



Open Access Policy

Introduction

The University of East London is committed to and supports open access to its research outputs. Open access is free and permanent access to the outputs of scholarly research. There is a worldwide move towards open access, with benefits for researchers, universities and wider society. UEL supports this initiative and recognises the importance of open access in increasing the visibility and impact of its research. This policy is aligned with and supports HEFCE's *Policy for open access in the next Research Excellence Framework*, and is aligned with the open access requirements of research funding bodies. Outputs created by UEL staff will therefore be made available on an open access basis wherever possible.

Processes and responsibilities - Academics

Processes

1. All research outputs created by UEL academics must be added to UEL's open access repository (ROAR) and made freely available, unless there are legal restrictions which prevent this. Academics are requested to deposit all outputs as soon as possible after acceptance for publication, or as soon as possible after creation for other types of output.
2. Journal articles and conference proceedings must be made open access within three months of acceptance for publication, in order for them to meet the requirements of HEFCE's *Policy for open access in the next Research Excellence Framework*. Journal articles and conference proceedings not made open access within three months will not be eligible for submission to REF.
3. There are two means of making a research output open access:
 - Green – uploading it to an open access repository, often with a temporary embargo on full access imposed by the publisher.
 - Gold – publishing in an open access journal, where the content is freely available online. Often requires payment of an article processing charge (APC) to the publisher.However, all outputs must be uploaded to ROAR, including those that have also been, or are intended to be, published via the gold route.
4. Academics are required to deposit the accepted version of published outputs. This is the final author manuscript as accepted for publication, incorporating any peer review, and often referred to as the Author's Accepted Manuscript. In certain circumstances we are permitted to deposit the published version of record, and will do so wherever this is permitted.
5. All UEL academics must register for an ORCID (<https://orcid.org/>) and must provide this when depositing their outputs. ORCID provides all researchers with a unique identifier, which

ensures they receive credit and recognition for all of their outputs, and supports UEL in carrying out bibliometric and compliance analysis.

Responsibilities

1. Academics are responsible for depositing their outputs and doing so within required timescales. Academics are also responsible for ensuring they adhere to all open access requirements from their research funder.
2. Research Councils UK and other research funders have mandates for open access. Grant holders are responsible for depositing their outputs within required timeframes. Advice is available from Library & Learning Services.
3. Academics should seek to retain the right to deposit an accepted version of publications in ROAR when negotiating agreements or contracts with publishers. Library & Learning Services can provide a standard licence for this purpose.
4. Where the corresponding author is not at UEL, the first named UEL author will be responsible for seeking a version of the output appropriate for deposit in ROAR.
5. Where it is not possible to make an output open access because of copyright constraints, authors must claim a waiver of this policy from their Director of Research. This should be done before signing any formal agreements with the publisher. UEL strongly advises against publishing in any publications which do not support open access. Any outputs published in this manner are unlikely to be eligible for submission to the REF. In any such cases, a metadata-only record should be added to ROAR. This does not apply to outputs subject to a publisher embargo period, which must be added to ROAR but will only be made accessible to users outside of UEL once the embargo has expired.
6. All published outputs must identify the University of East London as the affiliation for all UEL staff, to support bibliometric and compliance analysis.
7. All publications must identify external sources of funding (both funder and grant number). Where publisher policy does not routinely include this information, it will still be recorded on ROAR to enable the association of outputs with research projects.

Responsibilities - Library & Learning Services

1. Library & Learning Services will check author deposits for compliance with publisher policies, and enhance the metadata with details of the published version, but will not check or rework submitted documents.
2. Library & Learning Services will apply Creative Commons Attribution Licences wherever stipulated by the publisher. A CC-BY licence is recommended where no licence is stipulated, in order to permit the fullest reuse which credits the author(s).

3. Publisher embargo periods will be respected, as will the confidentiality of commissioned reports where it has not been possible to negotiate permission to disseminate research findings.
4. Library & Learning Services will create a digital object identifier (DOI) for any outputs published in house by UEL.
5. Library & Learning Services will provide advocacy, training, and advice on publisher and funder requirements and open access compliance.
6. Library & Learning Services will continue to monitor the payment of APCs to publishers to ensure appropriate use of funds. The payment of APCs to 'hybrid' journals, which include both gold open access and traditionally published articles, will be closely monitored.
7. Library & Learning Services and Research Excellence staff will regularly monitor compliance with HEFCE and research funder open access mandates. Library & Learning Services will provide reporting on open access to the Research & Knowledge Exchange Committee and other bodies as required.

Responsibilities - UEL

1. Nothing in this policy shall limit academic freedom to choose where and in what manner researchers publish their research.
2. UEL is committed to providing an open access repository to ensure compliance with open access mandates.
3. These procedures will be reviewed and amended where necessary following the introduction of UEL's Research Management System.

Scope

1. This policy does not apply to research data, which is dealt with by UEL's Research Data Management Policy. Data should be added to UEL's data repository, data.uel. Where appropriate, data can be made freely available, either fully or with restrictions. Datasets will be linked to related outputs in ROAR.
2. This policy applies to textbooks and other published teaching resources (as defined by REF guidance) created by UEL academics. It does not apply to unpublished teaching materials.
3. Postgraduate research students are required to deposit theses in ROAR in accordance with UEL regulations. Outputs published by research postgraduates in a peer-reviewed publication should be added to ROAR.
4. Separate guidance is available governing the administration of APCs. Library & Learning

Services and the Research Excellence team jointly oversee the administration of funding for article processing charges, which includes funding from RCUK. Funds will be awarded in order to maximise the visibility and impact of UEL's research outputs.

This policy was reviewed by the Scholarly Communications Group on 30th May 2017. It was adopted by the Research & Knowledge Exchange Committee on 19th April 2018.