

Open Access Policy

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Date: 11/01/2022 (Approved by Senate on 2nd November 2022)

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 UREC members, ISD and HR, and approved at June 2017 Research Executive meeting and by UEA Senate 08/11/2017
3.3	14/01/19	Minor revisions following scheduled review
4.0	11/01/22	Revisions as part of scheduled review. Updates cover: <ul style="list-style-type: none">- the purposes of the policy.- the actions required in Policy Statement 3 to clarify when Authors are expected to deposit accepted manuscripts.- the actions required in Policy Statement 4 to clarify the process for theses.- the actions required in Policy Statement 5 to cover all co-Authors- clarification in Policy Statement 6 that choosing a non-open access publishing venue only applies where Authors do not have any additional requirements on open access imposed by their (or their co-Authors) funding.- Reference to Transitional agreements to make outputs open access.- Expanding Policy Statement 7 to include the use of the Rights' Retention Strategy and similar processes- Strengthening the University's position on the use of the CC BY licence.

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 (UREC) and recommendations will be made to the University Research Executive, and thereafter to Senate before 31 December 2025.

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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 a number of external funders to allow access to Outputs by the widest possible community. Making Research Outputs open access is seen as a fundamental part of integrity in research.

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 for REF and other similar exercises, and those of external funders.
- Have the potential to raise their profile through increased readership in the academy and the wider public.
- Benefit from increased citations and other forms of recognition 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 (eg 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.

In this document, the following verbal forms are used:

“shall” and “must” indicated a requirement;

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>

“should” indicates a recommendation;
“may” indicates a permission;
“can” indicates a possibility or a capability.

Policy Statements

1. **Research is a public good and the Outputs of research must 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 acceptance for publication. If, in exceptional cases, it is not possible to make the metadata public (eg because of security concerns, or due to a publisher-imposed embargo 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 the date of acceptance for all journal articles and conference proceedings accepted for publication since 1st January 2015, or since they joined UEA, whichever is later.** Relevant documents must be uploaded within 3 months of being accepted for publication. Associated evidence to comply with funding body and publisher requirements around publication of Research Outputs should also be provided. This may include (but not be limited to) information on grants that are acknowledged in the output, permissions for use of third 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. **Manuscripts of other Outputs should be uploaded to Pure whenever appropriate.** Authors are particularly encouraged to deposit copies of the text of book chapters. In the case of research theses for degrees awarded by UEA, these will be added to the UEA repository by UEA support staff.
5. **Authors must comply with any open access requirements, policies, mandates or expectations laid out by the funders of their research, or by law.** In particular, where an Output arises from and acknowledges external funding, Authors must ensure that they chose a publication venue that allows them to comply with the open access policies of those funders. Authors must ensure that their co-Authors, and particularly corresponding Authors, 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. **All Authors are expected to consider open access when choosing their publication venue.** If Authors (or their co-Authors) do not have any funder requirements around open access decide to publish in a venue that does not allow a Research Output to be made open access, they should be able to justify that their choice is the most appropriate publication venue for that Research Output⁵. Authors are encouraged to make use of Jisc-negotiated transitional agreements that

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

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 would not be sufficient justification for choosing a publication that does not allow open access.

allow gold open access publication at no additional cost, wherever these are available and appropriate for their Output.

7. As far as is reasonably practical, **the University and Authors should retain copyright of Outputs.**⁶ Authors are encouraged to make use of a Rights' Retention Strategy⁷ or similar process that allows them to make a version of their Output available through a repository (for example the UEA Digital repository) whenever possible. Authors should also note that research funders may require the use of this when submitting papers to certain journals and/or with certain publishers and must ensure that this process is followed when required.
8. **Authors are encouraged to allow reuse of their Research Outputs.** As a minimum, 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.⁸ The Creative Commons Attribution (CC BY) licence allows maximum reuse while requiring full attribution and this licence should be chosen whenever it is offered; in cases where an additional charge is levied for a particular open access licence, Authors should seek advice from RIN.
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.
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, including Article Processing Charges and the costs relating to Jisc-negotiated transitional deals with publishers.

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 A Rights' Retention Strategy has been developed by cOAlition S; more information can be found here:

<https://www.coalition-s.org/rights-retention-strategy/>

⁸ The Creative Commons website, which gives information about their suite of licences, is available at:

<http://creativecommons.org/>