**University of Birmingham**

**Research Publications Policy**

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# Definitions

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| 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 <https://www.birmingham.ac.uk/research/environment-culture/research-integrity> |
| 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 (Libraries and Learning Resources have further information about [Data access statements](https://intranet.birmingham.ac.uk/as/libraryservices/library/research/rdm/archiving-data/dataaccessstatements.aspx) 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 | A Professor of the University on whom the title of “Emeritus Professor” has been conferred on or after their retirement. |
| 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 authors. |
| Institutional Repository | An online archive for collecting, preserving and disseminating digital copies of the intellectual output of an institution. Pure is the University’s Institutional Repository for Research Publications. |
| Long Form Output | Research monographs, edited volumes and 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 | Any person currently registered for the receipt of instruction in the University. It includes both undergraduates and postgraduate Registered Students. |
| Research Information System (RIS) | A database used for storing and managing information and metadata related to an institution’s research activity. Pure is the University’s RIS. |
| Research Publication | Journal articles, published conference papers, research 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 (in accordance with usual academic practice) by a Researcher. This includes pre-prints, Author Accepted Manuscripts and Post-Review Manuscripts. |
| Researcher | Researcher means:  • All Staff, Emeritus Professors and Registered Students of the University who are undertaking or involved in any aspect of research at any level;  • External research collaborators who are undertaking or involved with research in connection with, or as part of, the University;  • Where someone collaborates with the University to conduct research, but is not connected with or part of the University, they will also be expected to abide by this Code or an equivalent code provided by their employer. |
| 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):  Include the following works:   * Student theses and work submitted by Students in respect of the University’s formative and summative assessments * Research Publications * Trade publications * Research summaries for a professional or lay audience * Films, videos, sound recordings and transcripts, and in each case transcripts thereof * Musical compositions and scores * Creative writing and dramatic works including novels, poetry, songs, plays, works of fiction and non-fiction * Works of choreography * Works of art, including   + graphic works (whether physical or digital) including paintings, drawings, designs, diagrams, maps, charts or plans, engravings, etchings, lithographs, woodcuts or similar works, photographs, sculptures or collages, all irrespective of artistic quality   + work of architecture including buildings or models for buildings, including part thereof,   + works of artistic craftsmanship * Other works of artistic imagination not described above   Exclude the following works:   * Research data of any form * Software and code * Protocols and questionnaires forming a component part of or which are ancillary to Research Publications * Research tools and protocols including, without limitation, surveys, questionnaires, diagnostic methods, standard operating procedures, databases, assays. |
| Staff | All persons employed in the service of the University. For the purpose of this Code, the term “Staff” also extends to honorary staff (e.g. honorary lecturers) engaged by the University, visiting staff and other individuals engaged by the University to provide services to the University. |
| 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](https://www.birmingham.ac.uk/university/our-strategy.aspx)).

Ensuring that research publications are made Open Access under conditions which maximise discovery and reuse supports this commitment and underpins a [wider commitment](https://www.birmingham.ac.uk/research/research-environment/open-research-statement) 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]](#footnote-2)***.”*

In common with an increasing number of public and charitable research funders[[2]](#footnote-3), 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. Libraries and Learning Resources 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](https://sfdora.org/) (DORA). As part of its [Commitment to Responsible Research Assessment](https://www.birmingham.ac.uk/research/research-environment/responsible-research-assessment.aspx), 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 University 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.

# 2. Purpose

This 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.

This 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).

This 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. This policy will ensure that University 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, this 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?

This policy applies to University of Birmingham Staff and Emeritus Professors who produce Research Publications in the course of their employment or enrolment at the University. For the avoidance of doubt, where an individual who is a Registered Student is also a member of Staff, this policy shall apply to Research Publications they produce in the course of their employment at the University.

This policy does not apply to Registered Students (acting in their capacity as Registered Students) who produce Research Publications during their enrolment at the University, unless the Research Publication is co-authored (in accordance with usual academic practice) with a member of Staff or Emeritus Professor, or is subject to a requirement by an external funder that it be made Open Access.

However, Registered Students may opt-in to this policy for the purpose of granting the University a prior licence to make a copy of such Research Publications immediately Open Access under a suitable public licence. Registered Students wishing to opt-in should contact Libraries and Learning Resources prior to submitting a Research Publication to a publisher.

## 3.2 What does the policy apply to?

This policy applies to all Research Publications irrespective of funding and venue of publication.

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; published conference papers; 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

Scholarly 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](https://intranet.birmingham.ac.uk/student/libraries/research/rdm/policies/research-data-management-policy.aspx)), software and code and research publications that fall under ‘defined policy opt-outs’ (see Section 5.5.1).

University 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. Libraries and Learning Resources 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 accepted manuscripts and other Research Publications in the University institutional repository. Section 5 of this policy defines the specific licence, along with any permitted embargo period, that University Authors should apply to accepted manuscripts for the purpose of Open Access.

## 4.2 Collaboration

Research publications may be the result of collaboration with researchers who are not employed by, or studying at, the University of Birmingham and copyright may be held jointly with external authors. Under these circumstances University Authors must still endeavour to meet the requirements of this 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, affiliation to the University of Birmingham 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 University 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 University Author.

## 5.1 Journal Articles and Conference papers

Journal articles and conference papers must be made openly available under a Creative Commons Attribution ([CC BY](https://creativecommons.org/licenses/by/4.0/deed.en)) licence immediately following first online publication. To achieve this:

**University Authors will, at the time of acceptance:**

* Ensure a record of all journal articles and conference papers is [created in the Institutional Repository](https://intranet.birmingham.ac.uk/collaboration/pure/using-pure/index.aspx).
* Deposit a copy of the Author Accepted Manuscript (AAM) in the Institutional Repository.

**The University will:**

* Ensure metadata for the research publication is made immediately publicly available.
* Make the AAM discoverable and openly accessible under a CC BY licence via the University Research Portal, within one month of the first online publication of the VoR.
* Replace the AAM with a VoR where the latter is published Open Access under a CC BY licence.
* Endeavour to ensure the long-term availability and integrity of Research Publications through the application of appropriate digital preservation techniques.

### *5.1.1 Publishing with a new or specialist publisher*

When intending to submit journal articles and conference papers for publication by a publisher to which the University has not previously provided written notice in accordance with section 7 (including, without limitation, because the publisher is newly established or highly specialist), University Authors must check the list of publishers contacted[[3]](#footnote-4). Where the intended publisher is not included within the list, University Authors must notify Libraries and Learning Resources prior to submission so written notice can be provided. Depending on the urgency of submission, University Authors must either delay submission until the University has provided written notice, or include a suitable rights retention statement as recommended by Libraries and Learning Resources.

5.1.2 Journal article and conference paper exceptions

Under certain defined circumstances, it is permissible for University Authors to opt-out from particular obligations under this policy.

It is the University 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 REF.

In cases where a University Author wishes to use an opt out, this intention must be indicated when a research publication record is created in the Institutional Repository. Further instructions are available on the [Rights retention process for authors](https://intranet.birmingham.ac.uk/student/libraries/research/open-access/rights-retention/authors.aspx) web pages

#### *Defined policy opt-outs*

Libraries and Learning Resources will implement defined opt-outs following University Author requests without the need for further approval. University 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.

**Licence Amendment Option 1**: Where there is no funder mandate, or risk to REF compliance, a University 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 University Authors require a press embargo imposed prior to publication, they should make a closed deposit to the Institutional Repository (see [Rights retention process for authors](https://intranet.birmingham.ac.uk/student/libraries/research/open-access/rights-retention/authors.aspx) web pages) and indicate the requirement for a press embargo. The metadata will be made public and the full text will be made Open Access at the point of first online publication.

## 5.2 Long form works

### 5.2.1 Mandatory requirements for long form works

**Irrespective of the long-form exception noted in Section 5.2.2, University Authors will:**

* Discuss Open Access with prospective publishers and attempt to secure Open Access to the post review manuscript with as short an embargo as possible. Where a publisher refuses such requests and it would not contravene a funder mandate, the long form exception (Section 5.2.2) permits University Authors to proceed with publication.
* Ensure a record of all long form outputs is created in the Institutional Repository.
* Deposit a copy of the post-review manuscript in the Institutional Repository and identify any Open Access terms agreed with the publisher beyond their standard T&Cs.

**The University will:**

* Ensure metadata for the research publication is made immediately publicly available.
* Make the final post-review manuscript or 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.
* Endeavour to ensure the long-term availability and integrity of Research Publications through the application of appropriate digital preservation techniques.

### 5.2.2 Long form exception

University Authors are excepted from the obligation to apply a public licence to Long Form Outputs under Section 6.3(c) of the CoPR unless either or both of the below conditions is met:

1. An external funder acknowledged in the Long Form Output mandates that the Long Form Output is made Open Access.
2. The University Author elects that the Long Form Output is made Open Access.

Where Section 5.2.2(a) and/or Section 5.2.2(b) apply and funds are unavailable to support Open Access to the VoR, University Authors must, instead, meet their obligation by opting-in to rights retention for Long Form Outputs (see Section 5.2.3)

### 5.2.3 Optional opt-in to rights retention for Long Form Outputs

To opt-in to rights retention for a Long Form Output, University Authors must:

* Include the following rights retention statement in the covering letter of any proposal or submission and in the acknowledgement section of any resulting manuscript submitted for publications:

*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*

* Include a rights retention statement with their proposal and/or submission as detailed below
* Apply a Creative Commons Licence of their choice[[4]](#footnote-5) to the post-review manuscript
* Allow the post-review manuscript to be made Open Access via the Institutional Repository no later than 2 years after the date of first publication and sooner if a shorter period is required by a funder acknowledged in the output
* Notify repository staff of the opt-in by specifying the required licence and embargo period in the comments metadata field when they create a record in the Institutional Repository

## 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 Creative Commons licence in the manuscript deposited in the repository; or where this is not feasible
* Consider excluding the material from the manuscript deposited in the repository; or
* Where either of the options above 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 Libraries and Learning Resources’ [Copyright and Licensing Team](https://intranet.birmingham.ac.uk/as/libraryservices/library/copyright/index.aspx).

## 5.4 Publisher refusal to proceed with publication

There may be circumstances where a publisher refuses to accept a submission on the basis of the public licence granted under Section 6.3(c) of the CoPR. If a University Author still wishes to proceed with publication, they should seek the advice of Libraries and Learning Resources’ 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).

## 5.5 Data Access Statement

The University of Birmingham [Research Data Management Policy](https://intranet.birmingham.ac.uk/as/libraryservices/library/research/rdm/policies/research-data-management-policy.aspx) 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.

Libraries and Learning Resources 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).

Libraries and Learning Resources can provide advice and guidance on writing [data access statements](https://intranet.birmingham.ac.uk/as/libraryservices/library/research/rdm/archiving-data/dataaccessstatements.aspx).

# 6. 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.

# 7. Prior notice

The University has provided written notice of this policy and the Code of Practice on Research to the most commonly used journal and research monograph publishers. A full list of publishers contacted can be consulted via the [Rights retention web pages](https://intranet.birmingham.ac.uk/student/libraries/research/open-access/rights-retention/essential-info.aspx) and any responses received are held by Libraries and Learning Resources.

University Authors may request that a publisher missing from the list is formally provided with written notice of this policy and the Code of Practice on Research by contacting Libraries and Learning Resources (openaccesspublications@contacts.bham.ac.uk)

# 8. 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 policy. The University will not, therefore, consider Research Publications under that take down procedure where University Authors have properly followed this 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 a University Author following the application of this policy.

# 9. Publishing the ‘Version of Record’ (VoR) Open Access

Multiple routes are available to University Authors to make the VoR of a research output Open Access. This includes Libraries and Learning Resources managed [publisher agreements](https://intranet.birmingham.ac.uk/student/libraries/research/open-access/publisher-agreements.aspx); 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. Libraries and Learning Resources can provide advice.

## 9.1 Libraries and Learning Resources 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, Libraries and Learning Resources 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 level[[5]](#footnote-6).
* 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 University Author to retain sufficient rights to reuse their Research Publications.

Libraries and Learning Resources provide up to date [advice and guidance](https://intranet.birmingham.ac.uk/as/libraryservices/library/research/open-access/publishing-open-access.aspx) on the options available for making the VoR Open Access.

## 9.2 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, at the point of acceptance, University Authors must still ensure a record of the publication is created in the Institutional Repository and an AAM is deposited. Libraries and Learning Resources will replace AAMs with a copy of any openly licensed Version of Record that becomes publicly available.

# 10. Reporting and review

Libraries and Learning Resources 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 the Libraries and Learning Resources Annual Report to URC.

The publishing landscape is not adapting to Open Access principles consistently, with significant differences remaining between both disciplines and publication formats. Funder policies are also regularly undergoing change. On that basis use of exceptions, long form opt-in and publisher responses will be monitored alongside overall compliance to inform an ongoing annual review of this policy by Open Research Board.

1. The University of Birmingham definition is modified from the [Berlin Declaration on Open Access to Knowledge in the Science and Humanities](https://openaccess.mpg.de/Berlin-Declaration), 2003 [↑](#footnote-ref-2)
2. [Plan S](https://www.coalition-s.org/why-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. [↑](#footnote-ref-3)
3. Available to University Staff via the [Rights retention web pages](https://intranet.birmingham.ac.uk/student/libraries/research/open-access/rights-retention/essential-info.aspx). [↑](#footnote-ref-4)
4. Advice on appropriate licences is available from Libraries and Learning Resources’ [Copyright and Licensing Team](https://intranet.birmingham.ac.uk/as/libraryservices/library/copyright/index.aspx). [↑](#footnote-ref-5)
5. This is a key requirement Jisc apply when negotiating [Transitional Agreements](https://www.jisc.ac.uk/open-research/our-role-in-open-access#requirements) [↑](#footnote-ref-6)