UNIVERSITY OF HULL

COVER SHEET

1	**Policy/CoP title**
	Open Access Policy 2023
2	**Summary description**
	The University of Hull recognises open access publication as a valuable component of dissemination for research outputs and that openness to research outputs is inherently of value. Open access publication channels for journal articles in particular are mainstream: equivalent routes are also developing for monographs, research data and software. Open access dissemination of research outputs broadens the audience that can be reached and enables wider engagement with the research and its findings. This can generate increased potential for impact and collaboration, with concomitant reputational benefits for future research.

Research funders are increasingly advocating and often mandating open access as a means of publication to realise these advantages. This policy describes an approach to open access for the University of Hull that blends the advantages of open access with the requirements laid out by funders in following this path. |
| **3** | **Scope**

The Policy affects all those engaged in research and producing outputs from that research. |
| **4** | **With effect from**

1st April 2015 (previously reviewed April 2021) |
| **5** | **Other related policies/CoPs**

There are no directly linked policies, although REF policy/code of practice depends closely on the effective delivery of open access through implementation of this policy. Open access is also closely linked to research data management and there is thus a connection with the institutional policy developments in this area. Open access is also incorporated into the Code of Good Research Practice and this code is aligned with this policy. |
| **6** | **Contact for further information**

Chris Awre, University Librarian, University Library, c.awre@hull.ac.uk |
| **7** | **'Alternative format' declaration**

This document is available in alternative formats from the University Library |
| **8** | **Approved by**

University Research Committee (URC) |

9	**Next due for review**
	April 2025, or whenever there are substantive external changes in open access compliance requirements.
10	**Reference to any superseded policy/amalgamations**
	This is a policy in an evolving area, and there is no previous policy documentation other than previous iterations of this Policy.
11	**Relevant legal framework**
	The Copyright, Designs and Patents Act (2014) underpins researchers', employers' and funders' rights to control the distribution of their research output, and the legal framework for transferring these rights to a publisher. Compliance with under policy driven by Government policy and strategy, as evidenced through the Research Excellence Framework requirements, may be a contractual obligation. This is a developing environment and the policy is designed to assist in managing changing external requirements for open access
12	**Equality analysis**
	The implementation of this policy is not considered to have a negative impact on protected characteristics.
13	**Freedom of information**
	No FoI exemption has been sought. The nature of the policy requires open access to its terms as well as the research publications it refers to.
14	**Other professional standards reference points**
	Key external policy drivers behind the policy are: • Research funder policies on open access and open research, where in alignment with the principles of Coalition S (https://www.coalition-s.org/organisations/), and in particular the UKRI policy for the support of Open Access, https://www.ukri.org/manage-your-award/publishing-your-research-findings/making-your-research-publications-open-access/ • REF2021 Open Access policy guidance, **https://www.ref.ac.uk/media/1228/open_access_summary__v1_0.pdf**. This guidance remains in use pending any future guidance for subsequent REF exercises. As indicated in section 11, external requirements for open access continue to evolve, with additional funders making similar demands alongside these two major policy initiatives. The periodic and adaptive review date of this policy reflects the need to be aware of this changing environment and update local practice accordingly.

University of Hull Open Access Policy

Open access literature is digital, online, free of charge, and free of most copyright and licensing restrictions[1]. This policy covers how the University of Hull will make use of open access for the dissemination of research outputs: this affects all those engaged in research development and delivery, production, dissemination, marketing, and evaluation.

The University of Hull recognises open access publication as a valuable component of dissemination for research outputs and that openness to research outputs is inherently of value. Open access publication channels for journal articles in particular are mainstream: equivalent routes are also developing for monographs, research data and software. Open access dissemination of research outputs broadens the audience that can be reached and enables wider engagement with the research and its findings. This can generate increased potential for impact and collaboration, with concomitant reputational benefits for future research.

Guidance on open access is available through the Library's LibGuide at https://libguides.hull.ac.uk/openaccess.

Research funders are advocating, and often mandating, open access as a means of publication to realise these advantages. This policy describes an approach to open access publishing for the University of Hull that supports authors' choice of publication channel whilst ensuring that research funders' criteria for openness are met. Its use is in part fulfilment of the University of Hull Research Strategy (2019).

Failure to comply with this policy may mean that research outputs would not be eligible for submission to future REF exercises, and may risk penalties from external funders.

This policy is laid out in three sections: the responsibilities of researchers; the University's commitments; and management of this policy.

Deposit of research outputs: researchers' responsibilities
Collecting the research outputs of the University, or a record of them, supports discovery of and engagement with publications produced by staff and students of the University and enables the University to curate a record of institutional research activity to provide open access in compliance with funder and publisher terms. Such a collection also supports University reporting requirements to external agencies and the preservation of the outputs for the research record.

1. All research outputs must be recorded within the nominated University CRIS system [Note 1]. An appropriate version [Note 2] of the full content of text-based outputs must also be deposited in this system; deposit of other forms of output is encouraged where technological constraints permit []. Such recording and deposit is the responsibility of the author.
2. Non-text-based outputs should be deposited in the most suitable venue for their long-term management [Note 3]. This includes the data used and/or produced that underpins the research publication, in accordance with the University's Research Data Management and Sharing Policy.
3. Where outputs are related to funded projects, a link between the output(s) and project(s) should be made within the CRIS as part of the deposit process.

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[1] Suber, P. (2019) *Open Access*. Boston: MIT Press essential knowledge, https://openaccesseks.mitpress.mit.edu/, CC-BY

4. Use of the University CRIS system does not preclude dissemination of the research outputs through other channels. The channels selected for dissemination of research outputs are a matter of academic freedom. Decisions should be informed by funder, discipline, audience, purpose, and timeliness, in keeping with research dissemination strategies and plans.
5. The deposit of publications to the CRIS must be in line with external funder or policy drivers.
6. Researchers are responsible for being aware of any funder or sector policies relating to open access to research outputs, and acting on these accordingly [Note 4]. Funder-specific requirements should be communicated as part of depositing the output.
7. It is the researcher's responsibility to give due consideration to issues of privacy, security, and intellectual property within the research output before publishing or making the output available with open access.
8. To aid open access dissemination researchers are encouraged to retain copyright in research outputs, where this does not conflict with contractual obligations [Note 5].

Dissemination of outputs via open access: University responsibilities

Once deposited in the CRIS, records of research outputs will be made public in the University Repository, with an open licence for the work where funder/publisher terms permit, in accordance with the terms of this policy.

9. The University will provide the relevant systems and guidance to facilitate deposit, and promote engagement with this process through appropriate training.
10. Once deposited, the University will take responsibility for the records and digital outputs, and curate them for long-term access and preservation as required.
11. Research outputs with access restrictions will be managed securely to limit access as required.
12. Where compliance with funder or sector criteria for open access cannot be achieved, the exceptional circumstances will be explored with the author and recorded with the output. Such exceptions must be agreed and signed off by an Associate Dean for Research.
13. All research outputs made available on open access will clearly state the licence terms selected/agreed to by the author to state how the output can be used, in accordance with guidance within the University of Hull IP Policy [Note 6].

Management of this policy

Management of the policy will be undertaken as follows:

14. University Research Committee (URC) will be responsible for reviewing and updating this policy, delegating this task to the Open Access Working Group (OAWG).
15. The scholarly publishing environment is changing rapidly. This policy will thus be reviewed on a periodic basis to accommodate developments and experience gained in the implementation of the policy.
16. It is the responsibility of all researchers to ensure they are compliant with the terms of this policy.
17. Implementation of the policy will be overseen by URC, acting through the OAWG and other channels as appropriate.

Annex A: Notes

These notes provide current context for the open access policy, and highlight issues that need to be taken into account in implementing such a policy.

Note 1 – The University's Current Research Information System (CRIS) for recording all research outputs is Worktribe[2].

Note 2 – The appropriate version of the text depends on the terms of the author's agreement to publish, and any conditions applying to funding acknowledged in the work: commonly the author's accepted manuscript or the published version of record. Text outputs include, but are not limited to, journal articles, books, book chapters, conference contribution, report, working paper, or thesis.

Note 3 – This policy primarily deals with digital research outputs. Records of non-digital research outputs must also be recorded using a brief metadata record: management of the output itself is the responsibility of the researcher, and its availability status recorded as part of the metadata record.

Note 4 – The two main policies that researchers should be aware of are the REF open access policy[3] and funder policies aligned with Plan S[4], including UKRI[5], EU and Wellcome Trust. Other funders may also have specific requirements, and researchers should check these to ensure compliance.

Note 5 – For example, note that copyright assignment to publishers is not required for publication in many cases[6].

Note 6 – The funder often sets this out. For example, UKRI require that the Creative Commons Attribution (CC-BY) licence is used for Gold open access and a Creative Commons Attribution-Non-commercial (CC-BY-NC) licence used for Green open access.

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[2] Worktribe, https://hull-research.worktribe.com
[3] REF2021 Open Access policy guidance, https://www.ref.ac.uk/media/1228/open_access_summary__v1_0.pdf. This guidance remains in use pending any future guidance for subsequent REF exercises.
[4] Coalition S and Plan S, https://www.coalition-s.org/
[5] UKRI Open Access Policy, https://www.ukri.org/manage-your-award/publishing-your-research-findings/making-your-research-publications-open-access/
[6] SPARC Copyright Guidance, https://sparcopen.org/our-work/author-rights/introduction-to-copyright-resources/