Title:	***UEA Open Access Policy***
Author:	Anna Collins (REN) and Rachael Mold (REN)
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Issue

A proposal to endorse an updated policy on Open Access to Research Outputs for UEA, to complement the existing Guidelines on Good Practice in Research and to comply with funder requirements.

Recommendation

Recipients are invited to endorse the enclosed policy to be effective immediately.

Resource Implications

Personnel to support implementation of the policy are already in post within REN and further temporary staff are being recruited to REN, who will be able to support implementation of the policy. PURE (the University's Current Research Information System) is able to support the requirements of the policy with respect to deposit and access to Research Outputs, and updates are in progress to facilitate this.

Risk Implications

Failure to endorse the policy may affect compliance with the open access requirements for the post-2014 Research Excellence Framework, as well as the open access requirements of research funders, and hence the ability of the University to attract future funding.

Equality and Diversity

No equality and diversity issues are associated with this policy.

Timing of decisions

Approval by the Senate will allow the updated policy to take effect immediately.

Further Information

For further information contact: Dr Anna Collins (REN), Open Access and Research Data Officer, ext: 1807, anna.collins@uea.ac.uk.

Background

The UEA has had a policy on open access since 2013, and has been reviewed on a yearly basis since.

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 (REF). These requirements require a step change in usual practice for providing open

access to research outputs within UEA, affecting how access is provided, and who needs to take action and when, and affect academic and administrative staff.

The policy has been re-focussed on open access principles to allow the policy to be robust to subsequent changes from research funders on specifics of their open access requirements. Guidance relating to meeting specific requirements of HEFCE and RCUK open access policies is addressed in a separate guidance document.

A guidance document provides further detail and information to help researchers at UEA comply with the policy.

Discussion

No discussion is anticipated.

Attachments

The policy is attached.

UEA Open Access Policy

Authors: Anna Collins REN (Open Access and Research Data Officer), Rachael Mold REN (Head of Research)

Version history

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

Foreword by PVC for Research, Enterprise and Engagement

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 easily discovered. The principles of open access set out in this Policy apply across all subjects whether the Output is a peer reviewed journal article, video, text book 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 the post-2014 REF. 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 Enterprise Services and the use of PURE as the University's publication database and institutional repository.

This policy replaces that first approved in March 2013 and will continue to be evaluated and renewed. I welcome any comments that you have on the future development of our Open Access Policy.

Professor Dave Petley
May 2015

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 Research[1] outline what is expected of its Researchers, including publishing research. This policy and the associated guidance supplement these Guidelines. As such, this policy applies to all UEA Researchers.

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.[2]** For published Outputs where there is a formal acceptance process (notably journal articles and conference proceedings) this must be done within 3 months of 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 Enterprises Services (REN) on how to proceed.

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[1] UEA Guidelines for Good Practice in Research:
http://www.uea.ac.uk/documents/251484/3124686/Guideline%2Bon%2BGood%2Bpractice%2BDocument%2B2012.pdf/bfa317d7-86ec-4710-b548-13356fd78d40
[2] This does not apply to Outputs still in preparation by the researcher.

3. **Authors must provide a copy of the accepted manuscript**[3] **and dated proof of acceptance of all journal articles and conference proceedings accepted for publication since 1st January 2015**. These 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 the post-2014 REF. Authors must, if necessary, be able to justify that their choice is the most appropriate publication venue for that Research Output[4], 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.**[5]

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.[6] 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.**

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.

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[3] Author's manuscript as defined by NISO: http://www.niso.org/publications/rp/RP-8-2008.pdf
[4] 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 the post-2014 REF. The HEFCE policy can be found at: http://www.hefce.ac.uk/rsrch/oa/Policy/
[5] The University's Intellectual Property Regulations can be found at: http://www.uea.ac.uk/calendar/section3/regs(gen)/intellectual-property-rights
[6] The Creative Commons website, which gives information about their suite of licences, is available at: http://creativecommons.org/

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).

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