

Newcastle University Statement on Open Access to Research Outputs

This document summarises the broad principles, issues and University guidance around Open Access. Detailed guidance is available on the OA web pages: <http://www.ncl.ac.uk/openaccess/>

Background: ‘Open Access’ (OA) is the practice of providing free and unrestricted access for individuals to read research publications online. There are two different ways of securing OA; commonly known as ‘Green’ and ‘Gold’. Under Gold, the publisher receives an upfront payment called an ‘Article Processing Charge’ (APC) before making the publication OA. Green does not require such a payment (although there may be restrictions such as embargo periods) and is typically available through OA journals and repositories.

HEFCE requires that all articles and conference proceedings accepted for publication after the 1st April 2016 must be OA compliant to be eligible for the post-2014 REF. Additionally certain funders, notably RCUK and Wellcome Trust, require that all publications stemming from their research should be available OA. The University is currently in receipt of a block grant from RCUK and the Wellcome Trust to pay Gold APC’s for publications produced from their grants. The internal eligibility criteria for which articles are eligible for these funds are decided at faculty level.

1. **OA Vision:** The University is committed to supporting its academic staff to maximise the impact of their work both in the academic and public spheres. It encourages and supports OA as an invaluable way to maximise the visibility and impact of its research.
2. **Ensuring Compliance:** When submitting to a journal, academic staff should ensure they provide the funder reference (not the internal University reference). Without the funder acknowledgement the article is non-compliant and ineligible for direct funding. In some cases the funder may withhold the final grant payment.
3. **Academic Freedom:** The University recognises the right of its staff to determine the best route for the publication and dissemination of their work. The OA status of any potential publisher should be a factor in their deliberations (and they should be mindful of their funder requirements) but this should not be pre-eminent over quality considerations.
4. **Green vs Gold:** The University has no preference for which route researchers take to publicise their research. However given that resources are finite, it does ask staff to check whether green options are available at the point of publication. Library staff are available to advise on the options available. Contact openaccess@ncl.ac.uk
5. **Institutional Repository:** eprints is the University’s repository. It should be used as the default repository where no discipline specific repository exists. Academics can also use eprints to index to articles in other repositories or to deposit a duplicate copy. Peer reviewed outputs (i.e. the version accepted for publication) can be deposited via MyImpact.
6. **‘Gold’ Cost Recovery:** To ensure that funds are available to publish work through the Gold route, research projects should include £6,000 (where permitted by their funder) as a directly incurred cost at application. In cases where the project is of a very low value (<£10,000) and / or will not generate publications then the Grants & Contracts team can, in consultation with the Director of Research & Enterprise Services, permit a reduction.
7. **Equality of output types:** The University recognises that the current publisher models and funding routes are not appropriate for all disciplines. It is committed to ensuring no units or disciplines are disadvantaged. Guidance for areas such as monographs is in development.

Management: The University Library manages the funds and processes for Open Access on behalf of the three faculties. It also provides advice, guidance and appropriate administrative support. Contact: openaccess@ncl.ac.uk

Approved by: OA Steering Group (for University Research Committee) 28th February 2015
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