# Research Outputs and Open Access Publishing Policy

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## Introduction

* 1. The University of Bradford is committed to delivering open research and innovation that is conducted and delivered with honesty and integrity. To enable this, it is vital that the University’s research publications are shared as immediately, freely and widely as possible for the maximum benefit to future societies. Enabling open access to research outputs is a key means to achieve this.
  2. Open access publishing is a standard requirement formost research funders, including [UKRI](https://www.ukri.org/publications/ukri-open-access-policy/), [Wellcome](https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy), [NIHR](https://www.nihr.ac.uk/documents/nihr-open-access-publication-policy-for-publications-submitted-on-or-after-1-june-2022/28999) and the Commission. It was a requirement for REF 2021 and will be a requirement for REF 2029. By following this policy, authors will be compliant with funder policies and the eligibility rules for REF 2029.
  3. The primary aim of this policy is to ensure all Bradford research outputs are recorded and made available via our institutional repository, Bradford Scholars. It complements the University’s Research Data Management policy which requires that research data be “findable, accessible, interoperable and reusable.”
  4. The policy introduces Author Rights Retention. This enables authors to retain the copyright to their manuscripts rather than typically signing rights away to publishers. This will allow more of Bradford’s research outputs to be immediately available and gives authors automatic re-use rights over their work for teaching and sharing. It also addresses the unsustainable costs associated with immediate open access publishing. Rights Retention presents authors with a no cost option for immediate open access via the self-archiving of their manuscript.
  5. The policy confirms that staff own the copyright to their scholarly works, and they are free to choose where to publish.

## Scope

* 1. The policy applies to all research outputs (see glossary below). The Rights Retention elements apply to journal articles and conference papers with an ISSN.
  2. The policy applies to all Bradford authors – staff, researchers, post-graduate research students (PGRs) and any taught students publishing with a Bradford supervisor.

## Glossary

* 1. Article Processing Charge (APC)- a charge levied by publishers to provide immediate open access for all to articles via their website. The main Gold Open Access route. APCs may be offset in part or in full by a research grant or by a [publisher agreement](https://www.bradford.ac.uk/library/help/open-access/gold-open-access-funding/) paid by the Library.
  2. Author Accepted Manuscript (AAM) - sometime known as a post-print, is the version that has undergone peer review and has been accepted by the publisher. It differs from the published ‘version of record’ which will have undergone typesetting and usually has the publisher’s logo on it.
  3. [Bradford Scholars](https://bradscholars.brad.ac.uk/) – the University’s publication repository. This is a database containing Bradford publications, many in full text, freely open to anyone online and compliant with the requirements for an open access repository.
  4. [Creative Commons Licenses](https://creativecommons.org/share-your-work/) - a standardised way for authors to grant the public permission to use their creative work under copyright law. There are six types of CC licenses with varying levels of permission.
  5. CC-BY Licence - a license that allows re-users to distribute, remix, adapt, and build upon the material in any medium or format, so long as attribution is given to the creator. The licence allows for commercial use.
  6. International Standard Serial Number (ISSN) is an 8-digit code used to identify newspapers, journals, magazines and periodicals of all kinds and on all print and electronic media.
  7. Open Access (OA) - the free-to-access availability of research outputs online. This can be achieved by two main routes: by deposit of full text of the output in an institutional or subject repository with publishers usually mandating an embargo period (**Green open access)**, or immediate access via the publisher’s website, usually in exchange for a fee payable by the author (via funding) or institution (via Library deals with publishers) (**Gold open access**).
  8. [ORCID,](https://info.orcid.org/what-is-orcid/) Open Researcher and Contributor ID - a free, unique, persistent researcher identifier supporting the creation of a permanent and unambiguous record of research and scholarly communication by enabling reliable attribution of authors and contributors.
  9. Quality Related (QR) funding – block grant delivered by Research England to English Universities for research and innovation activities. The amount of QR funding allocated is directly tied to REF performance.
  10. [Research Information System (RIS)](https://unibradfordac.sharepoint.com/sites/Research-Information-System83) – an integrated system allowing staff to record outputs, build and publish profiles for the external website, nominate outputs for the REF submission, and submit and manage grant applications.
  11. Research outputs - the tangible products of research including journal articles, conference papers, books and book chapters, datasets, theses, reports as well as any other outputs supporting the analysis, interpretation and, where applicable, reproducibility of the research findings.
  12. [Rights Retention](https://unibradfordac.sharepoint.com/sites/library-intranet/SitePages/Rights-Retention.aspx?csf=1&web=1&e=NkyrjD&cid=960c768b-e2fe-44d4-94ca-4e9915d4edf7) – a legal means to enable researchers to retain the rights to their manuscripts, allowing them to share immediately.

## Responsibilities

### Research and Innovation Committee (RIC)

The RIC, chaired by the Pro Vice Chancellor, Research and Innovation is the owner of this policy.

### Faculty Research and Innovation Committees (FRICs) and Associate Deans, Research and Innovation (AD Research + Innovation)

The FRICs and the AD R+Is are responsible for raising awareness of and monitoring compliance with the policy within their Faculty.

### Library and Research and Innovation Services support staff

Staff in these areas are responsible for implementing the policy University wide and providing practical support and guidance to authors. They are also responsible for keeping this policy up-to-date and compliant with funder and REF requirements. They will deal with publisher queries.

### Supervisors

Supervisors are responsible for ensuring that the research outputs of postgraduate research students comply with this policy.

### Line managers

Line managers are responsible for discussing compliance or failure to comply with this policy during annual PDRs and at any other appropriate times throughout the year.

### Employees

Employees are responsible for ensuring that their research outputs comply with this policy.

## General principles / Policy statements

***These requirements apply to all types of research output as defined in the glossary.***

* 1. Authors must ensure bibliographic details of all research outputs are recorded in the University’s institutional repository (Bradford Scholars), as soon as possible after the date of acceptance for publication and no later than one month from that date.
  2. This includes outputs other than journal articles. These are defined in the Bradford Scholars repository policy and includes journalism and conference presentations. These often contribute to the impact of the researchers’ work and provide valuable permanent accounts of research activities. A bibliographic record of datasets with a link to where the data are externally hosted should also be included in the repository. The sharing of data is covered in the [Research Data Management Policy](https://www.bradford.ac.uk/media-v8/site/governance/policies-and-statements/Research-Data-Management-Policy-March-2022.pdf).
  3. Where copyright permits, the University strongly encourages the open access deposit of monographs in Bradford Scholars. Authors should also check any funder requirements around this. As a minimum, authors are required to record bibliographic details of their monograph so there is a comprehensive, secure record of Bradford’s research outputs.
  4. Authors must use the standardised institutional affiliation “University of Bradford” in all research outputs for consistency and to aid discoverability. Other affiliations (e.g. Digital Health Enterprise Zone, Wolfson Centre for Applied Health Research) may be used, but in addition to the University of Bradford affiliation.
  5. Authors are required to register an [ORCID ID](https://orcid.org/) ([https://orcid.org](https://orcid.org/)) and use this when publishing. Most publishers now require an ORCID ID to submit a paper.
  6. Authors must acknowledge the source of grant funding associated with a research output, including details of the funding received. Authors must use the wording specified by their funder in the relevant section of their manuscripts.
  7. A data access statement must be included in research outputs, even where there are no data associated with the article or the data are inaccessible. This is a requirement of most major funders.
  8. The University of Bradford encourages the use of the [CRediT (Contributor Roles Taxonomy)](https://credit.niso.org/) statements in research outputs, which allows for accurate and detailed description of contributions to the published work.
  9. ***Rights Retention***

***The following requirements apply to journal articles and conference papers with an ISSN. Any articles submitted, or accepted, for publication before the adoption of this policy are exempt.***

The policy confirms that staff own the copyright to their scholarly works, and they are free to choose where to publish.

5.10 Authors must retain the necessary rights to make the accepted manuscripts of research articles, including reviews and conference papers with an ISSN, publicly available under the terms of a Creative Commons Attribution (CC BY) licence. This is achieved by including a Rights Retention statement.

5.11 Upon submission for publication, irrespective of the journal, each University of Bradford author agrees to grant the University a non‐exclusive, irrevocable, worldwide licence to make the author accepted manuscript of their scholarly article publicly available in Bradford Scholars under the terms of a Creative Commons Attribution (CC BY) licence. This is achieved by default through this policy.

5.12 Authors should add this approved statement in the ‘funding acknowledgements' section of the manuscript as well as the publisher cover letter to inform publishers that the University has adopted a Rights Retention strategy

*‘For the purposes of open access, the author has applied a Creative Commons Attribution (CC BY) licence to any Accepted Author Manuscript version arising from this submission.’*

It is recommended that authors include this statement in all manuscript submissions to a journal even if it is a fully open access (Gold) journal and there is funding available.

5.13 Upon acceptance for publication, authors should deposit their Author Accepted Manuscript into Bradford Scholars, via RIS as soon as possible and within 1 month of acceptance. The full text will be made available from the first date of publication.

5.14 This policy applies to all scholarly articles, including conference proceedings, authored or co-authored while the person is a staff member of The University of Bradford, and includes any third-party content where rights in that content have been secured.

5.15 Any articles submitted, or accepted, for publication before the adoption of this policy are exempt.

5.16 Authors opt-in to this policy by default. The University recognises there may be exceptional occasions where the policy cannot be followed entirely – either for immediate open access and/or the CC-BY licence. Authors can request an opt out for the following circumstances during the deposit process:

a) substantial amount of third-party copyrighted material that cannot be licensed with a CC-BY license

b) journal refuses to allow publication with the Rights Retention Statement intact

c) co-authors do not agree to share the manuscript immediately on publication with a CC-BY licence.

Funded authors should make sure any opt out does not conflict with funder open access requirements and that consideration is given to any REF open access requirements to ensure eligibility of submission. Opt outs will be monitored centrally.

Authors cannot opt out of depositing their manuscript in Bradford Scholars. The library team will manage any implications of an opt out of Rights Retention (for example setting an embargo period or applying a different Creative Commons licence).

### Implementation

5.17 The policy will be approved via RIC and Senate. Post approval, a communications and engagement plan will be rolled out to each Faculty and Research Centre. Open Access guidance on Library and RaIS SharePoint sites will be updated and extended.

### Consequences of Non-compliance

5.18 Consequences of Non-compliance

Most major funders require the outputs from research, including published articles and supporting data, are made openly available. This is a condition of accepting the grant funding. Failing to meet the funder’s requirements for Open Access and Open Data constitutes a breach of contract and can result in sanctions against the Principal Investigator. This can include withholding of grant funds, a reduction of grant funding or prevention of future applications to that funder from the Principal Investigator.

It is the responsibility of authors of outputs resulting from funded research to understand and comply with the requirements of their funder. Compliance with funder requirements is specified in the University [Code of Practice for Research](https://www.bradford.ac.uk/research/strategy-quality/Code-of-Practice-for-Research-v1-June-2021-accessible.pdf) and [Research Data Management Policy](https://www.bradford.ac.uk/media-v8/site/governance/policies-and-statements/Research-Data-Management-Policy-March-2022.pdf).

Non-compliance with the Open Access elements of the policy may result in authors paying unnecessary publication fees, as well as compromising the eligibility of the output for any future REF exercise.

## Monitoring and review

* 1. Open Access compliance is monitored by the Research Impact and Performance Team using data from Dimensions and RIS. These data are reported twice a year via standard reports to Associate Deans for Research and Innovation in each Faculty.
  2. Open Access compliance data are also reported to REF Steering Group as part of the preparations for REF 2029.
  3. A review and evaluation of the Rights Retention element of the policy will be undertaken one year from the start date of the policy.

The policy will be reviewed every other year from the start date of the policy or in response to major policy changes enacted by the funders. Related policies and standards / documentation

## 7. Related policies and standards / documentation

7.1 [University of Bradford Research Strategy](https://unibradfordac.sharepoint.com/sites/planning-intranet/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2Fplanning%2Dintranet%2FShared%20Documents%2FStrategy%20documents%2FSEN054%2D1920%2DRI%20Strategy%5Fv1%2Epdf&parent=%2Fsites%2Fplanning%2Dintranet%2FShared%20Documents%2FStrategy%20documents)

7.2 [Research Data Management Policy](https://www.bradford.ac.uk/media-v8/site/governance/policies-and-statements/Research-Data-Management-Policy-March-2022.pdf)

7.3 [Bradford Scholars Policy](https://www.brad.ac.uk/library/help/bradford-scholars-faqs/bs_policies_document.pdf)

7.4 [Code of Practice for Research](https://www.bradford.ac.uk/research/strategy-quality/Code-of-Practice-for-Research-v1-June-2021-accessible.pdf)

External policies

7.5 [UKRI Open Access Policy](https://www.ukri.org/publications/ukri-open-access-policy/)

7.6 [Wellcome Open Access Policy](https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy)

7.7 [NIHR Open Access Publication Policy](https://www.nihr.ac.uk/documents/nihr-open-access-publication-policy-for-publications-submitted-on-or-after-1-june-2022/28999)

7.8 [REF 2029: Overview of Open Access Policy and Guidance](https://www.ref.ac.uk/news/update-on-initial-decisions/)

7.9 [European Commission Horizon 2020 Online Manual: Open Access and Data Management](https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm)

7.10 [COAlition S and Plan S](https://www.coalition-s.org/)

## 8. Document and version control information:

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