APPROVED BY
Acting Rector's Order No.26/1.1-3/164 of 21.10.2026

RISEBA University of Applied Sciences

PROCEDURE FOR THE IMPLEMENTATION OF OPEN SCIENCE PRINCIPLES

Issued in accordance with Paragraphs 53 and 74 of the Constitution of RISEBA University of Applied Sciences

I. General Provisions

1. This Procedure determines how RISEBA University of Applied Sciences (hereinafter – RISEBA) implements the principles of open science, including ensuring open access to scientific publications and research data, research data management and the availability of research results, while respecting intellectual property rights.
2. The purpose of this Procedure is to promote the implementation of open science principles at RISEBA by ensuring the traceability, accessibility and reproducibility of the research process throughout the research life cycle from the development of an idea to the dissemination and reuse of results, by establishing a uniform approach for RISEBA structural units, researchers and research support staff.
3. This Procedure has been drawn up taking into account:
   - 3.1. the Law on Scientific Activity[1];
   - 3.2. the Copyright Law[2];
   - 3.3. Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation)[3];
   - 3.4. Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013[4];
   - 3.5. Cabinet Regulation No. 409 of 1 July 2025 "Regulations for the Implementation of Measure 1.1.1.6 'Digitalisation of Scientific Activity and Participation in the European Open Science Cloud' of Specific Support Objective 1.1.1 'Strengthening Research and Innovation Capacity and Introducing Advanced Technologies in the Common R&D System' of the European Union Cohesion Policy Programme 2021–2027"[5];

[1] Law on Scientific Activity: https://likumi.lv/ta/en/en/id/107337
[2] Copyright Law: https://likumi.lv/ta/en/en/id/5138
[3] https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32016R0679
[4] https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32021R0695
[5] https://likumi.lv/ta/id/361670 (in Latvian)

3.6. Commission Recommendation (EU) 2018/790 of 25 April 2018 on access to and preservation of scientific information[6];

3.7. the UNESCO Recommendation on Open Science (2021)[7];

3.8. the Latvian Open Science Strategy 2021–2027[8];

3.9. the Constitution of RISEBA (NL 0001), the Regulations of the Scientific Council (NL 0037), the Regulations on the Conditions for the Publication of Research Results by Academic Staff (NL 0079) and the section of the RISEBA Accounting Policy "Procedure for Organising Management Accounting for the RISEBA Scientific Institution".

4. This Procedure is binding on RISEBA structural units, researchers and research support staff and applies to all research activities carried out with RISEBA institutional affiliation, irrespective of their source of funding.

5. This Procedure applies to scientific publications, research data and metadata collected, generated or used in the course of research activities, as well as to other research results produced with RISEBA institutional affiliation.

6. Where research is funded by third parties or the funder lays down specific requirements, the requirements of the funder, the contracts and the applicable laws and regulations shall be complied with, while ensuring openness as far as possible in accordance with the principle "as open as possible, as closed as necessary"[9].

7. Access to research results may be restricted where necessary for reasons of national security, personal data protection or research ethics, for the fulfilment of contractual obligations towards cooperation partners or funders, or for the protection of intellectual property including commercial secrets. Any restriction shall be proportionate and shall be justified in the data management plan, the contract or another document.

II. Terms Used

8. The following terms are used in this Procedure:

8.1. **open licence** – a licence by which the author or rightholder permits a work or data to be freely used, reproduced and distributed on condition that the author is credited, for example, Creative Commons Attribution 4.0 (CC BY 4.0);

8.2. **open access** – free, immediate and permanent online access to scientific publications and other research results without financial, legal or technical barriers, subject to copyright. Gold open access means publishing a work in open access on the publisher's online platform; green open access means depositing a version of the publication in a repository;

8.3. **open science** – an approach to the scientific process that ensures the public availability of publications and research data in digital format without restrictions or with minimal restrictions, as well as the involvement of society in the research process;

[6] https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32018H0790

[7] https://unesdoc.unesco.org/ark:/48223/pf0000379949

[8] https://www.izm.gov.lv/lv/media/17069/download (in Latvian)

[9] The principle is enshrined in Regulation (EU) 2021/695 of the European Parliament and of the Council (see footnote 4).

8.4. **DataverseLV** – the Latvian national research data repository in which RISEBA has an institutional collection (https://dv.dataverse.lv/dataverse/riseba);

8.5. **data management plan (DMP)** – a document describing the creation, collection, processing, storage and use of research data, covering the timeline and the ethical and legal aspects, as well as the arrangements for data availability after the end of the research;

8.6. **depositing (self-archiving)** – placing a scientific publication, or research data and the related metadata, in a repository, carried out by the author or a person authorised by the author without the intermediation of the publisher;

8.7. **e-infrastructure** – an online environment enabling the shared use of research resources (hardware, software, data storage and information) in order to foster cooperation and more efficient research;

8.8. **embargo** – a period set by the publisher during which the full text of a publication is held in closed access in a repository and is not freely available, while the metadata of the publication are publicly available;

8.9. **FAIR principles (Findable, Accessible, Interoperable, Reusable)** – guidelines for those involved in the creation and management of research data, intended to maximise the use of research data. FAIR data are:

8.9.1. **findable** – the data are described with rich metadata, registered or indexed in a searchable resource (for example, the European Open Science Cloud (EOSC)) and assigned a persistent identifier;

8.9.2. **accessible** – a mechanism for accessing the data is defined, including through authorisation or a specific protocol; the metadata remain accessible even when the data are no longer available;

8.9.3. **interoperable** – widely used formats, data and metadata standards and clear references to related data, datasets and scientific results are used;

8.9.4. **reusable** – rich metadata, documentation and conditions for reuse (a licence) are provided;

8.10. **institutional affiliation** – the indication of RISEBA in a scientific publication, dataset or other research result as the author's place of work or as the institution at which the research was carried out;

8.11. **metadata** – standardised data describing a publication, dataset or other digital object;

8.12. **persistent identifier (PID)** – a permanent reference to a publication, dataset, software, researcher, organisation or other digital object that ensures its unambiguous identification and findability, for example, DOI, ORCID or ISBN;

8.13. **research data** – information, other than a scientific publication, that is collected or generated in the course of research and used in the research process or required to validate research results;

8.14. **research data management** – the part of the research process in which research data are planned, organised, structured, described with metadata, stored, curated and preserved in the long term;

8.15. **researcher** – RISEBA academic and research staff, doctoral students and other persons carrying out research with RISEBA institutional affiliation;

8.16. **public funding** – state and local government budget funds, as well as funds from the European Union and other international funding programmes, granted for research at RISEBA;

8.17. **repository** – a digital platform that ensures the storage of scientific publications and/or research data and their metadata, the assignment of persistent identifiers and long-term availability;

8.18. **scientific publication** – a published result of scientific research: an article in a scientific journal, a scientific book (monograph), an edited volume, an article or chapter in a collection of articles or in a scientific book, or a publication in conference proceedings.

III. Basic Principles of Open Science

9. RISEBA recognises openness as a fundamental principle with regard to the information and results used and generated in research, and establishes open access to:

9.1. scientific publications;

9.2. research data.

10. RISEBA observes the principles of transparency, reproducibility, collaboration and contribution to society, and considers the following to be good practice:

10.1. open methodology, ensuring the verifiability and reproducibility of research results;

10.2. open-source software and digital tools that can be freely used, examined and improved;

10.3. open peer review, which fosters the transparency, quality and accountability of the research process;

10.4. open educational resources that are publicly available and adaptable for educational purposes;

10.5. science communication, which fosters understanding of research results among the public, industry and policymakers;

10.6. citizen science – research carried out by members of the public in cooperation with, or under the guidance of, scientists and scientific institutions.

11. This Procedure does not restrict academic freedom, including a researcher's right to choose the research topic, methods and place of publication, provided that the open access requirements laid down in this Procedure are complied with.

IV. Open Access to Scientific Publications

12. Open access to scientific publications ensures free, unrestricted and timely access to scientific information, fosters the circulation of knowledge, improves the quality and traceability of research, reduces the duplication of research and promotes innovation.

13. Scientific publications shall be published in open access on the publisher's online platform (gold open access) and/or deposited in a repository (green open access).

14. The researcher shall deposit the full text (the publisher's version or, where permitted by the publisher, the author's peer-reviewed accepted manuscript) and the metadata of each scientific publication published with RISEBA institutional affiliation in the RISEBA collection in DataverseLV or in another trusted open access repository that assigns persistent

identifiers (for example, Zenodo), as soon as possible and no later than one month after publication.

15. Where the publisher imposes an embargo, the full text of the publication shall be deposited in closed access, ensuring that the metadata are available immediately and that the full text becomes openly accessible once the embargo expires. Researchers are advised to choose publication outlets that allow immediate open access or an embargo not exceeding 12 months and, when concluding an agreement with a publisher, to retain the right to deposit the publication in a repository.
16. The researcher shall submit the metadata of the publication, including the persistent identifier and a link to the open access full text, to the RISEBA Research Department for inclusion in the National Scientific Activity Information System (NZDIS) and in the RISEBA annual report on scientific activity. The researcher is responsible for submitting the information in a timely and complete manner.
17. Each researcher shall have an ORCID identifier showing RISEBA institutional affiliation and shall use persistent identifiers (ORCID, DOI, etc.) to ensure the traceability, visibility and international recognition of research results.
18. Researchers are advised also to deposit publications published before this Procedure enters into force, as well as other research-related materials.
19. The RISEBA scientific journals "Journal of Business Management" and "ADAMarts" are published in open access under the open licence CC BY 4.0 and are made available on the RISEBA journals platform (https://journals.riseba.eu).
20. Open access publication costs may be included in research project budgets where the funder's rules so permit.
21. The evaluation of scientific activity carried out in accordance with the Regulations of the Scientific Council shall take into account whether scientific publications are available in open access.

V. Open Access to Research Data and Research Data Management

22. Research data that underlie scientific publications or have been generated with public funding, together with their metadata and documentation, shall be deposited in a repository that assigns a persistent identifier to the dataset (for example, a DOI), allows an open licence to be selected and ensures long-term availability. RISEBA recommends using, as a priority, the RISEBA collection in DataverseLV or internationally recognised repositories in the relevant field.
23. Research data and their metadata intended for long-term preservation and reuse shall comply with the FAIR principles as far as possible.
24. Research data shall be made public in accordance with the principle "as open as possible, as closed as necessary", in compliance with the requirements of laws and regulations, academic integrity, research ethics, personal data protection, intellectual property rights and the protection of trade secrets. Before publication, personal data shall be anonymised or pseudonymised, or access to them shall be restricted.

25. For projects implemented with public funding, and wherever the funder so requires, a data management plan shall be prepared within the time limit set by the funder or, where no time limit has been set, no later than three months after the start of project implementation. The data management plan shall set out the principles for data acquisition, processing, storage, access, sharing and long-term preservation and shall be updated to reflect changes during project implementation. For other research, preparing a data management plan is recommended.

VI. Availability of Research Results and Intellectual Property Rights

26. Research results that do not give rise to intellectual property rights shall be disseminated by RISEBA in open access in accordance with Chapters IV and V of this Procedure.

27. Undertakings that can exert a decisive influence on RISEBA, for example in the capacity of its shareholders, and persons related to them shall have no preferential access to the research capacity of RISEBA or to the research results generated by RISEBA. Such undertakings may obtain RISEBA research services, research results or rights thereto only on the same terms as other persons and at market price.

28. Where a research result may be eligible for protection as intellectual property, the researcher shall inform the Research Department before making it public. Publication may be postponed for the period necessary to assess the need for protection and to file an application for protection.

29. Where RISEBA alienates or licenses intellectual property rights that it owns, it shall ensure equal treatment of all interested parties: the rights shall be alienated by public auction or at market price (cost plus a reasonable profit, public auction or effective, documented negotiations).

30. In collaborative projects and contract research, intellectual property rights and access to research results shall be laid down in a written agreement. Agreements may not grant any advantages to the undertakings referred to in Paragraph 27 of this Procedure.

31. The Research Department shall keep a record of intellectual property generated as a result of RISEBA research and shall document decisions on its use, licensing or alienation.

VII. Implementation and Monitoring

32. The Vice-Rector for Science and Development shall coordinate the implementation of this Procedure, issue methodological guidelines for its application, compile information each year, when preparing the RISEBA annual report on scientific activity in NZDIS, on the share of publications available in open access and of deposited datasets, inform the Scientific Council and the Rector accordingly, and prepare proposals for improving this Procedure.

33. The Research Department shall advise researchers on open access, copyright and open licences, research data management and data management plans, administer the RISEBA collection in DataverseLV and compile publication metadata for the NZDIS report.

34. The Library shall provide researchers with information support on open access options, publishers' policies and databases.

35. Deans, heads of strategic research directions and project managers shall, within their competence, monitor that researchers:

35.1. deposit scientific publications and submit their metadata;

35.2. comply with open access requirements;

35.3. prepare data management plans;

35.4. observe the FAIR principles;

35.5. comply with funders' requirements.

36. RISEBA shall provide the human resources, e-infrastructure (including the RISEBA collection in DataverseLV, the RISEBA journals platform and the services of the Higher Education and Science IT Shared Services Centre (VPC)) and information support, including training and consultations, necessary for the implementation of this Procedure.

VIII. Closing Provisions

37. This Procedure shall enter into force on the day of its approval.

38. The obligation laid down in Paragraph 14 of this Procedure shall apply to scientific publications published after this Procedure enters into force.

39. This Procedure shall be reviewed at least once every two years.

Prepared by: V. Kaže, Vice-Rector for Research and Development

Translation from Latvian. In the event of any discrepancy between the language versions, the Latvian text shall prevail.