

University of Warwick Open Access Policy

Changing Funder Requirements on Access to Research Outputs

Research Councils UK, the Wellcome Trust, the European Commission and other funders have introduced policies requiring authors to make works produced from research they fund freely and openly available, either in a publication that offers Open Access or through an Open Access repository.

Failure to comply with these policies may result in withholding of final grant payments or non-consideration of future funding proposals.

HEFCE has stated that it is likely to follow other funders and implement an Open Access policy which will apply to a post-2014 REF.

Although funders' policies have been limited to articles in peer-reviewed journals or conference proceedings there are indications that their scope will be widened over time to include other types of research output.

Funders such as RCUK and the Wellcome Trust also expect data underpinning research works to be made openly available with as few restrictions as possible. RCUK require information on how that data can be accessed to be included within the parent work.

Benefits of Open Access

In its report¹ on expanding access to published research findings the Government-initiated Finch Group noted that benefits from open access to research include:

- closer linkages between research and innovation, with benefits for public policy and services and for economic growth, e.g., through improved opportunities for collaboration with research, commercial and other partners,
- increased public engagement with research, improving reach into different communities such as public and voluntary sectors, business and the professions,
- enhanced transparency, openness and accountability,
- improved efficiency in the research process itself, through increases in the amount of information that is readily accessible, reductions in the time spent in finding it, and greater use of the latest tools and services to organise, manipulate and analyse it.

A further benefit is the increased global profile of UK researchers and institutions in a competitive environment.

The University and Open Access

As a leading research institution the University of Warwick places high value on the research carried out under its aegis, whether this is produced alone or in collaboration with others. The University:

¹ "Accessibility, sustainability, excellence: how to expand access to research publications", accessed at <http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf>

- Recognises that the different types of output resulting from this research are key assets and should be recorded, managed and disseminated by the University in a way that brings most benefit for its individual researchers, for the University itself and for the global community. This complements the dissemination of research through formal publishing routes,
- Believes its authors should not be deterred from publishing in the work of their choice and asks authors to provide information where there are issues regarding this,
- Recommends and supports 'Green' Open Access (self-archiving in an institutional repository such as WRAP or other type of open repository) as a sustainable and effective means of providing access to research outputs,
- Will support Gold Open Access costs (where a fee is charged to publish in an Open Access work) if funding for this has been made available by the research funder,
- Supports use of the most open form of licensing works to facilitate their being read and re-used,
- Recognises the need to maintain awareness of evolving funder requirements and sectoral approaches regarding open access to research.

To this end:

1. With effect from April 2013 University staff and members of the University (including research students) are, subject to publisher restrictions, required to deposit in the research outputs repository the final refereed and corrected accepted versions of their peer-reviewed journal articles and peer-reviewed conference articles. Where the publisher allows the final published version to be deposited this is the preferred version for deposit.
2. Authors are also encouraged to deposit other forms of research output such as but not limited to monographs, book chapters, reports, working papers, post-publication corrections and updates, video and audio representations.
3. Where publisher or other copyright restrictions prevent the deposit of full versions of any published research output authors are required to submit the bibliographic references and any abstract relating to such works.
4. Works and/or bibliographic references should be deposited no later than the publication date.
5. 5.1 It is expected that material deposited will be made openly and freely available, and available for re-use, unless there are specific reasons where it cannot be (for example, as given in the University's and other codes of research conduct and practice).
5.2 Deposit of materials will therefore require information from authors describing re-use permissions.
5.3 Repository staff will work with authors to meet the requirements of funders, publishers and other sponsoring bodies, including stipulated embargo periods.
6. In order to optimise personal and institutional impact from their publications authors must follow the guidelines for publications as described in the University's *Publication Protocol* (Annex A).

Annexe A

University of Warwick Publication Protocol

The Publication Protocol aims to help you meet funder requirements and increase the benefits you gain from your work, for example through ensuring the accuracy of citations others make to your publications and other research outputs.

It is important that you follow the affiliation and address formats described here in order that you, your funders and the University of Warwick are properly associated with your work.

Affiliation to the University of Warwick

As an employee of the University or affiliate with honorary status, or publicly-funded research student, when publishing journal articles and other works associated with research undertaken at the University, you should declare your institution to be the “**University of Warwick**”. Please do not use any other variations. You may also wish to declare affiliation to one of the University of Warwick’s Schools, Departments or Research Centres but please ensure that the University of Warwick is named as your primary institutional affiliation.

Address details

When completing University of Warwick address details, always use the format:

University of Warwick
Coventry
CV4 7AL
United Kingdom

Note that although your postal address at the University might actually include different details or an alternative post-code, it is this address which should be used in association with your publication. This helps others to identify your work correctly, for example, when compiling citation listings, and assists in automated data transfer processes which save you time in properly populating the University of Warwick Publications service.

Funding details

You should ensure that your funder’s name and grant number are supplied to the publisher of your work according to your funder’s expectations and that these details are correctly recorded in the University of Warwick’s Publications service.

Underlying research materials

You should also include a statement on how the underlying research materials – such as data, samples or models – can be accessed.

Further Information

Information on managing your publications, for example, how to describe additional affiliations, copyright agreements, sources for journal rankings, citation patterns and impact factors can be found at <http://www2.warwick.ac.uk/services/library/researchandteaching/authors/>.