UEA Open Access policy Guidance document

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Version	Date	Note
0.1	07/05/2015	First draft
1.0	14/05/2015	First version

Review

This Open Access Policy Guidance document supports the University's Open Access Policy. It will be reviewed and updated regularly to reflect the changing open access landscape at UEA, within the UK and internationally.

Contents

Background

The principle of open access to research outputs, principally publications, has been around for over 10 years. Since then, it has become an increasingly important aspect of the research and publication environment in the UK. The production of the Report of the Working Group on Expanding Access to Published Research Findings (commonly known as the Finch report; available from http://www.researchinfonet.org/publish/finch/) in 2012 influenced the form of the UK Research Councils' open access policy, which came into force in 2013; the Wellcome Trust also strengthened their open access policy at this time. A number of other research funders have also announced open access policies, including the NIHR, Bill and Melinda Gates Foundation, have introduced or revisited their policies on access to the outputs arising from the research they fund. This is part of an evolving international landscape, where there are increasing numbers of policies being issued by research funders and governments.

In 2014, the Higher Education Funding Council for England (HEFCE), with the Higher Education Funding Council for Wales, Scottish Funding Council and the Department for Employment and Learning (in Northern Ireland) announced their open access requirements for the post-2014 Research Excellence Framework.

The UEA has had a policy on open access since 2013. Given the fast-changing nature of the open access environment, this policy has been updated to provide a clear and concise outline of the University's requirements on open access to research outputs. This guidance document provides further detail and information to help researchers at UEA comply with the policy.

Notes relating to specific policy points

1. Research is a public good and the Outputs of research should made openly available whenever possible.
    a. Benefits of open access include:
    - evidence of increased citation rates for outputs which are open access
    - the potential to raise a researcher's profile through increased readership in the academy and the wider public
    - improved access for researchers not based at academic institutions (eg government, charities, industry), with associated impact on policy, development and innovation
    - improved access for researchers at institutions with more limited access to subscription-based journals or well-stocked libraries
    - improved web pages (eg staff profiles) and other communications (eg press releases)
    - increased public engagement in citizen science and other participatory research projects
    - stimulation of new ideas, services, products and jobs
    b. Additionally, having a supportive open access environment:
    - optimises the submission of individual and UEA research to future Research Excellence Frameworks (REFs)
    - allows UEA to accept funding from external organisations that require open access to the research they fund

2. All of an Author's Research Outputs must have a metadata entry in PURE at UEA which can be made public immediately.

    a. There are three fundamental components that facilitate open access: discovery of the material, the ability to read it, and permissions to reuse it. Publicly-available metadata, which would include the title of an output, its authors, and where or by whom it was published, facilitate the discovery of outputs.

    b. The requirement for this metadata to be created within 3 month of acceptance is in accordance with the HEFCE policy on open access for the post-2014 REF.

    c. PURE is a commercial software package developed by Atira (a Danish company now owned by Elsevier) where researchers at UEA can enter metadata relating to their outputs; this metadata feeds to the institutional repository, where it is made public.

    d. Rarely, journals and publishers embargo output metadata until that output has been published by them. In such cases advice should be sought from REN to ensure that we are able to comply with our requirements around output discoverability and publisher restrictions.

    e. Authors are advised to create the entry for PURE within 1 month of acceptance.

3. Authors must provide a copy of the accepted manuscript[1] and dated proof of acceptance of all journal articles and conference proceedings accepted for publication since 1st January 2015.

    a. The accepted manuscript is a document defined as "The version of a journal article that has been accepted for publication in a journal" (http://www.niso.org/publications/rp/RP-8-2008.pdf). It may also be known as the AAM or Author's Accepted Manuscript. It is the version that incorporates all changes resulting from peer review, but not the publisher's copy-editing and formatting. The different stages of a manuscript are summarised in the diagram below:

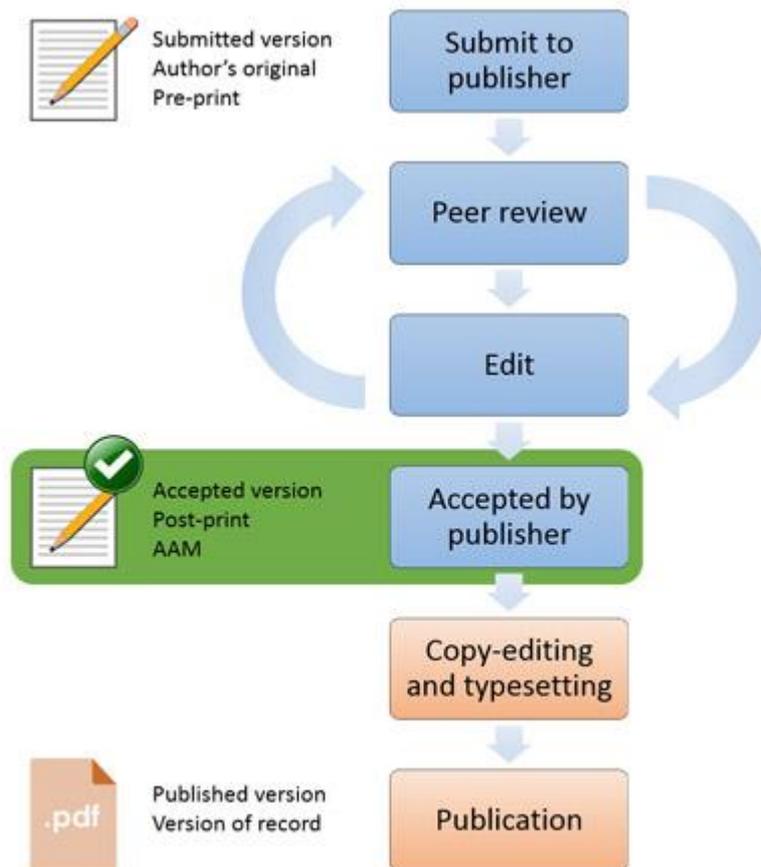---

[1] Author's manuscript as defined by NISO: http://www.niso.org/publications/rp/RP-8-2008.pdf

Image credit: HEFCE. Open Access FAQ, Q3: http://www.hefce.ac.uk/rsrch/oa/FAQ/

b. The dated proof of acceptance should be uploaded as a document to allow verification that the relevant metadata have been created and the accepted manuscript uploaded within 3 months of acceptance.

a. The requirement for these documents to be uploaded ensures that the journal article or conference proceeding will meet the requirements of the HEFCE policy on open access for the post-2014 REF. Failure to meet the deposit requirement of this policy would mean that output is not eligible for the pst-2014 REF.

b. The date of acceptance may not be clear-cut, for instance a journal article can be accepted by a journal on condition of certain changes being made, but a formal acceptance following this may not be sent. Authors are advised to treat the notification of provisional acceptance as the acceptance date until such time that a formal acceptance date is provided. In the case of doubt they should contact REN for advice.

c. Where the UEA author is not the corresponding author, they may not have access to either or both of the accepted manuscript or dated proof of acceptance. Where difficulties in getting these documents is problematic, authors should consult with REN.

d. To ensure that open access to outputs is provided in accordance with any publisher requirements, authors must not delete any previously-uploaded documents. Access to documents uploaded to PURE can be adjusted by the PURE team to ensure that access is provided to the most suitable version of an output. Note that many journals do not allow the publisher version of an output to be made public via a repository.

e. Additional restrictions on access to an output entered in PURE may apply if the item contains 3rd party copyright material. In such cases, authors should ensure that they still

upload the accepted manuscript but liaise with REN to ensure appropriate access to the output.

    f. Authors must not wait until the end of a publisher-imposed embargo period to upload documents as this may affect REF-eligibility or compliance with other funders' requirements. Access to documents is controlled as part of the Validation process for PURE entries.

    g. Some journals do not permit the full text of articles to be disseminated through repositories. The accepted manuscript must still be uploaded in these instances but as part of the validation process this document will not be made public.

    h. Authors are advised to upload the accepted manuscript and dated proof of acceptance documents within 1 months of acceptance.

    i. Note that this provides open access via the 'green' route to open access (access to a version of the output is provided via a repository).

4. Other Outputs should be uploaded to PURE whenever appropriate.

    a. Much of the focus of open access is on journal articles and conference proceedings, simply because these are the types of output where development of open access solutions is most mature. However, it may be possible to make outputs other than journal articles and conference proceedings open access through a repository.

    b. Other types of research output can be uploaded to PURE. Access can be restricted as necessary, but this helps create a full record of research conducted at UEA.

    c. Note that deposit is distinct to access. A document can be uploaded to PURE without public access being provided.

5. Authors are expected to comply with any additional open access requirements, policies, mandates or expectations laid out by the funders of their research.

    a. Many funders have open access requirements to outputs from the research they fund. These may include a requirement for 'gold' open access (access to the output via the publisher's website), specific timeframes for outputs to be open access, or specific licences around reuse of the output.

    b. Due to the changing nature of funders' open access policies, the best source of information on the open access requirements relating to a particular grant are the terms and conditions for the grant.

    c. Information on funder policies on open access can be found on the SHERPA/Juliet database: http://www.sherpa.ac.uk/juliet/.

    d. If multiple funder policies apply to an output authors should ensure that they are all met. If they appear to conflict, advice should be sought from REN.

6. Authors are expected to consider open access when choosing their publication venue.

    a. Authors should consider the open access as part of choosing a publication venue.

    b. The best source of information about a journal's open access policies, including uploading manuscripts to a repository (also known as self-archiving) is the journal or publisher website. SHERPA/Romeo provides a database of policies of many publishers: http://www.sherpa.ac.uk/romeo/

    c. The HEFCE open access requirements have maximum embargo periods of 12 months for STEM subjects and 24 months for AHSS subjects. If the chosen publication venue has

longer embargo periods than these, or in the case of uncertainty, authors should contact REN for advice prior to submission.

7. The University and Authors will attempt to retain copyright of Outputs.
   a. On acceptance, authors generally sign an agreement with the publisher. This may be a Copyright Transfer Agreement (CTA) where the authors' copyright is assigned to the publisher, or a Licence to Publish, where the authors retain copyright. In the case of multiple authors, all authors may need to sign the agreement/licence individually or the corresponding author may sign on behalf of all authors.
   b. The SPARC addendum suggests how CTAs can be modified to Licences to Publish: http://www.sparc.arl.org/resources/authors/addendum

8. Authors are encouraged to allow reuse of their Research Outputs.
   a. As well as the ability to read an output, many definitions of open access also include certain conditions around reuse. Examples of reuse of an output can include text or data mining, reproducing part or all of an output in another resource, eg for teaching purposes, or translation of all or part of the output. Attribution of the original resource would be required (unless explicitly waived by the copyright holder).
   b. Where reuse of the output falls outside reuse allowed by fair dealing under copyright, permission for the reuse needs to be sought from the copyright holder.
   c. Outputs can be licenced so that permission is given for certain types of reuse without the need to contact the copyright holder. Creative Commons licences are commonly used licences for text and images. Open Software Licences are commonly used for software.
   d. Some funders specify the use of certain licences. One of the most commonly specified licences is the Creative Commons Attribution Licence (CC BY, pronounced 'see see bye'). This allows all types of reuse – including for commercial purposes – and requires attribution of the source material; the moral rights of the author are not affected.
   e. Other Creative Commons licences restrict reuse to non-commercial purposes or prohibit the creation of derivative works (such as translations).

9. All Authors have a responsibility to ensure that Research Outputs are made open access in line with this policy.
   a. Responsibility for making outputs open access does not rest solely with the corresponding author, and all authors should take steps to ensure that this policy is complied with.
   b. If there are difficulties in complying with the policy, advice should be sought from REN.

10. All Researchers have a responsibility to familiarise themselves with this policy.
    a. It is recognised that not everyone conducting research is an author, but all researchers should be aware of this policy so they are aware of their responsibilities if they wish to publish in the future. This includes post-graduate research students.
    b. Where undergraduate students are engaged in research, responsibility for adhering to the open access policy falls to the supervising member of staff.

11. UEA shall provide advice and support to researchers in planning and managing open access to their Research Outputs.

   a. The UEA open access webpages provide information and guidance on various aspects of open access: https://portal.uea.ac.uk/ren/open-access-and-research-data

   b. The Open Access and Research Data Officer in REN is the first point of contact for open access queries: Anna Collins, ext. 1807, openaccess@uea.ac.uk

   c. Queries relating specifically to PURE should be directed to pure@uea.ac.uk

   d. Queries relating to access to funding for gold open access for research arising from RCUK funding or for unfunded research should be directed to the Open Access and Research Data Officer. For outputs arising from other funding, authors should contact their Project Officer in REN in the first instance.

12. The University's Open Access policy will be reviewed and updated regularly.

   a. Comments on the policy and the associated guidance document can be sent to the Open Access and Research Data Officer in REN: Anna Collins, openaccess@uea.ac.uk.