

University of Central Lancashire

Open Access Policy

Document type	Policy
Document owner	Research and Enterprise Services
Approved by	University Research and Innovation Committee - 26 February 2020 Academic Board - 18 March 2020
Approval date	26 February 2020 / 18 March 2020
Review date	January 2021
Version	3.0 Refreshed
	Amended July 2019; September 2019
Summary of changes	Document brought up to date and in line with, external Open Access policies such as REF, UKRI; University research strategy; School restructures.

Open Access Policy

1. Introduction

As illustrated by the [2018-2020 research strategy](#) (*Developing and Delivering Research Excellence*), the University of Central Lancashire is committed to delivering an environment which supports the production of accessible knowledge and information to realise impacts of relevance to society. UCLan supports the principles of Open Access and is committed to increasing the visibility, use and impact of UCLan research as rapidly and effectively as practicable

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

2. Benefits to Researchers of Open Access

- To share the results of research as widely and quickly as possible
- To give access to research without restrictions of price or permissions
- To assist multi-disciplinary research
- To create new opportunities for both inter-institutional and inter-sectoral collaboration
- To increase international visibility and impact
- To meet the grant conditions of funding bodies
- To align with government policy and enhance preparation for research outputs for submission to REF2021 and subsequent Research Excellence Framework exercises

3. Scope of Policy

This Policy applies to all staff, researchers and students and to all research outputs which derive from their employment by the University, from research grants awarded to the University or otherwise from the use of University resources and facilities. It applies to co-authored outputs as well as to single authored outputs.

This policy does not apply to Open Data. Please refer to the UCLan Research Data Management Policy

4. Policy

- All research outputs since Jan 2008 (or start of employment with UCLan - whichever is the later) **must be** recorded on the University of Central Lancashire's Institutional Repository ([Central Lancashire online Knowledge-CLoK](#)¹). In all cases, this must include bibliographic information. For all textual outputs, an appropriate version of the full-text (as determined by publisher/funder policies) must be deposited on the record within the designated time-parameters of government, funder and publisher requirements
- All research outputs produced whilst employed at UCLan should be made available in an Open Access format upon publication where practicable, taking into consideration publishing restrictions, protection of Intellectual Property Right (IPR) and confidentiality.
- Open Access compliance is mainly applicable to Articles and Conference proceedings and therefore articles and conferences papers with an ISSN must be deposited into CLoK within 3 months of acceptance by publisher, or earlier if funding body stipulates an earlier date.
- Researchers are encouraged to deposit copies of earlier outputs produced before employment at UCLan on the Institutional Repository as this will assist the establishment of impact
- Individual staff members are responsible for providing and maintaining details of their publications in the University Repository to support their own compliance with the University Open Access Policy
- Researchers should register for an ORCID² number and link this to their CLoK record/provide to publishers when submitting outputs

5. Compliance

The University recognises that there are different forms of Open Access available and promotes compliance with this policy through different routes such as:

- Increased and expanded use of the Institutional Repository
- Publishing in a free Open Access journal or equivalent entity
- Increased use of Open Access Subject Repositories

¹ Central Lancashire online Knowledge is hosted by Eprints Services Southampton.

²Open Researcher and Contributor ID (ORCID) is an open, non-profit, community-driven initiative providing researchers a unique persistent identifier which can be added to a wide range of research material including grants, research outputs and datasets. It provides a means to distinguish you from other authors with identical or similar names, especially if you have had or used different names during your career and is persistent so you can use it throughout your research career. It ensures that your work is clearly attributed to you. It links together your body of work and so improves recognition and discoverability for you and your research outputs and makes it easy for others including potential collaborators, funders, prospective employers, conference organizers, publishers to easily find your research <https://orcid.org/>

- Publishing within an Open Access or “hybrid” subscription journal and paying where possible the “Article Processing Charge” (APC) to ensure that the article is available on an Open Access basis

5.1 Monitoring compliance

- Research Services will monitor Open Access compliance and report to Heads of Schools, University Research and Innovation Committee and any other relevant committee as requested

6. Roles and Responsibilities

6.1 Authors of research outputs are:

- Required to familiarise themselves and comply with Funder publishing requirements
- Required to familiarise themselves and comply with copyright, publisher, General Data Protection Regulation (GDPR), IPR, confidentiality and Freedom of Information requirements
- To consider publishers Open Access policies in determining where to publish to ensure that their research output is made available in an Open Access format as soon as practicably possible
- Encouraged to retain ownership of the copyright of published papers wherever possible
- Encouraged to apply a permissive licence (Creative Commons: CC-BY³) wherever possible to ensure it aligns with the requirements of funding bodies/Plan S requirements
- Expected to request APC funding in grants wherever possible
- Where external funding is available to meet the costs of Open Access article processing charges, researchers should take advantage of opportunities to publish their work with immediate Open Access upon publication
- Individual staff members are responsible for ensuring their own compliance with the UCLan Open Access policy

6.2 Appraisers

- Appraisers are responsible for monitoring compliance of this policy through the appraisal process

6.3 Doctoral Supervisors

- Where a researcher supervises doctoral students, he/she should be aware of supervisor responsibilities with regard to ensuring compliance with this policy

³ <https://creativecommons.org/licenses/by/4.0/>

6.4 Postgraduate Research Students

- Primary responsibility for ensuring compliance with this policy lies with student who is overseen by the Director of Studies/Supervisory Team

6.5 The University

- Will promote the use of the Institutional Repository
- Will promote awareness of the Open Access agenda, requirements and this policy
- Subject to funding availability, establish a budget for payment of Article Processing Charges and monographs and provide clear guidelines in respect of how this funding will be allocated
- Develop a long-term sustainable storage policy for Open Access items within the repository
- Support UCLan open access journals systems

6.6 Research Services

- The Director of Research Services or nominee is responsible for the development and updating of the Open Access Policy
- Research Services are responsible for the development and maintenance of procedures to operate this policy which will be ratified by the Open Research Steering Group
- The Scholarly Communications Unit (SCU) is responsible for providing advice on publisher, funding body and copyright requirements
- Eprints Services and the SCU are responsible for maintenance and promotion of the Institutional Repository (CLoK)

7. Policy Review

The University Research and Innovation Committee will be responsible for approving this policy as recommended by the Open Research Steering Group. The policy will be reviewed at least annually by the Open Research Steering Group and updated as deemed necessary.

Next policy review date January 2021