

# Institutional open access policy of the Universitat Oberta de Catalunya

## Contents

1. Preamble
  - 1.1. International and national contexts
2. The UOC's institutional open access policy
3. Interoperability
  - 3.1. Assessment of the research and institutional repository
  - 3.2. Interoperability protocols
4. References

## 1. Preamble

The need to foster research and teaching in the context of the information society and the facilities provided by digital publishing have led to the creation of an open access (OA) movement for scientific information. This movement postulates permanent, free, unlimited access to scientific and academic contents with the goal of increasing the accessibility and impact of the scientific research performed.

Implementation of an open access policy at the Universitat Oberta de Catalunya (UOC) could increase its visibility and showcase the excellence of its teaching and research quality, as well as improving its positioning in the international rankings.

### 1.1. International and national contexts

Today, the open access movement has a long track record and it can be considered consolidated. In recent years, international and national declarations have been published in favour of open access:

- > [Public Library of Science - PLoS \(2001\)](#)
- > [Budapest Open Access Initiative \(2002\)](#)
- > [Bethesda Statement on Open Access Publishing \(2003\)](#)
- > [Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities \(2003\)](#)
- > [CRUE/REBIUN Declaration in Support of the Open Access Model](#)

Within Europe, the following initiatives have been implemented:

- > On 10 January 2008, the **European Research Council (ERC)** published guidelines on open access, in which it requires that all peer-reviewed publications of projects funded

by the ERC be deposited in a discipline-specific or institutional research repository that must be open access within a maximum period of 6 months.

- > In the plenary session held in Barcelona on 26 March 2008, **the European University Association** approved the "Recommendations from the EUA Working Group on Open Access", and, in particular, the recommendations targeting universities as regards the creation of institutional repositories and the development of policies for promoting OA:

### "III. A. Recommendations for University Leadership

1. Universities should develop institutional policies and strategies that foster the availability of their quality-controlled research results (in the form of research papers and other outputs) for the broadest possible range of users, maximising their visibility, accessibility and scientific impact.

2. The basic approach for achieving this should be the creation of an institutional repository or participation in a shared repository. These repositories should be established and managed according to current best practices (following recommendations and guidelines from DRIVER and similar projects) complying with the OAIPMH protocol and allowing interoperability and future networking for wider usage.

3. University institutional policies should require that their researchers deposit (self-archive) their scientific publications in their institutional repository upon acceptance for publication. Permissible embargoes should apply only to the date of open access provision and not the date of deposit. Such policies would be in compliance with evolving policies of research funding agencies at the national and European level such as the ERC.

4. University policies should include copyright in the institutional intellectual property rights (IPR) management. It should be the responsibility of the university to inform their faculty researchers about IPR and copyright management in order to ensure the wider sharing and reuse of the digital research content they have produced. This should include a clear policy on ownership and management of copyright covering scholarly publications and define procedures for ensuring that the institution has the right to use the material produced by its staff for further research, educational and instructional purposes.

5. University institutional policies should explore also how resources could be found and made available to researchers for author fees to support the emerging 'author pays' model of open access."

- > Inclusion in the European Union's 7th Framework Programme that, in December 2009 started the Open Access Infrastructure for Research in Europe (OpenAIRE) project, and the Horizon 2020 programme that started the Open Access pilot programme in 2013.

Within Spain, Law 14/2011 on Science, Technology and Innovation is particularly significant, as it clearly fosters open access publishing of publicly funded research and its open access dissemination in both discipline-specific repositories and institutional repositories.

In Catalonia, the Inter-university Council of Catalonia (CIC) agreed to carry out a number of actions aimed at promoting open access to research in Catalonia and commissioned the General University Policy Committee to monitor and implement these actions. The key milestone for the Action Plan for Open Access in Catalonia was the horizon set for 2012, when "only publications included in an open access repository will be taken into account in research project assessments, faculty accreditations, research assessments (six-year periods) or internal promotion competitions". This report was approved in the CIC's plenary session on 22 June 2009. Subsequently, the Inter-university Council of Catalonia's Board approved the [Framework Document on the open access mandate for research by Catalan universities](#), dated 1 July 2010.

## 2. Institutional open access policy

In order to promote the open access dissemination of science and following the recommendations mentioned above published by the European University Association and those of the Declaration of Berlin, signed by this University on 2 June 2006, the Universitat Oberta de Catalunya approves the following conditions:

WHO WHAT	The members of the Universitat Oberta de Catalunya's research community must deposit their research publications (journal articles, texts presented at congresses, scientific and technical documents, books or book chapters, search reports, etc.) produced in the course of their activity at the UOC in the University's institutional repository.
	The members of the Universitat Oberta de Catalunya's academic community must deposit their academic publications (teaching materials or modules) produced as part of the UOC's teaching activity in the University's institutional repository. <sup>1</sup> At the same time, open access depositing of other learning objects that could interest students or faculty (continuous assessment tests, exams, exercises, etc.) is also being fostered.
	The Universitat Oberta de Catalunya's doctoral students who have been given a predoctoral competitive grant (such as the IN3-UOC scholarships for doctoral theses or those granted by other entities, such as the Ministry of Science and Innovation and the Catalan University and Research Grant Management Agency (AGAUR)), in other words, those who follow face-to-face, full-time education, are required to deposit an electronic copy of the doctoral theses read at the UOC in the institutional repository.

---

<sup>1</sup> The teaching materials developed at the UOC under an open access licence are published on the UOC's OCW (<http://ocw.uoc.edu>) and this material is fed back into the UOC's institutional repository, without duplicating paperwork or effort.

	Students at the Universitat Oberta de Catalunya, as stated in the regulations on practicums and final bachelor's or master's degree projects, <sup>2</sup> are required to deposit these projects in the institutional repository, where they can be freely consulted for use in teaching and dissemination. If there any data that must be protected, such as personal data or business secrets, this information will be removed before depositing or alternatively, consultation can be restricted to users from the UOC community.
HOW	If applicable, the conditions stipulated by the publishers with respect to archival of documents in open access repositories will be taken into account. If these conditions do not allow inclusion of the latest version of the publication, the preprint must be included or, at least, the complete metadata that describe it and the full text, which will remain as restricted access with a maximum embargo of 12 months.
	Archival of the documents will take place just after their acceptance for publication, and in any case within a period not exceeding 12 months.
	In addition, the University recommends to its academic community that it publish, whenever possible, in open access journals. <sup>3</sup>
	The University will take into account the number of documents deposited as one of the parameters for funding research groups. As from 1 January 2012, only the publications deposited in the repository will be considered in the University's internal calls and competitions, as provided for all Catalan universities by the Inter-university Council of Catalonia.

For its part, the University undertakes to perform the following actions with respect to the documents produced by its academic and research community deposited in the institution's repository:

UNDERTAKINGS	Ensure observance of the authors' intellectual property rights.
	Ensure completeness of the data and metadata entered by the authors.
	Abide by international regulations and criteria for open access repositories.
	Coordinate with the other institutions in the university system so that national and international collectors of scientific and academic output (RECERCAT, MDX, TDX, OCW, RECOLECTA, DRIVER, etc.) can collect the knowledge

<sup>2</sup> Under the heading "Project publishing and filing", the Regulations on practicums and final degree projects state as follows: "A copy of the project completed by the student to pass the practicum or final degree project credits will be kept at the UOC's Library, where it can be freely consulted for use in teaching and dissemination, unless the author has specifically stated in the project that it is confidential. The student may publish the project under the protection of intellectual and industrial property or depending on the licence chosen; copyleft – GNU/Linux, Creative Commons, etc."

<sup>3</sup> It should be taken into account that this recommendation, which is not an obligation, will require the University to provide to those who wish it an estimate that may range from 500 to 2,000 euros, which is the sum stipulated by international publishers to publish their research work in Open Choice.

	generated by the University and provide access to it.
	Increase the visibility and interoperability of the scientific output by including the repository in academic search engines, portals, directories, etc. (Scirus, GoogleScholar, OAISTER, OpenDOAR, etc.).
	Preserve and maintain perpetual access to the documents deposited in the repository.
	The University undertakes to leave to the author the exclusive exercise of his or her work's exploitation rights. Publishing in the institutional repository is not incompatible, in any case, with publication of the document by commercial publishing companies, as the UOC undertakes to not require authors to waive their moral or exploitation rights. The UOC only acquires the necessary rights to disseminate the work and make changes to the document's digital document for security and preservation reasons.

### 3. Interoperability

#### 3.1. Assessment of the research and institutional repository

The relationship between the University's Researchers' Website (GIR) programme and the institutional repository (O2) is guaranteed, so that once the papers' metadata have been entered in the GIR, the full text of the text described can be stored quickly and effectively in the institutional repository under the terms mentioned earlier.

Deposit is by self-archival, and the Knowledge Transfer and Research Support Office (OSRT), together with the Library, will ensure completeness of the data entered.

#### 3.2. Interoperability protocols

The institutional repository, O2, uses the open-source software application Dspace, whose technical features comply with the reference model ISO 14721:2003 Open Archival Information System (OAIS).

The University undertakes to abide by the current standard metadata exchange protocols (OAI-PMH, OAI-ORE and SWORD) and those that may appear in the future, in order to increase the visibility and interoperability of the repository's contents.

## 4. References

- > Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003) [[online document](#)].
- > [Law 14/2011, of 1 June, on Science](#), Technology and Innovation
- > Budapest Open Access Initiative (2001) [[online document](#)].
- > Commission of the European Communities. "Communication from the Commission to the European Parliament, the Council and the European Economic and Social Committee on scientific information in the digital age: access, dissemination and preservation" (2007) [[online document](#)]. COM (2007) 56 final. SEC (2007)181.
- > Inter-university Council of Catalonia. General University Policy Committee. Subcommittee for promoting measures to facilitate open access. "Report on the work of the subcommittee for promoting measures to facilitate open access, in fulfilment of the agreement made by the Board of the Inter-university Council on 8 October 2008" (2009) [[online document](#)].
- > Inter-university Council of Catalonia. Board of the Inter-university Council of Catalonia. Framework Document on the Open Access Mandate for Research by Catalan Universities. 1 July 2010 [[online document](#)].
- > Dublin Core Metadata Initiative. DCMI metadata terms (2008) [[online document](#)].
- > EUA Council. Recommendations from the EUA Working Group on Open Access (2008) [[online document](#)].
- > European Commission. "[Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020](#)" (2013)
- > European Commission - [Access DATA PILOT H2020](#) (2013)
- > European Research Council. "ERC Scientific Council Guidelines for Open Access" (2007) [[online document](#)].
- > Heras i Cisa, F. Xavier de las. "[El papel de las instituciones en favor del acceso abierto](#)" (2010). 4th Jornadas de OS-Repositorios. Barcelona, 3-5 March 2010.
- > Melero, Remedios (2010). "[Validador de políticas de acceso abierto](#)". 4th Jornadas de OS-Repositorios. Barcelona, 3-5 March 2010.
- > REBIUN. REBIUN Declaration in Support of the Open Access Model (2004) [[online document](#)].

- > Universitat Oberta de Catalunya (2016). [Academic regulation applicable to the university studies.](#)