

**POLITECNICO DI MILANO**



## **University Policy on Open Access to Scientific Literature**

### **Introduction**

The Politecnico di Milano promotes the implementation of the principle of Open Access, in observance of what is set out in article 4 of its own Statute, in which it states that 'The Politecnico di Milano promotes full and open access to knowledge and the free circulation and widest possible distribution, including digitally, of teaching, cultural and organisational content' (article 4), and as defined in the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities of October 2003, signed by the Politecnico with the signing of the Messina Declaration of 2004.

The principle of open access aims to strengthen international dissemination of scientific research, to reduce duplication of scientific studies, to reinforce interdisciplinary research, transfer of knowledge to companies and transparency to the public, to make the use of scientific contributions more effective for educational ends and to guarantee preservation of scientific production over time.

There are two paths to achieve open access to scientific research: publication of research contributions by archiving in open repositories for public consultation (Green Road); or publication of research contributions in open access journals that are free for the user (Gold Road).

The herein policy applies the EU Commission Recommendation dated 17 July 2002, on access to scientific information and on storing it (2012/417/EU) in GUCE L194/39 dated 21 July 2012, in which the EU Commission asks the academic institutions in member states to draw up and implement policies for the diffusion of scientific publications and open access.

This policy applies the Decree Law dated 8th August 2013, finally approved by Parliament on 3rd October 2013 and converted with amendments by Law no. 112 dated 7th October 2013.

### **Work Group**

The Work Group on open access to scientific literature is set up, comprising at least two members of the professors' library services technical-administration staff, one for each of the two areas of the university's scientific credentials, appointed

by the Senate: the group must have technical archiving and intellectual property rights management skills.

The work group is responsible for applying this policy. In particular it takes care of and supervises archiving and publication of contributions and relative metadata in the institutional archive. It provides technical and legal aid to the authors and monitors application of the policy.

### **Institutional archive of contributions to scientific literature**

The archive responds to best practice and international technical standards for open access, in particular for the interoperability of archives and for long-term storage of contributions to scientific literature, takes into consideration the CRUI Libraries Commission Open Access Group guidelines and is interoperable with the Research Register and the MIUR databanks.

### **Archiving and Publication in the Institutional Archive**

The authors must feed the Politecnico di Milano research product catalogue by entering metadata, the digital copy of the contribution and other required information, that will automatically go into the institutional archive.

When the author is notified of his contribution being accepted, he **must start up the archiving procedure**.

On filing his work, the author issues the university with a free, irrevocable, universal, non-exclusive licence to publish his contribution in open access in the institutional archive, notwithstanding the cases of incompatibility with other rights (publishers' copyright policies) and procedures (patents) to be noted or the possibility of waiver to publication by the author or one of the co-authors in other terms permitted in the case of publicly-funded works.

### **Filing procedure**

The Author proceeds directly, or with the help of the work group, with self-archiving the permitted editorial version in the institutional archive, via the research registry, favouring the **final refereed version** in the institutional archive, with all basic metadata and linked to the context it belongs to.

When the author files his contribution, the work group checks the state of the copyright on the same contribution and any incompatibilities between open access publication and other rights (e.g. receiving royalties on commercialisation of the contribution, confidentiality and/or protection of personal data, or other procedures such as the ones for filing patent applications).

If the author has open access rights and therefore has not ceded exclusive economic exploitation rights for the work, but is the owner of the right to communicate it to the public, the university then asks the author for an irrevocable, universal, non-exclusive licence to be granted to itself

to publish his contribution in open access

in the institutional archive and **immediately publish** the contribution in open access.

If the author intends to transfer the exploitation rights for the work to third parties, the authors should do this with publishers who permit self-archiving, even if after an embargo period that does not exceed **18 months** if they are journal articles. In these cases, it will still be possible to file the contribution in the repository, foreseeing a period during which the full text cannot be seen, but when the metadata can be consulted.

When the rights have already been transferred in exclusive form, the publisher can be asked for authorisation for filing via an Addendum to the publishing contract.

If the author **waives** publication explicitly and the motivations come under the ones allowed in the event of public funding, the contribution will remain "closed access".

### **Support, monitoring and promotion**

With the help of the work group, the university:

- helps authors with managing copyright aimed at open access in the institutional archive;
- prepares contract models aimed at managing copyright by authors with third parties, such as, for example, public licences (so-called licence to publish) and attachments to publishing contracts (so-called Addendum);
- draws up a guide for copyright management aimed at open access;
- promotes the stipulation of agreements with publishers aimed at publication in open access or free of charge in the Institutional Archive;
- draws up a funding policy for open access publications;
- constantly monitors the state of implementation of the policy, producing statistics about research product visibility and a report on the implementation of this policy, suggesting strong points and weak points in it.
- organises regular training initiatives on open access for the authors.
- organises public events, such as conferences and seminars, increasing awareness of the open access principle.

### **Departments**

The Departments that may have particular needs can integrate this policy with specific addenda.

### **Final provisions**

This policy will enter into force on 1st October 2014

The work group refers annually to the Senate about application of the policy. The policy will be reviewed every three years.

## Definitions

**"Author"** means a member of the university who is the author or co-author of a contribution to scientific literature.

**Contribution** means the scientific publications subject to evaluation for university scientific credentials.

**"Work group"** means the work group established by the herein policy.

**"Open Access"** means a form of publication as defined below:

"Free Access" : publication of a contribution with the free granting of access rights to all users of the right to distribute, transmit and publicly show it and the right to produce and distribute works deriving from it, and the right to reproduce a limited quantity of printed copies for personal use.

"Free Access" : publication of a contribution with free granting of access rights to all users.

**"Closed Access"** means the form of filing the scientific literature in the institutional archive that makes the publication accessible/visible only to the author and authorised university staff.

**"Publishable digital version"** means the digital version of the edited contribution published by the publishing company.

**"Final refereed digital version"** means the final digital version accepted by the publisher that integrate the results of the refereeing process but that has not yet been edited by the publisher and bears no logos or trademarks of the publisher.

**"institutional Archive"** means [RE.PUBLIC@POLIMI](mailto:RE.PUBLIC@POLIMI) (Research Publications at the Politecnico di Milano), the university's Open Archives Initiative (OAI) Protocol for Metadata Harvesting (PMH) destined to receive and publish the products of scientific research.

**"Metadata"** means the description and structural metadata, and the metadata connected with the context that it belongs to (e.g. information about which department it belongs to, etc.) for a contribution.

**"Open Access Publication"** means a contribution published in a magazine or another open access publishing site.

**Non-exclusive licence:** means that the author maintains full control of copyright and can therefore transfer it to a publisher if required.