

### 1. ABOUT THIS SUB-POLICY AND GUIDANCE

The sub-policy and guidance below enable researchers to meet the requirements of major funders and the Research Excellence Framework (REF) and provide a practical guide to help researchers make their publications open access. By following this policy researchers will:

- Ensure their work will be eligible for the REF.
- Follow their funders' requirements.
- Make their work freely available to all who would benefit from it.

The sub-policy applies to all staff and students at the University of Bristol engaged in research activity, or activity in support of research.

The term **must** is used to denote actions that are compulsory or necessary, **should** denotes best practice and aspiration to lead by example.

### 2. SHARE YOUR PUBLICATIONS AND PRE-PRINTS

Make research publications open access – free to read and reuse, published under appropriate licences, and unrestricted by payment or subscription.

### 3. WHAT RESEARCH PUBLICATIONS SHOULD BE OPEN?

Researchers must make the following publications open access:

- Journal articles.
- Peer reviewed conference papers.
- Monographs, edited collections and book chapters (when specifically required by funders).
- Theses awarded by the University of Bristol (unless a permanent deferral is agreed).

Researchers should also consider whether they can make their other publications, such as reports, open access.

Trade books (unless they are the sole output of a funding grant), scholarly editions, exhibition catalogues, scholarly illustrated catalogues, textbooks and creative writing are not required to be made open access, though researchers are welcome to do so if they wish.

### 4. WHY IS IT IMPORTANT?

- Publicly funded research is a public good. It should be openly available to the public, who ultimately funded the research.

- Making our research open access ensures that it makes the greatest possible contribution to the advancement of knowledge and understanding.
- Open access ensures that researchers everywhere can build on our research, even if they are not part of a wealthy academic institution.
- Sharing under an open licence encourages reuse, allowing people to freely translate the work into different languages, include it in course packs, discuss it in online videos and reuse it in many other contexts.
- Following open access principles helps build an open future for research, creating a more equitable scholarly publishing environment for all.

## 5. WHAT DOES IT MEAN IN PRACTICE?

Researchers must consider the open access policies of any co-authors, not just their own and decide between them who is responsible for ensuring all open access requirements are followed.

### 5.1 RESPONSIBILITIES OF RESEARCHERS

Before publishing, researchers must:

- **Ensure that they are submitting to a trusted journal** or publisher by using an appropriate assessment method, such as [ThinkCheckSubmit](#).
- **Select the best publication venue for their work.** This will be the place which best allows their research to reach the audiences who need access to it, rather than a journal or publisher selected on their perceived reputation, in accordance with the University of Bristol being a signatory to the San Francisco Declaration on Research Assessment ([DORA](#)).
- **Check their funders' open access policies and follow them in addition to this policy.**
- **Identify how they will make their work open access.** The [Open Access Flowchart](#) will help researchers navigate these decisions for journal articles. In most cases for both journal articles and monographs, there will be options that allow open access through paid and unpaid routes.
- **Identify how they will pay any charges** for gold open access publishing.
  - The University of Bristol has deals with many journals to cover gold open access charges
  - If no deal exists, the University of Bristol can only pay gold open access charges for authors funded by certain funders, as explained on the [Pay an Article Processing Charge \(APC\) webpage](#).
  - If a researcher does not have access to such funding and their funder will not allow them to pay from their grant, the University of Bristol will not cover the charge.
  - If there is no way to pay authors **must** plan a different open access route. This may mean either depositing the accepted manuscript in Pure or choosing a different open access journal without author-facing fees.
- **When given a choice of licence options, choose the least restrictive one possible.** This is usually the [Creative Commons Attribution \(CC-BY\) licence](#).
- **Include the University's Scholarly Works Policy statement** when submitting their journal

articles to publishers.

“For the purpose of open access, the author(s) has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission.”

- **Ensure** that the publication includes or links to everything necessary to reproduce the research, such as data and code (see References and Further Information).

Before publishing, researchers should also consider:

- Releasing the work as a preprint on an [appropriate pre-print server](#), and plan how they will make their work open access when choosing their journal or publisher.
- Using the [CRediT Taxonomy](#) to specify how individual’s roles are identified and recognised for their input into the publication.
- Whether the work may have commercial potential: please see section below for guidance.

When their research is accepted researchers must:

- **Add a [record to Pure](#)**, describing their publication. At minimum, this record must include:
  - The date of acceptance.
  - The title.
  - The authors (if the full list of authors is too long to reasonably add manually, the first six University of Bristol affiliated authors will be sufficient).
  - The DOI or link to the publication (if known).
  - If following the green open access route, authors must also upload a copy of the authors’ accepted manuscript to the Pure record.

By earliest publication researchers must:

- **Update the Pure record** with:
  - Date of online publication.
  - DOI or link to the publication.

## 5.2 RESPONSIBILITIES OF THE UNIVERSITY

To help researchers make their work open access, the University will provide an Open Access Team that helps authors to comply with all the relevant OA requirements and reduces the administrative burden of open access policies on researchers.

The Open Access Team will assist researchers in depositing their publications into Pure, this includes:

- Increasing discovery by enhancing the metadata to include volume and issue numbers, DOIs, etc.
- Processing the record so it will appear on the Bristol Research Portal at the appropriate time.
- Facilitate the ‘request a copy’ feature in the repository for publications that cannot be made freely available due to copyright or other restrictions.
- Manage open access deals and externally funded open access block grants.

- Advocate and negotiate with JISC and publishers on behalf of the institution to ensure researchers have the widest publications routes available, and that those routes best serve the needs of the research community.
- Provide training and guidance to researchers on open access.

## 6. WHEN should research PUBLICATIONS *not* be made OPEN Access?

If you work in STEM areas, Export Control Regulations could be applicable. Please contact the [Research Compliance Team](#) if exporting anything prior to its being published.

If a work may have commercial potential, researchers should consider protecting any intellectual property before publication. If publishing also includes the publication of intermediate research objects such as data and code, as per the sub-policies in those areas, researchers should also consider protecting any intellectual property in those. For advice on protecting intellectual property researchers can contact the [Commercialisation Team](#).

In certain thesis publications, such as when there is a security risk to the author or prior to filing any related patent applications, authors can [apply for access to their thesis to be deferred](#).

Once the decision to publish has been made, there should be no reason to avoid making the publication open access.

## 7. HOW WILL BEING OPEN HELP YOUR RESEARCH?

- There is [evidence](#) that open access publications are read more widely, cited more often, and have a greater impact.
- Allowing wider communities to read our research leads to increased opportunities to work with those communities.
- Demonstrating good open access practices helps demonstrate to funders that we follow their open access policies, making it easier for our researchers to secure funding.

## 8. REFERENCES AND FURTHER INFORMATION

- [University of Bristol Open Access Publishing Guidance](#)
- University of Bristol [Scholarly Works Policy](#)
- [REF and Funder Open Access Policies](#)
- [Guide to Creative Commons Licences](#)
- [UK Reproducibility Network Open Research Primers](#)
- University of Bristol Open Research Policy
- University of Bristol Data Sharing Sub-Policy and Guidance
- University of Bristol Open Code Sub-Policy and Guidance

## 9. GLOSSARY

[https://www.bristol.ac.uk/media-library/sites/staff/documents/open\\_research\\_glossary.pdf](https://www.bristol.ac.uk/media-library/sites/staff/documents/open_research_glossary.pdf)

