University of Northampton Open Access Policy

1.0 Introduction

"Open Access" is unrestricted access via the internet to peer reviewed scholarly research. This includes but is not limited to:

- Journal Articles
- Conference Proceedings
- Book Chapters
- Monographs
- Research Data
- Open Educational Resources

Open access can be defined as the free, immediate, online availability of research articles coupled with the rights to use these articles fully in the digital environment. Open Access ensures that anyone can access and build upon these results.

The University of Northampton recognises that there is significant economic, scientific and societal return for the free and open access of research outputs. We support the convention of open access and expect all researchers at the University to share their research outputs freely subject to legal, ethical, commercial and contractual constraints. Open access is essential to the development of collaborative and cutting-edge research with additional visibility and reach of the research being paramount to the increased profiles of both the individual researchers and institution alike.

The preferred option for the university is to publish via the "green" open access (refer to glossary) route. This keeps costs to a minimum while still regularly being indexed by general and specialist search engines. Using these two forms of open access harmonises with our commitment to nurturing a culture of open access. Where green open access isn't available and the primary author is employed by the University of Northampton there is a small institutional fund available for "gold" open access (refer to glossary), publishing under a CC-BY licence (refer to glossary). To apply email openaccess@northampton.ac.uk.

2.0 Scope

The policy applies to all research outputs authored/co-authored and created/co-created by employees of the University of Northampton.

The policy laid out in this document does not supersede funder or Research Councils UK, Horizon2020, Wellcome Trust and Charities Open Access Fund requirements and should be used in conjunction with them.

3.0 Responsibilities

3.1 Research Outputs

- All journal articles and conference proceedings, where legally and ethically possible, must have a copy of the authors accepted manuscript and basic bibliographic details (metadata) uploaded to Pure **on acceptance and no later than two months after acceptance**. Full bibliographic details must be updated once the paper has been published.
- Where an APC (article processing charge) has been paid (gold open access), the accepted manuscript must be uploaded to Pure within one month of acceptance.
- In the case of multi-authored papers, where it is not possible for a copy of the author accepted manuscript to be deposited, bibliographic details must still be entered onto Pure **within two months of acceptance** and full details once published. Evidence of at least two attempts to obtain the author accepted manuscript must be provided and sent to pure@northampton.ac.uk.
- All other textual research outputs (e.g. posters, books, and book chapters) are required to be uploaded to Pure **on acceptance and no later than two months after acceptance**.
- Non-textual outputs such as exhibitions or performances must be uploaded **within 2 months of the last activity**.
- Non-textual outputs such as compositions, digital products, software and artefacts must be uploaded **within 2 months of entering the public domain**.

3.2 Datasets

- Datasets are required to be deposited in Pure when a research output has been submitted for publication. A statement to the

effect of "the underlying data is available at [DOI] should be included in the output submitted, this can also be added prior to signing any copyright transfer agreement. Embargo periods of 12 months are allowed, and can be, in rare circumstances extended or made permanent (either due to the nature of the data or funder requirements) upon discussion with the Head of Research Support.

- A data access statement is required when depositing a dataset. This should direct the reader of a publication to the underpinning data or explain how the underpinning data can be accessed. Researchers should include a data statement in their publications for the purposes of clarity and transparency and in accordance with the open data ethos advocated by RCUK and other research funders.
- Once uploaded and validated in Pure, a DOI for the dataset can be provided by a member of the research support team.

3.3 Repository

- Research active members of staff are responsible for ensuring that data entered onto Pure is as accurate and up to date as possible.
- New research active members of staff are required to attend a Pure training session and ensure their profile (photo, ORCID id, biography and research interests), including outputs within the current REF cycle, is up to date within 3 months of commencing employment at the university.

4.0 Guidance

Researchers must consider open access when selecting where to publish their research outputs. Researchers should be aware of the restrictions placed upon their outputs by publishers and can check publisher embargo periods and open access status by using SHERPA RoMEO or contacting the Research Support team at openaccess@northampton.ac.uk

There is a small institutional fund, managed by the Head of Research Support, available to support primary authors to pay for article processing charges that have excessive embargo periods, have no green option or where there is a distinct advantage of making the publisher's version available upon publication. Requests for payment of APCs should be emailed to openaccess@northampton.ac.uk prior to signing any transfer

of copyright. The University will not pay retrospectively for "gold" open access.

Many publishers allow open access through the depositing of the accepted manuscript within an Institutional Repository (Pure, for UoN). Often publishers will only allow this to be made available after a set time has expired from the date of publication, this is referred to as an embargo period. Where possible, within STEM areas researchers should seek to publish in journals with 0 to 12 months embargo periods, and within the arts and humanities, in journals with 0 – 24 months embargo periods. Where the publisher's policies exceed these embargo periods, the use of the [Scholarly Publishing and Academic Resources Coalition change to copyright transfer](#) is encouraged.

The University of Northampton has no specific requirements or mandate for a particular Commons Creative Licence when publishing a research output. However, in the absence of a funder specific requirement researchers are encouraged to apply the CC-BY licence where possible. The university will support outputs published with the CC-BY licence for funding. This licence gives the most freedom and visibility for others to view and built upon the research output conforming to the University commitment of making research as openly available as possible. If there is a need for an output to be published with a CC-BY-NC (Non-Commercial) licence, these will be considered by the Head of Research Support on a case by case basis.

5.0 Policy Approval & Review

This policy was considered at the Research and Enterprise Committee on the 23rd of January 2020. It was approved at the Senate on the 5th of February 2020.

This policy shall be reviewed every 12 months at the Research and Enterprise Committee as part of our regular review of progress towards the University of Northampton's pledge towards creating a transparent and open research environment.

6.0 Definitions

Term	Definition

Research Output(s)	The externally disseminated product of a research process. This can include but is not limited to publications, presentations, patents, performances, exhibitions, compositions and other discipline specific outputs.
Data set	Research data refers to whatever is necessary to verify or reproduce research findings, or to gain a richer understanding of them. The collation of this research into one set of files is referred to as a dataset.
Open Access	Open Access is the free, immediate, online availability of research articles coupled with the rights to use these articles fully in the digital environment. Open Access ensures that anyone can access and use these results—to turn ideas into industries and breakthroughs into better lives.
Gold Open Access	Open Access is made possible by paying an article processing charge to the publisher, that allows for the Publisher's PDF to be made freely available.
Green Open Access	Open Access is made possible through depositing the accepted manuscript in an institutional repository and made available after any specified embargo periods.
Pure	Pure is the University's Current Research Information System (CRIS) that is used to curate research outputs and activities, provide business information in relation to the REF, Projects, Equipment and also acts as a repository for datasets. Pure is the platform from which academics upload outputs and create relationships between them.
Embargo Period	A period of time, post publication, in which a research output may not be made Open Access in a repository. The length of the embargo is set by the publisher.
Creative Commons Licence	Creative Commons licences enable copyright owners to give permission to copy and disseminate the work. Sometimes this condition is laid out by the funder.
Creative Commons CC-BY Licence	This license lets others distribute, tweak and build upon research as long as they credit you for the original creation. This is the most accommodating of

	licenses offered and is recommended for maximum dissemination.
Creative Commons CC-BY-NC Licence	This license lets others remix, tweak, and build upon your work non-commercially, and although their new works must also acknowledge you and be non-commercial, they don't have to license their derivative works on the same terms.
Accepter Author Manuscript	The final author-created version of the manuscript, which includes any changes made after peer-review and has been accepted for publication by the journal.
Final Published Version	The peer reviewed, edited, formatted and typeset version of the article, including any tagging, indexing and other enhancements published by IOP Publishing and/or its licensors.

For any open access information or queries please contact
openaccess@Northampton.ac.uk