



Directorate General for Science

**Author:** François SILLION

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**Subject:**

**Inria's position on the deposit of publications in HAL**

**Nature:** Action

**To:** Members of the management committee, Science delegates, IES delegate

**Circulation:** Unrestricted

This memo reviews the position of Inria regarding the deposit of scientific publications in open archives. The primary tenet of this position is **the requirement to deposit the full text of the author version of any publication of an Inria project-team in the HAL open archive.**

### **Open access: a priority for Inria**

In January 2013, Inria's management introduced a **deposit requirement for all publications of "its"<sup>1</sup> researchers** and teams on the HAL national platform. In this context, only publications, metadata and full texts, deposited in HAL are taken into account for the activity reviews (Raweb) of project-teams and for scientific evaluation.

For the institute, this proactive green open deposit policy seeks to achieve three goals:

- Enhance the visibility of our publications by making them available in open access as rapidly as possible and thereby help to increase references to our work, but also optimise knowledge sharing;
- Build a base for the corpus of all our publications, which would otherwise be fragmented between different commercial sites without any guarantee of long-term storage and without the possibility of consistently exploiting the data (data mining for example);
- Contribute to the overall evolution of the mechanisms for publishing scientific findings by integrating referencing, archiving and dissemination functions into the infrastructures of our higher learning and research institutions. Ultimately, we wish to help dissociate the functions of publication (as in making public) and certification by peers.

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<sup>1</sup> In this memo, an "Inria researcher" refers to any researcher who is a member of a project-team, whether the person is paid by Inria or not.

Inria's approach is in line with a policy to encourage the deposit of publications in HAL initiated in 2005 and constant investment in improving performances and services around the HAL platform developed within UMS CCSD, of which Inria became a co-trustee in early 2015. It also reflects the official position of the French Ministry for higher learning and research, which encourages green open access as an instrument for its open access policy<sup>2</sup>.

Furthermore, the European commission has also taken a stand to ensure that projects financed under the Horizon 2020 programme will include the requirement to place a version of the corresponding publications in open access.

Following a rapid increase in 5 years, 100% of Inria publications are currently referenced in HAL, 62% of which concern full text deposits (for the remaining 38%, only the metadata is referenced). **Inria's goal is achieve a stable full text deposit rate as close as possible to 100%. Therefore, the requirement for project-team members is to deposit the full text of their publications.**

### **Systematic deposit of the full text of the author's version.**

The editor's position on *green open access* is often ambiguous and fluctuating. The different communication channels (web site, letters to authors, documentation sites SHERPA/ROMEO etc.) may also spread contradictory information. Elsevier also changed its policy recently<sup>3</sup> according to a grid of parameters that can be hardly used by researchers.

Inria considers that it is not the role of publishers to define the conditions for disseminating our scientific publications, while researchers, research organisations and support agencies handle the realisation and financing of critical stages (research, writing, peer review, dissemination of findings) of knowledge production. The deposit requirement therefore consistently applies to all, regardless of the scientific publisher and its official policy, especially with respect to embargo.

In accordance with its open dissemination policy for research findings, and in the absence of the signature of a publishing contract explicitly excluding green open access, **Inria's position is to assume the systematic deposit of the full text of the author's version (see below)**. Researchers can therefore not be blamed for the dissemination of their *author manuscripts* through this avenue and Inria will firmly object to any attempts to intimidate any of its researchers.

### **What version should I deposit?**

The deposit requirement mainly concerns the **peer-reviewed author version** of articles accepted in conferences or journals (see further down the different publication stages), chapters of works, as well as theses written within Inria project-teams. We are therefore referring to documents where the researcher (with the co-authors) own all the copyright, with the main exception being the prior signature of a publishing contract that clearly forbids such deposit.

We also encourage the deposit as early as possible of manuscripts, so long as they are sufficient advanced for dissemination to research colleagues, for comments for instance. The dissemination of the manuscript in the form of a research report or a technical report in HAL gives it the official status of an Inria production. An early deposit, combined with the management of successive

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<sup>2</sup> [http://cache.media.enseignementsup-recherche.gouv.fr/file/HAL/93/3/01\\_Convention\\_HAL\\_246933.pdf](http://cache.media.enseignementsup-recherche.gouv.fr/file/HAL/93/3/01_Convention_HAL_246933.pdf)

<sup>3</sup> cf. <https://www.coar-repositories.org/activities/advocacy-leadership/petition-against-elseviers-sharing-policy/>

versions, allowed by HAL, can be used to flag and date the deposit and indicate its prior existence to the corresponding research findings<sup>4</sup>.

With respect to **publishers' versions**, we do not require the immediate deposit, unless specific authorisation is available or if the document itself is available in open access<sup>5</sup> on the publisher's site (see section concerning licenses below). Note that Inria has a specific agreement with BioMedCentral which integrates the automatic deposit of the article in HAL on the publication date. These versions may of course be attached to the HAL deposit at the end of the publisher's or legal embargo period.

### **When should I deposit my articles?**

**We recommend depositing the revised article as soon as it is sent to the journal.** It then becomes immediately available online regardless of the publisher's publication deadlines. In any case, the document must be available at the time of writing the annual activity report.

**Concerning conferences**, according to a similar principle, **we recommend depositing in HAL the last version of the article sent to the organisers.** This allows you to communicate your findings to a large audience before meeting your colleagues face-to-face for discussion. If the conference is organised under SciencesConf.org, the deposit is then automatically managed under the papers management function in HAL.

In case of the need to apply for a patent, any publication must obviously be postponed, so long as the application has not been actually filed. However, a manuscript or thesis with a confidentiality clause can be deposited in in green open access with a deferred online display, which allows dating without impacting the search for prior art.

### **What license should I use?**

After ensuring the best possible compromise between maximum recycling of published contents and the guarantee of the proper attribution of findings to their authors, **Inria recommends the use of the Creative Commons license with Attribution (CC-BY)** for any deposit in HAL.

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<sup>4</sup> The European Patent Office also uses HAL regularly as a source in its prior art searches.

<sup>5</sup> See the memo entitled: *Inria's position on the author-pays model and management of Article Processing Charges (APC)*

In the special case where the article is available in open access on the publisher's site (native open access journal), the version can be deposited in HAL by linking the same license to it as the one attached to it on the publisher's site.

## Involvement of co-authors in the deposit process

Our community of research in computer science and applied mathematics is aware of the need to disseminate its findings in open access. However, we must inform **our co-authors** as early as possible of the Inria requirement and of the vision behind this policy.

The IES network and the Directorate General for Science are at the service of researchers to offer them any assistance they might need in implementing this information policy.

## Scientific social networks

Several private platforms offering publications dissemination services have emerged in recent years (ResearchGate, Academia, MyScienceWork, etc.). As shown by the acquisition of Mendeley by Elsevier, these platforms do not guarantee the existence of multiple services, but often serve to attract articles, thereby increasing the concentration of publishing and scientific communication players. These platforms, which offer no long-term guarantee and which lead to the further fragmentation of dissemination sites for our articles (generating for example, difficulties in compiling user statistics), must be used with care. **In all cases, we advise Inria project-team researchers against depositing full texts**, but rather to reference the deposit in HAL on such sites using the corresponding permanent link.

## Stages in the life of a publication

The life cycle of a publication generally includes the following phases:

**Author version:** corresponds to any text with content is directly produced by the authors. This includes the initial manuscript and its subsequent versions, the manuscript submitted for review to a conference or a journal.

**Initial manuscript:** first form of the author version disseminated in open access.

**Submitted manuscript:** first form of the author version sent to a conference or a journal for peer review.

**Revised manuscript after review:** last author version as transmitted to the conference or journal after peer review.

**Publisher's version:** document possibly formatted by the conference or journal publisher and distributed by the latter.