

COVER SHEET

1	Policy/CoP title Open Access Policy
2	Summary description The University of Hull recognises open access publication as a valuable component of dissemination for research outputs. Open access publication channels for journal articles in particular now sit alongside more traditional publication channels as options: equivalent options are rapidly developing for monographs and research data. Open access dissemination of research outputs broadens the audience that can be reached and enables wider awareness of the research. This can generate more and quicker impact, with concomitant reputational benefits for future research. Research funders are increasingly advocating and requiring consideration of open access as a means of publication to realise these advantages. Similarly, openness of research generally is now at the forefront of public research funding policy, and open access is a key component of this. This policy describes an approach to open access for the University of Hull that blends the advantages of open access with the requirements laid out by funders in following this path.
3	Scope The Policy affects all staff engaged in research and producing outputs from that research.
4	With effect from 1 st April 2015
5	Other related policies/CoPs There are no directly linked policies. However, open access is closely linked to research data management and there is thus a connection with the institutional policy in this area. Open access is also incorporated into the Code of Good Research Practice being developed by the Concordats Steering Group. This code is aligned with this policy.
6	Contact for further information Chris Awre, Head of Information Services, University Library, c.awre@hull.ac.uk

7	<p>‘Alternative format’ declaration</p> <p>This document is available in alternative formats from the University Library</p>
8	<p>Approved by</p> <p>University Research and Enterprise Committee (UREC), to be confirmed</p>
9	<p>Next due for review</p> <p>February 2018 (Annual)</p>
10	<p>Reference to any superseded policy/amalgamations</p> <p>This is a policy in a new area, and there is no previous policy documentation</p>
11	<p>Relevant legal framework</p> <p>There is no legislation requirement for this policy. However, there is funder policy driven by Government policy and strategy. This is a developing environment and the policy is designed to assist in managing external requirements for open access</p>
12	<p>Equality analysis</p> <p>The implementation of this policy is not considered to have a negative impact on protected characteristics.</p>
13	<p>Freedom of information</p> <p>No FoI exemption has been sought. The nature of the policy requires open access to its terms as well as the research publications it refers to.</p>
14	<p>Other professional standards reference points</p> <p>Key external policy drivers behind the policy are:</p> <ul style="list-style-type: none"> • HEFCE REF Open Access Policy <ul style="list-style-type: none"> ○ http://www.hefce.ac.uk/rsrch/oa/Policy/ • RCUK Open Access Policy <ul style="list-style-type: none"> ○ http://www.rcuk.ac.uk/research/openaccess/ <p>As indicated in section 11, external requirements for open access are evolving, with additional funders making such demands alongside these two major policy initiatives. The annual review date of this policy reflects the need to be aware of this changing environment and update local practice accordingly.</p>

The University of Hull recognises open access publication as a valuable component of dissemination for research outputs. Open access publication channels for journal articles in particular now sit alongside more traditional publication channels as options: equivalent options are also rapidly developing for monographs and research data. Open access dissemination of research outputs broadens the audience that can be reached and enables wider awareness of the research. This can generate more and quicker impact, with concomitant reputational benefits for future research.

Research funders are increasingly advocating and requiring consideration of open access as a means of publication to realise these advantages. Similarly, openness of research generally is now at the forefront of public research funding policy for purposes of transparency, and open access is a key component of this. This policy describes an approach to open access for the University of Hull that blends the advantages of open access with the requirements laid out by funders in following this path. Its use is in part fulfilment of the statement of intent in the University Strategic Plan 2016-2020 to:

“Champion open access publication and other forms of open scholarship to enhance the dissemination and impact of our research and enterprise.”

In regard of journal articles, failure to comply with this policy will mean your article is unlikely to be eligible for submission to REF 2021.

This policy is laid out in three sections: the collection of research outputs; the dissemination of outputs via open access; and management of this policy.

Research output collection

Collecting the research outputs of the University, or a record of them, enables the University to create a record of institutional research activity. This facilitates ongoing storage of such outputs and their long-term preservation where this is required. Such a collection also supports University reporting requirements to external agencies.

1. All journal articles and conference proceedings within a journal¹ with an ISSN must be deposited in the nominated University system [Note 1]. All other research outputs should also be deposited where appropriate rights support this, and this is particularly encouraged where such outputs are likely to be considered for the REF [Note 2]. Use of the University system does not preclude dissemination of the research outputs through other channels.
2. Deposit of journal articles must be within three months of the date of final acceptance by the journal publishing it. The version of the article deposited should be the author’s accepted manuscript (AAM) [Note 3]. All other research outputs should be deposited as soon as appropriate following completion.
3. Deposit within this timeframe is the responsibility of the authors.

¹ Collectively referred to as ‘journal articles’ for the remainder of this policy

4. Researchers are responsible for being aware of any funder policies that may impact on deposit into the University system, and acting on these accordingly [Note 4].
5. Research data and other supporting materials that inform journal articles should be deposited alongside the article for completeness.
6. Researchers must inform Library staff when an item has been formally published [Note 5].
7. The University will provide the relevant systems and instruction to facilitate deposit, and support engagement with this process.
8. Once deposited, the University will take responsibility for the articles, and curate them for long-term access and preservation as required.

Dissemination of outputs via open access

Once deposited, research outputs can be made available on open access or restricted as appropriate, in accordance with the terms of this policy.

9. Research outputs will be made openly accessible in accordance with researchers' wishes, and funder and publisher requirements. Specific requirements and choices should be communicated as part of depositing the output into the digital repository [Note 6]. Research outputs with access restrictions will be managed securely to limit access as required.
10. The channels selected for the dissemination of research outputs are a matter of academic freedom. Decisions will, and should, be informed by discipline, audience, purpose, and timeliness, in keeping with research dissemination strategies and plans.
11. Funder requirements must be taken into account when deciding on the appropriate publication channel for dissemination.
12. Where open access is required but is not possible or no appropriate open access route is available the reason for not using an open access option (the exception) must be recorded with the article on deposit [Note 7]. Such exceptions must be agreed and signed off by the Associate Dean for Research.
13. All research outputs made available on open access will have a Creative Commons licence assigned to them to state how the output can be used [Note 8].
14. It is the researcher's responsibility to check on the need to protect any IP within the research output prior to making it available on open access.
15. To aid open access dissemination researchers are encouraged to retain copyright in research outputs, particularly journal articles [Note 9].

Management of this policy

Management of the policy will be undertaken as follows:

16. University Research and Enterprise Committee with the help of the Open Access Working Group will be responsible for reviewing and updating this policy.

17. Open access is a rapidly developing field. This policy will thus be reviewed on an annual basis to accommodate developments and experience gained in the implementation of the policy.
18. It is the responsibility of all researchers to ensure they are compliant with the terms of this policy.
19. Implementation of the policy will be overseen by UREC, acting through the Open Access Working Group

Annex A: Notes

These notes provide current context for the open access policy, and highlight issues that need to be taken into account in implementing such a policy.

Note 1 – The University’s digital repository is Hydra². The University is implementing the Worktribe research information system. Direct deposit to meet the terms of this policy should be to whichever system is currently prioritised.

Note 2 – This policy primarily deals with digital research outputs. Records of non-digital research outputs should also be recorded using a brief metadata record: management of the output itself is the responsibility of the researcher.

Note 3 – HEFCE has mandated this requirement as part of its open access policy for the REF 2021. No retrospective open access is permitted.

Note 4 – The two main policies that researchers should be aware of are the HEFCE open access policy³ and the RCUK open access policy⁴. Other funders may also have specific requirements, and researchers should check these to ensure compliance.

Note 5 – The Library can be contacted through the Research Services Team, via openaccess@hull.ac.uk

Note 6 – For journal articles the options will include:

- Gold open access – where a fee (an APC or article processing charge) is usually paid to a publisher to pay for immediate open access.
- Green open access – where the article is held under an embargo for future open access. HEFCE/RCUK currently set this as a maximum of 12 months for STEM subjects and 24 months for HSS subjects.

Other research outputs may also follow one of these options, though it is anticipated that most would adopt green open access. It is recognised that there will be circumstances where no open access is appropriate (e.g., due to commercial sensitivity or legal restriction).

Note 7 – HEFCE has provided a set of permitted exceptions from using open access, but has stressed that use of these is expected to be rare.

Note 8 – The funder often sets this out. For example, RCUK require that the Creative Commons Attribution (CC-BY) licence is used for gold open access and a Creative Commons Attribution-Non-commercial (CC-BY-NC) licence used for Green open access.

Note 9 – Copyright assignment to publishers is not required for publication in many cases⁵.

² Hydra, <http://hydra.hull.ac.uk>

³ HEFCE open access policy, <http://www.hefce.ac.uk/rsrch/oa/Policy/>

⁴ RCUK open access policy, <http://www.rcuk.ac.uk/research/openaccess/>

⁵ For example, see <https://sparcopen.org/our-work/author-rights/introduction-to-copyright-resources/>