

ISTANBUL AYDIN UNIVERSITY

**DIRECTIVE ON OPEN ACCESS AND INSTITUTIONAL
ACADEMIC ARCHIVE**

CHAPTER ONE

Purpose, Scope, Legal Basis and Definitions

ARTICLE 1 – Purpose

(1) This Directive sets out the procedures and principles regarding the archiving of scientific works affiliated with Istanbul Aydın University in the Istanbul Aydın University Open Access System and making them available to the scientific community.

The objectives of the policy are determined as follows:

- a) Establishing an open access system in compliance with the standards of the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH).
- b) Providing data in accordance with open access standards to the National Academic Archive System to be established within the Council of Higher Education.
- c) Compiling and preserving academic works produced within Istanbul Aydın University in accordance with open access standards.
- d) Ensuring that scientific works taken into account in appointments and promotions and other internal evaluations are stored in the Istanbul Aydın University Open Access System.

ARTICLE 2 – Scope

(1) The Istanbul Aydın University Open Access System covers all academic works carried out by members of the University during the period they work at the University and that are supported directly or indirectly by Istanbul Aydın University.

The content of the Istanbul Aydın University Open Access System consists of the following materials:

- a) Articles published in scientific journals,
- b) Master's and doctoral theses,
- c) Papers and presentations,
- ç) Seminar texts,

- d) Technical notes,
- e) Project works,
- f) Books,
- g) Chapters in books,
- h) Award-winning works,
- i) Patent documents,
- i) Reports,
- j) Open course materials,
- k) Posters, video recordings, etc.

ARTICLE 3 – Legal basis

(1) Pursuant to Article 4/c of the Higher Education Law No. 2547, universities are tasked with conducting high-level research and disseminating its results in order to become a distinguished member of the scientific community; and pursuant to Article 42/d of the same Law, they are tasked with compiling the institution's scientific and intellectual accumulation in full.

This policy has been prepared on the basis of Articles 4/c and 42/d of the Higher Education Law No. 2547.

ARTICLE 4 – Definitions

(1) In this policy, the following terms shall mean:

- a) Open Access: researchers' free access, via the public Internet, to the full texts of scientific publications produced with public resources, without financial, legal or technical barriers,
- b) Open Access System: the set of services in which scientific outputs produced by Istanbul Aydın University are collected, stored, indexed, preserved in the long term, and distributed in digital form,
- c) Istanbul Aydın University Member: Istanbul Aydın University academic and administrative staff, and master's and doctoral students,
- ç) Archiving: the process of storing an academic work to which a University member has made a scientific contribution in the Istanbul Aydın University Open Access System,
- d) Immediate Deposit / Optional Access: the immediate deposit of a digital copy of the peer-reviewed version of academic works in the open access system (and making the deposited work accessible immediately if there is no embargo, or automatically after the embargo period if there is an embargo),

- e) Self-Archiving: the process whereby an Istanbul Aydın University member archives a work to which they have contributed scientifically in the Istanbul Aydın University Open Access System,
- f) Embargo: restricting access to research results for a certain period,
- g) IAU: Istanbul Aydın University,
- h) Address: the standardized address format to be used by Istanbul Aydın University members in national and international publications, as in the following examples:
 - 1) For publications in Turkish: Istanbul Aydın University, Faculty/Department, Beşyol Mahallesi İnönü Cad. No:38 34295 Küçükçekmece/İstanbul
 - 2) For publications in foreign languages: Istanbul Aydın University, Faculty/Department, TR 34295 Istanbul; Turkey
- i) Author identifier code (Researcher ID): the personal author number.

CHAPTER TWO

Authorities and Responsibilities in the Open Access System

ARTICLE 5 – Authorities and responsibilities in the Open Access System

- (1) Istanbul Aydın University members may retain the copyrights of their publications or may propose to publishers the licenses that will provide the broadest access rights to their publications (e.g., Creative Commons–CC BY).
- (2) In line with the terms permitted by the publisher, IAU members make available, via the IAU Open Access System, the full texts of the preprint, postprint or publisher version of the publication. Archiving publications in the IAU Open Access System does not, in any way, limit the authors' choice of publisher or publication venue.
- (3) The peer-reviewed version of scientific works accepted for publication by IAU members is archived in the IAU Open Access System within at most one month, provided that it is no later than the publication date. However, provided it can be documented, works for which a patent application is contemplated are archived after the application is made, on the same date as the patent publication.
- (4) Archiving publications in the IAU Open Access System is carried out by the author of the publication.
- (5) Works produced collaboratively by more than one author from more than one institution, including multiple IAU members, are archived in the IAU Open Access System.

(6) In multi-author works carried out by more than one IAU member, the responsibility for archiving the record belongs to the corresponding/lead author.

(7) IAU graduate theses are archived in the IAU Open Access System within at most one month after acceptance. However, provided it can be documented, works for which a patent application is contemplated are deposited after the application is made, on the same date as the patent publication.

(8) IAU members approve the archiving of the final versions of their academic works in the IAU Open Access System unless access is restricted or completely prevented due to embargoes or similar conditions.

CHAPTER THREE

Open Access at the End of the Embargo Period

ARTICLE 6 – Open access / Open access at the end of the embargo period

(1) Istanbul Aydın University supports its members who wish to publish their research using the “open access” option. Considering the agreements that authors make with publishers and the deposit options, access to works is implemented under two headings: “public open access” and “open access at the end of the embargo period”.

The embargo period must not exceed 12 months.

CHAPTER FOUR

Institutional Units and Their Responsibilities

ARTICLE 7 – Directorate of Library and Documentation

(1) The Directorate of Library and Documentation is responsible for the operation of the IAU Open Access System.

(2) In order to inform IAU members about the IAU Open Access System, the Directorate of Library and Documentation prepares information guides and carries out the necessary promotional and informative activities.

(3) The Directorate of Library and Documentation checks the metadata of scientific works transferred by IAU members to the IAU Open Access System according to the standards of the Open Archives Initiative Protocol for Metadata Harvesting. Where necessary, it works together with IAU members for corrections.

(4) Agreement and cooperation efforts to be carried out with other universities and institutions for the operation of the Open Access System are conducted by the Directorate of Library and Documentation to be submitted for the Rectorate's approval.

ARTICLE 8 – Institute Directorates and Faculty Deanships

(1) In order for graduate theses to be deposited in the IAU Open Access System and made available as open access, Institute Directorates obtain a signed permission form at the time of thesis submission and receive the printed and electronic copies together with the form. Institute Directorates archive the theses and the electronic copies of the signed forms in the IAU Open Access System within at most one month after acceptance.

(2) Faculty Deanships forward the annual academic activity reports submitted by faculty members at the end of the academic year to the Directorate of Library and Documentation. For publications included in the academic activity report but determined not to exist in the IAU Open Access Archive, Faculty Deanships inform the relevant faculty members so that the publications are archived and made available as open access in line with copyright permissions.

ARTICLE 9 – Directorate of Information Technologies

(1) The Directorate of Information Technologies carries out the processes of installing, updating, backing up, preserving and securely storing the IAU Open Access System software in the long term, and transferring data to the National Academic Archive system in accordance with open access standards.

CHAPTER FIVE

Benefits, Publishing and Use Rights, Advisory Board, Final Provisions

ARTICLE 10 – Benefits

(1) Through the IAU Open Access Archive System:

- a) An electronic archive of IAU publications is created,
- b) By providing free, easy, fast and free-of-charge access to information produced by IAU members, IAU scientific works become known and used by a wider audience,
- c) It guides researchers to receive more citations as their scientific works in the open archive are used more widely,
- d) By enabling universal awareness of the contributions made by IAU through scientific works published domestically and abroad and through all kinds of scientific activities, IAU's scientific performance is reflected,

- e) It enables IAU academics' scientific activities such as previously unpublished conference and lecture notes—considered to have scientific content—to be published electronically,
- f) IAU academics are encouraged to produce and publish scientific publications.

ARTICLE 11 – Publishing and use rights

(1) The right to publish information resources in the IAU Open Access System and to benefit from them is exercised under the following conditions:

- a) Free access to the full texts of works in the IAU Open Access System depends on the author's decision and the copyright status of the publication.
- b) Works that have been published in any journal or for which a publication decision has been made may be archived in the IAU Open Access System in a format other than the journal's format, in accordance with copyright permissions.
- c) Publications whose copyrights belong to third persons or institutions cannot be withdrawn in a way that would violate the terms of agreements made with publishers and are archived in the IAU Open Access System under a worldwide license agreement.
- d) When information resources in the IAU Open Access System are used, it is necessary and mandatory in terms of scientific ethics that the user complies with the legal permissions granted for the publication and provides proper citation.

ARTICLE 12 – Open Access System Advisory Board

(1) The IAU Open Access System Advisory Board is composed of the following members under the chairmanship of the Rector or the Vice Rector appointed by the Rector:

- a) Natural Sciences Representative
- b) Social Sciences Representative
- c) Health Sciences Representative
- ç) Director of Information Technologies
- d) Director of Library and Documentation
- e) Institutional Academic Archive Officer designated by the Directorate of Library and Documentation.

(2) The Board evaluates the applications and policy of the IAU Open Access System every year during the first three years; and, after three years, every three years in subsequent periods.

ARTICLE 13 – Entry into force

(1) This Directive enters into force on the date it is adopted by the Senate of Istanbul Aydın University.

ARTICLE 14 – Execution

(1) The provisions of this Directive are executed by the Rector of Istanbul Aydın University.