

University of Westminster Open Access Policy

1. Introduction / General Principle

The University supports the principle of making the results of publicly funded and peer-reviewed research available via open access in order to give the widest possible dissemination and reuse of its research and to ensure compliance with HEFCE, RCUK and other funders' requirements. Open Access requirements are increasingly part of scholarly communications and to support this principle the University operates an institutional repository, WestminsterResearch for 'Green' access papers, and supports 'Gold' where funding permits. Green open access is the University's preferred route. This route involves no fee.

Academic researchers are directly responsible for providing and maintaining details of their publications in WestminsterResearch¹ through the VRE so as to support both Open Access and the requirement for the university to keep an accurate record of its research outputs. It is a requirement that all eligible publications or outputs for which open access is appropriate, are made available through open access. The metadata of non-textual material, including the outputs of practice based material, should be added, including attachments where possible.

The University additionally supports gold open access, through the University of Westminster Press², a publisher of peer reviewed academic books and journals.

The potential benefits include:

- Rapid and open dissemination of the University's research across the globe, leading to greater visibility.
- Enabling research publications and other outputs arising in academic contexts to be shared as a public good.
- Ability to make publications data and links to full-text available via web profiles.
- The maintenance of a complete and accurate record of research will support the University's management reporting and preparation for external research assessment exercises.
- The automatic exposure of research outputs to Google, Google Scholar and other search engines.
- The supply of publications data to other aggregators.
- A REF environment 'open research' section will be required for all units for the next assessment. This will include information on the unit's open access strategy.

This policy aims to:

- Enable researchers to share widely, openly and legally the outcomes of their research to a global audience.
- Highlight that academic researchers are directly responsible for providing and maintaining details of their publications.
- Clarify the responsibilities of the institution.

¹ <http://westminsterresearch.wmin.ac.uk/>

² <https://www.uwestminsterpress.co.uk/>

- Raise awareness of funder requirements relating to open access of funded research. Failure to comply with these policies may result in publications not being accepted to external research assessment exercises, or funders withholding final grant payments or excluding non-compliant authors from further funding proposal submissions.

2. Definitions

WestminsterResearch –

WestminsterResearch, the University's institutional repository, is maintained as an open access, permanent and secure online archive that contains the research output of the University's academic community.

Virtual Research Environment (VRE) -

Our online tool for managing all elements of the research lifecycle and the doctoral researcher experience.

Green and Gold Open Access -

Items can be made available through open access in two main ways:

The item is published in the normal way and then a second copy, usually the accepted author manuscript version, is deposited ('self-archived') in an institutional or subject repository and made available on here after the embargo period agreed by the publisher, usually 12-24 months, known as 'green open access';

The publisher's version of the item is made instantly freely available on the publisher's website, in some cases in return for an Article or Book Processing Charge (APC/BPC) being paid to the publisher and known as 'gold open access'.

Accepted Author Manuscript (AAM) –

The version of an article that has been accepted for publication and includes author-incorporated changes suggested during submission, peer review, and editor-author communications. This is the version before copy-editing, formatting, technical enhancements and pagination.

3. Scope

- 3.1. This policy applies to any member of University staff whose job requires them to conduct research.
- 3.2. The metadata of all output types must be included. The full-text of all journal articles and published conference papers must be made openly available in the University's institutional repository, WestminsterResearch where permitted by the publisher. For all other output types the inclusion of attachments is encouraged, including practice based research.
- 3.3. Doctoral research theses must be added to the repository upon completion, unless there are legal, ethical, commercial, intellectual property or other reasons not to do so³.
- 3.4. Where a doctoral researcher is co-author of a paper along with a member of staff, the paper will be subject to the Open Access policy.
- 3.5. Scholarly material which contributes to the overall profile of the University of Westminster may be submitted for inclusion in WestminsterResearch.
- 3.6. When staff leave research outputs will remain within WestminsterResearch.

³ See Research Degrees Handbook <https://www.westminster.ac.uk/research/research-framework>

4. Researcher Responsibilities

- 4.1. Researchers are responsible for ensuring that they regularly maintain their record in the Virtual Research Environment (VRE).
- 4.2. For journal articles and published conference proceedings, a copy of the final accepted manuscript and date of acceptance must be included as soon as possible, and no later than 3 months from acceptance.
- 4.3. For all other types of research output, details should be added to the VRE as soon as possible and no later than the date of publication. The author should consider adding attachments for other types of output and include a link to the published version, where available.
- 4.4. New staff will be required to add metadata and deposit their outputs, where relevant, into the Repository within three months of their start date at the University.
- 4.5. Where appropriate underlying data should be made available⁴.
- 4.6. Authors are strongly encouraged to register with ORCID and include an ORCID within their output in both the VRE and when submitting outputs for publication⁵.
- 4.7. The author is responsible for ensuring compliance with any additional research funders' publication requirements.

4.7.1. Funding Agencies

HEFCE's Post-2014 Research Excellence Framework Open Access Policy⁷ has stated that From April 2016, to be eligible for submission to REF2021, all journal articles and conference papers published with an ISSN must be made available through open access. By following this policy and depositing papers in WestminsterResearch, via the VRE, within 3 months of acceptance, this policy will be complied with.

Research Councils UK⁸, the Wellcome Trust⁹, the European Commission¹⁰ and other funding agencies now demand that authors of published funded research make their output freely and openly available. Failure to comply with these policies may result in funders withholding final grant payments or excluding non-compliant authors from further funding proposal submissions.

4.7.2. University Gold Open Access Fund Guidance

A limited institutional publication fund is available for the payment of Gold open access article processing charges (APCs) where conditions are met, including, but not limited to, those in receipt of research funding from RCUK. A full, transparent, list of institutional criteria along with application details is available in the University Gold Open Access Fund Guidance¹¹.

⁴ <https://www.westminster.ac.uk/research/research-data>

⁵ <https://orcid.org/>

⁷ <http://www.hefce.ac.uk/rsrch/oa/Policy/>

⁸ <http://www.rcuk.ac.uk/research/openaccess/>

⁹ <https://wellcome.ac.uk/funding/managing-grant/open-access-policy>

¹⁰ <http://ec.europa.eu/research/openscience/index.cfm?pg=openaccess>

¹¹ https://universityofwestminster.sharepoint.com/sites/00262/SitePages/Open_access.aspx

5. Institutional Responsibilities

- 5.1. After submission, metadata will be checked and amended as necessary and a final check on copyright compliance will be made by repository staff.
- 5.2. Repository staff will apply embargoes where necessary. Outputs which do not have a publisher embargo will be made live shortly after deposit.
- 5.3. Records may be amended by Repository staff within Libraries and Curriculum Support and other members of Professional Services to support external research assessment and other reporting purposes.

R&SC within Libraries and Curriculum Support will provide advice and assistance to authors to comply with the policy, and check publisher conditions. Information and advice is available at: <https://www.westminster.ac.uk/research/open-access/>

6. Acknowledgements and Affiliations

- 6.1. When submitting to publishers, a standard institutional affiliation, "University of Westminster" should be used in all articles and papers, in preference to School, Department or Faculty names. This ensures that full credit is given to the University in bibliometric searches.
- 6.2. The source of funding, including grant code if appropriate, should be acknowledged in all papers.

7. University Take Down Policy

Material which has been included in contradiction to publisher copyright policies may be removed immediately on request. If investigation proves no infringement has occurred the full-text will be reinstated. Where publishers have been contacted and not responded full-text will not normally be made available. This will not affect the inclusion of associated metadata.

8. Policy implementation and review

Implementation Date: 18 April 2018

For review: April 2020

Nina Watts, Metadata Librarian, Research and Scholarly Communications, Libraries and Curriculum Support, March 2018