



UNIVERSITY POLICY FOR OPEN ACCESS TO SCIENTIFIC PUBLICATIONS AND RESEARCH DATA MANAGEMENT

Definitions

“University” means the University of Macerata.

“Open Science” refers to an approach to the scientific process based on open cooperative work and systematic knowledge sharing, whereby research data, laboratory notes and other research processes are freely available, under terms that allow reuse, redistribution and reproduction of the research, its Data and the underlying methods.

“Author” or *“Researcher”* means a member of the University in any capacity whatsoever affiliated with the University, such as for example a tenured or fixed-term professor or researcher, a contract lecturer, a research fellow, a doctoral student, a member of the technical-administrative staff, a student, who is the author or co-author, along with one or more persons, including persons external to the University, of a Contribution to scientific research, or producer of research Data.

“Contribution to scientific research”, hereinafter *“Contribution”*, means any intellectual work in the form of text, images, videos, tables, drawings, diagrams, charts and formulas, which is intended for scientific debate. The definition includes but is not limited to articles in scientific journals, conference proceedings, monographs and book chapters, doctoral dissertations, working papers.

“Research Data”, hereinafter referred to as *“Data”*, refers to information generated and structured in any format within the scope of specific research conducted by the Author, necessary to validate the results. By way of example, the following are to be understood as research Data: statistics, results of experiments, facts, measurements, observations, experiences, published and unpublished sources, bibliographical references, software and coding, texts, objects from the present or the past, collected or created in digital and/or printed form, relevant to the research. Research Data can be expressed in numerical, descriptive, audio or video format or in any combination of these. They can be raw or processed.

“Open Access” means a form of open access or free access publication as defined below:

- *“open access”* means the publication of a Contribution accompanied by the free, irrevocable and universal grant to all users of the right to access the Contribution, the right to distribute, transmit and publicly display it 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 one’s own use;
- *“free access”* means the publication of a Contribution accompanied by the free, irrevocable and universal grant to all users of the right of access subject to the authentic

attribution of intellectual authorship. With free access, one does not have the right to distribute, transmit and publish the Contribution through one's own websites or institutional repositories.

Open Access can be achieved through:

- "*Green Road*" means the Open Access publication of a Contribution, originally published in a journal or other publishing venue, through the Institutional Repository, in its "Publisher's digital version" or in its "revised or post-print digital version" and made accessible even after a period of temporary closure ("embargo period") defined by the publisher.
- "*Gold Road*" refers to the method of publishing a contribution in an open and immediate access publishing venue, sometimes funded by the author or institution to cover the costs of organisation, revision, formatting and archiving.
- "*Diamond Road*" means the non-profit publication of a contribution made available online in digital format, free of charge for readers and authors (e.g. the European Commission's Open Research Europe platform). It is a model that does not allow commercial or for-profit reuse.

"*Closed or Restricted Access*" refers to the form of deposit in the Institutional Repository that makes the publication accessible and visible only to the Author, authorised personnel of the University and the Ministry of Universities and Research.

"*Creative Commons*" refers to licences that allow a flexible management of the copyright; associating one's Contribution with these licences means sharing it more widely, granting a series of rights, variously combined (attribution, non-commercial, non-derivative works, share alike).

"*Embargo*" means the period during which the Contribution is kept confidential, i.e. only accessible for internal evaluation. During the embargo, the deposited Contribution is publicly accessible only for the part relating to Metadata, as defined below.

"*Metadata*" means the basic bibliographic data (e.g. author(s), title, date and place of publication, etc.) and context-related data (e.g. administrative-managerial information relating to departmental affiliation, SSD, etc.) of a Contribution. For research Data (e.g. name, acronym and grant project number, licence conditions, persistent identifiers for publication, for authors involved in the action and, if possible, for their organisations, etc.).

"*Digital Copy*" means the contribution in digital format deposited in the Institutional Repository of scientific publications in at least one of the following versions:

- "*Pre-revised or Pre-print Digital Version*" means the digital version of the Contribution not yet submitted for refereeing;
- "*Revised or Post-print Digital Version*" means the final digital version of the Contribution, accepted by the publisher, which incorporates the results of the refereeing process, but which has not yet been edited by the publisher and does not bear its logos or trademarks;
- "*Publisher's Digital Version*" means the digital version of the Contribution, in the form in which it is published by the publisher (*publisher's version* or *version of record*).

"*Institutional Repository of scientific publications*", hereinafter "*Repository*", means the University digital repository interoperable according to international protocols and intended to receive the deposit and publication of Contributions, guaranteeing the preservation and access of deposited files and the free dissemination/distribution of the Metadata according to national and international standards.

"*Research Data Management*", hereinafter "*RDM*", refers to the process within the research life cycle that includes the collection or acquisition of Data, their organisation, curation, storage, (long-term) preservation, security, quality assurance, assignment of persistent identifiers, application of Metadata in line with disciplinary requirements, licensing, rules and procedures for their sharing. RDM is an essential element in any research project that generates, collects or reuses Data.

"*Data Management Plan*", hereinafter "*DMP*", refers to a formal working document that outlines the main aspects of the research Data life cycle from the beginning of the research. Typically, a DMP covers areas such as provenance, collection strategy, organisation, ethical and legal requirements, archiving, storage, provisions for accessing, sharing and possible deletion of the Data, both during and after a project.

"*FAIR Principles*" refers to a list of principles aimed at ensuring the optimal use of research Data. Applying the FAIR principles means making the Data *Retrievable* (identified persistently using the conventions of the relevant scientific community, and described using sufficiently rich Metadata), *Accessible* (i.e. made accessible to humans and machines), *Interoperable* (structured in such a way that they can be combined with other sets of Data), *Reusable* (licensed or with terms of use explaining how they can be reused in new research).

"*Research Data Repository*" means a digital repository recommended by the University, among those recommended by the European Commission as a "trusted repository" because it has specific organisational, technical and procedural quality features such as services, mechanisms and/or provisions that aim to guarantee the integrity and authenticity of the Data contained, thus facilitating their use and reuse in the short and long term.

"*Validation*" refers to the process carried out by library staff of checking and formally reviewing the Metadata, as well as the settings selected by the Authors with regard to Open Access, with respect to the Contributions they have submitted to the Repository.

"*Deposit Licence*" means the agreement that governs the relationship between the Author and the University when the Contribution is deposited in the Repository.

Title I

General provisions

Article 1 Principles and purposes

1. The principles of Open Science, such as sharing, fairness, inclusion, transparency, reproducibility and re-use of every aspect of research, including research Data, reflect the constitutional values of promoting scientific and technical research as well as protecting academic freedom. Specifically, Open Access to scientific literature and the sharing of data and research results promote the dissemination of scientific research and innovation, reduce the costs of duplication of data collection, strengthen interdisciplinary research, increase the impact and visibility of research, facilitate its re-use, foster potential new uses, the transfer of knowledge

to business and the communication of knowledge to civil society, make the use of scientific contributions more efficient for teaching purposes, ensure the preservation of scientific output over time and the proper attribution of intellectual authorship.

2. The University recognises and promotes the implementation of the principles of Open Science, Open Access to scientific literature, the production of open educational resources, open peer-review practices, citizen science, social networking science and the free, networked dissemination of research Contributions and Data produced at the University. It encourages the deposit of scientific publications and research data in the Institutional Repository in order to ensure the widest possible dissemination and long-term availability, in compliance with the laws on intellectual property, confidentiality and personal data protection, as envisaged in Article 1, paragraph 4, of the Autonomy Statute, Article 7 of the Code of Ethics and in line with the commitment made by adopting the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities with the signing of the Messina Declaration in 2004.

3. The University encourages the application of the rules and regulations that provide for the adoption of the principles of Open Science, in particular the EU Commission Recommendation of 17 July 2012 on access to and preservation of scientific information (2012/417/EU), the subsequent EU Commission Recommendation of 25 April 2018 on the same subject (2018/790/EU), the provisions of Article 4 of Italian Law no. 112/2013 on the adoption of measures to promote Open Access taken by public entities funding scientific research, and any other national and European provisions concerning the dissemination and publication of the results of publicly funded research.

4. Through the University Commission for Research Ethics, the University operates in accordance with the fundamental principle of research integrity as set out in the European Code of Conduct for Research Integrity. In addition to the application of the principles described in the Code of accountability, honesty, respect and responsibility, this also implies ensuring that researchers follow good research practices, including ensuring openness, reproducibility and traceability where possible.

Article 2 Promotion

1. The University implements a policy of encouraging Open Access publications in publishing contexts that are consistent with the principles of transparency and internationally recognised good practice in the processes of publishing scientific results, and promotes the conclusion of agreements with publishers aimed at Open Access publication in the Repository.

2. The University offers support and expertise in the management of research Data. It advises on the most appropriate formats to meet Data accessibility and sharing requirements and the most suitable infrastructures to accommodate the storage and preservation of the Data.

3. The University participates in the international debate on Open Science and actively contributes to its construction through the work of the national and international networks and associations of which it is a member.

4. The University provides human and instrumental resources with the aim of facilitating the success of good practices of Open Access to scientific publications and effective management of research Data, organises regular training initiatives and public events for authors, stakeholders in this field and civil society, such as conferences and seminars, to raise awareness of the principles of Open Science.

Title II
Open Access to scientific publications

Article 3
Institutional Repository of scientific publications

1. The Institutional Repository of scientific publications is the official place for the collection, validation, dissemination and preservation over time of the contributions of research carried out at the University. Access to the Repository and its contents is defined according to possible uses: access to bibliographic metadata only; restricted access to the Administration for reporting and data mining operations and for internal or external evaluation procedures; free access.

2. The Repository complies with international best practices and technical standards on Open Access and the preservation of the Contributions over time. It is indexed by major generalist and specialised search engines, ensuring maximum dissemination and visibility for the materials deposited.

Article 4
Deposit policy

1. The Author initiates the process of depositing the Contribution in the Repository upon learning of its publication by a journal or other publisher, or of its acceptance by the publisher or the University, in the case of doctoral dissertations.

2. The author proceeds directly to the deposit in the Archive by entering:

- the Contribution's Metadata, visible in Open Access;
- the Digital Copy of the Contribution in the permitted version, i.e. in the Publisher's Digital Version if permitted by the publisher, in the Revised or Post-print Digital Version, or in the Pre-revised or Pre-print Digital Version. If a copy of the Pre- or Post-print or Publisher's Version is already deposited in an open disciplinary repository, the indication of the relevant URL is sufficient.

3. At the time of deposit, by accepting the relevant Deposit Licence the Author explicitly authorises the University to publish the Contribution with Open Access, with Embargo or with Access restricted to recognised users or only to the managers of the Repository. The Author must also specify the type of licence identified (Non-public - private/restricted access, Creative Commons, DRM - Digital Rights Management not defined).

4. For internal evaluation purposes, the Contributions deposited in the Repository will be considered, including the mandatory Metadata fields and the Digital Copy. The University may grant special and restricted access authorisations to evaluators.

5. By depositing the Contribution in the Repository, the Author grants the University a free, universal, non-exclusive licence to disseminate the Metadata, to hold a digital copy of the Contribution in the authorised version for the purpose of preservation over time for internal and external evaluation procedures, and to make it public through Open Access, if permitted, or at the end of the Embargo period. Under restricted access, the Contribution is accessible in full only to those duly authorised by the University.

5. The University will make every effort to make all Contributions deposited in the Repository Open Access, subject to the provisions of copyright law and contracts with publishers.

Article 5

Publication policy

1. Following the deposit of the Contribution in the Repository, the validation procedure, consisting of the formal control and review of the Metadata, the intellectual property rights and the status of the rights thereto, is initiated by the staff of the University Centre for Library Services, as set out in point 13 below. During the course of the verification, the Author is required to provide additional information upon request.
2. Depending on the outcome of the intellectual property rights check and management procedure and following the Author's declaration, the Contribution will be immediately visible to the public, or subject to Embargo, or will remain restricted.
3. In case of Embargo, the University recommends the Author to allow a period of no more than six months, unless the publisher has a different policy, as explained in the Sherpa/RoMEO database, in cases of attestation made by the publisher itself, in cases of documented refusal by one of the co-authors, if not belonging to the University community, or for protection of the University's economic rights. Upon expiry of the embargo period, the Contribution is automatically made Open Access.
4. If the Author has the rights to grant third parties free or open access to the Contribution, they must grant the University a non-exclusive, free, irrevocable and universal licence to publish the Contribution in the Repository. Following the granting of the licence, the University immediately publishes the licensed Contribution for open or free access.
5. If the Author does not have free or open access rights or publication in the Repository is incompatible with other rights and procedures, the Contribution remains under restricted access.
6. All contributions added to the Repository are transmitted to the loginmiur database of the Ministry of Universities and Research.
7. This without prejudice to the provisions laid down for the mandatory Open Access publication of the results of research financed with EU funds and the relevant national provisions laid down in the aforementioned regulations in force.
8. The University monitors compliance with the deposit for Contributions from publicly funded research and all other cases.

Article 6

Doctoral dissertations

1. The rules provided for the deposit and publication of Contributions also apply to PhD dissertations, unless otherwise envisaged in regulations concerning PhDs, implementing the CRUI Guidelines for the deposit of PhD dissertations in open archives.

2. In any case, the deposit of the doctoral dissertation in the Repository is a necessary requirement for admission to the final examination, replaces the delivery of the dissertation in paper format and fulfils the obligation of legal deposit in the National Library of Florence.

3. The depositing of the full text of the doctoral dissertations and metadata in the Repository is carried out by the doctoral candidates, subject to verification by the technical staff referred to in Article 13.

4. Doctoral dissertations are made public in open or free access, with possible embargo until twelve months after the conclusion of studies or at the latest twelve months after the discussion.

Article 7

Edizioni Università di Macerata

1. For the implementation of the Open Access publications policy, the University can also avail itself of the services of Edizioni Università di Macerata (EUM), which operates in an integrated manner, reconciling a market strategy with the principles of Open Access, offering a catalogue of both paid and Open Access works. The texts and research papers, published after an evaluation process by the internal editorial board and anonymous external reviewers who ascertain their quality, and subjected to careful editorial care, are processed for indexing in the large online bibliographic databases.

2. Open Access contributions may be placed in the Institutional Repository and become accessible as full texts, downloadable immediately or after a temporary embargo, according to EUM's publishing policy. In both cases, Contributions will be searchable via Metadata as soon as they are deposited.

Title III

Managing research data

Article 8

Research data

1. The deposit of Data, generated and structured by one or more Authors of the University within the scope of a given research activity, in a suitable research data Repository is a necessary requirement as these Data are relevant for the verification of the reliability, correctness and reproducibility of research processes and results.

Article 9

Research data repository

1. The research data Repository, recommended by the University, one of the European Commission's "trusted repositories", has specific characteristics of organisational and technical quality. It offers services and mechanisms that aim to guarantee the integrity and authenticity of the data it contains, thus facilitating their use and reuse in the short and long term.

2. The research data Repository complies with international standards, both general and specific to the Social Human Sciences, and conforms to the FAIR Principles for correct, complete and reliable archiving.

Article 10

Deposit and publication policy

1. The Data are deposited by the Author in the research data Repository recommended by the University as soon as possible, at the latest by the deadline set forth in the DMP, after production/generation or after appropriate processing and quality control, and at the latest by the end of the project, in a correct, complete, reliable, interoperable and traceable manner, respecting its integrity and possibly with an adequate set of documentation and information, including referencing and citation of the scientific publications they refer to. Data underlying a scientific publication should be deposited at the latest at the time of publication and in line with the standard practices of the relevant scientific community.
2. The Data are managed by the Author and the University in line with the FAIR Principles, i.e. ensuring that they are accessible, identifiable, traceable, interoperable and, where possible, available for subsequent use, by taking the following actions:
 - establish a data management plan (DMP) and update it regularly;
 - deposit the Data in the research data Repository as soon as possible and by the deadlines set in the DMP;
 - by means of the deposit, ensure Open Access to the Data, as soon as possible and within the terms set out in the DMP, under the latest available version of the Creative Commons (CC BY) or Creative Commons Public Domain (CC0) licence or a licence with equivalent rights, following the principle “as open as possible, as closed as necessary”;
 - protect the legitimate interests of the Authors, including with respect to commercial exploitation and other constraints that may arise, by providing reasons in the DMP for not providing Open Access to some or all of the Data;
 - provide information via the research data Repository on any research results or any other means necessary to reuse or validate the Data.
3. The Data include raw data, insofar as this is technically possible, especially where essential to allow for re-analysis, reproducibility and/or re-use.
4. The recommended minimum duration of the Data storage period is ten years from the release of the results to the public. After this period, the Data may be deleted, unless important research interests remain. Should the Data be destroyed or deleted (due to the end of the storage period or for ethical or legal reasons), such action is taken after taking into account all ethical and legal aspects. Any deletion or destruction of Data must be traceable and its documentation accessible. At the same time, the interests of any third parties funding the research and other stakeholders must be taken into account, as well as aspects of confidentiality and security.
5. The Data are stored in compliance with the applicable laws on data protection (Regulation EU 2016/679, as implemented by Italian Legislative Decree no. 101/2018) and on intellectual property, as well as the provisions of the University By-laws and regulations, without prejudice to specific research funding agreements with third parties.
6. The Authors shall manage the Data responsibly throughout the research life cycle, ensure their proper storage and preservation in accordance with this Policy, and prepare the DMP in accordance with paragraphs 2 and 5 above.
7. The Authors are encouraged to also manage those research results, other than the Contributions and Data, in line with FAIR principles and to adequately describe the process in the DMP. Other research results may include software, algorithms, coding, protocols and workflows, among others.

Article 11
Data ownership

1. The Data generated by the Authors are the property of the University unless otherwise agreed in a separate contract between the University and its Affiliates.

Article 12
Third parties

1. Authors not affiliated with the University working under the responsibility of a University Researcher, conducting research at or in collaboration with the University and generating Data, are required to submit a written declaration of acceptance of the provisions of this Policy.

2. In the event of cooperation with another research institution and/or third parties, if Data are generated at the other institution, the University reserves the right, via written agreement, to store them in accordance with the Policy. If, on the other hand, they are produced by both or multiple research institutions, their management, archiving and access shall be governed by formal agreements with these institutions, as far as possible in line with the Policy.

3. If research is conducted on behalf of a third party and there are specific agreements concerning control, access and storage of the Data, such agreements shall prevail.

Title IV
Implementation of open science principles and organisation

Article 13
Open Science Working Group

1. The Open Science Working Group established by Rector's Decree, consisting of individuals from both the faculty and the technical-administrative staff, as outlined below:

- the Rector or a delegate thereof, who presides over the group;
- the rector's delegates in the following areas: research and related evaluation processes; knowledge and skills transfer; self-entrepreneurship; implementation of the principles of the European Charter for Researchers and Community Design; library services, information services and University document services;
- an Open Science contact person in each Department;
- members of the University Centre for Library Services, the University Information Technology Service Centre, the Grant Office, the Scientific Research and Doctoral Office and the Legal and Litigation Office.

3. The Working Group presents the Academic Senate with measures for the implementation of Open Science principles over time, proposes the revision and updating of the Policy, maintains relations with institutions outside the University that promote Open Science, and supports initiatives to raise awareness of Open Science.

4. In order to ensure the effectiveness of the research information management system, by decree of the Director General the University Centre for Library Services is entrusted with the administrative coordination of the Policy's application.

5. Where necessary, the Working Group may consider making use of additional skills and expertise.

6. The Working Group settles any disputes on the interpretation of the Policy.

Article 14
Intellectual property rights management

1. The University, also based on the guidelines drawn up by the parties identified in point 13:
 - provides assistance to Authors in the management of intellectual property rights arising from research, such as copyright management aimed at free or open access of the Contributions deposited in the Repository, copyright management aimed at the production of Data and the broader production of research results;
 - recommends that Authors reserve the rights for Open Access publication in the Repository when starting the process leading to contracting with publishers and publication;
 - supports authors in preserving rights essential for deposit in the Repository with Open Access and other rights useful for teaching and research;
 - may prepare contract templates for the management of copyrights by Authors with third parties, such as publishing licences and annexes to publishing contracts (addenda).

Article 15
Monitoring

The Working Group constantly monitors the state of implementation of the Policy, both with respect to the deposit and publication in the Institutional Repository and the research data Repository, and with respect to Open Access publications, producing statistics that are made available to the University governing bodies and suggesting improvements to them.

Title V
Article 16
Final provisions

1. Instructions and further information on deposit procedures and on Open Science and copyright issues are provided in specific supporting documents of the Policy.
2. This Policy will enter into force on the date of issue of the Rector's Decree.