



## University regulations for filing in the Institutional Archive and open access to scientific literature

### 1. References

1.1 The Regulation is structured based on references to the legislation and institutional documents regarding open access: signing of the Messina Declaration of 2004, which transposes the Berlin Declaration of 2003, A.S. Resolution no. 16 of 30 November 2011, EC recommendation July 2012, Law no. 112 of 7 October 2013 which converted Legislative Decree 91/2013.

### 2. Definitions

2.1 'University' shall mean Ca' Foscari University of Venice, as well as all its organisational divisions.

2.2 'Author' shall mean an affiliated member of the University in any capacity<sup>1</sup>, who is the author or co-author of a Contribution to scientific literature, together with one or more persons not belonging to the University

2.3 'Edizioni Ca' Foscari' shall mean the University's Publisher.

2.4 'Open Access' shall mean a 'Public' or 'Free' publication as defined below.

2.5 'Public access' shall mean the publication of a Contribution to scientific literature which grants all users free, irrevocable and universal right to access such Contribution, distribute it, send it and publicly disclose it, produce and distribute works whose information was collected from such Contribution for each responsible purpose respectful of the authentic attribution of ownership, as well as the right to reproduce a limited number of printed copies for one's own personal use; these rights may also be enforced individually as defined by the non-profit association Creative Commons.

2.6 'Free access' shall mean the publication of a Contribution to scientific literature which grants all users free, irrevocable and universal right of access.

2.7 'Restricted access' or 'Staff-only access' shall mean the procedure for filing scientific literature in the Institutional Archive that allows access to publications only to the Author and authorised staff of the University.

2.8 'Contribution to scientific literature' or 'Contribution' shall mean any text including data such as images, videos, tables, drawings, and formulas intended for scientific debate. The definition of Contribution includes, by way of example, articles in scientific journals, conference proceedings, monographs and book chapters, PhD theses, editing, etc.

2.9 'Embargo' shall mean a period during which open access to the Contribution is suspended, even if it is already filed in the institutional archive.

2.10 'Publisher's edition' shall mean the final digital version of the publication as published by the publisher

2.11 'Final reviewed edition' shall mean the final digital version that integrates the results of the peer-review process.

---

<sup>1</sup> For instance, a professor or a researcher, a lecturer on contract, a PhD student, a member of the technical-administrative staff, a collaborator and linguistic expert, a research fellow, a student.

2.12 'Catalogue' or 'U-GOV Catalogue' shall mean the digital archive of metadata and findings of the University research, which automatically feeds the ministerial databases.

2.13 'Open access Institutional Archive' or 'Archive' shall mean the Institutional Archive of the University, designed as a hub for filing and publication of Contributions to scientific literature and related metadata.

2.14 'Metadata' shall mean the basic (descriptive and structural) and contextual metadata of a Contribution to the scientific literature.

2.15 'Open access publication' shall mean a Contribution to scientific literature published from the outset in an open access journal or in other publications, such as a series of open access books.

### 3. Purposes

3.1 The purposes of the Institutional Archive, in compliance with the principles set out in the Messina Declaration, which transposes the Berlin Declaration of 2003, and in application of the EC Recommendation on open access of 17 July 2012, originate from the following common interests of the Authors and the University to:

- **increase the visibility of the research** carried out at Ca' Foscari, as well as the relevance of scientific Contributions in the international arena and promote the sharing of ideas and opinions;
- **increase efficiency** in collecting data and documents, thanks to specialised indexing;
- **respond to funding requirements**, since in many cases institutional sources expressly request the open access filing of research findings;
- **facilitate the recognition of Contributions and the discovery of new ideas**, by publicly disclosing their opinions and making them verifiable while fostering increased knowledge in academic research;
- **ensure the integrity of the documents** and their appropriate description, regardless of technological evolution and tool upgrades;
- **save time** useful for research, by entrusting document management procedures to a single collector thus wasting fewer resources in local data and document management.

3.2 Therefore, the University shall adopt a single Institutional Archive, accessible to the members of the organisation depending on their respective needs. The Institutional Archive may contain multiple logical groupings, such as communities, collections, etc.

3.3 The Institutional Archive shall be fitted with information tools to make the Authors fully aware of their rights and of the possible choices of distribution and accessibility.



#### 4. Tools

4.1 The University shall facilitate the open access publication process as well as the filing in the Institutional Archive by integrating the interface of the institutional administration tools, e.g., U-Gov Catalogue, and the Institutional Archive of the University. This Archive represents the tool for submitting and storing metadata and documents entered over time, directly by the Authors or through automatic procedures or by interoperability between databases.

4.2 The Archive shall comply with the interoperability criteria provided for by international protocols; where technically possible, it will be matched with the main open disciplinary archives used by University researchers and with the publishing platform of Edizioni Ca' Foscari.

4.3 Ca' Foscari University shall provide for information, training and refresher courses intended for its staff concerning issues relating to open access and the operational tools provided.

#### 5. Filing policy

5.1 Authors are required to feed the Catalogue containing the research findings by entering the metadata, the digital copy of the Contribution and other information required by the data entry interface, which will be automatically transferred to the Institutional Archive. Below are the items to be compulsorily entered:

- a. the metadata of the Contribution, at least at the minimum level (indicated in the mandatory fields) and the abstract, and in the case of monographs also the index; metadata shall always be visible in open access mode;
- b. the digital copy of the Contribution in the version allowed, i.e.: in the publisher's edition, if permitted by the publisher, or in the final reviewed edition, or in the pre-refereed version; if a copy of the publisher's edition is already filed in an open disciplinary archive, the description of its related URL shall be sufficient;
- c. the indication of the source of funding relating to the publication, which needs to be among the following types: 1) Contribution produced as a result of research financed mainly by public funds; 2) Contribution produced as a result of research financed by European Community funds; 3) Contribution published with University funds; 4) Contribution financed privately by the author for publication in open access journals; 5) private financing. Certification of filing may be issued if required to report to the financing bodies;
- d. the Author's choice to authorise the University to publish the Contribution with open access, free access or restricted access<sup>2</sup>. The University may apply manual or automatic control procedures to avoid clashing with legal provisions in force or with the criteria for awarding funds.

---

<sup>2</sup>For operational purposes, the terms 'restricted access' and 'staff-only access' shall be equivalent.



5.2 Specifically, the University shall set a maximum embargo limit of 12 months<sup>3</sup>, which can only be exceeded in the event of:

- refusal by the publisher, as specified in the SHERPA-ROMEO database, or by a certificate provided by the publisher;
- documented refusal of one of the co-authors, if not belonging to the Ca' Foscari community;
- reasons of public or national security;
- reasons of privacy or the presence of sensitive data;
- protection of the economic rights of the University.

5.3 Upon expiry of the embargo deadline, the Contribution shall automatically become open access.

5.4 Authors may choose to reduce or completely cancel the embargo period, when this is consistent with the publication rights they hold. Lacking a formal transfer of publication rights, the contents of the Contribution shall be valid, unless otherwise proven.

5.5 For the purposes of internal assessment, only the research findings filed in the institutional archive, including metadata and digital copy, shall be considered. During the assessment, the University may resort to Contributions filed even during their embargo period: Ca' Foscari University will issue special and restricted access authorisations to the assessors.

5.6 With the certificate of filing in the institutional archive, the Author shall grant the University the free, universal, non-exclusive license to disseminate the metadata, to hold a digital copy of the Contribution in the authorised version in order to store it over time and to carry out internal assessment procedures and to publicly disclose it upon expiration of the embargo.

5.7 The Author may enter a digital copy of their own Contributions not yet published in the institutional archive, by informing the publishers to whom they will submit the Contribution.

## **6. Publication policy**

6.1 The Institutional Archive is intended to host and display every finding of the research carried out at Ca' Foscari. The University shall promote open access (public or free according to the choice of the Authors), notwithstanding the limits imposed by laws and contracts, and especially publicly open access:

- Contributions whose publication is supported by University funds according to the criteria established by A.S. Resolution no. 16 of 30 November 2011;
- Contributions not subject to explicit publishing limitations due to the transfer of exclusive rights, or to restrictions by external Co-authors;
- Contributions whose terms of transfer to the publisher have expired;
- Contributions digitally published by Edizioni Ca' Foscari
- any Contribution for which the Author has retained the right to publish in Institutional Archives by virtue of specific contractual clauses.

---

<sup>3</sup>Unless a shorter embargo period is requested by the financing bodies of the contribution, where the maximum limit can be reduced to 3 or 6 months.



6.2 Ca' Foscari University, in line with the European Commission Recommendation of 17 July 2012, allows its professors and researchers to file open access data sets that support research findings. The possibility of filing shall be extended to each set of data that the lecturer or researcher deems suitable for disclosure, thus favouring open access within the limits of the law.

6.3 The PhD theses shall be made accessible to open access, except for duly justified requests for embargoes which cannot exceed the 12-month term.

## **7. Storage policy**

7.1 The Institutional Archive may be fed with metadata and digital full text documents coming from other databases, with both massive and punctual operations.

7.2 In case of migration from other databases, where technically possible, the metadata shall retain the characteristics defined in the source database. Ca' Foscari University shall oversee periodic reviews to ensure the coherence and consistency of the metadata and thus facilitate their availability through search engines. Authors may at any time amend the metadata concerning them provided that the correction does not alter their indexing; where necessary to ensure the quality of the filing, metadata may be amended by the Archive management staff, notifying the Author.

7.3 The Archive shall store by any means the unique identifiers attributed to digital documents.

## **8. Support, monitoring and promotion of scientific literature**

8.1 Ca' Foscari University shall support open access through:

- a. assistance in the procedure for filing full text documents;
- b. assistance in verifying publishing policies regarding the Contributions to be disclosed for open access;
- c. assistance on the consistency of the metadata entered and drainage of previous data;
- d. assistance on protocols for interoperability between databases and indexing in search engines;
- e. advice on the management of copyright, if outside the basic types provided through contractual models suggested by the University;
- f. information aimed at strengthening knowledge of open access.

8.2 The functions described above shall be ensured by cross-functional coordination between the Research Sectors of the Departments, the Research Area, the University Library System, internal offices or specific external support departments for legal advice.

8.3 Ca' Foscari University shall periodically record the growth rate of the Archive, the coverage of contributions filed in full text and usage statistics.

8.4 The University shall reserve the right to take, in agreement with the Authors, the necessary steps to prevent the violation of copyright and possibly prosecute violations.



Università  
Ca' Foscari  
Venezia

8.5 The University shall provide specific contractual models to be used in relations with publishers, in order to protect the exclusive rights of the authors without penalising the visibility of the research findings in the Institutional Archive. To this end, the University shall provide an advisory service, resorting to specialised legal services where necessary.

8.6 In the relationship with the publishers, the Authors shall undertake to use, where possible, the contractual models defined by the University or to incorporate their contents, notifying the University of any difficulties reported by the publisher.

## **9. Related services**

9.1 The Authors shall provide the following additional services

- a. usage statistics (accesses and downloads) of each Contribution;
- b. integration with the citation data from the main international databases, where applicable and permitted by existing contracts;
- c. interoperability with other open access archives complying with the OAI-PMH protocol;
- d. integration with the main academic social networks;
- e. assignment of a unique permanent identifier;
- f. cyber risk protection;
- g. registration of the log data of the filing and of the amendments to the filed document, also for the purpose of issuing certificates on the filing;
- h. advertising of open access publications in relation to specific or recurring situations (e.g., new entries, entries by themes, for special occasions such as conferences, etc.).

## **10. Final provisions**

10.1 On first-time adoption, the filing procedure through U-GOV Catalogue shall be supervised by the Research Sectors of the Departments and by the Research Area; the support services regarding metadata, the metadata exchange protocols, the publishing policies for open access to the Institutional Archive shall be supervised by the University Digital Library; legal advice on copyright, when outside the typologies similar to the suggested contractual models, shall be carried out by accredited advisors, including external ones.

10.2 Following organisational decisions of the Head of Administration may modify services or assignments designed to supervise the functioning of the Institutional Archive.