
PASTEUR4OA Case Study

Institutional policy implementation at the University of Turin, Italy

Author: David Ball (SPARC Europe)

Reviewers: Alma Swan (EOS)

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Summary

The University of Turin¹ is one of the most ancient Italian universities, founded in 1404. It is a multi-disciplinary university, with 27 Departments, 67,000 students, 4,000 academic and administrative staff.

The University has a strong research tradition in the well established subjects such as history, philosophy, law, economics and medicine, and is currently aiming to move into new sectors, such as food science, performing arts and communication sciences.

The institutional repository, AperTO, is powered by IRIS, a tool based on DSpace, which serves both as CRIS and IR. As of 15 September 2015, 40% of the 26.341 deposited files are available on Open Access. Since the adoption of the policy, there has been a 110% increase in deposited Open Access papers.

The Open Access policy is strongly linked to the internal research evaluation and assessment process: to be eligible for evaluation, any research output must be deposited alongside its cleared Open Access version.

The stages in the creation and implementation of the policy are exemplary, being well thought out and executed, at both the political and practical levels.

¹ <http://www.unito.it>

Strong political support was obtained from the Research Committee of the Senate and its President.

The Library, in re-organising its services, has created an Open Access Office, currently with 2 FTE staff, in charge of managing both the repository and the Open Access journal publishing system (currently with 14 OA journals).

The network of the “Open Access point of reference” in each department was found to be invaluable in dealing with immediate policy and practical issues.

The Open Access Office provides tools needed to check compliance, such as the survey of copyright policies of Italian publishers not listed in SHERPA RoMEO.

1. Introduction

The University of Turin² is one of the most ancient Italian universities, founded in 1404. In 2012, as all the Italian universities, it underwent a far-reaching administrative re-organisation, moving from 54 to 27 Departments with redrafted statutes.

The University of Turin has 67,000 students, 4,000 academic, administrative and technical staff, and 1800 post-graduate and post-doctoral students across Turin and in Piedmont.

The University is currently one of the largest in Italy, undertaking scientific research and courses in all disciplines, except engineering and architecture. It aims to be an integral part of the community, active in reviving urban and suburban areas, promoting cultural interaction, social integration and development, and encouraging dialogue and insight into current realities.

Research fields

The University of Turin aims to cover virtually every field of knowledge; its Medical Diagnostic, Biosensor Technologies and Nanotechnologies research centres are reputed to be among the best in Italy. Some of the degree courses offered, such as military strategy, biotechnology, sport sciences, restoration and conservation, are said to be unique in Italy.

The University of Turin has a research tradition in the well established subjects, such as history, philosophy, law, economics and medicine, and is currently aiming to move into new sectors, such as food science, performing arts and communication sciences.

The University is active at an international level through partnership arrangements in India, China, developing countries in Asia, Latin America, Eastern Europe, the Mediterranean Area and with international organisations.

² <http://www.unito.it>

Facts and figures

Students	Teaching and learning	Research outputs	Staff
67,000 students (62% women)	65 three-year bachelor's programmes	560 research projects	437 professors
3,700 foreign students (5,5%)	74 two-year master's programmes	37 patents (2011-13)	634 associate professors
1,800 Master's degree students	9 five-year and six-year programmes	Ca. 8.000 scientific publications per year	958 assistant professors
1,275 PhD students	103 Master's degrees courses	560 research projects	(Women: 41,2%)
	29 PhD courses		1899 FTE administrative staff
	45 specialist schools		(Women: 66.8%)

Table 1: Facts and figures about the University of Turin

In summary:

- The University of Turin is one of the most ancient Italian universities, founded in 1404;
- It is a multi-disciplinary university, with 27 Departments, 67,000 students, 4,000 academic and administrative staff;
- The University of Turin has a research tradition in the well established subjects such as history, philosophy, law, economics and medicine, and is currently aiming to move into new sectors, such as food science, performing arts and communication sciences.

2. Repository

AperTO³ is the institutional repository (IR) of the University. It is registered in OpenDOAR⁴ and in ROARMAP⁵.

Built on the DSpace software, it was established in late 2007 and launched in mid-2008. In 2013 it was re-engineered and integrated with the software running the Current Research Information System (CRIS). In 2015 AperTO adopted IRIS, a new IT tool which is both a CRIS and an IR. It is still based on DSpace and it is provided by a national IT consortium. Due to these successive changes of IT systems, it is difficult for the University to provide statistics. Those quoted here are reliable; more will be available in late 2015.

³ <https://aperto.unito.it>

⁴ <http://opendoar.org/index.html>

⁵ <http://roarmap.eprints.org/215/>

AperTO hosts any type of research output. As of September 2015 the repository holds 158,897 items, published since 1962. They are distributed by content type as follows:

CONTENT TYPE	ITEMS
Book	6,929
Book chapter	32,384
Article	80,411
Conference proceedings	28,624
Edited book	3,667
Patent	363
Other (working paper, database, video etc.)	6,929
Total	158,897

Table 2L Content types in AperTO

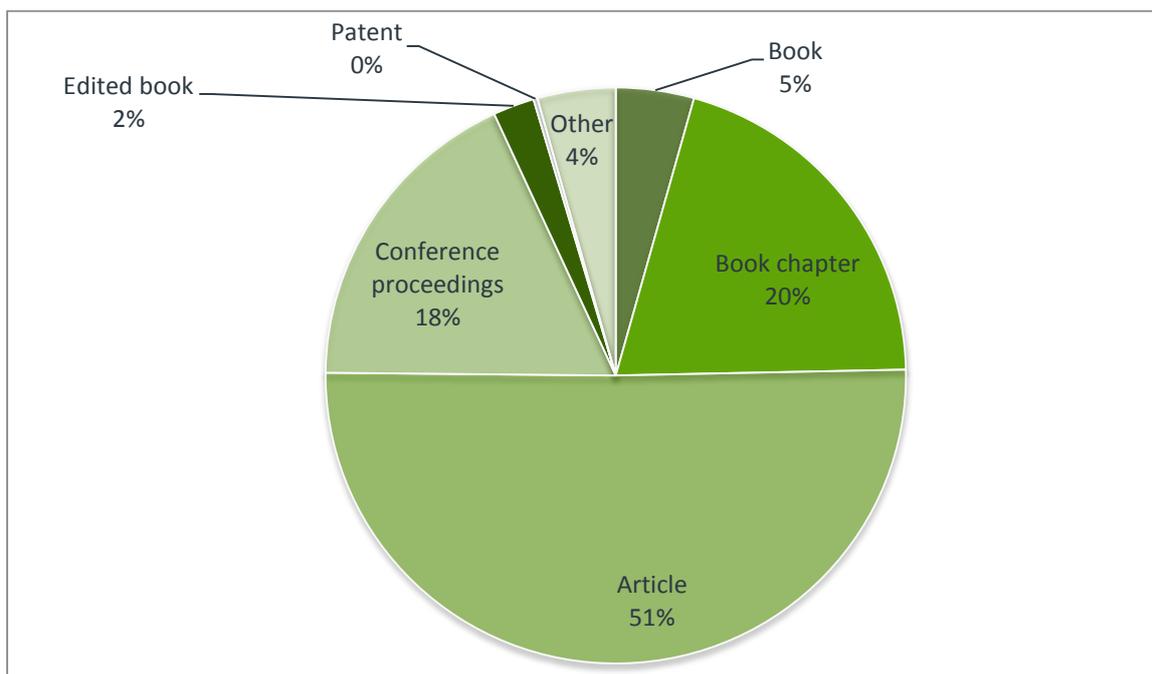


Figure 1: Pie chart of content types in AperTO

There are 26,341 full-text items, of which 40% (10,642) are available on Open Access. The University’s Open Access policy applies only to research outputs published from 1st November 2013 onwards, and to those selected for the internal research assessment exercise. In order to be included in the latter, faculties are expected to select 3, 4 or 5 products (depending on the discipline) from the previous 5 years.

Although detailed figures on compliance were not available at the time of writing (September 2015), there is evidence of a significant increase in the number of Open Access outputs deposited since the implementation of the policy:

Open Access deposited files	Items	Increase
From November 8, 2008 to November 1, 2013 (not mandatory)	3,430	
From November 2013 to September.15, 2015 (after the adoption of the policy)	7,212	110%

It is also significant that faculties in many cases deposited more outputs than required by the policy: 3,144 (29%) of the Open Access papers were published before 2011, which is the earliest year to which the internal research assessment exercise applies.

In summary:

- AperTO is the institutional repository at the University of Turin. It is powered by IRIS, a tool based on DSpace, which serves both as CRIS and IR;
- As of 15 September 2015, 40% of the 26.341 deposited files are available on Open Access;
- Since the adoption of the policy, there has been a 110% increase in deposited Open Access papers.

3. Policy

The Open Access policy was enacted on July 1 2013, approved unanimously by the Senate and the Administrative Board, and became effective from 1 November 2013. It was revised with minor adjustments in July 2014, after another unanimous Senate vote. It is complementary to Article 38 of the University's new Statute (March 2012), which states firm support for Open Access to publicly funded research, following the European Commission Recommendation on access to and preservation of scientific information (C(2012) 4890 final).

The policy⁶ states that:

- In order to be eligible for internal research evaluation purposes, metadata of any research output must be deposited in the institutional repository AperTO upon publication, alongside the file of the version allowed for Open Access under any contracts;
- If no version is allowed for deposit, the author can ask for a waiver;
- If the paper is already deposited in a subject-based repository such as ArXiv, the research output is compliant.

⁶ Available in Italian: http://www.unito.it/sites/default/files/reg_openaccess_2014.pdf

The policy states that the University of Turin also provides Gold Open Access through SIRIO@UniTO⁷, a University service free of charge for faculties, for the publication of Open Access journals, built on OJS (the Open Journal Systems software). Launched in December 2011, as of August 2015 SIRIO runs 14 University journals. All 14 journals currently in publication are free for both readers and authors; no Article Processing Charge or subscription is required.

Stages in the creation and implementation of the policy

The policy is portrayed as the result of a long-term advocacy effort by library staff among faculties and other decision makers.

The process embodied the following well-planned steps:

Organising

- Creation of an Open Access Working group within the University Library, and then a specific Open Access Office once the Policy had been passed;
- Creation of a network of “Open Access points of reference” within each department, involving at least one professor and one person from the technical staff.

Creating awareness

- Launch of the “Open Access in UniTO” portals with information, tools, training materials used during seminars and other events;
- Seminars on advantages of Open Access in each department, presenting the principles and benefits and responding to faculties’ needs;
- Seminars to PhD students;
- Three full training courses for (98) library staff;
- High profile events with international guests during the Open Access Weeks.

Involving/committing decision makers

- Dialogue with academic and administrative boards;
- Collaboration during the drafting of the new University Statute.

Drafting the policy and developing effective tools

- Supporting the Working Group of the Research Committee of Senate, involving both academics and support staff;
- Re-engineering the institutional repository and creating tools to facilitate deposit (e.g. survey on copyright policies among Italian publishers).

Presenting the policy

- Organisation of two high-profile events, with international guests;
- Seminars in each department, immediately following the adoption of the policy.

Supporting self-archiving practices

- 24x7 helpdesk service;

⁷ <http://www.ojs.unito.it/>

⁸ www.oa.unito.it

- Creation of specific tools as suggested by faculties (e.g. copyright policies survey for Italian publishers not listed in SHERPA RoMEO);
- Development of feedback tools, statistics and other practical services linked to the repository.

In summary:

- The Open Access policy is strongly linked to internal research evaluation and assessment: to be eligible for evaluation, any research product must be deposited alongside its cleared Open Access version;
- If no version is allowed under the publisher's contract, a waiver is possible;
- The stages in the creation and implementation of the policy were well thought out and executed, at both the political and practical levels, for instance the achievement of a strong commitment by academic boards, and the provision of full support for self-archiving practices.

4. Policy support

Strong political support was obtained from the Research Committee of the Senate and its President .

The Library, in re-organising its services, has created an Open Access Office, currently with 2 FTE staff, in charge of managing both the repository and the Open Access journal publishing system . The Office gives a 360° support for self-archiving practices, providing copyright help, contact with publishers, issues about contracts and clauses and training on the IT tools powering the IR.

The network of the “Open Access point of reference” in each department was found to be invaluable in dealing with immediate policy and practical issues. Generally a point of reference will consist of at least two people, an academic and a librarian. There has been strong endorsement of Open Access principles: many professors have deposited their research outputs wholesale. Many research groups are creating their own Open Access journals, especially in the Humanities and Social Sciences.

5. Policy monitoring

The Research Committee of the Senate formally oversees the internal research evaluation processes, which include compliance with the Open Access Policy.

The Open Access Office provides tools needed to check compliance, such as the survey of copyright policies of Italian publishers not listed in SHERPA RoMEO. In the new IT system powering AperTO, a specific step to declare Open Access compliance has been added: after

entering the description, the author has to tick one of four options to declare that the item is compliant.