

# Lancaster University Open Access Policy

**The Lancaster University Open Access policy requires that, from 1<sup>st</sup> May 2015, a record of all new research outputs be deposited in Pure. For all peer-reviewed journal articles and published conference papers, this must include deposit of the author's final accepted, peer-reviewed manuscript within 3 months of acceptance for publication (except where the gold open access route has been chosen).**

## Introduction

Lancaster University is committed to ensuring that the outputs of our research are made readily available to anyone who would benefit from them. Providing open access to our research outputs supports our institutional priority to produce world-class research that changes practice and thinking.

By promoting open access to research through this policy we aim to:

- Maximise visibility of our researchers and the outputs of their research.
- Promote access to research outputs to achieve the greatest impact.
- Ensure we comply with HEFCE OA requirements for submission of research outputs in the post-2014 REF.
- Meet RCUK, European Commission and other funder requirements, ensuring that we continue to increase our capacity for attracting funding.
- Facilitate long term storage and preservation of research outputs

The primary responsibility for ensuring open access to research outputs lies with individual researchers and the requirements outlined below apply to staff and research students. However, this policy also identifies the processes and institutional support that contribute to effective management of open access to Lancaster University publications. Increasingly, research funders are placing expectations of open access not only to publications but also to underlying data. Guidance on research data management requirements is provided in our Research Data Policy, and should be referred to alongside this document.

## Policy

The policy requires that researchers:

- 1) **Plan for open access publishing:** Discuss with collaborators early in a project how to approach publication of results in a manner that is consistent with OA policy requirements.
- 2) **Choose outlets for publication that maximise impact and promote open access:** Select outlets that will maximise the impact of their research, considering factors such as visibility and citation count as well as broader measures and ways to generate real impact, and seek to use those that allow early release of publications into the open access arena.
- 3) **Comply with funder policies:** Maintain awareness of and comply with funder policies relating to open access and research data management, being mindful of funder's requirements relating to maximum embargo periods, licencing requirements and any requirement for deposit on specific repositories.
- 4) **Acknowledge funding and identify how research data can be accessed:** Acknowledge sources of grant funding in their outputs and identify where and how associated research data can be accessed.
- 5) **Acknowledge affiliation to Lancaster University**
- 6) **Record bibliographic details of all research outputs on Pure:** Record bibliographic details as soon as possible and, for published works, no later than 3 months after the date of acceptance for publication. For further guidance on understanding acceptance dates refer to appendix.
- 7) **Deposit peer-reviewed journal articles and published conference papers within 3 months of acceptance for publication:** Deposit a copy of the author's final accepted, peer-reviewed manuscript within 3 months of acceptance for publication. An embargo on public access can be applied at the point of deposit to comply with publisher requirements (see appendix for guidance on funder maximum embargo periods). An exception applies where the output has been published via the Gold route, so a deposit is not required in Pure. Deposit on subject repositories such as arXiv must be accompanied by a similar deposit in Pure, either through importing records or manually creating them. Deposit of monographs, books and other research outputs is not required but is encouraged where this is permitted by publishers.
- 8) **Deposit postgraduate research theses:** Postgraduate research students who registered during or after 2011 are required to deposit the final, corrected version of their thesis on Pure as part of the submission process.
- 9) **Apply the most open licence to research outputs:** Where publisher's copyright permissions allow and there are no confidentiality or commercial constraints, the research outputs deposited on Pure should be made accessible under a licence that promotes reading and re-use; for journal articles and conference papers this must be either CC-BY or CC-BY-NC (see appendix for further guidance on licences)
- 10) **Seek to retain copyright:** Seek to retain copyright and other reuse rights for research outputs in contracts with collaborators, funders and publishers.

**Processes for monitoring compliance will be developed alongside this policy, along with agreement on actions for non-compliance; noncompliance will lead to research outputs being ineligible for submission to the REF and thus may be viewed as a regulatory breach which may ultimately become a disciplinary matter. The policy complements and should be considered alongside the following:**

Research data policy <http://www.lancaster.ac.uk/library/rdm/policy>

Manual of Academic regulations and procedures

<https://gap.lancs.ac.uk/ASQ/QAE/MARP/Pages/default.aspx> Research

ethics procedures and code of practice

<http://www.lancaster.ac.uk/depts/research/lancaster/New%20ethics%20docs/Ethics-procedures%20Senate.pdf>

Intellectual property development <http://www.lancaster.ac.uk/researchenterprise/property.htm>

## Exceptions

In rare cases, providing open access to research outputs may not be possible, either because of publisher restrictions on access, because of the nature of the research output or recognised personal exceptions. Such cases may be treated as an exception to this policy provided that:

- 1) A case has been approved by the researcher's Associate Dean for Research prior to submission for publication. The Associate Dean for Research will usually make this decision by bringing these cases forward for the consideration of the Research, Open Access, Data Management and Pure (ROADMaP) group, unless it is a straight forward case which the Associate Dean for Research can make a decision on without discussion at the ROADMaP group.
- 2) A record of the research output is still entered on Pure with the accompanying author accepted manuscript (as a 'restricted access' or 'confidential' deposit) where this is permitted.

## Funding

The University recommends and supports 'Green' open access through deposit on our institutional repository via Pure. In circumstances where publisher restrictions prevent compliance with funder OA requirements the University will establish a process by which significant research outputs may be supported for immediate open access publication (Gold Open Access).

In these circumstances and where funding is made available to support open access costs by the research funder, researchers must:

- ensure that funding for publication and Open Access is included in research grant proposals where costs will be incurred and this is acceptable to the funder
- maximise use of money available from funders, including RCUK institutional funding, to enable publication in high quality peer reviewed open access publishing outlets ('Gold' open access)

## Scope

This policy takes effect from 1<sup>st</sup> May 2015. It applies to all members of staff employed by Lancaster University and all postgraduate research students studying for PhD, DClínPsy, MD, DEng, and MPhil awards.

## Guidance and Monitoring

The Library and Research and Contracts Support Office (RCSO) will provide information and guidance on all aspects of open access publishing, including funder requirements, access to funding, deposit on Pure and copyright.

The University will monitor the extent of open access publishing across Departments and Faculties, based on records of deposits on Pure.

## Open Access Policy Governance

The Open Access Policy is produced and maintained and its implementation monitored by the Research, Open Access, Data Management and Pure (ROADMaP) steering group, and is supported by the University Research Committee. Senate approved the overall policy in February 2015. Minor amendments will be agreed through ROADMaP and reported to Research Committee.

## Summary of Responsibilities

Responsibility for implementation of this policy is shared by individuals and groups across the University and is broadly summarised below.

- |                                |  |
|--------------------------------|--|
| <b>Researchers</b>             | <ul style="list-style-type: none"><li>• Ensuring that information about their research outputs and deposits are submitted to Pure in accordance with this policy</li></ul>   |
| <b>Principal Investigators</b> | <ul style="list-style-type: none"><li>• Ensuring that requirements on dissemination of research made by any external funders are met in full</li></ul>   |
| <b>Supervisors</b>             | <ul style="list-style-type: none"><li>• Ensuring Research students are aware of the requirement to submit an electronic copy of their thesis and meet the requirements of the OA policy.</li><li>• Informing and supporting students in making decisions about embargos and exceptions related to open access publishing.</li></ul>  |
| <b>Heads of Departments</b>    | <ul style="list-style-type: none"><li>• Ensuring staff in their department are aware of and engage with the Open Access policy and procedures.</li></ul>   |
| <b>The University</b>          | <ul style="list-style-type: none"><li>• maintaining and developing infrastructure and services to promote Open Access</li><li>• establishing expertise in licensing and other support in order to advise staff on handling contracts with publishers</li><li>• providing a validation service for outputs that are being placed in PURE</li><li>• monitoring and provide internal and external reporting on compliance with OA requirements</li><li>• arranging deposit of theses in the national EThOS service</li><li>• ensuring that funding contracts are consistent with our approaches to publication of results</li></ul> |

## **Appendix**

### **Definitions**

#### **Open Access**

Open Access refers to the provision of outputs of research electronically, immediately and without charge for access, copying and reuse. The terms under which outputs are made available are usually indicated by applying an Open Access licence.

#### **Gold Open Access and Green Open Access**

Open Access is frequently described as Gold or Green depending on the means by which it is achieved. Gold Open Access refers to the immediate online access to a published version of an output, made available by a publisher following payment of an article processing charge (APC). This may or may not be accompanied by a print version of the output in a subscription journal. Green Open Access involves making a research output available via an institutional or subject repository. Most publishers will allow deposit of the author accepted manuscript and in some cases a publisher PDF. They may require that an embargo is placed on the document becoming publicly available. As a general principle progress to the most sustainable model for publishing across the sector should be encouraged.

#### **Peer-reviewed Journal or conference paper**

In the context of this policy, a peer-reviewed journal article refers to an article that is published in a scholarly journal, either in print or online, after a recognised process of peer-review, i.e. evaluated by one or more experts in the field to determine suitability for publication. Conference papers referred to in this policy will have been published with either an ISSN or ISBN as part of a conference proceedings or scholarly volume after presentation at a conference (conferences that publish books or book-like outputs are out of the scope of the policy). They will have been “peer-reviewed” as part of the selection process either for presentation or publication.

#### **Article Processing Charge**

An Article Processing Charge (or APC) is a fee paid to publishers, by or on behalf of authors, for the open access publication of an article via the gold route. The University receives a block fund from RCUK to fund payment of APCs for all outputs that have arisen from research funded by one of the research councils. In some cases funders (e.g. Horizon 2020) will ask researchers to include costs of open access publication as part of the grant proposal. Further details can be found and applications for funding made at <http://www.lancaster.ac.uk/library/open-access/funding/>

#### **Author Accepted Manuscript**

The author’s final accepted, peer-reviewed manuscript or author accepted manuscript is the version of an article that has been accepted for publication by the publisher following any changes that were made in response to the recommendations resulting from peer review. It will not have any publisher formatting applied and in this respect is distinct from the publisher PDF. It may also be referred to as the post-print.

## Pure

Pure is the research information system used at Lancaster University to hold information about its researchers, their research activities and outputs. Records of research outputs and associated documents (e.g. journal articles or conference papers) deposited on Pure can be made publicly available via the associated institutional repository. Data held in Pure are used to generate staff profiles on University web pages. Pure can also be used to deposit the underlying research data associated with a publication.

## Bibliographic records / Metadata

In the context of this policy, metadata refers to a set of data that describes the research output and any associated underlying research data. It is similar to a bibliographic record, including information such as article title, author(s), journal title, volume, publication date, associated projects, Digital Object Identifiers (DOIs), etc. As a minimum, the metadata record for a research output should enable its discovery via a search engine, distinguishing it from other similar outputs and providing the location of the published version.

## Open Access Licences

Open Access publications are still protected by copyright and this usually resides either with the author(s) or the publisher of a work depending on the terms of the publication agreement. However, to be considered Open Access, certain rights must be granted for third parties to access, make copies of and re-use the content. The most common types of licences used are Creative Commons (CC) licences; the version of CC licence applied defines the terms under which a research output can be used. Publisher agreements may indicate which CC licences can be used for deposits on an institutional or subject repository. Where publisher agreements permit and there are no confidentiality or commercial constraints, this policy requires that the CC-BY or CC-BY-NC licence is applied.

**CC-BY**            **Attribution.** This licence lets others distribute, remix, tweak, and build upon your work, even commercially, provided they credit you for the original creation and clearly indicate that changes were made to your work.

**CC-BY-NC**        **Attribution Non-Commercial.** This licence allows similar use to the CC-BY licence provided that this is for non-commercial purposes. Although new works must also acknowledge the author and be non-commercial, they do not have to license their derivative works on the same terms.

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## Date of acceptance

For the purpose of this policy, the date of acceptance is defined as the date on which the author receives notification from the Publisher that their peer-reviewed manuscript has been accepted for publication. The proposed date of publication may not be known at this time and the manuscript may

be subject to further minor changes not associated with the peer-review process (e.g. copy-editing as figures become finalised).

### **Date of publication**

The date of publication is classed as the first date on which an output becomes available. Journal articles often have an official publication date when they are available in print but also have an earlier date from which they can be access online, sometimes called an "early-online" date. In this case, the date on which the article first appeared online is recognised as the date of publication.

### **Embargo periods**

Where a publisher allows deposit of an author accepted manuscript or Publisher PDF on an institutional repository they may define an embargo period during which the deposit must be restricted from public access. Funders of research stipulate in turn what they consider to be acceptable embargo periods for Open Access. Researchers can use the SHERPA/FACT tool (<http://www.sherpa.ac.uk/fact/>) to check if journals in which they wish to publish comply with their funder's requirements for open access.

### **Funder policies**

This policy will be operated in fulfilment of University requirements under the following policies: HEFCE

Open Access policy <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy/>

RCUK Open Access policy <http://www.rcuk.ac.uk/research/openaccess/>

Horizon 2020 Open Access and Research Data Guidelines

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf)

As well as relevant national legislation such as the Data Protection Act.

### **Further information, guidance and support**

Further information on open access requirements, application for RCUK open access funding and procedures for depositing research outputs on Pure are available at:

<http://www.lancaster.ac.uk/library/open-access/>

Enquiries about open access publishing can be sent to [openaccess@lancaster.ac.uk](mailto:openaccess@lancaster.ac.uk)

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