

University Policy on Open Access to Scientific Publications

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<https://www.polito.it/sites/default/files/2023-05/Policy%20OA%20emanata%20DR%2087-2019.pdf>

Foreword

Open Science promotes a responsible and qualitative academic research that is both collaborative and transparent in all its stages - from the production of results to their validation, dissemination and evaluation - thanks to the increased immediate and broad sharing of knowledge made possible by digital technologies. Doing open science multiplies the opportunities for analysis, validation, and reuse of scientific research results, supporting their reproducibility and interdisciplinarity and accelerating the progress of scientific research. Enhancing the accessibility of research results-in the form of publications, data and open-source software valorises and preserves scientific cultural heritage, creates conditions for more inclusive and fair science, and may facilitate technology transfer. With the free communication of its scientific knowledge, the University makes its intellectual wealth fully available to society, strengthening its propulsive role in innovation and economic growth and as a cultural stimulus to citizens and institutions, in a perspective of mutual growth of society and science.

Politecnico di Torino believes that the principles and tools of Open Science are an opportunity for the University's research to grow, with important spin-offs in the educational sphere and its broader cultural mission. In the context of research, the Politecnico di Torino aims to give a strong boost to the culture and practice of Open Science by its academic community starting with the definition of policies to promote, raise awareness and support the openness of scientific publications, data and software.

Part I – General Principles and Aims

Section 1 – General Principles

Politecnico di Torino, as established in Art. 4. 8 of its Statute, which states that “Politecnico di Torino embraces the principles of full and open access to scientific literature and promotes the free online dissemination of the results of research produced in the University”, upholds the actuation of the principle of Open Access as defined by the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities* (October 2003), signed by Politecnico di Torino through the affiliation to the *Messina Declaration* of 2004.

The principle of open access responds to our constitutional high values of promoting the development of culture and scientific and technical research, as well as protecting academic and scientific freedom. In particular, it aims to enhance the national and international dissemination of scientific research, to improve its quality, to reduce the amount of duplication of scientific studies, to increase interdisciplinary research and mutual knowledge even within the University itself, to expand the transfer of knowledge to business and transparency to the public, to make more efficient the use of scientific research for teaching purposes, and to promote the long-term preservation of scientific production.

This policy:

- applies the EU Commission Recommendation of April 25, 2018 on access to and preservation of scientific information (2018/790/EU) in GUCE No. 134/12, May 31, 2018 in which, among other things, the EU Commission calls on academic institutions, through its Member States, to define and implement policies for the dissemination of scientific publications and open access to them as well as policies for their long-term preservation;
- also enacts Art. 4, paragraphs 2, 3 and 4, of the law No. 112 of October 7, 2013 in GU No. 236 of October 8, 2013, which converted with amendments Law No. 91 of August 8, 2013, “*Disposizioni urgenti per la tutela, la valorizzazione e il rilancio dei beni e delle attività culturali e del turismo*” (Urgent provisions for the protection, enhancement and revitalization of cultural heritage and activities and tourism), which regulates open access to scientific articles;
- accepts the recommendations of the Commissione Biblioteche (Libraries Commission) - the CRUI Open Access Group for the drafting of university regulations for open access to publications and for the deposit of doctoral theses in open archives;
- promotes the fulfillment of open access obligations under the research funding programs of the European Commission and the Italian Ministry of University and research (MUR).

Section 2 – Definitions

In this policy, we assume the following definitions:

“Contribution to the scientific literature” / “contribution” to indicate any text (which may include images and/or scientific data related to the text) that has been accepted or published in editorial venues with scientific value and has been subject to review or evaluation by acknowledged experts in the field i.e., essays, scholarly journal articles, conference proceedings, monographs and book chapters, curatorships, patents, PhD thesis.

“Author” a member of the Politecnico di Torino in any capacity affiliated with it such as, for example, professor, researcher, adjunct faculty member, research fellow, doctoral student, who is an author/author or co-author also together with other researchers outside the University of a work of authorship that constitutes a contribution to the scientific literature.

“Open Access” means an **“Libre open access”** or **“Gratis open access”** form of publication as defined below:

- **“Libre open access”**: the publication of a contribution to scientific literature accompanied by the free, irrevocable and universal grant to all users of the right to access it as well as the right to distribute, transmit and publicly display it and the right to produce and distribute works derived from it in any format for any responsible purpose, subject to the authentic attribution of intellectual property.
- **“Gratis open access”** means the publication of a contribution accompanied by the free, irrevocable and universal grant to all users of the right to access it as well as the right to reproduce a limited quantity of copies for their own personal use.

“Institutional Repository” an interoperable digital archive according to the OAI-PMH (Open Archives Initiative Protocol for Metadata Harvesting) protocol, i.e., the Politecnico di Torino Repository designed for the deposit, preservation and dissemination of scientific research products.

“Pre-print version” means the digital version of the contribution before being submitted to the “peer-review” process or some other scientific quality control mechanism.

“Author's post-print version or Author's Accepted Manuscript” is the final digital version of the contribution, resulting from the “peer-review” process, but not yet graphically processed by the publisher and does not show logos or trademarks of the publisher.

“Publisher's post-print version or Version of record” the digital version of the contribution published and processed by the publisher, which graphically features the logos or trademarks of the same publisher.

“Metadata” means both the basic metadata (descriptive and structural) and all the others context-related metadata (e.g., administrative/management information related to departmental affiliation, funding body, if any, etc.) linked to a contribution to the scientific literature.

“Open Access Publication” a contribution to the scientific literature in a journal or book or other publishing venue whose full text is made available open access.

“Embargo” period of time during which open access to the contribution is suspended even if it is already deposited in the Institutional Repository.

Section 3 - Aims

This policy is intended to give a practical application to the principles of open access by making the contributions to the scientific literature produced by affiliates of the Politecnico di Torino as effectively and widely accessible as possible, and by promoting the conscious participation of the entire academic community in this pursuit by implementing incentive and promotion policies while publishing and evaluating them.

To achieve open access, Authors of the Politecnico di Torino are invited to publish their contributions following the so-called Open Access Roads:

- **“green road”**, i.e., Self-archiving of the contribution in the Institutional Repository, where it is published in open access, eventually after an embargo period;
- **“gold road”**, i.e. Publication in an open access publishing venue with immediate self-archiving in the institutional repository.

Part II – Tools and Human Resources

Section 4 – Open Access Working Group

The administrative and management unit responsible for the execution of this policy is the Library and Museum Division (BIBLIOM).

A working group dedicated to support the implementation of Open Access policies (hereafter, “OA Working Group”), coordinated by the Rectoral Advisor for Open Science, involving academic and technical-administrative members of the faculty and staff, is established.

The OA Working Group is composed of:

- Central Administration and Departmental employees with specific expertise in the field of librarianship and evaluation;
- one Open Access academic representative from each department.

The OA Working Group works in collaboration with the offices of the Central Administration dedicated to support for research and technology transfer, evaluation, and IT services, making use of additional professional expertise where necessary, e.g., in intellectual property and doctoral programs.

The OA Working Group takes care of the certification activities, rights management, and publication as referred to in Articles 5 and 6 below, provides operational guidelines to assist and support Authors in the management of copyright. It also provides training and awareness-raising (Art. 12) and promotion (Art. 11) of open access and is responsible for monitoring the status of advancement of this policy (Art. 13).

Section 5 – Open Access University Commission

The Politecnico di Torino Open Access Commission (hereinafter “OA Commission”) is hereby established. The OA Commission is composed of:

- the Vice-Rector for Research
- the Vice-Rector for Quality
- the Rectoral Delegate for Culture and Communication
- the Rectoral Advisor for Open Science
- the Departmental Academic Liaisons and Contact Persons who are members of the OA Working Group
- the Head of the administrative reference unit (BIBLIOM) and the Heads of the Research area and the Quality and Evaluation service, who, in agreement with the General Manager, may involve staff from the technical, administrative and library areas with specific expertise, as required by the topics discussed.

The OA Commission has the following tasks:

- formulate proposals for implementing the open access principle;
- define proposals for the promotion and support of open access publication;
- to have relations with external institutions that promote open access;
- review and update this policy and operative guidelines;
- organize training and awareness-raising initiatives on open access;
- evaluate any requests from Authors in derogation of the University policy in Article 7 below.

The Rectoral Advisor for Open Science coordinates the OA Commission.

Section 6 – Institutional Repository

Politecnico di Torino makes use of its Institutional Repository PORTO@Iris to enact this policy. The practical management of PORTO@Iris (deposit, validation and open access publication of contributions) is carried out through a module of the Institutional Research Information System, that is, the Research Catalogue - IRIS.

PORTO@Iris ensures access and visibility to the publications of the academic community of the Politecnico di Torino, enhancing the scientific activity of the University and increasing the image and status of both researchers and the institution.

Deposit in the Institutional Repository ensures the long-term preservation of the University's scientific output and makes it available for effective skills mapping and internal and external evaluation processes.

The Institutional Repository meets international best practices and technical standards for open access and preservation of contributions over time. The Repository is indexed by major generalist and specialized search engines, which ensure maximum dissemination and visibility to upload materials, and is interoperable with MUR databases and the European Commission's IT infrastructure for open access deposit and publication, OpenAire (<https://www.openaire.eu/>).

Part III – Implementation modalities

Section 7 - Deposit and publication on the Institutional Repository

Politecnico di Torino facilitates Authors in the process of open access publishing, asking them to grant the University a non-exclusive, free, irrevocable and universal license to publish open access their contribution deposited in the Institutional Repository, with the exception of cases of incompatibility with other editorial rights and the possibility of waiver of publication by the Author under the terms allowed in the case of works financed by public funds.

The Author shall - at the moment of acceptance of the contribution for publication and in any case no later than the effective publication - deposit in the Institutional Repository the metadata of the contribution and the "post-print publisher"s version.

If the publication is not immediately open access the Author is also expected to deposit the “author's post-print” version or Author’s Accepted Manuscript. At the time of deposit, the Author grants Politecnico di Torino a free, universal, non-exclusive license to disseminate the metadata, to hold a digital copy of the contribution, and to make it public - in the best possible version - at the end of the checking procedure and at the end of any embargo period.

Concurrently, the Author gives a mandate to the OA Working Group to intervene on metadata and attachments to guarantee compliance with quality standards and to verify the copyright status of the contribution. During the course of this procedure, the Author is asked to provide, if needed, additional information including the digital copy in the pre-print version (if there’s no post-print) for open access publication.

Politecnico di Torino, through the OA Working Group, makes contributions deposited in the Institutional Repository public whenever possible, in accordance with copyright law and contracts with publishers. The Author may submit a reasoned request to the OA Committee for any exceptions (e.g., documented refusal of a coauthor from outside the University).

Section 8 – Copyright management

The University provides assistance to Authors in the management of copyright aimed at free Open Access, in the Institutional Repository. For this purpose, the OA Working Group in accordance with the OA Commission provides contract templates and guidelines for Authors' copyright management and negotiation with publishers.

Authors are encouraged to always be aware of the rights they are giving up to the publisher and, when negotiating copyright with the publisher, to reserve the right to make their contribution available in open access. For this purpose, the University provides the Authors with an attachment (Addendum) to be added to any agreement of assignment of rights with a publisher, which specifies that the Author reserves for him/herself the right to deposit a digital copy of the contribution in the Institutional Repository and to grant the University a non-exclusive, fee-free, irrevocable and universal license to publish the work in the same archive with open access in the procedures defined in Article 7.

The Addendum is prepared in line with the recommendations of the European Commission. Authors are expected to propose the Addendum to the publisher in all cases in which the contribution documents the results of research carried out thanks to funding provided by national, European and/or international institutions to ensure compliance of any embargo period with the provisions of the call. The Addendum must also be proposed for all grants that document results of research funded fifty percent or more by public funds (Law No. 112 of 2013).

The University through the OA Commission and the OA Working Group promotes the conclusion of agreements with publishers aimed at open access publication in the Institutional Repository.

Section 9 – Ph.D. thesis

The regulations set in this policy for the deposit and publication of contributions are also valid for doctoral theses except as otherwise provided in the University Regulations on Doctoral Research and in the announcements regarding the Ph.D. program. The deposit of the doctoral

dissertation in the Institutional Repository is a necessary requirement for admission to the final examination, replaces the delivery of the dissertation in paper format, and fulfills the obligation of legal deposit in the National Libraries of Rome and Florence.

Doctoral dissertations are typically published in open access upon the completion of the doctoral career or with a maximum embargo of twelve months. Further exceptions to this time period may be granted by the OA Commission after consultation with the College of the Doctoral School.

Doctoral dissertations are made visible in open access under a Creative Commons license.

Section 10 – Research Evaluation

Politecnico di Torino considers Open Access an added value for research evaluation processes and recognizes the connection between Open Access and the evaluation process as an essential part of the commitment to Open Access.

For internal evaluation activities, Politecnico di Torino considers only contributions deposited in the Institutional Archive, complete with metadata and Open Access or restricted access attachment.

Upon proposal of the OA Commission, Politecnico di Torino reserves the right to arrange incentives during internal evaluation for Authors who apply the principles of open science to their contributions.

Upon the proposal of the OA Commission, Politecnico di Torino reserves the right to experiment with the use of new qualitative and quantitative research evaluation criteria, as well as new bibliometric and webometric indicators based on open access contributions.

Section 11 – Promotion of Open Access publication policies

On the proposal of the OA Commission, Politecnico di Torino develops a policy for funding immediate open access publications, according to the "gold road".

Politecnico di Torino promotes the adoption of immediate open access policies for journals and book series published by the University, as well as the creation of new journals and book series with immediate open access, preferably using open-source software and potentially by establishing an open access "University Press".

Section 12 – Training and awareness initiatives on the principle of Open Access

Politecnico di Torino:

- ensures a constant activity of information, training and updating addressed to Politecnico di Torino staff in relation to the issues of open access and the instrumental resources to support it;
- also promotes public initiatives of recognition to the authors, as well as to the staff involved in support activities, for the use of the open access publication mode;
- organizes public events, such as conferences and seminars, to raise awareness about the open access principle.

- To strengthen the position in support of open access and to facilitate the circulation of information produced by the University, Politecnico di Torino - whenever possible
- publishes its content, starting with that hosted by the institutional website, under Creative Commons licenses.

Section 13 – Follow-up

The OA Working Group and the OA Commission continuously monitor the implementation status of this policy, both regarding the deposit and publication of contributions in the Institutional Repository and concerning Open Access publications, in order to improve procedures, training activities and actions to promote Open Access.

Periodically, the OA Commission, supported by the OA Working Group, produces a report on the status of implementation of Open Access at the University, useful for updating and revising this policy as well as for framing the actions undertaken and the results achieved in the national and international context.

Part IV - Final Dispositions

This policy is effective from June 1, 2019.