

# Plymouth University Research Publications and Open Access Policy

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## 1. Plymouth University Open Access Policy

Plymouth University researchers must create a record for all their University affiliated research outputs and deposit an appropriate version of each publication via their Elements profile. **For journal articles and conference papers published from 1<sup>st</sup> April 2016, the deposit must take place within 90 days of publication.**

The manuscript of the publication must be uploaded with the record upon deposit and made openly accessible unless the publication meets one or more of the allowed exceptions. Relevant **embargo periods should be set upon deposit** and must be within the maximum period specified by your funder or required by your REF UOA.

Compliance with this policy will satisfy funder mandates and REF submission requirements.

The requirement to deposit within 90 days of publication will be reviewed in the light of further HEFCE guidance regarding article format publications from 1<sup>st</sup> April 2018-

## 2. Scope

This policy applies to all research active staff of Plymouth University and covers all published University affiliated research outputs.

Separate provision is made for the open deposit of datasets<sup>1</sup> derived from funded research.

## 3. Background and context

The global movement towards open sharing of research outputs has broadened in scope: supporting not just wider discovery and access; but also concepts about the nature of good academic practise through sharing, a responsibility to demonstrate the integrity of research by allowing the validation of findings, and to enable the creation of new knowledge and understanding by supporting re-use and secondary analysis of content.

Official policies<sup>i</sup> and major research funders now mandate<sup>ii</sup> open access for **article type** outputs published as a result of funded research. The Research Excellence Framework also requires open accessibility of articles published from 1<sup>st</sup> April 2016 onwards for UOA submission in the 2021 round<sup>iii</sup>. In addition, the debate is now beginning to spread beyond articles to other publication types<sup>iv</sup> and open deposit of monograph or chapter outputs is already a requirement for some funders<sup>v</sup>.

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<sup>1</sup> *Plymouth University Research Data Management Policy*. Available from: [http://plymouth.libguides.com/ld.php?content\\_id=9829705](http://plymouth.libguides.com/ld.php?content_id=9829705) (accessed 27<sup>th</sup> October 2015)

Achieving compliance with these mandates is vital if the University is to satisfy funder's expectations for awarding grants, and ensure that PU can *sustain and maximise* its research revenue stream.

There are a number of recognised benefits to making research openly accessible:

- a. **Discoverability.** The University repository, can support the full range of publication types, and enables harvesting by other sources such as GoogleScholar, Primo, and key subject repositories favoured by funding agencies: the model is deposit once, make freely available in many different places. By contrast, most commercial databases require a subscription, index particular publication types, cover only a fraction of Plymouth University's outputs, and in turn point to publication versions that are often not openly available
- b. **Profile.** Open access and wider discoverability has been shown to benefit profile, both of the researcher, and the institution. When coupled with an effective, multi-channel promotional and dissemination strategy, this is magnified
- c. **Citations.** This can be seen clearly through the demonstrable impacts of making things open access and promoting them to a readership<sup>vi</sup>, and through evidence of the readership engaging with the material – as measured through *altmetrics* and *citation metrics*<sup>vii</sup>
- d. **Availability.** Research becomes available to a range of influential people. This includes policy and decision makers, practitioners, business or community leaders, public figures, and media professionals. This increases the chances of research impacting upon public services and policy, health or quality of life, society and culture, or the economy
- e. **Impact.** Open accessibility has a positive effect on the *wider impact measures* assessed through exercises such as the REF. For example, there is much evidence to demonstrate the value of open research not just in overall economic terms, but for technology companies<sup>viii</sup>, and innovative SMEs<sup>ix</sup>

Open accessibility maximises the University's opportunity to exploit impact value from its research. Open research is linked to evidence of uptake and impact, resulting in further research and funding, supporting the profile of the individual and the University, and in turn professional and league table progression, recruitment, and future collaborations.

#### 4. Systems

This policy refers to the research information management systems which form the University's repository environment. These systems support the implementation of this policy, and include:

- a. The Current Research Information System (CRIS), Symplectic **Elements**. Elements is the interface researchers use to create and upload records of research outputs

- i. Elements populates publication profiles on the University website
  - ii. Elements sends records and full-text files to the repository, PEARL
- b. **PEARL** is the University repository, and the institution's publicly accessible catalogue of research publications
- c. Systems will furnish evidence of research outputs and open access compliance to:
  - i. Satisfy funder reporting requirements
  - ii. Inform Faculties and Research Institutes monitoring compliance of their research staff with this policy
- d. Systems will be used to report to the REF for each UOA submission
- e. Systems will provide evidence of Plymouth University's open access activity for benchmarking against other UKHEIs
- f. To enable wider discovery, systems will expose details of Plymouth University research outputs for harvesting by other databases or repositories

## 5. Roles and Responsibilities

- a. **Plymouth University** has a responsibility to ensure that publicly funded research is made openly available in accordance with research funder mandates. In addition, it must maximise the open availability of its research in order to benefit from the impact, reputational and league table gains that can accrue from doing so, and to ensure that high quality outputs are available for selection and submission to benchmarking exercises (such as the REF)
- b. **Faculties and Research Institutes** are responsible for:
  - i. Ensuring that their researchers are aware of this policy
  - ii. Supporting research staff in achieving compliance with the policy
    - Evidence of research outputs and open access deposit, will form part of performance review for research active staff
  - iii. Monitoring compliance with this policy for all active research staff
- c. **Authoring researchers** are responsible for:
  - i. Creating and maintaining an ORCID account (<http://orcid.org/>), to consolidate their publication profile, to improve attribution for their work through use with funders and publishers as part of the grant application and manuscript submission lifecycles, and to make it easier to claim publications via Elements
  - ii. Keeping their publication profile up-to-date by submitting details to Elements of all their Plymouth University affiliated research publications, according to the expectations stated below
  - iii. Ensuring that they understand how to comply with the open access requirements of the University, their funder and the REF:
    - Choosing a route and publisher which results in compliance

- Identifying where funding exists for publishing fees at grant application stage, and applying accordingly
- Ensuring that the publication is made openly available within any decreed timeframe, and legally
- And that the licensing and format of the publication supports re-use

## 6. Research outputs covered by this policy

### a. Journals and conference papers

**All** journal articles and conference papers **must be deposited within 90 days** of the publication date. The deposit can be in the form of:

- An appropriate version of the paper deposited along with the record
- A link from the record to the openly accessible published version

### b. Other research outputs

Researchers should create records for all other research outputs via Elements

- A link should be included from the record to any published version
- Where possible, researchers should deposit the full-text, related files or other digital manifestation for the output

## 7. Compliance: Deposit and Open Access Publication

**a. Appropriate versions for self-deposit:** The following versions of publication manuscripts may be deposited.

- Accepted Manuscript:** i.e. following the peer review process, and including any agreed modifications, but *prior to* copyediting and proof correction (also known as the “postprint” version)
- Final Published Version:** if allowed by the publisher, or published under open access (CC-BY) licensing terms

It is the responsibility of the depositing author to ensure that the correct version, allowed by the publisher under copyright and license, has been deposited

**b. Embargoes:** It is the responsibility of the depositing author to ensure that **any embargo period required by the publisher is set upon deposit.**

- When considering publication, authors should aim for immediate open access, or the shortest embargo period available
  - Any embargo must meet funder and REF requirements
  - Wherever there is conflict between the maximum period allowed by a funder, and the period for a REF UOA, a publisher must be chosen that meets the shortest of the two embargoes
- The embargo period is calculated from the date of *first* publication

- c. **Reuse.** When considering publication, authors should ensure that the content is available for reuse according to their funder's requirements.
  - i. **Creative Commons**: Research published under prepaid open access terms must be done so under a "**CC-BY**" license<sup>2</sup>
    - This ensures immediate availability and re-use upon publication
  - ii. Where the publication is to be self-deposited, the publisher must allow full non-commercial re-use of the work at the end of any embargo period
  - iii. With the publication made available in a machine readable and open file format
  
- d. **Open access publishing fees**
  - i. Articles resulting from **RCUK funded research** can have their article processing charge (or "APC") costs **covered by the University's RCUK block fund** (subject to funding availability)
    - Upon application to the Library
  - ii. Where allowed by the funder, publication charges for **other funded research** should be included at grant application stage, and paid directly from grant funds
    - Some funding agencies may make provision for publication costs from separate funds
  - iii. Authors are individually responsible for the payment of any publication charges not directly covered by their grant, RCUK block funding, or other funder provision

## 8. Exemptions from Deposit

- a. Research outputs
  - i. Publications subject to a permanent embargo (for valid legal, ethical, security, copyright or IPR reasons):
    - A record for the publication **must be created** via Elements
    - A link can be included from the record to any published version
    - Where appropriate, the manuscript may be deposited, and a permanent embargo applied, or a redacted version suitable for open access, may be deposited
- b. Publications authored while a researcher was affiliated to another institution
  - i. A record should NOT be created for these publications. No deposit should be made at all
    - The researcher should use their ORCID account to present a consolidated view of publication activity across their career
- c. Researchers without an Elements account

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<sup>2</sup> Creative Commons. *About the Licenses*. Available from: <https://creativecommons.org/licenses/> (accessed 23<sup>rd</sup> October 2015)

- i. Some groups of researcher do not have an Elements account and will not be able to create a record of their research outputs
  - Faculties and Research Institutes should assess the status of these researchers in terms of REF submission, and make appropriate contractual arrangements
- d. Postgraduate Research Theses
  - i. The deposit of outputs from research degrees is covered under the regulations specified in the Research Degree Handbook

Document Control						
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0.1	JLH	Initial draft	27/10/2015	-	-	-
0.2	EMA/JLH/KR	Revised draft	04/11/2015	-	-	-
0.3	JLH	Revised draft	12/11/2015	-	-	-
0.4	JM/LD/JLH/KR	Draft submitted to R&I Committee	29/11/2015	-	-	-
0.5	JLH	Amended draft incorporating change requested by R&I Committee	01/03/2016			
0.6	JLH	Document updated with update to deposit upon acceptance deadline, and ORCID changes	15/03/2017			
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## Appendix: Endnotes

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i See the 2012 Finch Report: *Accessibility, sustainability, excellence: how to expand access to research publications*. Report of the Working Group on Expanding Access to Published Research Findings. Available from: <http://www.researchinfonet.org/publish/finch/> (accessed 30<sup>th</sup> October 2015); and the European Commission *Open Science (Open Access) Policy*. Available from: <http://ec.europa.eu/research/swafs/index.cfm?pg=policy&lib=science> (accessed 30<sup>th</sup> October 2015)

ii For example, see the following:

RCUK *Policy on Open Access and Supporting Guidance*. Available from: <http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUKOpenAccessPolicy.pdf> (accessed 30<sup>th</sup> October 2015);

European Commission (2013). *Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020*. Available from: [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf) (accessed 30<sup>th</sup> October 2015);

Wellcome Trust. *Open Access Policy*. Available from: <http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002766.htm> (accessed 30<sup>th</sup> October 2015);

and

Department of Health. *NIHR Policy on Open Access for its funded research*. Available from: <http://www.nihr.ac.uk/policy-and-standards/nihr-policy-on-open-access-for-its-funded-research.htm> (accessed 30<sup>th</sup> October 2015)

iii HEFCE. *Policy Guide. Open Access Research*. Available from: <http://www.hefce.ac.uk/rsrch/oa/> (accessed 30<sup>th</sup> October 2015)

iv HEFCE. *Monographs and Open Access Project*. Available from: [http://www.hefce.ac.uk/pubs/rereports/Year/2015/monographs/Title\\_101531\\_en.html](http://www.hefce.ac.uk/pubs/rereports/Year/2015/monographs/Title_101531_en.html) (accessed 30<sup>th</sup> October 2015)

v Wellcome Trust. *Depositing open access monographs and book chapters*. Available from: <http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Monograph-deposit/index.htm> (accessed 30<sup>th</sup> October 2015)

vi Terras, M. (2012). *Is blogging and tweeting about research papers worth it? The verdict*. Available from: <http://melissaterras.blogspot.co.uk/2012/04/is-blogging-and-tweeting-about-research.html> (accessed 1<sup>st</sup> July 2015)

vii For example, see:

Bornmann, L., et al. (2013). Do Altmetrics Work? Twitter and Ten Other Social Web Services. *Plos One*, 8(5), e64841. Available from: <http://dx.doi.org/10.1371/journal.pone.0064841> (accessed 1st July 2015);

Gargouri, Y., et al. (2010). Self-selected or mandated, open access increases citation impact for higher quality research. *Plos One*, 5(10). Available from: <http://dx.doi.org/10.1371/journal.pone.0013636> (accessed 1st July 2015);

and

Piowar, H. A., Day, R. S. and Fridsma, D. B. (2007). Sharing Detailed Research Data Is Associated with Increased Citation Rate. *Plos One*, 2(3), e308. Available from: <http://dx.doi.org/10.1371/journal.pone.0000308> (accessed 1st July 2015)

viii Arundel, A. and Geuna, A. (2004). Proximity and the use of public science by innovative European firms. *Economics of Innovation and New Technology*, 13(6): 559-580

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ix Houghton, J., Swan, A. and Brown, S. (2011). Access to research and technical information in Denmark. Technical Report. School of Electronics & Computer Science, University of Southampton. Available from: <http://eprints.ecs.soton.ac.uk/22603/> (accessed 30<sup>th</sup> October 2015)