



**Approved by the SISSA Senate & the Board of directors, December 13, 2016**

## **The SISSA's Regulation ON OPEN ACCESS**

### **Art. 1**

#### **Scope and general principles**

The scope of the SISSA's open access policy is to make SISSA authors' research products financed through public funds available to the public, in accordance with the principles of transparency, openness and respect for the constitutional principles of the promotion of cultural development and scientific research, as well as the protection of academic freedom. In particular, open access increases the dissemination of scientific research at national and international level, strengthens interdisciplinary collaboration, the transfer of knowledge to businesses and transparency towards citizens, renders the use of scientific contributions more efficient for the purposes of application and education, and ensures its retention over time.

The SISSA promotes the implementation of the principles of open access to scientific literature and the free distribution and dissemination of the research results produced in the School in order to ensure the widest possible dissemination of works produced by internal authors, as provided for by applicable legislation, by the school's statute and to facilitate the measurement and evaluation of research. To this end, the SISSA promotes archiving in the "SISSA Digital Library" institutional repository in compliance with Italian laws on the transparency of public data, intellectual property, confidentiality and the protection of personal data.

The SISSA encourages the publication of scientific contributions with publishers that promote the principles of open access.

### **Art. 2**

#### **Definitions**

For the purposes of this Regulation, the following definitions shall apply:

- a) "SISSA author" shall mean a member belonging to the SISSA in any capacity such as, for example, a professor or researcher, research fellow, PhD student, scholarship holder, student, technical and administrative staff, as well as staff linked to the SISSA by contracts and are the authors or co-authors of scientific literature work together with one or more internal parties or parties external to the SISSA.

- b) "Work" shall mean all of the intellectual achievements by SISSA authors that are published or accepted for publication (such as, for example, articles for periodicals, monographs with an ISBN, book chapters, convention proceedings, databases, critical or scientific publications) and preprints.
- c) "Open access" shall mean a form of publication with "libre" open access or free open access as defined below:
- "Free open access" shall mean the publication of a product accompanied by a free concession that is irrevocable and universal to all users with right of access.
  - "Libre open access" shall mean the publication of a product accompanied by a free concession, that is irrevocable and universal to all users with right of access to the contribution, the right to distribute it, transmit it and display it publicly and the right to produce and distribute works derived therefrom, in any digital format, attributing its authorship and the right to reproduce a limited amount of printed copies for their own personal use. (CC BY).
  - "Closed access" shall mean the form of archiving in the institutional repository that conceals the product and makes it accessible and visible only to the School's authorised personnel.
- d) "Open access institutional repository", shall mean the "SISSA Digital Library" interoperable digital archive, according to international standard protocols that ensure the retention of and public access to archived files and the free dissemination/distribution of metadata according to national and international standards;
- e) "Editorial digital version" shall mean the product's digital version in the form in which it is published by the publisher (publisher's version)
- f) "Final revised digital version" ("post-print") shall mean the product's final digital version, accepted by the publisher who incorporates the results of the review process but which has not yet been edited by the publisher and does not include logos or trademarks;-
- g) "Non-revised digital version" ("preprint") shall instead mean the product's non-final digital version.
- h) "Metadata" shall mean the descriptive metadata (bibliographies) and structural (data and associated files) and the metadata associated with the original context of the bibliographic information (for example, administrative and management information). These are the SISSA's property and can be used for bibliographic exchange and are not subject to protective rights.
- i) "Embargo" shall mean a period of time during which the archived contribution is publicly accessible only for the part relating to the metadata. In this period, the products are maintained with restricted access, or access for the sole purposes of internal evaluation.
- l) The "Library committee for open access" shall mean the committee established pursuant to Art. 7 of this "policy".

### **Art. 3**

#### **Institutional repository**

The "SISSA Digital Library" open access institutional repository is established for the purpose of accommodating the School's scientific research products through the IRIS ("Institutional Research Information System") system or other system that shall be adopted in future for the same purpose.

The School makes use of a single institutional repository with the task of accepting the products of SISSA authors, also to fulfil national and international regulations, directives of the research funding bodies and the ANVUR;

The Repository

- is equipped with advanced features for the registration, certification, and dissemination of the contributions;
- is interoperable with the MIUR databases; with bibliographic databases; is indexed by the main general and specialised search engines that ensure the widest dissemination and visibility of the archived products;
- responds to international technical standards for the products' retention over time.

The SISSA may use the products registered in the repository for internal and external evaluation.

#### **Art 4**

##### **Archiving in the institutional repository**

The SISSA author is obliged to start the archiving procedure in the SISSA Digital Library when informed of the publication of his/her work by a periodical or other publisher or of its acceptance by the publisher;

The author shall directly archive the editorial version in the institutional repository or, if the editorial version cannot be made public, the author shall archive, under his/her own responsibility, the "final revised digital version" or the "post-print" of the work, complete with all the basic metadata and those linked to the context;

The author shall archive the work in the institutional repository compatibly with the rights ceded to the publisher;

On the product's filing in the SISSA Digital Library, the author shall enter the essential information of the agreement with the publisher and/or a copy of the contract entered into or any other document that contains or refers to the contractual conditions exercised by the publisher ("*transfer agreement*");

The work itself shall remain in closed access until such time as the authorisation and release for the Work's publication in open access by the SISSA author is acquired by the SISSA.

The SISSA shall endeavour to render all products archived in the SISSA Digital Library in open access format, consistent with the provisions of copyright law, contracts entered into with publishers and funding bodies, and the directives of the European Community.

#### **Art. 5**

##### **Publication in the institutional repository**

Following the product's archiving in the SISSA Digital Library, the control procedure shall commence through the checking of the release, intellectual property rights and the status of rights on the same product to verify:

- a) The copyright status on the product and any incompatibility between its publication in open access format in the SISSA Digital Library and third-party rights (for example, co-authors, publishers, illustrators, exclusive licensees, etc.);
- b) The absence of incompatibility on the perception of "royalties" on the marketing of the product;
- c) Initiation procedures for the filing of patent applications;
- d) The existence of public security and national grounds;
- e) The existence of grounds for confidentiality or the presence of sensitive data.

Based on the outcome of the control procedure and the management of intellectual property rights, publication shall be immediate or subject to embargo.

In the event that the author has rights for libre and free open access, he/she is obliged to grant a non-exclusive, free, irrevocable and universal licence to the SISSA, to publish his/her own contribution in the Sissa Digital Library in "libre" or free open access, respectively.

Once the licence is granted, the SISSA shall immediately publish the licensed contribution in libre or free open access.

In the case where the SISSA is the holder of the product's copyright, it shall immediately, at the time of the contribution's acceptance, publish it in libre or free open access format in the SISSA Digital Library, save for cases of incompatibility with other rights and procedures.

## **Art. 6**

### **PhD theses**

The regulations provided under this "policy" for the archiving and publication of research products shall also apply to PhD theses, in implementation of the CRUI (Conference of Italian University Rectors) guidelines for the archiving of PhD theses in the open repositories and the resolution of the School's Senate dated 19.10.2012.

The archiving of the PhD theses in the SISSA Digital Library is an essential requirement for admission to the final examination and discharges the obligation of legal archiving at the national libraries of Rome and Florence.

## **Art. 7**

### **The SISSA Committee for open access**

The "Library Committee for 'open access'" shall mean the committee established through the resolution of the Board of Directors of 02.02.2016 with the task of dealing with issues relating to open access and the dissemination of the SISSA authors' knowledge. The Committee, in coordination with the statutory bodies of the School, defines the policies for the implementation of the open access principle, reviews and updates this "policy", maintains relations with institutions external to the School which promote open access, organises training initiatives and awareness on these topics.

The Committee verifies, resolves, and clarifies any dispute over the interpretation of this "policy".

The Committee is formed by the Director or by his/her specially-appointed substitute, by the Secretary General or his/her representative, by three professors, one for each of the School's scientific areas, by the manager of the library and by the manager of the research funding and international relations office.

The Committee may delegate certain tasks to a small sub-committee of the Library Committee which shall carry out operational activities. This sub-committee shall be composed of 3 members: a lecturer, a library member and an ITCS member and shall undertake the operational work of the SISSA Digital Library.

## **Art. 8**

### **Management of copyright**

The SISSA, through the Library Committee for Open Access and the sub-committee (Art.7), provides support to SISSA authors to enter their work in the School's institutional repository, and in the management of copyright aimed at open access.

Through the Committee, the SISSA,

- recommends to authors that they reserve the rights for publication in open access in the SISSA Digital Library at the moment in which they start the process leading to publication and the signing of agreements with publishers;
- may draw up, in collaboration with the specific internal offices of the School, model contracts for the SISSA authors' management of copyright with third parties such as, for example, publication licences ("Licences to publish") and annexes to publishing contracts (the "addendum");
- may prepare guidelines for the management of copyright aimed at open access;
- may promote the signing of agreements with publishers aimed at publication in open access.

## **Art. 9**

### **Monitoring**

Through the Committee, the SISSA may monitor the implementation status of this "policy". It may also verify the integrity of the data, logins, downloads, the entry of new work and the correction of past work, the management of rights, the retention of data and metadata, the recommendations of the research funding agencies, the technological development of the institutional repository's software, national and international copyright legislation, digital archiving standards and may provide guidance.

## **Art. 10**

### **Final provisions**

This Regulation shall enter into force on the day following the issuance of the Directorial Decree.