

OPEN ACCESS & RIGHTS RETENTION POLICY

1. INTRODUCTION

Keele University is committed to disseminating its research and scholarship as widely as possible. This Policy formalises the University's commitment to the effective dissemination of Research Publications by Keele University's researchers—including maximising engagement with open research practices—and commitment to complying with funder and research assessment requirements and policies.

For Keele University and its Researchers to disseminate its research as freely and widely as possible—whilst complying with funder and research assessment requirements around open access—the Open Access & Rights Retention Policy includes adoption of a rights retention element which allows Keele University to retain sufficient rights to Research Publications allowing immediate open access (negating publisher embargo periods).

This Policy supersedes the Open Access Policy of Keele University implemented in 2014.

1.1 Definitions

- **Author Accepted Manuscript:** The version of a Research Publication that has been accepted for publication following the peer-review process but has not yet undergone the final formalities of the publisher's copy-editing, typesetting, and formatting. The Author Accepted Manuscript retains the content and structure of the final published version but lacks the publisher's final layout and design.
- **Creative Commons Attribution (CC-BY) Licence.** A licence that allows others (including for commercial use) to distribute, adapt, and build upon material so long as attribution is given to the creator.
- **Gold Open Access:** Refers to the final published version of a Research Publication (i.e., the version of record) being freely and permanently available online to download. This is often achieved by either paying an article processing fee to the publisher or via one of Keele University's Transitional Agreements.

- **Researcher:** An individual employed by Keele University whose responsibilities include conducting research. This includes academic staff members on Education and Research job families, postdoctoral students, and research assistants.
- **Research Publication:** Scholarly work created as a result of research activities. These works are disseminated to the broader academic community and the public for the purpose of advancing knowledge, fostering academic discourse, and promoting further research. Research publications include, but are not limited to, articles published in peer-reviewed journals, conference papers, monographs, and research reports.
- **Transitional / ‘Read and Publish’ Agreements:** The Library have purchased agreements with some publishers for specific journal titles enabling Keele affiliated Researchers to publish their work Gold Open Access at no additional cost to the Researcher or their department. (Page and colour charges may apply.) For more information—and for eligible publishers—please see [Read and Publish Agreements \(sharepoint.com\)](#).

1.2 Purpose

The purpose of the Policy is:

- To enable the wide and free dissemination of Keele University Research Publications.
- To outline the University’s commitment to retaining the rights—so-called “Rights Retention”—of all Research Publications from Keele University to maximise open access publishing.
- To help researchers effectively work within the open research publishing environment to maximise research visibility and impact.
- To provide key principles and specific guidance on the options for Keele University Researchers to disseminate funded and unfunded Research Publications of all types.
- To ensure compliance with open access requirements of research funders.
- To ensure compliance with requirements of research assessments (such as Research Excellence Framework “REF”).
- To support the principles and ethos of the widest public access to publicly funded research.

1.3 Scope

The Policy is applicable to all Research Publications authored or co-authored by Keele University staff and students (hereafter, “Researchers”).

The Policy—except where specified differently—applies to a range of outputs intended for publication, including journal articles, research papers, conference proceedings, books, book chapters, monographs, and all other Scholarly Materials as defined in the University’s Intellectual Property Management Code of Practice. The Rights Retention element of the Policy is exclusively relevant to journal articles, and to conference proceedings published in venues with an ISSN.

2. POLICY

2.1 Summary

The Policy requires that:

- **2.1.1 Researchers be aware of—and act in accordance with—their responsibilities toward their funder (if applicable) and Research Excellence Framework (REF) requirements** and associated policies with regards to open access publishing. Such policies should be adhered to when considering where to publish.
- **2.1.2** For journal articles and conference proceedings, **Researchers be aware that upon notification of acceptance of publication from the relevant publisher, Keele University will automatically assert “Rights Retention”**: That is, Keele University will retain a non-exclusive, irrevocable, worldwide licence to make such manuscripts publicly available under the terms of a [Creative Commons Attribution \(CC-BY\)](#) licence (or a more restrictive licence by exemption).
- **2.1.3 Researchers take responsibility for the submission of the Author Accepted Manuscript into [Keele’s institutional research repository \(Worktribe\)](#)** for all peer-reviewed journal articles and conference papers.

2.2 Detail

2.2.1 When Preparing to Publish

The choice of where to publish shall remain the Researcher’s decision subject to the requirements to satisfy funder requirements (if applicable) and Research Excellence Framework (REF) requirements on Open Access.

Researchers must:

- **2.2.1.2** Ensure their decision where to publish meets all funder requirements and policies (where applicable).
- **2.2.1.2** Ensure that their decision where to publish meets all external research assessment requirements and policies (such as for REF).

- **2.2.1.3** Acknowledge in full all funding sources—including relevant external grant numbers—within the text of their Research Publication.
- **2.2.1.4** Use—and include in all texts of their Research Publications—a persistent ORCID author identifier. See Annex A for further information.
- **2.2.1.5** Add an Open Research Practices statement within the text of their Research Publications detailing which aspects of the research are publicly available (with persistent links to said resources). See Annex B for further information.

2.2.2 When Publishing

The following stipulations (paragraphs 2.2.2.1—2.2.2.4) apply to all Research Publications.

- **2.2.2.1** Researchers must deposit a copy of the Author Accepted Manuscript into [Keele's institutional research repository \(Worktribe\)](#). Researchers may in addition choose to deposit their work in subject repositories (e.g., pre-print servers) relevant to their discipline.
- **2.2.2.2** Such deposits must occur as soon as possible after notification of acceptance (i.e., “act on acceptance”), and at a maximum must be within 3 months of the date of acceptance from the publisher.
- **2.2.2.3** Researchers should consider their ability to make their Research Publication Gold Open Access. This can be achieved by payment of Article (or Book) Processing Charges (APCs and BPCs, respectively) with funds provided by their funder (such as UK Research and Innovation), if relevant. Alternatively, Researchers should explore whether Keele University has a Transitional / Read & Publish agreement with their chosen publisher which would provide APCs for Gold Open Access.

2.2.3 When Publishing, Asserting Rights Retention in Research Publications

The following stipulations (paragraphs 2.2.3.1—2.2.3.8) apply currently only to journal articles and conference proceedings with an International Standard Serial Number (ISSN) or publishing platform. Any articles submitted or accepted for publication before the adoption of this Policy are exempt.

Researchers have traditionally signed publishing agreements upon acceptance of their work resulting in most journal articles and scholarly works being under partial or complete ownership of academic publishers. The Policy enables Keele University to disseminate its research and scholarship as widely and as openly as possible, whilst enabling Researchers to publish their work in an outlet of their choice.

The Policy adopts the following to enable Rights Retention:

- **2.2.3.1** The Policy confirms that Keele University will own the Intellectual Property created by Researchers ([See Section 5.1. of Keele's Intellectual Property Management Code of Practice.](#))
- **2.2.3.2** Upon submission of their Research Publication to a publisher, the Policy requires that Researchers insert the following Rights Retention Statement into the funder acknowledgements section or in the first footnote/endnote of the manuscript, as well as in the cover letter accompanying the submission (if applicable):

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.

- **2.2.3.3** Where Researchers are asked to sign a publishing agreement before submission is complete, they must communicate on that occasion to their publisher that they have already granted a CC-BY licence over the Author Accepted Manuscript to Keele University as per this Policy.
- **2.2.3.4** Upon acceptance of publication, Keele University automatically assert their rights to apply a non-exclusive, irrevocable, worldwide licence to make the Author Accepted Manuscript of the article publicly available under the terms of a [Creative Commons Attribution \(CC-BY\)](#) licence (or a more restrictive licence by exemption).
- **2.2.3.5** Each Researcher will deposit into [Keele's institutional research repository \(Worktribe\)](#) an electronic copy of the Author Accepted Manuscript version of the full text, attached to an appropriate bibliographic record, without embargo, applying a [Creative Commons Attribution \(CC-BY\)](#) licence.
- **2.2.3.6** Whilst the Policy does not currently apply to monographs, scholarly editions, textbooks, book chapters, collections of essays, datasets, or other outputs that are not considered Research Publications, the University strongly encourages Researchers to make them as openly available as possible.
 - Note: this Policy only applies to first copyright in authored Research Publications. It does not extend to other Intellectual Property Rights (IPR) in research which are covered in the University's Intellectual Property Management Code of Practice.
- **2.2.3.7** Where this Policy applies to Research Publications that are co-authored by Keele University Researchers, the Researcher will use all reasonable endeavours to obtain a licence to Keele University from all co-authors on the same terms as the licence granted under this Policy. Keele University automatically sub-licences the rights granted under this Policy to all co-authors and their host-institutions on the condition that if the co-authors or their institutions make the Research Publication publicly available, they do so under the terms of the CC-BY licence.

- **2.2.3.8** Keele University recognises that there may be situations where it is difficult for a Researcher to comply with this Rights Retention element. In this case it will be permissible for staff to voluntarily opt out of the requirement for immediate open access upon publication, or the assignation of a [Creative Commons Attribution \(CC-BY\)](#) licence. However, this will likely result in the publication being non-compliant with funder or research assessment policies. In these cases, Researchers should contact Library Services with details of the publication.

3. ROLES AND RESPONSIBILITIES

University Research Committee (URC)

The URC—chaired by the Pro-Vice Chancellor for Research & Innovation—is the owner of this Policy.

University Research Integrity Committee

The University Research Integrity Committee—chaired by the Academic Lead for Research Integrity & Improvement—is responsible for creation and curation/updating of the Policy, as well as seeking consultation on policy contents from Faculty Research Committees (FRCs) before tabling the policy for URC's recommendation for approval by Senate.

In addition, the University Research Integrity Committee is responsible for raising awareness of the policy at all levels of research leadership in the University via URC, FRCs, and other relevant fora.

Faculty Research Committees (FRCs)

FRCs—chaired by Faculty Deans of Research—are responsible for promoting awareness of and compliance with the Policy in their Faculty.

Keele Doctoral Academy (KDA)

The University Postgraduate Research Committee—chaired by the Director of the Keele Doctoral Academy—is responsible for promoting awareness of and compliance with the Policy among postgraduate researchers at the University. Supervisors of postgraduate students are also responsible for ensuring compliance with this Policy.

The Library Team is responsible for:

- Providing advice and guidance on the Policy, funder open access policies, publisher policies.
- Leading on advocacy, training, and promotional activity around open access publishing

- Advising Researchers on potential routes to open access publication through a variety of routes, including institutional read and publish deals, and signposting to available sources of funding that may be available.

The RaISE / Library Team is responsible for:

- Support for Keele University’s research repository (Worktribe) including data quality checking bibliographic records and full-text and advising researchers on uploading full-text papers

Researchers

Researchers are responsible for meeting the requirements articulated in the Policy. It is the responsibility of the Principal Investigator (PI) of funded research to ensure that any funder requirements are complied with, including making papers Gold Open Access and depositing copies in an appropriate subject repository.

4. RELATED POLICIES AND PROCEDURES

This Policy sits alongside and should be read in conjunction with Keele’s [Intellectual Property Management Code of Practice](#).

5. REVIEW, APPROVAL & PUBLICATION

The Policy will be reviewed every three years by the Academic Lead for Research Integrity & Improvement, with input from the Research Integrity Committee. Amendments will be reviewed by Faculty Research Committees and University Research Committee. University Research Committee is ultimately responsible for approval of this Policy and its amendments. The Policy will be published on Keele University’s Policy Zone webpage.

6. DOCUMENT CONTROL INFORMATION

Document Name	Open Access and Rights Retention Policy
Owner	Academic Lead for Research Integrity & Improvement
Version Number	1.0
Equality Analysis Form Submission Date	[Date form submitted]
Approval Date	19 June 2024

Approved By	Senate
Date of Commencement	19 June 2024
Date of Last Review	19 June 2024
Date for Next Review	19 June 2027
Related University Policy Documents	<u>Intellectual Property Management Code of Practice</u>
<i>For Office Use – Keywords for search function</i>	

7. ANNEXES

7.1 Annex A: Adoption & Use of Author Identifiers (ORCID ID)

ORCID (<https://orcid.org/>) provides researchers with a unique identifier that can be kept throughout their career. It distinguishes between researchers with similar names and helps ensure that publications are attributed and recorded correctly, potentially reducing researchers' workload.

ORCID is a global, non-profit organization supported by its members, including Keele University. Publishers are increasingly adopting ORCID IDs in their journal submission systems. Major research funders, such as the Wellcome Trust and the UK Research Councils, now require, or recommend the use of ORCID. In addition, external grant application and reporting systems, such as Researchfish and Je-S, now link with and require ORCID identifiers.

If they have not done so already, Keele University Researchers are required to claim, create, and populate their ORCID record.

7.2 Annex B: Open Research Practices Statement

The Policy requires Researchers to include within the text of their Research Publications an Open Research Practices Statement. The statement should be placed in the Author's Manuscript in the same place as the acknowledgements. Note that some publishers require Researchers to complete and include a Data Availability Statement in their submission, in which case this would be the appropriate place.

The statement should explicitly detail the aspects of the research—where relevant—that are publicly available, together with details of how they can be accessed. Researchers should ensure if publicly sharing materials that they are respecting ethical considerations, participant confidentiality, and any other relevant constraints.

If the data and/or materials supporting the findings of the research cannot be publicly shared (or if the research does not present any new data and/or materials), Researchers should still include an Open Research Practices Statement that provides justification (See examples in 7.2.2).

Open Research Practices Statements go beyond standard "data availability statements" by broadening the scope of open research engagement. The statement makes it simpler for the users of our research to identify and locate elements of our research that we have made publicly available. They also serve as a positive signal to others of Keele University's engagement with and commitment to open research principles.

7.2.1 Potential components of Open Research Practices Statements

Components of the open research practices statement include—but are not limited to—the following:

- **Primary Data:** Clearly indicate whether the primary data collected or used in the research is available for public access. If so, provide details on where and how it can be accessed. If primary data is collected and/or used but cannot be shared, provide a brief justification. See the UKRN primer on Open Data here: <https://osf.io/wp4zu/>
- **Study Materials:** For example, stimuli, images, audio, video, survey instruments, interview protocol, experimental protocols, or any other supplementary information.
- **Analysis Code:** Specify if the code used for data analysis is publicly accessible. If available, provide the repository or platform details. See the UKRN primer on Open Code & Software here: <https://osf.io/preprints/osf/qw9ck>
- **Preprint:** If an earlier version of the research output was shared publicly on a Preprint server, provide details on where and how this can be accessed. See the UKRN primer on Preprints here: <https://osf.io/m4zyh/>
- **Preregistration:** If the research protocol was preregistered before data collection commenced, provide details on where and how this can be accessed. See the UKRN primer on Preregistration here: <https://osf.io/8v2n7>

7.2.2 Example Open Research Practices Statements

A (non-exhaustive) set of example open research practices statements are included below by way of illustration:

- *The primary data for this research is publicly available at [enter data repository and URL]. The analysis code can be accessed at [code repository and URL]. Measures used in the current research (i.e., the questionnaires) cannot be publicly shared due to [enter restrictions here, e.g., third party copyright restrictions].*
- *The primary data for this research are available from the corresponding author [enter initials of corresponding author]. They are not publicly available due to [state the restrictions here, e.g., compromising anonymity of research participants].*
- *The primary data for this research will be available at [enter data repository and URL] after a 6-month embargo period ending [enter date of end of embargo period].*
- *Open research practices are not relevant to the current research as there is no new data or materials.*

- *The primary data for this research are not available due to [state the restrictions here, e.g., compromising anonymity of research participants, lack of consent for data sharing from participants].*