

## Publications Policy

### 1 INTRODUCTION

The University is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment and in response to the increased expectations from HEFCE, funding bodies and the more general public that research outputs from publically funded research are made as freely available as possible, the University has adopted this policy.

### 2 PURPOSE

HEFCE requires that, for the purposes of the post-2014 Research Excellence Framework (“REF”), final peer-reviewed versions of journal articles and conference proceedings with an International Standard Serial Number (“ISSN”) must be:

- (a) deposited, either in the University’s repository, or a subject repository, upon acceptance for formal publication; AND
- (b) subject to any appropriate embargoes (see section 4 below), must be made open access,

i.e., anyone with an internet connection should be able to read and download such materials.

Funding councils have similar requirements; indeed, RCUK has a policy on making funded research publically available through the use of open access and the Wellcome Trust’s policy extends further, requiring that monographs are also made open access.

It is necessary for the University to comply with the requirements of HEFCE and funding bodies in relation to final peer-reviewed versions of journal articles, conference proceedings with an ISSN and monographs (“Relevant Works”) as failure to do so will, amongst other things:

- make Relevant Works ineligible for submission to the REF; and
- impact on the receipt of funding from funding bodies.

The purpose of this policy is to:

- state the University’s position on making Relevant Works open access; and
- ensure that all those to whom it applies (see section 3 below) are aware of their rights and responsibilities in ensuring compliance with the University’s and third party requirements on open access.

### 3 SCOPE

This policy applies to all:

- employees of the University, in particular those who create or develop, or are involved in the creation or development of, Relevant Works (“Employees”);
- students of the University (“Students”); and
- Relevant Works accepted for publication while the author or co-author is an Employee or Student.

This policy does not apply to:

- any Relevant Works accepted for publication before 1<sup>st</sup> April 2016, which is the date this policy was adopted by the University;
- monographs, except where a funding body decrees that they should be made open access;
- teaching materials; and
- any other materials without an ISSN.

#### 4 REQUIREMENTS

Each Employee or Student must:

(a) deposit, or facilitate the University's deposit of, either the Authors Accepted Manuscripts ("**AAMs**") or the open access published Version of Record, of all Relevant Works, authored or co-authored by them, in the University's repository; and

(b) subject to any permitted embargoes placed on a Relevant Work that are made in accordance with this policy, make them open access, within three months of acceptance for publication of such Relevant Works ("**Deposit**").

Each Employee or Student must therefore:

- Deposit, or facilitate the University's deposit of, an electronic copy of the appropriate version of each Relevant Work, within three months of the date of its acceptance for publication and at no charge, in an appropriate format (such as PDF) as specified by the University;
  - By way of non-exhaustive example, if an Employee or Student does any of the following:
    - (a) deposits a Relevant Work in a subject repository;
    - (b) publishes a Relevant Work as open access; or
    - (c) submits a Relevant Work to a publisher and that publisher provides the AAM to a appropriate third party or the University,

then s/he will be deemed to have facilitated a Deposit of a Relevant Work in accordance with this policy. Further guidance on other methods of facilitation can be found in the Library's Open Access website (<http://www.manchester.ac.uk/openaccess>);

- not enter into any publishing or other agreement that is inconsistent with, or contradicts, this policy or his/her obligations under it; and
- ensure that any proposed open access embargo a publisher may seek to place on a Relevant Work does not exceed the shorter of:
  - 12 months in the case of REF Main Panels A and B materials or 24 months in the case of REF Main Panels C and D materials; and
  - the maximum embargo period permitted by the funding bodies acknowledged in the Relevant Work.

If an Employee or Student does not make a Deposit or take the action set out above or the University considers it appropriate in the circumstances, the University has the automatic right to make the Deposit (as its Employees and Students have granted it, under the University's Intellectual Property Policy, a non-exclusive licence to, amongst other things, use Relevant Works in this way).

The University will:

- subject to any appropriate embargoes, make the Relevant Works available to the public through its repository;

- in very exceptional circumstances, consider requests for a waiver of this policy or any part of it (such requests should be made to the Library via [uml.scholarlycommunication@manchester.ac.uk](mailto:uml.scholarlycommunication@manchester.ac.uk));
- through its Library be responsible for interpreting this policy and resolving disputes concerning its interpretation and application; and
- update this policy as and when required.

## 5 RESPONSIBILITIES AND COMPLIANCE FRAMEWORK

All Employees and Students must adhere to this policy.

Deans, Heads of School and Directors or their nominated representatives are responsible for ensuring compliance with this policy and established procedures in their areas.

## 6 MONITORING AND AUDITING

This policy and its implementation will be subject to internal monitoring and auditing throughout the University and the outcomes from these processes will inform and improve practices as part of a commitment to continual improvement. The University will also undertake appropriate benchmarking and external auditing exercises.

If you are reading a printed version of this document, you should check <http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=28526> to ensure that you have the most up to date version.

### Version amendment history

Version	Date	Reason for change
1.0	01 April 2016	Clarification of how to request exceptions added in Section 4

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The University of Manchester

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