

English translation for the public

by Thomas Dewis

Policy on Open Access to scientific literature.

Foreword

Open Access is a movement born within the academic world to promote the sharing and dissemination of scientific knowledge through free access to research results. This movement is supported by the European Union and, in Italy, by the CRUI (Conference of Italian University Rectors), which has been active in supporting Italian universities in the process of adaptation with interventions aimed at the implementation of policies and regulations on Open Access to scientific literature.

The University of Padova embraces the principles of full and open access to scientific literature and promotes the free online dissemination of research results produced in the University, in order to ensure the widest possible dissemination, as defined in its Statute [Title III, Art. 56, Paragraph 3].

Since November 2004, with the adhesion to the "Berlin Declaration for Open Access to Scientific Literature" on the occasion of the Messina Conference on Open Access, the University of Padova has been supporting the principles of full and open access to data and products of scientific research, encouraging their deposit in the institutional repository and their communication to the public, in compliance with the laws concerning intellectual property, confidentiality and protection of personal data, as well as the protection, access and enhancement of cultural heritage [Statute, Title III, Art. 56, Paragraph 4].

This policy implements the EU Commission Recommendation of 17 July 2012 on access to and preservation of scientific information (2012/417/EU) in OJEC L 194/39 of 21 July 2012 in which, among other things, the EU Commission calls on academic institutions, through the Member States, to define and implement policies for the dissemination of scientific publications and open access to them, as well as policies for the long-term preservation of scientific publications.

In addition, the EU has made it mandatory to publish the results of EU-funded research in Open Access mode since the 7th Framework Programme - OA Pilot and subsequently with the Horizon 2020 programme. Subsequently, similar provisions were issued by the Italian Government with Law no. 211¹ of 7 October 2013 and by the Academic Senate of the University of Padova, in its session of 3/06/2013²

Policy Open Access - Definitions

"University" or "Athenaeum" means the University of Padova.

"Author" means a member of the University, in any capacity affiliated with the University, such as, for example, a tenured professor or researcher, a contracted professor, a grant-holder, a doctoral student, a member of the technical-administrative staff, a student, who is the author or co-author with one or

more individuals, including those from outside the University, of a contribution to the scientific literature.who is an author or co-author together with one or more subjects, also external to the University.

"Commission" means the commission referred to in this Policy.

"Open Access" means, for the purposes of this Policy, a form of "Open Access" or "Free Access" publication as defined below.

Free Access" means the publication of a Contribution of scientific literature accompanied by the free, irrevocable and universal concession to all users of the right of access to the Contribution, the right to distribute, transmit and display it publicly and the right to produce and distribute works derived from it in any digital format for any responsible purpose, subject to the authentic attribution of authorship, as well as the right to reproduce a limited number of printed copies for their own use.

"Free access" means the publication of a Contribution of scientific literature accompanied by the free, irrevocable and universal grant to all users of the right of access.

"Contribution to scientific literature" or "Contribution" means any intellectual work in the form of a text including data such as images, videos, tables, drawings and formulas that has been submitted for evaluation by the relevant scientific community, or accepted/published in scientific journals or series after review by recognised experts in the field or editorial boards. The definition of Contribution includes, by way of example, articles in scientific journals, conference proceedings, monographs and book chapters, doctoral theses, working papers, exhibition catalogues, editions of excavations, critical editions or editions of books containing the results of scientific projects, patent texts, geological and geographical maps.

"Editorial digital version" means the digital version of the Contribution of scientific literature edited and published by the publisher.

"Final Referenced Digital Version" means the final digital version accepted by the publisher that incorporates the results of the referencing process but has not yet been edited by the publisher and does not bear the publisher's logos or trademarks (post-print).

OAI-PMH (Open Archives Initiative Protocol for Metadata Harvesting) archive means an archive using the OAI-PMH open access protocol intended for the deposit and publication of scientific research products (e.g. Padova@research).

By "Institutional Archive of scientific production" or "Archive" we mean the UniPD institutional Archive intended to receive:

- the descriptive bibliographic metadata of the Contribution
- the self-archiving of the Contribution in the version accepted or published by the publisher in the best possible format;
- the Contributions submitted for discussion to the scientific committee of reference;
- information on the editorial contract relating to the Contribution.

"Metadata" means the basic metadata (descriptive and structural) and the metadata linked to the context (e.g. administrative-management information relating to departmental affiliation, SSD, etc.) of a Contribution to the scientific literature.

By "Open Access Publication" we mean a Contribution of Scientific Literature published in a journal or other publishing venue, such as a book series:

- originally published in a journal with open and immediate access, according to the "Gold Road";
- originally published in a journal and made available in Open Access after an embargo period defined by the publisher, according to the "Green Road", or in the "Editorial Version" or in the "Referenced Digital Version", in the best possible format.

Institutional archive of scientific production

The Institutional Archive of scientific production has been set up to house the University's contributions.

The Archive is:

- supported by OAI-PMH protocol;
- equipped with advanced functions for the registration, certification, dissemination and preservation of the Contributions over time;
- interoperable with the MIUR databases;
- indexed by the main generalist and specialist search engines that guarantee maximum dissemination and visibility of the deposited materials;
- complies with the best practices and international technical standards for the preservation of Contributions over time;
- takes into account the guidelines of the Open Access Group of the CRUI Libraries Commission.

The University, for internal and external evaluation exercises, takes into consideration only and exclusively the Contributions registered in the Archive.

Commission for Open Access to Scientific Literature

In order to implement Open Access policies, the University establishes the Commission for Open Access to Scientific Literature, composed of representatives from the University Centre for Libraries and the Research Observatory.

The Commission, in consultation with the competent statutory bodies of the University:

- reviews and updates this Policy and ensures its implementation, using working groups where appropriate;
- organises training and awareness-raising initiatives on Open Access.

Deposit of scientific production in the institutional repository

As soon as the Author is informed of the acceptance of their contribution by a journal or other publishing house, they are obliged to begin the procedure of deposit in the Archive. At the same time the Author proceeds directly, or with the support of the University, to deposit in the Archive the "Editorial digital version" or, if this is not available, the "Final refereed digital version" of the contribution complete with all the basic metadata and those related to the relevant context.

The University will do its utmost to make all contributions deposited in the archive open access, in accordance with the provisions of copyright law and the contracts stipulated with publishers.

Publication in the institutional archive of scientific production

When the Contribution of scientific literature is deposited in the Archive, the procedure for checking and verifying the intellectual property rights and the status of the rights on the same Contribution is started, in particular any incompatibility between the publication and other rights, such as those of collecting *royalties* on the marketing of the same Contribution, of confidentiality and protection of personal data or other procedures such as those for filing patent applications, in order to ask the Author for free or open access publication in the shortest possible time in the Archive and in any case not beyond the terms

defined by the institutional mandates that may be present and by the regulations in force on the subject. If the Author has free or open access rights, the University asks the Author to grant a non-exclusive, free, irrevocable and universal license to publish his contribution in the Archive with free or open access. Following the granting of the licence, the University shall immediately publish the licensed Contribution with Free or Open Access.

If the University is the owner of the copyright on the Contribution, it will immediately, at the moment of acceptance of the Contribution, publish it with free or open access in the Archive, except in cases of incompatibility with other rights and procedures.

Unless otherwise determined by the Author, texts intended to be marketed with payment of *royalties* to the Author, such as manuals, treatises and popular works, are excluded from the discipline of publication.

Doctoral theses

The rules set out in the present policy for the deposit and publication of Contributions also apply to PhD theses in implementation of the CRUI Guidelines for the deposit of PhD theses in open archives, unless otherwise provided for in the University Regulations for PhD courses, in the University Regulations for Doctoral Schools and in the announcements concerning the PhD programme.

In any case, the deposit of the PhD thesis in the Archive is a necessary requirement for admission to the final examination and fulfils the obligation of legal deposit in the National Libraries of Rome and Florence. Doctoral theses are published in free or open access, at the end of the career or at the latest within thirty-six months of being deposited in the Archive, as agreed by the author with the appropriate offices.

Copyright management

The University

- assists Authors in the management of copyright for free or open access in the Archive;
- recommends that authors reserve the rights for Open Access publication in the Archive when they begin the process of publishing and entering into contracts with publishers;
- supports authors in retaining rights essential for depositing in the Open Access Archive and other rights useful for teaching and research;
- prepares model contracts for Authors' copyright management with third parties, such as licences to publish and addenda to publishing contracts;
- prepares a Guide for the management of copyright aimed at open access;
- promotes agreements with publishers for the purpose of Open Access publication on the Archive.
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Promotion of Open Access publications

The University develops a policy for the promotion of Open Access publications and, where possible, in consultation with other institutions, agrees with publishers on the terms and conditions for achieving this. To this end, it organises periodic training initiatives on Open Access for Authors, as well as public events, such as conferences and seminars, to raise awareness of the Open Access principle.

As part of its strategy aimed at qualifying the scientific production of the University's researchers and making open access easier, the University is committed to removing obstacles, including financial ones, that hinder the open access policy.

Monitoring the implementation of the Open Access policy

The University constantly monitors the status of implementation of this policy with regard to both the deposit and publication of Contributions to the Archive and Open Access Publications. This is in order to improve both procedures and actions to promote and raise awareness of Open Access.

Annually, the Commission will produce a report on the state of implementation of this policy, suggesting possible modifications.

Final provisions

This policy shall enter into force as of June 2015.

¹LAW no. 112 of 7 October 2013. Conversion into law, with amendments, of the decree-law of 8 August 2013, no. 91, containing urgent provisions for the protection, enhancement and revitalisation of cultural and tourism assets and activities. (13G00158) (OG n.236 del 8-10-2013) Entry into force of the measure: 09/10/2013

²SA of 03/06/2013: Resolution relating to item 3/02 on the agenda: Calls for proposals for university research projects and junior research grant projects. Projects for Junior Research Grants - Year 2013 and adjustment of the Plan for the Financing of University Research to allow the approval of the acts of the CPJ by the Department Council.