by both the University and in cooperation with other organizations.
- 5.2. The open science infrastructure of the University includes:
- institutional repository of the University: to provide unimpeded access to scientific results, academic texts created by members of the University academic community;
 - institutional data repository of the University: to provide unimpeded access to research data;
 - publishing platforms for scientific periodicals: for the functioning of open access journals providing free online access to the results of scientific research;
 - University's publishing platform: to publish educational and scientific publications in open access;
 - open scientometric platforms to monitor and assess research activities;
 - server capacity for storing scientific results, research data, open educational resources and tools for secure management of confidential research data, cloud storage for long-term storage of scientific data;
 - open source software for educational and scientific activities;
 - access to the shared open science infrastructure of other institutions.
- 5.3. The development of the University's open science infrastructure is supported from sources not prohibited by the legislation of Ukraine, including special grant projects for open science development.

6. INTELLECTUAL PROPERTY AND ETHICS IN THE CONTEXT OF OPEN SCIENCE

- 6.1. The scientific results of the University and open educational resources authored by the University staff are official objects of intellectual property rights, so this Policy applies to them (except for objects with limited access), the publication of such works in the public domain is carried out in accordance with the current legislation.
- 6.2. When deciding to disseminate research data and scientific finding based on the principles of open science, researchers are obliged to make sure that the research is not confidential or was not performed under contractual terms making open access impossible.
- 6.3. Placing scientific results and open educational resources, which include intellectual

- property rights belonging to other persons, in the open access is possible in case of the permission of the owners of the rights for such use in accordance with the procedure stipulated by the current legislation.
- 6.4. Before publishing research data and scientific findings based on the principles of open science, researchers shall make sure that they do not contain information requiring protection of intellectual property rights.
- 6.5. Free access to scientific results, academic texts containing information requiring protection of intellectual property rights shall be postponed for a period of 24 months.
- 6.6. The terms and conditions of the Policy do not apply to research data and scientific findings containing restricted information.
- 6.7. The University recommends members of the University academic community to retain ownership and copyright of scientific results that can be alienated when concluding publishing agreements and licenses for their use and to transfer only those rights that are necessary for publication to publishers.
- 6.8. The University undertakes to provide assistance to members of the University academic community in licensing, acquisition of intellectual property rights to scientific results and academic texts, risk assessment of the possibility of premature disclosure of information.
- 6.9. Members of the University academic community are obliged to comply with the Code of Corporate Ethics and Academic Integrity of Academic, Scientific and Other Staff and Students of International European University. Researchers shall adhere to the high standards of scientific ethics, refrain from any manipulation of research data and scientific results and other dishonest behavior with open data.
- 6.10. The University obliges members of the University academic community who provide access to research data, scientific results, the object of which is a human being, to obtain informed consent from them in accordance with the recommendations of the World Medical Association Declaration of Helsinki: Ethical Principles for Medical Research Involving Human Subjects.
- 6.11. The University recommends members of the University academic community to take into account that identifying information in research findings, including the name and initials of persons, shall not be presented in written descriptions, indicated in photographs and diagrams, unless this information is essential for scientific purposes and in case of providing access to it, the informed consent and/or consent of the personal data subject has been obtained.

7. INTRODUCTION OF OPEN SCIENCE PRINCIPLES IN UNIVERSITY'S EDUCATIONAL ACTIVITIES

- 7.1. The Vice-Rector for Scientific and Educational Work and his/her subordinate units are responsible for the introduction of open science principles in University's educational activities.
- 7.2. The University purposefully provides access to education for all participants in the educational process, including vulnerable groups and persons with special

educational needs.

- 7.3. To ensure high-quality education, the University provides students with open access to all of its educational resources and educational and methodical materials published by the University.
- 7.4. To ensure open access to educational and methodical materials and interaction between all participants in the educational process, the University is developing its own learning online ecosystem. The University has organized and supports the Institutional repository to accumulate, systematize, store and provide long-term open access to electronic versions of educational and methodical materials, scientific works, qualifying papers, etc.,
- 7.5. Educational and methodical materials created by the University staff for use in the educational process shall generally have a digital object identifier (DOI, Digital Object Identifier), be publicly available and distributed in open access under open Creative Commons licenses (CC-BY or CC-BY-SA) if this does not violate the current legislation on intellectual property. If such learning resources are created in cooperation with employees of other institutions, the cooperation agreement shall specify which parts of the content (exercises, exam questions, teaching materials, audiovisual materials of their own production) can be made available in accordance with this Policy.
- 7.6. Open educational resources are published and made available via University's publishing platforms. Additionally, they can be distributed via the University's institutional repository and other external open access platforms.
- 7.7. The scientific results of students are available under the conditions specified in this Policy.
- 7.8. Qualifying papers of students, except for papers with restricted information, are published in open access in the institutional repository of the University.

8. INTRODUCTION OF OPEN SCIENCE PRINCIPLES IN UNIVERSITY'S SCIENTIFIC ACTIVITIES

- 8.1. The University strives to provide unimpeded access to scientific results without any financial, legal and technical obstacles within the legislation of Ukraine and its powers.
- 8.2. The University promotes scientific research by providing open access to its research infrastructure to national and foreign scientists.
- 8.3. All scientific findings of the University shall be made publicly available immediately after their publication under a standard open Creative Commons license (CC-BY – Attribution or CC-BY-ND/NC – Attribution - NonCommercial – No Derivatives).
- 8.4. The University recommends members of the University academic community to publish the results in the form of a scientific article, scientific report and monographic research in authoritative international scientific publications on the open access terms.
- 8.5. The University, if necessary, ensures the acquisition of intellectual property rights

to scientific findings and their licensing. Free access to scientific findings requiring the protection of intellectual property rights is provided after obtaining security documents.

- 8.6. Members of the University academic community are obliged to provide unimpeded access to scientific results published in scientific publications distributed by subscription using self-archiving publications in the institutional repository of the University in accordance with the terms and conditions specified in the publishing policy of a particular publication.
- 8.7. If members of the University academic community cooperate with employees of other institutions, this Policy applies to the part of the scientific result obtained by University representatives, unless there is a special agreement otherwise.
- 8.8. The terms of access stipulated by these agreements shall apply to the scientific results obtained in the course of research under the agreements.
- 8.9. University scientists are recommended to publish the research findings in accordance with the open access principles as far as possible. Open access publication of reports on the research results (R&D) and grants (hereinafter referred to as R&D) financed from the budget as well as theses is mandatory. Exceptions are works containing restricted information, the publication of which in the public domain is carried out in accordance with the current legislation.
- 8.10. The published scientific results shall contain information about the source of funding for the research and any conflict of interest.
- 8.11. It is reasonable to publish the results of unsuccessful experiments and projects provided that it is of scientific interest or prevents wastage of resources through repeated research.
- 8.12. Scientific publications of members of the University academic community shall contain information on the contribution of each author to the research in accordance with the CRediT taxonomy of roles of research participants (<https://credit.niso.org/>).
- 8.13. All scientific publications of University scientists shall contain a statement (information) on the availability of research data.
- 8.14. All scientific publications of the University support the open access policy and are published using CC BY licenses.
 - 8.14.1. Access to research data of the University is provided in compliance with the FAIR principles. Therefore:
 - 8.14.2. The University recommends researchers to draw up data management plans at the initial stage of the study, which provide how the data will be processed in accordance with the FAIR principles.
 - 8.14.3. Research data of the University shall be stored in electronic form.
 - 8.14.4. Access to research data is provided via the institutional data repository of the University for free reuse, preservation and distribution provided that the source is properly cited and to confirm scientific results presented in the form of a scientific report, scientific article, scientific report, monographic study, etc.
 - 8.14.5. Research data of the University can additionally be placed in other data

repositories intended for joint archiving of data from different institutions.

- 8.14.6. Restrictions on access to research data of the University can be stipulated for cases determined by the legislation of Ukraine and/or special agreements on the distribution and use of these data.

9. PROMOTION OF OPEN SCIENCE, RAISING AWARENESS AND DEVELOPING COMPETENCE IN OPEN SCIENCE

- 9.1. To achieve goals and objectives stipulated by this Policy, one shall raise awareness and develop competence in open science among all members of the University academic community.
- 9.2. Promotion, raising awareness and developing competence in open science can be conducted in the following areas:
- inclusion of open science topics in educational components;
 - academic staff advanced training;
 - educational events (recommendations, consultations, seminars, round tables, trainings, etc.);
 - public discussions;
 - social and promotion campaigns (installations, exhibitions, flash mobs, quests, etc.);
 - open science research.
- 9.3. Members of the academic community are motivated to actively apply open science practices, in particular, by taking such activity into account when assessing scientific and academic achievements, rating the academic staff and students and individual structural units.
- 9.4. Achievements in the adoption of open science practices (in particular, open access to publications and data, contribution to open peer review, development of open educational resources) are taken into account when concluding contracts, promotion and tenure.
- 9.5. When assessing scientific and academic achievement of the University, structural units and individual employees of the University, one takes into account only scientific results presented in the open science infrastructure of the University according to the requirements of this Policy.