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Policy of Open Access to Scientific Information of Tomas Bata University in Zlín

Preamble

The aim of the Open Access Policy is to promote performance in science and research at Tomas Bata University in Zlín (hereinafter referred to as UTB) and to achieve international standards in the scientific research process at UTB. This document sets out UTB's policy on Open Access (OA) to scientific publications and research data (FAIR Data). The policy defines the principles and rules for the dissemination of the results of the scientific research process at UTB in the OA mode and sets out the conditions for achieving the goal.

Article 1

General provisions

1. Open access to scientific information means free and unrestricted online access to information with the right to re-use the content. It provides permanent, immediate, free and unrestricted online access to the full text of published scientific results for anyone.
2. This policy applies to all scientific and professional publications that are employee works within the meaning of Section 58 of Act No. 121/2000 Coll., the Copyright Act, created while the author was an employee of UTB. It applies to all peer-reviewed publication outputs of UTB authors, namely journal articles, conference papers, monographs, book chapters, or other materials that are outputs of projects supported by public funds.
3. Another area covered by the policy is research data management. Research Data Management (RDM) primarily refers to the organisation, storage and long-term preservation of data generated during the research process, in particular in accordance with the FAIR (Findable, Accessible, Interoperable, Reusable) principles.

Article 2

Legislative framework

UTB's open access policy is influenced by national and European documents and legislative acts that regulate this area. These include:

- 1) **Commission Recommendation 2018/790 on access to and preservation of scientific information**, according to which the open access policies of Member States should aim to provide researchers and the general public with free, open and non-discriminatory access to peer-reviewed scientific publications, research data and other research outputs at the earliest possible stage of their dissemination and to enable the use and re-use of the results of scientific research. The Recommendation also emphasises the sharing of scientific data, which should be traceable, accessible, interoperable and reusable (FAIR).

- 2) **The National Policy on Research, Development and Innovation of the Czech Republic 2021+**, which has as one of its strategic objectives to ensure open access to the results of R&D supported by public funds. The policy also emphasises the involvement of research teams in European research projects that require open access.
- 3) **The National Strategy for Open Access to Scientific Information of the Czech Republic for the years 2017-2020** defining individual concepts, roles, principles and priorities in the field of open access.
- 4) **The concept of the Information System for Research, Experimental Development and Innovation for the period 2021-2025** - measure 2.5 aims to ensure support for open access to scientific information (Open Access), including the provision of technical and software resources - openly accessible repositories of scientific publications will be linked to the Register of Information on Results (RIV). Open access will be ensured for individual publications resulting from publicly funded research, development and innovation.
- 5) **The strategic plan of the Ministry of Education and Science for the period from 2021**, according to which the Ministry of Education and Science will promote the implementation of open access to the results of research and development funded from public sources in accordance with the National Strategy for Open Access of the Czech Republic to Scientific Information and Participation in the European Research Area.
- 6) **Directive 1024/2019 of the European Parliament and of the Council of the European Union on open data**, Article 10 of which concerns research data and requires Member States to adapt their policies towards open access to funded research data. The basic idea of the Directive is to make data available in accordance with the principles of "as open as possible, closed as necessary", i.e. to make data available as much as possible unless other considerations prevent it (e.g. personal data or data related to national security, etc.).

Other documents and legislative acts in preparation/comment procedure:

- 1) **National Strategy Open Science 2021+** (responsibility of RVVI).
- 2) **Amendments to Act No. 130/2002 Coll., on Support for Research, Experimental Development and Innovation from Public Funds and on Amendments to Certain Related Acts (Act on Support for Research, Experimental Development and Innovation), as amended**, to implement Directive 1024/2019 of the European Parliament and of the Council of the European Union on Open Data. According to this law, recipients of public funding must address the management of data and its accessibility and dissemination in accordance with the principle that research results and research data are not made public only when justified (the principle of "As open as possible as closed as necessary").

Article 3

Policy objectives

UTB strives for transparent and non-discriminatory dissemination of research results produced at the University. UTB is interested in making the results of its research activities as visible, usable and impactful as possible for other scientists and organisations, thus increasing the prestige and influence of the University. On this basis, UTB strives to increase the proportion of publications available in open access mode. This objective can be achieved in the basic ways - the gold, green and diamond open access routes (see Articles 4, 5 and 6). This involves depositing publications in an institutional repository. UTB is interested in having all the publication activities of UTB authors in one place. This allows for efficient management of academic results, while reducing the risk of plagiarism and enabling effective text searching and datamining for UTB authors. The aim is to make all publications by university authors available in the UTB Repository in Open Access mode, if the publisher's licensing conditions allow it.

This includes fair treatment of research data generated in the scientific research process (see Article 7). The aim is the effective management of research data, its long-term preservation, visibility and possible accessibility. The possibility of verifying the correctness of the result enhances the quality of the research process and enables its reproduction. The opportunity to reuse data once obtained speeds up the innovation cycle and saves costs.

The policy also aims to raise awareness of open access and modern trends in scholarly communication among UTB staff and students.

Article 4

Implementing the golden path of open access

1. The golden path of open access means publishing in peer-reviewed open publishing platforms. This ensures immediate open access to the publication on the journal or publisher's website.
2. The final version of the publication is also stored and shared through the institutional Repository of Publications of UTB. By depositing the article in the repository, long-term archiving and availability of the article is ensured.
3. UTB supports publishing in fully open journals with regard to their quality. Authors are encouraged to publish in peer-reviewed journals (e.g., listed in the Directory of Open Access Journals (<https://doaj.org/>)).
4. In order to prevent the publication of papers in low-quality (predatory) journals, authors have the opportunity to use the control mechanisms provided by the University before submitting the paper to the editorial office of an open access journal. These include access to the Cabell's database of predatory journals or the quality control service offered by the UTB Library.
5. Publishing in open access journals is often associated with the need to pay Article Processing Charges (APCs). The rules for payment of author fees are dealt with in a separate directive.

Article 5

Implementation of the Open Access Greenway

1. Green Open Access means ensuring open access by uploading an article to a publicly accessible repository (by auto-archiving the article) and then making it available in accordance with the publisher's terms and conditions, i.e. immediately or after the expiry of a time embargo.
2. The embargo period is a period of time set by the publisher after which a publication deposited in the repository may not be openly accessible. The embargo period begins on the date of official publication.
3. A publicly accessible institutional repository of UTB is the UTB Publications Repository (hereinafter referred to as the Repository) available at <http://publikace.k.utb.cz/>.
4. Each entry in the Repository has a unique handle identifier and the Repository is indexed by Google Scholar and other search services and repositories, thus promoting the visibility of published papers and thus their citations. Citation metrics are available for each record.
5. In accordance with the publisher's self-archiving policy, an electronic copy of the publication in its final form is available in the Repository. This can be either the final version of a peer-reviewed manuscript accepted for publication after the peer-review process (postprint) or the publisher's version of the publication. If available, a preprint (version before peer review) can also be made available in the Repository.
6. The status of the journal or publisher will be checked by the UTB Library. Most publishers allow articles to be shared as postprints, which can then be distributed through the Repository.
7. Documents are transferred to the Repository for archiving via records in the OBD system. Authors are obliged to attach the postprint and the final version of the article as an appendix to the OBD record within 30 days from the date of publication of the article. The obligation does not have to be fulfilled by the researcher himself/herself, but can be fulfilled by the designated department/faculty member in charge of publication reporting. However, authors need to deliver the postprint to this staff member in due time.

Article 6

Open Publications

1. UTB also acts in the publishing environment as a publisher of (mostly) scientific publications. Here, too, it strives for maximum fulfilment of the principles associated with open access.
2. All journals published at UTB strive to respect high publishing standards, adhere to ethical publishing principles, and clearly define their policies on business model and open access.
3. Electronic articles and publications published at the University are assigned a persistent DOI (Digital Object Identifier). The aim is to ensure unambiguous global identifiability and easy traceability of scientific outputs produced at UTB.
4. The UTB Publishing House strives to increase the rate of electronic publications published under Creative Commons open licenses.

Article 7

Research data management

1. Research data can be characterized as any information that has been collected, observed, generated or produced for the purpose of verifying or reproducing research results. Research data can take different forms and can be both digital and non-digital.
2. [The FAIR](#) principles describe how data should be processed to make it more findable (Findable), accessible (Accessible), interoperable (Interoperable) and reusable (Reusable).
3. FAIR data will allow for validation of results, reuse of data once obtained, acceleration of the research cycle and reproduction of the scientific research process.
4. UTB is committed to fair handling and transparent dissemination of research data. This requires, above all, a good metadata description of research data and its long-term archiving.
5. Fair handling of research data creates the conditions for compliance with legal obligations in this area. UTB continuously monitors the issue of research data management and responds to new legislative requirements that arise in this area. Academics are provided with the necessary support by the UTB Library.
6. In cases (especially in projects) where researchers are obliged to implement a Data Management Plan (DMP), it is possible to use tools such as [Data Stewardship Wizzard](#) or [DMPOnline](#) for its creation. Support in this area is provided by the Library.
7. Researchers have the possibility to store their research data in the Zenodo repository, where UTB has established an institutional profile.

Article 8

Unique identifiers

1. The open and transparent dissemination of publication outputs also requires the unambiguous identification of authors. This is ensured by so-called unique author identifiers (e.g. ORCID).
2. Authors from UTB are obliged to create an ORCID ID, which is further used for reporting the results of creative activities to the OBD system and then to the national RIV system. The aim is to ensure unambiguous global identifiability of all UTB researchers.
3. The UTB Library provides methodological and practical support in the area of creation and administration.

Article 9

Education and support

1. The UTB Library raises awareness of open access to scientific information, research data management and current trends in scientific communication among UTB staff and students.
2. The library maintains a website dedicated to open access (<https://open.k.utb.cz/>).
3. The library organises regular training sessions in this area for PhD students, academics and technical and economic staff.
4. Information on the open access policy is also communicated through consultations with individual institutes.
5. Through regular meetings, practical workshops and training sessions, a network of staff across UTB is created who are sufficiently familiar with the overall issue of open access.

Rules for payment of APC (Article Processing Charges) at Tomas Bata University in Zlín

Preamble

This methodology defines the basic concepts, principles and criteria for funding the publication of open articles from the University of Tomáš Bat'a in Zlín (hereinafter referred to as UTB). The aim of the methodology is to encourage publishing in prestigious fully open access journals and, on the contrary, to eliminate the payment of publication fees for journals of lower quality or even predatory journals. The methodology is intended to contribute to the efficient use of UTB's financial resources.

Current trends and pressure from funders to publish research results in Open Access mode are bringing new approaches to publishing scientific articles. One of them is the need to pay publication fees for some types of journals. This is a fundamental transformation of the publishing system, where journals no longer collect funds for their operation through subscriptions from users, but collect publication fees from authors of articles, which are then available to readers free of charge. As this is a relatively new, highly complex area, this methodology provides the basic rules and procedures for the payment of these fees.

Definition of basic terms

Open access to scientific information means free and unrestricted online access to information with the right to re-use the content. It provides permanent, immediate, free online access to the full text of published scientific results without restriction for anyone.

2. **Gold Open Access** means publishing in peer-reviewed open access publishing platforms. This ensures immediate open access to the publication on the journal or publisher's website.

3. **Green Open Access** means that the author publishes his/her article in a subscription-based journal, whereby he/she deposits the author's version of the article in an open repository using auto-archiving, thus ensuring open access for all users.

4. **Platinum Open Access** is an open access model based on publishing scientific articles without paying a fee. Access is therefore provided without the need to incur fees on the part of both the reader and the author. The cost of publishing such articles is covered by subsidies, grants or sponsors.

5. **Article Processing Charges (APCs)** or publication charges cover the publisher's costs associated with publishing and replace the traditional journal subscription model. APCs are paid by the author or his/her home institution. This is a fee for making a publication open access and APC amounts can vary depending on the field or prestige of the publisher.

6. **Open journals** are periodicals that provide the end user with access to published articles free of charge without any fee. They are divided into three basic types:

a) **Open journals without a fee** are those whose complete content is openly available and the authors of the articles do not pay APCs to the journal. The publisher bears the costs of publication. In this case, it may be, for example, a university press or a scientific community.

b) **Open journals with APCs** also have the entire content of the journal openly available, but the costs of publication are passed on to the author in the form of publication fees. The level of fees varies from title to title, and disciplinary differences are also significant.

c) **Hybrid journals** provide open access only to selected articles for which the author has paid APCs. The rest of the content is only available to subscribers. This type of open access is offered by most major publishing houses.

7. **Predatory journals** are those whose business model involves collecting publication fees without the publishers ensuring the quality of the publishing process. The lack of proper peer review, aggressive spam campaigns when approaching authors, deliberately misleading information about the journal's quality indicators and its indexing in major databases, etc. are common. Publication of articles in this type of journals can damage the scientific reputation of the author and the institution itself.

Rules for payment of APCs

1. UTB Zlín is committed to ensuring open access to as many of its publications as possible. However, this does not mean automatic payment of APCs for all types of journal publications.

2. APCs are paid only in cases where the author lists UTB in Zlín as his affiliation. If researchers from more than one institution are involved in the article, it is necessary to clarify in advance within the author's team how the APCs will be distributed.
3. The payment of APCs for fully open access journals is supported as a priority (see point 6a in the previous paragraph).
4. In the case of hybrid journals (point 6c in the previous paragraph), payment of APCs is not recommended and free access to the article can be ensured in this case preferably by the green route of open access, i.e. by auto-archiving the article in the university repository. This is because in the case of payment of APCs for hybrid journals, there is often double payment, i.e. payment to the publisher for both the journal subscription and the publication of the articles.
5. The qualitative rules for the payment of APCs are set by each faculty and unit independently (for example, the grading of source journals into quartiles according to the current Methodology 2017+ can be used)
6. Reimbursement of APCs is strictly prohibited for predatory journals. To identify such journals, authors can use the tools offered by the UTB Library (e.g. Cabell's blacklist of predatory journals or the quality assessment service for scientific journals - more here: <https://knihovna.utb.cz/veda-a-vyzkum/podpora-vedy-a-vyzkumu/predatorske-casopisy/>).

Sources of funding for APCs

Publication fees are usually large sums of money. It is therefore necessary to seek a sustainable financial framework for their payment.

1. Grants and projects from external funders - the vast majority of funders, both nationally and internationally, consider funds to pay for APCs to be an allowable expense. When writing research projects, it is therefore necessary to plan ahead for the expenditure on APCs.
2. Internal resources of faculties and units - own financial resources may be used to support high quality articles in accordance with the internal rules of individual faculties and units.
3. Central Open Access Support Fund.
4. University authors can take advantage of discounts on publication fees from various publishers, a current list of which is available at <https://open.k.utb.cz/poplatky-apc/>.

Accounting and Monitoring APCs

1. APCs are charged in the SAP system to account 518900 Other services - publication of project results. For correct posting, it is necessary to text "disclosure of project results" in the case description field on the liquidation sheet.
2. The invoice must include the author of the article, the title of the article and the name of the journal in which the article is published.

3. The fee is recorded only for articles published in open access journals and in journals that have only some articles published in open access (hybrid journals).
4. If the fee for the article was paid by a co-author from another institution, the fee is recorded by the institution.
5. If more than one institution contributes to the fee, the amount paid by the university is recorded.
6. Monitoring of APCs fees is necessary in order to get an overall overview of payments to individual publishers (many of them pay additional fees to UTB for subscriptions to their journals). The data obtained is thus very valuable for future negotiations with these publishers.
7. Monitoring of APCs is carried out by the UTB Library in cooperation with the Economics Department.
8. Once a year, the UTB Library submits a summary of APCs data to the CzechElib licensing centre, which negotiates subscription prices for individual publishers for the whole Czech Republic.
9. The source of the fee information is the invoice sent to the Library by the Economics Department.
10. The costs of APCs are considered to be solely the costs of publishing the article. Costs for e.g. graphic and language editing on the publisher's side are not included in these costs.