**Outcome of consultation on an open access policy for the deposit of research papers**

The consultation took place between March and May 2010 with the draft policy and related papers being presented to Research Executive, Faculty Executives and the ISD Research Board.

**Outcome: Publications data**

There was strong agreement that the use of the new E-prints repository for storing publications data (i.e. the bibliographic records needed for the REF) would be valuable.

The potential key benefits were agreed as:

- helping UEA to maximise the quality, consistency and presentation of its research by ensuring that each research publication has consistent bibliographic data.
- reducing the time and effort spent by academics and support staff in meeting the publications data management requirements for the REF.

There was concern, however, about the potential workload involved and ISD has been asked to provide more detail on this as the new repository is implemented. The major constraint to the central storage of publications data was the likelihood that many schools will continue to run their local databases as well which could lead to duplication of effort.

Although the simplified system for self-deposit of publications data was welcomed, it was felt that there would need to be other more tangible benefits from the E-prints system if it was to be fully embraced by academics and administrators. In particular, other outputs which were beneficial to academic staff, such as linking with individual research plans, promotions applications, staff webpages, CVs, mock REF and REF, reference management software, etc., would be welcomed.

Whilst these are achievable in principle, it should be noted that to our knowledge no HE institutions have yet developed all of these linkages. In the first stage of the project, ISD plans to develop outputs for staff web pages and the REF and there will be a bibliographic export function that academics and researchers will be able to use to export and reuse their data in other applications. Other outputs and linkages would be developed in future stages of the VRE (Virtual Research Environment) project.

**Full-text research papers**

There was also considerable support for mandating the deposit of the full-text of research papers although this was not unanimous. The key benefits were agreed as:

- maximising the use and impact of the University’s research publications and the number of times they are cited;
- raising the reputation and competitive edge of UEA as a whole as well as the visibility of schools, faculties and individual researchers;
• creating a permanent searchable archive of the research publications of the University;
• contributing to the open access movement, providing unrestricted access to research papers and thereby helping to improve the quality and depth of research at the University.

There was also a strong sense that competitor institutions are making far more progress in this area and that UEA would be wise to keep up.

However some arguments against a mandate were also articulated:

• Ideological opposition to the principle of open access to full-text material and its possible impact on the sustainability of subscription-based publishing, especially in the case of learned society journals.
• The fact that some schools already submit their papers to discipline-based open access repositories, such as arXiv, and so further deposit could be a duplication of effort.
• Concerns that pre-print (not yet peer-reviewed) and post-print (author’s final accepted draft) publications would not necessarily share the same pagination and layout of the final published versions. This might affect the quality and accuracy of future citations and references.

Other issues were around the potential workload involved and again ISD has been asked to provide more detail. Although the improved self-deposit module was welcomed, several schools felt that they would still need considerable mediated support if academics and administrators were to take part in a mandate. There would need to be advice on which versions of papers should be uploaded and whether copyright clearance was needed.

Whilst finding out which publishers permit the deposit of papers into institutional repositories is now relatively straightforward (using the SHERPA/Romeo web site), the record-keeping required is likely to be resource-intensive. Academics will also need support in asserting their rights to submit their articles to the repository and do this prior to submitting their research papers to publishers. This will be a significant cultural change and it was suggested that individual ‘champions’ be identified in the first instance.

In the Arts and Humanities there also is a particular issue which needs addressing. In this faculty research publications are often in book/monograph format rather than journal format, often representing the culmination of many months or years of research. In such cases, full text open access deposit of the book content might put the publication at risk and so would have to remain optional (i.e. outside of any mandate policy for full text). However, this should not necessarily prevent the publications data and perhaps a summary or even extract being published.

**Conclusion**

Consensus is that an open access policy mandating deposit is important as a statement of intent from the University, giving legitimacy to a centralised repository and definitive
guidance and support for researchers. By adopting a University-wide policy, researchers will find it much easier to negotiate their rights to publish an open-access version of their published papers. They will be able to claim this is a university requirement rather than just their own individual one.

However, an open access mandate is not a panacea and should not be embarked upon lightly. Lessons from elsewhere suggest that the success for such a policy will be dependent upon a number of factors:

- the priority given to the deposit of full-text papers in comparison with other research activity.
- how well the policy fits with wider research processes and workflows.
- the extent of support from the Executive, Deans of Faculty, Heads of School and Associate Deans, etc.
- the amount of administrative and technical resource available.

**Recommendation 1**
that the University moves to a mandate for the deposit of all publications data (2007 onwards) into the E-prints repository system which, once populated, will be representative of the entire research output of the University.

There will be immediate benefits from having all the data in one place for the University’s REF submission and for the development of staff web pages. It is proposed that the implementation be phased, starting with the Faculty of Health data from September 2010, with the other faculties coming on stream by January 2011 once the concept has been proven.

It is acknowledged that work will be required from staff in the faculties but arguably much of that work is already happening to maintain the multifarious local publications databases identified in the recent audit.

**Recommendation 2**
that the University prepares for a mandate for the deposit of full-text articles with a view to confirming the mandate at the ISSC meeting in February 2011.

A policy is essential to maximise the institutional benefits of having a repository and for academic staff to have the institutional backing needed to gain permission from publishers.

**A draft policy, updated following the consultation process, is now attached as Appendix A and comments from members of ISSC are invited.**

Between now and 2011 further work will be undertaken to confirm the wording of the policy, to determine the processes for deposit and to agree arrangements to support the process.
It is acknowledged from the consultation with Faculties that a higher level of support and advice is required than can be provided from existing roles:

- a self-deposit AND mediated deposit for academics and researchers to deposit their research papers and related bibliographic data.
- a copyright-checking service using the Romeo/Sherpa web site for copyright clearance AND manual intervention to negotiate copyright clearance for articles from publishers that fall outside existing agreements.
- checking for completeness AND quality.
- in-depth copyright clearance advice.

If this is agreed as an institutional strategic priority, then ISD will need to consider a realignment of its staff so a Repository Manager role can be created at a suitably professional level to work alongside academics and support staff.

Nicholas Lewis  
Library Director
Appendix A  Draft UEA Open Access Publications Policy 
for the deposit of research publications

The University of East Anglia:

- aims to increase the visibility, usage and impact of its research publications by maximising unrestricted online access to its research for all users and researchers worldwide.

- supports the principle that the outcomes of publicly funded research should be made available freely online for non-commercial private study or research purposes.

To achieve these aims this policy requires all UEA authors to upload into the UEA Repository:

- publication details for all peer-reviewed research publications authored whilst at UEA.
- the accompanying full-text for each new research publication immediately on its acceptance for publication (unless there are legal, commercial or confidentiality reasons not to do so).

Research publications include peer-reviewed material such as journal articles, conference papers and book chapters, etc. The full-text deposit of books and research monographs will remain optional although publications data will be expected.

All materials contained within UEA Institutional Repository shall comply with copyright legislation and where appropriate, publishers’ copyright policies. Where publisher policy does not permit the use of the actual published version, the author’s final accepted draft (known as the post-print) will normally be submitted.

Non-peer reviewed material may also be deposited, subject to the version type of that material being made clear and unambiguous, e.g. reports, working papers, etc. On occasions, owing to publisher restrictions, it may be necessary to accept not yet peer-reviewed (pre-print) versions of journal articles, in which case their version type will be clearly marked.

UEA authors, or their nominated School representatives, may only submit works in which they are identified as the author or one of the authors (providing permissions have been obtained). This policy is designed to assist UEA authors, or their nominated representatives, with obtaining copyright clearance and a range of templates and supporting material is available.

Material may only be deposited by staff affiliated to UEA or their nominated representatives using the self-deposit software administered by ISD.
Authors may request that their submission is embargoed for a period of up to five years subject to appropriate supporting evidence (e.g. the need to publish further on the topic or for commercial and copyright reasons). In such circumstances, the full-text should still be deposited, but only the publication details will be made visible in the repository for the duration of the agreed embargo period.

Material will not normally be removed from the repository once submitted unless it breaches copyright.

The ISD Research Board will oversee the development of the repository and act as its Editorial Board and will oversee any legal, copyright or academic integrity issues that arise.