



OPEN ACCESS POLICY

Supporting information

Definitions

Author. For the purposes of this Policy, a creator of intellectual property.

Open access. Making research outputs freely available online, instead of requiring payment in order to view them.

Institutional repository. An online database of research conducted at an institution, containing both metadata and full text records. Bath Spa University's repository is ResearchSPAcE.

"Green" open access. Where a research output has been licensed to a publisher, the publisher allows a draft version of the work to be deposited in an open access repository without cost to the institution. Publishers sometimes impose an embargo that delays the release of the "green" open access version.

"Gold" open access. Where a research output has been licensed to a publisher, the publisher allows the final, published version of the work to be immediately made openly accessible upon payment (usually by the institution) of an "article processing charge" (APC).

Metadata. Broadly, "data about data". In open access terms this means descriptive information about a research output:- author, title, publisher, date of publication or exhibition, etc.

Full text. Where metadata is "data about data", a full text deposit is the actual data or research output itself, eg a journal article, book, or paper. Full text objects are often mentioned alongside non-textual equivalents such as digital images, video or sound files.

Post-print. A draft version of the full-text research output that has been through the peer-review process. Many publishers now allow the 'post-print' to be deposited in a repository, but not the final version which they have typeset and published.

Key points of the HEFCE Policy for Open Access in the post-2014 Research Excellence Framework

Short timescale for deposit. The final, peer-reviewed version of all journal articles and conference proceedings (with ISSNs) must be deposited into ResearchSPAcE *"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)." **A work will be inadmissible to the REF if this deadline is missed.**

All draft versions of an article or paper should be retained. In particular, the 'post-print' draft of an article or conference paper may be the only version that is both acceptable to HEFCE and a publisher agreement that restricts what can be deposited in ResearchSPAcE.

Draft versions should be retained in a searchable format (such as a Word document). HEFCE state that outputs "*must be presented in a form that allows anyone with internet access to search electronically within the text.*"

The acceptance date must be recorded. Academic staff must record in ResearchSPAcE the date when their research is accepted for publication. This information is required for HEFCE's "verification and audit process".

Articles or papers still have to be uploaded even where a publication does not allow open access deposit. These will be stored under "closed access" (no public access). Such publications should only be used where they are "*the most appropriate publication for the output*".

This summary should not be regarded as a substitute for the actual policy itself, which is available at:-

<http://www.hefce.ac.uk/pubs/year/2014/201407/>

Further guidance

Ask the Repository Manager (researchspace@bathspa.ac.uk)

View Open access FAQs

1. Principles

1.1.

Bath Spa University is committed to the principle that scholarly research should be made freely available online.

1.2.

We believe that open access publication will benefit the institution, its academic community, and society at large by making our research visible and accessible.

1.3.

Our preference is for “Green” open access, where publisher agreements allow a version of research outputs to be disseminated via the institutional repository, ResearchSPAcE.

1.4.

We welcome “Gold” open access where research funders reflect the cost of this publishing model in their grant awards.

1.5.

Bath Spa University values the relationships built between our academic community and the creative industries. We do not require creative outputs (2.3) to be made openly accessible where this would conflict with contractual obligations, commercial interests, or performing/mechanical rights.

2. Policy

2.1. Metadata

Bath Spa University requires that academic staff enter a description of all new research outputs in ResearchSPAcE, in order to build a comprehensive institutional record of research activity.

This requirement only applies to the types of research outputs that are defined by the [ResearchSPAcE Content Policy](#).

2.1.1. Exceptions:

- a) Where academic staff prefer, research outputs do not need to be recorded in ResearchSPAcE if these outputs have been produced outside University contracted working hours and without the support of University funding or resources. Registration of metadata in ResearchSPAcE is encouraged as outputs will not otherwise be visible to the RKECC Annual Monitoring process.
- b) Further one-off exceptions may be agreed at the University’s discretion, for example if the publication of metadata would breach national security or confidentiality agreements.

2.2. Journal articles and conference proceedings with an International Standard Serial Number (ISSN)

Bath Spa University has implemented the HEFCE Policy for Open Access in the post-2014 Research Excellence Framework.

2.2.1.

The University requires that academic staff deposit into ResearchSPAcE the 'post-print' version of all journal articles and conference proceedings (with ISSNs) in accordance with the terms of the HEFCE Policy for Open Access.

2.2.2.

Where such outputs can be made openly accessible, academic staff will be required to sign the [ResearchSPAcE Deposit Licence](#) as part of the deposit process. This Licence is 'non-exclusive', which means it "does not prevent you exercising any rights you might have to publish the material, in its present or future versions, elsewhere." Authors' rights are further protected by the repository [Data Policy](#).

2.3. Other research outputs

Where possible (exceptions are described in 2.3.3), Bath Spa University requires that academic staff deposit into ResearchSPAcE the full text, or non-textual equivalent, of research outputs *other than* journal articles and conference proceedings (with ISSNs).

For clarity, this requirement may apply to scholarly books, book chapters, reports or papers, images of exhibited art or design work, printed music, video and sound files.

This requirement only applies to the types of research outputs that are defined by the ResearchSPAcE Content Policy and only where these outputs have been published, disseminated, or made publicly available.

2.3.1. Version:-

- a) For peer-reviewed or edited publications, the uploaded research output should be as close to the final published version as permitted by any publisher agreement (ie the 'post-print').
- b) For images, resolution may be lowered to a minimum of 72 dpi at 10 sq cm size as an additional technical protection.
- c) Work uploaded to a stable video-sharing platform, such as YouTube, can be embedded within a ResearchSPAcE record. These embedded links are accepted as an alternative form of deposit.

2.3.2. Deposit Licence:-

Academic staff will be required to sign the ResearchSPAcE Deposit Licence as part of the deposit process. This Licence is 'non-exclusive', which means it "does not prevent you exercising any rights you might have to publish the material, in its present or future versions, elsewhere." Authors' rights are further protected by the repository [Data Policy](#).

2.3.3. Exceptions:-

- a) Where the author is bound by intellectual property rights, licences, or agreements that prevent the deposit of the output in an open access repository. Examples include, but are not limited to:-
- publisher agreements
 - uncleared 3rd party rights within the work, including joint authorship with parties not employed by the University
- b) Where the author is concerned about the loss of current or future income that might result from open access deposit.
- c) Where the author is concerned about their loss of control over 3rd party realizations of a creative work (performing and 'mechanical' rights).
- d) Where academic staff prefer, research outputs covered by 2.3 do not need to be deposited in ResearchSPAcE if these outputs have been produced outside University contracted working hours and without the support of University funding or resources.
- e) Further one-off exceptions may be agreed at the University's discretion, for example if open access publication would breach national security or confidentiality agreements.

2.4. Timescale

The following timescale must be observed for all forms of deposit described in this Policy, whether metadata (2.1), full text or non-textual equivalent (2.2, 2.3).

2.4.1. for publications (including published audio-visual media), as soon after the point of acceptance as possible, and no later than three months after this date. If metadata details, such as page numbers, are not known at the point of acceptance, these should be added as soon as possible after publication.

2.4.2. for other outputs (including performances, broadcasts, and images of art or design work), as soon after the first public performance or exhibition as possible, and no later than three months after this date.

3. Monitoring and Responsibilities

3.1.

Academic staff are responsible for meeting the deposit requirements of the Policy.

3.2.

For new journal articles and conference proceedings (with ISSNs), academic staff will forward acceptance letters or emails to the Library for collation as evidence of compliance with the HEFCE Policy for Open Access.

3.3.

The Library will liaise with academics to ensure that full text items (or non-textual equivalent) comply with publisher copyright agreements and ResearchSPAcE Policies before items are made publicly available.

3.4.

The Library will review and standardize metadata.

3.5.

The Library and Research Office will provide support and advice in relation to the Policy and its operation.

3.6.

Research Co-ordinators will retain, via email alerts, an oversight of new full text submissions from their Schools.

3.7.

The Research, Knowledge Exchange and Consultancy Committee (RKECC) will monitor compliance with the Policy through the review of annually reported School research activity.

3.8.

Through the annual reporting process, Schools will provide RKECC with key indicators of open access publication:- the number of metadata records in ResearchSPAcE, the proportion of these metadata records that are accompanied by full text (or non-textual equivalent) deposits. The Library will supply these statistics to Schools on request.

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[Edit section](#) | [Website feedback to web@bathspa.ac.uk](mailto:web@bathspa.ac.uk)