

APPROVED by
Order No. A-236 of the Rector of
Kaunas University of Technology of
13 May 2020

REGULATIONS ON OPEN ACCESS TO SCIENTIFIC PUBLICATIONS AND RESEARCH DATA AT KAUNAS UNIVERSITY OF TECHNOLOGY

CHAPTER I GENERAL PROVISIONS

1. The Regulations on Open Access to Scientific Publications and Research Data (hereinafter - the Regulations) regulate the basic principles, procedures, obligations and responsibilities of open access to scientific publications and research data produced by employees and students of Kaunas University of Technology (hereinafter - the University).

2. The University supports the European Union's policy on open access to research data and results obtained with public funds.

3. The University disseminates information about Open Access and its benefits among the members of the University community. It supports and promotes international and national initiatives that encourage open access.

4. The Regulations are prepared following the Law on Higher Education and Research of the Republic of Lithuania, the Guidelines of Kaunas University of Technology for Uploading Electronic Documents to the Information System of the Lithuanian Academic Electronic Library, the Guidelines on Open Access to Scientific Publications and Data by the Research Council of Lithuania, Directive (EU) 2019/1024 of the European Parliament and of the Council on Open Data and the Re-use of Public Sector Information and Guidelines to the Rules on Open Access to Scientific Publications and Open Access to Research Data in Horizon 2020.

5. The Regulations aim to:

5.1. ensure the global dissemination and exchange of scientific knowledge and the increased integration of research results generated at the University in the European Open Science Cloud;

5.2. encourage greater collaboration among scientists and reduce the number of identical and uncoordinated research;

5.3. enhance the findability, accessibility, interoperability, and reuse of research data and results (FAIR principles), and foster academic ethics;

5.4. facilitate interaction between science and business, science and policy makers and social partners;

5.5. enable greater social and economic returns from research results.

6. The Regulations apply to scientific publications with the University affiliation, data, and results of research funded by public funds, except for the cases specified in Paragraph 25 of the Regulations.

7. Terms used in the Regulations:

7.1. **Open access** means free and unrestricted online access to scientific output in digital format (scientific publications, research data, open-source software, and other published and unpublished research material) that can be freely used (read, copied, quoted, subject to automated content analysis), reused, and shared by any user for any purpose, without infringing copyright.

7.2. **An open access repository** is a technical infrastructure for storing and making available scientific publications and/or related or separately submitted research data, together with metadata. Open access repositories can be national, institutional, thematic, or specialised, and are widely recognised by the academic community in the relevant science area.

7.3. **Open access journals** are electronic scientific journals where all articles are peer-reviewed and openly available on the Internet at no extra cost to the user. The user may, subject to *Creative Commons (CC-BY)* licences, create derivative works based on these articles.

7.4. **FAIR principles (Findable, Accessible, Interoperable, Reusable)** mean that data must be findable, accessible, interoperable, and reusable in a safe and secure environment unless this is not feasible or incompatible with the subsequent use of the research results (“as open as possible, as closed as necessary”).

7.5. **Hybrid journals** are electronic scientific journals that provide open access only to those articles for which the authors or their funding institutions have paid the publishing costs; access to the remaining articles is restricted to subscribers for a subscription fee.

7.6. **Research data** means digital data of any content in any form (excluding scientific publications) that are collected or produced in the course of research activities and used as evidence in the research process or generally accepted by the scientific community as necessary to validate the research findings and results. Research data include statistical data, results of practical experiments, measurements, observations, findings from experimental research, recordings of interviews, and video material; they also include metadata, specifications, and other digital objects. Research data may be made available and accessible together with the underlying publications or uploaded, stored, and accessible in repositories to which access is provided by the institution that manages the repository. Research data uploaded to a repository must have an identifier and metadata.

7.7. **A data management plan** is a document on the collection, storage, and accessibility of research data, which specifies the actions during and after the research to ensure that the research data are collected safely and securely; the way and conditions under which they will be made available for reuse unless there are conflicting legal, ethical, or security reasons; when and how they will be made available to other users; what standard metadata will be used in their descriptions; how the obtained data will be managed and updated; which data will be intended for long-term and which for short-term storage, in the latter case indicating when and how the data will be destroyed.

7.8. **The European Open Science Cloud (EOSC)** is an open virtual environment that combines existing research data infrastructures from various disciplines, where the scientific community can store, access, and reuse research data and results.

7.9. **An identifier** is a unique and persistent digital object identifier used to identify a unit of scientific information in digital space.

7.10. **The embargo period** is the period between the publication of the scientific results (publication or data) and the time when the published text or data are allowed to be made available in a repository or an open access is provided to them otherwise.

7.11. **Metadata** are structured information that describes, explains, locates, or otherwise facilitates the finding, use, or management of a document or information resource. This includes the title, the author and his/her workplace, the funder of the research, the time and place of publication, the title of the publication, the nature of access, etc.

7.12. **Public funds** are funds from the state budget of the Republic of Lithuania, municipal budgets, the structural funds of the European Union, and funds from national and international programmes financed by the budget of the European Union and other foreign countries.

CHAPTER II OPEN ACCESS TO SCIENTIFIC PUBLICATIONS

8. Open access to scientific publications is achieved by submitting and opening them in open access repositories and/or open access journals.

9. All scientific publications with the University affiliation must be registered in the University's institutional repository and archived. Immediately after acceptance, published authors must submit digital copies of their publications to the information system of the Lithuanian Academic Electronic Library under the University's procedures. The repository opens their metadata

immediately. The metadata of the publications have to be completely open, searchable, and automatically retrievable, even when the scientific publication is subject to an embargo period.

10. When scientific publications are published, the repositories must contain links to the officially published versions. The University Library (hereinafter - the Library) monitors and ensures that links to full-text documents are functional. Full-text documents are used for research performance evaluation of the authors, departments, and the University.

11. Scientific publications must be open immediately after submission to the repository unless there is a stipulated embargo period.

12. Open access to scientific publications in the fields of Natural Sciences, Technologies, Medicine and Health, and Agricultural Sciences may be subject to a 6-month embargo period, and scientific publications in Humanities and Social Sciences may be subject to a 12-month embargo period. Monographs and scientific studies are submitted to the repository immediately after acceptance for publication but are opened after the expiration of the embargo period set by the publisher.

13. Authors are encouraged to retain the right to publish the final version of the scientific publication and research data in the University's institutional repository in their scientific publication agreements with publishers. Authors of scientific publications are recommended to negotiate the implementation of open access principles with the publisher and sign additional agreements, such as an "Open Access Publishing Agreement", or choose another journal of at least the same quality, which would ensure compliance with the requirements of these Regulations.

14. Article Processing Charges (APCs) or Book Processing Charges (BPCs) for the publication of articles in open access journals or hybrid journals with an additional agreement on open content or when publishing open access books may be covered by the funding institutions and are included in the research cost estimates.

15. The University's scientific periodicals are published on an open access basis using the open-source software Open Journal Systems (access online at <https://pkp.sfu.ca/ojs/>). Scientific periodicals must be included in the DOAJ Directory of Open Access Journals (access online at <http://doaj.org/>).

16. All scientific publications: monographs and scientific studies for which the University has paid BPCs and scientific articles published in open access journals or for which the University has paid APs must be published under a Creative Commons Attribution Licence (CC BY).

CHAPTER III RESEARCH DATA MANAGEMENT AND OPEN ACCESS

17. Open access to research data is achieved by depositing research data in open access research data repositories and enabling open access or enabling open access to data journals.

18. The national repository, the LiDA archive, is recommended for the storage of research data in the Social Sciences and Humanities. For the storage of research data in the fields of Natural Sciences, Technologies, Medicine and Health, and Agricultural Sciences, it is recommended to use repositories that meet international quality requirements, such as Zenodo, DataCite unless otherwise specified by the research funding institution. A list of data repositories is provided in the Data Repository Register (access online at <http://re3data.org>).

19. Data from publicly funded research must be findable, accessible, interoperable, and reusable (FAIR principles). The opening of research data allows data from various sources, as well as data across sectors and fields, to be accessed, combined, and reused within and beyond scientific communities.

20. To implement the FAIR principles at the University, research/project leaders, individual researchers, or doctoral students conducting research save the data obtained from publicly funded research in a digital format, and upload the data from completed research, together with the metadata describing the research, in a FAIR-compliant repository, except for the cases specified in Paragraph 25 of the Regulations.

21. A data management plan is prepared when planning research activities to ensure smooth collection, storage, and opening of research data and results in repositories. The data management plan is prepared no later than 6 months after the beginning of the research or project.

22. In research projects, data management plans are prepared and revised, and data management principles are determined according to the requirements of the research funding institutions. The funds required to implement the data management plan are included in the cost estimate of the research and may be covered by the funding institutions.

23. In the first year of study, but not later than the beginning of the annual performance assessment, doctoral students prepare a data management plan and submit it to the University's academic information system for review and approval by the scientific supervisor of the doctoral student. Doctoral students have to review and revise their prepared data management plan during each annual performance assessment.

24. It is recommended that the research data that are the basis for scientific publications be opened simultaneously with the publications. These data should be made accessible in repositories or by other means specified by the publishers and linked to the relevant publications.

25. The policy on open access to research data is applied without prejudice to intellectual property rights, the protection and confidentiality of personal data, security, and legitimate commercial interests, according to the principle of “as open as possible, as closed as necessary”, and therefore the provisions on open access to research data (or a part thereof) may not apply if:

25.1. the results need to be protected for the purposes of commercialisation or industrial development;

25.2. opening data is incompatible with confidentiality requirements;

25.3. opening the data would be contrary to data protection requirements;

25.4. there are other legitimate reasons for not opening the data.

26. The University provides researchers with the consultations, services, and infrastructure needed to manage research data, where necessary and possible.

CHAPTER IV IMPLEMENTATION AND SUPERVISION OF THE REGULATIONS

27. Publicly available summaries of scientific publications and research data are, where possible, linked with the research results, insofar as this does not conflict with copyright and requirements of other legislation.

28. The uploading of documents to the University's institutional repository is carried out according to the Guidelines of Kaunas University of Technology for Uploading Electronic Documents to the Information System of the Lithuanian Academic Electronic Library eLABa.

29. The authors of scientific publications are responsible for complying with these Regulations and submitting scientific publications to the institutional repository. The Library is responsible for the quality description (metadata creation), linking, compatibility of access rights with publishers' requirements (Sherpa Romeo: <https://v2.sherpa.ac.uk/romeo/>), and the subsequent storage and maintenance of the scientific publications submitted.

30. Research leaders are responsible for compliance with these Regulations and the submission of research data to data repositories. The owner of the data repository is responsible for the quality of data description, storage, and maintenance.

CHAPTER V MONITORING AND SUPPORT FOR THE REGULATION

31. The University's open access institutional repository KTU ePubl (access online at <http://epubl.ktu.edu>) is integrated into the national open access repository eLABa (Lithuanian Academic Electronic Library Information System), supported by the Lithuanian Academic Library

Consortium. The repository applies document similarity checks and ensures long-term preservation of electronic objects.

32. The Library, in cooperation with the Library Information Systems Office at the Department of Information Technology of the University, ensures the necessary infrastructure, technical and human resources for the implementation of the Regulations.

33. The Library promotes compliance with the Regulations by organising information events, seminars, training, conferences, etc.

34. The Library monitors the uploading and use of open access and research data (number of records, full-text documents, accesses and downloads per publication/department).

CHAPTER VI FINAL PROVISIONS

35. These Regulations are not intended to restrict researchers' academic freedom to choose their publishers, but to encourage the choice of open access publications.

36. Researchers are advised to choose only the best open access journals in their field.

37. It is recommended to also use a Creative Commons Attribution Licence (CC BY) for scientific publications for which APCs or BPCs have not been paid and the copyright is owned by the authors. It is recommended that all research results (publications or data) archived in repositories are licenced under open content Creative Commons licences.

38. Once approved, these Regulations are registered in the ROARMAP Registry of Open Access Repository Policy Documents (access online at <http://roarmap.eprints.org/>).

39. The Regulations may be amended, supplemented, or repealed by the order of the rector of the University.
