



**Università  
degli Studi  
di Palermo**

**Direzione Generale**  
**Servizio speciale Sistema Bibliotecario**  
**e Archivio storico di Ateneo (SBA)**  
Settore Servizi per la ricerca e diffusione  
della conoscenza scientifica



## **University Regulation for the Deposit of Publications in the Institutional Repository and for Open Access to Scientific Literature**

**(30 July 2021)**

### **Preamble**

The University of Palermo promotes the implementation of Open Access (OA) principles, as stated in the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (October 2003). Our University endorsed the Berlin OA principles by signing the Messina Declaration in 2004, therefore we reaffirmed our commitment to the spreading of knowledge through the Internet, and we renewed our responsibility by signing the Messina Roadmap 2014-2018. In addition, our University has maintained for several years a digital repository which allows anybody to access the full-text version of our authors' works, in compliance with copyright agreements.

OA principles are consistent with high values in our Constitution such as the promotion of cultural development and of scientific and technical research, as well as the protection of academic freedom. Among other things, the OA movement aims to strengthen the dissemination of scientific research on an international scale, to reduce the levels of duplication in academic work, to increase interdisciplinary research, knowledge transfer to enterprises and transparency towards citizens, to make more efficient use of academic contributions for education purposes, and to ensure the long-term preservation of scholarly production.

The present policy is intended in application of the 2012/417/EU Commission Recommendation of 17 July 2012 on Access to and Preservation of Scientific Information (published on 21 July 2012 in the Official Journal of the European Union, L 194, p. 39-43), inviting academic institutions in all Member States, among other things, to define and implement policies for dissemination and open access to scientific publications, and also policies for long-term preservation of scientific products.

Furthermore, the policy takes account of all Recommendations by CRUI (Conference of Italian University Rectors) on the matter, including "Guidelines for the Deposit of Doctoral Theses in Open Repositories" (2007), "Guidelines for the Creation and Management of Metadata in Institutional Repositories" (2012) and "Guidelines for Drafting University Policies and Regulations on Open Access to Scientific Publications and Research Data" (2013), mainly



focusing on open access with regard to the output of research carried out with at least 50% public funding.

## **Article 1 – Definitions**

1. Within the limits of this *Regulation*, the following terms shall have the meanings *defined* below.

- a) “University” = Università degli studi di Palermo (University of Palermo);
- b) “Open Access” = an international movement which encourages researchers and scholars to disseminate their scientific works and to allow for their reuse by making them freely available online without any restrictions for final users, through the two main OA strategies (self-archiving the scientific works in standardized digital archives - either institutional or disciplinary OA repositories; publishing the scientific works in OA journals or books through specific agreements with publishers);
- c) “Scientific contribution” or “Scientific work” = an intellectual work comprising text (with or without other types of data – audiovisual, tables/graphs, drawings, formulas, etc.), falling into one of the types of scientific products aimed at scientific communication (for example: journal articles, conference proceedings, monographs, book chapters, PhD theses, multimedia presentations, databases, critical/scientific editions, etc.);
- d) “Author” or “Researcher” or “Scholar” = a University member, affiliated either as a permanent Faculty staff member or Researcher according to Italian law (full/associate/assistant professors; research fellows/lecturers), or as a young temporary Research staff member (post-doc fellows, PhD students, scholarship holders), or as a Language expert, Specialized scientific and technical staff member, Administrative staff member, Librarian, who has authored (or coauthored, whether with other people affiliated to the University or not) a scientific contribution;
- e) “Open Archive” or “Institutional Repository” (IR) = the University’s digital archive as mentioned in this Regulation, compatible and interoperable with international protocols such as the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH), accessible via the University portal, for purposes of self-archiving of scientific works whose authorship is attributable, in whole or in part, to affiliated Authors, so that the files can contribute to the Institutional Archive (“Anagrafe della Ricerca”) and to the National Registry of Scientific Publications (“Anagrafe nazionale delle Pubblicazioni”), as well as they can be preserved and accessed publicly;



- f) “Open Access Publication” = a scientific contribution, originally published in a journal or other type of publication (eg. a book series), with the addition of a free, irrevocable and universal licence for all of its users to access, distribute, share, display the contribution, including the right to make and distribute derivative works in any digital format for any responsible purpose, subject to the correct attribution of original authorship, and also including the right to print a limited number of copies of the contribution, for personal use;
- g) “Working Group” = the University’s Working Group for the Management and Maintenance of the Institutional Repository and for Open Access;
- h) “Pre-print” = the author’s draft manuscript as it is before being submitted to the publisher and reviewed;
- i) “Post-print” = the digital version of a scientific contribution in its definitive content form as approved by the publisher after the peer-reviewing process, which still has to be edited with graphic patterns, logos and marks as appropriate by the publisher;
- j) “Publisher’s digital version” = the digital version of a scientific contribution in its fully edited and published form;
- k) “Institutional Archive” (“Anagrafe della Ricerca”) = the digital archive of University’s authors and scientific works, compatible and interoperable with the MIUR (State Department of Education and Research) databases;
- l) “Metadata” = the basic encoded information (descriptive and structural metadata) and other context-related elements (e.g., administration and management metadata regarding Departmental affiliation, Subject/Discipline Area, etc.), for each database record which refers to an individual scientific contribution;
- m) “Research data” = entities and phenomena represented by text (numbers, characters, special signs and symbols) and/or images, audio tracks, videos and/or other types of information apt to be collected, selected, analysed and subjected to processes of deposit, conservation, reuse for scientific research purposes;
- n) “Datasets” = collections of primary (raw) data deliberately organized and structured to form the content of a database or matrix, which can be shown through the use of tables/graphs.

## **Article 2 – Aims and principles**



1. The aim of the University's OA policy is to make the output of publicly funded research freely available to all, according to the principles of the Open Access movement.
2. Free access to scientific works and research data is based upon the principle that knowledge is a common good, and on criteria of inclusion and participation for open and collaborative science.
3. Open access to scientific research results, in the respect of current legislation on copyright protection, contributes to make the activity of public institutions more transparent.
4. Greater exposure of scientific production through open access results in an enhancement of competencies and a chance for positive return on the University's investments, thanks to the increase in knowledge transfer to businesses and professionals, both in the local environment and internationally.
5. The connection between open access and research evaluation is an essential component of the University's commitment in favour of open access, and hence University encourages an active participation of all the research staff to this engagement.
6. University will endeavour to identify and follow the best practices for preventing the publication of scientific results in wholly inadequate contexts (*predatory publishers*).

### **Article 3 – Strategies for open access**

1. University pursues the objectives of open access:
  - a) through the establishment and maintenance of an OA Institutional Archive, that is the University's Digital Repository. The Archive must fulfill the interoperability criteria set out in the international protocols. Our University, in order to foster the dissemination of scientific research outputs, encourages the self-archiving and open accessibility of pre-print versions of research products, in compliance with copyright agreements.
  - b) through specific agreements with national and international publishers, including any necessary addenda or revisions to existing publishing agreements, in order to support OA publication for peer-reviewed scientific works authored by researchers from our University, and hence to achieve higher levels of accreditation and international dissemination;
2. The activities described in the above subparagraph are ensured by co-operation activity between different research offices ("Settore Servizi per la ricerca e diffusione della conoscenza scientifica" and "Settore Strategia per la



ricerca”), working groups for research in our Departments, the University Library and Archives System (“Sistema bibliotecario e Archivio storico di Ateneo”, SBA) and the University Information and Networking System (Sistema informativo di Ateneo, SIA).

3. For the implementation of the activities as described in this article, the University of Palermo may run an academic press and take advantage of its services.

#### **Article 4 – Open archive (Institutional repository)**

1. The University of Palermo’s Institutional Archive is the main collection point and the priority source of data for internal and external evaluation. Therefore, self-archiving of publications by authors in compulsory and metadata must be as complete and reliable as possible.

2. The Institutional Repository includes the Archive in which the University’s scientific production is registered and stored. The aims of the repository are as follows:

- a) to provide a digital platform serving as the sole archiving resource for the deposit, access and long-term conservation of scientific contributions authored by University’s researchers, in line with the principles and strategies of the OA movement;
- b) to enhance the visibility and reinforce the identity of the research activity carried out at the University of Palermo, avoiding dispersion in document management and favouring an increase of the value of its research output in the esteem by the international scientific community;
- c) to dispose of an expert tool for describing and indexing the data associated to research products, thus making it easier and more precise to retrieve data and documents, by indexing through specialized metadata;
- d) to comply with the obligations set out in the Rules for public funding of the University’s research projects, at both national and international level;
- e) to ensure integrity and identification of documents and attributions of authorship, regardless of evolving tools and technologies.

3. The Institutional Repository is structured in different sections: communities, collections, types of documents, to meet the needs for which it has been established, and to fulfill the law obligations, especially with regard to the evaluation exercises involving our researchers periodically.



4. The Institutional Repository is accompanied with appropriate reference tools in order to make authors fully aware of their publishing rights and of all viable options regarding the deposit and the availability of content during the self-archiving process.

5. University guarantees that the Institutional Archive (“Anagrafe della Ricerca”) or Institutional Repository is managed through the use of platforms and software which conform to the international technical standards on open access. A repository for PhD theses is included in the Archive, as specified below (article 10).

6. In particular, University guarantees that the Archive is compliant with the OAI-PMH standard protocol on interoperability of OA institutional repositories, and that it has advanced features for the deposit, authentication, dissemination and long-term conservation of scientific contributions.

7. The Archive is interoperable with the “Login-MIUR” database of researchers and hence, through the “Anagrafe della Ricerca”, contributes to develop the National Registry of Scientific Publications (“Anagrafe Nazionale della Produzione scientifica”).

### **Article 5 – Human and instrumental resources**

1. University guarantees an adequate support of human and financial resources for the development of open access. In this respect, University:

a) keeps a regular check on the adequacy of the measures adopted for the development of the OA strategies as described above (article 3), in order to ensure that there is a suitable level of support from librarians and administrative staff;

b) relies on the University’s Working Group for the Management and Maintenance of the Institutional Repository and for Open Access, to fulfill the tasks indicated below (article 6).

2. ensures a regular activity of information and training, targeted at both permanent research staff/young temporary research fellows and librarians / administrative staff, on issues regarding Open Access and the tools available to the scientific community. In this respect, through its specific research offices, University:

a) runs at regular intervals public events (e.g., conferences, seminars) in order to make our researchers fully aware of the principles and the rationale in favour of open access, and to look into all those aspects (technical and organizational) which regard the improvement of tools for implementing open access;





b) runs training initiatives on open access (“Authors’ workshops”) targeted to University’s researchers, on a regular basis.

### **Article 6 – Working Group for the Management and Maintenance of the Institutional Repository and for Open Access**

1. The Working Group is jointly supervised by the Head of each research office unit designated for the purpose, and is composed of:

- a) some staff working in the designated research offices;
- b) no less than 20 University librarians.

The Rector issues a decree to establish the Working Group for the first time, and provides for the replacement of individual members in line with the needs of the Working Group so that its operation is ensured with full functionality and continuity.

2. The Working Group is responsible for the implementation of this Regulation, and in particular:

- a) participates in the validation of metadata which describe the scientific products in the Archive;
- b) checks the status of completeness and correctness of the scientific contributions subjected to the self-archiving process by Authors, ensuring their publication in OA mode and the consequent treatment of related metadata, whenever appropriate;
- c) ascertains, among the different research outputs that have been self-archived by those Authors who join the University policy for open access (as stated below, article 7), which version may be made publicly available;
- d) offers technical and legal advice to the Authors, including appropriate orientation on copyright management;
- e) helps Authors in the choice of a suitable publishing destination of their scientific contributions;
- f) reports to the appropriate head of offices/research units on any scientific contributions published in wholly inadequate contexts (*predatory publishers*);
- g) monitors any other issues related with the implementation of this policy.

3. Moreover, the Working Group, through its supervisors:

- a) develops alliances with other institutions engaged in the promotion of Open Access;



b) makes proposals and assumptions for setting up new instruments and/or upgrading existing tools for improving the implementation of the OA strategies as described above (article 3);

c) defines appropriate ways to collect (and, whenever convenient, digitise) the scientific contributions that have not yet been self-archived in the repository, in order to get them deposited in the Archive;

d) encourages the University to actively participate in national and global networking projects and initiatives regarding the management of databases of publishers' policies on the options for Authors to self-archive their scientific contributions in their Universities' digital repositories.

4. The Working Group, for its specific needs, may call upon counselling help from other staff within the University.

5. Each year, within 31 December, the Working Group will produce a report on the state of implementation of this policy, which will be sent to the Rector, to the University Delegate for Research, and to the University Delegate for Library Services. The report will be accompanied by statistical data and will contain a SWOT analysis of the system.

### **Article 7 – The deposit of research products**

1. The deposit of scientific publications in the Institutional Archive is a means for University's authors to preserve their research contributions and to spread them to the global academic community. The Archive fulfills the dual task of documenting the University's overall scientific production and to make it available for internal and external research assessment exercises. Because of its institutional aims, the Archive needs to be complete and to be constantly updated. All of University's Authors are accordingly required to deposit the metadata and files of their publications in the repository, through the self-archiving process. Priority is given to such process over any other form of storage in different platforms.

2. University requests that researchers should deposit in the Institutional Archive a copy in PDF format of their scientific contributions (the publisher's digital version and/or the post-print version of the manuscript after peer review). Our University, in order to foster the dissemination of scientific research outputs, encourages the self-archiving and open accessibility of pre-print versions of research products, in compliance with copyright agreements.

3. University recommends that the full-text version of each publication stored in the repository can be made freely available, in the respect of publishing agreements, through the procedure described below (article 8). To





this end, University encourages Authors to avail themselves of the librarians' support in order to sign individual agreements with publishers which include clauses regarding the retention of the rights to self-archive the full-text of their research product in the Repository.

4. During the online self-archiving process, the researcher is explicitly required to decide whether he/she wants to join the University's OA policy. In case of a refusal to agree on the OA policy, the author will nevertheless be subject to deposit the metadata and files of his/her publications in the repository. The files uploaded on to the repository will not be accessible to the public, except for the provisions of subparagraph 5 here below.

5. The researcher allows University to exercise the rights of usage for the deposited work. In this respect, he/she grants University with a toll-free, global, non-exclusive, royalty-free, not transferable, revocable license of use, for non-commercial purposes only. The license will be in force just as long as the copyright terms for the work, and is intended:

- a) to copy and distribute the contribution as much as necessary for internal and national research assessment exercises;
- b) (if Author joins the OA policy): to make it publicly accessible in OA mode through the product version eligible according to the copyright law and the publishing agreements in force;
- c) (if Author does not join the OA policy): to make it accessible for internal use (administrative purposes and conservation);
- d) to guarantee its preservation and access over time, irrespective of the format used at the time of deposit, based on the need for interoperability between information systems, unless otherwise indicated by the Author;
- e) to make sure that bibliographic data, in any event, can be accessed, retrieved and exported onto international web platforms devoted to scientific research products, so that citation data for the contribution are always available.

Where the researcher does not allow University to exercise the rights of usage for the deposited work, the self-archiving process will not be completed, and therefore the research product will not be transferred to the "Login-MIUR" database of researchers.

According to article 4 of Law No 112 of 7 October 2013, for all scientific contributions derived, in whole or in part, from research carried out with public funding (by University, the State Department or other national research bodies, European Union or other research Institutions connected with EU), and for any other scientific work falling into those types of publications mainly based on public funding, the publisher's digital version of the deposited files will



normally become freely accessible, respectively, within eighteen months (for STM publications) and within twenty-four months (for SSH publications) since they were first published, along with the metadata freely associated to each contribution (e.g., author's name, title of article, affiliation, financing research body, journal title, etc.) at the time of deposit.

### **Article 8 – How to deposit works in the Institutional repository**

1. Each author, as soon as is notified that the scientific contribution he/she submitted to a journal or other publishing environment has been approved for publication, shall start the self-archiving process in the Institutional repository.
2. The author, before archiving the contribution in the repository, should be aware of what rights he might have transferred on to the publisher, and should possess all necessary information regarding the publishing contract or agreement in place with the publisher. The author, in the act of self-archiving the contribution, with respect to the online forms of the information system, will operate as follows:
  - a) Author will edit the descriptive metadata of the research product (and these will be always open to all);
  - b) Author will upload the digital copy (full-text) of the research contribution (in one or more versions that will be handled as indicated below – see subparagraphs 4 and 5). If the publisher is not listed in Sherpa-ROMEo or similar directories, the author shall upload the necessary documentation (e.g., publishing contract/agreement or specific clauses or *addenda* concerning the rights that have been retained by the author), in order to allow members in the Working group to clearly identify what are the author's rights for each contribution.
3. Moreover, the author, in the act of self-archiving the contribution, will provide information on the funding sources of the research product, as indicated in the specific drop down menu that will appear in a content-specific screen.
4. If the author, in the act of self-archiving his/her scientific works, refuses to join the OA policy, access to the files uploaded on to the repository will be restricted, so that only the descriptive metadata will be shown to the public. In such a case, the full-text version of the contribution, nevertheless, shall always be available to the author/s. The files may also be handled by a few authorized people (system administrator, members of the Working group), exclusively for those administration and conservation purposes, including internal and national research assessment procedures, for which author/s explicitly allow their use.



5. If the author joins the OA policy, members in the Working group will operate the validation process, that is:

- a) where the research paper has originally been published in OA mode, the publisher's digital version will always be accessible;
- b) when the publisher is listed in Sherpa-ROMEO or similar directories, members in the Working group will comply with the individual publisher's policy on copyright and OA self-archiving as indicated for each journal (publisher's final version, post-print, pre-print);
- c) if the publisher is not listed in Sherpa-ROMEO or similar directories, the research offices and the librarians will comply with the terms of existing contracts with the publisher, that the author must disclose to University when self-archiving the contribution.

6. When a research paper derives from collaboration among more authors, the author responsible for the deposit operates as indicated above on behalf of all, and makes explicit declaration that each individual author has been informed about the OA option made when self-archiving the contribution. Consent by authors is accordingly taken for received unless proven otherwise. If any of the co-authors denies his/her consent, upon specific request, University - following case-by-case evaluation - reserves the right to remove free access to the research contribution.

7. The author always has the right to get from the University offices a written confirmation of the deposit, when requested for purposes of accounting for publication funds.

8. University has activated a validation procedure regarding each self-archived contribution, immediately prior to its publication in the repository. In the first step, the validation is undertaken by librarians from the Working Group, who deal with technical aspects such as checking the correctness of the document type and of the bibliographic metadata. When faced with incorrect or poor metadata, librarians may send the bibliographic record back to the author for the necessary data improvement, before the contribution being validated by the Head (or an appointed Delegate) of the Research Unit to which the author is affiliated at the time of deposit.

9. University also encourages the self-archiving of research contributions authored by administrative staff members (including language expert collaborators, technical experts and librarians). Validation of such papers will be undertaken, in the first step, for the technical aspects, by an appointed librarian from the Working Group before being completed by the Head (or an appointed Delegate) of the Research Unit to which the author is affiliated at the time of deposit, or by a staff member higher in the hierarchy.



## **Article 9 – Deposit of research data**

1. University acknowledges the value of open sharing of research data on an international scale, for the following purposes:

- a) strengthening of an open system for scientific research;
- b) increasing the return on the investments made by research funding bodies;
- c) enabling comparison tests between different hypotheses or methods of analysis;
- d) encouraging the diversity of ideas, studies, methodologies and new prospects for research;
- e) stimulating the identification of new areas of scientific work;
- f) promoting new topics to be explored, never studied in past research;
- g) providing (indirect) support to the training of young researchers;
- h) supporting the participation of developing countries in the global scientific system.

2. University, in compliance with the EU Commission Recommendation of 17 July 2012, suggests that the highest standards should be applied to research data collection, archiving and conservation, in order to meet the international FAIR principles (findability, accessibility, interoperability, and reusability of research data). Therefore, University engages in supporting its authors and researchers to self-archive in the Institutional repository, in OA mode, the datasets occasionally associated with their research papers. This option includes any set of data that authors and researchers wish to share in order to enable access to research data in a free and open form, as well as the reuse of data, where no copyright infringements arouse.

3. The research office units will guarantee technical support for the success of all self-archiving and metadata editing procedures.

4. With regard to EU-funded research projects, and concerning all the other financial support to scientific projects where a *Data Management Plan* (DMP) is required, researchers will ensure that the choice of a specific open archive or institutional repository has already been made in the act of drafting the project for its submission to the funding procedure.

## **Article 10 – Deposit of PhD theses**



1. The same regulation set out for the deposit of research publications is applied to PhD theses as well, in compliance with the *Guidelines for the Deposit of Doctoral Theses in Open Repositories* approved by CRUI in 2007 and the Regulation in force on management of PhD courses in the University of Palermo.
2. For the enrolling of PhD students to their final exam, it is a mandatory requirement that a digital copy of their PhD dissertation is archived in the repository (in the specific repository collection for PhD theses).
3. The deposit will be completed within the scheduled date for the dissertation defense, according to the author's will, with free and open access to the full-text version of the contribution.
4. In line with the Regulation in force on management of PhD courses in the University of Palermo, as well as with article 11 (see below), in exceptional cases (e.g.: dissertation already sent to a publisher to be printed; specific limits imposed by external research financiers; privacy or sensitive data; a patent being published), an embargo may apply, ranging from six to twelve months (which may be extended until twenty-four months under exceptional security reasons). Such embargo must be formally applied for by the PhD student and approved by the PhD project Tutor under a motivated request that will be addressed to the appropriate University offices.
5. The deposit of the digital copy in the repository also meets all obligations regarding the legal deposit copies of the thesis to be delivered to the University library service and to the National libraries in Rome and Florence, acting as a substitute for the hard copy.

### **Article 11 – Embargo**

1. The embargo is a period of time after the publication of a scientific contribution during which full-text access to the file archived in the repository is restricted by University only for purposes of official research evaluation and/or for other administrative and managing purposes.
2. The embargo can be applied for in specific circumstances (e.g.: dissertation subject to agreements with publishers and/or external research financiers; public/national security reasons; privacy or sensitive data; a patent in course of publication). The embargo, if it is not mentioned in the research product itself, must be communicated by the author to the Working Group in order to check the correct policy for access in the Institutional Repository.
3. Except specific agreements in place with publishers and/or external research financiers, the embargo period will range from six to twelve months (which may



be extended until twenty-four months under exceptional reasons), then the contribution will be openly accessible in the repository.

### **Article 12 – Value-added services**

1. In relation with the materials deposited in the institutional archive, the University, through its research offices, provides the following value-added services of guidance and technical support for the integration of repository information:

- i. with the University's discovery service, which allows for federated searching of multiple publisher platforms and the online catalogue;
- ii. with bibliometric data taken from the main international citation databases, according to the existing terms of agreement with the publishers;
- iii. with other OA archives, according to their interoperability;
- iv. with the main academic social networks, whenever possible.

### **Article 13 – Research assessment**

1. The University, for its research assessment exercises (both internal and external), will take into account only the research products deposited through the self-archiving procedure indicated above (article 8) and validated.
2. When an embargo period has been established for a research product, the contribution will nevertheless be taken into account for any purposes of internal research assessment.

### **Article 14 – Support, monitoring and conflict resolution**

1. The University, through its Working Group, ensures a regular monitoring activity with regard to the compliance by researchers to the present Regulation.
2. The proper body for any conflict resolution with regard to the correct interpretation and application of this Regulation is the Research Commission of the Academic Senate.

### **Article 15 – Entry into force**

1. This policy will enter into force on its day of publication by the University's Rector.





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*Translated by the staff of "Sistema bibliotecario e Archivio Storico di Ateneo".  
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