

POLICY FOR MANAGING OPEN ACCESS AT DMU

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1. Position Statement

- 1.1. De Montfort University supports the principle that the results of publicly-funded research should be made available as widely and freely as possible (Open Access).
- 1.2. The University has adopted 'Green' Open Access as the default option for all peer-reviewed research articles and conference papers.
- 1.3. The University has mandated that metadata for all research outputs must be recorded on DORA, the institutional repository. This policy extends that mandate to include full text deposit for some outputs, in accordance with HEFCE and funder requirements.

2. Policy background

- 2.1. There are two models for making research outputs available via Open Access (OA):
 - 2.1.1. **'Gold' OA:** the final published version of the paper is made immediately available at no cost to the reader and with minimal licence restrictions. This may be free to the author, or they may be required to pay an article processing charge (APC), typically between £1,000 - £2,000.
 - 2.1.2. **'Green' OA:** the publisher consents to the final accepted manuscript being made freely available in an institutional or subject-based repository, without restriction on non-commercial re-use and within a set period (typically no more than 6 months after publication). There is no charge to reader or author.
- 2.2. Since 1 April 2013, RCUK has required peer-reviewed journal articles and conference proceedings resulting from research wholly or partially funded by the Research Councils, to be made publicly available. RCUK require Gold OA, unless this route is not available or affordable, in which case Green OA is acceptable. A limited amount of transitional funding has been allocated to De Montfort University to support article processing charges (APCs) incurred, where these were not covered by the initial grants.
- 2.3. From 1 April 2016, HEFCE requires all peer-reviewed journal articles and conference proceedings with an ISSN to be made publicly available in order to be included as outputs for the post 2014 REF. HEFCE require Green OA, unless already published through the Gold route.

3. Scope

3.1. This policy applies to all research outputs authored or co-authored by staff and postgraduate research students at De Montfort University. While the full text of peer-reviewed journal articles and conference papers are required to be deposited in DORA, the inclusion of other outputs such as monographs and book chapters is strongly encouraged.

4. Policy statements

4.1. Deposit of research outputs

- 4.1.1. Authors are **required** to deposit the metadata of all forms of research output in DORA, the institutional repository. This includes outputs co-authored with another institution.
- 4.1.2. Authors are **required** to deposit in DORA a full text version of all peer-reviewed journal articles and peer-reviewed conference proceedings accepted for publication from 1 April 2016 (including where co-authored with another institution). This is usually the final, refereed, corrected, accepted draft (author's accepted manuscript). This must be deposited within three months of publisher acceptance.
- 4.1.3. Authors are also **encouraged** to deposit in DORA, subject to any publishers' restrictions, a full text version of papers published since 1 January 2014.
- 4.1.4. The publisher final version of the paper must **only** be submitted to DORA **if** the author's agreement with the publisher allows this (eg. If published through the Gold route.)
- 4.1.5. Authors are **required** to use 'De Montfort University' when stating their address within the research output.
- 4.1.6. Authors are **encouraged** to deposit in DORA, subject to any publishers' restrictions, other forms of research output, eg. Monographs, book chapters, multi-media outputs.

4.2. Open Access to research

- 4.2.1. Authors are **required** to make the author accepted manuscripts of journal articles and conference proceedings Open Access. If an embargo period is needed, the output can be stored in the repository and set for public release on the appropriate date.

5. Responsibilities

5.1. **Authors** are responsible for:

- 5.1.1. Deciding where to publish, balancing the fit with funder requirements for Open Access, availability of funding to cover article processing charges, and the quality and impact of the publication.
- 5.1.2. Supplying the metadata for their research outputs to DORA, the institutional repository, in line with the requirements of this policy.
- 5.1.3. Supplying the full text of their research outputs, where applicable, in a suitable format for uploading to DORA and for meeting funder requirements.
- 5.1.4. Meeting the Open Access requirements placed on their research by funding bodies, regulatory agencies or under the terms of a research contract.

5.2. **De Montfort University** is responsible for:

- 5.2.1. Maintaining and managing DMU's research management and repository systems to support this policy and to enable collection of required metadata.
- 5.2.2. Checking that the submitted full text versions in DORA are compliant with publisher policy and copyright permissions.
- 5.2.3. Providing guidance and training to staff and postgraduate research students on complying with this policy and those established by funding bodies and regulatory agencies.
- 5.2.4. Implementing this policy and monitoring its impact.

6. Support

- 6.1. The repository team administers the RCUK block grant, which is allocated on a 'first come, first served' basis (no peer judgement), in response to requests from RCUK-funded researchers. The fund is to cover article processing charges (APCs) for publishing in RCUK Gold OA-compliant journals, where they are not already covered by the research grant.
- 6.2. Library and Learning Services (LLS), together with the Research, Business and Innovation (RBI) Directorate, will provide one-to-one support, as well as

web-based guidance and training for research staff and postgraduate research students to enable them to comply with this policy and those of funding bodies and regulatory agencies.

6.3. An email contact point – openaccess@dmu.ac.uk – will be administered by LLS and the RBI for all queries relating to Open Access.

7. Monitoring

7.1. The University Research and Innovation Committee will monitor the implementation of this policy on an annual basis.

In formulating this policy, De Montfort University has been informed by the Open Access policies of the University of Salford, the University of Southampton, Swansea University and Loughborough University.