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Open Access Policy

1. Introduction

1.1 The University is committed to making research outputs openly accessible via its institutional repository at the earliest opportunity to maximise the visibility and impact of research, recognising that there will be instances where ethical or contractual restrictions apply.

1.2 Specifically the University:

a. Engages with models of open access which offer transparent and appropriate pricing, and fully offset costs where a hybrid of subscription and open access charges apply.

b. Supports innovation in scholarly communication where this leads to effective dissemination and reuse of high quality research, including information to facilitate the public understanding of research.

c. Requires that all outputs are made available with an appropriate licence for reuse and that this licence maximises the reuse of the output where it is possible to do so.

d. Supports interoperability with external systems and commitment to metadata standards; to facilitate data exchange, eliminate duplication of effort and ensure efficient use of resources.

2. Scope

2.1 This policy applies to all researchers, which means any person publishing and/or disseminating research outputs which shall include but not be limited to employees, workers, visiting researchers, postgraduate research students.

2.2 The following research outputs **must** be deposited and made publically available in the University's institutional repository:

a. the bibliographic metadata of all forms of published output, so there is a comprehensive record of research activity;

b. the final, refereed, corrected, accepted manuscripts of all peer-reviewed journal articles and peer-reviewed conference articles **at the point of acceptance** for publication;

c. research work submitted as a thesis for a higher degree as set out in the University's *Higher Degree Regulations*;

d. if it is not suitable for an established disciplinary or other external repository, research data identified as significant under the University's *Research Data Management Policy*, including data underpinning publications;

e. other forms of research output not suitable for an established disciplinary or other external repository, where open access is specified by a funding body as a condition of award;

f. outputs which the University issues with an ISSN, ISBN or DOI.

2.3 Deposit of other forms of research outputs in the University's institutional repository **are encouraged**, subject to publishers' restrictions, which include:

a. "pre-print", pre-refereed drafts of articles where this will not limit future publication opportunities;

b. post publication updates and corrections;

c. research data where there is a requirement to monitor access or have specific storage requirements met by our institutional repository;

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    d.   conference and workshop papers;

    e.   books, book chapters, monographs, reports and working papers;

    f.   image, video and audio representations of creative works.

3. Responsibility for Deposit and Reporting on Research Outputs

3.1

    a.   The Research and Enterprise Executive Group (REEG), has responsibility for the oversight of this policy, to monitor compliance with it and to ensure the University meets the open access requirements of its funding bodies.

    b.   REEG will liaise with the Research and Academic Systems Board and advise the University on the functionality of systems required to support the implementation of this policy and/or mandatory reporting requirements on open access, which the University may be required to implement from time to time.

3.2   The Library

The Library will:

    a.   ensure that all appropriate research outputs are assigned a resource identifier to support long-term access. This includes DOIs as appropriate, for data, theses, working/technical papers and reports.

    b.   provide guidance on appropriate curation, archiving and storage to preserve outputs in the long term.

    c.   work with Researchers to help ensure that appropriate embargo periods are placed on deposited items and any restrictions and licence requirements for research outputs are met.

    d.   Work with Faculties to provide support and training to Researchers and research support staff to ensure awareness of this policy and of the open access requirements of its funding bodies.

    e.   Provide timely reports of deposited and published outputs, where this information is readily publicly available, to assist Faculties in monitoring compliance with this policy.

3.3   Faculties

    a.   Deans, through their Associate Deans of Research, will monitor their Faculty's compliance with this policy.

    b.   All Researchers must follow the principles of this policy in order to maximise the accuracy, timeliness and quality of data collected and recorded, analysed and reported.

    c.   All Researchers must clear rights to their outputs as set out in section 4 below.

    d.   All Researchers should work with their Finance colleagues to ensure that costs for open access are factored into grants where this is required by the funding body.

4. Responsibility for Clearing Rights

4.1   Researchers are responsible for ensuring that they have cleared the rights that any third parties may hold in a work (e.g. copyright of co-authors), before depositing that work or allowing another person to deposit that work on their behalf, in the repository.

5. Grant of Rights on Deposit

5.1   To meet these policy objectives, Researchers agree to grant to the University a non-exclusive, worldwide, royalty free right to use their research outputs upon depositing or authorising the

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deposit of works in the repository in accordance with the terms of the University's *Deposit Licence*, as may be amended from time to time.

6. Use of Research Outputs for Research Assessment

6.1 The deposited records and outputs may be used for internal review of research performance, modelling profiles and submitting information for external review e.g. the Research Excellence Framework.

6.2 Any confidential information which relates to deposited outputs and/or metadata will be subject to appropriate levels of restricted access.

7. Monitoring Compliance and Review

7.1 This policy will be subject to periodic audit and review by REEG, to provide assurance to Senate that they remain fit for purpose.

7.2 This Policy will be reviewed at least every two years or as appropriate to respond to changes in relevant legislation or national guidance.

8. Educational and Training Needs Analysis

8.1 Researchers will be made aware of procedural document updates as they occur via team briefs, team meetings and notification via the intranet.

8.2 A current version of this policy is available to all members of staff and students online in the University Calendar.

9. Equality Impact Assessment

This policy applies irrespective of age, race, colour, religion, disability, nationality, ethnic origin, gender, sexual orientation or marital status, domestic circumstances, social and employment status, HIV status, gender reassignment, political affiliation or trade union membership. In implementing this policy, the University will implement reasonable adjustments where appropriate.

10. Related Policies

10.1 *Intellectual Property Regulations*

10.2 University's *Higher Degree Regulations*

10.3 *Research Data Management Policy*

10.4 Registration of DOIs via *DataCite*

Reviewed in June 2016; no changes made
Reviewed/updated in July 2017