Open Access to Research Outputs	
Enabling Policy Statement; Executive Owner; Approval Route:	Our Research and Innovation - PVC, Research and Innovation - Executive Board
Is the Procedure for internal use only (Non-disclosable) ?	Disclosable
Associated Policy Statements:	n/a
Authorised Owner:	Associate Director (Research and Innovation), Library and Learning Services
Authorised Co-ordinator:	Director of Research, Impact and Innovation
Effective date:	21 January 2025
Due date for full review:	31 December 2027, unless guided otherwise by legislation or good practice
Sub documentation:	N/A.

Approval History

Version	Reason for review	Approval Route	Date
1.0	Migration to POPP. This procedure outlines requirements and expectations regarding the sharing research publications and other research outputs on an Open Access basis. These requirements are aligned with funders' policies and REF requirements.	URIC > Executive Board	21/01/2025

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 procedure is aligned to, and must be implemented with respect to, legal and governance requirements (see Section 5).

2. Scope and Exceptions to the Procedure

2.1. This procedure outlines the University's **requirements** with regard to Open Access to published journal articles, conference proceedings[1], books and books chapters (where there is a funder mandate for book, chapters, and edited volumes) created by Surrey staff and research students in the course of their employment and/or study.

2.2. The procedure 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.

2.3. The procedure also makes recommendations on providing Open Access to other research outputs, including 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 Procedure.

2.4. The procedure builds on the University's Copyright Procedure by setting out the rights retained by authors, the licensing mechanisms and the practical steps to achieve open access.

2.5. The procedure excludes any work with a commercially valuable IP, which will follow the [University's IP Code,](#) while defined exceptions are also outlined in 4.10.

3. Definitions and Terminology

3.1. 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.

3.2. 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".

3.3. 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[2]. In this procedure, we adopt a broader definition to address Open Access as free

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[1] Full-text conference papers published in proceedings.

[2] "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

availability to all research outputs, as defined below.

3.4. 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.

3.5. 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.

3.6. 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.

4. Procedural Principles

4.1. Openness, transparency and reproducibility. This procedure 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.

4.2. 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 procedure 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.

4.3. Compliance with copyright. Before providing Open Access to their research outputs, creators

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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

must respect copyright law, in line with the University's Copyright P**rocedure**. 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.

4.4. Compliance with Right Retention. The University of Surrey confirms the current practice (stated in the Copyright Procedure) that the University does not assert ownership of copyright in books or articles created by staff or students. In most cases this will mean that authors themselves will initially own the copyright for their manuscripts.

4.4.1. Upon acceptance of publication each staff member grants the University a non-exclusive, irrevocable, worldwide, sub-licensable licence to make manuscripts of scholarly articles and conference papers publicly available under open access principles as per the terms of a [Creative Commons Attribution licence CC BY](#) (or under an alternative licence if requested eg by third party funder). This does not prevent authors from publishing their work in a venue of their choice, but it does grant the University the right to make the accepted manuscript openly available without embargo.

4.5. Compliance with the IP Code. In line with the [University's IP Code](#), the creators of outputs within the scope of this procedure 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 procedure should be communicated to collaborators/sponsors, with a view to addressing these in collaboration agreements.

4.6. Open Access to journal articles and conference proceedings

The University supports Open Access in several ways.

4.6.1. In the case of articles and conference proceedings with an ISSN, authors are required to deposit the final, peer-reviewed manuscripts (AAM) accepted for publication in the University's Open Access repository under the terms of a Creative Commons Attribution (CC BY) licence at the time of acceptance. This is known as 'Green' open access.

4.6.2. In order to convey the rights retained by staff in their work, authors should include the following statement in the acknowledgement section and cover letter of their submission: *"In order to meet institutional and research funder open access requirements, any accepted manuscript arising shall be open access under a Creative Commons Attribution (CC BY) reuse licence with zero embargo."*

An alternative statement with the same intended outcome, if required by specific funders such as UKRI, can be used instead.

4.6.3. Authors must include a Data Access Statement (DAS) in all articles to inform readers whether underpinning data exists and if possible, where data can be accessed. Research data underpinning the published work should be compliant with the University's Research Data Management procedure and research funder guidelines.

4.6.4. Authors must include a Contributor Role Taxonomy (CRediT) to acknowledge individual contribution to the output.

4.6.5. The library manages block grants supplied by funders which cover the costs of Open Access publishing and negotiates 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](#).

4.7. 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](#).

4.7.1. The procedure for books and chapters only applies to those works that have a funder

mandate in effect, for example books supported by Wellcome Trust or Horizon Europe, or long-form publications acknowledging UKRI funding published on or after 1 January 2024. Authors should refer to their grant terms and conditions. For all other books and chapters, open access is encouraged but not required.

4.7.2. In the case of monographs, edited collections, and book chapters authors are required to deposit these works (under a choice of Creative Commons licence including more restrictive variants where necessary) at the time of acceptance or earlier and will provide an electronic copy of the author's accepted manuscript (AAM) for deposit in the University Open Research Repository within 12 months of publication. unless an exception applies (see 4.10.2 for exception) .

4.7.3.The University will make the AAM available to the public via the institutional repository under a Creative Commons licence after an embargo period, typically of 12 months, or sooner if required by research funders. A Creative Commons Attribution (CC BY) licence is preferred, but other Creative Commons licences are permitted.

4.7.4.Third-party material contained in the work can be included under more restrictive licences or removed from the open access version if rights cannot be obtained for reuse.

4.8. Doctoral thesis

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 there is a valid reason to temporarily restrict (embargo) the thesis, Surrey theses are publicly available.

4.9. Other research outputs

4.9.1.**Pre-publication outputs.** Research data should be made open where possible, in line with the University's Research Data Management Procedure. 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[3], and the pre-registrations made openly available where possible. More information on study preregistration 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' prepublication policies allow, to publicly share early versions of their journal articles (pre-prints and working papers) on preprint servers such as arXiv and bioarXiv, even when funders do not formally require this.

Where a preprint is publicly available on a preprint platform with a DOI, researchers are encouraged to record these in the University's Open Access repository. Creative Commons Attribution (CC BY) licences are recommended for preprints.

4.9.2.   Open data, software and code

All articles must include a Data Access Statement. Statements should enable citation of underpinning research data by providing a location with a unique identifier (DOI) and any terms of access

Data Access Statements must be added to all articles even when there are no data associated with the article or the data are inaccessible. In the latter case, the Data Access Statement must state the reason(s) why the data cannot be made available.

Research data, software and code underpinning publications should comply with funder

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

requirements and should follow the principle as open as possible, as closed as necessary. For further guidance, refer to the University's Research Data Management procedure.

4.9.3.**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.

4.10.   Defined exceptions

The Open Research team will manage defined exceptions following dialogue with authors, without need for further approval. Authors will be informed if their request for an exception would cause issues with funder policy compliance.

4.10.1. For articles and proceedings:

4.10.1.1.   An alternative Creative Commons licence may be used on the deposited AAM where a funder allows it, or if there is no external funder mandate or REF requirement. The author must inform the Open Research team of their preference for an alternative licence.

4.10.1.2.   A 'closed' deposit of AAMs for articles & proceedings will be required even if an exception applies.

4.10.2. For books and chapters:

4.10.2.1.   If complete monographs and edited volumes are made fully open access on a publisher's website under a Creative Commons licence, the creation and deposit of AAMs may not be required unless there is an external funder or research assessment mandate in effect.

4.10.2.2.   If removal of third-party content would make the AAM unsuitable for sharing, an exception will apply and the AAM will be retained as 'closed' access on the University's Open Research Repository.

4.10.2.3.   If an existing contract is in place that prevents adherence to this policy, authors should refer to the Open Research team who will consider reasonable requests on a case-by-case basis and suggest potential alternatives.

4.10.3. Reasonable adjustments

4.10.3.1.   Exceptions may apply if an individual is unable to follow this procedure due to disability or other protected characteristics. Where requested, and if possible, we will make reasonable adjustments to ensure all individuals can equitably comply with the Open Access procedure. Examples may include providing assistance with deposit of AAMs and providing reminders of timebound elements.

4.11.   Visibility and discoverability of research outputs

4.11.1. **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.

4.11.1.1.   A Data Access or Availability Statement (DAS) must be included in published papers. It should describe how, where and on what terms (i.e. licence) supporting research data may be accessed.

    4.11.1.2.   Technicians, professional and support staff instrumental in contributing to the work data should be acknowledged and their contribution specified in the Contributor Role Taxonomy (CRediT) author statement and in Data Access Statements (DAS).

    4.11.1.3.   Funding received in support of the work should be mentioned correctly as required by the funders

4.11.2. **Open Researcher and Contributor ID (ORCID).** To ensure visibility, discoverability of research, and correct attribution, 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 linked to the University's Open Access repository and to other relevant Researcher's profiles.

4.11.3. **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.

5. Governance Requirements
5.1. Implementation: Communication Plan

5.1.1. The procedure will be publicly available on the University of Surrey's Policies and Procedures website. It will also be promoted via news posts, presentations, and direct communication with relevant staff and students

5.1.2. Implementation of the procedure will be supported by relevant guidance, which will be shared on the Open Research website and via relevant presentations and workshops.

5.1.3. The Open Research team, based in the Library, will provide advice, guidance, support, and training on Open Access tools, processes, and ongoing developments.

5.1.4. 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 procedure and supporting guidelines and procedures regarding Open Access and related compliance requirements.

5.2. Implementation: Training Plan

5.2.1.   The Open Research team, based in the Library, offers training to staff and students on all elements of Open Research, including how to prepare a work for a submission and how to deposit outputs on the the Institutional Repository.

5.2.2. The Library's Open Research website also offers numerous on-line resources such as templates, checklists, handbook, user guides, videos, etc.

5.2.3. For new staff and postgraduates, it is recommended they undertake the Open Research in Practice Module available on Surrey Learn which also includes a section on Open Access.

5.3. Review

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

5.4. Legislative Context and Higher Education Sector Guidance or Requirements
Implementation of the Open Access pprocedure 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

5.5. Sustainability

5.5.1. The environmental impact that this Procedure will have on energy consumption and/or associated carbon emissions stems from the university's need to increase its digital holding and outputs. This has arisen primarily from the increasing demands made by funders and governments to conduct, share, and publish (and hence also to store, archive and preserve) any underpinning research data that substantiates research findings or is of long-term value.

5.5.2. However, this increase in energy consumption should be offset, at least partially, by their expectation that such research is also transparent and is built on openly available outputs, which have contextual documentation, and is of sufficient quality to be re-used. This being the case, energy consumption savings should be made through good open access practices, as outlined in this Procedure, leading to reductions in error, bias and duplication; increased efficiency allowing timely peer review, decision making and project handovers; decreased risk from data loss and corruption; and enhanced creativity, innovation and productivity generated through more, faster and wider collaboration.

6. Stakeholder Engagement and Equality Impact Assessment

6.1. An Equality Impact Assessment was completed on 21/11/2024 and is held by the Authorised Co-ordinator.

6.2. Stakeholder Consultation was completed, as follows:

Stakeholder	Nature of Engagement	Request EB Approval (Y/N)	Date	Name of Contact
Governance	Review of procedure draft; confirmation that it adheres to the policy framework	N	26/11/2024	Kelley Padley, Governance Officer
H&S	Review of procedure draft; confirmation that it adheres to University H&S	N	03/12/2024	Matthew Purcell, Health & Safety
Sustainability	Review of procedure draft; confirmation that it adheres to University Sustainability policy	N	27/11/2024	Martin Wiles Head of Sustainability
Academic Freedom of Speech	Review of procedure draft; confirmation that it adheres to the policy framework	N	22/11/2024	Abi Bradbeer AFFE Project Manager