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Scholar publications and open access policies: the Ktisis case

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Abstract Throughout the world, academic libraries have come to the conclusion that the development of institutional repositories must be one of their major goals. Institutional repositories are the means for libraries to provide access to the research product of the academic community and also to promote open access. The publication of the research results in open access journals assists in the global diffusion of this information. The open access movement is becoming very popular among the academic institutions. Today more than 320 organizations have signed the Berlin declaration on Open Access. The Library and Information Services at the Cyprus University of Technology is one of these organizations. By signing this declaration the University commits to promote and support Open Access encouraging the

researchers to publish their work based on the Open Access policies. The Library has developed the first institutional repository in Cyprus, Ktisis. This paper briefly describes the implementation process of Ktisis and continues to examine the set of activities used in the strategic plan of Ktisis, including the definition of open access policies.

1. Introduction

The role of scholar publications is crucial to the modern society. The results of primary research are made available to the academic community and the society through scholar publications. Therefore it is crucial that these results become available easily and in a short period of time. This is where institutional repositories come in order to play this vital role. Institutional repositories usually consist of formal organized collections of digital content. The Open Access Movement, the Open Archives initiative, the need for changes in scholarly communication to remove barriers to access and the increasing awareness that universities and research institutions are losing valuable digital and print materials, have assisted in driving the establishment of institutional repositories.

The four main reasons for having an institutional repository are:

1. To provide global visibility for an institution's scholarship;
2. To collect content in a single location;
3. To provide open access to institutional research output by self-archiving it;
4. To store and preserve other institutional digital assets, including unpublished or otherwise easily lost ("grey") literature (e.g., theses or technical reports)¹.

Open access plays a significant role and provides a number of benefits to the libraries.

Libraries using open access can solve the pricing and permission issues for scholarly

journals. Through open access research results become visible to a wider audience very quickly. This augmented exposure to research also increases citation rates. Additionally, Open Access is essential for Europe's ability to enhance its economic performance and improve its capacity to compete through knowledge. Open Access can also boost the visibility of European research and in particular it can offer small and medium-sized enterprises (SMEs) access to the latest research for exploitation².

2. Institutional repository policies

The main benefits that institutional repositories offer include the following:

1. Organizational support for faculty seeking innovative approaches to research dissemination.
2. Demonstrate the quality, and scientific, social and economic relevance of an institution's research.
3. Increase the institution's visibility, status and public value.
4. Improved research knowledge management³.

In order to achieve these benefits institutional repositories need to have well defined policies. According to an OpenDOAR (Directory of Open Access Repositories) survey in early 2006, about two thirds of Open Access repositories did not have publicly stated policies. This complicates matters for organizations wishing to provide search services, which in turn reduces the visibility and impact of these repositories⁴.

In order to compose such policies we have to consider the environment that the institutional repository will exist in. Institutional repositories policies will provide not only a framework but also a medium that will facilitate stakeholders to understand the process and the standards.

Institutional repository policies are crucial not only for the support but also for the long term existence of a repository. A very important issue in the definition of the policies is the digital preservation. Preservation is the key word in order to convince the academic community to deposit their work in an environment which ensures that this work will be preserved in the future.

Another important factor in the definition of the repository's policies is to decide how the content of the repository will be used. It is also very important to develop a copyright policy in order for the authors to specify the terms and conditions under which they will deposit their work in the repository⁵.

3. The Ktisis project

The Library and Information Services of the Cyprus University of Technology, following the recommendations of EUA (European University Association) and the EUA Working Group on Open Access has set Open Access to be one of its first priorities⁶. According to the EUA Working Group on Open Access universities should develop institutional policies and strategies that foster the availability of their quality controlled research results. The Library and Information Services at the Cyprus University of Technology has adapted these suggestions and has proceeded to their implementation by developing the institutional repository Ktisis (<http://Ktisis.cut.ac.cy/>). Ktisis is an open source institutional repository gathering any digital material relating to the various activities of the Cyprus University of Technology especially original research material produced by the members of the University. Defined in this framework, Ktisis demonstrates the intellectual life and the research activities of the University, preserving, spreading and promoting the scientific research to the local and international community.

When Ktisis was at the designing stage, the Library defined the set of goals that Ktisis needed to achieve. These goals were:

- To locate and archive together cultural heritage items from private collections.
- To guarantee long-term preservation and access to the data.
- To promote interest and involvement in the digitization process and preservation of cultural heritage.
- To promote open access at the Cyprus University of Technology⁷

4. The Ktisis Policy Framework

The creation of policies for Ktisis was deemed necessary at the initial stage of Ktisis development so that there would be a framework to follow in relation to the objects to be deposited and also to be able to protect the users' copyright.

4.1 Submission policy

In April 2007 the Governing Board of the University decided that all the members of the academic community must be given guidelines in order to report all their publications at the University. Additionally they should submit a copy of their publications to the Library. At a later date in December 2008, the Governing Board approved the mandatory submission of the undergraduate, the MSc and the PhD theses of the CUT students to Ktisis.

4.2 Who can deposit

The material hosted in Ktisis must have been created by the members of the academic community or members of the administration services of the university.

4.3 Ktisis Publication Categories

- Peer reviewed journal articles
- Books
- Book chapters
- E-books
- Conference papers
- Reports
- Patents
- Abstracts
- PhD Theses
- MSc Theses
- Bachelor's Theses
- Diploma Project
- Research projects
- Digital Collections (cultural heritage items)
- Other articles

4.4 Format

- Every file must be submitted in PDF format
- This PDF file must be an exact copy of the original file.

- If the work submitted is accompanied by files of other types, then these files should be compressed and submitted in a zip file.

5. Ktisis Content Policy

Ktisis is gathering any digital material relating to the various activities of the Cyprus University of Technology especially original research material produced by the members of the University. Defined in this framework, Ktisis demonstrates the intellectual life and the research activities of the University, preserving, spreading and promoting the scientific research to the local and international community

The content of Ktisis is organized into 5 communities:

- CUT Academic Publications
- Publications of CUT Administrative Staff
- Academic publications in other institutions
- Digital Collections
- Theses and Dissertations (ETDs)

5.1 Dissertations policies

Intellectual property rights belong to the respective author, who after the acceptance of the terms of the Electronic Disposal License, grants to the library the non-exclusive right to publish and dispose the electronic form of his work on the Internet. The work is available through the institutional repository for educational, research, private and non commercial purposes according to the access policy that has been set:

- The user can use freely the material for educational or research purposes according to the Creative commons⁸ terms.
- The commercial exploitation of the repository content is strictly forbidden without the written consent of the author and copyright holder.

5.2 Scholar publications

The availability of the full text is determined depending on the type of publication:

Journal articles: The Library checks the status of the copyright of each publication submitted to Ktisis based on the policy followed by each journal. The various policies of journals can be found in the website of the Sherpa/Romeo University of Nottingham.

In published articles, especially in “peer reviewed” journals, the author may not have the right to make his article available in Ktisis. In this case, the Library offers the possibility of restricted access through DOI (Digital Object Identifier) where the record is created with the metadata of the specific publication. Access to the full text article is possible only through the connection to the electronic journal owning the article (assuming that the Library has access through its subscriptions).

All the publications submitted to Ktisis constitute the intellectual property of the respective author and are freely available online under the terms of the Deposit-Disposal license and the Creative Commons license.

Pre-publication web posting: For articles that have not yet been submitted to a journal, the author preserves the copyright and these articles can be published in Ktisis after the written consent of the author. Many publishers have recognized that

the publication of a pre-published article to the web is common practice. The policies followed by the publishers can be found at the <http://www.sherpa.ac.uk/romeo>

Books: The copyrights of a book are defined by the publisher. The Library purchases the books of the members of the academic community of the university and then creates a bibliographic record in Ktisis containing only the metadata relevant to that book.

Book chapters: The copyrights of a book are defined by the publisher. The Library purchases the books of the members of the academic community of the university and then creates a bibliographic record in Ktisis containing only the metadata relevant to that book.

Electronic books: Ebooks copyrights are set by the issuer. The Library creates a record with the metadata relevant to the specific publication. Access to the full text of the ebook is available through the electronic resources of the library.

Conference papers: Conference papers copyrights are set by the issuer. The Library creates a record with the metadata relevant to the specific publication. Access to the full text is available through the electronic resources of the library.

Reports: The author owns the copyright of the report and may publish this report in Ktisis.

Patents: The author owns the copyright of the patent and may publish this patent in Ktisis.

Abstracts: The abstracts of scientific publications may be freely published in Ktisis.

5.3 Metadata Policy

Metadata are data describing other data. Ktisis creates a metadata record using the Dublin Core element set. These records are available to the search engines in the web

and they can be distributed to other libraries and research centers for inclusion in their catalogues.

Access to the metadata is open to all users with no restrictive conditions. Additionally Ktisis provides its metadata to various metadata harvesters applying the OAI-PMH Protocol for Metadata Harvesting (Open Archive Initiatives - Protocol for Metadata Harvesting). The metadata can be reused in any means for non profit purposes without the prior permission of Ktisis.

5.3.1 Preservation policy

Ktisis is taking regular backups of the Ktisis database. Ktisis aims towards the long term preservation of the scholarly produce and towards permanent access to it. No content should be removed from Ktisis, unless one of the following reasons apply:

- Proven copyright violation
- Legal requirements and proven
- Spoofed research

Deleting an item means permanently removing the item from Ktisis as well as its metadata.

5.3.2 Usage policy

Material that is published in Ktisis is freely accessible and retrievable from any internet user, except in cases where the open access policy conflicts with the intellectual property rights of third parties (issuers). In these cases only the bibliographic data are available as well as the electronic address of the item. This applies to the period during which the restrictive conditions exist.

6. Future perspectives

Institutional repository policies need revisions and updates in order to correspond to current needs and new challenges. The Library and Information Services at the Cyprus University of Technology conducted a survey⁹ aiming to examine the degree of familiarity of the academic community with Open Access. The survey also aimed to define the views and difficulties faced by the academic community on the Open Access model, in order to assist the library in the promotion of Open Access and consequently of the institutional repository Ktisis within the university.

The survey showed that 68.32% of the academic staff knows what Open Access is and another 47.52% would like to use Open Access for the dissemination of their publications. In the other hand only 15.84% of the academic staff regularly deposits their publications into the Institutional Repository Ktisis and another 12.87% occasionally. This means that 71.29% of the people involved never submit their work to Ktisis.

The main reason for that (72.22%) is that they are not aware of the Ktisis existence therefore they publish their work in commercial publishers. Another important result showed that 31.68% of those asked publish their work in an Open Access environment. Moreover the 87.13% of those who completed the survey are not negotiating the terms and conditions of their publications with the publishers.

Another 89.11% would like the university to develop an author addendum policy in order to protect the author and university rights. Author addendum policies are very important since commercial publishers often hold all the rights, including copyright, and the author gives all the key rights to the publisher. With this agreement the author keeps the critical rights.

From the above facts we can update our Open Access policy adding an author addendum policy. In addition to these we can develop a better strategy for communicating with the academic community and convince them to the benefits of Open Access and depositing their work in Ktisis.

7. Conclusion

To sum up we have to say that scholar publications are necessary to exist in an Open Access environment in order to be easily accessible without cost. The existence of a policy is vital if we want to achieve the aforementioned goals

Given that the current economic crisis has tremendous consequences to library sources and budget, Open Access is the only way using which a library can have access to scientific work without the high cost of commercial publishers. Open Access gains more and more followers and will be the dominant publishing model of the future.

¹ Kumar Jain S., Shrivastava A., *Academic Institutional Repositories in India: Global Visibility for an Institution's Scholarly Communication*,

<http://drtc.isibang.ac.in/xmlui/bitstream/handle/1849/413/AIR%20in%20India.pdf?sequence=1>

retrieved on May 24, 2012.

² European Commission Research and Innovation- Science in Society, *Open Access*,

<http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1294&lang=1>,

retrieved on May 27, 2012.

³ Jain S K, Shrivastava A. *Academic Institutional Repositories in India: Global Visibility for an Institution's Scholarly Communication*,

<http://drtc.isibang.ac.in/xmlui/bitstream/handle/1849/413/AIR%20in%20India.pdf?sequence=1>,

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⁴ OpenDOAR *Policies Tool*, <http://www.opendoar.org/tools/en/policies.php#scope>, retrieved on June 3, 2012.

⁵ Jisc Respository Net, 2008, *Repository policy framework*, <http://www.rsp.ac.uk/documents/briefing-papers/repoadmin-policyv2.pdf>, retrieved on May 23, 2012.

⁶ European University Association *Recommendations from the EUA Working Group on Open Access adopted by the EUA Council on 26th of March 2008 (University of Barcelona, Spain)*, http://www.eua.be/Libraries/Page_files/Recommendations_Open_Access_adopted_by_the_EUA_Council_on_26th_of_March_2008_final_1.sflb.ashx/, retrieved on April 1, 2012.

⁷ Dini Kounoudes A., Artemi P., Zervas M. 2010, *Ktisis: Building an open access institutional and cultural repository*, Digital Heritage: Lecture Notes in Computer Science, 6436, 504-512.

⁸ Creative Common *Creative Common*, <http://creativecommons.org/>, retrieved on May 24, 2012.

⁹ Giannoulakis S., Zervas M., Artemi P., *Promoting Open Access at the Cyprus University of Technology: survey results*, 5th International Conference on Information Law and Ethics, 29-30 June 2012, Corfu Greece (in press)