

Institutional Open Access 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, aimed at facilitating the academic and research staff compliance with Article 37 (Open Access dissemination) of *Ley 14/2021, de 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. Over the course of these nine years the situation has evolved significantly, with the enactment of *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 5 September, amending Law 14/2011, of 1 June, on Science, Technology and Innovation], which represents a significant step forward in the realm of open science. The main research funding agencies both at Spanish level (Plan Estatal) and European level (Horizon Europe) are clearly committed to enhance transparency and accessibility of research results.

The UAB, in agreement with all universities in Catalonia, has adopted the ORCID identifier, which is free, universal, non-commercial and recognized by research accreditation and evaluation bodies 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 CORA Portal de la Recerca de Catalunya [Portal of Research in Catalonia] (<https://portalrecerca.csuc.cat>).

The Dipòsit Digital de Documents de la UAB [Universitat Autònoma de Barcelona Digital Repository of Documents] (DDD) (<https://ddd.uab.cat>) serves as 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 collected in the DDD are accessible either immediately or with a temporary embargo, according to what the holders of the exploitation rights establish. In all cases, the metadata of the publication can be consulted.

The submission (of a document or file) implies a non-exclusive transfer to the University of the exploitation rights of the intellectual property for public communication. In all cases, moral rights are non-waivable and inalienable and they pertain to the author.

The DDD is declared OpenAIRE compliant (<https://www.openaire.eu>) because it adheres to all the metadata requirements set by the European Union for project review. It also incorporates all the requirements of Recolecta (<https://recolecta.fecyt.es>) to ensure 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 compliance 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 an open access, based on the following:

I. Peer-reviewed articles

The academic and research staff is required to reference and upload 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 the final version of the publisher) authorized for dissemination through the institutional repository of any reviewed article simultaneously with the date of publication or, in case of technical difficulties, no later than three months after acceptance (even if subject to a temporary embargo (although it is subject to temporary embargo) so that it can be made available in open access in the DDD as soon as possible. If the article is the result of a funded project, compliance with Spanish and European legislation and research founding agencies' requirements is essential.

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

II. Articles that are part of the thesis by compendium of publicationsⁱ

Starting from the academic year 2024/2025 it will be mandatory for doctoral students who defend their thesis by compendium of publications to submit the version of the articles promitted by the publisher to the DDD at least 2 months prior to the thesis deposit. In the event that an article be published in open access, the Library Service will state this in a document exempting from this obligation.

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

It will be ensured that the publication of scientific production in the DDD is recognized as a merit for applicants to the different promotion positions.

For example, in the merit evaluations for professorships, beginning in 2023, any research or teaching merit published within the last 5 years that the applicant wishes to be considered must be available in the DDD.

Likewise, efforts will be made to establish the mandatory use of the DDD in research calls and calls for doctoral students.

IV. Other research publications

These publications (book chapters, reports, studies, conference papers...) must be referenced and attached to EGRETA simultaneously with the date of publication or, in the event of technical difficulties, within a period no exceeding 3 months from its acceptance (even if subject to a temporary embargo to temporary embargo) to ensure their availability in open access in the DDD whenever possible. If exploitation rights have been transferred, this process must be carried out 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](https://ddd.uab.cat/record/222172)).

V. Educational resources

In accordance with 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 alignment with the institution's values and mission.

The Open Education and Open Educational Resources (OER) movement endeavors to narrow the digital divide and provide support for more affordable and effective teaching and learning.

VI. Final Degree Projects

UAB doctoral students are required to authorize the publication of their doctoral thesis in the TDX and DDD repositories, in accordance with 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 programs].

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 academic center.

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

VII. Institucional documentation

All services and areas of the University are required to ensure the publication of all documentation of public interest is published in the DDD as an exercise of transparency and commitment to permanent open access. Some examples may include codes of conduct and best practices, reports from the different services and areas, as well as regulations and rules.

In relation to the conferences and seminars and to ensure access to these contents via the DDD, it is recommended to follow the guidelines outlined 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:

Governing Team:

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

Research Management Area:

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

Library Service:

- Assign the necessary metadata in the records to enable access and interoperability with other platforms.
- Review and publish UAB research, educational and administrative documents in the DDD. For research documents considerations will be made in accordance with the conditions stipulated by the publishers concernint 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.

- Ensure permanent access to and preservation of deposited documents in accordance with the *Digital preservation policy of the Dipòsit Digital de Documents de la UAB (DDD)* <https://ddd.uab.cat/record/189808>

Authors:

- Deposit articles through EGRETA
- Make the deposit of other research publications through EGRETA in accordance with the publishers' self-archiving policies.
- Make the deposit of teaching resources using the DDD self-archiving forms.
- Doctoral students who pursue a 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 their ORCID (a persistent, public and open identifier) registered in EGRETA and should include it in their publications whenever possible.
- Choose an exploitation rights designation in alignment 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 a yearly comparison will be conducted between the peer-reviewed articles referenced in EGRETA and those available in the DDD.

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

This policy comes into force the day after its approval by the Governing Council and will be subject to review by the Commission responsible for Open Access every 5 years or earlier sooner at the initiative of the Commission.

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