UOC Open Knowledge Policy

Approved by the Executive Board on 12th April 2021

UOC

Universitat Oberta
de Catalunya

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1. Principles

Based on the conviction that knowledge is one of the keys to meet the global challenges we are facing as a society and that science and its outputs are a common good, with this policy the Universitat Oberta de Catalunya (UOC) manifests its commitment to open knowledge. Accordingly, it fosters the dissemination of the knowledge generated at the university, lending visibility to the quality of its teaching and research, and facilitates the interconnection of internal and external knowledge in academia and other sectors of society, fostering the co-creation of knowledge, especially of the interdisciplinary type.

The UOC has supported the principle of open access since its establishment, fostering the dissemination of scientific publications through its institutional repository, the O2 Repository UOC, and the UOC's academic journals, which are open access publications. Accordingly, the UOC signed the Berlin Declaration[1] on 2 June 2006 and, in 2010, it approved the UOC's first Open Access Policy[2]. That document is replaced with this policy, which adopts a global and integrating approach, given that it is not limited to the open access of academic publications, but encompasses all types of knowledge generated at the university.

This policy is part of the framework of the UOC's Open Knowledge Action Plan[3], the institutional strategy to ensure that the knowledge generated at the university is open and to contribute to its transfer to society. This plan focuses on the general idea of opening the university up and co-creating and sharing knowledge to become a global hub of open knowledge to decisively contribute to meeting the global challenges identified in the United Nations 2030 Agenda.

The policy is also contextually consistent at both the local and international levels, specifically the preliminary report on the first draft of the UNESCO's Recommendations on Open Science[4] (CL/4333, 2020), Commission Recommendation (EU) 2018/790 of 25 April 2018[5] on access to and preservation of scientific information; Law 14/2011 on Science, Technology and Innovation; and Royal Decree 99/2011[6] regulating the teaching of official doctorates. It also complies with the provisions of the European research programmes Horizon 2020 (2014–2020) and the new Horizon Europe Framework (2021–2027)[7]; the Open Science Commission (COS) of the Ministry of Science and Innovation and the Ministry of Universities for the preparation of an open science strategy in Spain; the Catalan Agreement on the Knowledge Society (PN@SC)[8], which has the aim of implementing the Catalan Open Science Strategy[9], in addition to a series of agreements of

[1] Berlin Declaration https://openaccess.mpg.de/Berlin-Declaration
[2] UOC open access policy (2010) http://hdl.handle.net/10609/4965
[3] Open Knowledge Action Plan (2019) http://hdl.handle.net/10609/99666
[4] Preliminary report on the first draft of the Recommendations on Open Science, UNESCO https://unesdoc.unesco.org/ark:/48223/pf0000374409.page=10
[5] Commission Recommendation (EU) 2018/790 of 25 April 2018 on access to and preservation of scientific information https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32018H0790
[6] Royal Decree 99/2011 https://www.boe.es/buscar/act.php?id=BOE-A-2011-2541
[7] Horizon Europe Framework https://ec.europa.eu/info/horizon-europe_en
[8] Catalan Agreement on the Knowledge Society – PN@SC http://empresa.gencat.cat/ca/intern/pnsc
[9] Catalan strategy on open access. Objectives and measures http://universitatsirecerca.gencat.cat/web/.content/23_PNSC/document/annex_f_ciencia_oberta.pdf

the Open Science Functional Commission of the University Services Consortium of Catalonia (CSUC).

At the same time, the framework provided by this policy promotes Responsible Research and Innovation (RRI) in compliance with quality, integrity, transparency, accessibility and reuse standards. Finally, it considers alternative research assessment systems that go beyond the journal impact factor in accordance with the UOC's signature of the San Francisco Declaration on Research Assessment (DORA)[10]. In this sense, there is a firm commitment on the part of the UOC to a more qualitative assessment of research that incorporates learning, ongoing transformation and social impact as objectives. This change refers to all scopes of research assessment: research projects and outputs, research careers, the assessment of research groups and centres, and the UOC as a whole.

2. Purpose

The aim of this policy is to establish the institutional framework to allow the UOC to openly share and transfer the knowledge it generates as a result of its research, teaching, innovation and institutional management in the university's various disciplines.

This policy sets out measures to:
- Ensure the correct management and availability of the university's knowledge, taking into account the specificities of the various disciplines and possible associated situations (editorial policies, non-disclosure agreements, contract clauses, intellectual or industrial property rights, etc.).
- Align with regulations requiring the publication of the outputs of all publicly funded research.
- Support the principles of open science by means of transparent methods, public access to the outputs of research and ensuring that the data are FAIR (findable, accessible, interoperable and reusable).
- Follow the ethical principles that govern research and innovation practices, in accordance with the legislative framework and the basic deontological ethics of scientific practice (such as the UOC Code of Ethics[11]), also ensuring their governance and quality, in accordance with RRI principles.
- Guarantee that research, teaching and administrative staff and society in general benefit from the knowledge generated and transformed at the UOC, while fostering its visibility, recognition and impact.

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[10] San Francisco Declaration on Research Assessment (DORA) https://sfdora.org/
[11] UOC Code of Ethics
https://www.uoc.edu/portal/_resources/CA/documents/recerca/kit_etica/Actualitzacio_2015/2_Codietic_UOC_2012-cat_CA.pdf

The validity of the policy is intended to be long term. However, as a monitoring measure for the university's Open Knowledge Strategic Plan and Open Knowledge Action Plan, the policy also sets the objectives specified below to be reached by 2030.

3. Scope

This policy applies to the entire **UOC university community and network** that generates and transforms knowledge in research, teaching, innovation and institutional management activities.

The outputs of the **knowledge** to which this policy refers are as follows:
- Academic publications
  - Articles
  - Books, chapters or parts of books
- Doctoral theses
- Research data
- Other research outputs, such as project reports and deliverables; congress presentations and posters; general interest publications, etc.
- Teaching resources: learning resources (LRs), continuous assessment activity, final assessment tests, exams, validation and synthesis tests, study guides, MOOCs, webinars, etc.
- Learning publications, such as bachelor's degree, master's degree and practicum final projects
- Institutional documentation

All these knowledge resources are specifically and individually covered in point "5. Assignment of roles and responsibilities".

4. Framework of action

Academic publications	
What	• Journal articles, specifically the published (publisher's PDF/version of record (VOR), the accepted (postprint/author accepted manuscript) or sent (preprint/manuscript) version. • Proceeding papers, revisions, letters. • Chapters, parts of books and books.
Who	Teaching and research staff[12], and administrative staff.
2030 Objective	All academic publications registered on the Portal of the Researcher (GIR) are published in the O2 Repository UOC with an open licence, in accordance with the legal constraints of each publication. In the case of articles, at least one version (preferably the version accepted by the editorial policy) should be published in the institutional repository.
How	• Queries about versions that can be openly published are handled by the Editorial Policies Support Service[13] (Library and Learning Resources Department). • Queries related to the archiving of academic publications in the institutional repository are handled by the Publish in the O2 Repository UOC Service[14] (Library and Learning Resources Department).
Regulation	In accordance with the constraints of each editorial policy (embargo period, version permitted to be published in open access, rights of usage and exploitation, etc.) with the support of the Library and Learning Resources Department.

Research Data	
What	Structured data generated during the academic research process, usually tabulated and liable to be jointly conserved due to their source.
Who	Teaching and research staff and administrative staff.
2030 Objective	All data, provided they are not of a personal nature and are anonymized or aggregated, are shared with an open licence and adhere to the FAIR (findable, accessible, interoperable and reusable) criteria.

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[12] "Teaching and research staff": staff carrying out teaching and research at the university. Doctoral students are included in this group.
[13] Editorial Policies Support Service http://biblioteca.uoc.edu/en/services/editorial-policies-support
[14] Publish in the O2 Repository UOC Service
http://biblioteca.uoc.edu/en/services/publish-institutional-repository-o2

Research Data	
How	Queries about how to manage and publish research data, how to comply with the FAIR principles and requests for advice about the preparation of a Data Management Plan are handled by the Research Data Management Service [15].
Regulation	In accordance with Regulation (EU) 2016/679 of the European Parliament and of the Council, the Guidelines on FAIR Data Management in Horizon 2020[16], the General Data Protection Regulation (Law 15/1999[17]) and the UOC Code of Ethics[18].

Doctoral theses	
What	• Full digital version of the approved doctoral thesis (with the corresponding dissemination authorization contract or embargo period, for duly justified reasons) • Or, exceptionally, the public report (if it contains aspects subject to non-disclosure or intellectual or industrial property protection agreements, in accordance with applicable legislation)
Who	UOC doctoral students
2030 Objective	Doctoral theses defended at the UOC are available, with an open licence, in the O2 Repository UOC and in the cooperative repository Tesis Doctorals en Xarxa (TDX)[19], provided they are not subject to the constraints specified above.
How	Queries about how to publish a doctoral thesis in open access are handled by the Open-access Publication of Doctoral Theses Service[20].
Regulation	In accordance with Royal Decree 99/2011, of 28 January, regulating official doctorate courses[21], Royal Decree 1791/2010, of 30 December, approving the University Student Charter, and the Academic Regulations for the UOC's Doctoral Studies[22], approved by the Executive Board (2016).

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[15] Research Data Management Service
https://cataleg.research.uoc.edu/serveis/gestio-de-dades-de-recerca
[16] Guidelines on FAIR Data Management in Horizon 2020
https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf
[17] Law 15/1999 https://www.boe.es/buscar/doc.php?id=BOE-A-1999-23750
[18] UOC Code of Ethics
https://www.uoc.edu/portal/_resources/EN/documents/la_universitat/codi-etic/Codi_xtic_UOC_EN.pdf
[19] Tesis Doctorals en Xarxa (TDX): https://www.tdx.cat/
[20] Open-access Publication of Doctoral Theses Service
http://biblioteca.uoc.edu/en/services/open-access-publication-doctoral-theses-service
[21] Royal Decree 99/2001 https://www.boe.es/buscar/act.php?id=BOE-A-2011-2541
[22] Academic Regulations for the UOC's Doctoral Studies
https://www.uoc.edu/portal/_resources/EN/documents/escola-doctorat/Academic_regulations_for_the_UOCxs_doctoral_studies.pdf

Other research outputs	
What	Project reports and deliverables; congress presentations and posters; general interest publications, etc.
Who	Teaching and research staff, administrative staff
2030 Objective	All other research outputs are shared in open access, provided that it is possible and of interest.
How	Queries regarding what other research outputs can be shared in open access and how to organize it are handled by the Publish in the O2 Repository UOC Service.

Educational resources	
What	Educational resources, questions of continuous assessment activity, final assessment tests, exams, validation and synthesis tests, study guides, MOOCs, webinars, etc.
Who	Teaching and research staff, administrative staff and affiliated teaching staff
2030 Objective	Substantially increase the UOC educational resources that are shared in open access, both at the start by default (time of contracting) and after six semesters, making the corresponding change to the licence.
How	Queries about which educational resources can be shared in open access are handled by the Publish in the O2 Repository UOC Service.
Regulation	In relation to educational resources, in accordance with the validity period of the rights of exploitation stipulated in the Agreement of the Governing Council (2013) (applicable for six semesters) or the open access licence assignment procedure and criteria (from the creation of the learning resource).

Student publications	
What	Bachelor's degree, master's degree and practicum final projects.
Who	Student body
2030 Objective	Final projects with a mark of 8 (out of 10) or higher are added to the O2 Repository UOC with an open access licence, provided the author is happy to do so. Projects subject to a non-disclosure agreement with a third party or that infringe third-party intellectual and industrial property rights are excepted.
How	Queries regarding how to publish final projects in open access (they must be deposited by the author) are handled by the Publish in the O2 Repository UOC Service.

Student publications	
Regulation	In accordance with the Guidelines for the Publication of Final Projects in the O2 Institutional Repository[23] and the Guide for Depositing Bachelor's Degree, Master's Degree and Practicum Final Projects in the O2[24] approved by the Programme Committee (2019).

Institutional documentation	
What	Institutional materials, regardless of their format, provided they are not subject to any limitations (e.g. reports, speeches, institutional videos, strategic plans and action plans, etc.).
Who	The entire UOC university community
2030 Objective	Institutional documents of interest are available in open access.
How	Queries about how institutional materials can be shared in open access are handled by the Publish in the O2 Repository UOC Service.

5. Assignment of roles and responsibilities

UOC responsibilities

The institution must provide its teaching and research staff with the training and instructions necessary to carry out their teaching and research in accordance with this open knowledge policy in order to ensure they are fully aware of their responsibilities.

To ensure the smooth collection and sharing of knowledge in open access, each one of the university's departments undertakes to:

1. **Provide an infrastructure system, the O2 Repository UOC**, to manage, store and maintain permanent access to the knowledge deposited by its community, ensuring the quality of the data and of the metadata, respecting the intellectual property rights of the author and upgrading the technological infrastructure used. This is the responsibility of the Library and Learning Resources Department and the Technology Department.
2. **Increase the visibility, access and interoperability of the knowledge** shared in the O2 Repository UOC: a) managing its incorporation into academic search engines, portals,

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[23] Guidelines for the publication of final projects http://hdl.handle.net/10609/57724
[24] Guide for Depositing Bachelor's Degree, Master's Degree and Practicum Final Projects in the O2 http://hdl.handle.net/10609/84027

directories and harvesters and b) following international regulations and criteria for open access repositories and standard metadata exchange protocols. This is the responsibility of the Library and Learning Resources Department.

3. **Ensure the depositing and institutional conservation of a copy** of each knowledge resource in one of the accepted formats in accordance with the provisions of the Digital preservation policy of the UOC institutional repository, O2[25]. This is the responsibility of all departments and faculties.

4. **Prioritize the green route** or self-archiving (depositing in institutional or thematic repositories). This is the responsibility of the Office of the Deputy General Manager (Research and Innovation).

5. **Establish suitable procedures** to facilitate the depositing of documents in the O2 Repository UOC for members of the UOC community, providing the necessary advice and technical support. This is the responsibility of the Library and Learning Resources Department.

6. Guarantee **interoperability** between the Portal of the Researcher (GIR) and the O2 Repository UOC. This is the responsibility of the Library and Learning Resources Department and the Research and Innovation Department.

7. Support research staff in the **management of research data**, with regard to the preparation and monitoring of proposals, technological aspects, the drafting of the Data Management Plan, and the publication, dissemination, reuse, custody and conservation of data. Adherence to the FAIR principles and compliance with legislation, the code of ethics and the requirements of the funding institutions must be ensured. This is the responsibility of the Library and Learning Resources Department, the Research and Innovation Department, the Legal Office and the Technology Department.

8. Provide specialist staff to **guarantee optimal quality of the FAIR data advice service**. This is the responsibility of the Office of the Deputy General Manager (Research and Innovation).

9. **Facilitate the creation of LRs with an open access licence**, supporting authors committed to contributing to global knowledge in this way. This is the responsibility of the Office of the Deputy General Manager (Teaching).

10. Establish a procedure to **publish LRs from the start and by default with an open access licence** and to be able to share them as knowledge teaching resources. This is the responsibility of the Library and Learning Resources Department.

11. Support the **academic journals** fostered by the UOC's faculties or research centres, ensuring that they adhere to the **open access model** and remain within the established quality, scientific rigour and internationalization parameters. This is the responsibility of the Library and Learning Resources Department.

12. **Negotiate with publishers** to improve the conditions and costs associated with publication in open access journals through the consortiums, networks and associations to which the university belongs. This is the responsibility of the Library and Learning Resources Department.

13. **Provide training, awareness training and guidance** for the teaching and research staff about open access and open science. This is the responsibility of the Library and Learning

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[25] Digital preservation policy of the UOC institutional repository, O2
http://hdl.handle.net/10609/128486

Resources Department, the Research and Innovation Department and Personnel.

14. **Include open knowledge principles in internal assessment processes and in all institutional actions and policies** in accordance with the UOC's signature of the San Francisco Declaration on Research Assessment (DORA). This is the responsibility of the Office of the Deputy General Manager (Research and Innovation).

15. Adapt the criteria of the UOC's **internal subsidies and calls** to the principles and regulations of this policy in order to guarantee their coherence and transparency. This is the responsibility of the Office of the Deputy General Manager (Research and Innovation).

16. **Establish indicators to monitor compliance** with the policy. This is the responsibility of the Office of the Vice President for Globalization and Cooperation and the Office of the Vice President for Strategic Planning and Research.

17. Be familiar with and comply with the content of this policy and ensure its suitable application at the UOC. This is the responsibility of all departments and faculties.

Responsibilities of the members of the community

Members of the UOC community have a series of responsibilities to share the knowledge generated in their teaching, learning, research and administration tasks in accordance with their role and relationship with the university. The responsibilities of each key open knowledge actor are described below:

Teaching and research staff

The teaching and research staff have an ethical duty to communicate the output of their research to society as part of their work. The procedure must be as open as possible and as closed as necessary.

With respect to academic publications, it is the responsibility of the teaching and research staff to:

1. Retain, wherever possible, the rights of exploitation of published articles, using journals that enable the self-archiving of a version of their work.
2. Ensure that the publication process is as open as possible, preferably in open access journals and also depositing in repositories.
3. Ensure that the communication process is as open and transparent as possible in order to disseminate the impact of the research over various digital platforms and communication channels.
4. Deposit in the O2 Repository UOC all academic publications (articles, chapters of books, books, communications at congresses, etc.) that have been partially or fully funded with public money.
5. Disseminate, distribute and reuse their academic publications through the issuance of standard open access licences such as the Creative Commons licences, which meet the goal of maximizing the use of the research.

With respect to research data, it is the responsibility of the teaching and research staff to:

6. Publish research data from research projects in open access.
7. Guarantee that research activity data follow the FAIR (findable, accessible, interoperable and reusable) principles.
8. Prepare a Data Management Plan (DMP) that specifies how the data are to be managed, in accordance with the requirements of the funding bodies.
9. Manage data in accordance with applicable best practices, codes of ethics, regulations and legislation.
10. Conserve and store data in a clear and precise manner to enable the assessment of outputs, the recovery of procedures and the reproduction of research.

With respect to teaching resources, it is the responsibility of the teaching and research staff to:

11. Generate and disseminate teaching resources in open access through the issuance of standard open access licences such as Creative Commons licences, provided it is possible to establish this condition upon contracting or as soon as the publication licence allows.
12. Reuse other open access resources generated in teaching or research for educational purposes and in classrooms, ensuring that their intellectual property rights are respected.

Doctoral students

13. Doctoral students that publish the full text of their doctoral thesis with an open access licence, after its defence and approval, are responsible for making it available to the Library and Learning Resources Department so it can be deposited in the O2 Repository UOC and in the Tesis Doctorals en Xarxa (TDX) cooperative repository. The full text can be deposited in open access and embargoed for a given period in the event of non-disclosure agreements with companies or the possibility of generating patents based on the content of the thesis.
14. They are responsible for the dissemination, distribution and reuse of their research through the issuance of open access licences, which have the aim of fully tapping the potential of their research.
15. They are responsible for including the management of research data as a practice from the initial phase of their research career.

Student body

16. Students who want to publish the full text of their bachelor's or master's degree final projects, provided they have received a grade of at least 8, are responsible for publishing them in accordance with the criteria established by each programme, with an open access licence and self-archiving. Projects subject to a non-disclosure agreement with a third party or that infringe third-party intellectual and industrial property rights are excepted.

Administrative staff

17. They are responsible for publishing in open access any institutional documentation generated by their professional activity at the UOC, such as presentations at congresses, institutional reports, etc.

6. Approval of the policy

This policy has been approved in accordance with the provisions of the UOC policy on roles and responsibilities in the approval of internal regulations.

The body responsible for the application and revision of this policy is the Executive Board, which approved this policy on 12th April 2021 and is responsible for its constant supervision to ensure legal compliance.

Moreover, the text of this policy will be revised every four years or, where applicable, when there are significant changes in relevant national or international guidelines or legislation.
Protocols will also be generated for the monitoring and measurement of the objectives.

The purpose of this revision is to ensure the validity, continuity and compliance of this policy.

Annex 1: Definitions

- **Article processing charge (APC):** A fee charged to authors to make an open access work available in an open access journal or hybrid journal.
- **Open peer review:** Any scholarly review mechanism providing disclosure of author and referee identities to one another at any point during the peer review or publication process.
- **Open science:** The practice of science in such a way that others can collaborate and contribute, where research data, lab notes and other research processes are freely available, under terms that enable reuse, redistribution and reproduction of the research and its underlying data and methods.
- **Open source:** Software that is released under an open source licence or forms part of the public domain, in addition to being developed in a collaborative manner.
- **Creative Commons:** A range of open licences that allow people to share, use, and build upon knowledge resources, while also ensuring authors retain their copyright.
- **FAIR data:** Research data that meet the FAIR principles, meaning that they are findable, accessible, interoperable and reusable.

- **DORA:** The Declaration on Research Assessment recognizes the need to improve the ways in which the outputs of scholarly research are evaluated and seeks the responsible use of metrics.
- **Directory of Open Access Journals (DOAJ):** A community-curated online directory that indexes and provides access to high quality, open access, peer-reviewed journals.
- **Institutional documentation:** Documentation generated within the framework of the university's internal activity (reports, action plans, strategic plans, etc.) and public activity (speeches, videos, etc.).
- **Embargo:** A period imposed by publishers during which works cannot be released in open access. Repositories are able to restrict access to documents while the embargo period remains in force.
- **European Open Science Cloud:** A European Commission initiative aiming at developing an infrastructure providing its users with services promoting open science practices.
- **Open access licence:** A free use license by means of which the author, as the holder of the rights of exploitation, authorizes the general public to make use of their work without having requested permission, provided that the use made of it respects certain conditions (licence conditions).
- **Hub of open knowledge:** That which spreads its knowledge outwards while also taking in external contributions for the sake of enhancement, openness towards society and progress in achieving the global challenges laid out in the 2030 Agenda.
- **Open access:** Allowing passage. Two-way communication in and out. Accessible, usable, free.
- **Open educational resources (OERs):** Teaching, learning and research materials that reside in the public domain or have been released under an open licence that permits free use.
- **Open scholarship:** The practice of applying open access principles to all research and the entire academic environment. It means sharing research outputs as soon as possible in such a way that others can access and reuse them.
- **Teaching and research staff:** Staff carrying out teaching and research at the university. Doctoral students are included in this group.
- **Community-engaged research:** The process of working collaboratively with groups of people affiliated by geographic proximity, special interests or similar situations with respect to issues affecting their well-being.
- **Learning resource:** A resource produced by the UOC or owned by third parties that the UOC places at the disposal of the student body through classrooms for teaching purposes.
- **Open access journal:** It provides free and unrestricted online access to the outputs of publicly funded research in such a way that the research literature can be used without licence restrictions.
- **Hybrid journal:** It contains a mixture of open and closed access articles. Only the individual articles for which the authors pay a publication fee are open access.
- **Gold route:** Open source publishing route whereby knowledge is shared in an open access (peer-reviewed) journal which, although free for users, may require authors or their institutions to pay a fee.

- **Diamond route:** Open source publishing route whereby open access to knowledge is granted thanks to Creative Commons licences that do not require a fee be paid. This method combines expert review and free-of-charge publication and use.
- **Green route:** Open source publishing route whereby knowledge is made publicly available in a digital repository that agrees to offer the knowledge to its users for free.