

## OPEN ACCESS POLICY

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

This is a new document in the series and should be read in full.

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#### ABBREVIATION

The following abbreviations are used in this document:

APC	Article Processing Charge
RCUK	Research Councils UK
RIS	University Research Information System
UHRA	Hertfordshire Research Archive

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- 1 INTRODUCTION
    - 1.1 The concept of freely available public access (Open Access) to the outputs from publicly funded research is now widely and internationally established. This is reflected in UK Government Policy, research funding body requirements, and Higher Education Funding Council requirements for future research assessment.
    - 1.2 The University has recognised the Budapest Open Access Initiative (BOAI) definition of Open Access to identify its scope and potential impact:

'By "open access" to [peer-reviewed research literature], we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable

from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.'

1.3 With this changing academic publishing landscape, Open Access models for the publication of peer-reviewed research outputs have developed over the past decade or more in tandem with the continuing traditional academic publishing model. The main Open Access models are:

1.3.1 **'Green' Open Access** (the most common model; also known as self-archiving):

a version of a research output/publication is made available online immediately through an institutional repository, such as the University of Hertfordshire Research Archive (UHRA), or a subject repository, such as Arxiv, Pub Med Central;

1.3.2 **'Gold' Open Access**:

publication in an Open Access journal for which an author, or his or her institution, may pay an Article Processing Charge (APC) to the publisher; publications are made available immediately and free of charge to readers;

1.3.3 **'Hybrid' Open Access**:

publishing in a subscription journal but with the possibility of an APC payment for the specific item to also be made available online immediately and free of charge. (This model is sometimes associated with 'double-dipping'; ie paying twice for the same publication).

1.4 The University recognises the potential for taking advantage of Open Access for the promotion and enhancement of the University's research profile and reputation; for sustaining a vibrant research community; for maximising citations and research impact; for supporting research opportunities and growth; for compliance with funding body requirements; and for improving access to others' research outputs.

1.5 This policy, which has been endorsed by the Academic Board<sup>1</sup>, sets out the approach and arrangements for the University to take advantage of Open Access practice in light of the scope and potential impact for change in academic publishing and scholarly dissemination; for reviewing and adapting arrangements as Open Access scholarly publishing develops; and for supporting the University's research community in engaging effectively with this changing landscape.

## 2 SCOPE

This Policy applies to:

- i all research outputs regardless of format or content produced by or in collaboration with Member(s) of the University (UPR GV06<sup>2</sup>, refers);
- ii other publications related to the work of the University and its Members where the original copyright is owned by the University or where the University has agreed Open Access publication with the copyright owner.

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<sup>1</sup> **Academic Board Minute:** 400, 25 June 2014, refers

<sup>2</sup> UPR GV06 'Membership of the University'

### 3 POLICY

- 3.1 The University is committed to the immediate, unrestricted, online public availability of its peer-reviewed research outputs free-of charge, to enhance intellectual inquiry, support new research, enrich education and maximise the impact and value of its research for wider economic and social good.
- 3.2 The University will normally make its research outputs available in electronic formats that support searching, downloading, text and data-mining, and re-use of their content, providing that any such re-use is subject to full and proper attribution.
- 3.3 The University expects its research community in turn to benefit from the widespread national and international adoption of similar policies that increase access to others' research outputs; and from increased exposure of its research outputs leading to increased citations, recognition and impact, and an enhanced research profile.
- 3.4 The University will ensure that the implementation of this policy supports compliance with national and international research funding and assessment policies and requirements as appropriate and takes full account of any bona fide exceptions to open access publication for specific content and materials 'on the grounds of personal privacy, legal requirements, commercial confidentiality or other good reason' as set out in UPR IM02<sup>3</sup>.

### 4 PRINCIPLES AND PRACTICE

#### 4.1 Mandatory 'green' open access deposit of all research outputs in the UHRA

- 4.1.1 The 'green' open access deposit of all research outputs in the UH Research Archive is mandatory.
- 4.1.2 Deposit is carried out by the author or the relevant Principal Investigator uploading the research output to the University's Research Information System (RIS).
- 4.1.3 Deposit must be made out at the time the research output is accepted for publication.
- 4.1.4 Publisher embargos relating to the final post-print version of a research output will be honoured in line with RCUK guidelines<sup>4</sup> and by reference to the national databases provided by SHERPA<sup>5</sup>. 'Metadata Only' records in RIS/UHRA are required for item types where open access policies are not yet fully developed.
- 4.1.5 A rapid take-down process authorised by the Chief Information Officer will apply in the event of any posting errors.

#### 4.2 Mandatory 'green' open access deposit of all doctoral theses in the UHRA

- 4.2.1 The 'green' open access deposit of all doctoral theses in the UHRA following award is mandatory.
- 4.2.2 Deposit is carried out directly into the UHRA by the research degrees administration team.
- 4.2.3 The British Library harvests University of Hertfordshire theses directly from the UHRA for the EThOS<sup>6</sup> service.

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<sup>3</sup> UPR IM02 'Information Management Policy'  
<sup>4</sup> <http://www.rcuk.ac.uk/research/openaccess/>  
<sup>5</sup> <http://www.sherpa.ac.uk/>  
<sup>6</sup> <http://www.ethos.ac.uk/>

### 4.3 Multiple models of publication and dissemination

4.3.1 The University will continue to promote and support the use of multiple models of publication and dissemination of research outputs (in addition to 'green' open access deposit) to take account of the diversity of formats, of practice in different subject disciplines, and of funding body grant conditions. The University acknowledges the specific challenges relating to non-journal-article open access and supports academics during this period of transition.

4.3.2 Funding body grant conditions relating to research output publication requirements will be recorded at the time of award.

### 4.4 Research publication and dissemination plans

4.4.1 Research publication and dissemination plans will form an integral part of the University research strategy and those of individual Research Institutes and Centres, including:

- i the implementation of this University policy and its principles and practices;
- ii compliance with funding body requirements;
- iii compliance with post-2014 Research Excellence Framework (REF) requirements<sup>7</sup>;
- iv the diversity of formats and publication practices for different subject disciplines;
- v the identification of relevant 'green' open access subject repositories (for example, 'Arxiv', 'Pub Med Central') for use in addition to the UHRA.

### 4.5 Academic decision

The University respects informed academic choice about the most appropriate publication and dissemination options for specific research outputs for maximum advantage, in addition to required 'green' open access deposits in the UHRA.

### 4.6 University APC Fund

4.6.1 The University will provide a limited annual APC Fund to support appropriate 'gold' open access publication of research outputs, in addition to the required 'green' open access via the UHRA:

- i where this is beneficial for reputational enhancement, or normal practice in a particular discipline area, or a funding body requirement, and
- ii where the APCs are not eligible research project costs or covered by the RCUK APC Fund allocation to the University.

4.6.2 Subject to the availability of moneys within the Fund, APCs for 'gold' open access will be released on the basis of author self-declaration against the agreed criteria and administered centrally by a nominee of the Chief Information Officer.

### 4.7 Licensing for publication

The University and/or, as appropriate, authors should normally retain the copyright in their research outputs, and arrange to licence the outputs for publication, distribution, use and re-use using Creative Commons CC-BY licensing<sup>8</sup>.

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<sup>7</sup> <http://www.hefce.ac.uk/pubs/year/2014/201407/#d.en.86771>

<sup>8</sup> <http://creativecommons.org/licenses/>

**4.8 Advice, guidance and support**

The University will provide advice, guidance and support for its research community in implementing this policy, its principles and practice, including the provision of training programmes and assistance with complying with funding body requirements and with licensing arrangements.

**5 REVIEW ARRANGEMENTS**

The Chief Information Officer is responsible for monitoring open access developments and the changing academic publishing landscape. He or she will review the policy set out in this document and its supporting principles and practice (UPR IM18) periodically and will advise the Vice-Chancellor and the Pro Vice-Chancellor (Research and International) concerning any recommended changes required to enable the University to continue to take advantage of Open Access.

Mrs S C Grant  
Secretary and Registrar  
Signed: **20 March 2015**