

Open Access Policy

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Version	Date	Note
1.0	22/3/13	Approved by Research Executive
1.1	27/3/13	Layout updated to UEA standard
1.2	14/4/13	Minor updates following revised version of RCUK Policy & Guidance 8/4/13
2.0	March 2014	Updates for consideration at March 2014 Research Executive meeting
2.1	May 2014	Updates following announcement of the HEFCE policy on open access for the post-2014 REF
3.0	March 2015	Updates for consideration at March 2015 Research Executive meeting
3.1	May 2015	Minor revisions following March 2015 Research Executive meeting Approved by Senate June 2015
3.2	05/06/17	Minor revisions following scheduled review which included feedback from U-REC members, ISD and HR, and approved at June 2017 Research Executive meeting and by UEA Senate 08/11/2017

Foreword by Pro-Vice-Chancellor for Research and Innovation

This Policy sets out the principles that guide us as a University and demonstrate our continued commitment to excellence in research.

Access to the Outputs of our research and our other activities is something that affects everyone at UEA, at whatever level and whatever their discipline. It is integral to our role in the economy and in developing the knowledge base that we collectively promote the Outputs of our work and enable this work to be discovered easily. The principles of open access set out in this Policy apply across all subjects whether the Output is a peer reviewed journal article, video, textbook or curated exhibition.

We naturally need to be aware of the requirements of the principal funders of our research activity and so this policy embeds particular mandatory requirements in order to ensure that the output of our research is compliant, including open access requirements for REF 2021. Support to individual staff to meet additional open access requirements laid out by research funders as well as this Policy continues to be developed through academic leads in individual Schools, posts based in Research and Innovation Services and the use of Pure as the University's publication database and institutional repository.

This Policy will continue to be evaluated. I welcome any comments that you have on the future development of our Open Access Policy.

Professor Fiona Lettice
June 2017

Review

This Open Access Policy sets out the University’s position on access to the Outputs produced by its members. This area continues to be subject to development and change and the supporting UEA Open Access Policy Guidance document will be updated to reflect changes in the support and advice available in this area.

This Policy will be reviewed and updated by the University Research Ethics Committee and recommendations will be made to the University Research Executive, and thereafter to Senate before 31 July 2019.

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Introduction

The University of East Anglia is committed to ensuring that the Outputs of our work are freely accessible so that the potential for academic, economic, scientific, social and cultural impact can be maximised. We share the ambition of the Higher Education Funding Council for England (HEFCE), the Research Councils UK, the Wellcome Trust and other external funders to allow access to Outputs by the widest possible community.

The purpose of this Policy is to ensure that Researchers and support staff:

- Are supported in ensuring that their Outputs are made open access wherever possible
- Comply with the policies and requirements of HEFCE and of external funders
- Have the potential to raise their profile through increased readership in the academy and the wider public
- Benefit from increased citations of their Outputs
- Gain improved access to their work by Researchers and users of our research or other work who are not based at academic institutions (e.g. charities, industry, government)

Scope

The University's Guidelines for Good Practice in Research¹ outline what is expected of its Researchers, including publishing research. This Policy and the associated guidance² supplement these Guidelines. As such, this Policy applies to all UEA Researchers. It is the responsibility of heads of Faculties, Schools and Units to ensure their staff and students are aware of and comply with these policies.

Definitions

Author – the creator or co-creator of a Research Output.

Output – a piece of work resulting from research or teaching activity.

Researcher – anyone engaged in research at UEA at post-graduate level or above.

Research Output – a piece of work resulting from research activity.

Policy Statements

1. **Research is a public good and the Outputs of research should be made openly available whenever possible.** Types of Research Output include but are not limited to journals, books, conference proceedings, videos, exhibitions and working papers.
2. **All of an Author's Research Outputs must have a metadata entry in Pure at UEA which can be made public immediately.**³ For published Outputs where there is a formal acceptance process (notably journal articles and conference proceedings) this must be done within 3 months of

¹ UEA Guidelines for Good Practice in Research can be found from this site: <https://portal.uea.ac.uk/rin/research-integrity>

² The Open Access guidance document can be found here: <https://portal.uea.ac.uk/rin/open-access-and-research-data/meeting-ref-requirements/uea-policy>

³ This does not apply to Outputs still in preparation by the Researcher.

acceptance for publication. If, in exceptional cases, it is not possible to make the metadata public prior to publication, Authors must seek advice from Research and Innovation Services (RIN) on how to proceed.

3. **Authors must provide a copy of the accepted manuscript⁴ and proof of the date of acceptance for all journal articles and conference proceedings accepted for publication since 1st January 2015.** Relevant documents must be uploaded within 3 months of being accepted for publication. Associated evidence to comply with funding body and publisher requirements around open access to Research Outputs should also be provided. This may include permissions for use of 3rd party material or amendments to a publisher's standard terms and conditions. The accepted manuscript will be made publicly available as soon as any publisher-imposed embargo period has ended. Once uploaded, documents must not be deleted from Pure by Authors.
4. **Other Outputs should be uploaded to Pure whenever appropriate.** Authors are particularly encouraged to deposit copies of the text of book chapters.
5. **Authors are expected to comply with any additional open access requirements, policies, mandates or expectations laid out by the funders of their research.** This includes ensuring that corresponding Authors at other institutions are aware of requirements arising from funding awarded to UEA Authors. Corresponding Authors at UEA should make themselves aware of any additional open access requirements of co-authors, particularly those at other institutions, as a matter of good practice.
6. **Authors are expected to consider open access when choosing their publication venue.** This should include considering publications that allow them to comply with the HEFCE policy on open access for REF 2021. Authors must, if necessary, be able to justify that their choice is the most appropriate publication venue for that Research Output⁵, for example because the publication enables them to best reach their target audience.
7. As far as is reasonably practical, **the University and Authors will attempt to retain copyright of Outputs.**⁶
8. **Authors are encouraged to allow reuse of their Research Outputs.** Wherever possible, the Research Output should be released under terms that permit anyone with an internet connection to be able to read, download and print the Research Output and to perform an electronic text search within it, without charge. This may follow a publisher-imposed embargo period. This may be achieved through a Creative Commons licence.⁷ The Creative Commons Attribution (CC BY) licence allows maximum reuse while requiring full attribution, and is the preference of many research funders.
9. **All Authors have a responsibility to ensure that Research Outputs are made open access in line with this Policy.**

⁴ Author's manuscript as defined by NISO: <http://www.niso.org/publications/rp/RP-8-2008.pdf>

⁵ Note that in the case of journal articles, journal Impact Factor alone would not be sufficient justification for choosing a publication that does not allow open access in accordance with the HEFCE policy on open access for REF 2021. The HEFCE Policy can be found at: <http://www.hefce.ac.uk/rsrch/oa/Policy/>

⁶ The University's Intellectual Property Regulations can be found at: [http://www.uea.ac.uk/calendar/section3/regs\(gen\)/intellectual-property-rights](http://www.uea.ac.uk/calendar/section3/regs(gen)/intellectual-property-rights)

⁷ The Creative Commons website, which gives information about their suite of licences, is available at: <http://creativecommons.org/>

10. **All Researchers have a responsibility to familiarise themselves with this Policy** and to seek advice and guidance in order to meet the requirements where necessary.
11. **UEA shall provide advice and support to Researchers in planning and managing open access to their Research Outputs** through the provision of training, guidance, good practice documentation and expert advice. UEA shall give appropriate consideration to the need to provide funds to cover open access costs (in the case of journal articles, frequently known as Article Processing Charges).