



ALMA MATER STUDIORUM  
UNIVERSITÀ DI BOLOGNA

## **UNIVERSITY POLICY ON OPEN ACCESS TO RESEARCH PUBLICATIONS AND DATA**

(approved by the Board of Governors on 19/12/2017; effective since 01/01/2018)

### 1. Definitions

“University” shall mean Alma Mater Studiorum – Università di Bologna.

“Research Output” or “Output” shall mean any publication and the corresponding data, including but not limited to images, videos, tables, drawings and formulas, that contributes to the scientific debate.

“Author” shall mean any University-affiliated individual on whatever basis, including but not limited to tenured professors and assistant professors, adjunct professors, research fellows, PhD students, professional staff, and students, who has produced Research Output.

“Open Access” shall mean the publication of Research Output by granting to all users a free, irrevocable and universal right of access to the Output itself, and a license to copy, use, distribute, transmit and display the Output publicly and to make and distribute derivative works, in any digital form for any responsible purpose, subject to proper attribution of authorship, as well as the right to make small numbers of printed copies for their personal use.

“Version of Record” or “Publisher’s Version/PDF” shall mean the digital version of a Research Output, fully copy-edited and published by a Publisher.

“Author’s Accepted Manuscript” or “Post-print” shall mean the final digital draft of a Research Output, which has been refereed and accepted for publication, but is yet to be copy-edited and does not include any brands or logos of the Publisher.

“Institutional Research Repository” or “Repository” shall mean the University Repository where Research Outputs and their metadata are deposited and published.

“Metadata” shall mean any descriptive, structural and administrative metadata of an Output (such as bibliographic data, subjects, author’s department).

“Green Road” shall mean the method by which an Output originally published in a journal or other publication is disseminated in Open Access via the institutional Repository, either as a Version of



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Record or as an Author's Accepted Manuscript, and made accessible after a period of time set by the Publisher, during which access is restricted ("embargo").

"Gold Road" shall mean the method by which an Output is published in a journal or other publication immediately in Open Access.

"Research Data" shall mean information in any form, which is used according to a protocol defined for a specific research activity carried out by the Author and which is necessary for the validation of their research results. Research Data shall include, among others: (positive or negative) results of any experiments relevant to the research activity, facts, observations, experiences, published and unpublished sources, bibliographic references, software and codes, present or past objects, collected or created in digital and/or paper form. Research Data may be expressed in numbers, in descriptive terms, as audio or video. Research Data may be raw or processed.

## 2. Introduction

Pursuant to Article 18 of the *Code of ethics and conduct*, the University promotes the Open Access principle as defined in the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities*, of October 2003, and in the Messina Declaration of 2004, both signed by the University of Bologna.

The Open Access principle complies with the highest constitutional values of promoting culture and research and protecting academic freedom. In particular, it aims to foster the international dissemination of research, avoid duplication of research, strengthen interdisciplinary research, transfer knowledge to business and improve transparency for citizens, make research outputs more effective for educational purposes, ensure preservation of scientific production over time and allow proper attribution of authorship.

This Policy complies with:

- 1) Commission Recommendation of 17 July 2012 on access to and preservation of scientific information (2012/417/EU) in OJEU L 194/39 of 21 July 2012, in which, among other things, the European Commission recommends that Member States – specifically, academic institutions – define



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and implement policies for the dissemination of and open access to scientific publications, as well as solutions to enable long-term preservation of research results;

2) Article 4 of Law no. 112 of 07 October 2013 (Italian Official Journal no. 236 of 8-10-2013), pursuant to which public entities that fund research are required to autonomously adopt measures that promote Open Access.

### 3. Implementation of Open Access

The University intends to implement Open Access through its Institutional Research Repository (Green Road), as well as through the publishing services of its digital library, and by offering incentives and negotiating favourable conditions for publishing in Open Access (Gold Road).

### 4. Institutional Research Repository

The Outputs created by the Authors in carrying out their institutional activities are made accessible online via the official Institutional Research Repository, which collects, stores and disseminates the University's scientific production.

The Repository complies with the best practices and national and international standards of Open Access. In particular, the Repository ensures interoperability with other Open Access repositories and complies with the best practices and technical standards for long-term storage of Outputs.

### 5. Depositing Outputs in the institutional Repository

When an Author is informed that their Output will be published in a journal or other publication, they must start the procedure to deposit their Output in the institutional Repository. As a rule, the Author will deposit the Version of Record of their Output. If this is unavailable – for instance, due to contractual restrictions – the Author's Accepted Manuscript or an un-refereed version of the Output accepted by the Publisher (in case of un-refereed publication) may be deposited instead.

As a rule, the Output must be deposited in Open Access, unless the Author is not entitled to do so. The



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Output may be made accessible immediately at the time of publishing or after an embargo period, if immediate publishing is not permitted by the Publisher.

The Output must be deposited together with all metadata.

#### 6. PhD theses

The provisions that govern deposit and dissemination of Outputs in this Policy shall also apply to PhD theses, unless otherwise provided for in the University Regulations governing PhD programmes, or in the relevant calls for applications, in accordance with the CRUI Guidelines for depositing PhD theses in Open Access repositories.

In any case, PhD students are mandatorily required to deposit their PhD thesis in the institutional Repository in order to be admitted to the final examination and obtain the corresponding qualification. By doing so, it is also fulfilled the legal deposit obligation in the National Libraries of Rome and Florence. PhD theses are published in Open Access after discussion or after an embargo period.

#### 7. Research Data

The provisions that govern deposit and dissemination of Outputs in this Policy shall also apply to Research Data.

In any case, the deposit of Research Data in a dedicated institutional repository, or in a multidisciplinary or disciplinary public repository, is a mandatory requirement whenever such data are relevant for the purpose of checking reliability, accuracy and reproducibility of processes and results of publicly funded research (i.e. public funding of 50% or more).

Research Data are stored and made freely accessible and available for reuse in an accurate, full, reliable, interoperable and traceable manner, by preserving their integrity, and are accompanied – where possible – by a suitable set of documents and information, including the citation of the scientific publications to which they refer.

Research Data must in any case be stored in accordance with the current regulations on personal data protection and copyright, with the University Statute and Regulations, and in compliance with any



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specific research funding agreements with third parties.

If no third-party rights or other legal prohibitions apply, Research Data must be covered by a free licence.

#### 8. Research monitoring and evaluation

The University uses the Institutional Research Repository to monitor scientific production and conduct internal and external assessment of research activities.

#### 9. Final provisions

This Policy shall become effective on 01 January 2018.

The procedure for depositing Outputs, as well as any organisational aspects, regulatory details, and Open Access promotion, training, awareness-raising and support initiatives, will be the subject of specific documents, which will be prepared after the 2018 experimental phase.