

# Durham University Open Access Policy

## 1. Context and definitions

As a leading research institution, Durham recognizes the value of its world-class research. It is committed to sharing its knowledge and expertise as widely as possible, to enhance its use and impact within the academic and research community and more widely within society. These principles are reinforced by the Finch Report recommendations on Open Access which have been adopted by both RCUK and HEFCE. In 2012 Senate approved the University's Open Access Policy but, following RCUK's adoption of the Finch Report recommendations and the new RCUK and Wellcome Trust Open Access requirements for the dissemination of publicly funded research, the 2012 Open Access Policy needs updating and requires re-endorsement from the Research Committee

Within the context of this policy, the following definitions apply when referring to open access:

**"Gold" Open Access:** The full text of the article is accessible to anyone, without subscription charge, from the journal's website. Publishing may be via a fully open access journal (all articles are free to read) or a hybrid journal (a traditional subscription journal with some articles made freely available). In order to cover publication costs, the author may need to pay an Article Processing Charge (APC) to the publisher.

**"Green" Open Access: (or self-archiving)** The author publishes in a traditional, subscription based journal but also deposits a copy (usually the "post-print" version – the author's final manuscript incorporating all changes resulting from peer review) in a repository, such as Durham Research Online. The published final version of the journal sits behind a subscription pay wall, the "post-print" copy is available to anyone.

The University's preferred option is for publishing is via the Green Open Access route, with mandatory deposit of all University Research outputs in Durham Research Online (DRO). Limited funding is available to support the Gold Open Access route for research outputs arising from RCUK funded research (see Section 2 for further information).

The University acknowledges its obligations under the RCUK open access policy to ensure that appropriate systems and practices are in place to support both forms of open access publishing. There is also a requirement on the part of the University to provide guidance, training and clear policies on open access procedures. This document also establishes the mutual and indivisible duties and responsibilities of both researchers and the University.

As well as obligations arising from funders' requirements, the University also acknowledges and welcomes the advantages that open access publishing (in all its forms) brings to the University's research in the form of greater exposure and maximising impact while helping to market and promote Durham to prospective postgraduate students. The University actively encourages the publication of research in an open access format, even where it is not a requirement of the funding body.

This policy describes the support and guidance for researchers and support staff to allow them to create and manage research outputs in a manner compliant with the obligations placed on them and which allows the University's research to maximise its research potential. Within the scope of the policy, the following broad responsibilities are assumed:

Researchers are responsible for:

- Ensuring compliance with the open access requirements of the relevant funding body.
- Ensuring that the need for funds to make research open access are communicated to the University or the research funder (whichever is expected to be the source of any required funding) at the earliest stage.
- Making research outputs widely available without barrier or restriction, even where not required by funding bodies.
- "Ensuring that the full text, post-print of all their research outputs are deposited to the University's Institutional Repository, Durham Research Online (DRO) within 3 months of acceptance. Where copyright permits, the full text can then be made openly accessible to anyone. Where copyright does not permit open access, the post-print can be maintained internally, without providing access, as a permanent record of the work."

The University is responsible for:

- Establishing and administering any funding provided for open access by RCUK and the University to meet approved publications costs in line with RCUK requirements.
- Establishing, in conjunction with individual Faculties clear and transparent criteria to be used to reach funding decisions within the constraints of finite funding.
- Maintaining and managing the institutional repository - Durham Research Online (DRO) – to support Green Open Access publishing and future REF activities.
- Providing training and support on open access publishing, including advice on which journals meet the requirements of major funding bodies.

## **2. Funder required open access publishing**

From 1<sup>st</sup> April 2013 it is a RCUK and Wellcome Trust requirement that all research funded by these bodies is published in an open access format, either via the Green or Gold route. Advice can be provided by the Library and Research Office.

The University will maintain a fund to support appropriate open access publishing, in line with the funding received from RCUK to support this activity. Gold Open Access publishing from University central funds is currently only supported for RCUK-sponsored research. Funding will be available to all researchers, allocated on a first-come first-served basis. Any requests for funding for Gold Open Access publishing must be the result of RCUK funding and published in journals which fully comply with the RCUK Open Access Policy.

The Principal Investigator is responsible for:

- Ensuring compliance with the open access policy of the individual funding body including any licensing requirements (e.g. publication under a CC-BY licence) or maximum allowed embargo periods.
- Identifying appropriate journals for the publication of research which are compliant with the funder's open access policies. Advice on the publication policies of journals can be provided by the Library.
- Placing all publications in Durham Research Online in compliance with the RCUK 'Green' open access publication pathway.
- Following the designated open access publication process and at the earliest stage possible, highlighting that funding may be required to cover the costs of Gold Open Access publication.
- Ensuring that all research published via a Gold Open Access route is also made available via Durham Research Online.

### **3. Non-funder mandated open access publishing**

The University fully supports the wider open access agenda and strongly encourages open access publishing, even where not required by funding bodies. All researchers are required under a mandate approved by Senate to make copies of their research available via Durham Research Online.

Academic Promotions Committee has agreed that any publications referred to and considered in promotion applications and probation reports must be accessible through Durham Research Online (recognising this is impossible for a small number of back-publications) and included in the web profiles of members of staff.

The researcher is responsible for:

- Ensuring all research outputs are listed in the Staff Profile System and deposited in DRO within 3 months of acceptance.
- Providing DRO administrators with a post-print copy of research outputs.
- Ensuring that all research outputs since 1 January 2013 are made freely available via DRO (where publishers' policies permit)
- Providing DRO with copies of all research outputs submitted to other, subject based repositories (e.g. ArXiv/RePEc).
- Ensuring, where possible, that all licenses signed with publishers allow for Green Open Access deposit with an embargo period of no more than six months

#### **4. Theses**

Copies of all Higher Degree theses submitted and passed by Durham University since 1 October 2009 will be made freely available via the Durham University e-theses repository (<http://etheses.dur.ac.uk>), unless an embargo is requested at the point of submission. Printed copies of pre-2009 theses have been digitised and will also be made available via the e-theses service. Any existing embargoes will be respected.

An embargo of up to up to five years may be applied, in line with the University's Theses Submissions Policy.

Supervisors are responsible for:

- Ensuring candidates are aware that all PhD research will be made available through e-theses.
- Identifying where a maximum permitted embargo is expected by the funder of the research.
- Identifying research which contains commercially sensitive, confidential personal data, or where open access publishing would prejudice plans to publish the research as a book or article.
- Discussing appropriate embargo options with the candidate.

The Library is responsible for:

- Ensuring that content on its website is made available in accordance with current UK copyright legislation.
- To accommodate the possibility that a previously unknown copyright holder may come forward and request the removal of content from our public web sites, to ensure compliance with the University's e-Theses takedown policy.

#### **5. Risk factors**

Most of the core principles in this policy – particularly those relating to DRO - have previously been approved by Research Council and Senate. Stronger departmental and faculty support is needed to ensure compliance so that the University can obtain maximum benefit from the world class research produced by its staff and comply with funding bodies, including RCUK and the Wellcome Trust open access publication requirements from 1<sup>st</sup> April 2013.

Where open access publishing is a funder requirement, full compliance with this open access policy is expected from all academic staff. Failure to do so may impact negatively on institutional reputation, damage future funding bids and result in research outputs being ruled ineligible by HEFCE for future REF submissions.

#### **6. Scope**

This policy applies to all members of staff employed by the University and all PhD students submitting doctoral theses to the University. This policy was approved and mandated by Senate at its meeting on 5 March 2013 to be implemented with immediate effect.

## **7. Adoption and Implementation**

In adopting this policy Durham University intends that an evolutionary approach will be taken to its implementation over a number of years.

The policy will be reviewed by the Research Committee on an annual basis and amended or updated in line with best practice.

## **8. University Help and Support**

### **8.1 University Library**

For general queries, please contact us via our team email account or phone number in the first instance:

Email: [dro.admin@durham.ac.uk](mailto:dro.admin@durham.ac.uk), Ext: 41586.

#### **James Bisset (Academic Liaison Librarian (Research)).**

Email: [james.bisset@durham.ac.uk](mailto:james.bisset@durham.ac.uk), Ext: 41586.

General advice on open access publishing and RCUK policy and requirements in particular. Queries relating to the availability of central funding or the payment of Gold Open Access fees from the central fund.

#### **Heather Ewington (Repository Manager)**

Email: [heather.ewington@durham.ac.uk](mailto:heather.ewington@durham.ac.uk), Ext. 41586.

Advice on how to add publications to Durham Research Online. Assistance with identifying RCUK compliant journals

#### **Simon Speight, Head of Academic Support**

Email: [s.g.speight@durham.ac.uk](mailto:s.g.speight@durham.ac.uk), Ext. 42981.

General advice on open access publishing.

### **8.2 University Research Office**

Advice on research grants, funding opportunities and REF requirements.

#### **Wendy Harle (Director of Research Office)**

Email: [director.research@durham.ac.uk](mailto:director.research@durham.ac.uk), Ext. 49393

#### **Sally Hewlett (Head of Operations Research)**

Email: [s.a.hewlett@durham.ac.uk](mailto:s.a.hewlett@durham.ac.uk), Ext. 44642