

SCIENTIFIC RESEARCH GRANTS
OPEN ACCESS POLICY (OA POLICY)

Fondazione
CARIPLO

TUTE SERVARE MUNIFICE DONARE • 1816



SCIENTIFIC RESEARCH GRANTS OPEN ACCESS POLICY (OA POLICY)

Version 1, effective and binding on all grantseekers from September 1, 2012

Fondazione Cariplo, a funder of Scientific Research in a variety of disciplines for the common good, operates a policy for Open Access (OA) to scientific literature effective from the date of publication of this statement. The Foundation believes Open Access to scientific literature is key, in the «knowledge society», to promote the dissemination of knowledge, quality research and democracy.

Operated in conjunction with the Foundation's Policy on intellectual property rights, this OA policy implements the Foundation's strategy for broadening access to the data and findings of the research works it funds in line with its public benefit mandate.

“Open access” to scientific literature means its free availability on the public Internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of scientific articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the Internet itself.

Open Access contributions are those works that satisfy two conditions:

1. The author(s) and copyright holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, perpetual right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship;
2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in an appropriate standard electronic format is deposited in at least one online repository using suitable technical standards (such as the Open Archive Definitions) that is supported and maintained by an academic institution, scholarly society,

government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, interoperability, and long-term archiving.

The Foundation expects that the results of Scientific Research funded by it (under calls for proposals, projects, etc.), from basic research through applied research and technology transfer, be disseminated via publication in leading peer-reviewed journals, presentations and posters at conferences, workshops, seminars, education materials, PhD dissertations, monographs, patents etc. that can ensure their widest possible visibility, both nationally and internationally.

In line with its mission, effective from September 1, 2012, Fondazione Cariplo adopts a funder mandate, i.e. the Foundation requires that the contents produced by research funded in whole or in part by it be disseminated via Open Access delivery. Firmly believing that broader access to data accelerates scientific progress, the Foundation deems it appropriate that the raw data, scientific data and metadata as well as digital graphic representations generated by the research funded by it be also delivered under Open Access (open data) via author's self-archive in an Open Access repository ¹.

Policy-wise the Foundation believes both ways, i.e. the so-called «Green Road» and «Gold Road», can be rightfully used for the attainment of Open Access purposes.

Specifically:

1. **Publication in Open Access journals** («Gold Road») in their three key categories:
 - no-fee journals that provide open access to readers and charge no author-side fees;
 - fee-based journals that provide open access to readers but charge an author-side publication fee;
 - hybrid journals published by a traditional subscription-based publisher offering authors a paid option for the publication of Open Access articles.

¹ An example of a list of open data repositories and databases can be found at: http://oad.simmons.edu/oadwiki/Data_repositories

Aware of the benefits deriving from it to the scientific community, the Foundation encourages authors who hold a Foundation grant to publish in Open Access journals².

The Foundation does not mandate but encourages authors to opt for immediate publication in free Open Access journals when possible.

When the publisher operates an 'author pays' scheme the Foundation deems it appropriate to cover the fee³ charged for publishing Open Access articles. The Foundation will not provide grantholders with additional funding to cover the open access charges levied by publishers, but these charges are to be indicated in the initial Project Plan by grantseekers when applying for a Foundation's grant or by grantholders in the amended Project Plan (Major Project Change) – and appropriately allocated to the item «*Other operating expenses*».

2. Deposit in Open Access repositories — organized by discipline or institution (disciplinary and institutional repositories) («*Green Road*»)

The Foundation believes that being highly-qualified information technology infrastructure disciplinary repositories are an effective vehicle for the dissemination of the research findings in the related scientific community. Another key vehicle are institutional repositories that gather and preserve all the scientific production of a university or a research center.

The Foundation encourages grantees to use Open Access repositories, either organized by discipline or institution, that provide authoritativeness, warrant quality and visibility and at the same time long-term web availability and preservation of contents⁴.

When scientists who hold a Foundation's grant opt for the publication of their articles in Toll-Access journals they are required to switch their peer-reviewed manuscript (postprint), or, when allowed, the peer-reviewed copy-edited version, to Open Access via author's self-archiving as soon as possible and in any case no later than 3 months after the expiration of the publisher's embargo period.

² A directory of open access journals can be found at:
<http://www.doaj.org>

³ A comparative table of article processing charges adopted by publishers with paid option for open access can be found at:
<http://www.sherpa.ac.uk/romeo/PaidOA.html>

⁴ You can find information on the repositories that are most used by the scientific community on the web, e.g. a list of disciplinary repositories at http://oad.simmons.edu/oadwiki/Disciplinary_repositories or their ranking at <http://repositories.webometrics.info/>

SCOPE OF APPLICATION OF THE FOUNDATION'S OPEN ACCESS POLICY (OA POLICY)

Research grants approved after the publication of the OA Policy.

The OA Policy applies fully to all research grants approved after September 1, 2012.

The Foundation expects:

- a) the publication of the articles directly in high impact factor Open Access peer-reviewed journals;
- b) the deposit of all research work copies in a repository organized by discipline or institution within 3 months of the expiration of the publisher's embargo period;
- c) the deposit of all scientific data, metadata and digital graphic representations related to the scientific publication in a repository.

Please note that a) and b) are alternative but mutually exclusive. Option b) is mandatory if the author opted for initial publication in a toll-access journal.

Research grants approved before the publication of the OA Policy

The Foundation encourages all researchers who at the date of publication of the OA Policy are holders of a Foundation's grant to adhere to the principles set forth in its OA Policy. Compliance with the OA Policy is recommended yet is not mandatory for these grantholders.

It is understood that the OA Policy does not apply (opt-out clause) to any and all contents that may be conducive to the patenting of an invention by the grantee, in which case Fondazione Cariplo's Policy on intellectual property rights shall apply.

If grantees fail to comply with the OA Policy, as a deterrent the Foundation may use this information to penalize future applications by the same author(s) when conducting merit review of applications for a Foundation's grant.

Finally, grantholders are reminded that all scientific publications generated under a Foundation's grant are one of the key factors on which Foundation-funded research projects are judged (ex-post assessment). For information on how to include acknowledgement of the Foundation's grant please refer to the *Guidelines for acknowledgement of Fondazione Cariplo's funding in scientific publications* appended to the *Letter from the Secretary General*. Finally, grantholders are also reminded that with each request for payment (interim/final payment) they are required to enter the scientific publications under their project in the Foundation's web-site restricted area.

The Foundation reserves the right to modify at any time its own policy, including the range of its effectiveness, and to give the relevant communication through the home page of its official website www.fondazione cariplo.it. The Italian version of this policy constitutes the only applicable version. The English version is just a courtesy translation that is not effective in any way. In the event of conflict between the Italian and the English version of the policy, the Italian one shall prevail.