Institutional policy on open access to publications

Approved by the Steering Committee of 06/05/2019

1) Context

The need to promote the dissemination of research and teaching in the context of today's information society and the means of electronic publishing has led to the emergence of the *Open Access* movement (OA). This movement promotes the permanent, free and restriction-less access to scientific and academic content (to include the reading, downloading, printing and use of archives, as well as the possibility of data mining), with the only limitations being recognition of authorship and integrity of content. The purpose of open access is to promote the **accessibility**, **visibility** and **impact** of scientific research (**Figure 1**).

Access to the public

Professionals can apply your findings

Comply with the rules

Higher citation rates

Financial returns to the investors

Your research can impact politics

Access for researchers in developing countries

More exposure of your work

Figure. 1: Benefits of Open Access

2) Background and legal framework

The origins of the Open Access movement date back to 2001, when scholars around the world signed an open letter to scientific publishers asking for the establishment of an online public library that would provide the full contents of materials published in the

medicine and life sciences in a manner that was free, accessible, searchable and interconnected. This initiative led to the creation of the Public Library of Science (PLoS), the world's largest open access scientific publications platform. Subsequently, the most relevant statements defining this movement are the following: the **Budapest Open Access Initiative**[1] (2001), the **Bethesda Statement on Open Access Publishing**[2] (2003) and the **Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities[3]** (2003).

Europe: In 2008 the European Research Council (ERC) published its Open Access Directives, which require all *peer-reviewed* ERC-funded publications to be deposited in a research platform - thematic or institutional - that becomes open access within a maximum period of 6 months after *online* publication. The European Union's Seventh Framework Program (FP7) asked the beneficiaries of research funded under the umbrella of the *OpenAIRE* project[4] to begin depositing their results in open access archives. However, not until the arrival of the *2020 Framework Horizon Program* will such open-access sharing became mandatory for all.

At the end of 2018, the Open Access movement gained momentum with the publication of ten principles outlined under Plan S[5]. Currently 15 national research funding organizations have agreed to implement the principles of this plan in a coordinated manner via the directives spelled out in Plan S. This coalition has been joined by two of the leading private philanthropic organizations in the health arena: the *Wellcome Trust* and the Bill & Melinda Gates Foundation. The main purpose of Plan S is to have all publications freely accessible and published in open-access journals and platforms as of January 1, 2020. It also delves into such issues as copyright, publication fees and the roles played by these research repositories. Plan S is therefore intended to accelerate efforts to modernize the various ways in which research is published and funded.

Spain: The Law of Science, Technology and Innovation (Law 14/2011) deserves particular mention.[6] Promulgated by the Ministry of Science and Innovation, it calls for the open-access dissemination of all publicly funded research. According to Article 37 of the document:

37.2. Research staff whose work is largely funded by the Spanish government will publish a digital version of the final version of any content accepted for publication in serial or periodical research publications, as soon as possible, but not later than 12 months after the official publication date.

37.3 The electronic version will be published in open-access repositories recognized in the field of knowledge in which the research was carried out, or in institutional open-access repositories.

Catalonia: In 2008, the Inter-university Council of Catalonia asked all Catalan universities to adopt mechanisms for the open-access dissemination of scientific research. In 2010, its Board approved the framework document governing research at universities throughout Catalonia[7]. This mandate was prepared by the Consortium of University Libraries of Catalonia (CBUC) and applies to nearly all universities. Worth noting are the following requirements:

1. It stipulates that the members of the academic community of the signatory universities must deposit their academic publications (journal articles, theses, papers, communications, scientific and technical documents, books, etc.) in the institutional repository of the university or in the repository of the university system of Catalonia RECERCAT.

2. It encourages universities to encourage its academic community to publish, whenever possible, in open-access journals.

3) IDIBAPS Open-Access Institutional Policy: What and How to Publish to an OA Repository

> Faced with mandates in national and international arenas, and with the aim of promoting the visibility of IDIBAPS' research, **scientists and clinicians have been asked to submit their work in a repository, preferably in the Digital Repository of the University of Barcelona (DDUB)**.

To this end:

➢ **Once you have chosen the journal in which you want to publish:**

  ✓ If **open access** (*Gold OA*), a PDF copy of the published article (**published version**) must be deposited in the repository in order to preserve and maintain access to it indefinitely.

  ✓ If **restricted access**, either due to issues of payment or subscription:

  • If one has to pay individually to open the article (*Hybrid OA*), a PDF copy of the published article (**published version**) must be deposited in the repository.

  • Otherwise (Green OA), check the contract or license that has been signed with the publisher (*Copyright Transfer Agreement* or *License to Publish*) to determine what uses are permitted with respect to further dissemination (is it possible to deposit an electronic copy of the document? What version can be used?). If such permission is not granted, one should try to negotiate with the publisher, adding an addendum to the contract or license.

  As a recommendation and best practice guideline, always retain the latest version of the peer-reviewed manuscript accepted by the journal, though without editorial layout (**postprint version** or **accepted version**), since this is the version for which most publishers will grant further dissemination to an institutional repository. Moreover, this complies with the current requirements of those mandates now in effect and with the main financial sponsors (Spanish Law on Science and *Horizon 2020*).

> **Once the article has been published:**

<u>Deliver</u> to the digital repository the authorized version of the article. Said deposit must be made as soon as possible and, in any case, not later than 6 months after the *online* publication of the work. If the work is subject to a temporary waiting period, the repository must respect such stipulations and automatically deliver the article thereafter. In cases where access to the full text is not possible within this timeframe due to constraints imposed by the publisher, placing the article in the repository will ensure compliance with the existing mandates.

<u>Include</u> in the scientific and technical monitoring reports (in the section on the dissemination of the project results) the reference of the published article, indicating its permanent URL in the repository; in the case of the institutional repository of the University of Barcelona, this will take the form: http://hdl.handle.net/2445/xxxxx.

Figure 2 explains, in a step-by-step manner, what and how to publish on the DDUB.

The DDUB[8], which is the reference repository for IDIBAPS, commits to:

- ✓ Increase the visibility and interoperability of documents by incorporating them into academic search engines, portals and directories.
- ✓ Ensure respect of copyright, intellectual property and confidentiality of personal data.
- ✓ Preserve and maintain perpetual access to the publications deposited in the repository.
- ✓ Take into account the requirements stipulated by the publishers in relation to the placing of documents in open-access repositories. If these conditions do not grant free access to the complete text, it must be included in some more restricted way, allowing access on a case-by-case basis.
- ✓ Follow the rules and international criteria for open access repositories.
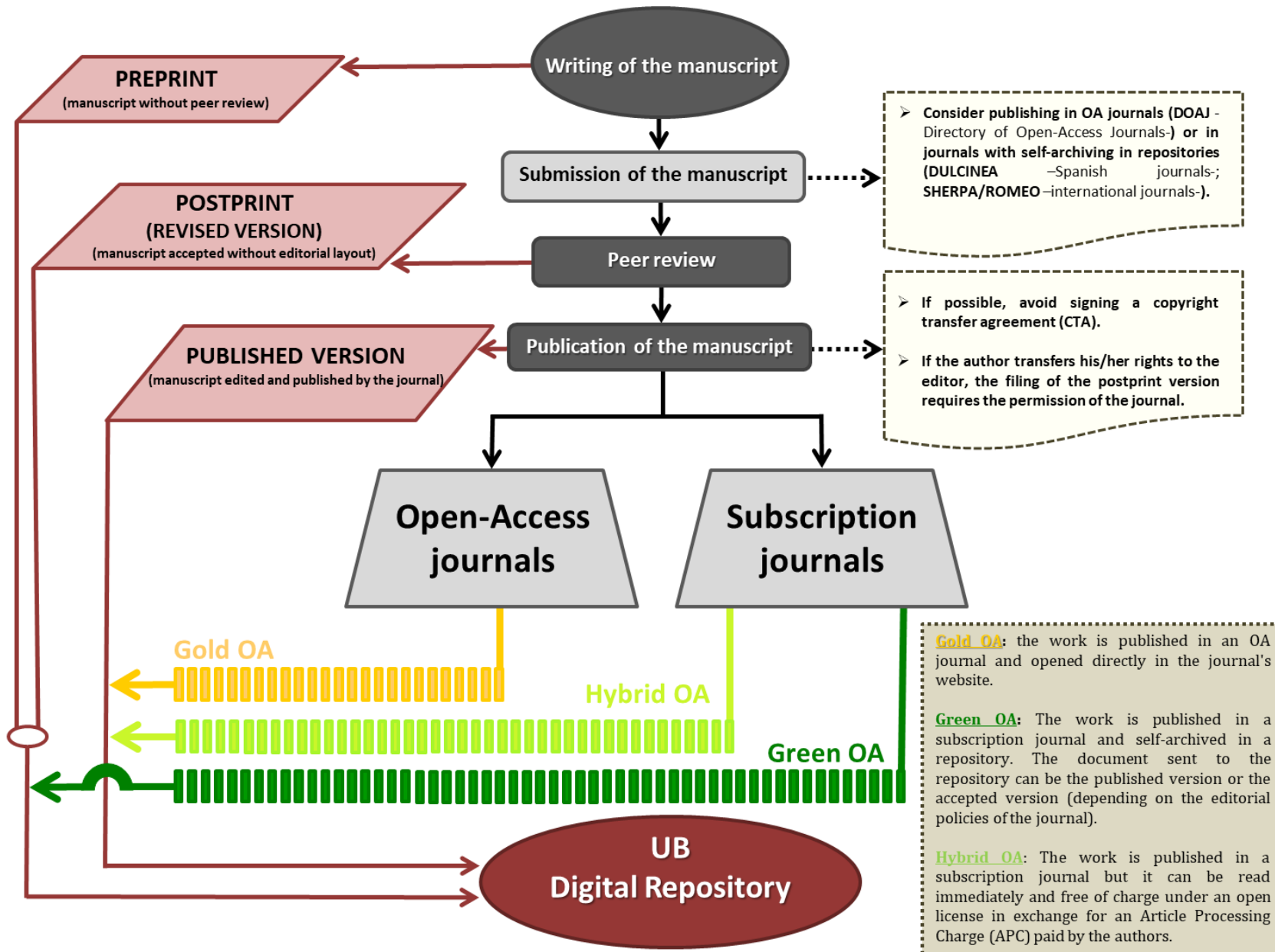
IDIBAPS

Institut
D'Investigacions
Biomèdiques
August Pi i Sunyer

Writing of the manuscript

PREPRINT
(manuscript without peer review)

Submission of the manuscript

➤ Consider publishing in OA journals (**DOAJ** - Directory of Open-Access Journals-**) or in journals with self-archiving in repositories** (**DULCINEA** —Spanish journals-; **SHERPA/ROMEO** —international journals-**).**

**POSTPRINT
(REVISED VERSION)**
(manuscript accepted without editorial layout)

Peer review

➤ If possible, avoid signing a copyright transfer agreement (CTA).

➤ If the author transfers his/her rights to the editor, the filing of the postprint version requires the permission of the journal.

PUBLISHED VERSION
(manuscript edited and published by the journal)

Publication of the manuscript

Open-Access journals

Subscription journals

Gold OA

Hybrid OA

Green OA

**UB
Digital Repository**

Gold OA: the work is published in an OA journal and opened directly in the journal's website.

Green OA: The work is published in a subscription journal and self-archived in a repository. The document sent to the repository can be the published version or the accepted version (depending on the editorial policies of the journal).

Hybrid OA: The work is published in a subscription journal but it can be read immediately and free of charge under an open license in exchange for an Article Processing Charge (APC) paid by the authors.

5

Figure 2: What and how to publish to the UB Digital Repository

4) Systems interoperability: iMarina / Digital Repository of the UB

iMARINA is the information system used by IDIBAPS to collect the research activity and scientific production of the institution's research staff. The system server is connected to the DDUB, which allows one to easily and automatically deposit articles via a computer application. Currently, when a new record is created in the **"Publications"** section, the researcher can send to the repository, in PDF format, that version of the article that the journal has authorized for use in open-access networks. Next to each post, a color code indicates which versions are allowed (*preprint*, *postprint*, or *published*). If the journal's policy is unknown and/or the version you are authorized to deposit has not been confirmed, the researcher must attach the accepted version of the article and the DDUB will confirm whether or not this version can be released. Only one PDF file (manuscript and supplementary material combined into a single document) with a maximum size of 50MB can be sent to the repository. If this limit must be exceeded, please contact iMarina's technical office. Once the data has been verified, in your iMarina profile next to the publication in question you will see a message confirming that the article is available at DDUB (with a clickable link to access it). This message, along with the URL of the article in the repository, will be visible to all researchers registered in iMarina and who have authored the publication, so that, only one author needs to upload the document.

5) Websites of interest

SHERPA/ROMEO	Information resource on the permission policies of scientific journals regarding self-archiving in repositories. http://www.sherpa.ac.uk/romeo/index.php
JournalGuide AMERICAN JOURNAL EXPERTS	Information resource on the permission policies of scientific journals regarding the dissemination of articles in open-access depositories. https://www.journalguide.com/
Quality Open Access Market	Search engine encompassing 46,000 journals with filter settings for such criteria as: magazine focus, article approval or rejection rate, publication speed, open-access options, publication cost (e.g., per page) and rates for publishing in open-access networks, also known as article processing charges (APCs). https://www.qoam.eu/
DOAJ DIRECTORY OF OPEN ACCESS JOURNALS	Classifies the quality of open-access journals based on criteria such as editorial policy, peer review, principles and editorial governance, rates for publishing in open access, etc. http: //www.doaj.org/
DULCINEA CONDICIONES DE AUTO-ARCHIVO DE LAS REVISTAS CIENTÍFICAS ESPAÑOLAS	Database of Spanish scientific journals. Contains bibliographic data, access policies, copyright, archiving information, etc. https://www.accesoabierto.net/dulcinea/

| | A tool that quantitatively evaluates the degree of openness of scientific journals. Scores are based on the following criteria: general reader rights and individual re-use rights, journal copyright policy, copyright by authors, automated readability of the metadata and content of the articles, etc. This is followed by a selection of simple questions. Their tool can help an author best decide in which journal to publish his/her article. http://thinkchecksubmit.org/check/ |

For any queries, please contact:

Office of Scientific Coordination
coordinacio.cientifica@idibaps.org

---

[1] Budapest Open Access Initiative (BOAI), http: //www.soros..org/openaccess/index.shtml

[2] Bethesda Statement on Open Access Publishing, http://legacy.earlham.edu/~peters/fos/bethesda.htm

[3] Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, https://openaccess.mpg.de/Berlin-Declaration

[4] Open Access Infrastructure for Research in Europe (OpenAIRE), https://www.openaire.eu/

[5] Plan S, https://www.coalition-s.org/

[6] Law of Science, Technology and Innovation, https://www.boe.es/buscar/pdf/2011/BOE-A-2011-9617-consolidado.pdf

[7] Framework document of the open access mandate for research at universities in Catalonia, http://crai.ub.edu/sites/default/files/recerca/politiques/mandataccesobert100701_0_1.pdf

[8] UB digital repositories, http://crai.ub.edu/en/information-resources/digital-repositories