Open Access in Italy
(infrastructure, tools, services)
and OpenAire

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Overview

• State of the art of OA in Italy

• CRUI OA Working Group: Guidelines to archiving doctoral theses

• Tools / services/Projects to disseminate doctoral theses

• IRIS- Institutional Research Information System

• OpenAire
Cineca

Italian University
Public, Not for profit
Consortium

70 Italian universities

5 Institutions
Italian Ministry of Education
National Research Council
OGS, Indire, Invinsi

2 main offices
International
Istanbul
Izmir

Milano
Bologna
Roma

FOSTER
Services & Activities

Higher Education
Solutions & Services for the University Administration
Services for the Ministry of Education, University and Research (MIUR)

Scientific Research
High Performance Computing – FERMI: 5° in EU / 15° WW
Scientific Visualization & Interactive Virtual Environments

Technological Innovation
Data Center
Information and Knowledge Management Services
Health Care Systems
Cineca around the World

CINECA systems support Education and Research activities in 185 **Universities** across **13 different countries** worldwide.

**Students & Learning:**
>50 Installations (Turkey, Romania, Albania, Haiti, Central Asian Republics)

**Research (DSpace + DSpace-CRIS + IRIS):**
>20 Installations (the 5 Continents and the World Health...
62 universities adopted IRIS in Italy 2014-2015
IRIS is a CRIS

Institutional Research Information System

Current Research Information System consists of a set of application services to handle entities such as People | Units | Projects | Research Output|and the workflow

• Activities & Projects
• Resource Management (RM)
• Institutional Repository/Open Archive (IR/OA)
• Evaluation & Review (ER)
  Research evaluation exercises
• Expertise & Skills (ES)
Supporting OA in Europe

OpenAIRE representing all Member States

32 National Open Access Desks
- Involving the research libraries
- Diverse national research environments

OA advocacy through targeted activities
- Liaison with National Reference Points
- Helpdesk, workshops, training

Harmonisation of OA policies
Definition of shared guidelines
OA in Italy: Political and Legal Framework

• Declaration of Messina to support the Berlin Declaration (Nov. 2004)

• 77 Italian Universities signed the Berlin Declaration (July 2005)

• CRUI- Open Access Working Group 2006 –

• EUA Recommendations to OA (2008)

• Position Statement to support Open Access in the Italian Research (March 2013)

• MIUR appoints a National Point of Reference for the implementation of the European Recommendations (April 2013)

• Messina Declaration ROADMAP (Nov. 2014)

EUROPE: Recommendations to State members for access and conservation of scientific information (July 2012)

ITALY: The OA LAW 112/2013

EUROPE: Horizon 2020 OA requirements (all publications (research articles) resulting from funded projects must be open access within an embargo period of 6 months for STM and 12 months for SSH (December 2013)

ITALY: MIUR – grant funding for young scientists (Bando SIR) 2014

OA mandate for research results (articles and underlying research data): green OA within 6 months for STM and 12 months SSH) or publishing in OA peer reviewed journals
The OA Law: 112/2013

contemplates Open Access to research results (scholarly articles) funded at least 50% with public funds...

- Publishing in OA journals
- Archiving the article in an institutional or disciplinary OA repository
State of the art of OA in Italy - 2015

- 62 universities have migrated to IRIS
  - 1,165,812 items (scientific output) indexed in PLEIADI (peer reviewed articles, Doctoral theses, technical reports, working papers etc) as of July 7, 2015

- Implementation of mandatory policies
  - 11 institutional policy mandates out of 80 universities
  - 2 private funders mandates (Telethon and Fondazione Cariplo)
  - 38 Doctoral Theses mandates

- MIUR - grant funding for young scientists (Bando SIR) 2014
  - OA mandate for research results (articles and underlying research data): green OA within 6 months for STM and 12 months SSH) or publishing in OA peer reviewed journals
Guidelines and Recommendations
CRUI Open Access Working Group (OA WG) - Library Committee of the Conference of the Rectors of Italian Universities (CRUI) 2006 -

The OA WG: to implement the principles of the Berlin Declaration in support of OA to academic and scientific literature and to research data

- green road to OA
- gold road to OA

How: providing guidelines and recommendations to implement OA in Italian Universities and Research Centres (Guidelines on institutional repositories Open Access Journals, OA policy, metadata ecc.)

The first ones to be released were the Guidelines for the deposition of doctoral thesis in Open Archives (2007)
Conferenza dei Rettori delle Università italiane

OA CRUI  and Doctoral Theses

Doctoral Theses: research output, subject to reviewing, quality research that deserves

- visibility,
- dissemination
- impact

as the first step towards establishing OA policies for all research outputs.
**OA CRUI and Doctoral Thesis**

**HOW:** by archiving them into OA institutional repositories (IR).

**Immediate deposit in IRs, to the advantage of both post graduates and the Institutions they belong to.**
The *Linee guida per il deposito delle tesi di dottorato negli archivi aperti* (Guidelines for archiving doctoral theses in IRs) were approved by CRUI in November 2007 and are meant to promote best practices for capturing, storing, disseminating electronic doctoral theses.
Doctoral theses are considered “publications” as they are made publicly available at the National Libraries of Roma and Firenze (DPR 07/11/80, n. 382, art 73, D.M. n. 224 04/30/99)
Doctoral theses and copyright law

The PhD student is the only author as such holds all moral rights and economic exploitation rights hence, s/he has the right to prevent his/her thesis from being publicly available.

Italian copyright law

The laws regulating PhD courses (DPR 07/11/80, n. 382, art 73, D.M. n. 224 04/30/99) conversely hold BNCF responsible for making all PhD theses publicly available.

Source: Time to harvest: Doctoral Thesis in Italy. Stefania Arabito, Daniela Cermesoni, Paola Galimberti, Maria Laura Vignocchi, ETD 2008, Aberdeen, 4th – 7th June
Italian Universities have the right and the duty to mandate self-archiving of doctoral theses in their IRs.
The institutional policies regulating PhD courses have to be suitably modified.

notification of theses availability in the IR after defence is a requirement for being granted a PhD degree. Students will have to comply with such provision but for a few exceptions where an embargo period will be allowed.

For ongoing courses, immediate deposit can be mandated.

All universities should adopt similar strategies and go for self-archiving instead of mediated deposit by librarians.
The Guidelines are a practical toolkit for all Italian Universities planning to deposit doctoral theses in IRs.

- Legal forms and clauses are included

- A metadata scheme has been devised for the sake of interoperability.

- Practicable solutions offered to simplify both administrative and technical procedures.
All doctoral theses will be submitted to, or harvested by, BNCF and BNCR, which are in charge of
- legal deposit
- long-term preservation
- national discovery and accessibility.

Integration and interoperability require the adoption of standard protocols and metadata.
Copyright and Open Access

Copyright issues jeopardize the free availability of theses:

- use of third party owned materials
- third parties involved (possible infringement of privacy)
- patentable discoveries
- ongoing publication of data (according to the publisher policy)

EMBARGO PERIOD, in compliance with the immediate deposit/optional access model.

- metadata immediately searchable and retrievable
- e-theses embargoed for a period from 6 to 12 months.
Addendum to the Guidelines on doctoral theses to help PhD Students and admin staff with the copyright issues:

Definition of copyright in the Italian Law
Definition of author
Definition of rights
Third parties rights
Plagiarism
Creative Commons Licenses

Options to restrict Open Access by applying embargoes (delayed access to a publications for a set of period of 12 or 18 or more months) or restricted access
- publishing in journals
- commercial exploitations (publishing monographs, patents)
- security reasons
- privacy issues

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Tesi di dottorato e diritto d’autore

A cura del gruppo OA CRUI.

Indicazioni per l’applicazione delle Linee guida per l’accesso aperto alle tesi di dottorato.

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Premessa

1. Perché l’accesso aperto alle tesi di dottorato

Le tesi di dottorato vengono sottoposte a un controllo periodico durante la loro elaborazione da parte dei tutor e dei Docenti del Dottorato; vengono poi giudicate da una commissione per due terzi esterna. Subiscono dunque un processo di validazione molto accurato.
Adoption of CRUI OA WG Guidelines

Up to now 38 universities (out of 80) have adopted the Guidelines

A large number of universities will expect to adopt and implement them in the following years

80% of Italian Universities will have implemented an institutional repository by September 2015 (migration to IRIS- Institutiona Research System)
TOOLS
to discover Doctoral Theses deposited in OA repositories
Tools to enhance the visibility
Doctoral Theses: The Portal PLEIADI

http://www.openarchives.it/pleiadi

PLEIADI – Portale per Letteratura scientifica Elettronica Italiana Archivi e Depositi istituzionali

- indexes over 1.165.500 items (published articles, books chapters, OA monographs, doctoral theses) deposited in Italian IR and articles published in Italian OA journals
- exposes OAI-PMH compliant metadata to other service providers (e.g. DART- Europe E-thesis Portal)
- developed and run by Cineca
Tools to enhance the visibility
Doctoral Theses: The Portal PLEIADI

http://www.openarchives.it/pleiadi

PLEIADI – Portale per IR and articles published in Italian OA journals

• Search functionalities
  - Basic search
  - Advanced search (author, title, journal name, institution, subject etc)

Filters

• Language
• Type of material
• Institution
• Type of access (Open Access, embargo, closed access, restricted access)
Tools to enhance the visibility Doctoral Theses: The Portal PLEIADI

http://www.openarchives.it/pleiadi

PLEIADI – Portale per Letteratura scientifica Elettronica Italiana Archivi e Depositi istituzionali

Example of a search
Tools to enhance the visibility
Doctrinal Theses: The Portal PLEIADI

http://www.openarchives.it/pleiadi

PLEIADI – Portale per Letteratura scientifica Elettronica Italiana Archivi e Depositi istituzionali

Search results to identify the doctoral theses deposited in OpenSTarTs

Filters activated:
- institution name
- typology of material

• Link to OpenSTartS
Tools to enhance the visibility
Doctoral Theses: The Portal PLEIADEI
TOOLS: DART- Europe E-theses Portal

http://www.dart-europe.eu

- DART-Europe is a partnership of research libraries and library consortia who are working together to improve global access to European research theses.

- DART-Europe is endorsed by LIBER (Ligue des Bibliothèques Européennes de Recherche), and it is the European Working Group of the Networked Digital Library of Theses and Dissertations (NDLTD).
TOOLS: DART- Europe E-theses Portal

A single European Portal for the discovery of Electronic Theses and Dissertations (ETDs) published in several universities.
PLEIADI is harvested by DART- Europe, currently over 24,000 archived in Italian institutional repositories are indexed.
It was announced yesterday that it has been released GLOBAL ETD Search

- Currently it indexes approximately 4 million Electronic Theses and Dissertations (ETDs) from more than 200 universities from all over the world
TOOLS: Generalist search engine Google Scholar, BASE

Institutional repository are indexed by Google and by Google Scholar (see example from IRIS- Verona)

BASE- Bielefeld Academic Search Engine (indexes more than 70 million publications deposited in OA archives)
A brand new Project!

Project run by the University of Verona with the technical collaboration of Cineca through the service PLEIADI

Goal: to enhance sharing of Italian Doctoral Theses and research data, discoverability and to provide added value services to post-graduate and doctoral students

How:
- a new Portal exclusively dedicated to doctoral theses (harvested by PLEIADI)
- Enriching metadata harvested by PLEIADI
- Improving PLEIADI metadata quality and discoverability
  - Normalization of data (dc:language; dc:type; dc:rights; dc:subject)
  - Extraction of relevant concepts from the theses through the tool Concept Mapper (developed by Cineca)
  - Automatic Semantic Annotation: integrated with the Concept Matter to extract concepts related to a doctoral thesis in an automated way
A brand new Project: OpenTesi

How:
 Publication of the Open Data (metadata) cited in the doctoral theses indexed in PLEIADI
 Export facilities through Open Dataset Download
 a dedicated website (with info, statistical data, news etc)
 Publishing and Dissemination activities towards Open data portals (data hub etc)
A brand new Project:

- Currently 5 universities are sharing the doctoral theses data on an experimental basis
- The Portal is currently accessible (beta version)
- Portal (search interface) + the news, info, statistical data Portal will be released by the end of 2015
IRIS : depositing and/or disseminating doctoral dissertations
IRIS is a CRIS

Institutional Research Information System

Current Research Information System consists of a set of application services to handle entities such as People | Units | Projects | Research Output|and the workflow

- Activities & Projects
- Resource Management (RM)
- Institutional Repository/Open Archive (IR/OA)
- Evaluation & Review (ER)
- Expertise & Skills (ES)
HKU: The Researcher

HKU ResearcherPage: Bacon-Shone, JH

Professor Bacon-Shone, John Hugh

- Associate Dean of Social Science
- Director, Social Sciences Research Centre
- Associate Director, Knowledge Exchange Office
- Chairman, Human Research Ethics Committee for Non-Clinical Faculties

External Metrics

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IRIS: the Institutional Repository integrated in the CRIS - Benefits for researchers

Open Access becomes part of the researcher workflow

Increase the awareness on OA, on copyright issues, licenses

Compliant to research funders OA mandates (Horizon 2020, Law 113, Bando SIR/SIR Call for young scientists)

Avoid duplication of information and data

Provides immediacy of circulation of research output and its preservation

Monitor usage and develop new services to increase visibility

deposit once, and use it many times, for many different purposes
Institutional Repository /Open Archive

- **Institutional Repository/Open Archive** (IR/OA)
  - Archiving, dissemination, enhancement of all types of research output generated by research activities
    - Research output deposited can be made available Open Access immediately or after an embargo period
      - peer reviewed scientific publications, doctoral theses, patents, books chapter, monographs. Conference proceedings, dataset, software, ecc.

- Interoperable with national and international OA service providers and platforms to disseminate research output (publications, datasets, patents, ecc.)

- Compliant to MIUR (Bando SIR/Call SIR) to FP7 OA Pilot Project and Horizon 2020 requirements on Open access to publications
IRIS: to disseminate and maximise the impact

Compliant to OpenAIRE HoGuidelines 2.0 later on this year to Guidelines 3.0 (Horizon 2020 OA requirements)

Indexed by PLEIADI- Portale per la Letteratura Elettronica Italiana presente in Archivi Aperti e Depositi Istituzionali

Interoperable with Depositolegale.it – per ottemperare agli obblighi di deposito e conservazione delle tesi di dottorato in formato digitale (MiBACT- MIUR)

I metadati anche da
  • Dart Europe –

Search Engine: BASE- Bielefeld Academic Search Engine; OAIster dedicati all’harvesting di contenuti Open Access archiviati in open repository di atenei ed enti di ricerca

Search Engines: Google e Google Scholar

Other possible services (per es. Europeana vedi Iris-Air Milano Statale)
IRIS at University of Trieste
Thank you

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