

SECRETARIAT

ACADEMIC POLICY FRONT SHEET

NAME OF POLICY:	Open Access Publications Policy
PURPOSE OF POLICY AND WHOM IT APPLIES TO:	<p>The policy applies to all academic and support staff</p> <p>The policy sets out a framework for colleagues to ensure their outputs published after 1 January 2014 are made open access unless an exemption has been agreed in advance</p>
RESPONSIBLE BOARD/ COMMITTEE WITH ROUTE OF APPROVAL:	Research and Enterprise Committee Endorsed the policy on Thursday 10 April 2014 and Academic Board approved the policy on Tuesday 24 June 2014
LEAD STAFF MEMBER RESPONSIBLE FOR ITS UPDATE:	University Librarian
PERSONS CONSULTED IN DEVELOPING POLICY:	The University Librarian developed the policy in consultation with colleagues. The Research and Enterprise Committee considered the policy and endorsed the policy on Thursday 10 June 2014. Research and Enterprise Committee are responsible for overseeing the policy.
POLICY FINALLY APPROVED BY:	Academic Board – Tuesday 24 June 2014
DATE OF IMPLEMENTATION:	June 2014 with subsequent revisions circulated to key members of staff
DETAIL OF DISSEMINATION:	After approval at Academic Board the policy will be disseminated to relevant staff and will be made available on the Secretariat's portal site
PROPOSED DATE OF REVIEW	To be confirmed
SECRETARIAT OFFICER – MAIN CONTACT:	Officer to the Research and Enterprise Committee
DATE:	Tuesday 24 June 2014

University of Lincoln - Open Access Publications Policy

1. The University of Lincoln is committed to Open Access dissemination of its research. The results of publicly-funded research should be freely accessible in the public domain. We recognise that we have a moral duty to increase knowledge through access to research, and that Open Access benefits everyone through greater opportunities for access and re-use.
2. We define Open Access as the free and unrestricted availability of research literature, on the public Internet, without financial, legal, or technical barriers, as expressed in the 2003 Budapest Open Access statement.⁽ⁱ⁾
3. The University recognises and supports the RCUK⁽ⁱⁱ⁾ and HEFCE⁽ⁱⁱⁱ⁾ policies on Open Access and the financial imperatives they impose, and expects researchers to comply with funders' mandates where they exist.
4. All University of Lincoln research outputs published on or after 1st January 2014 shall be made open access unless an exemption has been agreed in advance.
 - a. In many cases it is possible to achieve open access without payment, by depositing an accepted version of the output with an embargo period if required ("green" open access). This is the University's expected method of open access.
 - b. If there is a requirement to pay an open access fee, or if the above method of providing open access is impossible, then the University will accept paid-for "gold" open access as an alternative.^(iv)
5. Researchers will ensure that all outputs are recorded in the Lincoln Repository^(v) immediately upon acceptance, using appropriate metadata, without exception. The Repository is the University's 'system of record' for research output metadata and will be used for reporting on research activity.
6. Researchers will deposit appropriate copies of research outputs in the Lincoln Repository immediately upon acceptance, unless an exemption has been agreed in advance. Deposit is required for "green" open access, and strongly encouraged for all outputs to ensure preservation. Open access will be granted under appropriate safeguards according to conditions and timeframes specified by researchers, publishers, commercial partners and funding bodies. Conditions for licensing of research outputs should be made in consultation with the Library and be consistent with funders' expectations.
7. Researchers are expected to comply with funders' mandates for open access and will be given appropriate support to do so. The costs of meeting the specific requirements of paid-for "gold" open access should be included in grant applications where this is permitted. Details should be recorded at the grant application stage in the University's Awards Management System. The University will develop appropriate systems and budgets for managing the costs of both "gold" and "green" open access.
8. Research outputs that have not been made open access (subject to the above conditions) may not be reported upon, nor considered for submission to future research assessment exercises (e.g. the REF).
9. The Research Information Services Group will oversee the provision of infrastructure and expertise for:
 - a. Monitoring compliance with funders' open access mandates;
 - b. Administering the payment of open access fees;
 - c. Long-term curation, preservation and access to metadata and outputs, during and after completion of research projects.
10. The Library will provide training and support on open access publishing and deposit.
11. This policy will be reviewed by the Research Information Services Group every two years or as necessary. Recommendations for amendment will be submitted to the Research & Enterprise Committee. The Research Information Services Group will put into place procedures to monitor compliance with the policy and its effect on the operation of the University. This policy should be considered alongside other policies e.g.: codes of research conduct and misconduct; research ethics policy; IP policy; research data management policy; repository policy; information compliance policy; ICT policies; disciplinary procedures.^(vi)
12. This policy was agreed by Research and Enterprise Committee and approved by Academic Board on 24 June 2014.
13. If you have any questions please contact the chair of the Research Information Services Group – currently Ian Snowley / Lisa Mooney.

ⁱ Budapest Open Access Initiative: <http://www.budapestopenaccessinitiative.org/>

ⁱⁱ RCUK Policy on Open Access: <http://www.rcuk.ac.uk/research/outputs/>

ⁱⁱⁱ HEFCE Policy Guide: <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy/>

^{iv} Gold and green: the routes to open access (JISC): <http://jisc.ac.uk/whatwedo/topics/opentechnologies/openaccess.aspx>

^v Lincoln Repository: <http://eprints.lincoln.ac.uk/>

^{vi} University of Lincoln Academic Policies: <http://secretariat.blogs.lincoln.ac.uk/academic-policies/>