

Open Research Policy

Operational Owner:	Fiona Greig, Library & Learning Support Services
Executive Owner:	Vice-Provost, Research & Innovation
Implementation date:	January 2019
Date of next review:	January 2020
Related policies:	Information Security Policy Intellectual Property Code (including Patents) Code on Good Research Practice Data Protection Policy This policy supersedes the Research Data Management Policy

Version History

Version	Author	Revisions Made	Date
1	Fiona Greig	Amalgamation of various existing policies	May 2018
2	Fiona Greig	Clarification if use of RCUK in the document following Research Management Committee	November 2018
3			
4			

Approval History

Equality Analysis

Version	Reviewed by	Comments	Date
1	Research Management Committee	Endorsed	November 2018
1	University Research & Innovation Committee	Endorsed with links checked	December 2018

Committee Sign Off

Version	Committee Name	Date of Sign Off
1	Research Management Committee	November 2018
1.2	University Research & Innovation Committee	December 2018
1.3	University Senate	January 2019

1	Introduction
	<p>The University of Surrey recognises that dissemination of research outputs and data as an essential part of the research process. The public availability of high-quality research is critical in supporting the wider good that academic practice aims to achieve. The University is committed to fostering an environment where all elements of research are grounded in open practices and accessibility.</p> <p>Being an Open Researcher brings great benefit to the individual, the University, funders and the wider community:-</p> <ul style="list-style-type: none"> • Open research increases the visibility of researchers and their projects internationally • Increases the likelihood of discoverability and citation of the work outside of pay-walled publisher sites. • Facilitates the reusability of datasets to provide additional resources, promote collaboration, and speed the advancement of scholarship. • Demonstrates financial awareness in reduction of the overall cost of research. • Helps rebalance the scholarly communications landscape between the academy and commercial interested parties. <p>There are many facets of Open Research at the University of Surrey, but all support the general ethos of removing barriers to research for the betterment of the world.</p> <ul style="list-style-type: none"> • Open Access to traditional research outputs like journal articles, conference papers, monographs / chapters, etc. • Supporting higher visibility and access to arts outputs, which currently fall outside of the scope of funder/REF open access requirements • Providing support to researchers in making their data available and reusable, in a timely manner and into the future. • Supporting the preservation of the University's legacy for future scholars • Supporting emerging scholarly communication and dissemination models in shifting the financial burden of publishing and accessing research outputs. • Developing a generation of Open Researchers who are able to fully engage with emerging and innovative scholarly best practice.
1.1	Purpose
	<p>This policy provides a strategic framework for all activities supporting Open Research at the University. It sets out how researchers and professional services will support the transition to a full Open Research environment throughout the research lifecycle to ensure its integrity, reliability and accessibility for re-use. The policy also sets out how we will comply with legislative and funder requirements and general best practice.</p>
1.2	Scope
	<p>This policy applies to all research outputs and data regardless of whether the research is funded or unfunded. It applies to all researchers, but is unlikely to apply to undergraduate research except in exceptional circumstances.</p>
1.3	Equality Analysis
	<p>The University is strongly committed to equality of opportunity and the promotion of diversity for the benefit of all members of the University community. The University's approach is to promote equality across the full range of its activities, in employment, research, teaching and learning and as a partner working with and within local, national and international communities. Equality Analysis is a process which examines how the impact of the policy has been considered on the diverse characteristics and needs of everyone it affects. This policy will be reviewed to ensure no negative impact on equality.</p>

1.4	Definitions
	<p>The University of Surrey defines researchers as members of the University, including staff, doctoral and post-doctoral students, and those who are not members of the University but are conducting research on University premises or using University facilities.</p> <p>The University of Surrey considers research data to be any material collected, observed or created for the purpose of analysis and on which research conclusions are based.</p> <p>The University of Surrey defines Open Access as access to research outputs that are free at point of need, and allows re-use for most purposes. Open access can be applied to all forms of published research output.</p> <p>The University of Surrey determines that Scholarly Communications is the process by which researchers and academics publish and share research findings so that they are available to the wider academic community and beyond.</p>
1.5	Legislative context
	<p>UK Research & Innovation (UKRI) expects all journal articles and conference papers to be made open access and strongly encourages all other outputs to also be available freely. The Government have explicitly stated that all journal or conference papers submitted to the REF 2020 exercise will have to be open access or have a justification for why this was not achieved.</p> <p>https://webarchive.nationalarchives.gov.uk/20180319114140/http://www.hefce.ac.uk/pubs/year/2016/201635/</p> <p>UK Research and Innovation (UKRI) expects researchers to comply with a set of principles surrounding Open Research. This includes the policies on Open Access, supported by the Open Access fund, https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/ as well as the Concordant on Open Data https://www.ukri.org/files/legacy/documents/concordatonopenresearchdata-pdf/.</p> <p>Individual research councils have also published clear expectations regarding Open Research of organisations in receipt of research funding.</p>
1.6	Health & Safety Implications
	There are no health and safety implications for this policy.

2	Policy
2.1	Principles
	<ol style="list-style-type: none"> 1. All outputs that are classified as journal articles or conference proceedings will be open access; <ol style="list-style-type: none"> a. These outputs to be deposited (through the mediated service) on acceptance (no later than 90 days from acceptance) 2. All other research outputs will be made open access wherever possible. 3. The University supports both the self-deposit in repositories of author final manuscript versions (Green) and where article publishing charges have been paid to allow the final “as printed” version is made open by the publisher (Gold) open access, with a preference for Green. There is limited funding to support Article Processing Charges when needed. 4. Research data will be managed throughout the research data lifecycle in accordance with the University’s policies, guidelines and standards, and funder, legislative and ethical requirements. 5. Any research activity where research data may be created or re-used must include at the outset a data management plan that addresses how data will be captured, managed, retained, shared, published and how the integrity and confidentiality of data will be maintained. These data plans are to be updated and maintained during the life of the research activity. 6. Data should be made available for access and re-use where legally, ethically and commercially appropriate in a timely manner but no later than 12 months after the end of the project or earlier if required by publishers and funders. 7. Open Research outputs and data will be retained in an appropriate format for a period of <i>at least</i> 10 years. 8. Where specific regulations or contracts bar making outputs or data open this should be noted and information passed to LLSS to deal with future access requests. 9. Unless explicitly stated in a collaborative contract where IPR or data responsibility is retained by another institution, all data which is created as part of research at the University of Surrey must be registered with the University, even if the data is hosted elsewhere (for example, in an external repository). 10. Published papers must include a statement describing how, and on what terms, supporting research data may be accessed. 11. The University of Surrey is a supporter of initiatives to modernise scholarly dissemination and will support and abide by the terms of the UK-Scholarly Communications Licence (UK-SCL) when this is launched. 12. The Library & Learning Support Services, Open Research Team will provide a full service of education, advocacy, administration, compliance support, publisher and technological management to provide University of Surrey researchers with a rich supportive environment to embrace the culture of open research.
2.2	Procedures
	<ol style="list-style-type: none"> 1. Library and Learning Support Services will provide training, support, advice and guidance regarding all elements of scholarly communications, open access and research data management through a range of methods including researcher development training programmes and web-based guidance. 2. The University will provide mechanisms and services for storage, backup, registration and retention of open research.

3	Governance & Directory Requirements
3.1	Responsibility
	<p>LLSS are responsible for providing advice and guidance on all elements of “open” research before, during and after research is undertaken.</p> <p>Individual authors are responsible for supplying timely acceptance information and the author’ accepted manuscript.</p> <p>LLSS are responsible for the mediated deposit of research outputs (journals, conference papers, chapters etc. but excluding data) following receiving acceptance information and the author accepted manuscript from individual academics.</p> <p>LLSS are responsible for managing the open access funds provided by UK Research And Innovation (previously RCUK) and the University.</p> <p>Heads of Departments/Schools and others responsible for research staff and students are responsible for ensuring that researchers in their areas are aware of the University’s policy and supporting guidelines and procedures regarding open research.</p> <p>Principal Investigators for each research project are responsible for ensuring all members of the research team abide by the University’s research data management requirements. And for the creation of an appropriate research data management plan and for ensuring that all members of the research team are aware of and abide by the plan.</p> <p>Faculty IT Departments are responsible for providing advice and guidance on storage and backup of research data before and during a research project.</p> <p>LLSS and RIS have joint responsibility for compliance reporting and action.</p>
3.2	Implementation / Communication Plan
	The service and policy already exists. Ongoing updates and communications are outlined in the LLSS Operational Plan.
3.3	Exceptions to this Policy
	As open research requirements are set by UKRI and research sponsors any exemptions to this policy should be explicitly approved by the sponsor/funder. External researchers may be exempted from this policy with approval from the relevant Principal Investigator.
3.4	Supporting documentation
	Ethical Guidelines for Teaching and Research, University Ethics Committee
	Code on Good Research Practice
	Data Protection Policy
	Information Security Policy
	Intellectual Property Code (including Patents)
	LLSS Web pages
	UKRI webpages and guidelines