

UNIVERSITY OF DUNDEE
RESEARCH GOVERNANCE & POLICY SUB-COMMITTEE
OPEN ACCESS POLICY
POLICY No. OAP/V2/12.14

Introduction

The fundamental aims of the University of Dundee are stated in its charter; "to advance and diffuse knowledge, wisdom and understanding by teaching and research and by the example and influence of its corporate life."

This policy of supporting open access to the results of research produced by the University is entirely in keeping with this aim, and will also act to promote and publicise University of Dundee research to the widest possible audience.

Policy

Researchers shall take responsibility to ensure that their research outputs are made freely available, wherever possible, and will fully comply with the publishing requirements of their research funders. This may be achieved by either:

- a) Publishing within an open access or "hybrid" subscription journal and paying the "article processing charge" required to ensure the article is available to all.
- b) Publishing in a free open access journal or equivalent entity.
- c) Publishing in a subscription journal which permits authors to deposit archival copies of either their final manuscript or the publisher's final version in a local or subject repository, thus enabling the research to be made available to all within a designated period of time.

Research outputs are defined as published or publically presented results of research work completed at the University. Typically these outputs would be admissible to the REF, and may be published reviews, original journal articles, books, book chapters, patents, works of art or art compilations, and digital media. Published conference papers may be included, while unpublished conference paper presentations would not normally be included. Research outputs will have normally been subject to recognised peer review.

Post-2014 REF

In March 2014, the Higher Education Council for England (HEFCE), published its Policy for Open Access in the post-2014 Research Excellence Framework. This policy requires that all journal articles and conference proceedings with an International Standard Serial Number (ISSN), accepted for publication after 1 April 2016, must normally be open access, to be eligible for submission to the post-2014 REF. Conference proceedings with an International Standard Book Number (ISBN), or those published as part of a book series with an ISSN, are exempt from this policy, as are monographs and non-text research outputs.

The policy also requires researchers to deposit a copy of their accepted and final peer-reviewed text (also known as the 'accepted author manuscript' or 'final author version' or 'post-print'), within an institutional or subject repository within 3 months of the date of acceptance. This may be augmented with the final published version at a later date, where permissible.

Since the University would be unable to guarantee compliance with the policy or provide the required audit details if the manuscript were deposited in an external subject repository, researchers must deposit a copy of the required manuscript within Discovery, the University's institutional repository. Researchers are free to deposit in an external subject repository in addition to this, if they so wish. Although the HEFCE policy does not formally come into effect until 1 April 2016, institutions are being urged to move towards implementation of the policy as soon as possible, and so the following requirements will come into force with immediate effect.

For research outputs covered by the policy, researchers must:

- I. Deposit a copy of their accepted and final peer-reviewed text within Discovery, the University's institutional repository, within 3 months of the date of acceptance.
- II. Deposit evidence of the date of acceptance within Discovery (typically dated correspondence from the published confirming acceptance of the article)
- III. Where possible, deposit a copy of their copyright agreement with their publisher within Discovery

Exceptions to the HEFCE policy are permitted on grounds of access, deposit, technical or other grounds, but it is expected that these will be extremely rare, and thus researchers should make every effort to ensure that their outputs comply with the policy.

Overall Open Access requirements

Regarding the University's general policy on Open Access, researchers must:

1. Ensure that a full-text copy of the research publication, including the accompanying metadata, is deposited in the University's institutional repository, Discovery, and optionally within a general or specialist subject repository (e.g., Europe PubMed Central). (See specific requirements for post-REF 2014 outputs above).
2. Be fully compliant with the publishing requirements of the research funder(s). This may include the deposit of full-text copies of research publications within general or specialist subject repositories.
3. Include the phrase "University of Dundee" when identifying the source of the research, and within the address of the researcher, and also include details of the research funder and the grant number within the details of the research output.
4. Utilise the Creative Commons CC-BY license covering reuse of the research publication wherever possible.
5. Comply with publisher agreements regarding copyright.
6. Ensure that IP protection is appropriately safeguarded throughout the entire publication process.
7. Ensure that research data associated with the published work is openly available, wherever possible, and research data access is compliant with the research funder guidelines.

Funding

Funding support for open access publishing is available from research funders.

- a) Where dedicated open access publishing funds exist (for example, Wellcome Trust and RCUK open access funds), researchers in receipt of these grants must make use of them.
- b) Research which is supported by funders who permit open access costs, must include open access publication costs in the application and management of these research grants.

Exemptions and Flexibility

In some cases, the publication of research outputs as open access may not be possible due to the policies of an individual publisher and/or journal, or due to the nature of the research output itself. In these cases, an exemption from this policy may be granted at the discretion of the researcher's Dean or their nominee. The research output must still be recorded within the Discovery research repository, but it would not be available for open access.

The University acknowledges that the current period is one of considerable change in open access and subscription-based publishing. The University will therefore adopt a flexible, and where possible, sustainable approach to the implementation of this policy.

Guidance and Monitoring

The Library and Learning Centre (LLC) will provide a service to supply information and guidance to researchers regarding all aspects of open access publishing, including copyright, choice of publisher and / or journal, funder requirements and measures of impact. This information will be advisory only, and final decisions on the publication of research will be taken by researchers in consultation with their academic managers.

The University will monitor the extent of open access publication. Annual reports will be published in March each year, compiled from records in Discovery and other sources. These reports will detail the amount of published material available via open access in each School and College.

Research Data

It is increasingly the case that research funders require that the data underpinning research is also made available, linked to the research outputs themselves. The Library and Learning Centre will provide an advice and consultancy service regarding the management of data, and the adoption of standards of good practice.

Compliance

Researchers, their Schools & Colleges, Research and Innovation Services, Finance Office and the LLC will work together to ensure overall compliance with this policy. It is important that we develop an environment that permits efficient utilisation of open access publishing for the benefit of the University, its students, researchers and collaborators.

Open Access Policy Governance

The Open Access Policy is produced and maintained by the Research Governance and Policy Subcommittee, and is supported by the University Research Committee. Senate has responsibility for the formal approval of the policy. Implementation of the policy is the responsibility of all researchers and is supported by senior management throughout the University.

Approved by Senate: 03 December 2014.