



Open Access Framework

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1. Introduction

Open Access is a principle concerned with public accessibility to research outputs that have been funded in full, or in part, by public funds. Open Access is usually achieved through online archiving of full text versions of research outputs. Full texts can either be the version of record (VoR) or the Author's Accepted Manuscript (AAM).

In 2016, Research England (formerly HEFCE) announced that journal articles and conference proceedings with an ISSN must comply with its open access policy to be submitted to the exercise. Then, in 2018, several funders endorsed Plan S, an initiative designed to drive forward immediate Open Access, and implemented the plan through their policies from 2021, cementing open access to outputs as a standard expectation across the sector in the UK.

For these reasons, research institutions are obliged to support Open Access. The University is committed to its obligation to facilitate Open Access to our authors' research publications via our online research repository (Pure). The purpose of this document is to set out the roles, responsibilities and processes that comprise the University's approach to Open Access.

2. Scope of framework

This framework applies to all journal articles and conference proceedings with an ISSN authored by academic members of staff employed by the University of Roehampton. University of Roehampton authors are required to make all journal articles and conference proceedings with an ISSN Open Access via the green or, where possible, gold routes to Open Access.

The University does not require long-form and non-textual outputs such as monographs, chapters and films to be made Open Access although it is encouraged where copyright permits. Where authors are in receipt of external funding, the University requires authors to prioritise compliance with the funders' Open Access policy.

Open Access requirements are subject to change and it is expected that outputs such as monographs and chapters will eventually be subject to requirements. This framework will be reviewed and revised as national requirements change.

3. Responsibilities

This framework applies to research outputs authored by all academic staff employed by the University of Roehampton. Postgraduate Research students are encouraged, but not obliged, to comply with the research outputs element of this framework.

Research outputs published as a result of funded research projects may be required to comply with the funder's Open Access policy. The University requires all grant holders to comply with their funder's Open Access policy where Open Access requirements are a condition of the grant. Links to the Open Access policies of some of the major funders can be found in Appendix 1.

4. Definitions

Author's Accepted Manuscript (AAM): The author's final version of an article, including changes agreed during peer review but without the publisher's typesetting or logos (also known as the post-print).

Self-archive: Describes the act of depositing and making open access a full text version of a research output in an institutional repository. The terms 'self-archiving' and 'open access' are sometimes used interchangeably in relation to publishers' policies.

Pure: The University's research repository and Current Research Information System (CRIS) which stores information about academic staff, organisational units, research outputs and academic activities.

Research Explorer: Pure's public-facing portal. The portal displays information maintained in Pure including details of research outputs. The Research Explorer is accessible at <https://pure.roehampton.ac.uk/portal/>.

Version of Record: The final published version of a research output. This version will have been copyedited and typeset by the publisher and usually includes their logos and formatting.

Article Processing Charge (APC): A publishing cost paid to the publisher to make the final published version of research outputs immediately Open Access (known as the gold route).

Transitional Agreement: Also known as Read & Publish agreements, these are agreements between institutions or consortiums and publishers that shift spend from subscription access to Open Access publishing services.

Creative Commons Licences: Free licensing tools that benefit authors by allowing them to clearly define which parts of their copyright they are happy to give to the public. When a CC licence is applied to a work, it is usually displayed up-front so that users can see how they are permitted to re-use the work without having to contact the owner.

Open Access Compliance: Refers to the status of an output in regard to whether it has, or has not, met the deposit and access requirements set out in the REF Open Access policy.

Validation: Refers to an administrative process in Pure that allows administrators to check output records before they are made publicly accessible via the Research Explorer.

Green route: Free open access archiving of the full text of a research output, often with an embargo period ranging from 6-24 months and restrictions on the version that can be made open (usually the AAM).

Gold route: Enables immediate access of the version of record, often incurring an article processing charge (APC) which is paid to the publisher.

Diamond route: Also known as Platinum route, refers to journals that publish open access without charging an APC. These journals are mostly online-only publications that are funded by institutions or societies.

5. Routes to Open Access

Open access can be achieved through two key routes which are commonly known as green and gold. The green route to Open Access is free to authors and to the Institution and is the University's default route. The gold route to Open Access usually requires payment of an Article Processing Charge (APC). The University has a range of transitional agreements in place with major academic publishers. Authors should publish through these agreements wherever possible. The University does not have a mechanism to support the payment of APCs outside of these agreements.

6. Research Outputs

6.1. Journal articles and conference proceedings with an ISSN

The University requires that the full texts of all journal articles and conference proceedings with an ISSN, regardless of REF status, are made Open Access through Pure. Authors are responsible for ensuring journal articles and conference proceedings with an ISSN are deposited in Pure within three months of acceptance and should follow the standard [Open Access process](#) for all journal articles and conference proceedings with an ISSN. The Research Office is responsible for checking and validating output records in Pure and ensuring that embargo periods are set in line with publishers' policies. Journal articles published Open Access via gold or diamond routes must have a record of the article in Pure that includes, at the very least, a link to the full text.

6.2. Monographs, chapters and edited collections

The University does not require Open Access archiving of full texts of long-form outputs unless the output is a product of funding and the awarding funding body requires Open Access to such outputs as a condition of the grant. Authors are required, however, to create a basic record of such outputs in Pure to reflect their most recent publications. Where authors wish to archive full texts of such outputs, and the publisher's policy permits, authors will be supported to do this via Pure. In such cases, authors will be responsible for seeking necessary permissions from any third-party copyright owners.

This framework will be reviewed and revised should requirements for monographs, chapters and edited collections change.

6.3. Non-textual outputs

Open access generally pertains to public accessibility to full texts of research outputs, therefore, for the purpose of this framework, there are no compulsory Open Access requirements for non-textual outputs. Researchers are, however, supported to upload such outputs to Pure and make them openly accessible where copyright allows.

7. Research data

The University does not require mandatory Open Access archiving of underlying research data unless the data is a product of funding and the awarding funder requires Open Access to the data as a condition of the grant. Researchers are, however, permitted to upload underlying research data to free external data repositories and link this to a dataset record in Pure. Research data is subject to the General Data Protection Regulation and the UK Data Protection Act 2018. Researchers should always follow the University's [Data Protection and Storage Guidance for Researchers](#) before archiving research data.

Guidance on linking an externally hosted dataset to Pure can be found on the [Open Research Staff Portal Pages](#).

8. Publication venues

University of Roehampton authors are entrusted to select the most appropriate publication venues for their research outputs in terms of academic reach and

prestigiousness. During the process of selecting a publication venue, authors should consider their obligation to upload and make Open Access a full text file in Pure. Authors are advised to check the publisher's Open Access/self-archiving policy before submitting to the journal. In accordance with the REF2021 Open Access policy, the University advises that full texts should not be embargoed for more than 12 months for the sciences and more than 24 months for all other disciplines.

9. Article Processing Charges

The University does not administer a central fund for APCs. Wherever appropriate, authors should seek to publish through one of the University's transitional agreements which cover the cost of APCs. Guidance on the University's transitional agreements can be found on the [Open Research Staff Portal Pages](#).

10. Copyright

Authors should retain copyright to their work wherever this is an option. We recognise that some publishing agreements require authors to assign copyright to the publisher. In such cases, authors should ensure that they retain basic rights such as the right to self-archive and to use their own work in teaching. Where authors require guidance on this matter, they should contact openaccess@roehampton.ac.uk for advice before signing.

Where authors have the option to publish under a range of Creative Commons Licences, CC BY is recommended in the spirit of Open Access. We understand that some works require greater protection, and, in such cases, authors should consult the [Creative Commons Licence Chooser tool](#) or contact openaccess@roehampton.ac.uk for advice.

11. Funded outputs

Where outputs are the direct result of funding, the University requires that the Open Access policy of the funder takes precedent. This is inclusive of long-form outputs and research data. Authors are required to understand the funder's Open Access requirements and utilise Pure and/or the University's transitional agreements where appropriate. Where necessary, authors should seek guidance by emailing openaccess@roehampton.ac.uk.

12. Monitoring and reporting

Institutional data on Open Access is used, and sometimes shared, in a variety of internal and external exercises. In some instances, Open Access and research output information may be shared in formats which clearly identify individuals in relation to specific research outputs.

12.1. Internal monitoring and reporting

Data on Open Access is reported on a regular basis to inform a variety of internal processes. Reports include, but are not limited to:

- Open access compliance rate in a department or research centre.
- Open access statuses of individual outputs and Open access compliance rate in a 'unit of assessment' used in internal REF modelling.

- Open Access compliance status of outputs considered at the Workload Allocation Panel.
- Exercises to review the University's transitional agreements.

12.2. External monitoring and reporting

The University is required to report Institutional data on Open Access for exercises which include, but are not limited to:

- REF submission.
- JISC APC reporting.
- Data used in negotiations with Publishers.

Appendix 1 – Research Funders’ Open Access Policies

Funder and link to Open Access policy	OA policy effective
Wellcome Trust	Applies to articles submitted for publication from 01-Jan-21
UKRI	Applies to articles submitted for publication from 01-Apr-22 and to long form outputs published from 01-Jan-24
Cancer Research UK	Applies to articles submitted for publication from 01-Jan-22
Templeton foundation	Applies to articles submitted for publication from 01-Jan-21
Leverhulme Trust	<i>No mandatory requirement</i>
British Academy	<i>No mandatory requirement</i>
European Commission/Horizon Europe (formerly Horizon 2020)	Applies to funding awarded from April 2021
Bill & Melinda Gates Foundation	Applies to articles submitted for publication from 01-Jan-21
British Heart Foundation	July 2021