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## UNIVERSITY OF CAGLIARI

# UNIVERSITY POLICIES ON OPEN ACCESS TO SCIENTIFIC AND ACADEMIC RESEARCH

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## 1. Principles

**1.1** In compliance with Article 7 of the Code of Ethics and Conduct<sup>1</sup>, the University of Cagliari promotes the implementation of the principle of Open Access as defined by the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities* of October 2003, to which this University adhered by signing the Messina Declaration in 2004.

**1.2** The principle of open access corresponds to the constitutional values of promoting the development of culture, scientific and technical research as well as to protecting academic freedom. In particular, it aims to increase the dissemination of scientific research at national and international level, to make research products available to those who do not have access to paid distribution systems, to reduce the duplication of scientific studies, to strengthen interdisciplinary research, the transfer of knowledge to businesses and transparency towards the public, to make more efficient use of scientific contributions for teaching purposes and to ensure the preservation of scientific production over time.

**1.3** This document implements the EU Commission Recommendation of 17 July 2012 on access to and preservation of scientific information (2012/417/EU), in which the European Committee calls on academic institutions to define and implement policies for the dissemination of, and open access to, scientific

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<sup>1</sup> [https://www.unica.it/static/resources/cms/documents/Codice\\_adottato\\_DR.pdf](https://www.unica.it/static/resources/cms/documents/Codice_adottato_DR.pdf)



publications, as well as policies for their long-term preservation. These guidelines also implement Article 4 of Law No. 112 of 7 October 2013.

## 2. Basic concepts and definitions

“**Author**” means any member of the University of Cagliari or person affiliated to it in any capacity, who is the author or co-author with one or more persons from inside or outside the University of a contribution to the scientific/academic literature.

“**Contribution to the scientific literature**” or ‘Contribution’ or ‘output’ means any piece of research.

By ‘**green road**’, we mean the publication of contributions in open access repositories, institutional or disciplinary, in the form permitted by publishers.

The ‘**golden road**’ refers to the publication of contributions in journals or other scholarly publishing venues that are always open access.

The ‘**red route**’ or ‘**hybrid**’ refers to the open access publication of a contribution in a subscription journal through the payment of a fee called APC (*Article processing charge*) by the author or institution.

A ‘**pre-referenced digital version**’ or preprint is defined as a contribution that is unedited and not yet approved by a review process.

‘**Referenced digital version**’ or ‘postprint’ or ‘author accepted manuscript’ (AAM) refers to 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 any logos or trademarks.

‘**Editorial Digital Version**’ or Version of Record (VoR) means the digital version of the contribution in the form in which it is published by the publisher.

‘**Metadata**’ refers to descriptive (bibliographical) and structural data, and data related to the context (e.g. departmental affiliation of the author, etc.) of a contribution.

‘**Open Access**’ (OA) means a form of ‘Open Access’ or ‘Free Access’ publication, as defined below.

‘**Free access**’ means the publication of a contribution with the free, irrevocable and universal grant to all users of the right of access, the right to reproduce a limited number of copies for their own personal use, and the right to distribute, transmit and publicly display it and to produce and distribute works derived from it in any digital format for any responsible purpose, provided it is accompanied by authentic attribution



of intellectual authorship.

The use of contributions published on the Institutional Archive may be governed by a Creative Commons licence.

**‘Free access’** : the publication of a contribution to the scientific literature accompanied by the free, irrevocable and universal grant to all users of the right of access, in accordance with the law and the contracts signed between author and publisher.

An **‘embargo’** means a pre-determined period of time during which the contribution is only accessible to the author, authorised university staff and the bodies responsible for evaluating the research results.

**‘Closed access’** means storage with an embargo of indefinite duration.

**“Institutional Archive of Scientific/academic Research Output”** or ‘Archive’ means the archive conforming to the OAI-PMH (*Open Archives Initiative for Protocol for Metadata Harvesting*) standards.

### **3. University Committee for Open Access to Scientific/academic Literature**

**3.1** The University Committee for Open Access to Scientific and academic Literature has been integrated into the Open Science Committee, as reported in article 3. of the document ‘University Policies on Open Science’.

### **4. Working Group on Open Access to Scientific/academic Literature**

**4.1** The Working Group on Open Access is established by order of the Director General to scientific and academic literature composed of technical, administrative and library staff with expertise in the fields of librarianship, information technology, copyright and research evaluation.

**4.2** The Working Group provides technical support to the Committee in the application of these policies, monitors the deposit and publication of contributions and related metadata in the Institutional Repository, and provides support to Authors in the management of copyright for Open Access in the Institutional Repository.

**4.3** The Working Group, where necessary, makes use of additional professional expertise.

### **5. Implementation of Open Access to Scientific/academic literature**

**5.1** The university pursues the goals of open access:

- through the establishment and maintenance of the institutional repository of UNICA



IRIS research output;

- through the publishing services of its own publishing house UNICApres and the management of the platform for UniCA Open Journals.

Whenever possible, the university shall grant incentives and negotiate favourable conditions for open access publication with scientific/academic publishers.

**5.2 Institutional Archive of Scientific Research Output UNICA IRIS** UNICA IRIS is the institutional archive of the University and is intended to receive:

- the descriptive, administrative and bibliographical metadata of the contribution;

- the contribution in its digital version.

- The Archive shall:

- meet international best practices and technical standards on Open Access; in particular, it must meet the OAI-PMH standard for interoperability of Open Access repositories;

- meet best practices and international technical standards for the preservation of scientific and academic research output over time;

- is indexed by the main generalist and specialised search engines, ensuring maximum dissemination and visibility for the deposited materials.

For the purposes of internal evaluation aimed at distributing research funds, the University shall only consider research production whose metadata and digital copy have been entered in the Institutional Archive. Through the Committee and with the help of the Working Group, the University may experiment with the use of new measurement criteria and research indicators, bibliometric and webometric, based on Free Access.

Once the contribution has been accepted for publication, the author is required to initiate the deposit procedure in the Institutional Archive which will involve:

- including all bibliographic metadata useful for locating and citing the contribution itself;

- depositing the digital copy of the product in the version allowed by the publisher for open access dissemination. By making the digital copy available, the Author authorises the University to provide access to the public free of charge.

If a copy of the editorial version is already deposited in a disciplinary open repository or open access journal, the indication of the relevant URL is sufficient.

When depositing the digital copy of the contribution, the Author should be supported by the Working Group and shall verify:

- intellectual property rights, contractual obligations and the manner in which the contribution was published by the publisher;

- any incompatibilities to free or open access publication in the Institutional Archive, such as refusal by the publisher, receipt of royalties, confidentiality and protection of personal data or other procedures such as applying for registration of patents;

- the duration of the embargo period, if any, in accordance with current legislation and the provisions of the licences and contracts stipulated with publishers.

- that the metadata of the contributions are visible in open access at the end of the procedure.

If, once the above checks have been carried out, it is not possible to make the deposited contribution open access, it will be closed but may be reproduced and distributed solely



for the internal evaluation of the University of Cagliari and for the evaluation carried out at national level by the authorities appointed for this purpose. Further details will be provided in specific Guidelines.

### 5.3 UniCAPress

Through open access publication, UNICAPress (the university publishing house) aims to ensure the widest visibility and dissemination of its own or external research output.

The means by which UNICAPress ensures its authors achieve these goals are as follows: the monograph production line divided into 4 different sections (Research, University, Communication and Education) and the journal hub called UniCa Open Journals that only hosts journals practising OA.

Both journals and monographs are hosted and managed via dedicated software platforms that make it easy for the various editorial boards and series boards not only to manage the editorial flow, but above all to manage *peer reviews*.

For the *hosting of series*, monographs, *peer review* and publication of individual articles in journals, UNICAPress does not provide APCs.

The texts are always published under a *Creative Commons (CC)* licence and attributed the freest forms of licence (generally CC-BY-SA) in order to facilitate research and free use of the data.

Publishing with UNICAPress allows its users to walk the ‘golden path’ of OA.

## 6. Doctoral thesis

6.1 The provisions of this policy also apply to doctoral theses, in implementation of the Guidelines for the deposit of doctoral theses in CRUI open archives.

6.2 The deposit of the doctoral thesis in the Institutional Archives is a prerequisite for admission to the final examination, replaces the submission of the thesis in paper form and fulfils the obligation of legal deposit in the National Libraries of Rome and Florence. Doctoral theses are published in Open Access or Free Access, at the end of the doctoral course, at the latest 36 months after the discussion, according to the author’s expressed wish.

## 7. Copyright Management

7.1 Through the Working Group, the University provides support to Authors in the management of copyright with a view to Open Access on the Institutional Archive.

7.2 Through the Working Group, the University advises authors to reserve their rights for open access publication in the archive when they initiate the process leading to publication and contracting with publishers.

7.3 The Working Group prepares contract templates for the proper management of copyrights by Authors with third parties, such as *licences to publish* and addenda to publishing contracts for Open Access publishing.



7.4 The Working Group prepares a Copyright Management Guide for Open Access.

7.5 Through the Working Group, the University, promotes the stipulation of agreements with publishers for the purpose of free or open access publication in the Institutional Archive.

## **8. Monitoring of policy implementation**

The Working Group constantly monitors the status of implementation of these policies both with regard to depositing and publication in the Institutional Archive and with regard to Open Access Publications by compiling statistics that are made available to the Committee.

The Working Group produces and sends regular reports to the Committee on the status of implementation of these policies, suggesting strengths and weaknesses.