

INRiM

Open Access Policy

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Foreword

Open Science promotes responsible and quality, collaborative and transparent research in all its stages - from the production of scientific results to validation, dissemination and evaluation of the same - thanks to increasingly immediate and widespread sharing of knowledge made possible by digital technologies. Open Science multiplies the opportunities for analysis, validation and reuse of scientific research results, favoring reproducibility and interdisciplinary and accelerating their progress. By enhancing the accessibility of research results - in the form of publications, data and open source software - open science practice increases and preserves scientific cultural heritage, creates the conditions for a more inclusive and fair science and facilitates technology transfer. In addition, Open Science contributes to achieve the 10th and 17th goals of the UN 2030 Agenda for sustainable development, which aim to reduce the inequalities and to revitalize global partnership of the objectives, making research results accessible to all .

INRiM intends to give a strong impulse to the adoption of culture and practice of Open Science by its community, starting from the definition of promotion, awareness and support policies for the opening of scientific publications, data and software.

For the preparation of this document, INRiM was inspired by the policies of universities and other research bodies (see e.g. [Politecnico Open Access policy](#)).

GENERAL PRINCIPLES, DEFINITIONS AND PURPOSES

Art.1- General principles

INRiM supports the implementation of Open Access principles as defined by the [Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities](#). Open Access aims to enhance the national and international dissemination of scientific research, to improve its quality, to reduce the duplication rate of scientific studies, to strengthen interdisciplinary research and mutual knowledge within each research institution, to increase the transfer of knowledge to enterprises and transparency towards citizens, to make the use of scientific contributions for educational purposes more efficient and to favor the long-term conservation of scientific production.

Inspired by these principles, by the present policy, INRiM:

- applies the [Recommendation of the EU Commission of 25 April 2018 on access to scientific information and its conservation](#) (2018/790/EU) in GUCE L. 134/12 of 31 May 2018
- implements [art. 4, paragraphs 2, 3 and 4, of Law 7 October 2013, n. 112](#) in Gazzetta Ufficiale no. 236 of 8 October 2013 which converted the Decree Law of 8 August with amendments 2013, no. 91 "Urgent provisions for the protection, enhancement and revitalization of cultural assets and activities and tourism", which regulates Open Access to scientific articles;
- accepts the recommendations of the [Libraries Commission - Open Access Group of the CRUI](#) for the drafting of regulations for Open Access to publications;

- promotes the fulfillment of the obligations related to Open Access established by the research funding programs of the European Commission, by the MUR and by the ANVUR in the [Guidelines of the Evaluation of Research Quality \(VQR\) 2015-2019](#).

Art. 2- Definitions

In the context of the present policy, we intend:

- "**Contribution** to scientific literature" / "contribution": any text (possibly accompanied by images and/or scientific data related to the text) accepted or published in editorial offices with a scientific value, which has been subject to review or evaluation by recognized experts of the sector. By way of example: articles in scientific journals, conference proceedings, monographs and book chapters, curatorship, patents.
- "**Author**": a member of INRiM who is the author or co-author, also together with other parties external to INRiM, of an intellectual work which constitutes a contribution to scientific literature.
- "**Open Access**": a form of publication in "Open Access" or "Free Access" as defined below:
 - "**Free access**": the publication of a contribution to scientific literature accompanied by the free, irrevocable and universal concession to all users of the right to access it, the right to distribute, transmit and publicly display it and the right to produce and distribute works from it derivatives in any format for any responsible purpose, subject to genuine intellectual property attribution.
 - "**Access without payment**": the publication of a contribution accompanied by the free, irrevocable and universal concession to all users of the right to access it as well as the right to reproduce a limited number of copies for their own personal use.
- "**Institutional Archive**" an interoperable digital archive according to the [OAIPMH protocol](#) (Open Archives Initiative Protocol for Metadata Harvesting), i.e., the Archive of the Organization for the deposit, conservation and dissemination of scientific research products.
- "**Pre-print version**", the digital version of the contribution made publicly available before being subjected to the process of 'peer-review' or other scientific quality control mechanisms.
- "**Post-print version**", the final digital version of the contribution, which integrates the results of the 'peer-review' process, but which has not yet been graphically elaborated by the publisher and does not present logos or trademarks of the same publisher.
- "**Editorial Version**", the digital version of the contribution published and processed by the publisher, which graphically presents the logos or trademarks of the same publisher.
- "**Metadata**", the basic data (descriptive and structural) as well as data linked to the context of belonging (e.g. administrative-management information relating to personnel

membership, any funding body, etc.) of a contribution to the scientific literature.

- **"Open Access Publication"**, a contribution to the scientific literature in a journal or book or other publishing venue the full text of which is made available in Open Access.
- **"Embargo"**, the period of time during which Open Access to the contribution is suspended even if it is already deposited in the Institutional Archive.

Article 3 - Purpose

This policy intends to give concrete implementation to the principles of Open Access by making the contributions to scientific literature produced by the members of INRiM accessible in the most effective and widest possible way and by promoting the conscious participation of the entire INRiM community in this commitment.

The Authors of INRiM are invited to publish their contributions, also for the purposes of the Evaluation of Research Quality (ANVUR) to which the Statute of INRiM adheres (Art. 17), in journals which adopt a peer review process and therefore imply the approval of the international scientific community; these contributions must be published, for the implementation of Open Access, in one of the following ways:

- **"green road"**, i.e. publication in a subscription-based journal and Open Access archiving by the Author/Author of the contribution in the Institutional Archive and in disciplinary Archives (e.g. PubMed, ArXiv, etc.), in compliance with any embargo period;
- **"gold road"**, i.e. publication in an Open Access journal (immediate Open Access) and deposit in the institutional archive.

HUMAN RESOURCES AND EQUIPMENT

Art. 4 – Open Science Working Group.

The Open Science Working Group (hereinafter, "OS Working Group"), dedicated to the implementation of Open Science policies, is composed of scientific staff and technical-administrative staff of the Institution, with specific skills in the field of research and of its evaluation, computer science and librarianship.

The OS Working Group works in synergy with the Administration's and the Scientific Direction's offices dedicated to supporting research and technology transfer, to the evaluation of scientific activity, and with the IT services, recurring, where necessary, to additional competences, for example in the field of intellectual property.

In relation to the present policy, the OS Working Group resolves to the following tasks :

- formulate proposals for the implementation of the principle of Open Access;
- maintain relationships with external institutions that promote Open Access;
- review and update this Policy and its Operational Guidelines;
- survey the filing, certification activities, rights management and publication referred to

in the following articles. 6 and 7;

- prepare operational guidelines to help authors and authors and support them in the management of copyright;
- define and support activities for the promotion and support of Open Access publishing (art. 9);
- define and support training and awareness initiatives on Open Access (art. 10);
- monitor the implementation status of this policy (art. 11);
- evaluate any requests from Authors referred to in the following art. 7.

Art. 5 – Institutional Archive

INRiM makes use of its Institutional Archive [METRICA](#) (METRology Institutional CAalog) for the implementation of this policy. The operational management of METRICA (filing, validation and Open Access publication of contributions) is carried out through a module of the IT system for institutional research, i.e. the Research Catalog - IRIS.

METRICA guarantees the access and visibility of the publications of the INRiM community, enhancing its scientific activity and increasing the image and status of researchers and of the institution.

Depositing in the Institutional Archive guarantees the long-term conservation of the scientific production of the Organization and makes it available for an effective mapping of skills and for internal and external evaluation exercises.

The Institutional Archive responds to best practices and international technical standards for Open Access and conservation over time of contributions. The Archive is indexed by the main generalist and specialist search engines, which guarantee maximum dissemination and visibility to the deposited materials, and is interoperable with the Ministry of University and Research (MUR) databases and with the IT infrastructure of the European Commission for filing and publication at Open Access, [OpenAire](#).

IMPLEMENTATION METHODS

Art. 6 - Filing and publication in the institutional archive

INRiM supports the authors to comply with the process of Open Access publication, asking them to grant the institution a non-exclusive, free, irrevocable and universal license to publish their contribution deposited in the institutional archive in Open Access, with exception for cases of incompatibility with other editorial rights and with the possibility by the author to waive publication within the terms permitted for research work financed by public funds.

The Author - upon acceptance of the contribution for publication - and in any case no later than the actual publication - deposits the metadata of the contribution and the editorial version in the Institutional Archive.

If the publication is not in immediate Open Access, the Author is required to deposit the 'post-print' version as well. Upon filing, the Author grants INRiM the 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 control procedure and upon expiry of any embargo period.

At the same time, the Author authorizes the OS Working Group to intervene on metadata and attachments to ensure compliance with quality standards and to verify the status of copyright on the contribution. During the course of this procedure the Author may be required to provide supplementary information, including the digital copy in the pre-print version (in the absence of post-print) for Open Access publication.

INRiM, through the OS Working Group, makes public the contributions deposited in the Open Access Archive whenever possible, complying with the legislation on copyright and with the contracts stipulated with the publishers. The Author can submit a reasoned request to the OS Working Group for any exceptions (for example, documented refusal of a co-author/author not belonging to the Institution).

Art. 7 - Copyright management

INRiM provides assistance to the Authors for the management of copyright aimed at Open Access, free and gratuitous, in the Institutional Archive. To this aim, the OS Working Group prepares contract models and guidelines for the management and negotiation of copyrights with publishers by authors.

Authors are invited to always verify the rights granted to the publisher and, when negotiating copyright with the publisher, to reserve the right to make their contribution available in Open Access. To this end, the Institution provides the Authors with an attachment (Addendum) to be added to any rights assignment agreement with a publisher, specifying that the Author reserves the right to deposit a copy digital contribution in the Institutional Archive and to confer to INRiM a non-exclusive, free, irrevocable and universal license to publish the work in the same archive with Open Access in the manner defined in art. 6.

The Addendum is prepared in agreement with the recommendations of the European Commission. The Authors are required to submit 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 bodies to ensure compliance with any period of embargo to the provisions of the tender. The Addendum must also be proposed for all contributions that document the results of research financed for a share equal to or greater than fifty percent with public funds (Law No. 112 of 2013).

INRiM, through the OS Working Group, promotes the stipulation of agreements with publishers aimed at Open Access publication in the Institutional Archive.

Art. 8 – Research evaluation

INRiM 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.

Upon the proposal of the OS Working Group, INRiM reserves the right to provide incentives for authors who apply the principles of open science to their contributions. INRiM also reserves the right to experiment with the use of new qualitative and quantitative research evaluation criteria, as well as new bibliometric and digital indicators based on Open Access contributions.

Art. 9 – Promotion of Open Access publication policies

On the proposal of the OS Working Group, INRiM elaborates a policy for the financing of immediate Open Access publications, according to the 'golden road', also through the stipulation of transformative agreements (Transformative Agreements) with scientific publishers.

Art. 10 – Training and awareness initiatives on the principle of Open Access

To raise awareness of Open Access principles, INRiM:

- ensures constant information, training and updating activities aimed at all staff of the Organization in relation to the issues of Open Access and instrumental support resources;
- promotes public initiatives for the recognition of Authors, as well as the personnel involved in support activities, for the use of the Open Access publication method;
- organizes or participates in the organization of public events, such as conferences and seminars, to raise awareness of the principle of Open Access;
- to strengthen the position in support of Open Access and to facilitate the circulation of information produced by the institution, INRiM - where possible - publishes its contents, starting from those hosted by the institutional website, with a Creative Commons Attribution license (BY).

Article 11 - Monitoring

The OS Working Group constantly monitors the implementation status of this policy both with reference to the filing and publication of contributions in the institutional archive and with reference to Open Access publications, in order to improve procedures, training activities and actions to promote Open Access.

Periodically, the OS Working Group produces a report on the state of implementation of

Open Access in INRiM, which is useful for updating and revising this policy as well as for a framework of the actions undertaken and the results achieved at a national and international level.

FINAL PROVISIONS

This policy comes into effect on January 1, 2021.