

OPEN ACCESS POLICY FOR RESEARCH OUTPUTS

1 **Background and Purpose**

The University of Northampton's Strategic Plan '*Transforming Lives – Inspiring Change*'¹ and its '2020:200:20' research operating plan recognise a need to increase institutional research income, output and impact. Providing open access (OA) to University research is fundamental to this ambition and a natural fit with the University's social impact agenda.

Those interested in attracting external funding will know that the major funders such as RCUK have for some years had robust OA policies², making it a condition of funding that outputs they have funded should be made freely available. More recently, HEFCE has announced an OA policy³ which requires authors to make their articles and conference proceedings OA if they hope to submit them to the next Research Excellence Framework (REF). Compliance with these policies is not optional; it is essential.

Research and Enterprise Committee has previously (11th June 2014) discussed mechanisms for achieving OA, opting for the 'green' route (i.e. deposit of full content in NECTAR⁴, the University's institutional repository) as its preferred method. NECTAR is indexed by Google Scholar and other general and specialist search engines so works deposited there are highly discoverable.

By increasing the visibility of University research to a much wider audience, the potential for both scholarly and non-scholarly impact is enhanced, increasing the likelihood of citation and raising the profile of both the individual and the institution.

The purpose of this document is to clarify the University's OA policy and the steps necessary to achieve this.

2 **Organisational Scope**

This is an institutional policy which applies to all research outputs as described below.

3 **Definitions**

Article Processing Charge (APC)	A fee paid to a publisher to ensure an article is made open access on publication.
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¹ [http://www.northampton.ac.uk/Downloads/Strategic Plan 2015-2020.pdf](http://www.northampton.ac.uk/Downloads/Strategic%20Plan%202015-2020.pdf)

² <http://www.rcuk.ac.uk/research/openaccess/>

³ <http://www.hefce.ac.uk/rsrch/oa/Policy/>

⁴ <http://nectar.northampton.ac.uk/>

Creative Commons (CC) Licence	Creative Commons licences ⁵ enable copyright owners to give permissions to copy and disseminate (sometimes with limitations) to other people wishing to use their work. Some fund holders are expected to make their outputs available with specific CC licences as a condition of their award.
Embargo period	A period of time, post publication, in which a research output may not be made OA in a repository. The length of an embargo is set by the copyright holder (usually a publisher) and should be no more than 12 months for STEM subjects or 24 months for the arts, humanities and social sciences.
'Gold' route to OA	Publication either in a fully open access journal or a 'hybrid' journal which offers an open access option. The publisher makes the text open access immediately on publication. A fee (or Article processing Charge (APC)) may be payable.
'Green' route to OA	Publication in a traditional (subscription) journal followed by deposit of a permitted version of the full text in an open access subject or institutional repository (such as NECTAR). An embargo period may apply.
HEFCE OA policy	HEFCE's OA policy states that: <i>"to be eligible for submission to the post-2014 REF, authors' final peer-reviewed manuscripts must have been deposited in an institutional or subject repository. Deposited material should be discoverable, and free to read and download, for anyone with an internet connection. The requirement applies only to journal articles and conference proceedings with an International Standard Serial Number."</i> (HEFCE, 2015) ⁶ The policy applies to research outputs accepted for publication after 1 st April 2016. Deposit of metadata and the accepted version of a paper into NECTAR (subject to embargo) within three months of acceptance will satisfy HEFCE's requirement.
NECTAR	Northampton Electronic Collection of Theses and Research; the University's open access institutional repository.
Open Access	<i>"Open Access is the free, immediate, online availability of research articles, coupled with the rights to use these articles fully in the digital environment."</i> (SPARC, 2013) ⁷
ORCID	A unique and persistent digital identifier which distinguishes a researcher from other researchers of the same name. An ORCID ⁸ is useful for linking researchers to their projects and outputs and supports the production of accurate research metrics.
Research output	The externally disseminated product of a research process. Includes publications, presentations, patents, performances, exhibitions, compositions and other discipline-specific outputs.
SHERPA/	A widely used tool for establishing publishers' copyright

⁵ <https://creativecommons.org/licenses/>

⁶ <http://www.hefce.ac.uk/rsrch/oa/Policy/>

⁷ <http://www.sparc.arl.org/issues/open-access>

⁸ <http://orcid.org/>

RoMEO	and 'self-archiving' policies i.e., whether and under which conditions an author may deposit their work in a repository. SHERPA/RoMEO ⁹ also has useful links to related information on publishers' websites.
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4 **Policy Statement**

The University supports the principle of open access and expects researchers to share their research outputs freely, subject to legal, ethical, commercial or contractual constraints.

From 1st April 2016:

- All researchers will record bibliographic details of their research outputs in NECTAR within three months of the date of acceptance for publication, presentation or other dissemination in the public arena.
- The authors of **journal articles** and **conference proceedings** will upload the accepted full text copies of their work to NECTAR within three months of acceptance for publication.
- The full content of **other research outputs** should be deposited In NECTAR as soon as possible.
- All full content will be made openly available immediately or following the expiry of an agreed embargo period.

5 **Guidance**

5.1 Compliance with OA policy

- 5.1.1 *OA and the REF*: All researchers should be aware of and comply with HEFCE's open access policy¹⁰. Failure to do so means that outputs will not be eligible for submission to the next REF.
- 5.1.2 *Other funders' OA requirements*: All funded researchers should be aware of their own funders' open access policies and take steps to comply with these. This includes acknowledging the source of funding within each published output as well as in the output's metadata record in NECTAR.
- 5.1.3 *Paying for 'Gold' open access*: If appropriate, bids for funding should include the cost of article processing charges (APCs). Otherwise, since the University has no internal funding to pay APCs, it expects researchers to follow the 'green' route to OA.
- 5.1.4 *Licensing*: The University does not mandate a particular licence for published work, but in the absence of a specific funder requirement, researchers are encouraged to apply the Creative Commons CC BY-NC-ND licence to their works. The LLS Research Support Team (Nick Dimmock and Miggie Pickton) can assist if researchers are unfamiliar about how to apply CC licences.

⁹ <http://www.sherpa.ac.uk/romeo/>

¹⁰ <http://www.hefce.ac.uk/rsrch/oa/Policy/>

5.2 Identification

5.2.1 *Affiliation*: When publishing research outputs, authors should use the standard institutional affiliation: "The University of Northampton". This is to ensure all university research outputs are appropriately credited to the author and institution and will be counted in bibliometric measures.

5.2.2 *ORCID identifiers*: It is recommended that researchers register for an individual ORCID identifier and include this when applying for grants, when submitting work for publication and when depositing outputs in NECTAR. This will ensure the individual is credited for all their work.

5.3 Publication

5.3.1 *Publishers' self-archiving policies*: The SHERPA/RoMEO¹¹ tool is a useful starting point for establishing whether a journal will allow deposit in NECTAR. Researchers are encouraged to use SHERPA/RoMEO when considering a journal for publication.

5.3.2 *Embargo periods*: It is recognised that publishers may apply an embargo period during which authors are not permitted to make their papers OA. HEFCE requires that embargo periods should not exceed 12 months for outputs in STEM subjects or 24 months for social sciences, arts and humanities. Researchers are encouraged to avoid publishing in journals which do not meet these criteria.

5.3.3 *Versions*: Researchers are encouraged to keep the following versions of their published papers: the originally submitted version; the accepted (post refereeing) version; and the publisher's final version (usually a PDF). This is to facilitate compliance with publishers' self-archiving policies.

5.4 Deposit in NECTAR

5.4.1 *Deposit on acceptance*: The University OA policy requires researchers to deposit metadata and full content in NECTAR within three months of acceptance for publication. This is to ensure compliance with HEFCE's OA policy. Authors may be asked to upload evidence of acceptance.

5.4.2 *Processing of metadata*: Following deposit of a research output in NECTAR, the LLS NECTAR team will check the metadata, add subject headings and make the metadata record live.

5.4.3 *Processing of full text*: Following deposit of full text in NECTAR, the LLS NECTAR Team will establish the publisher's self archiving policy and any embargo period required. A cover sheet will be added to the output, displaying bibliographic details of the item and other information as required by the copyright owner. The item will go live either immediately or on the expiry of the embargo period. These actions ensure compatibility with HEFCE's requirements for discoverability and access.

5.4.4 *Update of metadata*: It is likely that full and accurate metadata will not be available at the point of acceptance. Researchers are therefore asked to notify the LLS NECTAR team (NECTAR@northampton.ac.uk) as soon as an item is finally

¹¹ <http://www.sherpa.ac.uk/romeo/>

published so the metadata and embargo details can be updated on their behalf.

- 5.4.5 *Support for deposit in NECTAR*: support is available from the LLS Research Support Team. The team can advise on copyright, versions, embargo periods, licences, policy developments and other matters relating to Open Access. Further information about Open Access is published regularly in the Research Support Hub web pages¹².

6 Related University policies

NECTAR submission, metadata, content, data and preservation policies¹³
PGR thesis and examination policy¹⁴
Research data policy¹⁵
University Intellectual Property policy¹⁶

7 Approval Process

The Chair of the Research and Enterprise Committee considered this Policy on 21st August 2015.

8 Policy Review

Given the rapidly changing nature of the scholarly communications environment, this Open Access policy shall be reviewed after 12 months and then as agreed by the Research and Enterprise Committee.

¹² <http://researchsupporthub.northampton.ac.uk/tag/open-access/>

¹³ <http://nectar.northampton.ac.uk/policies.html#content>

¹⁴ <http://tundrasearch.northampton.ac.uk/results/showimage.aspx?index=1183937>

¹⁵ <http://tundrasearch.northampton.ac.uk/results/showimage.aspx?index=649702>

¹⁶ <https://tundra2.northampton.ac.uk/otcs/livelink.exe/Open/651163>