

<b>Open Access to Research Outputs</b>	
<b>Operational Owner:</b>	Open Research Manager
<b>Executive Owner:</b>	Pro-Vice-Chancellor, Research and Innovation
<b>Effective date:</b>	July 2021
<b>Review date:</b>	July 2024, unless guided otherwise by legislation or good practice
<b>Related documents:</b>	<p><b>University Policies</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Code on Good Research Practice</a></li> <li>• <a href="#">Copyright Policy</a></li> <li>• <a href="#">IT Acceptable Use Policy</a></li> <li>• <a href="#">Open Research Position Statement</a></li> <li>• Preservation Strategy</li> <li>• Research Data Management Policy</li> <li>• The University of Surrey <a href="#">Intellectual Property Code</a></li> <li>• <a href="#">The University of Surrey regulations for Research Degrees</a></li> </ul> <p><b>University guidance and tools</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Library Open Access pages</a></li> <li>• The <a href="#">Technology Transfer Office</a> pages</li> <li>• <a href="#">Thesis submission guidelines</a></li> <li>• <a href="#">University of Surrey Open Access repository</a></li> </ul> <p><b>Further guidance and tools</b></p> <ul style="list-style-type: none"> <li>• <a href="#">UK Reproducibility Network (UKRN) guidance</a> on study pre-registration, pre-prints and other open practices.</li> </ul>

### Approval History

Version	Reviewed by	Reason for review	Approved by	Date
1	Open Research Manager	The Open Research Policy has been replaced by the Open Research Position Statement. The policy sets out the University's requirements and expectations regarding the sharing research publications and other research outputs on an Open Access basis.	Pro-Vice-Chancellor, Research and Innovation and Director of the Library and Learning Support	May 2021
2	URIC	The Open Research Policy has been replaced by the Open Research Position Statement. The policy sets out the University's requirements and expectations regarding the sharing research publications and other research outputs on an Open Access basis.		<b>May 2021</b>
2		Approved	Senate	<b>June 2021</b>

## Introduction

### 1.1 Purpose

As highlighted in its [Open Research Position Statement](#), the University of Surrey is committed to providing the widest possible access to the research outputs produced by its researchers. Such works should be openly available both to the scholarly community and the public, both in line with funders' requirements and having addressed ethical or commercial considerations.

In supporting Open Access (OA) to its research outputs, the University not only contributes to wider scholarly, societal and economic benefits but also serves the interests of its researchers, through curating, disseminating and promoting their research for the widest possible impact.

The policy is aligned to, and must be implemented with respect to, legal and governance requirements (see Section 3).

### 1.2 Scope

- 1.2.1 This policy outlines the University's **requirements** with regard to Open Access to published journal articles and conference proceedings<sup>1</sup> created by Surrey staff and research students in the course of their employment and/or study.
- 1.2.2 The policy also outlines the University's **requirements** with regard to Open Access to doctoral theses created by Surrey research students in the course of their study.
- 1.2.3 The policy also makes **recommendations** on providing Open Access to other research outputs, including monographs and book chapters, creative outputs, technical reports and outputs produced throughout the research cycle, including pre-prints, pre-registered studies, research methods and protocols. Access to research data is addressed in the Research Data Management Policy.

### 1.3 Definitions

**Author's accepted manuscript (AAM).** Also known as the Author's version, an AAM is the final version of a manuscript which has been accepted by the publisher following changes made during peer review, but before type-setting or copy-editing by the publisher. This is usually the version that publishers typically allow authors to deposit in an Open Access repository.

**Commercially valuable IP.** As set out in the University's [IP Code](#): "commercially valuable IP refers to any IP which will (or may) create income for the University. It encompasses any discovery, invention, document, design or research result and includes, but is not limited to, algorithms, software, chemical compounds, processes, and data arising from experiments".

**Open Access.** Traditionally, Open Access is defined as free, unrestricted online access to published research outputs such as journal articles, conference proceedings, book chapters and monographs<sup>2</sup>. In

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<sup>1</sup> Full-text conference papers published in proceedings.

<sup>2</sup> "By 'open access' to this literature, we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited". <https://www.budapestopenaccessinitiative.org/read>

this policy, we adopt a broader definition to address Open Access as free availability to all research outputs, as defined below.

**Open Access repository.** An Open Access repository is an online database of research outputs, configured to support the storage, online discovery and machine-readability of its content. Institutional repositories, such as the University of Surrey Open Access repository, hold the research outputs of their institution. They can include publications, theses, research data and other research outputs; Open Access as well as restricted items; and full texts as well as bibliographic records. Subject or disciplinary repositories, such as [PubMedCentral](#), can host outputs from several institutions.

**Open Licences** are licences intended to support open dissemination and re-use of the outputs they apply to. Authors of openly licensed works specify which rights they reserve, and in which ways they allow others to re-use their work (e.g., commercial re-use, derivatives). [Creative Commons \(CC\) licences](#) are the ones most commonly applied to published research outputs and research data. Software, code and other outputs related to research methods and analysis are covered by a range of [open source licences](#).

**Research outputs** are defined as any tangible products arising from research. These include publications, theses, data sets, software, patents and creative works (compositions, literary works, performances), as well as any other outputs supporting the analysis, interpretation and, where applicable, reproducibility of the research findings. Within this definition, **published research outputs** are disseminated to audiences other than the author with the purpose to communicate the outcomes of the research. Published research outputs include, but are not limited to, peer-reviewed journal articles and conference proceedings, monographs, book chapters, commissioned reports, compositions, and patents.

## 2 Policy

### 2.1 Overarching principles

2.1.1 **Openness, transparency and reproducibility.** This policy is framed by the University's [Open Research Position Statement](#), which embraces the following principles:

- Research should be "**as open as possible, as closed as necessary**". Research should be openly available in a timely manner, unless there is a valid reason (e.g., ethical or commercial) for restricting access or reuse.
- Research practices should be **transparent** to ensure the quality, rigour and integrity of research.
- Openness and transparency also support, where applicable, **the reproducibility** of research findings.
- The University's position on Open Research also acknowledges that practices adopted to support the above principles will differ across disciplines.

2.1.2 **Compliance with funder requirements.** The requirements regarding Open Access to journal articles and conference proceedings are aligned with the core Open Access requirements of the Research Excellence Framework and Research England/UKRI.

- Authors of research outputs in scope of this policy are responsible for complying with the above requirements and any additional requirements specified by their funders (for instance, requirements regarding the deposit of doctoral theses, requirements regarding the sharing of pre-prints or the requirement to deposit their articles in PubMedCentral).
- The University is responsible for providing information and guidance to support researchers in complying with funder requirements.

- 2.1.3 **Compliance with copyright.** Before providing Open Access to their research outputs, creators must respect copyright law, in line with the [University's Copyright Policy](#). This includes, but is not limited to, obtaining the necessary permissions to include third-party copyrighted materials (e.g. images, diagrams, figures) in their own, publicly available, outputs.
- 2.1.4 **Compliance with the IP Code.** In line with the [University's IP Code](#), the creators of outputs within the scope of this policy are expected to declare any IP that is, or may be, commercially valuable IP to the Technology Transfer Office before publicly sharing/openly licensing their unpublished outputs (e.g., theses, software, reports, pre-prints).

Where possible, the expectations of this policy should be communicated to collaborators/sponsors, with a view to addressing these in collaboration agreements.

## 2.2 Open Access to journal articles and conference proceedings

The University supports Open Access through:

- (a) requiring researchers to deposit the final, peer-reviewed manuscripts accepted for publication after 1 April 2016 in the University's Open Access repository.
- (b) providing funds to cover the costs of Open Access publishing and negotiating publisher agreements that support compliance with funders.

Related guidance, including instructions on how to deposit outputs and when/how to publish Open Access to comply with funders, are on the [Library Open Access pages](#).

## 2.3 Doctoral theses

Surrey postgraduate research students are required to deposit the final version of their thesis, as accepted by the examiners following final corrections, in the University's Open Access repository. Unless a reason to temporarily restrict (embargo) the thesis applies, Surrey theses are publicly available.

## 2.4 Other research outputs

- 2.4.1 **Monographs and book chapters.** Authors of monographs and book chapters must make them available on an Open Access basis if their funder requires this. Information on funder requirements can be found on the [Library Open Access pages](#).

In line with the principles of openness, transparency and reproducibility set out in this policy and in the Open Research Position Statement, authors are strongly encouraged, wherever possible, to make their monographs and book chapters Open Access even when there is no requirement by their funder.

- 2.4.2 **Pre-publication outputs.** Research data should be made open where possible, in line with the University's Research Data Management policy. Related research designs, protocols, lab notebooks, software and code should also be made as open as possible on an appropriate

platform. Where relevant to the discipline, research studies should be pre-registered<sup>3</sup>, and the pre-registrations made openly available where possible. More information on study pre-registration is available in the accompanying guidance.

In line with the principle of supporting access to research as early as possible, researchers are encouraged, where commercial/IP issues have been considered and where journals' pre-publication policies allow, to publicly share early versions of their journal articles (pre-prints and working papers) on preprint servers such as arXiv and bioRxiv, even when funders do not formally require this.

- 2.4.3 **Any other outputs.** In line with the principle of supporting openness to research outputs that reflect a diversity of practices across different disciplines, researchers are encouraged to make openly available, via the University's Open Access repository, any other research outputs not mentioned above, such as creative works, technical reports, conference slides, and public engagement lectures. The University recognises that IP and data protection restrictions may mean these outputs cannot be openly shared.

## 2.5 Visibility and discoverability of research outputs

- 2.5.1 **Keeping a comprehensive record of research outputs.** Surrey-affiliated researchers are expected to make sure the University's Open Access repository holds the bibliographic records of all research outputs—including outputs produced previously while they were at another institution—related to the latest REF period, regardless of whether the full text can be open access or not.
- 2.5.2 **Open Researcher and Contributor ID (ORCID).** To ensure visibility and discoverability of research, Surrey researchers are expected to create an ORCID: a unique researcher identifier which can be linked to their research outputs for greater discoverability and transparency. ORCID numbers will be included in the University's Open Access repository.
- 2.5.3. **Unique identifiers.** To ensure visibility and discoverability of research as supported by universally accepted digital object identifiers, all outputs added to the University's Open Access repository that do not already have a Digital Object Identifier (DOI), including doctoral theses and research data sets, should be assigned a DOI.

## 3 Governance Requirements

### 3.1 Implementation / Communication Plan

- 3.1.1 The policy will be publicly available on the [University of Surrey's policy website](#). It will also be promoted via news posts, presentations, and direct communication with relevant staff and students.
- 3.1.2 Implementation of the policy will be supported by relevant guidance, which will be shared on the Open Research website and via relevant presentations and workshops.
- 3.1.3 The Open Research team, based in the Library, will provide advice, guidance, support, and training on Open Access tools, processes, and ongoing developments.

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<sup>3</sup> Study pre-registration refers to creating a time-stamped record of decisions around study design, methods and analysis, before collecting or sharing the data.

3.1.4 Heads of Departments/Schools and others responsible for research staff and students are responsible for ensuring that researchers in their areas are aware of the University's policy and supporting guidelines and procedures regarding Open Access and related compliance requirements.

### **3.2 Review and Change Requests**

The policy will be reviewed every two years, to address potential changes in legislative/governance requirements, and feedback from the stakeholders.

### **3.3 Legislative context**

Implementation of the Open Access policy is subject to (a) Copyright considerations and (b) contractual obligations with collaborators and sponsors, both internal and external.

The following list includes documents and resources that specify the Open Access requirements set out by major funders. A database, listing requirements by additional funders, is also included.

- **cOAlition S** Open Access requirements ([Plan S](#))
- **European Commission** [Open Access requirements](#)
- **UK Research and Innovation (UKRI)** [Open Access policy](#)
- **Wellcome Trust** [Open Access policy](#)
  
- **Database of research funders'** [Open Access policies](#)

### **3.4 Stakeholder Statements**

A stakeholder analysis has been conducted and will be submitted alongside the policy.

3.4.1 Equality: There are no adverse impacts on different equality groups for this policy.

3.4.2 Health & Safety: There are no health and safety implications for this policy.

More extended information will be provided in the Stakeholders document accompanying this policy.