

Academic Policy Statement APS 26:

Open Access Publications

1. Introduction

The past two years have seen an increased commitment by Middlesex University to strengthen the performance of our academic staff by promoting academic excellence, enabling these staff to be academically outstanding with a strong reputation amongst research peers and to focus on producing internationally renowned research.¹

This policy and supporting guidelines provide clarity over what is expected of its researchers in respect of their published outputs.

The changing scholarly communications landscape these researchers work within is seeing a rise in the significance of open access publishing. This has a number of benefits for both the individual (as researcher and as reader) and the institution by increasing access to and visibility of published research outputs. It is also vital for meeting the requirements of many funders and for eligibility for submission in the post-2014 Research Excellence Framework.

2. Benefits of Open Access

The release of a report on expanding access to published research findings, the Government initiated Finch Group,² noted a number of specific potential benefits from Open Access including:

- closer linkages between research and innovation, in areas including public policy and public services and in ways important for economic growth
- increased public engagement with research, improving reach into public and voluntary sectors, business and the professions
- enhanced transparency, openness and accountability
- improved efficiency in the research process itself
- increases in the amount of information that is readily accessible
- reductions in the time spent in finding information
- greater use of the latest tools and services to organise, manipulate and analyse research.

¹ Middlesex University Corporate Strategy 2012-2017

http://www.mdx.ac.uk/_data/assets/pdf_file/0009/59247/MDXStrategicPlan_2012-2017_updated_V3.pdf

² "Accessibility, sustainability, excellence: how to expand access to research publications",

<http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf>

3. Funder Expectations

Many research funders recognise the advantages of OA as mentioned above and there have been changes to their requirements in recent years. The Research Councils UK³, the Wellcome Trust⁴ and the European Commission⁵ are amongst funders who have introduced (or strengthened) policies requiring researchers to make works produced from research funded by these agencies freely available, either in an Open Access journal or in an Open Access repository. HEFCE have also introduced an open-access requirement in the post-2014 Research Excellence Framework, stipulating that:

‘...journal articles and conference proceedings must be available in an open-access form to be eligible for the post-2014 REF. In practice, this means that these outputs must be uploaded to an institutional or subject repository at the point of acceptance for publication’⁶

Indications are that Open Access expectations will grow. Many funders (including RCUK⁷ and the Wellcome Trust⁸) have an increasing expectation that appropriate research data, and not only outputs, will be made openly available with as few restrictions as possible.

See the Guide to complying with the RCUK policy⁹ and the Guide to the HEFCE Policy on Open Access Research¹⁰ for further information.

4. Routes to Open Access

Three different routes to Open Access (OA) are possible:

1. Green OA. Publish in a journal which allows¹¹ the final agreed full-text version of the author’s manuscript (also known as the post-print, incorporating changes made as a result of receiving referees comments but lacking publisher formatting) or final published version to be made Open Access through author deposit in an appropriate repository.
2. Publish in an OA journal and upon publication, self-deposit the published version in the institutional repository and any subject repository required by your funder, e.g. Europe PubMed Central for Wellcome Trust. This may involve payment of a Gold OA fee.

³ <http://www.rcuk.ac.uk/research/outputs/>

⁴ <http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/index.htm>

⁵ <http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1294&lang=1>

⁶ <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/>

⁷ See the RCUK Common Principles on Data Policy: <http://www.rcuk.ac.uk/research/datapolicy/>

⁸ Wellcome Trust policy on data management and sharing: <http://www.wellcome.ac.uk/about-us/policy/policy-and-position-statements/wtx035043.htm>

⁹ Guide to complying with the RCUK policy: <http://libguides.mdx.ac.uk/openaccess/rcukpolicy>

¹⁰ <http://libguides.mdx.ac.uk/openaccess/hefce>

¹¹ Please refer to the journal itself for accurate information on what it allows, although SHERPA/ROMEO <http://www.sherpa.ac.uk/romeo/> may be a useful guide.

3. Pay for Gold OA when the journal offers it. These are sometimes called hybrid journals where the publisher may also deposit on the author's behalf in Europe PubMed Central. Authors should also deposit in the institutional repository.

Further information about Open Access and ways to achieve it are available in the Guide to Open Access¹².

5. Middlesex University Research Repository

This policy builds upon the previous [Middlesex University Policy](#) on Open Access Publishing which requires research outputs to be deposited in the institutional repository.

It applies to all academic staff, all research staff and all students whose research outputs derive from their employment by the University, from research grants or otherwise from the use of University resources and facilities.

The institutional repository assists researchers by:

- a) Enabling the green (self-archiving) route to Open Access and in doing so ensuring staff meet funders' Open Access requirements.
- b) Providing back-up copies of uploaded articles. Providing a show-case of the research outputs of Middlesex University easily search via Google Scholar and other internet search systems.
- c) Facilitating the management of Middlesex University's statutory returns such as the Research Excellence Framework (REF) and the Researchfish system.
- d) Providing records which can be used in University processes.

6. Researcher responsibilities

This policy requires researchers at Middlesex University to:

- 1) Create a record in the University repository for each of their research outputs.
- 2) Where legally permitted, make all research outputs Open Access upon acceptance for publication, in the University repository, in order to maximise the visibility of their research.¹³
- 3) Provide a link to where the full output may be accessed, in cases where it is not permitted to include it in the repository.
- 4) Use the phrase "Middlesex University" within the research output when stating the address of the originating institution¹⁴.

For further information on recording the address of the institution see the Guide to naming Middlesex University as an originating institution¹⁵.

¹² Guide to Open Access: <http://libguides.mdx.ac.uk/openaccess>

¹³ The final agreed full-text version is preferred. Such Open Access deposit will be governed by copyright law and by agreed publisher, government or funder expectations: embargo periods may apply.

¹⁴ It is important that researchers use the same originating institution phrase as it will simplify bibliometric searches which may be carried out for assessments of research at the institution, such as by the government or university league tables. It will make it possible to identify and retrieve all the University's research publications in research aggregation services such as Web of Science, Scopus and PubMed. Add in link to guide on institutional address.

7. Support for Researchers

It is recognised that some researchers may need training and support with various elements of the research lifecycle including education about open access compliance, funder requirements and how to make use of the institutional repository to follow the Green (self-archiving) route to Open Access.

Online and face to face resources and support are being planned by the Library, the Research and Knowledge Transfer Office (RKTO) and Staff Development starting in the academic year 2014-15.

For further information and contact details see the Guide to Open Access.¹⁶

8. Beyond this Policy

Some research funders may require that researchers include a statement on how the underlying research materials, such as data, samples or models, can be accessed, with a research output. Library & Learning Support and the Research & Knowledge Transfer Office are also working to support researchers with their needs relating to research data management.

9. Policy Implementation

This policy was approved by Achievement Committee on 2 December 2014 for adoption from 30 March 2015.

Revision history	This policy was considered and approved by the Achievement Committee on the 2 December 2014 for adoption from 30 March 2015, prior to Academic Board approval on 22 nd April 2015. This policy is to be reviewed in April 2020.
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¹⁵ Guide to naming Middlesex University as an originating institution when published:
<http://libguides.mdx.ac.uk/openaccess/naminginstitution>

¹⁶ Guide to Open Access: <http://libguides.mdx.ac.uk/openaccess>