

UWE Bristol Open Access Policy for research outputs

1. Context

The University's Research Strategy aims to achieve globally recognised research with real world impact. The Open Access Policy supports this aim, encouraging free, unrestricted online access to UWE Bristol research outputs to read, download and re-use (subject to licence and attribution).

The policy reflects the [UWE Bristol Open Research Statement](#) which encourages our research community to explore the benefits of using open access practices in research and supports a growing culture and practice of open research. It should be considered alongside the following:

[UWE Bristol Research Data Policy](#)

2. Purpose

The purpose of the policy is:

1. To provide broad and inclusive guidance which enable all employees and postgraduate research students (PGRs) to achieve open access.
2. To outline the responsibilities and requirements of the University and its researchers.
3. To encourage engagement with open access publishing which will:
 - maximise visibility of our research outputs to provide the opportunity to promote dissemination and impact
 - ensure we comply with open access requirements for the Research Excellence Framework (REF) and those of UK Research and Innovation (UKRI) and other funders
 - facilitate long term storage and preservation of research outputs

3. Scope and definitions

- The policy applies to all employees and PGR students who produce outputs from their research (hereafter researchers').

- The policy applies to all research outputs authored, co-authored, or created by staff and PGR students at UWE Bristol, provided they are not confidential or subject to any conditions stipulated by a funder, collaborator or publisher. Outputs include (but are not limited to) journal articles, books, conference proceedings, digital artefacts, exhibitions, theses.
- The term embargo refers to the time that must pass prior to making published content available in a repository. This can be up to two years after publication.

A glossary of open access research terms used in this document - [Open Research Glossary](#)

4. Requirements

4.1 Researcher responsibilities

- Researchers are required to deposit a copy of their research output, including PhD theses, into the UWE Bristol Research Repository. Where this is a journal article, the full text is required.
- Researchers may in addition choose to deposit their work in subject repositories relevant to their discipline.
- Researchers must use a standardised affiliation “University of the West of England, Bristol” (including the department/school if preferable) in all research outputs to ensure clear affiliation with the University.
- Researchers must acknowledge the source of grant funding associated with a research output in the publication itself. The funding agency should be written out in full, followed by the grant number in square brackets where appropriate e.g. This work was supported by the Natural Environment Research Council [grant number xxxx] or following funders’ specific requirements.
- Researchers must comply with their research funders’ policies relating to open access. These may include additional requirements to those in this policy. For example this could mean publishing in:
 - A subscription journal which is part of a transitional publisher agreement
 - A fully open access journal
 - A journal with no embargo
 - A repository (which means no embargo)
- Researchers should avoid publishing in a journal with both subscription and open access elements (hybrid journal) unless the journal is part of a transitional

agreement (on route to open access). [See transitional publisher agreements available via Library Services](#)

- Researchers must apply the most open form of licence which is appropriate to their work to allow re- use. This includes taking into account funder requirements to use specific Creative Commons licences – see [copyright guidance](#).
- Researchers are encouraged to seek to retain copyright and other reuse rights for their research outputs in any contracts with collaborators, funders and publishers. Authors must be aware of the terms of copyright transfer agreements they sign with publishers and their impact on how their work can be made available.
- Researchers should register for an individual ORCID identifier (An Open Researcher and Contributor ID (ORCID) is a **unique identifier** that allows you to tie all your research together in one place ensuring consistent, reliable attribution of your work). Researchers should include their ORCID on their UWE profile page, when submitting publications, when applying for grants, and in any research workflow to ensure that the individual is credited for their work and that the correct institutional affiliation is achieved. [Get an ORCID](#)
- Researchers are responsible for ensuring that requests for funding open access costs are included on funding bids and / or retrospectively from funders where permitted. [Advice and support is available from Research, Business and Innovation research@uwe.ac.uk]
- Researchers should take account of any ethical, legal or commercial reasons (e.g. due to stipulations by grant funders) why some research outputs and research data cannot be made openly accessible. If you think your research could be translated into tangible products or services, please email Tech.Transfer@uwe.ac.uk for advice before submitting it for publication.

4.2 E-thesis requirements

- All PhD students must submit an electronic copy of the final version of their thesis to the UWE Research Repository before the degree may be awarded. For the awards of DPhil/ MPhil by publication only, the critical commentary and bibliography must be added to the UWE Bristol Research Repository.
- The electronic copy of the e-thesis will be stored in the UWE Research Repository and either the full text, or a redacted version where copyright clearance could not be obtained, will be made available by open access after deposition.
- In certain circumstances, where agreed by the Research Degrees Award Board ([RDAB](#)), postgraduate research students can request an embargo to their thesis or critical commentary. The full text will be made available after the embargo has expired. [Further information is in the [Graduate School Handbook](#) PGR14.13.3R]

- Account should be taken of any ethical, legal or commercial reasons for restricting access to all or part of a theses (advice is available from RBI - research@uwe.ac.uk).

4.3 REF Requirements

In order to be eligible for the REF under current rules, researchers must ensure that:

- Journal articles and conference proceedings with an ISSN are made open access in a repository within 3 months of acceptance of publication.
- These outputs are uploaded and deposited to the UWE Bristol Project Information Management System ([PIMS](#)), completing a metadata record and including the required full text.
- The author's final peer-reviewed version (author accepted manuscript - i.e. the version incorporating changes from peer review, but before publisher formatting has been applied), and not the publisher's PDF, is deposited before publication. (Copies may be replaced or augmented by the final published version later, but this is not a requirement).

Library Services will:

- Review metadata records and make them publicly discoverable within 2 weeks of deposit by the researcher.
- Apply any required licence or embargo to the full text.
- Apply any applicable exceptions. In the case of some exceptions (e.g. 'the journal does not allow open access archiving of any kind and was the most appropriate venue for publication') the exception is only applied after a supporting statement is received from the author.
- Where outputs are deposited in another institutional repository and not deposited within the REF compliance timeframe at UWE Bristol, the Repository Team contacts the other institution to confirm compliance status of the output there.

[Research England OA Policy and the REF - UWE guidance](#)

4.4 UWE Bristol Responsibilities

Library Services will:

- Make the deposited copy open access, i.e. freely accessible over the Internet, where publishers' copyright permissions allow, and there are no confidentiality or commercial constraints.
- Check that full text outputs in the institutional repository are compliant with publisher policy and permissions.
- Ensure outputs, which are not embargoed, are made open access within one month of deposit.
- Apply any required licence or embargo to the full text.
- Review metadata records and make them publicly discoverable within 2 weeks of deposit by the author or creator.
- Provide advice and guidance on how best to achieve open access for your research output, including how to deposit research outputs on the UWE Bristol Research Repository and how to comply with the specific publisher and funder requirements.

The University will:

- Implement the Open Access Policy and monitor its impact.
- Engage with funders, publishers and other stakeholders to ensure it is fully aware of developments in open access.
- Communicate effectively to all staff and postgraduate research students so they are aware of the benefits and mechanisms of open access.

5. Policy implementation

- The policy will be implemented in conjunction with advocacy, training and support from Library Services.
- Updates on the progress of implementation will be reported to the University Research and Knowledge Exchange Committee (URKE).
- The policy will be reviewed annually.

6. Further guidance and support

Support for open access publishing is available from:	
Library Services , including advice on:	
Open access publishing and APC's (article processing charges)	Find out how to apply for funding for article-processing charges, and how to meet funder requirements.
Funder requirements	Advice on funder requirements for open access publishing.
Making your work open access	Advice on making your work open access. Including advice on open access requirements for the Research Excellence Framework (REF).
UWE Bristol Research Repository Email: repository@uwe.ac.uk	Information and access to the Project Information and Management System (PIMS) and the UWE Bristol Research Repository including help and support.
Managing your research data	Guidance on managing your research data and submitting to the UWE Bristol Research Data Repository .
Library Research Support Team Email: lib.rke@uwe.ac.uk	For help, advice or further information on any aspect of open access.
Research, Business and Innovation (RBI) , including advice on:	
Research governance	Information on research governance, including research data management, GDPR compliance, data security and data storage.

Support for open access publishing is available from:

[Research ethics](#)

Information and guidance on UWE Bristol research ethics processes and procedures.

[Intellectual property](#)

Intellectual property and UWE Bristol's IP policy.

For further information and advice contact - research@uwe.ac.uk

7. Ownership and Oversight

Document name:	Open Access Policy for Research Outputs
Version number:	1
Equality Analysis:	EA underway Feb 2021
First approved by:	Research and Knowledge Exchange Committee 20.01.21
This version approved by:	Research and Knowledge Exchange Committee 20.01.21
Effective from:	20.01.21
Next review date:	Reviewed annually
Senior Policy Owner:	Pro Vice-Chancellor Research and Enterprise Director Library, Careers and Inclusivity
Policy Author:	Head of Library Research Support
Overseeing committee:	Research and Knowledge Exchange Committee
Compliance measures:	Instances where it is not possible to publish in line with the Open Access Policy will be noted and reviewed.

7. Ownership and Oversight

Related policies, procedures and codes of practice:	<ul style="list-style-type: none"> • UWE Bristol Open Research Statement • UWE Bristol Research Data Policy
Related legislative and/or regulatory requirements	Research Funder Open Access Policies

8. Version history

Version	Date	Summary of changes	Author
V1.0		New policy	Role
V1.1		[Minor changes – e.g. to roles, titles]	Role
V2.0		[Major changes, typically involving substantive rewrites as a result of review]	Role

If you require this document in an alternative format, please contact the [Library Research Support Team](#)