SENATE REGULATION No. 601

adopted at RTU Senate meeting on 27 June 2016

On Open Access Policy of Riga Technical University

Pursuant to the strategic goal of RTU to enhance dissemination of research results internationally and to make them publicly accessible and to develop Open Access Policy of RTU and the roadmap for its implementation and **in accordance with:**

- Regulation No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 – the Framework Programme for Research and Innovation (2014 – 2020)" and repealing Regulation (EC) No 1906/2006;
- Regulation No 1290/2013 of the European Parliament and of the Council of 11 December establishing "Horizon 2020 – the Framework Programme for Research and Innovation (2014 – 2020)" and repealing Regulation (EC);

and taking into consideration:

- European Commission Recommendation of 17.7.2012 on access to and preservation of scientific information);
- "EUA Roadmap on Open Access to Research Publications", February 2016),

the Senate decides:

1. To adopt Open Access Policy (further in the text – Policy) of Riga Technical University (further in the text – RTU).
2. The Policy sets in force as of 1 May 2017.

Regulation No. 601 adopted
by the Senate of Riga Technical University on 27 June 2016.

Open Access Policy of Riga Technical University

I Terminology

1. Open Access – immediate, online, free and unrestricted availability of peer-reviewed research literature.
2. Scientific publication – the results of one's research published in scientific journals, and conference proceedings, as scientific books and articles or sections in scientific books.
3. Publication in Open Access – scientific publication full text of which is permanently available in a specifically designated place online for free without restrictions.
4. Research data – information, in particular facts or numbers, collected to be examined and considered and as a basis for reasoning, discussion, or calculation.
5. Metadata – standardised data that provides information about digital data as well as dataset containing them.
6. Repository – an online archive for collecting, preserving, and disseminating digital copies of the intellectual output.

7. Open access repository – an online archive for collecting, preserving, and disseminating digital copies of the intellectual output of an institution and are available for free.
8. Institutional repository – an online archive for collecting, preserving, and disseminating digital copies of the intellectual output of an institution.
9. Archiving of publications and/or research data – depositing of publication or research data in the repository.
10. Public funding – state funding or funding of local government as well as financial support from EU and foreign institutions.
11. Final version of publication – peer reviewed version of the manuscript accepted for publishing.
12. Open Access journals – scholarly journals that are providing full texts of articles permanently available online to the reader free of charge.
13. Hybrid journals – a subscription journal in which some of the articles are open access.
14. Embargo period set by a journal – an embargo is a period after which the author is allowed to archive his/her publication in the repository.
15. *Creative Commons* license – standardised types of copyright licenses from which authors can choose one particular license allowing to use the work as defined in the license.

II Aims and Scope of the Policy

16. The aim of the policy is to publicly provide open access to scientific publications and research data produced by RTU personnel as a result of research funded either entirely or in part by the public funding allocated to RTU, if RTU regulations or regulations by third parties or signed agreements do not set out differently.

III Providing of Open Access to Scientific Publications and Resarch Data

17. RTU sets the conditions and provides infrastructure for the implementation of Open Access Policy of Riga Technical University.
18. RTU requires that metadata and a copy of the final version (either author final manuscript – post-print, or publisher version) of all peer reviewed scientific publications of RTU personnel are deposited in RTU institutional repository immediately after its publication.
19. RTU requires that the full-text of publications be made openly available in accordance with the conditions set out by the publisher and no later than 6-months after publication in Science, Technology, Engineering and Mathematics (STEM) or 12 months after publication in the Social Science and Humanities (SSH).
20. If a publisher's permitted embargo period is longer than these, authors should either negotiate with the publisher to retain the rights they need to comply with this policy, or find a publisher that enables them to comply without the need for negotiation.
21. RTU requires that research data resulting entirely or partly from its funding are made openly available: metadata of research data are registered in RTU Open Access repository and are linked to the publication whereas the datasets are made available in Open Access in suitable repositories.
22. In all publications recipients must acknowledge RTU and identify the funding.
23. RTU recognizes article and book processing charges for publishing in fully Open Access journals or book and costs for data storage and curation and other Data Management Costs as eligible research costs according to RTU funding guidelines.

APCs towards Open Access to publications in 'hybrid' (subscription-based) journals are not eligible research costs

24. RTU requires that all articles in Open Access journals where an APC has been paid are published with a Creative Commons CC-BY license. Where an APC has not been paid, a Creative Commons license is still recommended. It is recommended that where possible all deposited publications and data are licensed, preferably with a Creative Commons license

25. RTU requires that a plan for addressing the present open access requirements to research publications and research data produced as a result of its funding be provided during the RTU grant application process. Reporting on compliance will be required during and at the end of the funding periods for projects receiving support

IV Monitoring of Implementation of the Policy

26. RTU will systematically monitor the implementation of this policy and if necessary issue regulations for the structural units to carry out activities to ensure implementation of the policy.

27. Office of Vice-Rector for Research will be responsible for ensuring the communication and collaboration of RTU structural units to coordinate the implementation process.

28. 27. Office of Vice-Rector for Research will present the report to the Rector about the results of the implementation of the policy.