

UNIVERSITY OF BIRMINGHAM RESEARCH PUBLICATIONS POLICY (DRAFT: 18/12/2023)

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Definitions

Article Processing Charge (APC)	A charge imposed by publishers to make a paper open access (it is distinct from other publishing charges, such as page and colour charges).
Author Accepted Manuscript (AAM)	The final author-created version of a Research Publication manuscript which includes changes made after peer review and has been accepted for publication.
Book Processing Charge (BPC)	A charge imposed by publishers to make a monograph open access.
Code of Practice for Research (CoPR)	The University's Code of Practice for Research available at [INSERT LINK] .
Conference proceedings	A serialised collection of conference papers published with an ISSN.
Data access statement	A short statement increasingly required by funders and publishers which explains how data underpinning a research output can be accessed (Library Services have further information about Data access statements on their web pages).
Diamond OA journal	A journal which makes all content open access, but does not charge authors a fee for publishing.
DORA	The Declaration on Research Assessment that emerged following a 2012 meeting of the American Society for Cell Biology in San Francisco. It outlines how the evaluation of scientific research can be improved, in particular recommending that journal-based metrics are not used as a surrogate for measuring the quality of individual research articles.
Embargo	In the context of publishing, the period of time following formal publication of a Research Output before a publishing contract allows the author accepted manuscript to be made open access in an institutional repository.
Emeritus Professor	Has the meaning given to that term in the CoPR.
First online publication	The date when a publisher first makes a peer reviewed and type set version of a paper publicly available online. This is often before the issue of the journal is formally published and such early online articles may not yet have page numbers.
Fully OA journal	A journal which makes all content open access. Many Fully OA journals charge authors an article processing charge to publish, but some do operate under a Diamond OA model and some provide institutions unlimited publishing for payment of a single fee.
Hybrid journal	A journal which charges readers to access all online content, but which makes some individual articles open access, usually in return for payment of an article processing charge by the author.
Institutional Repository	An online archive for collecting, preserving and disseminating digital copies of the intellectual output of an institution.
Long form output	Research monographs and book chapters in edited volumes.
Open Access (OA)	Free, immediate and permanent online access to scholarly works with no financial, legal or technical barriers, under licence terms which permit anyone to directly, or programmatically, read, download, copy, distribute, print, search, link, crawl,

	index, mine, or reuse them for any other lawful purpose, so long as proper attribution is given to their original creator(s).
ORCID	Open Researcher and Contributor ID. A unique persistent identifier for individuals engaged in research and scholarship.
Persistent identifier (PID)	A long-lasting reference to a digital resource. PIDs exist to uniquely identify journal articles, books, datasets, people, institutions, funders and grants.
Post-review manuscript	The AAM term has largely evolved in the context of journal publishing and does not necessarily fit the more complex editorial process used through the monograph publishing process. Post-review manuscript is used in this policy to describe a version of the text of a monograph or chapter which has been through a peer review / editorial process and has been finalised short of final layout and typesetting.
Preprint	The version of a Research Output that precedes formal peer review.
Published conference paper	In the context of this policy Published conference paper refers to a paper published in a Conference proceedings with an ISSN.
Registered Student	Has the meaning given to that term in the CoPR.
Research Information System (RIS)	A database used for storing and managing information and metadata related to an institution's research activity.
Research Publication	Journal articles, published conference papers, monographs, book chapters, edited collections formally published with an ISBN for an academic audience, and formal reports which communicate research outcomes authored or co-authored by a Researcher. This includes pre-prints, Author Accepted Manuscripts and Post-Review Manuscripts.
Scholarly Works	Works created to communicate or evidence a person's research and/or scholarship which are not reasonably likely to have potential commercial significance, and which shall for the avoidance of doubt (regardless of their actual, potential or perceived commercial significance). The CoPR defines specific works included and excluded from this definition of Scholarly Works.
Staff	Has the meaning given to that term in the CoPR.
Transitional agreement	A publisher agreement where the fee paid by the institution covers both access to content and OA publishing in multiple titles across a journal portfolio. The fee is sometimes split into a read and a publish fee. Titles may be hybrid or fully OA but the deal must demonstrably increase the portion of the fee that supports publishing to a point where institutions are no longer paying for access and all content is open access.
University author	Any member of staff employed by the University, or student enrolled by the University submitting a Research Publication which they had sole or partial responsibility for writing. All University authors should use their University email address when submitting Research Publications.
Version of record (VoR)	The final version of a Research Publication after peer review and type setting that appears on a publisher web page and/or in print.

1. Introduction

The University is committed to performing “Research that Matters: research with outcomes that are important to other people, organisations, and academic fields, and are widely disseminated to achieve lasting, transformative impact in the world” ([Birmingham 2030](#)).

Ensuring that research publications are made open access under conditions which maximise discovery and reuse supports this commitment and underpins a wider commitment to [open research practice at the University of Birmingham](#).

The University defines Open Access as:

“Free, immediate and permanent online access to scholarly works with no financial, legal or technical barriers, under licence terms which permit anyone to directly, or programmatically, read, download, copy, distribute, print, search, link, crawl, index, mine, or reuse them for any other lawful purpose, so long as proper attribution is given to their original creator(s)¹.”

In common with an increasing number of public and charitable research funders², the University recognises the many benefits of open access to research publications and other scholarly works. It also acknowledges that the scholarly communications landscape is rapidly evolving, and that while open access has the potential to ensure research is universally accessible, some models of open access risk creating new financial barriers for authors, with disproportionate impact on those in low and middle income countries. In implementing this policy, the University seeks to not just ensure its own researchers are able to make their research outputs open access, but to support the normalisation of routes to open access which are not dependent on the payment of a publishing fee.

The creation and maintenance of a high-quality and reliable research record is not cost free. The University will continue to pay for reliable and reputable publishing services (be that through subscription, publishing fees or purchase) which support the distribution of trustworthy research outputs. However, there is room for substantial innovation in the publishing landscape. Library Services will prioritise limited Information Resource and Open Access budgets to pay for services from publishers which constrain costs and offer a sustainable route to open access which is both transparent and inclusive.

The University is a signatory of the [Declaration on Research Assessment](#) (DORA). As part of its [Commitment to Responsible Research Assessment](#), the University aims to implement policies and procedures which assess individual research outputs on their intrinsic merit and potential impact, rather than their venue of publication, or the impact factor associated with that venue. As such, researchers should not feel constrained by the perceived status or reputation of specific publishers or journal titles.

In supporting a range of options for making research publications open access, and explicitly adopting an approach that retains key rights for both authors and the University, this policy seeks to enable researchers to choose any reputable venue that is suited to best communicating and maximising the impact of their research.

¹ The University of Birmingham definition is modified from the [Berlin Declaration on Open Access to Knowledge in the Science and Humanities](#), 2003

² [Plan S](#) as a coalition of public and charitable funders, for example, highlight an ethical imperative, alongside benefits to the public, global research progress, commercial enterprise and, alongside the wider Open Research movement, enhanced reproducibility.

2. Purpose

This Research Publications Policy operationalises the University's commitment that research outcomes should be disseminated as widely and openly as possible to maximise their visibility and availability and create the greatest impact.

The policy provides mechanisms to make research publications open access as widely as possible and irrespective of funding. In doing so, it also enables compliance with prevailing funder open access and data citation policies, and supports the University in complying with, and establishing the record of, research outputs that will underpin submission to future national research assessment exercises (e.g., the next REF).

The policy also recognises the long-term challenge of preserving what is now a largely born digital research record in perpetuity and the risk of relying on a multitude of third-party publishers of all sizes to maintain that record. As such it seeks to make sure that the University holds a record of the full text of all research publications, independently of publishers. This allows the local application of both passive and active preservation techniques to assure long term discovery and access is maintained.

This policy sets out the obligations and actions required of both University authors and the University itself, to ensure that full-text copies of research publications are deposited and made openly available via the University institutional repository, and any other funder mandated repository. The policy will ensure that authors and the University retain the rights required to allow them to seamlessly share and reuse research publications for teaching, research and other lawful purposes.

In addition, the policy encourages good open research practice beyond open access by addressing requirements and recommendations with regards preprints and data citation.

3. Scope

3.1 Who does the policy apply to?

The Research Publications Policy applies to University of Birmingham Staff and Emeritus Professors (University authors) who produce research publications in the course of their employment or research engagement at the University. Research Students enrolled at the University of Birmingham may elect to opt-in to this policy as set out in the CoPR 6.2(c).

3.2 What does the policy apply to?

The policy applies to all Research Publications, irrespective of funding and venue of publication, which include a member of University of Birmingham Staff amongst their authorship.

For the purposes of this policy Research Publications are divided into two categories:

1. **Articles and published conference papers:** Journal articles (including reviews) which have been peer reviewed and accepted for publication in a journal, or on a publishing platform; and conference papers accepted for publication in a proceedings with an ISSN.
2. **Long form works:** Academic monographs, book chapters, edited collections formally published with an ISBN for an academic audience, and formal reports which communicate research outcomes.

3.3 Out of scope

Works not in scope of this policy include (but are not limited to) editorials, commentary and opinion pieces, news articles, press releases, book reviews, conference abstracts, unpublished conference papers, trade books, text books, web pages, research data (covered under the separate [Research Data Management policy](#)), software and code and Research Publications that fall under ‘defined policy opt-outs’ (see Section 5.5.1).

Authors are encouraged to consider open research practice when disseminating their research in any format, while taking account of any potential ethical or commercial considerations. Library Services can provide advice on the open dissemination of research outputs which are outside the scope of this policy.

The scope of this policy will be kept under review and may be amended in response to external funder policies or local strategic objectives.

4. Intellectual property in research publications

4.1 Copyright and grant of licence

Section 6 of the CoPR lays out the University position on Intellectual Property as it relates to Research Publications.

In return for the University assigning copyright in Research Publications to Staff and Emeritus Professor creators of Research Publications under Section 6.3(a) of the CoPR, such Staff and Emeritus Professors grant a suitable public licence to the copyright and all other rights in the nature of copyright subsisting in such Research Publications as described in Section 6.3(c) of the CoPR. This licence allows the University to deposit author accepted/post-review manuscripts of Research Publications in the Institutional Repository. Through this policy, the licence granted by such individuals also permits immediate open access to such Research Publications.

4.2 Collaboration

Research publications may be the result of collaboration with researchers who are not employed by the University of Birmingham and copyright may be held jointly with external authors and/or students of the University of Birmingham. Under these circumstances University of Birmingham authors must still endeavour to meet the requirements of this Research Publications Policy in full, and this should be brought to the attention of co-authors as soon as possible. If such compliance is not possible then an exception may be appropriate (Section 5.5).

4.3 Assertion of authorship and copyright statement

All research publications issued by researchers should bear an appropriate assertion of authorship and a copyright statement. The following format is advisable:

© (Author(s) full name(s)), (year of publication), (Orcid ID), affiliated to (department/School/ College), The University of Birmingham. (public licence details & link)

5. Policy application, procedures and ‘rights retention’

The application of this policy is predicated on the University and University authors retaining sufficient rights to self-archive and make a post-peer review version of Research Publications openly accessible in the Institutional Repository in a timely manner under a licence which maximises reusability and impact.

The grant of licence detailed in 4.1 and the CoPR takes precedence over any later agreement a publisher may impose. In combination with the prior notification of publishers (Section 6) this ensures that both authors and the University retain sufficient rights to continue to make use of Research Publications for research and teaching purposes, as well as for open access deposit in a repository in line with the requirements specified below (Sections 5.1; 5.2).

Under this policy, it is the version of the output licensed under section 6.3(c) of the COPR which is made open access. Any challenge in relation to this open access version will be met by and directed to the individual author, however any such challenge should be notified to Library Services' Open Access and Copyright experts for initial advice and support as per section 7 of this policy.

5.1 Journal Articles and Conference papers

Journal articles and conference papers must be made openly available under a Creative Commons Attribution ([CC BY](#)) licence immediately following first online publication. To achieve this:

5.1.1 University authors will:

- Include the following statement in the acknowledgement section and any covering letter when they make a submission to a journal or conference proceedings:

In compliance with the UOB Research Publications Policy, the author(s) has granted a Creative Commons Attribution (CC BY) licence to the copyright and all other rights in the nature of copyright subsisting in any Author Accepted Manuscript (AAM) arising from this submission.

- Ensure a record of all journal articles and conference papers is [created in the Institutional Repository](#) at the time of acceptance and will deposit a copy of the author accepted manuscript (AAM) at the same time.

5.1.2 The University will:

- Ensure metadata for the research publication is made immediately publicly available.
- Make the AAM (or Version of Record (VoR) where it is published open access) of journal articles and conference papers publicly accessible via the University Institutional Repository upon first formal online publication of the output.

5.2 Long form works

Long form works should be made open access under a Creative Commons Licence of the author's choice. CC BY is recommended and further advice is available from Library Services' [Copyright and Licensing Team](#).

The date from which a long form work is made open access should be no more than one year from the date of publication and should be less, where permitted by the mode of publication. Where an

acknowledged funder dictates a specific licence or shorter period from publication, this must be met. To achieve this:

5.2.1 University authors will:

- Include the following statement in the acknowledgement section and any covering letter when they submit a long form manuscript for publication:

In compliance with the UOB Research Publications Policy, the author(s) has granted a [insert chosen Creative Commons licence] licence to the copyright and all other rights in the nature of copyright subsisting in any post peer review manuscript arising from this submission. The post peer review manuscript will become publicly accessible [immediately on / X months from] first online publication.*

**Delete and/or include number of months of any embargo period*

- Ensure a record of all long form outputs is [created in the Institutional Repository](#) at the time of acceptance and will deposit a copy of the final post-review manuscript at the same time.
- Indicate the chosen Creative Commons licence and timescale for open access (up to one-year from publication) at the time of deposit

5.2.2 The University will:

- Ensure metadata for the research publication is made immediately publicly available.
- Make the final post-review manuscript (or Version of Record (VoR) where it is published open access) publicly available via the institutional repository on the timescale and under the licence requested by the University author.

5.3 Third Party Material

There may be circumstances where permission cannot be obtained to reuse third party material reproduced in a manuscript under the same Creative Commons licence as the original parts of the work. In such cases a University author should consider the following solutions:

- Make a clear indication of the third-party material excluded from the overarching CC licence in the manuscript deposited in the repository; or where this is not feasible
- The material should be excluded from the manuscript deposited in the repository; or where that would adversely impact on understanding of the research
- Consider whether an exception may be applicable (Section 5.5).

Advice re the inclusion of 3rd party material is available from Library Services' [Copyright and Licensing Team](#).

5.4 Data Access Statement

The University of Birmingham [Research Data Management Policy](#) asserts that research data should be available for access and reuse under appropriate safeguards and where possible should be made openly available on completion of the research.

All Research Publications submitted for publication should include a data access statement. The data access statement should:

- Identify where data associated with the research publication is held and provide a link (ideally a DOI).
- Where data is not openly available, state why that is the case and under what conditions the data can be accessed.
- Where a study has not generated any new data, state this and identify any 3rd party data sets which may have been used, along with access conditions.
- Where a study has not involved the analysis of data, make a statement to this effect.

Library Services provides the eData repository for the sharing of research data and will provide depositors with a DOI which can be cited in data access statements. If research data is held elsewhere, University authors must ensure a metadata record is created in the University Research Information System (RIS).

Library Services can provide advice and guidance on writing [data access statements](#).

5.5 Exceptions

The University acknowledges that the publishing landscape is not adapting to open access principles consistently, with significant differences remaining between both disciplines and publication formats. There are certain defined cases where it will be acceptable for an author to opt out of particular principles of this policy for a specific output by requesting that the University limits the use of its licence to reuse outputs in some manner. Library Services will review those defined cases at least annually, but also in response to emerging funder or publisher requirements. Any recommendations for amendments will initially be proposed to Open Research Board.

The CoPR requires authors abide by funder requirements. It is the author's responsibility to ensure that taking any of the opt out routes defined below does not contravene the open access policy of any funder acknowledged on the research publication or make the research publication ineligible for submission to the next REF or equivalent.

In cases where an author wishes to use an opt out, this intention must be requested ([link to instructions - tbc](#)) when a research publication record is created in the institutional repository.

5.5.1 Defined policy opt-outs

Library Services will implement defined opt-outs following author requests without the need for further approval. Authors will be notified if opting out would contravene funder requirements; or make a research publication ineligible for the next REF.

None of the opt out cases negate the requirement for Research Publications to be recorded in the institutional repository and unless otherwise indicated, a closed deposit of a full text AAM or post-review manuscript must still be made.

5.5.1.1. Journal articles and conference proceedings

Licence Amendment Option 1: Where there is no funder mandate, or risk to REF compliance, an author may request that a form of Creative Commons licence less permissive than CC BY is applied to an AAM deposited in the Institutional Repository.

Licence Amendment Option 2: Where it is permitted by any prevailing funder mandate, an alternative licence which permits the same level of reuse can be applied. For example, an Open Government Licence (OGL).

Metadata availability on deposit: Where authors require a press embargo imposed prior to publication, they should make a closed deposit to the Institutional Repository ([link to instructions – tbc](#)) and indicate the requirement for a press embargo. The metadata will be made public and the full text open access at the point of first online publication.

5.5.1.2 Monographs, edited collections, chapters and reports

Licence Amendments: Where there is no funder mandate, or risk to REF compliance³, a long form output may be deposited in the institutional repository under an alternative form of licence, including a licence which does not permit reuse, if:

- a. A publisher has refused to proceed with the publication of a submission accompanied by the standard Rights Retention statement (Section 5.2.1). In those cases, the author should seek a compromise from the publisher to enable some form of open access (see 5.5.2 below)
- b. A research report is not intended for a public audience and its open availability would contravene a commercial sponsorship/partnership, or risk exposure of sensitive data (see also ‘Deposit’ below).
- c. Excluding third party content from an overarching reuse licence is not feasible (Section 5.3) and removal of that content from the manuscript would render the output unsuitable for sharing.

Embargo Period: Where it does not contravene a funder mandate, or risk REF compliance, a long form output may be deposited under an embargo period which restricts public access to the output for longer than 1 year. Authors should indicate this preference when depositing it in Pure ([link to instructions - tbc](#)).

Deposit: In rare circumstances (for example where a research report is not intended for a public audience and contains specific categories of restricted data) it may not be appropriate to deposit a version of the Research output in the Institutional Repository.

5.5.2 Other Exceptions

³ At the present time, there is no requirement under the REF OA policy that monographs, chapters and edited collections are made Open Access, however, this may change as that policy is reviewed during the current REF period.

There may be circumstances where a publisher refuses to accept a submission on the basis of the public licence granted under s6.3(c) of the CoPR. If an author still wishes to proceed with publication they should seek the advice of Library Services' Open Access and Copyright experts before signing any publishing or licensing agreement. Advice may include guidance on negotiating with the publisher, or alternative options (if any).

5.6 Reporting

Library Services will use the University RIS and external data sources to monitor compliance with this policy, along with key funder and REF open access policies. This data will be summarised for inclusion in annual reports to ORB and the Library Services Annual Report to URC.

6. Prior notice

The inclusion of a rights retention statement (Sections 5.1.1; 5.2.1) at the point of submission to a publisher provides prior notice of the non-exclusive licence already granted to the University. In addition, the University has provided written notice of that licence to the most commonly used journal and research monograph publishers. A full list of publishers contacted, and any responses received is held by Library Services.

7. Challenges to the University Rights Retention approach

The University operates a Take Down procedure across its repositories to manage legitimate concerns of third-party copyright holders. Under the Code of Practice for Research, the University has a legal licence to make copies of Research Publications openly available under the conditions described in this Research Publications Policy. The University will not, therefore, consider Research Publications under that Take Down procedure where their authors have properly followed the Research Publications Policy, unless such claims relate to third party material contained within those publications.

Where a University Author has followed the terms of this policy, the University will accept responsibility and liability for any claims brought against itself or an author following the application of the Research Publications Policy.

8. Publishing the 'Version of Record' (VoR) open access

Multiple routes are available to authors to make the VoR of a research output open access. This includes Library Services managed [publisher agreements](#); publishers and platforms which charge no fee for open access publication (Diamond OA); and Fully OA journals and platforms which charge authors a fee to publish (payments may be supported directly by funders, Library held funder block grants, and the Library managed Internal Open Access fund).

University authors are responsible for ensuring the integrity and credibility of publishers whether or not they offer open access. Due to the potential for unscrupulous practice, particular care and scrutiny is advised where an invitation to publish is unsolicited and requires payment of a fee. Library Services can provide advice.

8.1 Library support for fee paid open access

The open access publisher and funding landscape is changing rapidly and not all forms of open access can be supported equally by the University. When considering which forms of publisher open access

to support financially via both publisher agreements and individual APC payments, Library Services will consider:

- If the publisher operates with integrity and offers credible publishing processes (for example its peer review process is fair, transparent and reliable).
- Whether publisher-imposed charges for open access are reasonable and in the case of transitional agreements, constrain costs at an affordable level⁴.
- If the form of 'open access' offered maximises public availability and reuse (i.e. it is immediate, permanent and under a permissive licence).
- Whether the publisher allows the author to retain sufficient rights to reuse their Research Publications.

Library Services provide up to date [advice and guidance](#) on the options available for making the VoR open access.

8.2 OA VoR and the use of the Institutional Repository

As it is not always guaranteed that funds will be available, or submissions will meet the requirements of open access publisher agreements, authors should still follow this policy when submitting a publication they expect to be published Open Access. In particular:

- Authors should still include a Rights Retention statement with their submission (5.1.1; 5.2.1).
- At the point of acceptance, authors must still ensure a record of the publication is created in the Institutional Repository and an AAM is deposited.

As part of the repository validation process, Library Services will replace AAMs with a copy of any openly licensed Version of Record that becomes publicly available.

9. Preprints

A preprint is the version of a Research Publication that exists before any formal peer review. A preprint may be posted on a public preprint platform which will often provide it with a DOI. If a peer reviewed version of a preprint is published, University authors are encouraged to link the preprint record to the VoR. Making a preprint openly available via a dedicated preprint server or the Institutional Repository does not satisfy the open access requirements of this policy. However, where appropriate for the discipline, the University does encourage University authors to share preprints.

Some funders may require the sharing of preprints, for example during a public health emergency. University authors must abide by those requirements when they apply.

⁴ This is a key requirement Jisc apply when negotiating [Transitional Agreements](#)