Open access publishing and funding at the UAB

Gemma Álvarez, David Barri, Mar Cabezas

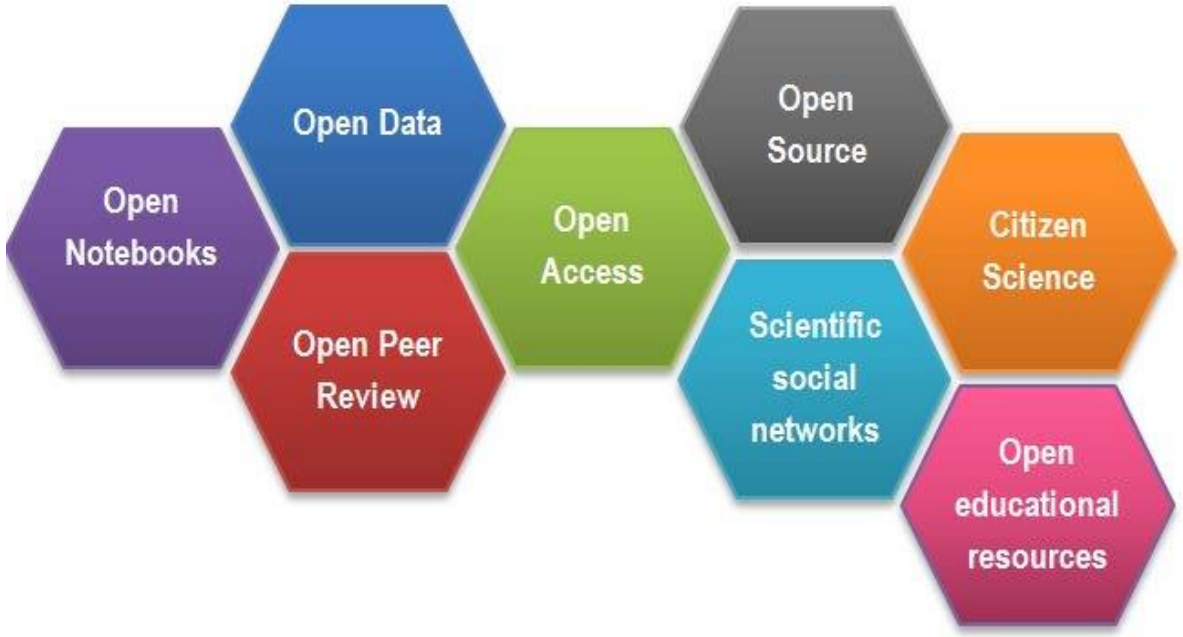
Bellaterra, April 2025

UAB Universitat Autònoma de Barcelona
Servei de Biblioteques

Contents

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.

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

Preserves research results in the long term.

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

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

Open access: legal framework

- Real Decreto 576/2023, de 4 de julio, por el que se modifica el 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)

UAB
Universitat Autònoma de Barcelona

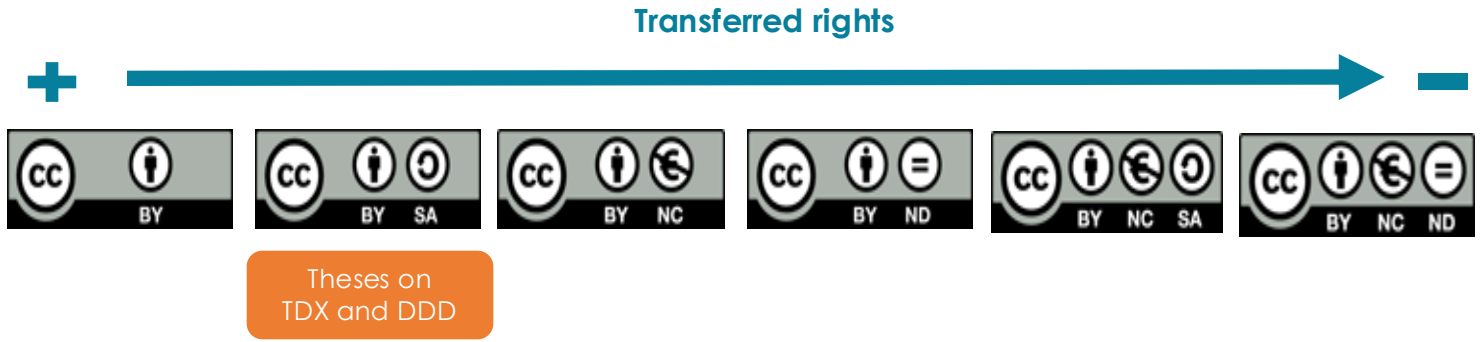
- Política institucional d'accés obert de la Universitat Autònoma de Barcelona (2022)
- Política institucional de dades de recerca en obert de la UAB (2022)

Creative Commons licences (CC)

Image: Boyoungc / Wikimedia Commons / CC BY-SA 4.0

Image: Wikimedia Commons / Public domain

Image: Wikimedia Commons / Public domain



- **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.

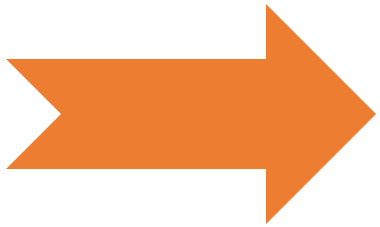
Recommended licences at the UAB: https://ddd.uab.cat/record/129205

Contents

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

Prior to publishing

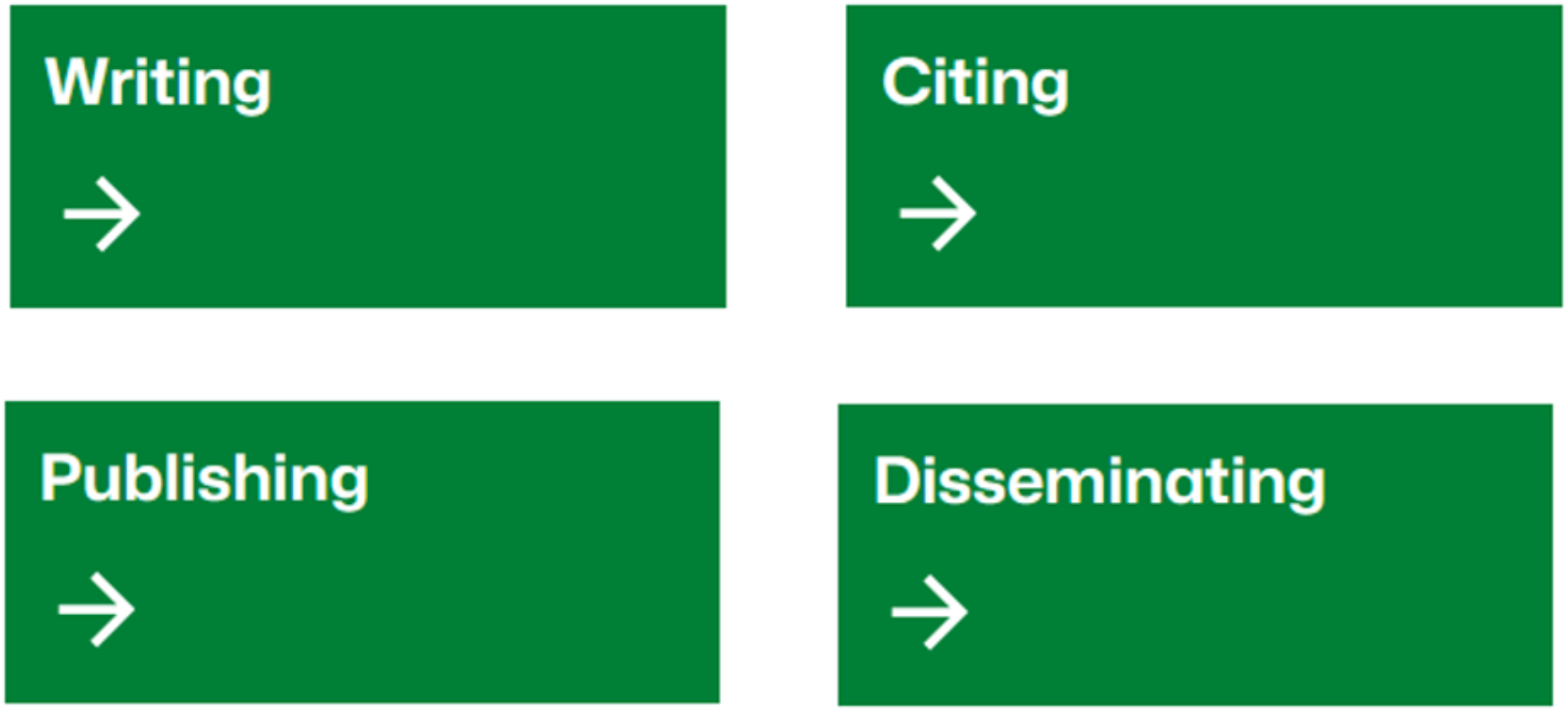
Find out about a journal



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

Scholarly communication: choose where to publish



https://www.uab.cat/en/libraries/rcc/scholarly-communication

Scholarly communication: choose where to publish

Some relevant resources to find the more suitable journal

THINK CHECK SUBMIT

Select the desired features of your journal.

edanz INNOVATIVE SCIENTIFIC SOLUTIONS

Jane Journal/Author Name Estimator

Search by title, keywords, summary...

DOAJ OPEN GLOBAL TRUSTED

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

https://www.uab.cat/en/libraries/rcc/choosing-where-to-publish

Open access routes

Golden route

Diamond 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.

Golden route

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

Diamond route

- Publication in open access journals
- No 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:

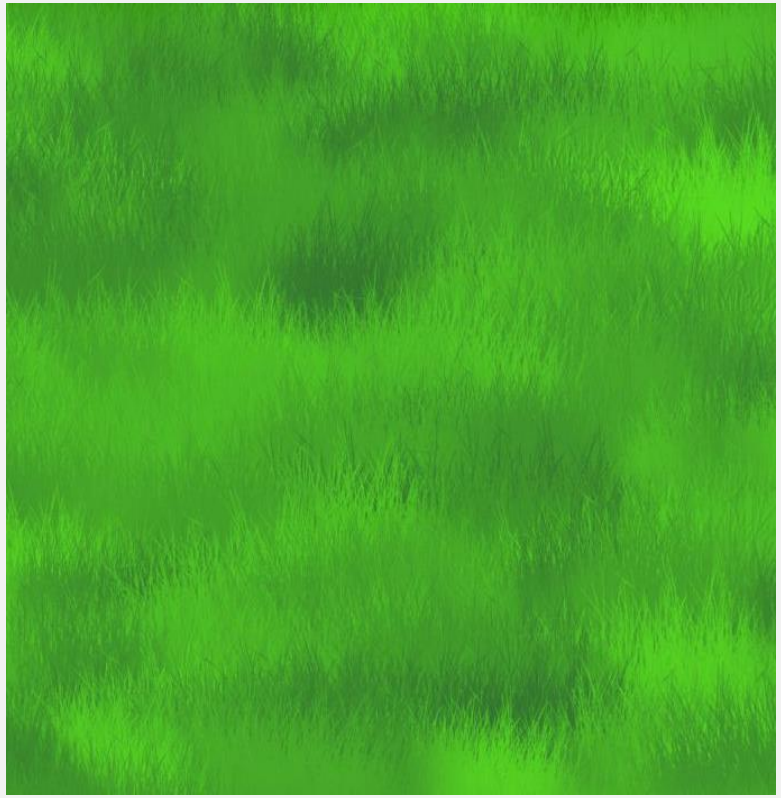
- No payment of article processing charges (APC)
- Transfer of exploitation rights to the journal
- Restricted access to subscribers

Golden route:

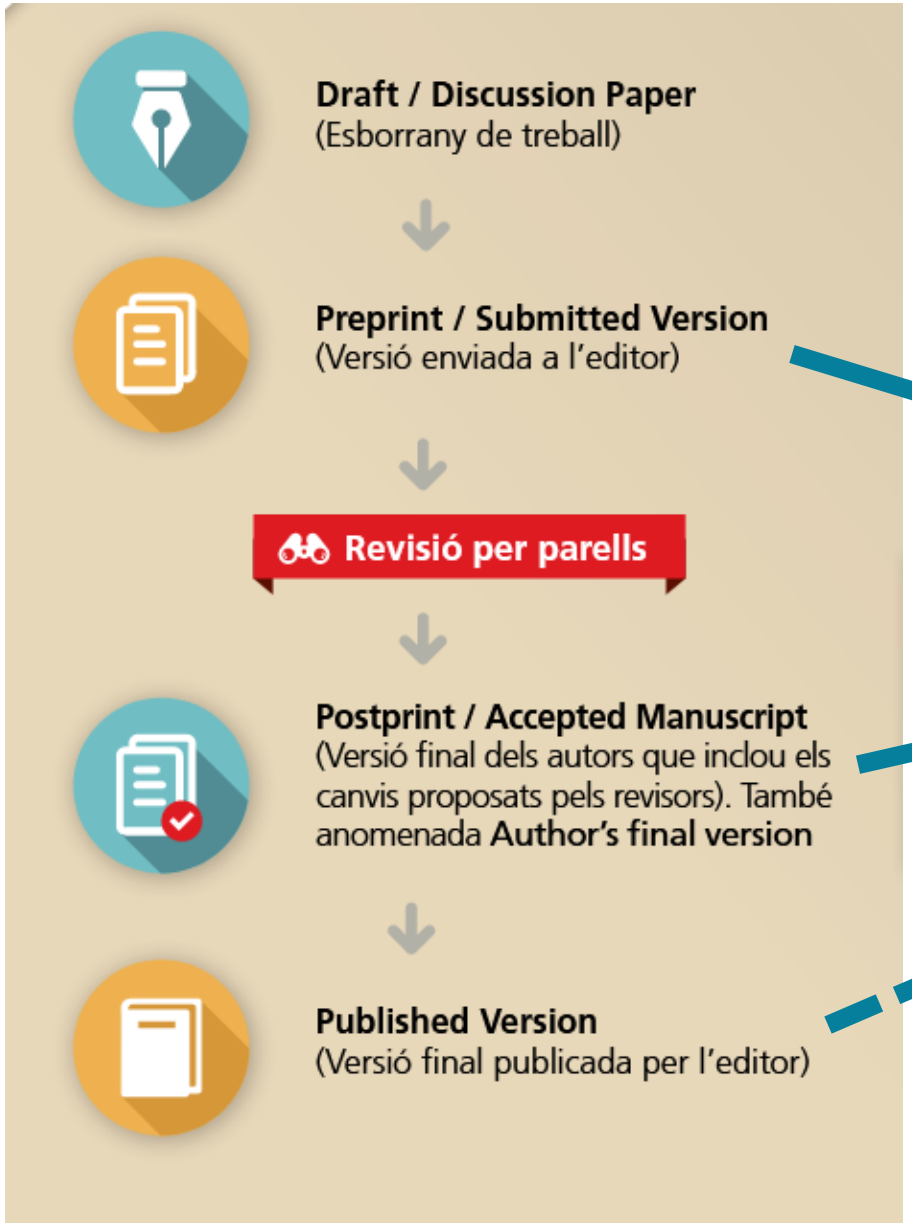
- Payment of article processing charges (APC)
- No transfer of exploitation rights to the journal
- Open access

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



Article versions

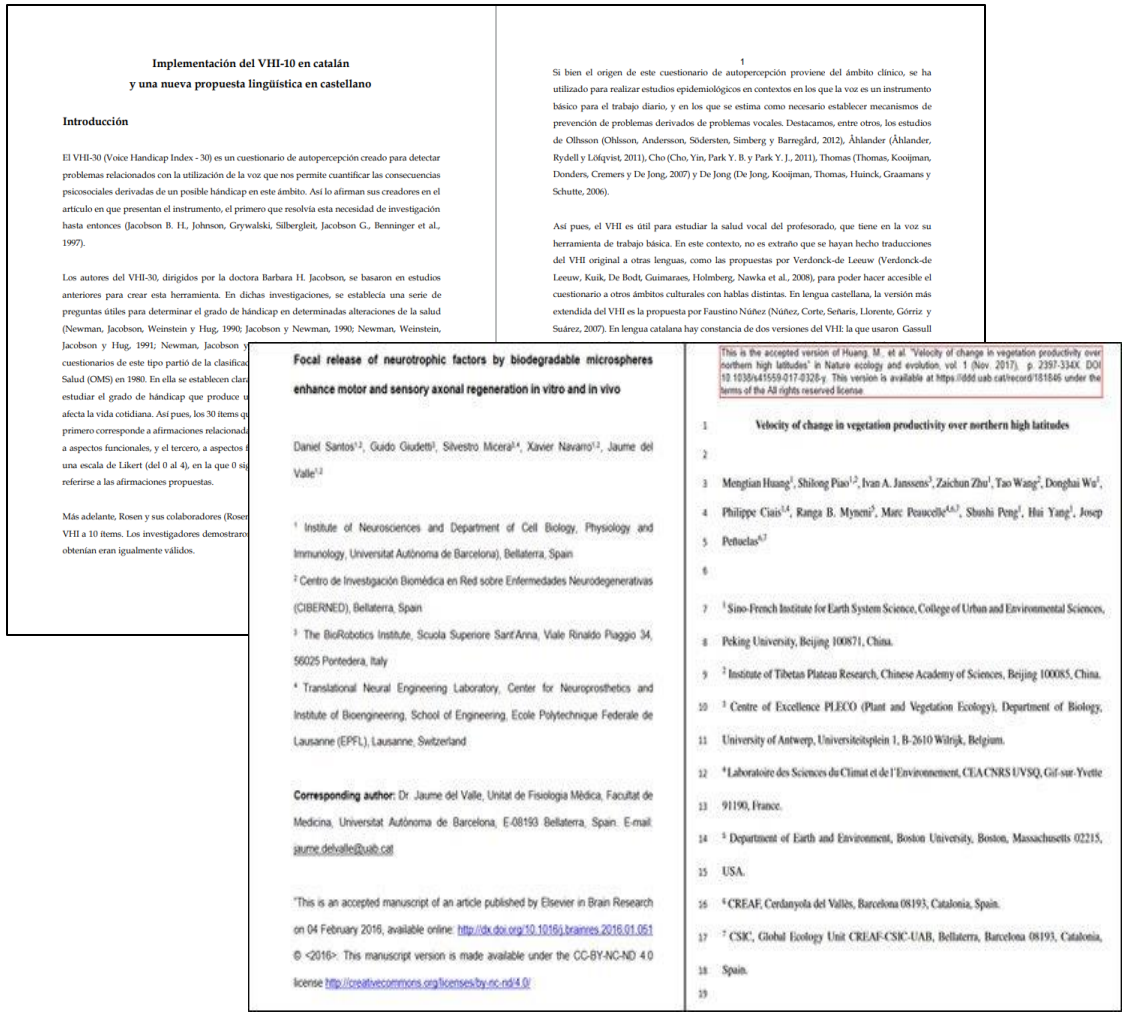


Further information:
ddd.uab.cat/record/141309

Accepted version / Accepted Manuscript / Post-print

Some examples of accepted versions in the DDD:

- https://ddd.uab.cat/record/307241
- https://ddd.uab.cat/record/307853 (embargo)



Implementación del VHI-10 en catalán
y una nueva propuesta lingüística en castellano

Introducción

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

Velocity of change in vegetation productivity over northern high latitudes

Accepted version / Accepted Manuscript / Post-print

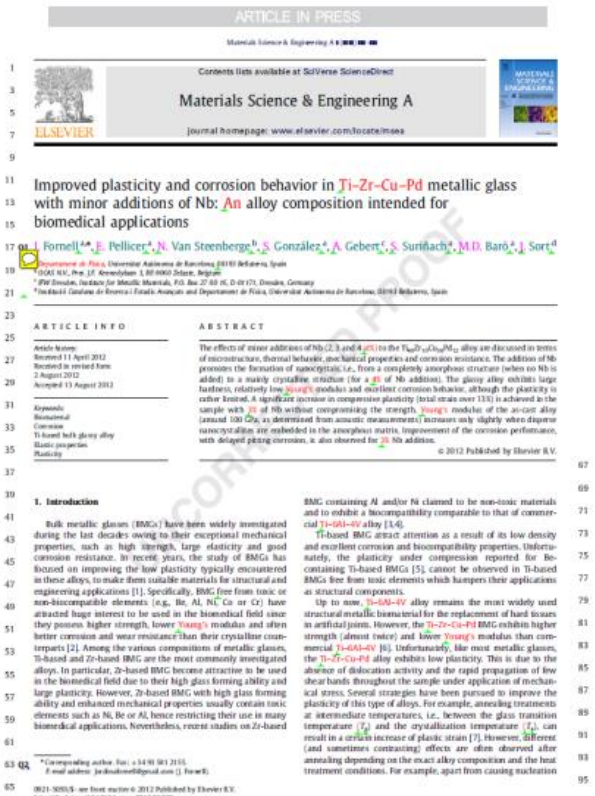
Some examples of non valid accepted versions to be published in the DDD:

nature COMMUNICATIONS

ARTICLE

Robust antiferromagnetic coupling in hard-soft bi-magnetic core/shell nanoparticles

M. Estrader[1,2], A. López-Ortega[1,3], S. Estradé[4,5], I.V. Golosovsky[6], G. Salazar-Alvarez[7], M. Vasilakaki[8], K.N. Trohidou[8], M. Varela[9,10], D.C. Stanley[11], M. Sinko[11], M.J. Pechan[11], D.J. Keavney[12], F. Peiró[4], S. Suriñach[1], M.D. Baró[1] & J. Nogués[1,13,14]



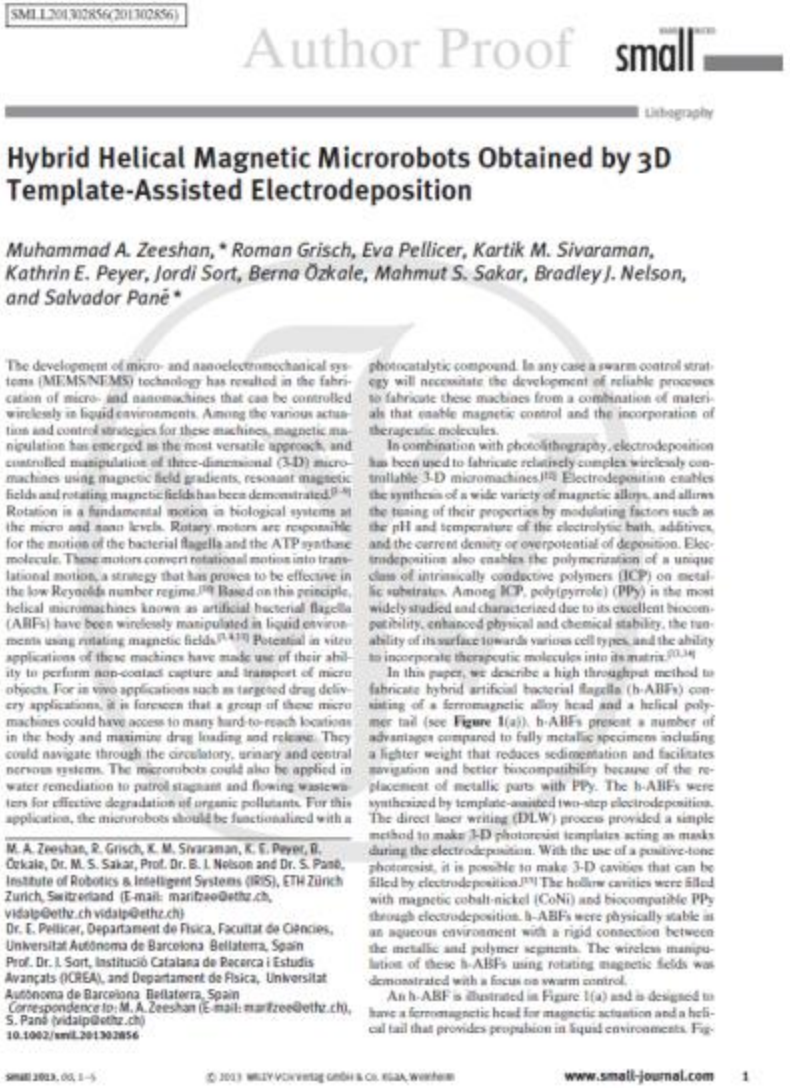
ARTICLE IN PRESS

Contents lists available at SciVerse ScienceDirect

Materials Science & Engineering A

Improved plasticity and corrosion behavior in Ti–Zr–Cu–Pd metallic glass with minor additions of Nb: An alloy composition intended for biomedical applications

J. Fornell, E. Pellicer, N. Van Steenberge, S. González, A. Gebert, S. Suriñach, M.D. Baró, J. Sort



SMLL201302856(201302856)

Author Proof

small

Lithography

Hybrid Helical Magnetic Microrobots Obtained by 3D Template-Assisted Electrodeposition

Muhammad A. Zeeshan, * Roman Grisch, Eva Pellicer, Kartik M. Sivaraman, Kathrin E. Peyer, Jordi Sort, Berna Özkale, Mahmut S. Sakar, Bradley J. Nelson, and Salvador Pané *

Self-archiving policies

Publishers' policies regarding open access:

- Example Springer:
  Self-archiving policies for journals
  Self-archiving policies for book and book chapters

- Example Wiley:
  Sharing versions of journal articles | Research impact

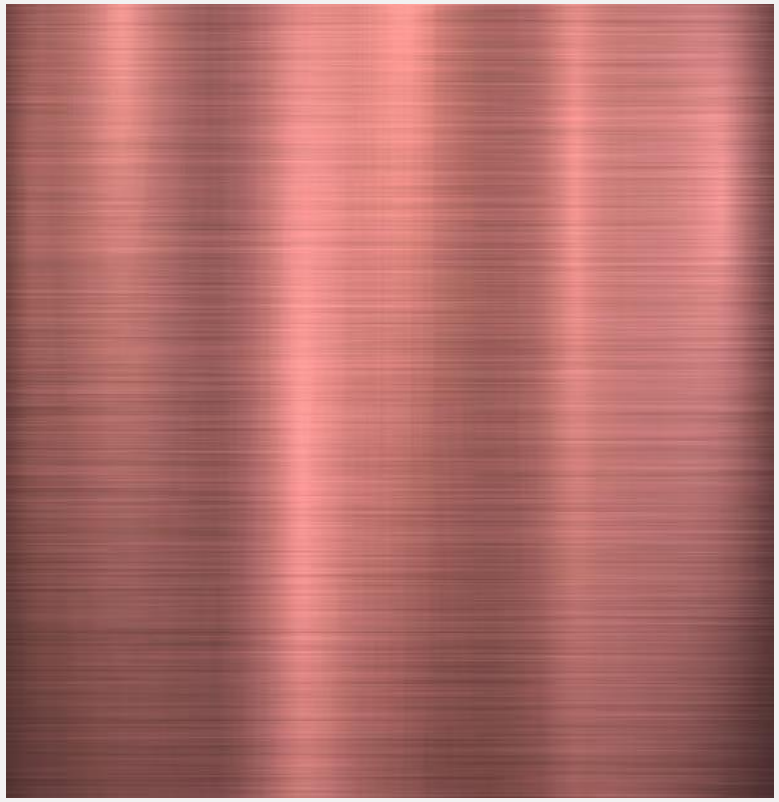
- Jisc's open policy finder (formerly Sherpa/Romeo):
  https://openpolicyfinder.jisc.ac.uk/
- Dulcinea (Spanish journals):
  https://www.accesoabierto.net/dulcinea/

How can I find out about publishers' permission on open repositories?

What does the DDD provide you with?

- Visibility on the net
- Permanent URL
- Usage statistics
- Full-text searches
- Any document and format
- Copyright control and publishers' policies fulfillment
- In accordance with law, research funding agencies and research evaluation systems

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 CC	YES
Hybrid route	Transformative	NO	YES	NO ©	NO
		YES	NO	YES CC	YES
Green route	Subscription	NO	YES	YES CC	YES
Bronze route	Subscription	NO	YES	NO ©	YES
Diamond route	Open access	NO	NO	YES CC	YES

Contents

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

Funding to publish in open access

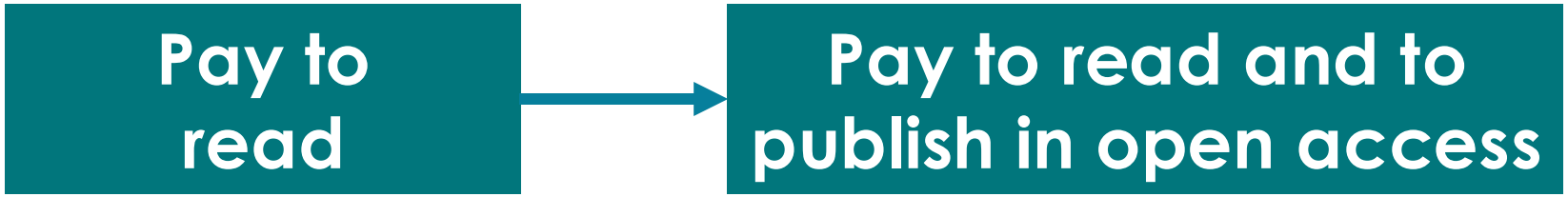
Transformative agreements

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

https://www.uab.cat/en/open-science/transformative-agreements

Transformative agreements: what is it?

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



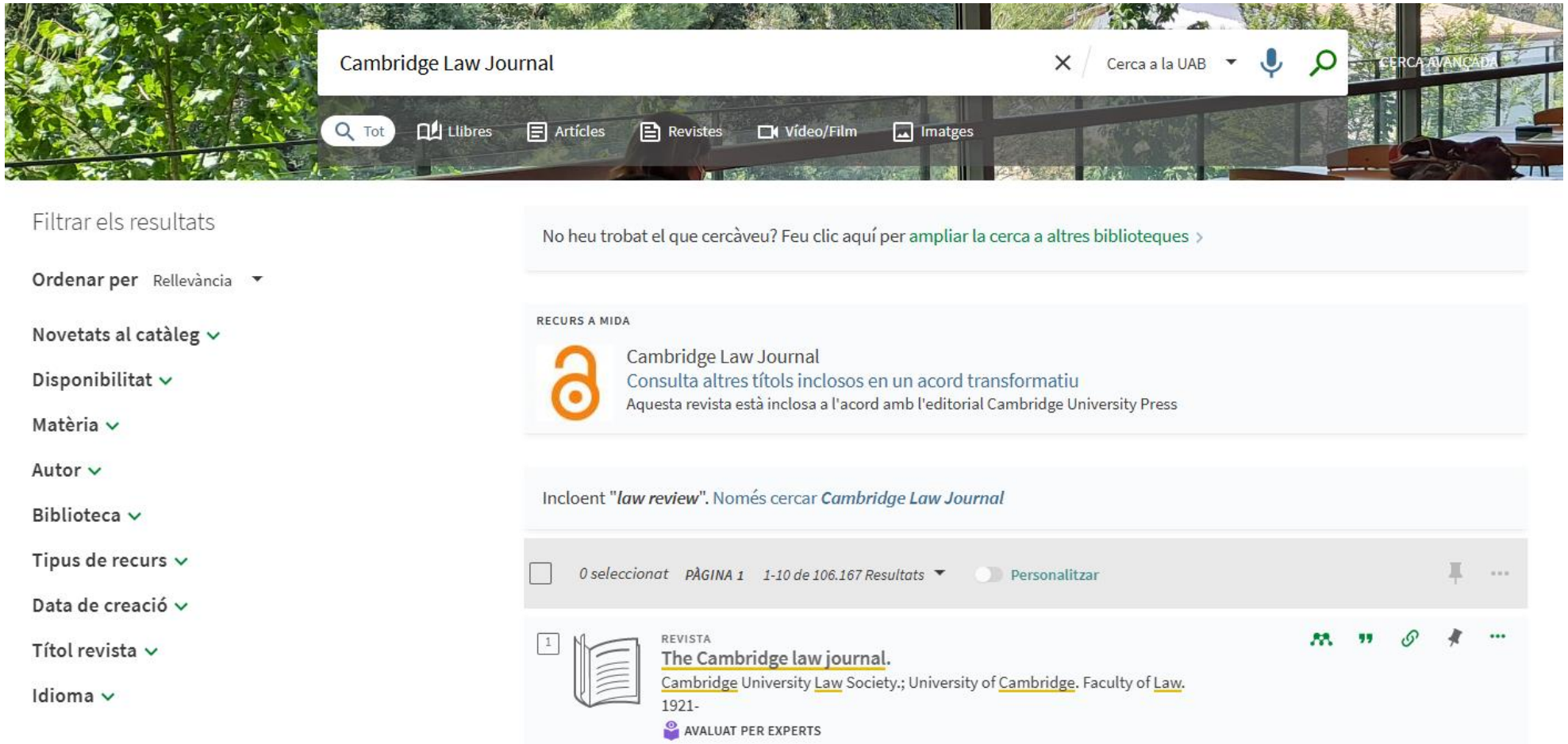
100% financing to publish in around 5,000 journals.

Transformative agreements: journals

Publisher	Hybrid journals	Licences
SPRINGER NATURE	Nearly 2,000 journals included. Check the list.	CC-BY CC-BY-NC-ND
WILEY	More than 1,500 journals included. Check the list.	CC-BY CC-BY-NC CC-BY-NC-ND
JOHN BENJAMINS PUBLISHING COMPANY	Nearly 100 journals included. Check the list.	CC-BY
ACS Chemistry for Life® AMERICAN CHEMICAL SOCIETY	More than 80 journals included. Check the list.	CC-BY
deGruyter	Nearly 400 journals included. Check the list.	CC-BY CC-BY-NC-ND

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

Transformative agreements: journals



Cercador: https://bibcercador.uab.cat/

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 institutional e-mail used in 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.

Funding to publish in open access

Discounts

Discounts for open access publishing (golden route usually).

https://www.uab.cat/en/open-science/discount-open-access-publishing

Further information

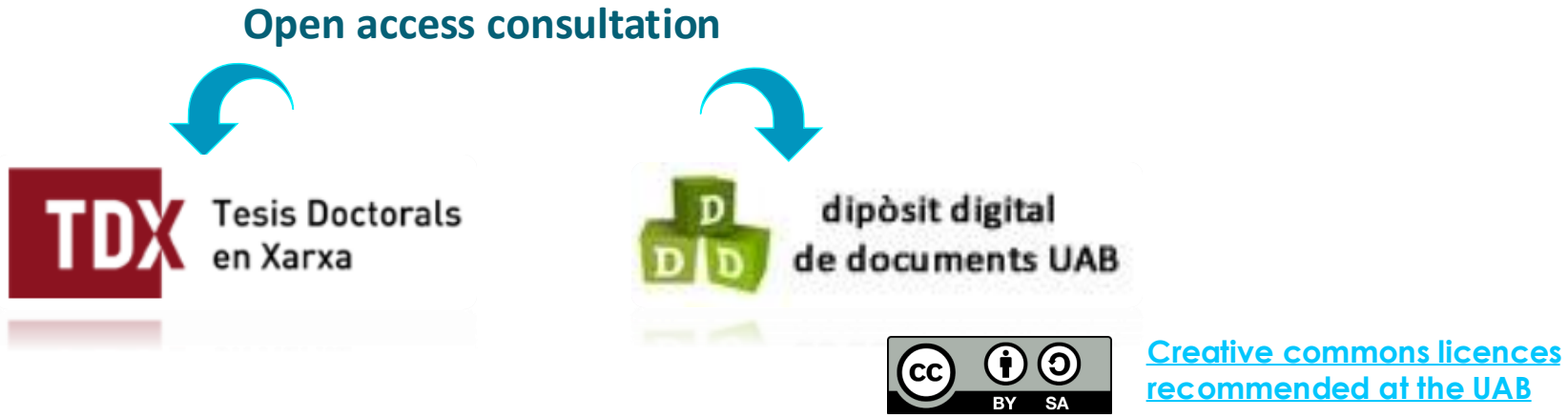
- **Website:** Funding to publish in open access information on transformative agreements is constantly being updated.

- Ask the **research support team** in your reference library for assistance. Contact us.

Contents

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

Doctoral theses at the UAB



- RD 99/2011, de 28 de gener, stating the obligation for the thesis to be deposited in an open repository.
- 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 deposited into the Dipòsit Digital de Documents de la UAB (DDD), if possible.

Theses as a collection of articles

Articles to be deposited into the DDD

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.

Articles in theses as a collection of articles

Theses as a collection of articles

Two different permissions are required from the publisher,
so you are allowed to:

Include articles in your thesis ≠ **Deposit your articles into the DDD**

Theses as a collection of articles

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

You must deliver your articles immediately and at least **two months** before you submit your thesis to be deposited into the DDD, through the «Deliver» option that you will find in the DDD. 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, if necessary.
- Will let you know by e-mail 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?

Contact 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

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.

Example:

Sage's Author Archiving and Re-Use Guidelines

Green Open Access: Sage's Archiving and Sharing Policy

You may share the **Original Submission** or **Accepted Manuscript** at any time after your paper is accepted and in any format. Your sharing of the **Original Submission** or **Accepted Manuscript** may include posting a downloadable copy on any website, saving a copy in any repository or network, sharing a copy through any social media channel, and distributing print or electronic copies. Please note some journals will not consider papers that have been posted as preprints prior to submission and you may check a journal's policy regarding considering previously-posted papers by referring to the journal's submission guidelines.

For information on use of Institutional Repository (IR) copies by authors and IR users, see Posting to an Institutional Repository - Green Open Access.

You may use the **Final Published PDF** (or **Original Submission** or **Accepted Manuscript**, if preferred) in the following ways:

- in relation to your own teaching, provided that any electronic distribution maintains restricted access
- to share on an individual basis with research colleagues, provided that such sharing is not for commercial purposes
- in your dissertation or thesis, including where the dissertation or thesis will be posted in any electronic Institutional Repository or database
- in a book authored or edited by you, at any time after the Contribution's publication in the journal.

Theses as a collection of articles

Thesis: https://ddd.uab.cat/record/305194 (three articles included)

Articles:

- https://ddd.uab.cat/record/253059
- https://ddd.uab.cat/record/289201
- The third article belongs to a journal not allowing self-archiving. The thesis was deposited before that requirement was mandatory, so no disclaimer was provided.

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/287378

Document: Tesi doctoral ; Text ; Versió publicada
Matèria: Biosensors ; Biosensores ; Nanotecnologia ; Nanotecnología ; Nanotechnology ; Diagnòstic ; Diagnóstico ; Diagnostic ; Ciències Experimentals

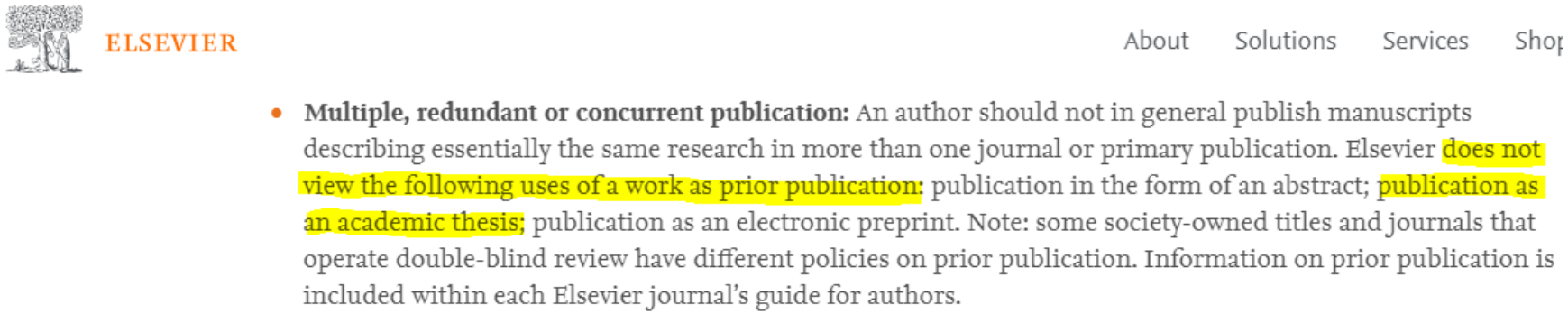
Adreça alternativa: https://hdl.handle.net/10803/689785

Disponible a partir de: 2025-03-26

El registre apareix a les col·leccions:
Documents de recerca > Tesis doctorals

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

Contents

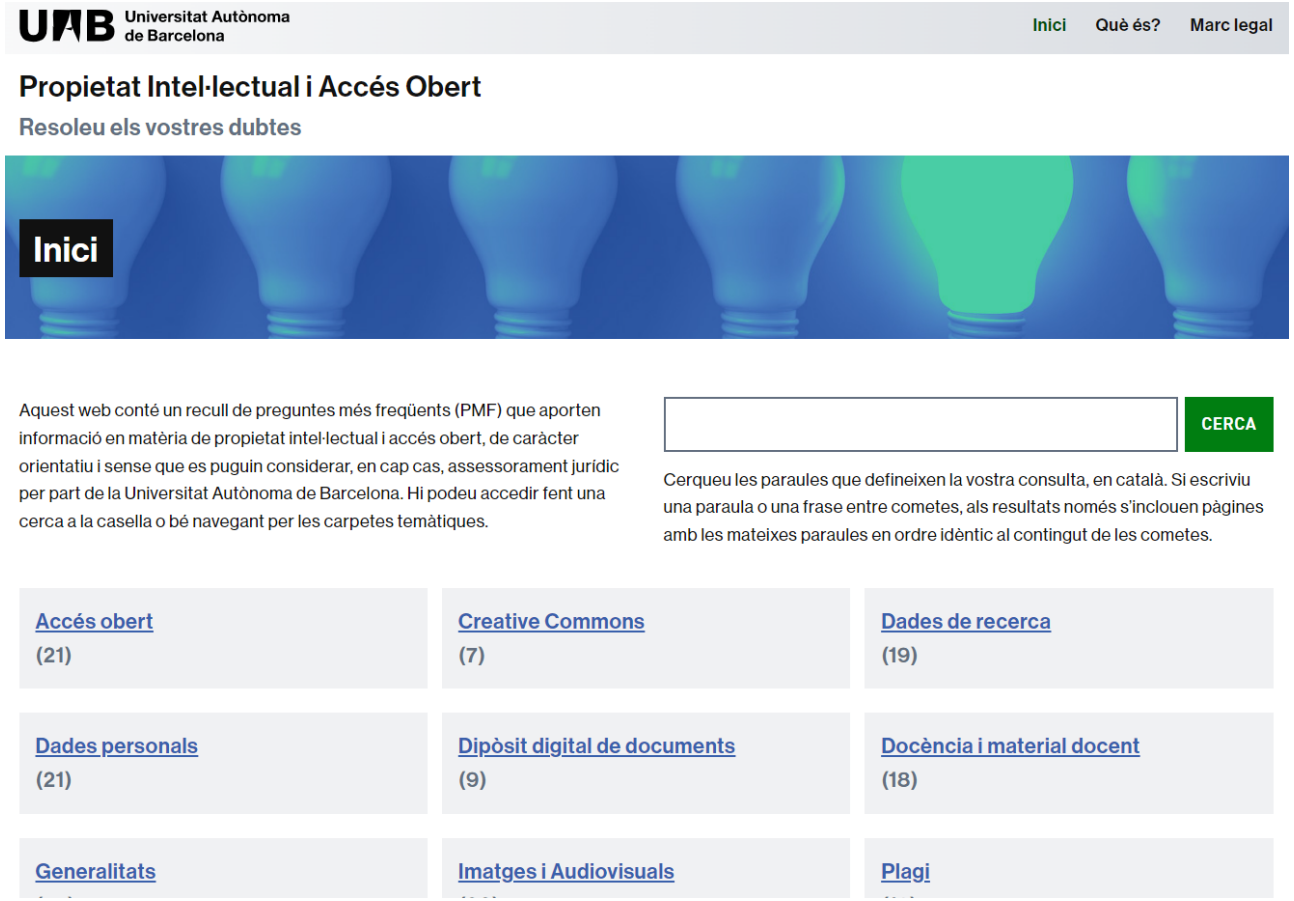
But…

Scholarly networks ≠ Open access

Publishers have their own policies regarding social networks.

Check them out!

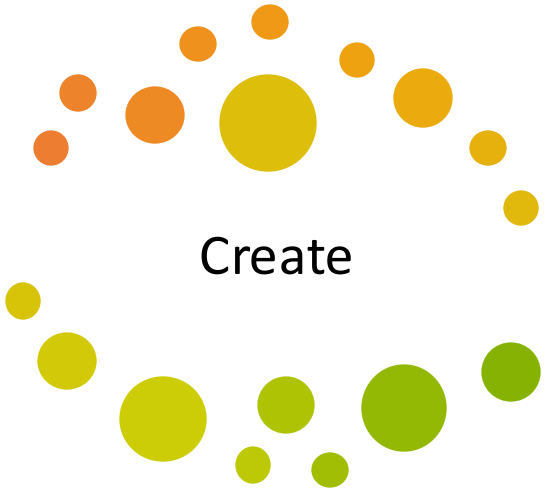
Intellectual property and open access



Clear up your questions at:

https://webs.uab.cat/dretsautor/

Good practices and suggestions



- Information about the journal
- Instructions for authors
- Publishers' policies on copyright and open access
- UAB funding

Publish

- Keep ALL versions (preprint, postprint, published version)
- Submit the allowed version to the DDD

- Identify file (authorship, version and mention of rights)
- Social networks

Thanks!

UAB Universitat Autònoma de Barcelona Servei de Biblioteques


Biblioteques UAB


619681146


Pregunt@


@bibliotequesuab.bsky.social


@biblioteques_UAB