



LIBERA UNIVERSITÀ INTERNAZIONALE DEGLI STUDI SOCIALI GUIDO CARLI

UNIVERSITY POLICY ON OPEN ACCESS TO SCIENTIFIC PUBLICATIONS

Approved by the Academic Senate on June 30, 2015 and in the following session on July 5, 2016

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1. INTRODUCTION

LUISS Guido Carli, in compliance with articles *B.1.8. Research and teaching* and *C.1.3. Behavior code for instructors and researchers* of its *Code of Ethics*, promotes the principle of Open Access as defined by the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities signed in October 2003, to which the University adhered with the Messina Declaration in 2004.

The principle of open access responds to the highest constitutional values to promote cultural, research and technical development, as well as safeguard academic freedom. In particular, the principle aims: to strengthen the dissemination of scientific research on an international level, to decrease duplication of scientific studies, to strengthen interdisciplinary research and the transfer of knowledge to businesses, to increase transparency to the public, to make studies more useful to teaching, and to guarantee conservation of research production.

This policy applies the July 17, 2012 recommendation of the European Commission regarding access to scientific information and its conservation (2012/417/UE) in GUCE L 194/39 on July 21, 2012, in which, among other issues, the EU Commission asked through Member States that academic institutions put in place policies for the publication of scientific publications and open access to them, as well as policies for long-term conservation of scientific publications.

This policy also takes into account Article 4, clauses 2, 3 and 4, of Law 7 of October 2013 n. 112 that converted (with modifications) DL August 8, 2013 n.91 “Urgent Orders on the Protection, Promotion, and Relaunching of Cultural Activities and Tourism,” which regulates open access to scientific articles.

2. THE UNIVERSITY’S SCIENTIFIC BOARD

A Scientific Board has been instituted for open access to LUISS research contributions.

Members of the Board are: the Rector or his/her delegate, four professors or four full researchers that represent the University’s current Departments, the Director of the LUISS Library or his/her delegate and a member of LUISS University Press.

The Board:

- defines policies to make open access possible;
- reviews and updates current policy;
- maintains relationships with institutions outside the University that promote open access;
- organizes educational and awareness initiatives on open access;
- resolves controversies that may arise regarding interpretation of the policy.

3. TECHNICAL WORKING GROUP

A Working Group has been instituted for open access to the University’s scientific literature.

Members of the group are: two members of the LUISS Library technical-administrative personnel, skilled in the field of Library Science with technical skills in open access issues. They are coordinated by the Director of the LUISS Library.

The Working Group may, when necessary, consult with experts within the University community in the field of information technology and law.

The Working Group is responsible for applying current policy. Specifically, the Working Group: offers technical assistance to the Board, manages and monitors the deposit and publication of scientific literature and relative metadata to the Institutional Repository, offers technical and legal support to authors, and monitors policy application.

4. LUISS INSTITUTIONAL REPOSITORY (IR) OF CONTRIBUTIONS TO SCIENTIFIC LITERATURE

The Repository adheres to international best practices and technical standards on open access, particularly regarding interoperability of open access archives (standard OAI-PMH) and long-term conservation of contributions to scientific literature.

The IR is equipped with advanced features to register, certify, disseminate and conserve contributions.

The IR takes into consideration the guidelines of the Open Access Group of the CRUI Library Board for the creation and management of metadata, established on February 22, 2012.

The IR currently constitutes the Research Information System and is interoperable with MIUR databases and the European portal, *OpenAIRE*.

The IR is the only database for data on the University's scientific production, responding thus to the University's objectives regarding promotion and dissemination of products of scientific research performed by scholars within their institutional activities, in order to increase visibility and impact on both the national and international levels.

5. DEPOSIT TO LUISS INSTITUTIONAL REPOSITORY

Upon notification of acceptance to a journal or other editorial form, an Author is required to begin the Institutional Repository deposit procedure.

Authors can initiate procedures autonomously, or with the assistance of the Working Group:

- to insert bibliographic metadata that identifies a Contribution for referencing and citation, that will be made permanently visible through open access to the IR;
- to deposit digital versions of a Contribution.

It is advisable to deposit the publisher's version (the final and definitive version) of a published text. Alternatively, it is possible to deposit postprint versions (texts approved by the publisher that have not yet received an editorial layout), or preprint version (the last version prior to publisher approval).

6. PUBLICATION IN LUISS INSTITUTIONAL REPOSITORY

By depositing a contribution into the Repository, the Author authorizes the University free, universal, non-exclusive rights to release metadata, to keep a digital copy of the contribution in an authorized version for long-term conservation and internal evaluation procedures, and to make it public when possible while respecting relevant laws and/or individual contracts.

If an Author has open access rights, the University recommends that the Author concedes a non-exclusive, free, irrevocable and universal license to publish the licensed contribution on the Institutional Repository with open access. Upon receiving license, the University will immediately publish the licensed contribution with open access.

Upon an Author's conclusion of deposit procedures, the Working Group will initiate the validation procedure, regarding:

- verifying and completing bibliographic metadata;
- managing intellectual property rights;
- potential dissemination of metadata and the corresponding digital version.

Regarding the second point, when an Author deposits a Contribution, the Working Group verifies the status of the author's rights regarding the Contribution and potential incompatibilities between an open rights publication and other rights (royalties rights, reserved rights, protection of personal data, or other procedures such as depositing patent applications.)

At the end of the verification process, the Working Group will, when possible, publish the contribution with open access in the version authorized by publishers. Depending on the results of the procedure and management of intellectual property rights, the contribution will either be immediately published or subject to embargo.

If an Author does not have open access rights, or if publication in the Archive is incompatible with other rights and procedures, the contribution will still be deposited in the Archive with closed access.

When exclusive rights apply, an Author can request authorization to deposit through an *Addendum* in the publishing contract or through contractual framework made available by the Working Group.

The Working Group lastly implements the obligatory deposit for contributions of research financed with public funds and for all other cases in which it is required.¹

7. DOCTORAL THESES

The current policy on depositing and publishing contribution also applies to Doctoral Theses, unless otherwise indicated in specific regulations or calls for applications, in accordance with guidelines on depositing doctoral theses in CRUI open archives.

Nevertheless, candidates are required to deposit Doctoral Theses in the Institutional Repository in order to be admitted to the final exam. This absolves candidates from the obligation to submit a hard copy of the Thesis as well as legal deposit requirements in the National Libraries in Rome and Florence.

Doctoral Theses defended from 2008 to present date are deposited with open access at the end of the candidate's career, with exceptions for justified embargo requests made within 12 months of the defense, according to procedures outlined in guidelines and by the Academic Senate during the May 28, 2009 session:

"In accordance with the 2003 Berlin Declaration on open access to scientific literature, according to guidelines for depositing doctoral theses in open archives, established by the CRUI in October 2007 and according the MIUR circular letter n. 1746 dated July 20, 2007, the Academic Senate declares that starting in 2008, doctoral theses will be published in the University Open Archive. The LUISS Library will fulfill all requirements regarding the legal deposit of documents, guaranteeing conservation and public consulting of research produced through LUISS Guido Carli Doctoral Theses."

¹ In particular, this refers to peer-reviewed scientific articles financed by the pilot project on Access del **VII Framework Programme** (FP7, special clause 39 of the Grant Agreement) and those financed by **Horizon2020** (H2020, § 29.2 Open access to scientific publications).

Starting in 2010, full-text versions of Research Doctoral Theses will be compulsorily deposited and made available to the public through the open access Archive in order to receive the degree title:

ART. 10 – AWARDING TITLES

[...] Degree conferral is subject to a candidate's deposit of his/her doctoral thesis to the Open Access Institutional Repository within 30 days of defense, guaranteeing its conservation and public consultation. The University will in turn fulfill legal deposit requirements at the National Libraries in Rome and Florence.

8. AUTHOR'S RIGHTS MANAGEMENT

Through the Working Group, the University provides assistance to Authors regarding author's rights management and open access within the Institutional Repository.

The Working Group provides contractual framework to use in relationships with publishers in order to protect Authors' exclusive rights without penalizing visibility of research results in the Institutional Repository. The Working Group thus offers a consulting service, utilizing when necessary, both internal and external legal services. Authors are committed to using, when possible, contractual framework proposed by the University, or acknowledge their contents, and communicate to the University any difficulties that arise with publishers.

The Working Group offers a guide to the management of author's rights regarding open access and supports recipients of European and national funds to comply with related deposit requirements.

The University promotes the stipulation of agreements with editors that promote open or free access publication in the Institutional Repository through the Working Group with assistance from LUISS University Press.

9. EVALUATION

For both internal and external evaluation, the University only takes into consideration contributions deposited in the Institutional Repository. Therefore, deposit of full-text versions is obligatory.

Open access, in full accordance with author's rights laws, is fully supported by the University as a safe way to ensure maximum diffusion and citation of its works.

10. PROMOTING OPEN ACCESS PUBLICATIONS

Through the Board and with the help of the Working Group, the University develops policies that incentivize open access publication. In particular, the University encourages and supports the creation of journals and editorial series by its Departments and Research Centers.

To implement policies on open access publication, the University also relies on LUISS University Press.

11. EDUCATIONAL AND AWARENESS INITIATIVES ON OPEN ACCESS PRINCIPLES

With the assistance of the Working Group, the Board organizes periodical educational initiatives for authors on open access.

With the assistance of the Working Group, the Board organizes public events, including conferences and seminars, to promote open access awareness.

12. MONITORING AND IMPLEMENTING POLICY

The Working Group constantly monitors the implementation of policy regarding deposit and publication in the Institutional Repository as well as publications with open access, producing statistics for use of the Board.

On a biannual basis, the Working Group produces and sends a report to the Board on the status of policy implementation, suggesting both strengths and weaknesses.

13. FINAL REGULATIONS

The policy went into effect on July 1, 2015.

The Board, in agreement with the Working Group, will take into consideration defining policy and procedure on digitalization, deposit and, when possible, publication in the Institutional Repository, of contributions produced prior to the effect of the current policy.

14. DEFINITIONS

“LUISS” and “University” refer to Libera Università Internazionale degli Studi Sociali Guido Carli.

“Author” refers to a member of the University in any affiliated role, including, for example, a professor, full-time researcher, lecturer, research fellow, or doctoral candidate, that is the author or coauthor of a Contribution of scientific literature.

“Board” refers to the University’s Scientific Board, instituted by the policy.

“Working Group” refers to the Technical Working Group established by the policy.

“Contribution to scientific literature” or “contribution” refers to any text, including images, videos, tables, drawings, and formulas destined to scientific debate. The definition of contribution includes, for example, articles in journals, conference papers, books, chapters of books, doctoral theses.

“Open access” refers to a form of “free access” publication:

- “Access libre”: the publication of a contribution of scientific literature accompanied with a free, universal and irrevocable license for all users of the contribution’s rights regarding access, distribution, transmission, public display, production and distribution of deriving works in all digital formats for all purposes, subject to authentication of intellectual property, as well as the right to reproduce a limited quantity of printed copies for personal use;
- “Access gratis”: the publication of a contribution of scientific literature accompanied with a free, universal and irrevocable license for all users of the contribution’s access rights.

“Closed access” refers to deposit in the Institutional Repository of scientific literature that is only accessible/visible to the author and authorized University personnel.

“Institutional Repository of scientific literature (IR)” and “Archive” refer to the catalog of LUISS research products, currently entitled IRIS and accessible through <http://iris.luiss.it/>. The digital archive, interoperable according to international protocols, receives and publishes deposits of contributions of scientific literature and related metadata.

“Metadata” refers to basic metadata (descriptive and structural) and metadata related to the context (for example, administrative information regarding departments, SSD, etc) of a contribution of scientific literature.

“Embargo” refers to a period during which the digital version of a contribution deposited within the Repository is only accessible for internal and external evaluation, and not on the public Archive.

“Non-Exclusive License” regards authors maintaining complete control over the copyright and can transfer it to a publisher if requested.