

## **Approval for awarding research activity points solely for open access publications**

Governing Council Agreement 177/2014 approving the awarding of research activity points solely for open access publications.

- This proposal received a favourable review by the Research Committee on 23 September 2014.

**Office of the Vice-Rector for Research Policy**

**2 October 2014**

# Research activity points and open access publishing

## A. Background

A.1 The UPC's Institutional open access policy (Governing Council Agreement 24/2009).

A.2 Law on Science and Horizon 2020.

A.3 The obligation to deposit/catalogue books of conference proceedings and books in order to be awarded research activity points.

## B. Aim

B.1 The aim of this document is to reinforce current mandates (Law on Science and Horizon 2020) and make progress in **open access publishing** of all of the UPC's scientific output in the form of articles in journals and participation in conferences.

## B. Publications and open access

For a journal article to be available as an open access publication, one of the following routes must be taken (excerpt from <http://publica.upc.edu/acces-obert/inici>).

### C.1 Self-archiving (green route)

Authors archive their articles themselves in an institutional repository such as UPCommons or 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.

### C.2 Open access journals (gold route)

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.

### **C.3 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.

## **D. 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.**

D.1 In the case of self-archiving, a copy of the article must have been deposited in UPCommons, a thematic repository or a repository belonging to another institution. The internet address at which the copy of the article is held must be included in the DRAC.

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 UPCommons**. 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.

D.2 In the case of **open access journals** or journals that allow **a hybrid model**, a copy of the article must also be deposited in UPCommons. Co-authors, units and research groups will receive the corresponding research activity points.

## **E. 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 book chapters, books, proceedings books, theses and reports.

## **F. Schedule for open access compliance**

Every year a schedule will be established for the calculation of research activity points. A deadline is given for adding activities to the DRAC. The deadline also applies to meeting criteria; therefore, a copy of the article must have been deposited in a repository and its web address, or the address of the open access journal, must be stated in the DRAC.

During the review period the article's publication status and compliance with the criteria may be checked.

**All articles that on the date the review period ends meet the conditions will be awarded research activity points in the corresponding assessment period.**

In the event that an article meets the conditions after the date on which the final results of the research activity points are published, the points shall be awarded in the following assessment period.

### **G. 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.

**Barcelona, 23 September 2014**  
**Office of the Vice-Rector for Research Policy**