

## University of Central Lancashire Open Access Policy

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	Amended July 2019; September 2019; Reviewed by Open Research Steering Group May 2021 and January 2023.
Summary of changes	Document brought up to date and in line with, external Open Access policies such as REF, UKRI; University research strategy; School and Service restructures University Strategic plan and Rights Retention Strategy added.

## Open Access Policy

### 1. Introduction

As illustrated by the University's [Strategic Plan 2021-2028](#) the University of Central Lancashire is committed to delivering an environment which supports the production of accessible knowledge and information to realise impacts of relevance to society. UCLan supports the principles of Open Access and is committed to increasing the visibility, use and impact of UCLan research as rapidly and effectively as practicable

The University acknowledges that the current period is one of considerable debate and change in open access publishing. It will therefore adopt a flexible, pragmatic and where possible, sustainable approach to the implementation of this policy. Researchers are advised to contact the Open Research Team for advice before publishing,

## 2. Benefits to Researchers of Open Access

- To share the results of research as widely and quickly as possible
- To give access to research without restrictions of price or permissions
- To assist multi-disciplinary research
- To create new opportunities for both inter-institutional and inter-sectoral collaboration
- To increase international visibility and impact
- To meet the grant conditions of funding bodies
- To align with government policy and enhance preparation for research outputs for submission to REF2021 and subsequent Research Excellence Framework exercises

## 3. Scope of policy

This Policy applies to all staff, researchers and students and to all research outputs which derive from their employment by the University, from research grants awarded to the University, or otherwise from the use of university resources and facilities. It applies to co-authored outputs as well as to single authored outputs.

This policy does not apply to Open Data. Please refer to the UCLan Research Data Management Policy.

## 4. Policy

- All research outputs since Jan 2008 (or start of employment with UCLan - whichever is the later) must be recorded on the University of Central Lancashire's Institutional Repository ([Central Lancashire online Knowledge - CLoK](#)<sup>1</sup>). In all cases, this must include bibliographic information. For all textual outputs, an appropriate version of the full-text (as determined by publisher/funder policies) must be deposited on the record within the designated time-parameters of government, funder and publisher requirements.
- All research outputs produced whilst employed at UCLan should be made available in an Open Access format upon publication where practicable, taking into consideration publishing restrictions, protection of Intellectual Property Right (IPR) and confidentiality.
- Open Access compliance is mainly applicable to Articles and Conference proceedings and therefore articles and conferences papers with an ISSN must be deposited into CLoK within 3 months of acceptance by publisher, or earlier if funding body stipulates an earlier date.
- Researchers are encouraged to deposit copies of earlier outputs produced before employment at UCLan on the Institutional Repository as this will assist the establishment of impact.

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<sup>1</sup> Central Lancashire online Knowledge is hosted by E-prints Services Southampton.

- Individual staff members are responsible for providing and maintaining details of their publications in the University Repository to support their own compliance with the University Open Access Policy.
- Researchers should register for an ORCID<sup>2</sup> number and link this to their CLoK record/provide to publishers when submitting outputs.

## 5. Compliance

The University recognises that there are different forms of Open Access available and promotes compliance with this policy through different routes such as:

- Increased and expanded use of the Institutional Repository
- Publishing in a free Open Access journal or equivalent entity
- Increased use of Open Access Subject Repositories
- Publishing within an Open Access or “hybrid” subscription journal and paying where possible the “Article Processing Charge” (APC) to ensure that the article is available on an Open Access basis providing that this does not breach Funding Body policies, Research England (REF) Open Access policies, any agreements with other partners in the project, any other legal agreements, or are contrary to the University’s IP policy

Where the publication is in a journal or conference paper published with an ISSN number, Corresponding Authors are encouraged to take advantage of any publisher or journal Transformative Arrangements that UCLan have entered into and that permit Open Access publishing at no APC cost, providing that this does not breach Funding Body or Research England (REF) Open Access policies in respect of compliant journals.

With journal and conference papers published with an ISSN, a CC-Licence should be applied. Many Funding Bodies have specific licencing requirements, and these **must be adhered to** when selecting the licence, unless an exception has been applied for and permitted by the relevant Funding Body.

In cases where a funded article, or conference paper with an ISSN number, will be published via the green Open Access route (depositing the Author Accepted Manuscript (AAM) with a CC-BY licence into CLoK immediately on publication), the UCLan Corresponding Author should submit the article with the appropriate Rights Retention statement to notify the publisher of this intention<sup>3</sup>. If the publisher refuses or

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<sup>2</sup> Open Researcher and Contributor ID (ORCID) is an open, non-profit, community-driven initiative providing researchers a unique persistent identifier which can be added to a wide range of research material including grants, research outputs and datasets. It provides a means to distinguish you from other authors with identical or similar names, especially if you have had or used different names during your career and is persistent so you can use it throughout your research career. It ensures that your work is clearly attributed to you. It links together your body of work and so improves recognition and discoverability for you and your research outputs and makes it easy for others including potential collaborators, funders, prospective employers, conference organizers, publishers to easily find your research <https://orcid.org/>

<sup>3</sup> Please contact the Open Research Team for guidance before submission

will not permit this without an APC being paid, then a waiver must be sought, or the article withdrawn and submitted elsewhere.

In reflection of sector movements, where the cost of the Open Access publication of an article or conference paper with an ISSN has been met by internal UCLan funding or indirect funding through a Transformative or Transitional Agreement, then the default selection must be a CC-BY licence, unless there are legitimate concerns about this route. Advice should be sought before publication from the Open Research Team before signing any contractual agreement. Other CC licences will be by exception.

Within the sector, some Funding Bodies now include long-form monographs and book chapters within their Open Access policy requirements. Given the protracted length of contracts, where appropriate UCLan authors are encouraged to explore avenues to achieve compliant Open Access for these formats.

In all publication formats created by UCLan authors, consideration must be given where an underlying resource<sup>[1]</sup> that may be novel, copyrightable or have potential for commercialisation and therefore more appropriate to be licenced via UCLan's IP portal) or, whether the output discloses confidential information that may belong to another party may be included in the publication. This should be discussed with the Open Research Team and IP and Commercialisation Team before submission for publication.

## 5.1 Monitoring compliance

- The Research and Enterprise Service will monitor Open Access compliance and report to Heads of Schools, Associate Deans for Research & Knowledge Exchange (or equivalent), University Research, Knowledge Exchange and Ethics Committee (URKEEC) and any other relevant committee as requested

## **6. Roles and Responsibilities**

### 6.1 Authors of research outputs

- Required to familiarise themselves and comply with current Funder publishing requirements to ensure compliance
- Required to familiarise themselves and comply with copyright, publisher, General Data Protection Regulation (GDPR), Intellectual Property Rights, confidentiality and Freedom of Information requirements
- Required to consider publishers Open Access policies in determining where to publish to ensure that their research output is made available in an Open Access format as soon as practicably possible
  - Encouraged to retain ownership of the copyright of published papers wherever possible
  - Expected to apply a permissive licence (Creative Commons: CC-BY<sup>4</sup>) with articles and conference papers with an ISSN number to ensure it aligns with the requirements

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<sup>[1]</sup> Patents, etc

<sup>4</sup> <https://creativecommons.org/licenses/by/4.0/>

of funding bodies/Plan S requirements unless there is a legitimate reason for not doing so. This should be discussed with the Open Research Team before publication.

- Expected to request APC funding in grants wherever possible
- Where external funding is available to meet the costs of Open Access article processing charges, researchers should take advantage of opportunities to publish their work with immediate Open Access upon publication
- Individual staff members are responsible for ensuring their own compliance with the UCLan Open Access policy

## 6.2 Appraisers

- Appraisers are responsible for monitoring compliance of this policy through the appraisal process

## 6.3 Doctoral Supervisors

- Where a researcher supervises doctoral students, he/she should be aware of supervisor responsibilities with regard to ensuring compliance with this policy

## 6.4 Postgraduate Research Students

- Primary responsibility for ensuring compliance with this policy lies with student who is overseen by the Director of Studies/Supervisory Team

## 6.5 The University

- Will promote the use of the Institutional Repository
- Will promote awareness of the Open Access agenda, requirements and this policy
- Subject to funding availability, establish a budget for payment of Article Processing Charges and monographs and provide clear guidelines in respect of how this funding will be allocated
- Develop a long-term sustainable storage policy for Open Access items within the repository
- Support UCLan open access journals systems

## 6.6 Research and Enterprise Service

- The Director of Research and Enterprise Service or nominee is responsible for the development and updating of the Open Access Policy.
- The Research and Enterprise Service is responsible for the development and maintenance of procedures to operate this policy which will be ratified by the Open Research Steering Group.
- The Open Research Team (ORT) is responsible for providing advice on publisher, funding body and copyright requirements
- The Intellectual Property & Commercialisation Unit are responsible for providing guidance relating to commercial or exploitable resources

- Eprints Services and the ORT are responsible for maintenance and promotion of the Institutional Repository (CLoK)

## **7. Policy Review**

University Research, Knowledge Exchange and Ethics Committee (URKEEC) will be responsible for approving this policy as recommended by the Open Research Steering Group. The policy will be reviewed at least annually by the Open Research Steering Group and updated as deemed necessary.

Next policy review date January 2024.