

Open access publishing and funding in the UAB

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Bellaterra, April 2023



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UAB Universitat Autònoma
de Barcelona

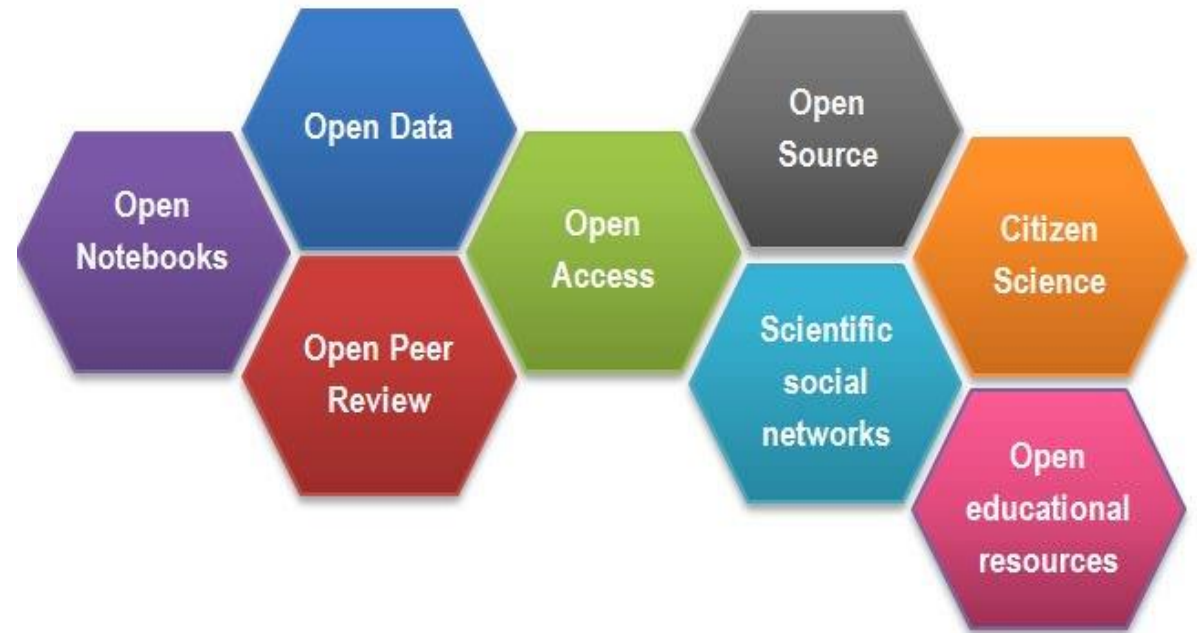


Contents

- **Open access:** the context
- **Open access publishing:** prior to publishing, where to publish, publishing routes
- **Open access funding**
- **Doctoral theses**
 - Theses on TDX and DDD
 - Theses as a collection of articles
- **Good practices and suggestions**

Open science

- Cooperative workflows
- Collaborative tools
- Digital technologies
- Stronger interaction between researchers and society
- Higher productivity and efficiency
- Higher transparency





Open access: what is it?

«Free availability on the public Internet, permitting any users to read, download, copy, distribute, print, search or use for any other lawful purpose, without financial, legal or technical barriers.»

Budapest Manifesto, February 2002

Open access ≠ **Free access**

Open access: benefits



Increases **visibility** and, consequently, dissemination and impact of scientific production. Increase in citations.



Increases the **accessibility** of research papers without further expense.



Allows authors to decide the **rights** to be kept or transferred and the conditions.



Preserves research results in the long term.



Gives back to **society** the investment made in research.

Open access: legal framework



- Real decreto 99/2011, de 28 de enero, por el que se regulan las enseñanzas oficiales de doctorado.
- 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. Artículo 37
- Plan Estatal de Investigación Científica y Técnica y de Innovación (PEICTI) 2021-2023



- Llei 9/2022, del 21 de desembre, de la ciència



- Horizon Europe (2021-2027)



- Política institucional d'accés obert de la Universitat Autònoma de Barcelona (2022)
- Política institucional de dades de recerca en obert de la UAB (2020)

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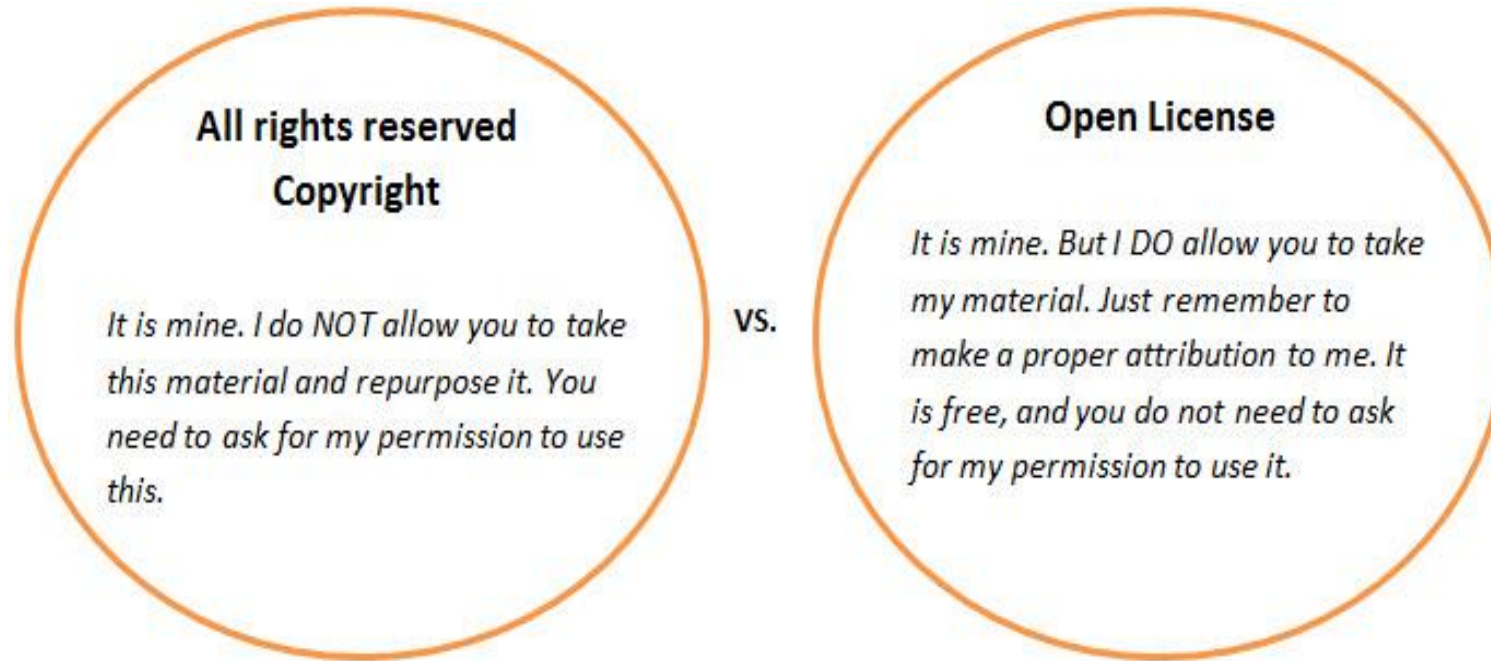
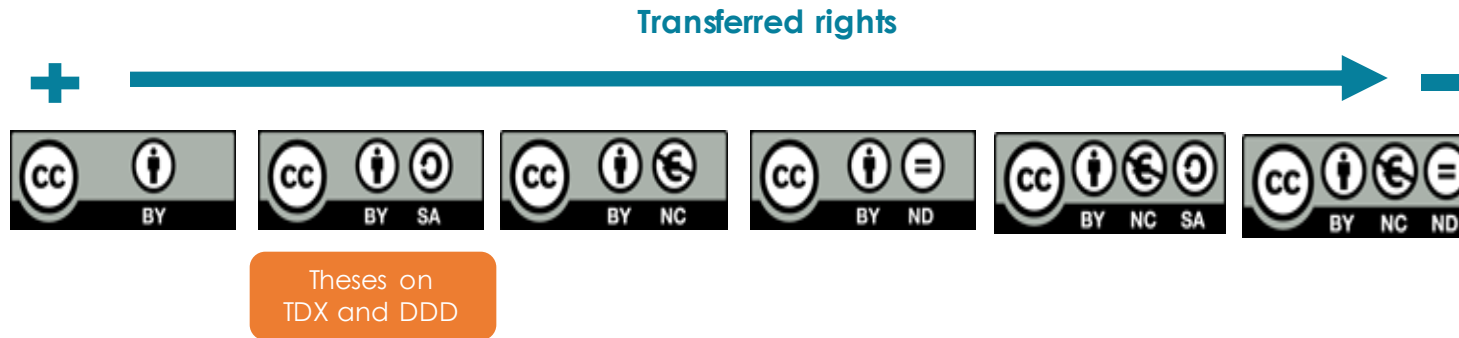


Image: [Boyoungc](#) / [Wikimedia Commons](#) / [CC BY-SA 4.0](#)



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- **BY – Attribution.**
Authorship must be properly recognized, link to licence is required and any changes must be indicated.
- **NC – Non Commercial.**
Commercial use of derived works is not allowed.
- **SA – Share Alike.**
Any derived work must have the same licence as the original.
- **ND – No Derivatives.**
Transformation of the original is not allowed.

Recommended licences at the UAB: <https://ddd.uab.cat/record/129205>

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Prior to publishing



**Find out about
a journal**

To know...

- Expertise, reputation and impact
- Subject scope
- Publishing deadlines
- Peer review system
- Geographical scope: international, national, local
- Instructions for authors
- Publisher's policy on copyright and open access

Choose where to publish



Writing | Citing | Publishing | Open publishing | Disseminating

www.uab.cat/biblioteques/comunicacio-recerca

Choose where to publish

Tria on publicar



Recursos d'interès a l'hora d'[escollir revista científica](#) on publicar.

! THINK ✓ CHECK > SUBMIT

Select the desired features of your journal.

edanz | INNOVATIVE
SCIENTIFIC
SOLUTIONS



Search by title, keywords, summary...



Directory of Open Access Journals giving access to high quality peer reviewed journals.

Open access routes



Diamond route



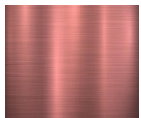
Golden route



Hybrid route



Green route



Bronze route (not really open access)

Your papers can be published through a number of routes having their own features and requirements.



Diamond route



- Publication in open access journals
- No payment of article processing charges (APC)
- No transfer of exploitation rights to the journal
- Open access

Golden route

- Publication in open access journals
- Payment of article processing charges (APC)
- No transfer of exploitation rights to the journal
- Open access



Hybrid route

Publication in journals having open access articles (golden route) as well as subscription articles (traditional route).

Traditional route:

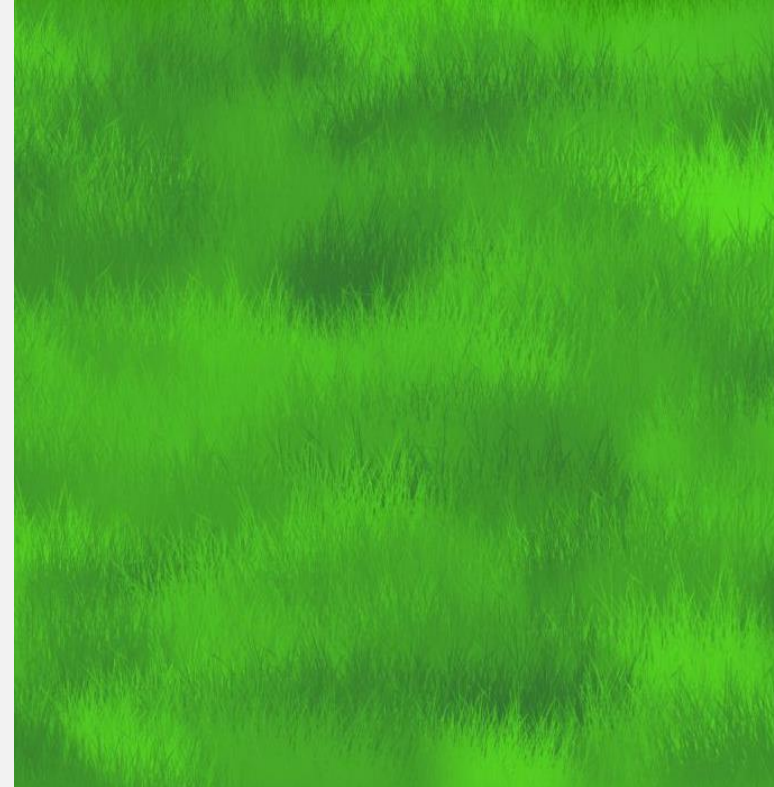
- No payment of article processing charges (APC)
- Transfer of exploitation rights to the journal
- Restricted access to subscribers

Golden route:

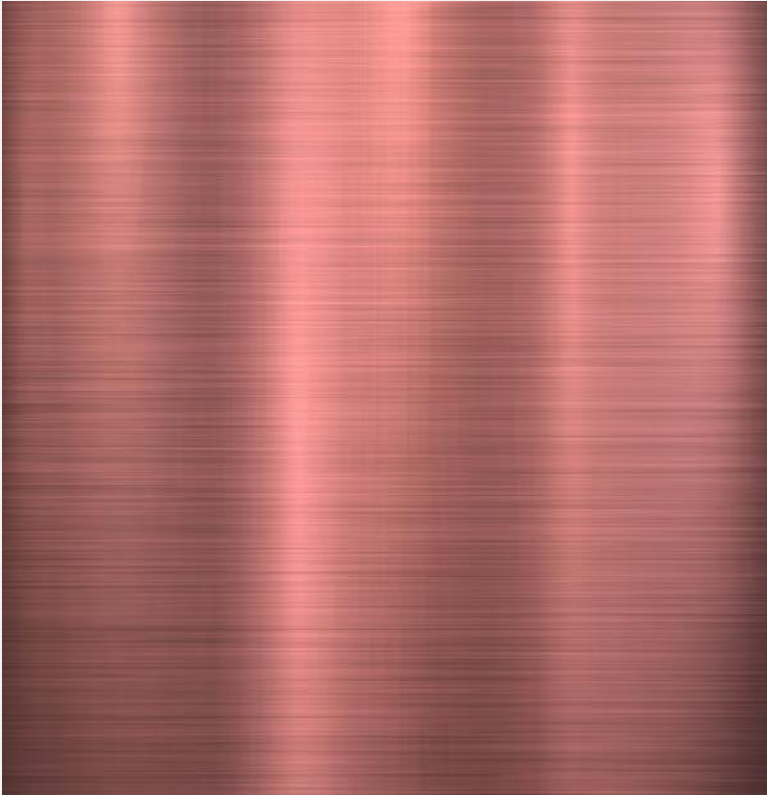
- Payment of article processing charges (APC)
- No transfer of exploitation rights to the journal
- Open access

Green route

- Publication in subscription-based journals
- Self-archiving of previous versions (preprint or postprint)
- Possible embargo (from 6 to 24 months)
- No payment of article processing charges (APC)
- Transfer of exploitation rights to the journal
- Open access



Bronze route



- Publication in subscription-based journals
- No payment of article processing charges (APC)
- Transfer of exploitation rights to the journal
- Free access, NOT OPEN (download, copy, dissemination... not for sure)

Comparative table

	Type of journal	APC payment	Exploitation rights transfer	Open access	Free access
Traditional route	Subscription	NO	YES	NO ©	NO
Golden route	Open access	YES	NO	YES ©	YES
Hybrid route	Transformative	NO	YES	NO ©	NO
		YES	NO	YES ©	YES
Green route	Subscription	NO	YES	YES ©	YES
Bronze route	Subscription	NO	YES	NO ©	YES
Diamond route	Open access	NO	NO	YES ©	YES

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Open access funding

Transformative agreements

Contracts with publishers to publish in open access in 5,500 journals 100% financed (hybrid route usually).



<https://www.uab.cat/web/investigador/open-access-uab/financament-per-publicar-1345841696025.html>

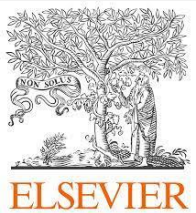


Transformative agreements: what are they?

Contracts between consortia or universities and publishers reflecting a change in the subscription model of scholarly journals.



100% financing to publish in around 5,500 journals.

Transformative agreements: journals

Publisher	Hybrid journals	Licences
	1,671 journals. Check the list	CC-BY CC-BY-NC-ND
WILEY	1,473 journals. Check the list	CC-BY CC-BY-NC CC-BY-NC-ND
	2,324 journals. Check the list	CC-BY CC-BY-NC
 AMERICAN CHEMICAL SOCIETY	69 journals. Check the list	CC-BY


<https://confluence.csuc.cat/display/BDC/Acords+transformatius>

Transformative agreements: journals

The screenshot shows the UMB library website with a search bar containing "European journal of education". The search results are displayed on a yellow background. On the left, there are filters for "Filtrar els resultats", "Ordenar per", "Disponibilitat", "Matèria", "Autor", "Biblioteca", "Tipus de recurs", and "Data de creació". The search results list two items:

- 1. **European journal of education.**
European journal of education (Online)
Institute of Education (European Cultural Foundation); European Institute of Education and Social Policy.
1979-
Disponible en línia >
- 2. **European Journal of Education**
Disponible en línia >

A red box highlights a notice in the top right corner of the search results area:

PUBLICAR EN ACCÉS OBERT
 **European journal of education**
Consulta altres títols inclosos en un acord transformatiu
Aquesta revista està inclosa a l'acord amb l'editorial Wiley

A red arrow points to this notice.

Transformative agreements: how do they work?

Usually, after the peer review process, the publisher will inform you that your institution can offer you free APC and you can get them from the publisher platform. You will be notified later if your request has been accepted or denied.

Requirements:

You will be asked to fulfill some requirements and to accept some conditions.

These requirements may change according to the evolution of requests.

The Comissió d'Investigació de la Universitat is the institution entitled to make these changes.

Transformative agreements: requirements

Requirements to apply for free APC:

PhD students group must comply the following criteria:



- First author
- Corresponding author of the article
- UAB as first affiliation

PhD students with a non UAB thesis advisor will receive, as a maximum, two APC along their PhD.

Requests will be assigned by order of arrival while vouchers last.

Open access funding

Discounts:

Discounts for open access publishing (golden route usually).



Further information:

- **Website:** [Funding to publish in open access](#) information on transformative agreements is constantly being updated.
- Ask the **research support librarian** in your reference library for assistance.



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Doctoral theses at the UAB



- Mention of author rights (kept or transferred)
- Optional embargo

Further information: [Intellectual property in the preparation of the thesis](#)

Theses as a collection of articles

[Academic regulations of the Universitat Autònoma de Barcelona](#)

(Agreement by the Consell de Govern, 7th July 2022)

The requirements for a thesis as a collection of articles are detailed in each PhD program. Three common requirements are:

- a) A minimum of two publications.
- b) UAB must be mentioned in all articles whether as the thesis advisor's affiliation or the PhD student's, or in the acknowledgements section or in a footnote with the statement «This work has been carried out as part of the PhD program [name of the PhD program] of the Universitat Autònoma de Barcelona».
- c) The version of all articles allowed by the publisher must have been submitted to the Dipòsit Digital de Documents de la UAB (DDD), if possible.

Theses as a collection of articles



[UAB Academic regulations](#)

PhD students must submit the version of all articles allowed by the publisher to the [Dipòsit Digital de Documents de la UAB](#) (DDD) from the academic year 2024-2025 on.

<https://www.uab.cat/web/recerca/open-access-uab/articles-de-les-tesis-per-compendi-1345867627944.html>

Theses as a collection of articles

**Include the article
in the thesis**

≠

**Submit the article
to the DDD**

Theses as a collection of articles

Including a protected article in a thesis:

- There are publishers who allow authors of articles published in closed journals to include them in their theses as long as they are not made available in the published form.
- Publisher's permission is always required.
- Check the journal/publishing house website or contact the publisher.

Theses as a collection of articles



When and how should I submit the articles of my thesis to the DDD?

You must submit the articles to the Dipòsit Digital de Documents (DDD) immediately after publication, through the «Deliver» option that you will find in the DDD (form not yet available). Even if the publisher requires an embargo for publication, the Library Service:

- Will verify that the version **of the submitted article** (preprint, postprint, or publisher version) is authorized by the publisher. Otherwise the Library Service will contact you.
- Will place an embargo on the file during the period required by the publisher.
- Will let you know by email the permanent URL of the article, which you must indicate in the online repository application.

Theses as a collection of articles

And what if the journal does not allow me to publish my article in open access?

Go to your reference library to obtain a document justifying this and exempting you from this duty. You will have to submit it to the online repository application.

Theses as a collection of articles

UAB funding to publish in open access and in the DDD:

- You can access financing as long as you meet the criteria established by the UAB.
- The article version to be submitted to the DDD will always have to be the published one.

Thesis embargo?

- The embargo consists in not making public the full text of the thesis for a period of time (from 6 to 24 months, depending on the case).
- It is an exceptional measure that must be used as little time as possible.

Example: <https://ddd.uab.cat/record/268638>

Llengua: Anglès
Col·lecció: Programa de Doctorat en Genètica
Document: Tesi doctoral ; Text ; Versió publicada
Matèria: Letalitat sintetica ; Letalidad sintética ; Synthetic lethality ; Reparació del ADN ; Reparación del ADN ; DNA repair ; Anemia de Fanconi ; Fanconi anemia ; Ciències de la Salut

Adreça alternativa: <https://hdl.handle.net/10803/675626>



Disponible a partir de: 2024-04-07

Thesis embargo?

Most publishers allow publication of articles derived from doctoral theses.
Find out about publishers' policies.



ELSEVIER

About Solutions Services Shop

- **Multiple, redundant or concurrent publication:** An author should not in general publish manuscripts describing essentially the same research in more than one journal or primary publication. Elsevier **does not view the following uses of a work as prior publication:** publication in the form of an abstract; **publication as an academic thesis;** publication as an electronic preprint. Note: some society-owned titles and journals that operate double-blind review have different policies on prior publication. Information on prior publication is included within each Elsevier journal's guide for authors.

Elsevier. Policies & guidelines: www.elsevier.com/authors/journal-authors/policies-and-ethics

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Good practices and suggestions

Create

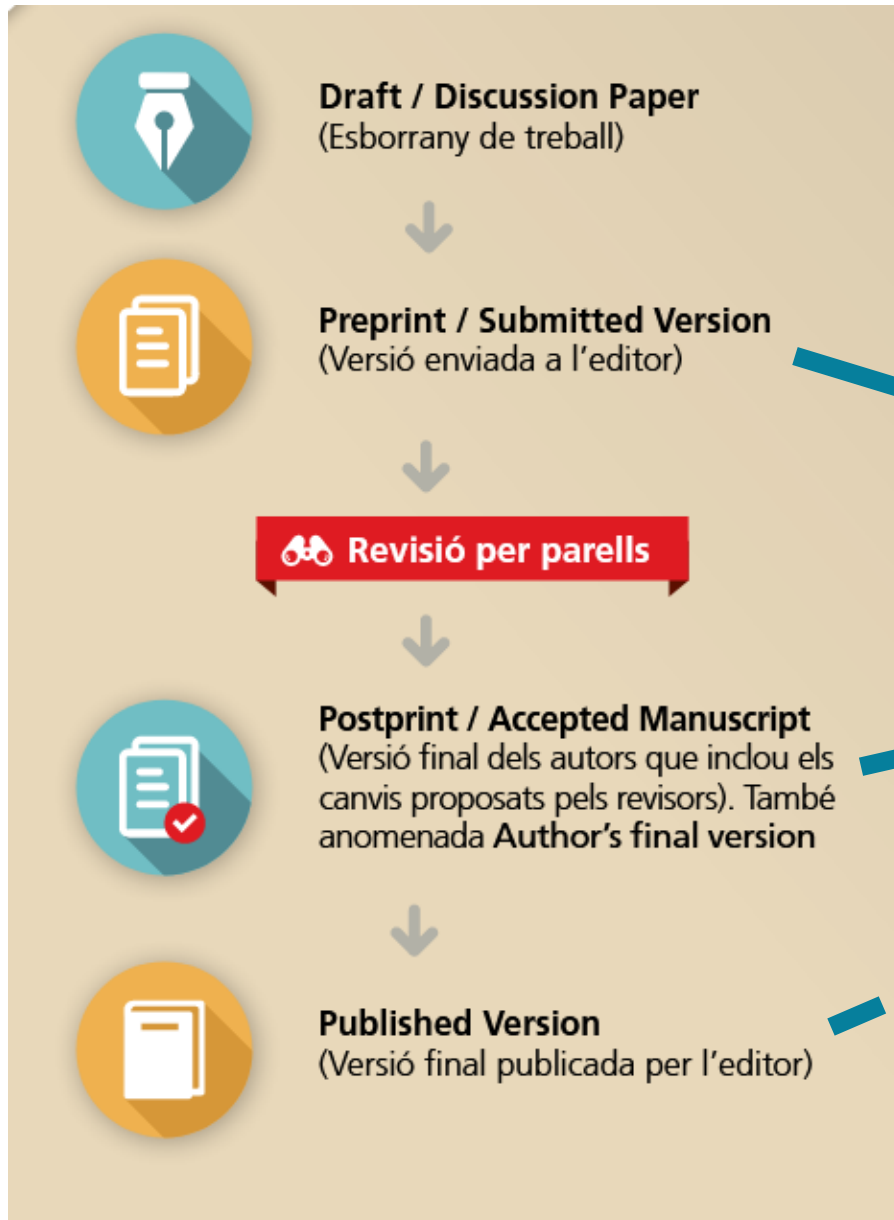
But...

Scholarly networks ≠ Open access

Publishers have their own policies
regarding social networks.

Check them out!

Article versions



Further information:

ddd.uab.cat/record/141309

Focal release of neurotrophic factors by biodegradable microspheres enhance motor and sensory axonal regeneration in vitro and in vivo

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² Centro de Investigación Biomédica en Red sobre Enfermedades Neurodegenerativas (CIBERNED), Bellaterra, Spain

³ The BioRobotics Institute, Scuola Superiore Sant'Anna, Viale Rinaldo Piaggio 34, 56025 Pontedera, Italy

⁴ Translational Neural Engineering Laboratory, Center for Neuroprosthetics and Institute of Bioengineering, School of Engineering, Ecole Polytechnique Fédérale de Lausanne (EPFL), Lausanne, Switzerland

Corresponding author: Dr. Jaume del Valle, Unitat de Fisiologia Mèdica, Facultat de Medicina, Universitat Autònoma de Barcelona, E-08193 Bellaterra, Spain. E-mail: jaume.delvalle@uab.cat

"This is an accepted manuscript of an article published by Elsevier in Brain Research on 04 February 2016, available online: <http://dx.doi.org/10.1016/j.brainres.2016.01.051>
© <2016> This manuscript version is made available under the CC-BY-NC-ND 4.0 license <http://creativecommons.org/licenses/by-nc-nd/4.0/>

This is the accepted version of Huang, M., et al. "Velocity of change in vegetation productivity over northern high latitudes" in Nature ecology and evolution, vol. 1 (Nov. 2017), p. 2397-334X. DOI 10.1038/n41559-017-0328-y. This version is available at <https://ddd.uab.cat/record/181845> under the terms of the [AI rights reserved license](#)

Velocity of change in vegetation productivity over northern high latitudes

Mengtian Huang¹, Shilong Piao^{1,2}, Ivan A. Janssens³, Zaichun Zhu¹, Tao Wang², Donghai Wu¹, Philippe Ciais^{3,4}, Ranga B. Myneni⁵, Marc Peacock^{6,7}, Shushi Peng¹, Hui Yang¹, Josep Penuelas^{8,9}

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⁵ Department of Earth and Environment, Boston University, Boston, Massachusetts 02215, USA.

⁶ CREA, Cerdanyola del Vallès, Barcelona 08193, Catalonia, Spain.

⁷ CSIC, Global Ecology Unit CREA-CSIC-UAB, Bellaterra, Barcelona 08193, Catalonia, Spain.



**Proper
accepted
version**

Intellectual property and open access

UAB Universitat Autònoma de Barcelona

[Inici](#) [Què és?](#) [Marc legal](#)

Propietat Intel·lectual i Accés Obert

Resoleu els vostres dubtes



Inici

Aquest web conté un recull de preguntes més freqüents (PMF) que aporten informació en matèria de propietat intel·lectual i accés obert, de caràcter orientatiu i sense que es puguin considerar, en cap cas, assessorament jurídic per part de la Universitat Autònoma de Barcelona. Hi podeu accedir fent una cerca a la casella o bé navegant per les carpetes temàtiques.

CERCA

Cerqueu les paraules que defineixen la vostra consulta, en català. Si escriviu una paraula o una frase entre cometes, als resultats només s'inclouen pàgines amb les mateixes paraules en ordre idèntic al contingut de les cometes.

Accés obert (21)	Creative Commons (7)	Dades de recerca (19)
Dades personals (21)	Dipòsit digital de documents (9)	Docència i material docent (18)
Generalitats	Imatges i Audiovisuals	Plagi

Clear up your questions at:

www.uab.cat/propietat-intellectual



Thanks!



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