

Open Access Policy

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| 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. |
| 5 | | Revisions as part of scheduled review and to align with revised Intellectual Property Regulations to include Rights Retention for journal articles and conference proceedings. Other changes: <ul style="list-style-type: none">- the actions required to clarify when Authors are expected to deposit accepted manuscripts (Policy Statement 3).- Updated definition of Researcher to align with other policies. |

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 July 2028.

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Introduction

The University of East Anglia is committed to maximising the potential for academic, economic, scientific, social and cultural impact of its research, and recognises the key role played by making the Outputs of its research open in meeting this potential. 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 (e.g. 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 guidance 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.

This Policy operates in conjunction with University’s Intellectual Property Regulations [the IPR], and in particular the statements on the University’s claim to copyright for Staff, for Students and for non-staff and non-University registered Students.

¹ UEA Guidelines for Good Practice in Research can be found from this site: <https://my.uea.ac.uk/divisions/research-and-innovation/research-innovation-services/research-support/research-integrity-and-ethics>

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 journal articles, 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 will be made public immediately.**² For journal articles and conference proceedings published with an ISSN, this must be done within 3 months of acceptance for publication. If it is not possible to make the Research Output or its metadata public (e.g. because of security concerns, due to a publisher-imposed embargo prior to publication, or for commercialisation purposes), Authors must seek advice from the Open Research team on how to proceed.
3. **Authors must provide a copy of the Accepted Manuscript and the date of acceptance for all journal articles and conference proceedings** accepted for publication since 1st January 2020, or since they joined UEA, whichever is later. This must be done within 3 months of acceptance for publication. Authors should also include any other information relating to funder and publisher requirements such as information on the grants acknowledged in the Research 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 via the UEA Research Portal and the UEA digital repository, subject to any required embargo period.
4. **Manuscripts of other Outputs should be uploaded to Pure.** Authors are particularly encouraged to add copies of long-form publications such as monographs and book chapters. Research theses for degrees awarded by UEA are 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 Research Excellence Framework (REF), the funders of their research, or by law.** In particular, Authors must ensure that they chose a publication venue that allows them to comply with the open access policies of any funders acknowledged in their Research Outputs. Authors must ensure that their co-Authors, and particularly corresponding Authors, are 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 as a matter of good practice.
6. **All Authors are expected to consider open access when choosing their publication venue.** This includes making sure that any publication venue they chose meets the open access requirements for REF exercises. Authors are strongly encouraged to make use of agreements that 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/or Authors should retain copyright of Outputs**, noting the University's Intellectual Property Regulations [the IPR] sections on copyright.
8. **Authors should allow re-use of their Research Outputs**, where not restricted by reasons of e.g. security or privacy, and use a licence so that the terms of re-use are clear. As a minimum, this should permit anyone with an internet connection to be able to read, download and print an

² This does not apply to Outputs still in preparation by the Researcher.

Academic Article and to perform an electronic text search within it, without charge. This may follow a publisher-imposed embargo period. Authors are strongly recommended to use the Creative Commons Attribution (CC BY) licence. In cases where an additional charge is levied for a particular open access licence, Authors should seek advice from the Open Research Team.

9. From 1st January 2026, the UEA will proactively assert its right to make the Accepted Manuscript of any journal articles and conference proceedings published with an ISSN open access, as per the IPR section on Copyright for Staff. Any such output accepted for publication from that date will be made open access in line with the IPR. The Accepted Manuscript will be made available from the date of first (usually online) publication.
10. To support the University's IPR, Authors of journal articles and conference proceedings published with an ISSN should include a Rights Retention Statement at submission, as part of the acknowledgements section of the article and in the cover letter. Where there is no funder-required wording for a Rights Retention Statement, Researchers should use this wording: "For the purpose of open access, the authors have applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission."
11. Under certain circumstances, Authors might need to opt out of this policy, use an alternative open licence or to opt out of the section of the University's Intellectual Property Regulations where the University retains the legal right to grant a non-exclusive, irrevocable, worldwide licence to make any author accepted manuscript of any Academic Article publicly available under the terms of a Creative Commons Attribution (CC BY) licence. Exceptions and opt-outs will be approved by the PVC-R&I or their delegate.
12. **All Authors have a responsibility to ensure that Research Outputs are made open access in line with this Policy.**
13. **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.
14. **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 deals with publishers.

Definitions

Academic Article: research publications including books, contributions to books, academic journal articles, conference papers or conference abstracts whether they are published in hard copy or electronic form as defined in the University's Intellectual Property Regulations. Academic Articles are a subset of Research Outputs.

Accepted Manuscript (AM): author's version of a Research Output, usually a journal article or other Academic Article, that has been peer reviewed and is accepted for publication, but does not include the publisher's formatting and typesetting. It may otherwise be known as the Author's Accepted Manuscript, AAM, final author version or post-print.

Author: UEA creator or co-creator of a Research Output, defined thus to identify to whom the policy applies.

Co-Author: non-UEA co-creator of a Research Output, defined thus for the purposes of distinguishing to whom this policy applies.

Metadata: Bibliographic and other information about the Research Output. This will include the author list, where the Research Output is published, publication date information and an abstract. This information should be updated with further details when they are available, e.g. volume and issue numbers, page or article numbers, funding information.

Output: a piece of work resulting from research or teaching activity.

Researcher: anyone engaged in research at UEA . This encompasses:

- All staff employed by the University (including academic, research and support staff; and joint appointments, for example with a Norwich Research Park (NRP) institution) carrying out research at, or on behalf of, the University (including those on a UEA contract/payroll but based elsewhere, for example at an NRP institution).
- All students (undergraduate, postgraduate taught, postgraduate research) undertaking research and their supervisors (including students registered at UEA but based elsewhere, for example at an NRP or other partner institution).
- Any persons with Honorary positions or Emeritus appointments, conducting research at, or on behalf of, the University.
- Any other individuals carrying out research at, or on behalf of, the University.

Research Output – a piece of work resulting from research activity.

In this document, the following verbal forms are used:

- “shall” and “must” indicate a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.