

## REGULATIONS ON THE OPEN ACCESS TO SCIENTIFIC PUBLICATIONS AND DATA OF KAUNAS UNIVERSITY OF TECHNOLOGY

### CHAPTER I GENERAL PROVISIONS

1. Regulations on the Open Access to Scientific Publications and Data (hereinafter – Regulations) regulate the key principles, procedure, obligations and responsibility of the employees and students of Kaunas University of Technology (hereinafter – University) related to the publishing of scientific publications and data in the open access.
2. The University supports the European Union policy regarding the open access to research results received for the public funds, and the user's possibilities to receive them without any financial, technical or legal restrictions.
3. The University aims to disseminate information on the open access and its benefits to the members of the University's community; it welcomes and supports the global, national, regional and institutional initiative promoting open access.
4. The Regulations are prepared in accordance with the Guidelines for Uploading of Electronic Documents of Kaunas University of Technology in the Lithuanian Science and Studies e-Documents Information System and Article 45 of the Law on Science and Studies of the Republic of Lithuania. The Regulations are prepared taking into consideration the Regulations on the Open Access to Scientific Publications and Data of the Lithuanian Research Council, Open Access Regulations of the European Union research and innovation programme "Horizon 2020", Guidelines for Scientific Data Management of "Horizon 2020".

### CHAPTER II OBJECTIVES AND SCOPE OF THE REGULATIONS

5. The Regulations aim to:
  - 5.1. Ensure dissemination of the research results and exchange of scientific knowledge;
  - 5.2. Promote better cooperation among the scientists and reduce the amount of possibly identical and uncoordinated research;
  - 5.3. Increase reliability of the research results, transparent receipt and maintenance of data, comply with academic ethics;
  - 5.4. Facilitate interaction between science and business, science and policy makers, and social partners;
  - 5.5. Provide conditions for greater social and economic returns of the research results.
6. The Regulations are applied to the scientific publications with the University's allocations, the data received from the dissertation research financed by the public funds, except for the cases stipulated in paragraph 21.

### CHAPTER III DEFINITIONS

7. The following definitions are used in the Regulations:
  - 7.1. **Open access to scientific publications and data** (hereinafter – open access) – free and unrestricted online access to scientific publications, research data and other published and unpublished high quality peer-reviewed research material that every user can read, copy for free and perform automated content analysis without any copyright violation.
  - 7.2. **Open access repository** (hereinafter – repository) – technical infrastructure for storing and opening scientific publications and/or related or separately submitted research data including metadata. Repositories can be national, institutional, thematic or specialised, widely recognised by the academic community of specific science field.

7.3. **Open access journals**– electronic scientific journals containing only peer-reviewed papers that are openly accessible to the users online, free of charge. If it is allowed by the Creative Commons Attribution License (CC-BY), the user may use these papers as the basis for creation of derivative works.

7.4. **Data** – results collected and/or received during research; they can be provided and opened with the publications based on these data, or stored in repositories; access to these repositories is stipulated by the administrative institution. Data have to contain an identifier and metadata.

7.5. **Data management plan** – document of the collection, storage and accessibility of the project data; it specifies the actions during and after the research to ensure safe and reliable collection of data; the manner and conditions of their accessibility for re-use, in the absence of legal, ethical and security reasons against such use; the time and manner of their opening to other users; the standard metadata to be used in their description; the manner of management and updates of the received data; which data are intended for the long-term and which for the short-term storage, in the latter case indicating the time and manner of the destruction of data.

7.6. **Identifier** – unique and constant digital object identifier; it is used for identification of the scientific information in cyberspace.

7.7. **Embargo period** – period of time from the publishing of the research results (commonly – publication) to the time when the publisher allows to publish a published text in the repository or otherwise provide open access to the publication.

7.8. **Metadata** – structured information that defines and explains a document or information resource, indicates its present location or otherwise facilitates its finding, use or management. It includes title, author or author's workplace, sponsor of the research, time and place of its publishing, title of the publication, etc.

## CHAPTER IV

### OPEN ACCESS TO SCIENTIFIC PUBLICATIONS

8. Open access to scientific publications is conducted by providing them in repositories and/or open access journals.

9. All the scientific publications with the University's allocations have to be stored in the repository and archived. Digital copies of the publications have to be provided in the Lithuanian Science and Studies e-Documents Information System under the procedure set by the University right after they are accepted for publishing. The repository opens their metadata right away. Metadata of the publications to be completely open, accessible for search and automatically readable, even if embargo period is applied to the publication.

10. After publishing of scientific publications, their copies stored in repositories have to have links to the official published editions. The University's Library (hereinafter – Library) monitors and guarantees that links to the full text documents are functioning. Full text documents are used for the scientific assessment of authors and divisions.

11. If there is not embargo period applied, scientific publications have to be opened right after their submission to the repository.

12. 6-month embargo period may be applied to the open access to the scientific publications in the fields of biomedicine, physical sciences, technologies and agricultural sciences; 12-month embargo period may be applied to the open access to the scientific publications in the fields of humanities and social sciences. Monographs are submitted to the repository right after they are accepted for publishing, but access is provided only after the embargo period set by the publisher.

13. The authors are encouraged to make the contracts on scientific publications with publishers preserving the author's right to publish the final edition of their scientific publications and research data in the University's institutional repository. Authors of the publications are recommended to agree with publishers regarding the implementation of the above-mentioned principles and sign a model amendment to publishing agreement

([http://ec.europa.eu/research/participants/data/ref/fp7/90059/model-amendment-to-publishingagreement\\_lt.doc](http://ec.europa.eu/research/participants/data/ref/fp7/90059/model-amendment-to-publishingagreement_lt.doc)) or to choose another journal that would enable compliance with the requirements of these Regulations.

14. The article processing charges, APC, book processing charges, BPC and expenses while publishing in the open access journals or publishing open access books can be covered by the funds of the University or the institutions financing the research; they can be calculated in the expenditure.

15. The University's periodical scientific publications use Open Journal Systems (<https://pkp.sfu.ca/ojs/>) open source software. Periodical scientific publications have to be included in the open access journal catalogue DOAJ (<http://doaj.org/>).

16. All books and papers published in the open access journals which article processing charges and/or book processing charges are paid by the University have to be published with Creative Commons CC-BY.

## **CHAPTER V**

### **OPEN ACCESS TO SCIENTIFIC DATA**

17. Research managers and doctoral students conducting their dissertation research are recommended to save the data received during their research in digital format and submit them to the repository after the research. For the storage of the data in the fields of humanities and social sciences it is recommended to use LiDa archive. For the storage of the data in the fields of biomedicine, physical and agricultural sciences it is recommended to use international repositories, for example, Zenodo, DataCite.

18. Doctoral students and managers of the research that includes collection of data provide a data management plan (<https://dmponline.dcc.ac.uk/>). Data management plan can be corrected.

19. The funds for the implementation of the data management plan have to be calculated in the expenditure; they can be covered by the funds of the financing institutions or division.

20. It is recommended to open the data that was used as the basis for scientific publications at the same time and the publications. These data has to be accessible in repositories or in other manner specified by the publishers and linked to the respective publications.

21. Research operators can submit a reasoned explanation and may be exempted from the provisions on the open access to data (or part thereof), if:

21.1. The results need to be protected with an intention of using the data for the purposes of commercialisation or industrial development;

21.2. Opening of data is incompatible with confidentiality requirements;

21.3. Opening of data would contravene personal data protection requirements;

21.4. There are other legitimate reasons not to open data.

22. Provisions on opening of scientific data are only recommendations.

## **CHAPTER VI**

### **IMPLEMENTATION AND MAINTENANCE OF PROVISIONS**

23. Publicly available summaries of scientific publications and scientific data, if possible, are linked to the research results, as long as it does not violate any copyrights or requirements of other legislation.

24. Uploading of documents in the institutional repository is performed according to Guidelines for Uploading of Electronic Documents of Kaunas University of Technology in Lithuanian Science and Studies e-Documents Information System.

25. Authors / research managers are responsible for the following of these Regulations and provision of scientific publications to the institutional repository.

26. Library is responsible for a high-quality description of the provided scientific publications and/or data (creation of metadata), links, compatibility of access rights and requirements of the publishers (Sherpa Romeo: <http://www.sherpa.ac.uk/romeo>), further storage and maintenance of scientific publications and data.

27. Library assesses the reports of scientific publications and analyses the compliance with the requirements of these Regulations.

28. The heads of academic divisions are informed in case non-compliance with the Regulations is identified.

**CHAPTER VII**  
**MONITORING OF OPEN ACCESS REGULATIONS AND SUPPORT**

29. The University's open access institutional repository KTU ePubl (<http://epubl.ktu.edu>) is integrated in the national joint open access repository eLABa (Lithuanian science and studies e-documents information system), it is supported by the Lithuanian Research Library Consortium. The repository conducts the document co-occurrence inspection and guarantees a long-term storage of electronic documents.
30. In cooperation with the Library's Information Systems Office, the Library ensures a required infrastructure, technical and human resources for the implementation of the open access regulations.
31. Library promotes the compliance with the open access regulations by organising information events, seminars, training, conferences, etc.
32. Library monitors the open access and scientific data uploading and use (entries, full text documents, amount of logins and downloads according to publication / division).

**CHAPTER VIII**  
**FINAL PROVISIONS**

33. The goal of these Regulations is not a restriction of the freedom of researchers in their choice of publishers, but to promote to choose open access publications.
34. Researchers are recommended to choose only the best open access journals in their field.
35. It is recommended to use Creative Commons CC-BY licence for those scientific publications that processing charges have not been paid for. It is recommended for all the research results archived in repositories to be licenced using Creative Commons CC-BY licence.
36. These Regulations have to be registered in the Registry of Open Access Repository Mandates and Policies ROARMAP (<http://roarmap.eprints.org/>).
37. The Regulations can be amended or repealed by the order of the University's Rector.
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