



## Open Access Policy Statement

Effective from 02/03/2023

---

### 1. Purpose

The aim of this policy is to define institutional expectations and researcher responsibilities in relation to Open Access. This policy will be reviewed every three years to reflect changes in the research sector landscape and funder requirements.

Open Access is the practice of providing free and unrestricted online access to research publications under a licence that facilitates reuse. This practice benefits researchers, the University and wider society in terms of increased visibility, openness and transparency, knowledge exchange and impact.

There are two different routes for securing Open Access, commonly known as 'Gold' and 'Green', which the University supports equally:

Route	Description
Gold	Full and immediate open access. The publisher makes the final version of record immediately open access under a license that allows reuse. The publisher will typically require payment of an Article Processing Charge (APC).
Green	The final version of the publication can only be accessed through a subscription or payment. Authors self-archive the accepted manuscript in a repository to provide public access. Publisher embargo periods may apply.

### 2. What is covered by the policy?

This policy applies to the publication of peer-reviewed journal articles and conference proceedings. Separate guidance on long-form publications (e.g. monographs, book chapters and edited collections) will be developed by the University.

### 3. Who does the policy apply to?

This policy applies to all academic staff, postdoctoral researchers and Postgraduate Research students at Newcastle University. It also applies to Honorary and Visiting staff in relation to research conducted at Newcastle University.

### 4. Roles and responsibilities

The Open Access team in the University Library will be responsible for the implementation of this policy and the provision of training. [Research systems training](#), which includes MyImpact, for academics and unit administrators is also provided by the Research Strategy and Development service.

## 5. Policy

Newcastle University values open research practices as a means to maximising the visibility and reach of its research.

In accordance with the principle of academic freedom, the University recognises the right of researchers to determine the best route for dissemination, provided that this complies with funder requirements. Researchers should be aware that some funders such as the EU, UKRI, NIHR and the Wellcome Trust now mandate full and immediate Open Access. To ensure alignment with current funder policies, this is therefore the preferred option within the University.

## 6. Related regulations, statutes and policies

This policy should be read in conjunction with the following:

- [Open Research institutional position statement](#)
- [Open Access funder policies](#)
- [Attribution of Authorship Guidelines](#)
- [Policy on Research Publications and Copyright](#)
- [Research Data Management Policy and Code of Good Practice](#)
- [Policy Statement on Responsible Research Metrics](#)

## 7. Procedure to implement the policy

### 7.1 Consider funder requirements

The Principal Investigator / Corresponding Author is responsible for compliance with funder policies. Researchers should familiarise themselves with any relevant funder policies and consider these requirements as part of their publication strategy. Researchers should not enter into any publishing agreement that contradicts either this Open Access Policy Statement or their research funder's open access requirements. A list of funder policies is provided on the Library's [Open Access web page](#) for information.

### 7.2 Agree dissemination route

An appropriate dissemination route should be agreed with collaborators. The Open Access status of the journal should be considered as part of the decision-making process, although the University acknowledges that there may be other quality considerations. An alternative or co-corresponding author may be named if their institution has a license agreement with a particular journal that supports open access requirements. For further guidance please refer to the University's [Attribution of Authorship Guidelines](#).

### 7.3 Apply for funding

Where allowed by the funder, research projects and block grants should include Article Processing Charges (APCs) as a directly incurred cost at application. Further information on average costs is available on the University's [Open Access web page](#) and is updated regularly. In cases where the project is of a very low value (<£10,000) and / or will not generate publications, the Grants and Contracts team can permit a reduction in consultation with the Director of Research Strategy and Development.

#### 7.4 Ensure compliance with funder policy

In order to qualify for Open Access funding, researchers should ensure they acknowledge the funder and provide the grant reference number when submitting an article to a journal. The following sentence should be used to acknowledge the funder as recommended in the [Research Information Network guidelines](#):

*“This work was supported by XXX [grant number]”*

Without funder acknowledgement, the article is non-compliant and ineligible for direct funding. In some cases, the funder may even withhold the final grant payment.

#### 7.5 Copyright retention

Upon acceptance of an article for publication each member of staff agrees to grant Newcastle University a non-exclusive, irrevocable, worldwide copyright licence to make the Author’s Accepted Manuscript (AAM) of their research publications publicly available under the terms of a Creative Commons Attribution (CC BY) licence, in an appropriate electronic format such as PDF. For further details about the practicalities of this process please refer to the University’s [Policy on Research Publications and Copyright](#) and the associated Library [policy summary](#). Please note that many funders who pay Article Processing Charges (APCs) require research publications to be made publicly available under the terms of a CC BY licence. Therefore this is the University’s recommended licence.

#### 7.6 Institutional repository

Under the ‘Green’ Open Access route, at the time of acceptance the AAM should be deposited in the default institutional ePrints repository via the University’s Current Research Information System, MyImpact. Academics can also use ePrints to link to articles in other subject or funder repositories or to deposit an alternative copy. Further details are available in the Library’s [policy summary](#).

#### 8. Monitoring and reporting on compliance

Regular monitoring will be undertaken by the University Library to review compliance and identify training needs.

What will be monitored?	Frequency	Method	Who by	Reported to
<i>Percentage of peer-reviewed research articles that are published as fully open access.</i>	<i>Quarterly</i>	<i>KPI</i>	<i>Library</i>	<i>URIC</i>

#### 9. Failure to comply

Although the preferred option is for full and immediate Open Access, the University recognises that current publisher models and funding routes are not appropriate for all disciplines; and is committed to ensuring that no academic units or disciplines are disadvantaged.

<b>Document control information</b>		
<b>Does this replace another policy?</b> Yes / <del>No</del> If yes please state. Newcastle University Statement on Open Access to Research Outputs (2015)		
<b>Approval</b>		
<b>Approved by:</b>	<u>University Research &amp; Innovation Committee</u>	<b>Date:</b> <u>31<sup>st</sup> January 2023</u>
<b>Effective from:</b>	<u>2<sup>nd</sup> March 2023</u>	
<b>Review due:</b>	<u>2<sup>nd</sup> March 2026</u>	
<b>Responsibilities</b>		
<b>Executive sponsor:</b>	<u>Pro-Vice Chancellor Research &amp; Innovation</u>	
<b>Policy owner:</b>	<u>University Research and Innovation Committee</u>	
<b>Person(s) responsible for compliance:</b>	Open Access team (University Library)	
<b>Consultation</b>		
<b>Version</b>	<b>Body consulted</b>	<b>Date</b>
Version 1	University Library team	03.05.2022
Version 2	University Research & Innovation Committee	25.10.2022
Version 2	University Library team	25.10.2022
<b>Equality, Diversity and Inclusion Analysis:</b>		
<b>Does the policy have the potential to impact on people in a different way because of their protected characteristics?</b> <del>Yes</del> / No / <del>Unsure</del>		
If yes or unsure please consult the Diversity Team in HR for guidance		
<b>Initial assessment by:</b>	<u>Louise Jones</u>	<b>Date:</b> <u>09.06.2022</u>
<b>Key changes made as a result of Equality, Diversity and Inclusion Analysis</b> N/A		
<b>Document location</b>		
<u><a href="https://www.ncl.ac.uk/research/researchgovernance/policies/">https://www.ncl.ac.uk/research/researchgovernance/policies/</a></u>		