

### DIGITIZATION AND AVAILABILITY OF PRINTED ACADEMIC WORKS: PROPOSAL FOR UPDATING THE INSTITUTIONAL REPOSITORY POLICY OF THE FLUMINENSE FEDERAL UNIVERSITY

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### **ABSTRACT**

Prior to the establishment of the Institutional Repository of the Fluminense Federal University (RIUFF), printed academic works such as undergraduate theses (TCCs), dissertations, and doctoral theses were accessible exclusively in physical format, which limited their visibility. The implementation of RIUFF expanded remote access; however, academic works produced before its creation were not integrated into the digital platform due to legal and copyright concerns. This study aims to propose improvements to overcome these limitations, including the addition of new chapters to RIUFF's policy addressing copyright and the digitization and availability of printed academic works. It also proposes the creation of instruments such as a Model Authorization Term and a Document Withdrawal Form, with the goal of ensuring a balance between open access, digital preservation, and copyright protection. Furthermore, the study suggests best practices for repository management, aiming to facilitate the digitization process, increase faculty and student participation, and promote the preservation and dissemination of UFF's scientific and academic knowledge. With the implementation of these proposals, UFF will be able to strengthen its institutional repository policy and consolidate its position as a reference in academic knowledge management and preservation.

**Keywords:** Institutional repository; Printed academic works; Digitization; Availability; Copyright.

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### INTRODUCTION

The Fluminense Federal University (UFF) holds a vast collection of printed academic works, such as undergraduate theses (TCCs), dissertations, and doctoral theses, which for a long time were available solely in the institution's libraries. Prior to the establishment of UFF's Institutional Repository (RIUFF), these documents could only be accessed in physical format.

With the implementation of RIUFF, remote access to the university's academic works was significantly expanded, facilitating preservation, dissemination of scientific knowledge, and the strengthening of institutional memory. However, academic works produced before the repository's creation could not be integrated into the digital platform due to legal issues and institutional guidelines related to copyright. As a result, access to this collection remained limited to in-person consultations, which reduced its visibility, while digital documents became much more easily accessible.

In light of this scenario, the objective of this study is to analyze the strategies adopted by Brazilian universities to enable the digitization of printed academic works in their institutional repositories. To this end, a survey was conducted of the regulations and guidelines available on the websites of federal university repositories.

Based on this research, the study seeks to provide support for the development of institutional policies and guidelines that can balance open access to knowledge, digital preservation, and copyright protection, thereby allowing printed academic works to also be integrated into RIUFF.

### **METHODOLOGY**

### REGULATIONS AND GUIDELINES OF INSTITUTIONAL REPOSITORIES

To understand how Brazilian federal universities regulate the digitization and availability of printed academic works in their institutional repositories, a survey was conducted of the regulations and guidelines available on the websites of each federal university's repository. Initially, federal universities were identified using information from the Ministry of Education (MEC) website, resulting in a total of 63 institutions (Brazil, 2025).

Subsequently, the websites of each university were accessed to locate the pages of their libraries and institutional repositories. On these pages, detailed searches were carried out to verify which universities have active repositories and whether there are specific regulations regarding the digitization and deposit of printed works, as listed in Appendix A.

After identifying the repositories, individual consultations were conducted on each site to search for regulations and/or guidelines addressing:

- The digitization of printed academic works;
- The availability of these works in institutional repositories;



• Institutional guidelines concerning the Copyright Law (Law No. 9.610/1998).

### UPDATE OF THE INSTITUTIONAL REPOSITORY POLICY

The proposed update to the policy of the Fluminense Federal University's Institutional Repository (RIUFF) includes the creation of two new chapters:

- One addressing copyright within the RIUFF policy;
- Another concerning the digitization and availability of printed academic works in RIUFF.

Additionally, the implementation of new instruments was proposed to support the latter chapter:

- A Model Authorization Term for Publication in the Institutional Repository of UFF (Appendix B);
- A Model Request Form for Document Withdrawal from the Institutional Repository of UFF (Appendix C).

Both the chapters and the instruments were developed based on the regulations and guidelines of institutional repositories from other Brazilian federal universities.

## GUIDELINES AND/OR REGULATIONS OF INSTITUTIONAL REPOSITORIES ON PRINTED ACADEMIC WORKS AND COPYRIGHT IN FEDERAL UNIVERSITIES

Among Brazilian federal universities, seven (Table 1) mentioned some form of guidance regarding the issue of digitizing and depositing printed academic works in their repositories. However, only three of them have specific guidelines and/or regulations.

Table 1: Federal universities that addressed the digitization and deposit of printed academic works in their repositories

University Name	Acronym
Federal University of Mato Grosso	UFTG
Federal University of Santa Catarina	UFSC
Federal University of Alagoas	UFAL
Federal Rural University of the Amazon	UFRA
Federal University of Ceará	UFC
Federal University of Uberlândia	UFU
Federal University of Lavras	UFLA

Source: Authors.

Before presenting the guidelines and/or regulations regarding the digitization and availability of printed academic works from these three universities, it is worth highlighting that some of the main arguments used to justify this process are based on the Ministry of Education (MEC) Ordinances No. 360/2022 and No. 613/2022 (Brazil, 2022a, 2022b).

Ordinance No. 360, dated May 18, 2022, addresses the conversion of academic collections to digital format, as stated in Article 4 (Brazil, 2022a, p. 1):



Art. 4 – The general procedures for conversion and preservation of documents shall be regulated in a specific act..

In addition to providing for the regulation of general procedures, the ordinance also prohibits the production of academic documents in physical format as of August 1, 2022, as per Article 2 (Brazil, 2022a, p. 1):

Art. 2 – The production of new documents that are part of the academic collection in physical format is prohibited as of August 1, 2022.

Ordinance No. 613, dated August 18, 2022, regulates Article 4 of MEC Ordinance No. 360/2022, establishing specific guidelines for the digitization and preservation of academic documents.

However, upon analyzing these regulations, it becomes evident that none of them address copyright guidelines or mention the need for author authorization for the publication of digitized documents in institutional repositories.

In light of this, the following section presents the three universities that have implemented solutions for the digitization and availability of printed academic works in their institutional repositories.

### FEDERAL UNIVERSITY OF CEARÁ (UFC)

The Federal University of Ceará (UFC) issued Ordinance No. 348, dated December 8, 2022, to regulate the digitization and availability of retrospective undergraduate theses (TCCs), dissertations, and theses within the scope of the University Library (UFC, 2022).

This document was developed based on key regulations, including:

- MEC Ordinances No. 360/2022 and No. 613/2022, which address the conversion of academic collections to digital format and the regulation of general procedures for the conversion and preservation of digital academic documents in Higher Education Institutions (HEIs);
- Legal Opinion No. 00078/2022/NUPLES/PFUFC/PGF/AGU, issued by the Federal Prosecutor's Office at UFC.

Ordinance No. 348/2022 authorizes the digitization and availability of academic works produced before the implementation of the institutional repository, without requiring prior authorization from the authors, as stated in Article 1 (UFC, 2022, p. 1):

Art. 1 – Authorize the digitization and availability of the retrospective collection of theses and dissertations in digital format and online access in the UFC Institutional Repository, without the need for prior consent from the authors.



Article 2 appoints a Management Committee for the Institutional Repository, responsible for establishing the criteria for digitizing printed academic works held in the university libraries (UFC, 2022, p. 1):

Art. 2 – Appoint the Management Committee of the Institutional Repository as responsible for establishing criteria for the digitization of retrospective undergraduate theses (TCCs), dissertations, and theses held in the collections of the University Library System.

Article 4 provides that authors may request access restrictions or the removal of their work from the repository, provided they submit supporting documentation (UFC, 2022, p. 1):

Art. 4 – In cases of works with patent applications and/or embargoes, it is the sole responsibility of the author to request access restriction or removal of their work from the Institutional Repository, by submitting supporting documentation to the Library System management.

### FEDERAL UNIVERSITY OF LAVRAS (UFLA)

The Institutional Repository of the Federal University of Lavras (RIUFLA) includes Resolution CEPE No. 090, dated March 24, 2015, which regulates the availability of the retrospective collection of theses and dissertations in the repository without requiring prior authorization from the authors (UFLA, 2015).

This resolution is based on several legal opinions, including Opinion No. 00033/2015/GAB/PF/UFLA/PGF/AGU, issued by the Federal Prosecutor's Office at UFLA.

The document justifies the availability of academic works as a form of accountability to society for the public funding of education, as highlighted in the following excerpt: "Considering that dissertations and theses result from work funded with public resources and that society deserves a return on its investment" (UFLA, 2015, p. 2).

Within this context, Article 1 of Resolution No. 090/2015 authorizes the availability of the retrospective collection of theses and dissertations in RIUFLA without the need for prior consent from the authors:

Art. 1 – Authorize the availability of the retrospective collection of theses and dissertations in digital format and online access in the Institutional Repository of UFLA (RIUFLA), without prior consent from the authors.

Article 5 of the same document also establishes the possibility of removing works from the repository, provided the author submits a formal request to the Technical Committee of the University Library:



Art. 5 - A work deposited in RIUFLA that contains copyrights held by parties external to the Federal University of Lavras may be removed upon written request, exclusively by the author, submitted to the Technical Committee of the University Library.

### FEDERAL UNIVERSITY OF UBERLÂNDIA (UFU)

On the UFU Institutional Repository website, a presentation document outlines the policy for including academic works. According to this document, dissertations and theses defended before the publication of Ordinance PROPP No. 0002, dated September 15, 2005, are being gradually digitized and included in the repository (UFU, 2005, p. 2):

The implementation of the Digital Library of Theses and Dissertations, currently the RI UFU, began with the publication of PROPP Ordinance No. 0002 of September 15, 2005, which makes it compulsory to deposit dissertations and theses in digital format. The inclusion of dissertations and theses defended in the years prior to the date of the ordinance in the RI UFU has been carried out gradually, by means of digitization of the printed versions by SISBI/UFU collaborators.

This directive was formalized in Ordinance No. 20, dated August 22, 2017, issued by the UFU Pro-Rectory of Research and Graduate Studies. Article 1 authorizes the availability of retrospective academic works in the repository without requiring prior authorization from the authors (UFU, 2017, p.1):

Art. 1 – Authorize the availability of the retrospective collection of theses and dissertations in digital format and online access in the UFU Institutional Repository (RIUFU), without prior authorization from the authors.

Article 5, sole paragraph, of the same ordinance allows authors to request the removal of their works from the repository, provided they present a justified reason (UFU, 2017, p. 2):

Sole Paragraph – At any time, the author may request the removal of their thesis or dissertation from RIUFU, with justification to protect patents, copyrights, or other rights related to their work.

The ordinance is based on Legal Opinion No. 00065/2014/GAB/PF/PROGE/UFU.

In 2022, UFU's rectorate issued Ordinance No. 312, dated March 28, 2022, which established the Information Policy of the UFU Institutional Repository (RIUFU). Article 10 reinforces that digitization and submission of works delivered to the library before the repository's implementation do not require author consent (UFU, 2022, p. 2):

Art. 10 – The deposit of content in RIUFU shall be the responsibility of the authors or the person in charge of each collection (self-archiving), except for theses and dissertations defended before the implementation of RIUFU, which will be digitized and submitted by the repository's responsible sector.



### APPROACHES TO THE DIGITIZATION AND AVAILABILITY OF PRINTED ACADEMIC WORKS

The Federal University of Ceará (UFC), the Federal University of Uberlândia (UFU), and the Federal University of Lavras (UFLA) have adopted specific guidelines to enable the digitization and availability of printed academic works produced before the implementation of their institutional repositories.

All three universities followed a similar model, which allows for the preservation and public access to retrospective collections without requiring prior consent from the authors. However, they also established mechanisms for restricting or removing works from the repositories, ensuring a balance between open access to academic content, digital preservation, and respect for copyright and intellectual property rights.

# PROPOSAL TO UPDATE UFF'S INSTITUTIONAL REPOSITORY POLICY REGARDING COPYRIGHT AND PRINTED WORKS

The Fluminense Federal University (UFF) issued, in July 2024, Ordinance UFF No. 68.698 of July 2, 2024, and Normative Instruction SDC/UFF No. 8 of July 5, 2024. Ordinance No. 68.698/2024 establishes the Policy of the Institutional Repository of the Fluminense Federal University (RIUFF), revoking Service Standard No. 655/2017, which regulated the deposit of technical-scientific production in the institutional repository (UFF, 2024b). Normative Instruction SDC/UFF No. 8/2024 addresses the technical-scientific production deposited in RIUFF (UFF, 2024a).

However, upon analyzing these regulations, it was found that no specific guidelines were established regarding copyright, nor was the digitization and publication of printed academic works addressed. In light of this gap, this draft proposes:

- The inclusion of a chapter on copyright in the RIUFF policy;
- The inclusion of a chapter regarding the digitization and availability of printed academic works in RIUFF;
- The implementation of two new instruments:
  - Authorization Term Model for Publication in the Institutional Repository of UFF (Appendix B);
  - Request Form Model for Document Removal from the Institutional Repository of UFF (Appendix C).

By proposing the inclusion of a chapter dedicated to the digitization and availability of printed academic works in RIUFF, it is essential to emphasize that, unlike what was proposed by other universities, the draft presented here suggests that the institution first carry out a public call. This



initiative aims to inform both society and the authors of the works about the measures the university intends to adopt. The purpose of this public call is to provide greater legal security to UFF.

### ON COPYRIGHT

- **Art. 1** The copyright policy of the UFF Institutional Repository (RIUFF) shall comply with current legislation, especially: Law No. 9.610/1998 (Copyright Law), Law No. 9.609/1998 (Software Law), Law No. 9.279/1996 (Industrial Property Law).
- **Art. 2** The copyrights of academic works deposited in RIUFF belong exclusively to their authors.
- **Art. 3** Authors hold the copyright over the deposited documents. Commercial use of any work available in RIUFF is prohibited without prior authorization from the author.
- **Sole Paragraph** The use of intellectual works available in RIUFF requires mandatory citation of the author(s) and complete bibliographic data of the work.
- **Art. 4** Authors retain their moral and commercial exploitation rights over their works, respecting any defined embargo period. After this period, the deposited material may be made openly accessible.
  - **Art.** 5 Documents available in RIUFF are the sole property and responsibility of the authors.
- **Sole Paragraph** UFF, through the Superintendency of Documentation, is not responsible for plagiarism, moral offenses, or copyright violations, nor for any total or partial copies made by third parties of the deposited content.
- **Art. 6** In the self-deposit model, authors are responsible for the content submitted, including decisions about which data may be published.
- **Sole Paragraph:** Data entered by authors must be verified by the Superintendency of Documentation, through UFF libraries, for formatting and standardization.
- **Art.** 7 Authors of documents deposited in RIUFF expressly grant UFF, free of charge and for an indefinite period, the right to archive, distribute, and preserve the deposited material, accepting the conditions established in the Authorization Term for Publication in RIUFF.
- **Art. 8** Depositing documents in RIUFF requires prior authorization from the copyright holders, in accordance with Law No. 9.610/1998, through the signing of the Authorization Term approved by the RIUFF Management Committee.
- **Art. 9** Documents containing research results subject to patenting are exempt from mandatory deposit in RIUFF.
- **Art. 10** UFF libraries shall not make any changes to the content of materials available in RIUFF. Authors are solely responsible for the integrity of the deposited material.



**Art. 11** – Authors may request the removal of their works from RIUFF at any time by completing and signing the Request Form for Document Removal, to be submitted to the RIUFF Management Committee.

**Sole Paragraph** – Removal may be requested for reasons including:

- I Subject matter under patent review by UFF's Innovation Office;
- II Work designated as confidential by UFF's Innovation Office;
- III Licensing or assignment for commercial publication;
- IV Identification of copyright infringement.

### DIGITIZATION AND AVAILABILITY OF PRINTED ACADEMIC WORKS

**CONSIDERING**, the need to preserve and disseminate the intellectual and institutional memory of the University;

**CONSIDERING**, the importance of permanently gathering all technical-scientific and institutional production in a unified virtual environment;

**CONSIDERING**, the need to expand and facilitate public access to UFF's technical-scientific and institutional production, since theses, dissertations, and undergraduate final papers (TCCs) are the result of research funded with public resources;

CONSIDERING, MEC Ordinances No. 360/2022 and No. 613/2022;

**CONSIDERING**, Law No. 9.610/1998, which protects copyright;

The Federal Fluminense University (UFF) will carry out a public call, published on its official website and institutional social media, listing the names of authors and titles of printed academic works. Authors will have 30 days to express their position regarding the digitization and availability of their works in the UFF Institutional Repository (RIUFF). If no response is received within the established period,

### **RESOLVES**

- **Art. 1** Authorize the digitization and availability of the retrospective collection of TCCs, dissertations, and theses in digital format and public access in RIUFF, regardless of prior consent from the authors.
- **Art. 2** Designate the RIUFF Management Committee as responsible for establishing criteria for the digitization and availability of retrospective TCCs, dissertations, and theses held in UFF library collections.
- **Art. 3** Authors may, at any time, request access restriction or removal of their TCC, dissertation, and/or thesis from RIUFF, provided they submit documented justification to safeguard patent rights,



copyrights, or other rights related to the work. The request must be submitted to the RIUFF Management Committee.

**Art. 4** – In cases where deposited works contain third-party copyrights, removal may be requested exclusively by the author, through a formal request to the RIUFF Management Committee.

**Art. 5** – Content deposit in RIUFF will be the responsibility of the authors themselves (self-deposit) or the person in charge of each collection. However, for TCCs, dissertations, and theses defended before the implementation of RIUFF, whose digitization is carried out later, submission will be handled by the repository's responsible sector.

### FINAL CONSIDERATIONS

The implementation of clear policies for the digitization and availability of printed academic works in the Institutional Repository of UFF (RIUFF) is essential to ensure broad and democratic access to the knowledge generated by the institution. Among the proposed guidelines, the inclusion of chapters on copyright and the digitization of printed academic works aims to achieve a balance between digital preservation, respect for copyright, and open access to academic and scientific production.

The analysis of regulations and best practices from Brazilian federal universities, such as UFC, UFU, and UFLA, provides a model to be followed to overcome legal and institutional limitations, allowing the integration of printed academic works into the repository. The proposal to update the RIUFF policy, with the standardization and creation of instruments such as the Authorization Term and the Withdrawal Form, complements these guidelines, ensuring that the university continues to promote the dissemination of knowledge and the preservation of institutional memory.

Thus, the proposal to update the RIUFF policy represents an advance in the valorization of UFF's academic production, by integrating printed collections into the digital environment in a responsible and legally secure manner. It is hoped that by adopting the measures suggested here, the university will increase the visibility of its scientific production, strengthen institutional memory and promote greater access to knowledge for society. In addition, UFF's experience can serve as a reference for other institutions seeking balanced solutions between open access and respect for copyright, contributing to the continuous improvement of institutional repository policies in the country.



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### **APPENDIX A – Brazilian Federal Universities with Institutional Repositories**

<u>University</u>	Repository Website	
Universidade da Integração Internacional da Lusofonia Afro- Brasileira	https://repositorio.unilab.edu.br/jspui/	
<u>Universidade de Brasília</u>	https://repositorio.unb.br/jspui/	
Universidade Federal da Bahia	https://repositorio.ufba.br/	
Universidade Federal da Fronteira do Sul	https://rd.uffs.edu.br/	
Universidade Federal da Integração Latino-Americana	https://dspace.unila.edu.br/home	
Universidade Federal da Paraíba	https://repositorio.ufpb.br/jspui/	
<u>Universidade Federal de Alagoas</u>	https://www.repositorio.ufal.br/	
Universidade Federal de Goiás	https://repositorio.bc.ufg.br/home	
Universidade Federal de Itajubá	https://repositorio.unifei.edu.br/jspui /	
<u>Universidade Federal de Jataí</u>	https://sophia.ufj.edu.br/TerminalWebRI	
Universidade Federal de Juiz de Fora	https://repositorio.ufjf.br/jspui/	
Universidade Federal de Lavras	http://repositorio.ufla.br/	
Universidade Federal de Minas Gerais	https://repositorio.ufmg.br/	
Universidade Federal de Ouro Preto	https://www.repositorio.ufop.br/home	
Universidade Federal de Pelotas	https://guaiaca.ufpel.edu.br/	
Universidade Federal de Pernambuco	https://repositorio.ufpe.br/	
Universidade Federal de Rondônia	https://ri.unir.br/jspui/	
Universidade Federal de Roraima	https://repositorio.ufrr.br:8080/jspui/	
Universidade Federal de Santa Catarina	https://repositorio.ufsc.br/	
Universidade Federal de Santa Maria	https://repositorio.ufsm.br/	
Universidade Federal de São Carlos	https://repositorio.ufscar.br/	
Universidade Federal de São Paulo	https://repositorio.unifesp.br/home	
Universidade Federal de Sergipe	https://ri.ufs.br/	
Universidade Federal de Tocantins	https://repositorio.uft.edu.br/	
Universidade Federal de Uberlândia	https://repositorio.ufu.br/	
Universidade Federal de Viçosa	https://locus.ufv.br/home	
Universidade Federal do Acre	https://roar.eprints.org/3704/	
Universidade Federal do Agreste de Pernambuco	https://logos.ufape.edu.br/home	
Universidade Federal do Amapá	http://repositorio.unifap.br/	
Universidade Federal do Amazonas	https://riu.ufam.edu.br/	
Universidade Federal do Catalão	https://repositorio.ufcat.edu.br/home	
Universidade Federal do Ceará	https://repositorio.ufc.br/	
Universidade Federal do Delta do Parnaíba	https://repositorioinstitucional.ufdpar.edu .br/	
Universidade Federal do Espírito Santo	https://repositorio.ufes.br/home	
Universidade Federal do Estado do Rio de Janeiro	https://repositorio- bc.unirio.br:8080/xmlui/	
Universidade Federal do Maranhão	http://www.repositorio.ufma.br/	
Universidade Federal do Mato Grosso	https://ri.ufmt.br/	
Universidade Federal do Mato Grosso do Sul	https://repositorio.ufms.br/	



Universidade Federal do Norte do Tocantins	https://solaris.ufnt.edu.br/home	
Universidade Federal do Oeste da Bahia	:https://repositorio.ufob.edu.br/home	
Universidade Federal do Oeste do Pará	do Oeste do Pará https://repositorio.ufopa.edu.br/jspui/	
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## APPENDIX B – Authorization Form for Publication in the Institutional Repository of Universidade Federal Fluminense (original document in Portuguese)



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