

Durham University Open Access Policy - Summary

This Open Access Policy applies to:

- all members of staff employed by Durham University
- all PhD students submitting their doctoral thesis

The full policy was approved and mandated by Senate at its meeting on 5th March 2013 to be implemented with immediate effect.

Durham University is committed to sharing the findings of its world-class research as widely as possible to enhance its use and impact within the academic and research community and more widely within society.

In support of this Open Access goal, University Senate, the Research Committee and Academic Promotions Committee have agreed that:

1. Authors must provide an electronic copy of all peer-reviewed journal articles and conference papers published since **1st January 2013** within 3 months of acceptance for publication for deposit in Durham Research Online (DRO), the University's institutional repository for academic research. This should be the author's final accepted, peer-reviewed manuscript where copyright restricts the use of the published version.
2. Authors should ensure where possible that all copyright agreements/licences signed with publishers allow for deposit in DRO of the authors final accepted, peer-reviewed manuscript within an embargo period of no more than six months.
3. Authors are also required, where appropriate, to deposit other types of research outputs (including sample chapters from books, reports and grey literature) in DRO. This should be at the earliest date possible, (e.g. **upon acceptance** if the output is being published.)
4. Publications referred to for consideration in promotion applications and probation reports:
 - where published since **1st January 2013** the author's final peer-reviewed manuscript should be **deposited** in DRO (recognising that this is impossible for a small-number of publications and some formats of research outputs).
 - where published before **1st January 2013**, details of the publication should appear on the staff member's Durham web profile and, where possible, the authors' final peer-reviewed manuscript should be deposited in DRO
5. Where copyright permits and respecting the embargo requirements of publishers, all content deposited in DRO will be made freely available for access.

Researchers are responsible for:

1. Ensuring compliance with the Durham University Open Access Policy as defined above.
2. Ensuring compliance with the Open Access policy of any funding body which has funded their research, and for all research outputs resulting from that research.
3. Ensuring that the requirements of HEFCE's Open Access Policy for the post-2014 REF have been met for published research eligible for submission. Researchers should be mindful of the policy's:
 - a) Requirement to deposit in a repository within 3 months of acceptance
 - b) Maximum permitted embargo period for providing access to an output deposited in a repository.

If an author believes they have a valid reason why a publication should be exempt from the Policy, they should record and provide supporting evidence to the REF Team who will decide if the publication will be included in the University's submission.

4. Identifying and publishing in journals which are compliant with the Durham University Open Access Policy, and the Open Access policy of any funding body which funds their research. Researchers should be mindful of a funder's:
 - a) Maximum permitted embargo periods.
 - b) Licencing requirements
 - c) Any requirement to deposit the full text of outputs in a specified repository
5. Ensuring that the need for funds to make research open access are communicated to the University or the research funder (whichever is expected to be the source of any required funding) at the earliest stage possible

Principal Investigators of funded research projects are responsible for:

1. Ensuring compliance with the Open Access policy of any funding body which has funded their research, and for all research outputs resulting from the research grant.
2. Publishing in journals which are compliant with the Open Access policy of any funding body which funds their research. The [DRO Team](#) can provide advice on publishers' copyright policies.
3. Ensuring all publications resulting from the research grant are deposited in DRO as well as any other requirements of the research funder (e.g. deposit in a specified repository). Articles published in open access journals and those made open access in traditional subscription journals must also be deposited in DRO.
4. Following the University's open access process and communicating at the earliest opportunity if funding is required to publish in an Open Access journal or in a traditional subscription journal which offers an Open Access option through the payment of an Article Processing Charge (APC).

The University is responsible for:

1. Establishing and administering any funding provided for Open Access publishing by funding bodies (e.g. RCUK).
2. Managing and developing DRO to support the open access goals of the University and the REF.
3. Providing training and support on open access publishing, including advice on publishers' copyright policies.

Theses

[Durham e-Theses](#) is a separate repository where PhD students should deposit their theses.

Copies of all Higher Degree theses submitted and passed by Durham University since 1 October 2009 will be made freely available via Durham e-theses unless an embargo is requested at the point of submission. Printed copies of pre-2009 theses have been digitised and will also be made available via the e-theses service. Any existing embargoes will be respected.

An embargo of up to up to five years may be applied, in line with the University's Theses Submissions Policy, except where the author's funder requires access within a shorter period of time (such as the UK Research Councils).

Supervisors are responsible for:

- Ensuring candidates are aware that all PhD research will be made available through e-theses.
- Identifying research which contains commercially sensitive, confidential personal data, or where open access publishing would prejudice plans to publish the research as a book or article.
- Identifying where a maximum permitted embargo is expected by the funder of the research.
- Discussing appropriate embargo options with the candidate.

Durham University Library is responsible for:

- Ensuring that content on its website is made available in accordance with current UK copyright legislation.
- To accommodate the possibility that a previously unknown copyright holder may come forward and request the removal of content from our public web sites, to ensure compliance with the University's e-Theses takedown policy.

University Help and Support

University Library

For general queries, please contact us by email or phone in the first instance:

Email: dro.admin@durham.ac.uk, Ext: 41586.

James Bisset (Academic Liaison Librarian – Research Support).

Email: james.bisset@durham.ac.uk, Ext: 41586.

General advice on open access publishing and RCUK policy and requirements in particular. Queries relating to the availability of central funding or the payment of Article Processing Charges from the central fund.

Heather Ewington (Repository Manager)

Email: dro.admin@durham.ac.uk, Ext. 41586.

Management of DRO. Oversight on deposit mechanisms for publications in Durham Research Online. Assistance with guidance on journals Open Access policies.

Elena Kharlamova (Repository Assistant)

Email: dro.admin@durham.ac.uk, Ext. 41586.

Advice on how to deposit publications in Durham Research Online. Assistance with journals Open Access policies.

Simon Speight, Head of Academic Support

Email: s.g.speight@durham.ac.uk, Ext. 42981.

General advice on open access publishing.

University Research Office

Advice on research grants, funding opportunities and REF requirements.

Wendy Harle (Director of Research Office)

Email: director.research@durham.ac.uk, Ext. 49393

Sally Hewlett (Head of Operations Research)

Email: s.a.hewlett@durham.ac.uk, Ext. 44642

Related documents

Durham Open Access Policy

http://dro.dur.ac.uk/du_oa_policy.pdf

Durham Research Online Usage Policy:

<http://dro.dur.ac.uk/policies/usepolicy.pdf> [currently under revision]

Durham Research Online Take-Down Policy

<http://dro.dur.ac.uk/policies/takedownpolicy.pdf>

Durham e-Theses Take Down Policy

<http://etheses.dur.ac.uk/policies/takedownpolicy.pdf>

January 2013

v1.1 (revised April 2013)

v2 (revised May 2014)

v3 (revised May 2014)