

Guidelines for the management of the NTU Open Access Fund

The following guidelines have been produced to provide ADRs with greater clarification regarding the eligibility of publications for submission to the NTU Open Access Fund.

The publication should be well aligned with the research priorities of the relevant School/Unit of Assessment, and should be included within the NTU Individual Research Plan of the applicant.

All submissions to the NTU Open Access Fund require approval by the relevant Associate Dean for Research.

An author is eligible if they are:

- ♣ A member of the teaching and research staff employed by or otherwise accredited to the university
- ♣ A PGR student enrolled or accredited to the university, on the condition that there is a permanent NTU staff co author

Where outputs are produced in collaboration with authors outside of NTU, it is usually the home institution of the corresponding author who should meet the cost of an APC. It would therefore be expected that the corresponding author is affiliated to NTU to be eligible¹.

A publication is eligible if:

- ♣ The output is either a:
 1. Peer reviewed primary research article or a review article (not those commissioned by publishers)
 2. Monograph/Book chapter that reports original research

1. Peer reviewed primary research articles and review articles are eligible if they meet at least one of the following criteria:

- a) The journal operates a 'Gold' or paid Open Access model only, is the best forum for publication of the applicants work, AND the journal is within the top 25% of journals in the world by SNIP (i.e. has a SNIP of 1 or above), or the applicant is on track to be submitted to the REF and the expected quality of the research output is 3* or 4* (this will be assessed on a case by case basis by the relevant Associate Dean for Research)
- b) The research output underpins a potential REF impact case study and immediate access to the publication will support and promote that impact
- c) The applicant is on track to be submitted to the REF, the expected REF quality of the research output is 3* or 4* (this will be assessed on a case by case basis by the relevant Associate Dean for Research), and the embargo period of the journal exceeds the following maxima:
 - a. 12 months for REF Main Panel A and REF Main Panel B
 - b. 24 months for REF Main Panel C and REF Main Panel D
- d) There is a requirement to make the output 'Gold' open access from the funder, or the journal exceeds the maximum embargo period of the funder. For example, in the case of RCUK:
 - a. STEM disciplines – maximum embargo period of six months

¹ Split payment of APCs with another organisation is not encouraged as this can be extremely complex to administrate

- b. Arts, Humanities and Social Sciences (which will mainly be funded by the AHRC and the ESRC) - maximum embargo period of twelve months
- e) The research findings are of such academic importance that there will be significant benefits to immediate open access which requires payment rather than open access on IRep after the journal's minimum required embargo period
- f) Any other criterion that is deemed to be relevant to this particular research output by the relevant Associate Dean for Research e.g. School Research Plan has targeted outputs within this discipline area as part of the NTU Citation Strategy

2. A monograph/book chapter that reports original research is eligible if it meets the following criteria:

- a) The applicant is on track to be submitted to the REF, and the expected REF quality of the research output is 3* or 4* (this will be assessed on a case by case basis by the relevant Associate Dean for Research)