

Open Access Institutional Policy at the Universitat Oberta de Catalunya (UOC)

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1. Statement of Purpose

The need to promote research and teaching in the information society and the ease of digital publishing has led to the emergence of the **Open Access (OA) to scientific information movement**. This movement calls for permanent, free and unrestricted access to scientific and academic content to promote the accessibility and impact of scientific research.

Implementing an Open Access policy at the Universitat Oberta de Catalunya (UOC) will **increase the visibility of the University and demonstrate the University's excellence** in teaching and research quality, improving its positioning in international rankings.

1.1. International and National Contexts

The Open Access movement is a consolidated initiative that already has a long history. In recent years, statements in favour of Open Access have been made both nationally and internationally:

- Public Library of Science - PLoS (2001), (<http://www.plos.org/about/letter.html>).
- Budapest Open Access Initiative (2002), (<http://www.soros.org/openaccess/index.shtml>).
- Bethesda Statement on Open Access Publishing (2003), (<http://www.earlham.edu/~peters/fos/bethesda.htm>).
- Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003), (<http://www.zim.mpg.de/openaccess-berlin>).
- CRUE/REBIUN Declaration of support for the Open Access model, (<http://www.ucm.es/BUCM/boletin/bibliotecario/01/acceso.pdf>).

At the European level, the following initiatives need to be taken into consideration:

*Due to a change in contracting conditions for teaching materials agreed by the Governing Council on 23 November 2013.



- On 10 January 2008, the **European Research Council (ERC)** published institutional guidelines on Open Access requiring all peer-reviewed publications on ERC-funded research projects to be deposited in a research repository (thematic or institutional) and to be made Open Access within six months.
- In a plenary session held in Barcelona on 26 March 2008, the **European University Association (EUA)** passed the *Recommendations from the EUA Working Group on Open Access*. Of special significance are the recommendations for universities on the creation of institutional repositories and the development of policies that promote the AO:
“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, maximizing 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 OAI-PMH 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.”*
- The creation of the **European Union’s VI and VII R&D Framework Programme**, which, in this vein, started the **“Open Access Pilot in FP7”** programme in August 2008 and the **Open Access Infrastructure for Research in Europe (OpenAIRE)** project in December 2009.

In Spain, the importance of the future *Law on Science, Technology and Innovation* being drawn up by the Ministry of Science and Innovation also needs to be taken into account. The draft bill clearly promotes the publishing of research financed with public funds in Open Access and provides for the dissemination of this research in Open Access in both thematic and institutional repositories.

In Catalonia, the Consell Interuniversitari de Catalunya (Inter-university Council of Catalonia, CIC) decided to carry out different actions for promoting Open Access to Catalan research, for which it made the Comissió General de Política Universitària (General Committee for University Policy) responsible for monitoring and implementation. The action plan for Open Access in Catalonia has marked 2012 as a key date, from which “the processes in research project evaluation, lecturer accreditation, research evaluation (six-yearly increments) and internal promotion competitions will only take into account publications included in an Open Access repository”. This report was passed in the CIC’s plenary session of 22 June 2009.

2. Open Access Institutional Policy



To foster the dissemination of science in Open Access and following the already-mentioned recommendations of the European University Association Council and those of the Berlin Declaration, signed by this University on 2 June 2006, the UOC stipulates that:

WHO AND WHAT

Members of the UOC's **research community** are to deposit their research publications (journal articles, papers presented at conferences, scientific–technical documents, books, book chapters, research reports, etc.) undertaken as part of their work at the UOC in the University's Institutional Repository.

Members of the UOC's **academic community** are to deposit their academic publications (teaching materials and modules) undertaken as part of their work at the UOC in the University's Institutional Repository¹. Likewise they are also encouraged to deposit, under open access, any other learning materials that could be of interest to the students or faculty (continuous assessment tests, exams, exercises, etc.).

UOC **doctoral candidates** that have received a pre-doctoral competitive grant (such as the IN3-UOC grants for undertaking doctoral theses or those granted by other bodies, such as the Spanish Ministry for Science and Innovation and the Catalan Agency for Administration of University Research Grants), i.e., they are studying on-site and full-time, are to deposit an electronic copy of doctoral theses defended at the UOC in the Institutional Repository.

UOC **students**, as set out in the rules for practicums and final degree and master's projects², are to deposit these projects in the Institutional Repository; these projects will be freely available for teaching and dissemination. Where publications contain confidential personal or company data, this information must be removed before depositing the publications in the repository, or access to them can be restricted to only the UOC community.

HOW

Any conditions stipulated by the publishers regarding archiving documents in Open Access repositories will be taken into account. Where these conditions prohibit including the final published version, the preprint version or at least the complete metadata description will be included and access to the complete text will be restricted by an embargo for a maximum of 12 months in the case of research documents.

Teaching materials will first be published under copyright for a certain period of time and then subsequently under a Creative Commons licence, as indicated in the [Agreement of the Governing Council](#) on improvements in copyright management, recruitment and dissemination of open content (23 November 2013).

Document archiving is to take place straight after their acceptance for publication and always within 12 months.

The University also recommends that the UOC academic community publish in Open Access journals where possible³.

¹ Didactic material created at the UOC under Open Access licence is published in the UOC's OCW (<http://ocw.uoc.edu>), which the UOC's Institutional Repository feeds off, without duplicating resources or effort.

² Under the section "Publication and archiving of projects", the rules for practicums and final degree projects state: "A copy of the student's project for passing the credits of the practicum or final degree project shall be archived in the UOC Library and shall be freely-accessible for teaching and dissemination use except where the author states that the paper's content is confidential. Students may publish works under the protection of industrial and intellectual property in accordance with the type of licence chosen: copyleft–GNU/Linux, creative commons, etc."

³ Note that this recommendation (not an obligation), entails the University providing, if necessary, for those who opt to do this an amount of between 500 to 2,000 Euros, which is the range stipulated by the different international publishers for opting to publish their research work in Open Choice.



The University will take into account the number of documents deposited as one of the criteria for research group financing, and, from 1 January 2012, only publications deposited in the repository will be considered in the University's internal calls and competitions as stipulated by the CIC for all Catalan universities.

With respect to the documents of the UOC academic community and the research deposited in the Institutional Repository, the University will:

COMMITMENTS

Safeguard the intellectual property rights of the authors.

Check the integrity of the data and metadata introduced by the authors.

Follow the international rules and criteria for Open Access repositories.

Coordinate with the other institutions in the university system so that the national and international collectors of scientific and academic production (RECERCAT, MDX, TDX, OCW, RECOLECTA, DRIVER, etc.) can collect and provide access to the knowledge generated by the University.

Increase the visibility and the interoperability of the scientific production by incorporating the repository in academic search engines, portals, directories, etc. (Scirus, GoogleScholar, OAISTER, OpenDOAR, etc.).

Preserve and maintain perpetual access to documents deposited in the repository.

The University recognizes the exclusive right of authors to exploit their works. Publishing in the Institutional Repository is in no case incompatible with publishing with commercial publishers as the UOC shall not make authors renounce moral or exploitation rights. The UOC acquires only the rights required to disseminate the work and make changes to the digital version of the document for security and preservation purposes.

3. Interoperability

3.1. Research Evaluation and the Institutional Repository

The relation between the University's Gestió Integral de la Recerca (Integral Management of Research, GIR) programme and the Institutional Repository (O2) is guaranteed. Once the metadata of the article are entered in the GIR, the complete text of the described document can be rapidly and efficiently stored in the Institutional Repository as per the above-mentioned conditions.

Depositing is done via self-archiving; the Oficina de Suport a la Recerca i a la Transferència (Knowledge Transfer and Research Support Office, OSRT) along with the Library ensure the integrity of the data introduced.

3.2. Interoperability Protocols



The O2 Institutional Repository uses the open source application, DSpace, whose technical characteristics comply with reference model ISO 14721:2003 of the Open Archival Information System (OAIS).

The University is committed to following all current metadata exchange standard protocols (OAI-PMH, OAI-ORE and SWORD) and those that may appear in the future so as to increase the visibility and interoperability of the repository's content.

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