POLÍTICA INSTITUCIONAL D'ACCÉS OBERT: ACCÉS, VISIBILITAT, IMPACTE I PRESERVACIÓ DE LA PRODUCCIÓ ACADÈMICA DE LA UPC A INTERNET

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Institutional open-access policy

Access, visibility, impact and preservation of the UPC's academic output online

Office of the Vice-President for Research. Office of the Vice-President for Teaching and Students

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Content

# 1.	Context

## 1.1.	A new approach to science communication

Online open-access publication of papers that have appeared in scientific journals and texts presented at meetings of experts (conferences, seminars, etc.) is emerging as a complement to the traditional publication system (science journals, conference proceedings, etc.).

The benefits of archiving copies of publications resulting from research activity in open repositories include the following:

- Wider dissemination of research results; greater visibility.
- An increase in the impact of publications; more citations of authors and publications.
- An increase in the visibility of the institutions that authors are associated with; better institutional positioning.

Up until a few years ago the practice of archiving documents in repositories was limited because of the policies of scientific publishers. Now almost all publishers permit authors to deposit a copy of their publications in a subject or institutional repository.

## 1.2.	Declarations on open access to scientific literature

In recent years many national and international declarations have been made in favour of open access to scientific literature. The UPC is a signatory to the most important of these:

- *The Budapest Open Access Initiative (BOAI)*

- *The Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities*

- *The REBIUN/CRUE declaration in support of the open-access model*

- *An Inter-University Council of Catalonia agreement on open access to scientific literature that is based on publicly funded research*

1.3. Open access: the European Commission and European universities

The European Commission and European universities and research centres are working to promote open access to scientific and research results.

Research funding bodies:

- *European Research Advisory Board. Scientific Publication: Policy on Open Access:* A report calling for any results of publicly funded research to be lodged in an open-access repository as soon as possible after publication.

- *Petition for guaranteed public access to publicly funded research results*: This petition—sponsored by the DEFF, JISC, SPARC and SURF—has recently been endorsed by several European rectors' conferences (Italy, Norway, Portugal, Finland and others) as well as leading national research agencies and institutes (Wellcome Trust, Max Planck, CERN, CNRS and others).

European Commission:

- *Communication from the Commission to the European Parliament, the Council and the European Economic and Social Committee on scientific information in the digital age: access, dissemination and preservation*

  The aim of this document is to underscore the importance of access, dissemination and preservation of scientific information and give impetus to a series of relevant actions.

European Research Council:

- ***ERC Scientific Council Guidelines for Open Access.*** Document approved on 17 December 2007.

European University Association (EUA):

- *Recommendations from the EUA Working Group on Open Access*

  - In 2007 the EUA set up a working group on open access that has endorsed a series of recommendations aimed at encouraging open dissemination of content based on scientific and scholarly research (creation of digital repositories, incentives for depositing research results, raising awareness of the importance of open access, etc.).

  - These recommendations were endorsed at the plenary session of the EUA held in **Barcelona on 27-29 March 2008**. The recommendations are directed at the presidents of member universities, national rectors' conferences, and the EUA itself.

- **Presidents of universities and universities as a whole are recommended to pursue active policies and strategies with a view to making the scientific output of university institutions openly accessible, either by creating their own institutional repositories** or participating in international subject repositories (following the guidelines developed by **DRIVER**, the European network of scientific repositories).

- National rectors' conferences are recommended to work with research funding agencies and governments to implement the requirement for self-archiving of research publications. This means making publications based on publicly funded research openly accessible.

- Finally, it is recommended that the EUA itself take steps to seek the implementation of a self-archiving mandate that would apply to EU-funded research.

Competitive calls have already started to include the requirement that steps be taken to facilitate open access to the results of any research projects funded (mainly journal papers). This requirement applies to some **research projects funded under the Seventh Framework Programme of the European Union**.

1.4.   Future science and technology law

A draft law on science and technology proposed by the Spanish Ministry of Science and Innovation also contemplates significant measures to promote open access:

CHAPTER III. Dissemination of scientific and technological results and culture. Article 33. Open-access publication.

1. Actors in the Spanish science and technology system shall foster the development of repositories, either for their own institutions or shared, that provide open access to their researchers' publications.

2. Researchers whose research activity is funded from the general budgets of the state shall make publicly available a digital version of the final draft of any content accepted for publication in a serial or periodical publication. This digital version shall be made publicly available as soon as possible and in any case not later than six months after the official date of publication.

3. The electronic version shall be made available in an open-access repository that is recognised in the field of knowledge in which the research was conducted or in an institutional open-access repository.

4. The electronic version may be used by public authorities in evaluation processes.

1.5. Inter-University Council of Catalonia (CIC), General Committee on University Policy, Subcommittee on Measures to Promote Open Access

The results of work done by the Subcommittee on Measures to Promote Open Access were presented at a meeting of the Inter-University Council of Catalonia on 11 June 2009.

The aim of the measures, agreed by all presidents of Catalan universities, is to promote online access, via open repositories (servers), to scientific output resulting from projects publicly funded by the Government of Catalonia.

The following is a summary of the proposals approved for the 2009-2011 period:

- Draft an agreement on measures aimed at promoting open access.
- Organise a day to disseminate the idea of open access and encourage debate.
- Introduce an open-access mandate in public calls for proposals.
- Carry out communication and dissemination actions at universities.
- **Universities should draft, approve and implement institutional mandates.**
- Extend mandates to include research centres.
- Design and implement positive discrimination measures.
- Extend mandates to include hospitals.
- Other measures.

1.6 Open access and institutional repositories with EPrints

Institutional open-access policies that have been approved and are in effect at academic institutions and universities worldwide can be viewed at:

http://www.eprints.org/openaccess/policysignup/

2. The UPC's institutional open-access policy

In the national and international context described in this document, and in line with the declarations referred to above and endorsed by the UPC, the university has drawn up its own policy to capitalise on the opportunities the internet offers to increase the visibility, impact and recognition of authors' academic output and of the UPC as an institution:

- **The UPC promotes open online access to academic, scientific and technical publications authored by its faculty, research staff and students.**

- **The UPC recommends that its authors publish the results of their academic activity in open-access scientific journals (or that they permit authors to deposit copies of their works in open repositories) and/or in open information repositories recognised within the scientific community.**

- **The UPC requires that academic and research staff employed by the university deposit their academic publications—journal papers, texts published in conferences, and scientific and technical reports—in its own institutional repository: UPCommons (http://upcommons.upc.edu/).**

- **The UPC undertakes to increase the visibility and interoperability of publications deposited in its institutional repository, UPCommons, by employing the Dublin Core international metadata standard, the OAI-PMH protocol (Open Archives Initiative – Protocol for Metadata Harvesting), URN/Handle identifiers, and Creative Commons licences.**

- **The UPC shall take measures to safeguard authors' copyright, intellectual property, and the right of confidentiality in relation to publications deposited in the UPCommons institutional repository.**

- **The UPC shall preserve, ensure and maintain perpetual access to scientific publications stored in the UPCommons institutional repository.**

3.   Interoperability of systems: DRAC and UPCommons

▪ UPC academic and research staff shall be able to use the DRAC platform to self-archive their academic publications (deposit document files) in the UPCommons institutional repository, particularly:

   a) Journal papers
   b) Texts published in conferences
   c) Scientific and technical reports

▪ In cases a) and b), the author may opt to deposit:

   o **The postprint (published version):** the publisher's PDF (peer-reviewed) and/or **the official URL for the publication**.

   o **The postprint (author's final draft).** The reviewed document submitted by the author prior to its publication in a journal (peer-reviewed). (This is the final version sent to the publisher by the author before it is actually published.)

▪ The University Library shall ensure the standardisation and quality of bibliographical references entered into the DRAC system by authors and shall make the full text of publications visible online via UPCommons, **except in cases when this is not possible due to issues related to confidentiality and/or industrial and intellectual property rights.**

▪ The general policy of making full-text versions visible online shall not apply when documents cannot be made publicly available because:

   - Publishers or other holders of exploitation rights have not given their permission.

   - They are subject to confidentiality agreements and/or contain information that is confidential.

   - They contain information on research activities carried out at the university, the dissemination of which may affect the UPC's industrial property rights (e.g., documents describing inventions that may be patentable).

▪ In these cases, only bibliographical references for the documents in question shall be displayed at UPCommons. If possible, the documents shall be made openly accessible at a later time when:

   - Permission has been obtained from the holders of exploitation rights.

   - The embargo period established by the publisher or the person subject to confidentiality has expired.

- A patent application that protects the invention to be disclosed has been filed.

- In other cases in which this step is permissible.

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