



Open Access Research and Research Data Management Policy

Context

The “Open Research” landscape – comprising Open Access publishing and Open Data – has altered substantially since the University’s Open Access Research and Research Data Management Policy was put in place in 2013 and continues to evolve. The University recognises that the transition to Open Access continues to require significant cultural change.

The University of Exeter recognises that Open Access to both research papers and research data allows greater visibility of research and can stimulate new research opportunities and collaborations. Making research papers and data Open Access has been shown to increase citations. Re-use of data can lead to new research opportunities, building on existing research to further discovery.

The University of Exeter’s preferred means for sharing research freely and openly is through self- archiving (the so-called “green” route to Open Access) via the institutional repository (Open Research Exeter – ORE).

The University also supports “easy access” IP and other emerging areas that are part of the “open” landscape.

The University of Exeter is committed to complying with funders’ policies and recognises that the academic community requires support in interpreting and observing sometimes conflicting policies.

The University’s Open Access Research and Research Data Management Policy supports the HEFCE and RCUK position that publicly funded research is a public good that should be made openly available to the public when legally, commercially and ethically appropriate. This policy is designed to help support researchers comply with funding bodies’ requirements on Open Access to research papers and on research data management. This is paramount as the University risks loss of income if it fails to satisfy funders’ expectations in this area.

The University recognises that good practice in research data management is a key part of research excellence. Research data are the evidence that underpins the answer to the research question, and can be used to validate findings regardless of its form (e.g. print, digital, or physical)¹. These might be quantitative information or qualitative statements collected by researchers in the course of their work by experimentation, observation, modelling, interview or other methods, or information derived from existing evidence. They may include, for example, experimental measurements, predictions from models, statistics, collections

¹ Concordat on Open Research Data, RCUK, July 2016

of digital images, sound recordings, transcripts of interviews, survey data and fieldwork observations with appropriate annotations, an interpretation, an artwork, archives, found objects, published texts or a manuscript.

Research data are a valuable asset. It is the collaborative responsibility of researchers and the institution that they are appropriately managed and stored both during and after the research process: to meet legislative, funder, information governance and University requirements; to facilitate data security (confidentiality, integrity, availability); to facilitate appropriate access, collaboration and sharing of data and results. Good research data management brings benefits to the researcher, the University and the wider community. Examples of such benefits include ensuring that research data is stored safely thus avoiding data loss, the possibility of validating research findings and the ability to reuse and share data sets.

The following policy sets out the University's expectations on Open Access and research data management.

Policy

1. The University of Exeter supports the principles of Open Access to research papers and, where legally, commercially and ethically appropriate, to the research data of its research community.
2. The scope of these principles apply to all research conducted at the University, regardless of funding source. They do not imply additional compliance where good practice and relevant research funders' requirements are already being followed.
3. Researchers should always comply with funder policy, and any relevant contractual requirements, on Open Access publishing and research data management.
4. The University is responsible for ensuring that appropriate systems are in place to enable management of open access processes, taking advantage of national developments in this area as they emerge.
5. The University is responsible for the provision of training, support and advice on Open Access and research data management as well as the provision of a backed-up storage service for completed digital research data and for Open Access research papers.

Open Access publishing

6. Lead/corresponding authors are responsible for complying with funder and University policy on Open Access research publications.
7. In line with HEFCE's REF Open Access policy, all researchers should deposit the research papers they produce (journal articles and conference proceedings with an ISSN) whilst employed at the University in the institutional repository, Open Research Exeter (ORE), within three months of acceptance for publication. Embargo periods should not exceed 6 months for Biomedicine, 12 months for STEM disciplines and 24 months for HASS disciplines, in accordance with research funder requirements.
8. Where the lead/corresponding author is at another UK institution, overseas institution or is a PhD student or postdoctoral research assistant, Exeter authors are expected to make reasonable efforts to ensure that manuscripts are deposited in a timely manner.
9. Authors of other output types (for example, monographs) are encouraged to pursue an open access or open source publication route where possible and practical.

Research data management

10. Responsibility for research data management during any research project lies jointly with Principal Investigators (PIs) and researcher(s).
11. Published research papers should include a short statement describing how and on what terms any supporting research data may be accessed.
12. There is a presumption of open access to data held in a University or other public repository. However, access may be restricted, subject to a time embargo or not permitted for legal (i.e. intellectual property, data protection, confidentiality, contractual requirements), ethical or commercial reasons.
13. At all stages of the research process, researchers are responsible for adherence to ethical principles, conditions of ethical or regulatory approvals, research governance requirements or legal agreements, such as terms of use set by providers of datasets.
14. Researchers are expected to abide by the principles of information governance and to undertake training where required. Researchers are responsible for compliance with the requirements of the Data Protection Act 1998 and for the creation of metadata and other documentation that enables data to be discoverable, understandable and re-useable.
15. RCUK accept that research data management is a valid cost for research proposals. Principal Investigators should ensure that research data management requirements are costed into research proposals for all RCUK proposals and for other funders where allowable.
16. To allow for institutional planning on infrastructure and research support, and the validation of existence of appropriate plans to support monitoring of compliance with funder requirements, all research proposals must include research data management plans that address the capture, management, integrity, confidentiality, security, selection, preservation and disposal, commercialisation, costs, sharing and publication of research data and the production of descriptive metadata to aid discovery and re-use when relevant. These should be stored in a sensible and accessible location, ideally alongside other project documentation.
17. Data should be actively managed by researchers throughout the project, by following and updating the data management plan with ongoing decisions regarding retention and destruction.
18. When research is complete, researchers are responsible for ensuring that research data (including websites) of long term value, or data required by funders or the University, are considered for retention, preservation and curation by offering such data for assessment, deposit and preservation in an appropriate University, national or international data service or domain repository, unless specified otherwise in the data management plan.
19. The University is responsible for ensuring safe storage of this data and is responsible for curation of this data in particular instances (i.e. health/social care research and clinical trials) where the University is sponsoring a study and agrees to take responsibility for archiving data.
20. All research data selected for retention should be registered with the University's data repository, even if the data is retained in a national or international data service or domain repository or if the data is not suitable for publishing on Open Access.
21. Data selected for retention should not be deposited with any organisation that does not commit to its access and availability for re-use, unless this is a condition of funding or would prevent commercial interests.
22. After the deposit of data with a repository, the repository is responsible for the on-going management of that data in accordance with legal, technical and other requirements. However, researchers should ensure that they are satisfied with the sustainability of the repository.
23. The University is responsible for the provision of sustainable, secure solutions that meet the requirements for long term data storage, discovery and re-use as set out in these principles.

Funding arrangements

Authors are encouraged to consider the discount publishing and subscription off-set arrangements in place via the Library which enable gold Open Access publishing at no cost to the researcher.

The University will fund the gold Open Access publishing route where required for all RCUK funded research and research funded by the Wellcome Trust (and other charities that contribute to the Charities Open Access Fund), subject to availability of funds.

Researchers funded through European Union Framework Programme 7 and Horizon 2020 are encouraged to recoup the costs (or part of the costs) for publishing in fully Open Access journals, subject to terms and conditions and availability of funds.

Principal Investigators must ensure that the costs for publication of research are included in research applications to other funding bodies. Researchers are also encouraged to check with their funders for provision of funding after the end of their grant.

Limited institutional funding for publications arising from research funded by other bodies is available. Authors wishing to apply for APC funding must contact the Library before submitting their articles.

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