University of Bristol

INSTITUTIONAL POLICY ON OPEN ACCESS TO RESEARCH PUBLICATIONS

This policy was approved by Senate on 15 June 2015, following institutional consultation with Schools and Faculties and discussion with the University Research Committee and UPARC (University Planning and Resources Committee), and takes effect from 1 October 2015.

This policy is intended to provide a broad and inclusive institutional framework through which everyone can achieve open access, regardless of career level or funder. The policy is intended to encourage, research-wide engagement with open access. The policy is aligned to the requirements of the Hefce REF policy for open access as they relate both to individual authors for eligibility to the REF and to the institution as regards compliance and audit. Some research funders have specific requirements which require additional measures for compliance. The institutional policy creates a strategic link between the underlying principles of open access and Bristol's research strategy.

Institutional Policy Statement

Open Access Mission

1. Open Access is a world-wide movement committed to free public access to research findings to advance discovery and share research wealth. Its aim is to create free unrestricted online public access to the findings of research in support of social and economic benefits to potential users in business, charitable and the public sectors, the general public and the developing world, many of whom are currently excluded from direct access to research findings due to the cost of academic journal subscriptions.

2. The University of Bristol supports the underlying principle of Open Access to research publications in line with its world-standing for research excellence and its mission to maximise the global visibility and impact of its research findings.

Policy Development

3. This policy has been developed through the Open Access Steering Group, and approved via the University Research Committee (URC) and Senate to help guide the implementation of Open Access to research publications at Bristol.

Guiding Principles for Open Access to Research Publications

4. The University of Bristol policy is informed by a set of working principles designed to ensure Open Access policy remains true to core institutional values and is broadly in line with the wider Russell Group position:

- Bristol supports the underlying principle of free public access to publicly funded research in line with its mission to maximise the global visibility and impact of its research

- Bristol recognises the wide societal and economic value of free public access to publicly funded research to help address global challenges

- Academic freedom over where, what and when to publish is paramount and there will be no internal peer review process based on Open Access compliance of any given journal

- Bristol is committed to policy and practice that is sustainable, achievable, supported, equitable, ethical, effective and efficient

- Equality of opportunity in line with the spirit of the Equality Act and regardless of career-level, discipline and funding source and in keeping with the aims of Athena Swan

- Commitment to review and evolve policy with academic input and experience, and to remain sensitive to discipline-specific practice and to identify and support opportunities for innovation

- Recognition that it will be a gradual transition towards Open Access and that time is needed for effective culture change which takes account of differences in discipline and publishing practice

Policy Scope

5. This policy is aligned to the HEFCE REF policy and applies to peer-reviewed research papers and peer-reviewed published conference proceedings with an international standard serial number submitted for publication by University of Bristol researchers.

6. Other research outputs, including monographs and research data, are currently out of scope but the policy is a live document which will need to evolve as research and publishing practice develop and funder and government policy change. The Library will continue to provide support and guidance for those who wish to achieve Open Access for other research outputs, including research datasets, and will continue to provide advice and guidance on the specific funder requirements for Open Access.

7. This policy recognises there will be exceptions (for example for some working in an international context or where third-party rights cannot be cleared) but actively mandates all researchers to act in accordance with this policy as part of the phased transition to Open Access to help achieve the individual, institutional and global benefits associated with increased public visibility of research.

Policy Statement

8. This policy actively mandates all eligible staff and students to make all eligible research outputs Open Access at the point of acceptance through a relevant publication record in the institutional repository.

9. The mandate requires deposit, subject to copyright permissions, in the institutional repository of a copy of the final agreed full-text version of the eligible research output, subject to the agreed publisher, government or funder embargo periods.[1]

10. This policy requires staff and students to include their affiliation to the University of Bristol on their publication. This policy requires that the outputs are made available in a form that allows the reader to search for and re-use content provided such re-use is allowable (e.g.

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[1] The Library and RED team will engage directly with disciplines over the requirements of Hefce compliance and audit for REF where there are specific disciplinary issues with this mandate, for instance in relation to established subject repositories.

subject to third-party conditions) and subject to proper attribution under appropriate licencing. The policy does not specify a particular licence in recognition of the on-going national discussion about appropriate licences and the need to allow time and debate for the right policy position on licences to evolve. The policy recognises that exceptions are necessary, for instance for outputs that depend on the reproduction of third-party content for which open access rights could not be granted. The institutional policy on exceptions is aligned to the Hefce REF policy.

11. Please Note: Some research-funding bodies, like the UK Research Councils, have additional Open Access requirements for publications which directly arise from their grant funding. For RCUK, this includes a requirement for a statement, if applicable, of how the underlying research materials – such as data, samples or models – can be accessed. Researchers are advised to check the funder policy position prior to publication. Hefce have also issued new requirements, as of April 2016, which set out Open Access requirements for published research papers and conference proceedings for the REF post-2014. Further advice on specific funder and Hefce requirements is available from the Library.

12. Policy Definitions

i. '*Eligible research output*' refers to all peer-reviewed research and review articles normally published in academic journals or conference proceedings with an International Standard Serial Number in all disciplines where a University of Bristol member of staff is listed as an author.

ii. '*Eligible staff and students*' refers to:

- All members of staff employed by the University of Bristol[2]
- All research students registered at the University of Bristol

iii. The '*agreed version*' is the final peer-reviewed full-text version of the research output without the publisher formatting, unless this is allowed by the publisher. This is often referred to as the Author's Accepted Manuscript (AAM).

iv. '*Agreed publisher or funder embargo periods*' refers to the publisher or funder embargo periods which determine the time delay between depositing the output on the repository and the Open Access release of the output.

v. '*Web-link*' is a functioning direct link, preferably a Digital Object Identifier (DOI), through the institution repository to the final agreed version of the eligible research output hosted on an external subject repository or publisher website.

vi. The University of Bristol 'institutional repository' is currently [PURE](#) which is accessible publicly via the [Explore Bristol Research](#) website.

vii. 'Affiliation' on the publication refers to the inclusion of affiliation to the University of Bristol on the publication record. This is required so that all eligible University of Bristol outputs can be identified in bibliographic research tools like Scopus. Staff and students can include more than one affiliation (e.g. hospital and university).

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[2] Please note: This policy does not apply to those in honorary research positions at Bristol. However, honorary researchers can apply through RED for a PURE account and a public Explore Bristol Research profile, and once this is in place would be able to add publication records and deposit research outputs in the same way as a member of staff.

Roles & Responsibilities

13. Under the terms of this policy, <u>individuals</u> are responsible for:

- Providing and maintaining details of publications eligible under this policy in the institutional repository
- Making eligible research outputs available through the publication record in the institutional repository through deposit of the full-text in PURE on acceptance
- Meeting the specific Open Access requirements of research grant funding and/or Hefce, where the eligible publication may be submitted for the REF

14. Under the terms of this policy, the <u>institution</u> is responsible for:

- Checking that full text outputs in the institutional repository are compliant with publisher policy and permissions
- Providing support, guidance and training to individuals in how to deposit research outputs on the institutional repository and how to comply with the specific requirements of publisher, Hefce and/or funder policies
- Implementing the policy and monitoring its impact

Equality Statement

15. This policy supports equality of opportunity for all Bristol authors to achieve Open Access to research publications, regardless of career-level, discipline or funding source.

Policy Implementation

16. The policy was approved by Senate on 15 June 2015 and is active from 1 October 2015 Implementation will be phased with advocacy, training and support from the Library. Progress will be monitored through the Open Access Steering Group reporting to the University Research Committee, who will review the policy after one year.

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