

University of Cumbria

# Open Access Policy for Research and Scholarly Outputs

October 2017

***NB. This policy is available on the University of Cumbria website and it should be noted that any printed copies are uncontrolled and cannot be guaranteed to constitute the current version of the policy.***

<b>POLICY SCHEDULE</b>	
Policy title	Open Access Policy for Research and Scholarly Outputs
Policy owner	Information Services
Policy lead contact	Colin Coghill
Approving body	Research and Enterprise Committee
Date of approval	18/10/17
Date of implementation	
Version no.	1.3
Related Guidelines, Procedures, Codes of Practice etc.	Code of Practice for Research, Research Data Management Policy, IPR Policy, copyright guidance
Review interval	Annual

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# University of Cumbria Open Access Policy

## 1. Introduction

The University wishes to support the open access agenda, and to create the maximum benefit from its practical, applied and practitioner-focused research by making outputs as widely accessible as possible to external stakeholders. Whilst complying with copyright restrictions, the University requires that the majority of research outputs are publically discoverable from point of acceptance through the institutional repository, [Insight](http://insight.cumbria.ac.uk)<sup>1</sup>. The University favours, now and for the foreseeable future, green open access. This enables authors to publish in any journal and to self-archive a version of the article, typically the author's accepted manuscript, for free public use.

## 2. Aims and Objectives

The policy aims to make the University's approach to open access of research and scholarly outputs clear to all staff, research students and other stakeholders (e.g. honorary research contract holders). The University supports the principles of open access. However, the primary objective of this policy is to ensure that all academic staff are in compliance with the Higher Education Funding Council for England (HEFCE) *Policy for open access in the post-2014 Research Excellence Framework*<sup>2</sup>. The policy also seeks to highlight the need to consider the compliance of publication routes prior to submission of a manuscript.

### 2.1 Policy background

Open access is strongly supported in the UK by the higher education funding councils and other major funders of research, including Research Councils UK (RCUK) and the Wellcome Trust. The drive behind open access is to make research outputs openly available as quickly as possible, free of charge, and to as wide an audience as possible. This is to benefit researchers, the public and business, and to ensure that the benefits of the public funding of research are as extensive as possible.

HEFCE have [mandated](#) that outputs must be openly accessible in order to be eligible for submission to the next Research Excellence Framework (REF). The HEFCE policy requires that:

1. All [journal articles](#) and [conference papers](#)<sup>3</sup> must meet the requirements of the HEFCE open access policy.
2. Metadata for each output is required at the point of acceptance<sup>4</sup>, with the author's accepted final peer-reviewed text<sup>5</sup> available as soon as possible<sup>6</sup>.
3. Open access is an eligibility requirement for submission to post 2014 REF for all outputs as defined in point 1 accepted after 1 April 2016.

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<sup>1</sup> <http://insight.cumbria.ac.uk>

<sup>2</sup> *Policy for open access in the post-2014 Research Excellence Framework*(2014), updated July 2015, available via <http://www.hefce.ac.uk/rsrch/oa/Policy/>

<sup>3</sup> This applies to conference proceeding with an International Standard Serial Number (ISSN), unless as part of a book series.

<sup>4</sup> This must take place as soon after the point of acceptance as possible, and no later than three months after this date (as given in the acceptance letter or e-mail from the publication to the author).

<sup>5</sup> Also known as an "accepted author manuscript", "final author version" or "post-print".

<sup>6</sup> This may be immediately, at the point of publication, or after an embargo period, dependent on publisher policy. For outputs published between 1 April 2016 and 1 April 2018, this can be up to three months after publication.

### 3. Scope

The policy sets out aspirations for open access of research and scholarly publications for all our staff, research students, and affiliates. However, compliance with this policy is mandatory for all academic staff.

### 4. Definitions

'Open Access' is the term used to denote that peer reviewed research and scholarly materials should be discoverable and available in a manner allowing unrestricted access, usually online. There are a number of routes which can be taken to make research outputs openly accessible.

The University favours open access via the green route, as defined below, unless there are specific reasons why this is not feasible:

- **Green Open Access** is where the author publishes an article in the journal of their choice and self-archives the author's accepted manuscript in their institutional or subject repository, making it freely available online for those who lack subscription access to the publisher's version of record. Access to outputs through the green route may be granted either immediately or after an agreed embargo period, dependent on publisher policy.
- **Gold Open Access** is where an article is published in a way that allows immediate access electronically and free of charge. Often, this involves the author paying an Article Processing Charge (APC) for publication in an open access journal. Publishers may recoup their costs through a number of mechanisms: through APCs, advertising, donations, or other subsidies. Normally, a gold open access journal does not receive income from reader subscriptions.
- **Hybrid Open Access** is where an author chooses to pay an APC in order for a specific article to be made open access in an otherwise subscription based journal. In effect access has been paid for twice, an APC and a subscription: this is known as "double dipping".

### 5. Policy principles

All academic staff must comply with the HEFCE open access policy. This reflects the University's support of the open access agenda. All other members of staff are strongly encouraged to make their outputs openly accessible.

Expectations of staff:

- All staff must comply with the requirements of this policy as a minimum. However, staff must also ensure they comply with the open access policies of external funders, where applicable. Associated costs should be factored into grant applications if possible.
- All staff are required to deposit copies of any published research and scholarly outputs in the institutional repository, [Insight](#). For academic staff, this must be within timescales set out within HEFCE's open access policy, and as set out in subsequent points.
- Normally, **all** staff are expected to use green open access routes to publish the results of their research. Individuals anticipating gold open access will need to demonstrate that this is a funder requirement, or make a case that this is the most appropriate route for publication. The gold route will often only be possible where funding has been sought to support the cost (e.g. in a grant application).
- **Academic staff** are required to choose publication routes which **comply with the HEFCE policy on open access and the post-2014 REF**. This means:

- Publication routes must be amenable to green open access or gold open access, if possible.
- For green open access, publication routes chosen should have a maximum embargo period of 12 months for health related and science subjects (falling within REF2014 Main Panel A or Main Panel B) or 24 months for social sciences and arts and humanities (falling within REF2014 Main Panel C or Main Panel D).
- Academic staff are only allowed to use a publication route that does not allow open access, or not within the timeframes indicated above, where this can be demonstrably shown to be the most appropriate for the particular output (e.g. where there is only a single journal available within a particular disciplinary niche).
- Where academic staff are considering a gold open access route, or the use of publication routes which are not compliant with open access, they must discuss this issue with the relevant Research Coordinator as soon as possible. Information Services guidance on checking the compliance of particular publication routes must be followed.
- Details of any outputs which qualify as 'exceptions' under the HEFCE policy (e.g. where the non-compliant publication route is the only feasible route for a particular piece of research) should be notified to Research Office prior to submission of a manuscript, following discussion with the Research Coordinator. This must include the rationale for being classed as an exception.
- **All journal articles and conference proceedings** with an International Standard Serial Number (ISSN)<sup>7</sup> published by academic staff must be deposited by a University of Cumbria co-author in the institutional [Insight](#) repository **as soon as possible after acceptance**<sup>8</sup>, and within a maximum of ten weeks, **and:**
  - This applies whether or not an individual is the lead or corresponding author on an output<sup>9</sup>, including where these are not members of University of Cumbria staff.
  - Deposits must include metadata available at point of acceptance, the date of acceptance, and include the Digital Object Identifier (DOI) if available, and a copy of the author's accepted manuscript.
  - Where an embargo is in place, the author is required to place the metadata into Insight, and add the author's accepted manuscript as a closed deposit.
  - [insight@cumbria.ac.uk](mailto:insight@cumbria.ac.uk) must be notified as soon as possible when the output is first published (online first or in print), and the metadata record must be updated, including date of publication and embargo period. Notification should take place within two weeks of publication. Where possible, please alert *Insight* of anticipated publication dates ahead of time.
  - Academic staff are strongly encouraged to deposit other forms of research output and scholarly communications (e.g. book chapters, research reports, practice based research) and non-textual

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<sup>7</sup> Conference proceedings with an International Standard Book Number (ISBN) or as part of a book series with ISSN are not required to comply with the open access requirements.

<sup>8</sup> Where there is more than one University of Cumbria co-author, arrangements must be made within the research team as to who will be responsible for the deposit of the output. This would normally be the lead or corresponding author.

<sup>9</sup> Where the lead or corresponding author is not a member of Cumbria staff, arrangements must be made for notification of acceptance to take place as soon as possible. The member of Cumbria staff remains responsible for meeting the requirements of this policy.

material within the repository. Where this is not possible, a metadata record should be provided at minimum.

- Individual members of academic staff and individual outputs which do not comply with this open access policy will not be considered for selection for the next Research Excellence Framework (REF). HEFCE have mandated that outputs which do not meet the open access requirements will not be eligible for REF. Our institutional selection decisions will therefore be made on the basis of compliant outputs only, and will not consider the quality of outputs which are not made openly accessible in line with the requirements set out in this policy. Outputs made accessible retrospectively will not be considered.
- Academic staff must be able to provide evidence of the date of acceptance for journal articles and conference proceedings, as confirmation will be sought through Departments that this policy is being followed.

Please see the additional guidance provided by Information Services on the [open access publishing process](#). If you have any queries about how to comply with the policy, please contact:

- [insight@cumbria.ac.uk](mailto:insight@cumbria.ac.uk) OR
- [research.office@cumbria.ac.uk](mailto:research.office@cumbria.ac.uk)

## **6. Equality, Diversity and Inclusion**

The Equality Act 2010 covers the “protected characteristics” of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief (including lack of belief), sex and sexual orientation. The University has developed a Single Equality Scheme and Equality Objectives to implement the Equality Act within the University practices and procedures.

Within the Equality Act it remains permissible to treat a disabled person more favourably than a non-disabled person. It remains lawful to make reasonable adjustments in relation to employment, education and services to ensure that there is true equality of opportunity for disabled people.

This policy and its implementation will be monitored, as appropriate, in line with relevant legislation for its impact on different equality groups. This process will provide a check on whether there are any differences and allow the University to assess whether these differences have an adverse impact on any particular group such that appropriate action is taken.

## **7. Records Management**

The records associated with this policy are controlled by Information Services and Research Office and will be created, stored and disposed of in line with the University’s Records Management guidelines and procedures.

The University is committed to complying with the requirements of Data Protection legislation and regulations and any personal data created as part of this policy will be processed in accordance with the University’s Data Protection Act procedures. This includes ensuring that data is held securely, is not disclosed unlawfully and is destroyed when no longer needed.

The University also aims to ensure that users of this policy are aware of Data Protection, Freedom of Information and Records Management issues associated with this policy.

## **8. Risk Management**

It is the responsibility of the individual to ensure that they are not in breach of copyright law by depositing text into Insight. Guidance on checking publisher policy and its compliance with this policy is provided by Information Services.

## 9. Roles and Responsibilities

<i>Responsible person</i>	<i>Responsibilities</i>
Research Office	<ul style="list-style-type: none"> <li>• To monitor external compliance issues relating to open access, and provide advice on REF and funder eligibility.</li> <li>• To provide advice on suitable publication routes.</li> </ul>
Information Services	<ul style="list-style-type: none"> <li>• To deliver open access awareness and Insight training workshops as part of the Researcher Development Programme and as required by academic departments.</li> <li>• To provide advice and guidance on publisher policies and compliance with these.</li> <li>• To provide advice on suitable publication routes.</li> <li>• To provide support in deposit of metadata and full text on the Insight repository.</li> <li>• To monitor and negotiate additional repository functionalities to automate deposit processes, and input into updates to the policy accordingly.</li> </ul>
Managers	<ul style="list-style-type: none"> <li>• Ensure that all academic staff are aware of the policy and its implications for REF selection.</li> <li>• Support monitoring of compliance.</li> </ul>
Academic staff members	<ul style="list-style-type: none"> <li>• To ensure that they understand the requirements of the open access policy,</li> <li>• That they act in compliance with the policy, choosing compliant publication routes where possible and following the requirements to discuss and log exceptions if necessary.</li> <li>• To create metadata records and deposit author accepted manuscripts within the timeframes outlined within the policy.</li> </ul>

**POLICY DOCUMENT CONTROL SCHEDULE**

*All University of Cumbria Policies must include a completed Policy Document Control Schedule consisting of the Policy Schedule (see front cover), Review Schedule and Drafting Schedule (see below) which should be completed as appropriate.*

<b>REVIEW SCHEDULE</b>				
Review no.	Due date	Reviewed by	Approved by	Completion date
To version 1.1	September 2015 due to changes in HEFCE policy	Research Office	Margaret Weaver, notified to REC	
To Version 1.2	March 2017 due to changes in infrastructure and HEFCE policy	Research Office and Information Services (James Stephens, Anna Lupton and Alison Lundbeck)	Diane Cox and Colin Coghill	

<b>DRAFTING SCHEDULE</b>	
Draft no.	Date
0.1	July 2014
0.2	October 2014
0.3	November 2014
0.4	December 2014
0.5	January 2015
Final Version	
1.0	11/06/2015