UAB
Universitat Autònoma de Barcelona

Open Access Institutional Policy of the Universitat Autònoma de Barcelona

(Approved by the Governing Council on December 14th, 2022)

The Universitat Autònoma de Barcelona (UAB) approved its Open Access Policy in April 2012, to facilitate the academic and research staff compliance with the provisions of Article 37 (Open Access dissemination) of *Ley 14/2021, d'1 de junio, de la Ciencia, la Tecnología y la Innovación* [Law 14/2021, of June 1, on Science, Technology and Innovation], as well as to support the Budapest and Berlin Declarations for the promotion of open access. During these 9 years the scenario has evolved a lot and *Ley 17/2022, de 5 de septiembre, por la que se modifica la Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación* [Law 17/2022, of September 5th, amending Law 14/2011, of June 1, on Science, Technology and Innovation] has been published, which has meant a step forward in terms of open science. The main research funding agencies both at Spanish level (Plan Estatal) and European level (Horizon Europe) are clearly committed to greater transparency and accessibility of research results.

The UAB, in agreement with the rest of the universities in Catalonia, has adopted the ORCID identifier, which is free, universal, non-commercial and recognized by the organizations that accredit and evaluate research and the major journal publishers. As a personal identifier it allows the assignment and dissemination of the scientific production of the research staff in the Universitat Autònoma de Barcelona Research Portal (https://portalrecerca.uab.cat) and in the Portal de la Recerca de Catalunya (https://portalrecerca.csuc.cat).

The Dipòsit Digital de Documents de la UAB (DDD) (https://ddd.uab.cat) is the institutional repository. It was created in 2006 to collect, give visibility and preserve the scientific, institutional and patrimonial production of the University.

All the documents contained in the DDD are accessible immediately or with a temporary embargo, depending on what the holders of the exploitation rights establish. In all cases, the metadata of the publication can be consulted.

The delivery (of a document or file) implies the non-exclusive transfer to the University of the exploitation rights of the intellectual property for public communication. In any case, the moral rights are unwaivable and inalienable and correspond to the author.

The DDD is declared OpenAIRE compliant (https://www.openaire.eu) because it adapts to all the metadata requirements set by the European Union in order to be able to review the projects. It also incorporates all the requirements of Recolecta (https://recolecta.fecyt.es) for compliance with those established by the State Research Agency.

The UAB approved the preservation policy (https://ddd.uab.cat/record/189808) of the DDD, which highlights institutional sustainability.

In accordance with all of the above and in conformity with national and international legislation in force, the Open Access policy of this University aims to collect, organize and preserve all the scientific, academic and administrative production of the university community in open access, based on the following:

I.   Peer-reviewed articles

The academic and research staff has the obligation to reference and attach in the Entorn per a la Gestió de la Recerca i la Transferència (EGRETA) the file with the version of the document (preprint, postprint or final version of the editor) permitted to be disseminated through the institutional repository of any reviewed article simultaneously with the date of publication or, in case of technical problems, within a period no exceeding 3 months from its acceptance (although it is subject to temporary embargo) so that it can be available in open access in the DDD as soon as possible. If the article is the result of a funded project, it Will be necessary to act in accordance with the requirements of Spanish and European legislation and research funding organizations.

La University offers a serie of incentives to promote Open Access publication (https://www.uab.cat/open-access).

II.   Articles that are part of the tesis by compendium of publications[i]

From the academic year 2024/2025 it will be mandatory for doctoral students who defend their thesis by compendium of publications that the version of the articles allowed by the publisher is delivered to the DDD 2 months before the deposit of the thesis. If an article cannot be published in open access, the Library Service will state it in a document that will exempt from this obligation.

III.   Publications presented in internal calls for academic and research staff and PhD students

The publication of scientific production in the DDD of the applicants for the different promotion positions will be established as a merit.

For example, the calls for merits for professors, in which from 2023 any research or teaching merit published in the last 5 years that the applicant wants to be considered must be published in the DDD.

Likewise, work will be done to establish the mandatory use of the DDD in research calls and calls for PhD students.

IV.   Other research publications

These publications (book chapters, reports, studies, papers...) must be referenced and attached to EGRETA simultaneously with the date of publication or, in case of technical problems, within a period no exceeding 3 months from its acceptance (although it is subject to temporary embargo) so that it can be made available in open access in the DDD whenever possible. If exploitation rights have been assigned, this must be done in accordance with the publishers' copyright policies regarding self-archiving.

The final research data is managed with its own policy. (Política institucional d'accés obert per a les dades de recerca de la Universitat Autònoma de Barcelona https://ddd.uab.cat/record/222172).

V.   Educational resources

In accordance of UNESCO recommendations (https://es.unesco.org/themes/tic-educacion/rea) the University encourages its staff to use, create and publish open educational resources to enhance the quality of the student experience in accordance with the University's values and mission.

The open education movement and Open Educational Resources (OER) seek to bridge the digital divide and support more affordable and effective teaching and learning.

VI.   Final Degree Projects

UAB doctoral students must authorize the publication of their doctoral thesis in the TDX and DDD repositories, as established in the Real Decreto 99/2011, de 28 de enero, que regula las enseñanzas oficiales de doctorado [Royal Decree 99/2011, of January 28, 2011, which regulates official doctoral studies].

Bachelor's and Master's Degree students must submit their Final Projects (Bachelor's Degree Final Project and Master's Degree Final Project) to the DDD, taking into account the directives established by each degree program or center.

The studies awarded by the UAB will also be published in the DDD.

VII.   Institucional documentation

All services and areas of the University must ensure that all documentation of public interest is published in the DDD in an exercise of transparency and commitment to permanent open access. Examples include codes of conduct and best practices, reports of the different services and areas, rules and regulations.

In relation to the conferences and seminars and to guarantee access to these contents from the DDD, it is recommended to follow the indications in the document: [Recomanacions d'avís legal per a jornades i congressos organitzats per la UAB](#) [Legal notice recommendations for conferences and congresses organized by the UAB]

Those responsible for the implementation and compliance with this policy are:

Government Team:

- Ensuring and monitoring compliance.
- Provide the financial means for the sustainability of both IT equipment and human resources to make this policy possible.

Research Management Area:

- Collect all references to the University's research publications on EGRETA.

Library Service:

- Assign the necessary metadata in the records to allow access and interoperability with other platforms.
- Review and publish UAB research, educational and administrative documents in the DDD. For research documents will be taken into account the conditions established by the publishers in relation to the archiving of documents in open access digital repositories.

- Manage the dissemination of documents subject to temporary embargo.
- Advise authors on doubts related to publishers' self-archiving policies.

IT Service:

- Ensure the proper functioning of the IT infrastructure and the renewal of equipment.
- To ensure permanent access to and preservation of deposited documents as set forth in the *Digital preservation policy of the Dipòsit Digital de Documents de la UAB (DDD)* https://ddd.uab.cat/record/189808

Authors:

- Make the deposit of the items through EGRETA in accordance with the publishers' self-archiving policies.
- Make the deposit of teaching resources through the DDD self-archiving forms.
- Doctoral students who complete the thesis by compendium of publications should deposit the articles that are part of the DDD as soon as possible and no later than 2 months before the thesis deposit.
- The academic and research staff must have the ORCID (persistent, public and open identifier) informed to EGRETA and must state it in their publications whenever possible.
- Choose a mention of exploitation rights in line with the CC licenses recommended at UAB https://ddd.uab.cat/record/129205, if applicable.

To monitor compliance with the mandate, peer-reviewed articles referenced to EGRETA will be compared annually with those existing in the DDD.

Annually the Commission responsible for Open Access will review the evolution of this compliance.

This policy comes into force the day after approval by the Governing Council and Will be reviewed by the Commission responsible for Open Access, every 5 years or sooner at the initiative of the Commission.

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[i] According to the *Normativa Acadèmica de la Universitat Autònoma de Barcelona* [Academic Regulations of the Universitat Autònoma de Barcelona] https://www.uab.cat/doc/TR_normativa_academica_UAB