Open Access Policy

Effective from 13 February 2019

Version Number: 2.0

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Document Control Information			
Revision History incl. Authorisation: (most recent first)			
Author	**Summary of Changes**	**Version**	**Authorised & Date**
Prof C. Birkbeck, Emma Smith	Revised policy in accordance with policy review timeline. Updated to align with REF2021 open access policy, and bring other research outputs into scope.	V2.0	Research & Enterprise Committee: 13/02/2019
Prof C. Birkbeck, David Clay, Jo Cresswell	New policy at request of N Mellors	V1.0	Research Committee: 14/01/2015

Policy Management and Responsibilities:	
Owner: Deputy Vice Chancellor	This Policy is issued by the Deputy Vice Chancellor, who has the authority to issue and communicate policy on open access research outputs and has delegated day to day management and communication of the policy to the Library's Learning & Research Support team.
Others with responsibilities: Head of Learning & Research Support; Academic Support Manager (Research); Scholarly Communications Librarian	All subjects of the Policy will be responsible for engaging with and adhering to this policy.

Author to complete formal assessment with the following advisory teams:	
Equality Analysis (E&D, HR)	1. *Completed, discussed with Tara Leach in Equality, Inclusion and Diversity, and final version submitted, 5.2.19.*
Legal implications (LPG)	2. *N/A*
Information Governance (LPG)	3. *Submitted to Information Governance, 18.1.19.*
Student facing procedures (QEO)	4. *N/A*
UKVI Compliance (Student Admin)	5. *N/A*

Consultation:	
Staff Trades Unions via HR Students via USSU Relevant external bodies (specify)	N/A

Review:	
Review due:	2 years by February 2021 (maximum review period of 3 yrs)
Document location:	University Policy & Procedure Pages
University of Salford Policy pages http://www.salford.ac.uk/policies	
The owner and author are responsible for publicising this policy document.	

1.0 Purpose

The University of Salford has a longstanding and celebrated tradition of "uniting staff, students, industry and communities in a multi-disciplinary, technology-enabled environment in the pursuit of the shared goals of knowledge, learning and innovation".[1] We believe that embracing a culture of open research – sharing the outputs of our research widely and rapidly – is essential to achieving our institutional mission. By providing unrestricted online access, wherever possible, to the full range of our research outputs we aim to maximise visibility, accessibility and use, and help realise their potential to make significant academic, economic, social and cultural impacts. The University is committed to academic freedom, and will support researchers to choose the most appropriate outlet for their work, regardless of career level, discipline or funding source.

2.0 Scope

This policy is relevant to all research outputs produced by staff and postgraduate research (PGR) students at the University of Salford. The scope of this policy reflects the evolving external policy environment which places an increasing emphasis on open access across a widening range of research outputs.

The policy statements in section 3.1 apply to all journal articles and conference contributions published with an International Standard Serial Number (ISSN) authored or co-authored by staff and PGR students at the University of Salford.

Section 3.2 sets out expectations which apply to other research outputs produced by staff and PGR students (including, but not limited to, research data, monographs, PhD theses, video and audio files, code, tools, and creative works). More detailed requirements on the dissemination of research data are set out in the Research Data Management Policy and are therefore outside the scope of this policy. Requirements on the deposit of PhD e-theses are set out in the Academic Regulations for Research Programmes and the Code of Practice for Postgraduate Research Programmes.

The requirements of this policy, in part or whole, may be waived in exceptional circumstances, subject to the approval of the relevant Associate Dean for Research (or nominated representative) and where permissible under any applicable external policies. The Library's USIR team must be advised of any exceptions within the scope of section 3.1.

3.0 Policy Statements

3.1 Journal articles and conference contributions

The University of Salford requires that:

3.1.1   Authors deposit into USIR full-text copies of their journal articles and conference contributions in conference proceedings with an International Standard Serial Number (ISSN) at the point of acceptance for publication, and no later than three months after that date.

3.1.2   The full-text output deposited should be the author's accepted and final peer-reviewed manuscript (known as the 'author's accepted manuscript' or AAM), although this may be replaced at a later date by the final version of record.

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[1] UoS 'The ICZ Programme' booklet (2016)

3.1.3 The full-text output should be made open access, by the USIR team, as soon as possible after publication, and normally within 12 months of publication for articles in health, science and engineering and 24 months in the arts, humanities and social sciences.

3.1.4 Authors must ensure that their journal articles and conference contributions acknowledge the source of funding, institutional affiliation(s), and, if applicable, include a statement on how the underlying research materials – such as data, samples or models – can be accessed.

3.1.5 Authors must ensure that their outputs meet any open access requirements placed on their research by funding bodies or under the terms of a research contract.

3.1.6 Wherever publishing contracts and copyright permit, and in all cases where mandated by funder requirements, authors should make journal articles and conference contributions available under an open license, preferably a Creative Commons Attribution (CC-BY 4.0) license which maximises the re-use potential of research (e.g. through text and data mining).

3.2 Other research outputs

3.2.1. In accordance with the University's commitment to open research and knowledge exchange, wherever possible, researchers should maximise the visibility, accessibility and use of other forms of research output by making them available on an open access basis (including, but not limited to, research data, monographs, PhD theses, video and audio files, code, tools, and creative works).

3.2.2. Research outputs should normally be made available in USIR, or (for research data and large audio-visual files) the institutional research data repository, as soon as practically possible.

3.2.3. Research data should be made openly available in an appropriate data repository in accordance with the Research Data Management Policy.

3.2.4. A final copy of University of Salford PhD theses should be deposited in USIR following successful completion of the thesis examination, and will be made openly accessible unless under a moratorium, in accordance with the Academic Regulations for Research Programmes and the Code of Practice for Postgraduate Research Programmes.

3.2.5. When making research outputs openly available, researchers should ensure that they acknowledge their source(s) of funding and institutional affiliation(s).

3.2.6. Wherever contractual agreements, confidentiality, and data protection permit, and in all cases where mandated by funder requirements, other research outputs should be made available under an open license, preferably a Creative Commons Attribution (CC-BY 4.0) license which maximises the re-use potential of research (e.g. through text and data mining).

3.3 Responsibilities

Within the scope of this policy, the following responsibilities are established.

3.3.1 Staff and postgraduate research students are responsible for:

a. Ensuring that, wherever possible, their research outputs are made available on an open access basis through USIR, or (for research data and large audio-visual files) the institutional data repository, in line with the requirements of this policy.

b. Meeting the open access requirements placed on their research by funding bodies, regulatory agencies or under the terms of a research contract.

c. Depositing in USIR or the institutional data repository research outputs co-authored or co-produced with colleagues from other institutions.

d. Notifying the USIR team, as soon as possible, of any exceptional circumstances affecting their ability to deposit outputs in line with this policy.

e. Working to maximise the visibility, reach and use of their research outputs through effective research communications across different channels and networks (e.g. social media, websites, professional networks and communities).

f. Ensuring that the terms of any agreements regarding copyright, intellectual property and confidentiality are respected when openly sharing research outputs via any channel, including USIR, Figshare, ResearchGate, Academia.edu, etc..

g. Registering for a single ORCID personal identifier, connecting it with USIR, and ensuring all their research outputs are recorded against their unique ORCID ID.

3.3.2 The University of Salford is responsible for:

a. Maintaining and managing the institutional publications and data repositories to support this policy.

b. Ensuring that the full-text outputs in USIR are compliant with publisher policy and copyright permissions, and making them open access at the end of any embargo period.

c. Raising awareness and providing support, guidance and training to staff and postgraduate research students on complying with this policy and those established by funding bodies and regulatory agencies.

d. Promoting and enabling the visibility, reach and use of University of Salford research outputs.

e. Managing the payment of article processing charges where these are paid through institutionally held open access funds.

f. Monitoring the evolving external open access policy environment, e.g. the proposed implementation of Plan S from 2020, and reviewing this policy accordingly.

g. Implementing this policy and monitoring its impact.

4.0 Monitoring

The Research and Enterprise Committee will monitor the implementation of this policy on an annual basis.

5.0 Related Documentation

University policy

The following documents can be found on the University Policy & Procedure pages http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures or under 'P' via the Staff Channel A-Z index.

- University of Salford Research Data Management Policy
- Academic Regulations for Research Programmes
- Code of Practice for Postgraduate Research Programmes

Further information and guidance about open access, USIR and this policy can be found at: http://www.salford.ac.uk/library/research/openaccess

External open access policies

- REF2021 *Guidance on Submissions*, paragraphs 105-114 and 223-255: https://www.ref.ac.uk/media/1092/ref_guidance_on_submissions.pdf
- RCUK: https://www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/
- Plan S Open Access initiative: https://www.coalition-s.org/