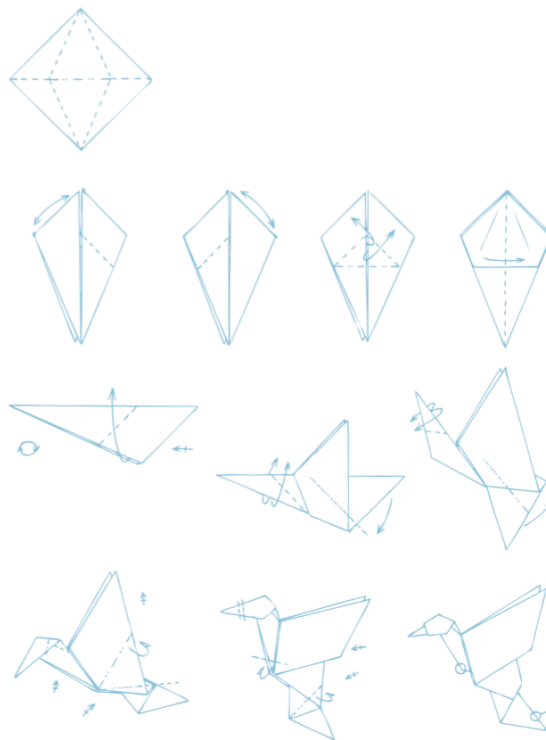# Institutional open-access policy of the Basque Center for Applied Mathematics (BCAM)

Access, visibility, impact and preservation of the BCAM's research output online

Bcam Institutional Repository Data – BIRD

Adopted on 2nd June, 2016 by the Direction of the centre

Version 1.0 June 2nd 2016

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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 Basque Center for Applied Mathematics (BCAM) is a signatory of the following declarations:

✓ *The **Budapest** Open Access Initiative BOAI **(February 14th 2002)***

1.3. Open access: the European Commission, Research Centres and European Universities

The European Commission, Research Centres and European Universities 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 (FP7) and the Horizon 2020 (H2020) of the European Union**.

1.4. Spanish science, technology and innovation Act 14/2011

The Spanish Act 14/2011 on science, technology and innovation 14/2011 approved on December 2011 also contemplates significant measures to promote open access:

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CHAPTER II. Transfer and dissemination of scientific,
development and technological results and scientific,
technological and innovation culture

Article 37. 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.
5. The Ministry of Science and Innovation will facilitate
centralized repositories access and connection to national
and international similar initiatives.
6. The above is without prejudice to the agreements under
which have been attributed or transfer to third parties
rights publications and does not apply when the rights on
the results of the research activity, development and
innovation are eligible for protection.
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2. The BCAM'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 BCAM, the centre 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 BCAM as an institution:

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

- ➢ **BCAM 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.**

- ➢ **BCAM requires that academic and research staff employed (or linked) by the centre deposit their academic publications—journal papers, texts published in conferences, and scientific and technical reports—in its own institutional repository: BIRD (Bcam Institutional Repository Data) http://bird.bcamath.org**

- ➢ **BCAM undertakes to increase the visibility and interoperability of publications deposited in its institutional repository, BIRD (Bcam Institutional Repository Data), 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.**

- ➢ **BCAM shall take measures to safeguard authors' copyright, intellectual property, and the right of confidentiality in relation to publications deposited in BIRD (Bcam Institutional Repository Data).**

- ➢ **BCAM shall preserve, ensure and maintain perpetual access to scientific publications stored in BIRD (Bcam Institutional Repository Data).**

3. Interoperability of systems: Bcam Institutional Repository Data (BIRD)

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

    a) Journal papers
    b) Texts published in conferences
    c) Scientific and technical reports
    d) Master and Doctorate Thesis
    e) Book of chapters

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

    o **The preprint (i.e. pre-referring): preprin**t is an article that has not yet undergone peer review.

    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 BCAM Staff Team shall ensure the standardisation and quality of bibliographical references entered into the BIRD system by authors and shall make the full text of publications visible online via BIRD Repository, **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:

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

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

    o They contain information on research activities carried out at the centre, the dissemination of which may affect the BCAM'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 BIRD (Bcam Institutional Repository Data).

If possible, the documents shall be made openly accessible at a later time when:

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

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

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

- o In other cases in which this step is permissible.

4. Open Access Publishing

4.1 Publishing

For a journal article to be available as an open access publication, one of the following routes must be

- **Self-archiving (green way):** Authors archive their articles themselves in a institutional repository BIRD and a thematic repository such as arXiv to make them available online and to enable them to be reused. Often, the articles deposited will have been published originally by journal publishers that charge a fee for their services (e.g. Elsevier, Springer, IEEE); without these publishers' authorisation, self-archiving is not possible. Each publisher's editorial policy and self-archiving conditions will give details of the uses or types of exploitation that publications may be eligible for. Each publisher decides whether it will allow authors to self-archive their articles and, if so, the specific version that can be deposited in a repository, that is, the "preprint", the "postprint" or the publisher's layout version.

- **Open access journals (gold way):** Journals that follow the gold route ensure open access to the articles they publish without charging subscription or access fees; therefore, either authors themselves or the institutions to which they belong must cover the costs of publication.

- **Hybrid model:** Some subscription‑fee journals also publish open access articles (hybrid model). These are articles for which the authors or the organisations to which they belong pay an additional fee for open access publication. The other articles in the same issue of the journal are only available to users who have paid the subscription fee.

4.2 Awarding of research activity points for open access compliance

Co-authors of the journal article, academic units and research groups who wish to be awarded the corresponding research activity points must take one of three routes mentioned above.

- ➢ In the case of self-archiving, a copy of the article must have been deposited in BIRD, a thematic repository or a repository belonging to another institution. To ensure access to the article and its conservation, the authors must provide the postprint and specifically the author's final draft before the article is published in the journal.

  Provided that the holder of the exploitation rights allows it, the postprint of the article will be published as an open access publication in BIRD. If open access is not a possibility, it will be deposited in "closed" form to

facilitate access to it and its conservation. The corresponding research activity points will also be awarded in this case.

> In the case of open access journals or journals that allow a hybrid model, a copy of the article must also be deposited in BIRD. Co-authors, units and research groups will receive the corresponding research activity points.

4.3 Activities included in this regulation

A journal article is defined as any scientific publication that is published in a journal or serial publication (such as a book series), regardless of whether it has been presented at a conference or sent to a journal for publication.
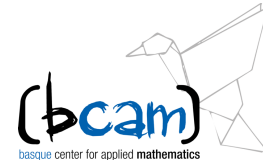
This excludes books.

4.4 Schedule for open access compliance

The deadline established for adding scientific results in BIRD is
1. As soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in BIRD if the result is in the framework of European Grants. For results funded by other grants, Preprints are also accepted.
2. Ensure open access to the deposited publication — via BIRD repository — at the latest:
    a. On publication, if an electronic version is available for free via the publisher, or
    b. Within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.

4.5 Exceptions to the depositing of publications for reasons of confidentiality

In the event that the author or authors of the article manifest the impossibility of depositing a copy of the publication because it is subject to a confidentiality agreement or for other reasons, this fact must be proven and the Research Committee shall resolve each case.

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