Leeds Trinity University

Open Access Policy

March 2019

Leeds Trinity University

Open Access Policy and Institutional Repository Scope/Mandate

1. Introduction

This document sets out the following:

- Leeds Trinity University's open access policy
- The scope of the institutional repository
- A workflow for repository depositions
- A takedown policy
- Reporting arrangements

2. Open Access Policy

2.1 Preamble

Leeds Trinity University fully supports the principle of Open Access (OA), being mindful of the educational, cultural and economic benefits of the widest possible dissemination of knowledge, of the benefits to the institution of the opportunities thereby presented of raising its profile locally, nationally and internationally, and of the benefits to individual academic staff and researchers in terms of increased profile. This policy and institutional repository mandate is an expression of this support. By implementing this policy, the University also seeks to comply with UKRI's *Policy for open access in Research Excellence Framework 2021,* thus supporting the University and its staff's contributions to the REF and to comply with mandates that are required by an increasing number of research funding bodies.

There are broadly two routes to Open Access: Green and Gold.

The Green route allows you to archive the post-print/author accepted manuscript (ie final draft post-refereeing, often not formatted by the publisher) in an open access repository, which can then be accessed online. The publisher may require an embargo thus delaying availability of the full text. The Green route is the free option, which allows you to share your work beyond the paywalls of the publishers allowing more people to read and access your work.

The Gold route is when the full text or final published version is made freely and openly available on the journal platform itself. The author often has to pay a fee or Article Processing Charge (APC) for mostly hybrid journals (these support both green and gold open access). The typical options for licencing are the Creative Commons licenses, which include CC BY, CC BY NC, and CC BY NC ND. These allow a variety of different sharing options and authors keep their copyright.

Green and Gold open access is primarily applicable to journal articles and published conference proceedings with an ISSN. The UKRI policy does not at present require books, book chapters and conference proceedings without an ISSN to be made available via either open access route.

2.2 Policy statements:

2.21 Compliance with UKRI policy

Leeds Trinity University will comply with the UK Research and Innovation (UKRI)

Policy for open access in Research Excellence Framework 2021, by making all journal articles and conference proceedings with an International Standard Serial Number (ISSN), accepted for publication available on an open access basis.

2.22 Leeds Trinity University's position on green and gold open access

Leeds Trinity University strongly favours the green route to OA and requires that research staff and postgraduate research students make the output of their research available on a green OA basis wherever possible. Researchers whose work is supported by funders who permit OA costs and who may wish to publish their research output via the Gold route to OA must include OA publication costs in the grant application.

2.23 Compliance expected of researchers

Researchers must ensure that their research outputs are made freely available wherever possible and must comply with: the requirements of the bodies funding their research; publisher copyright agreements; and intellectual property law e.g. by ensuring that no third-party copyright materials is included in research outputs deposited in the institutional repository (PURE) without the permission of the rights holder.

For REF submissions, they must:

- adopt one of the following three options:
    - Publishing in a subscription journal which permits deposit of copies of the final manuscript or publisher's final version[1] in a local or subject repository, with or without an embargo – and ensuring that the full text and accompanying metadata are deposited in the University's institutional repository (PURE), either by the researcher themselves or made available for deposit by the Library's Collections, Access & Systems Team, no later than three months after acceptance (see Section 3 below for mandatory deposit timescales), subject to any embargoes stipulated by the publisher. Researchers may wish also to deposit their research outputs in an appropriate subject repository. Research outputs are available from the institutional repository (PURE) under a Creative Commons Attribution (CC-BY[2]) license wherever possible; or
    - Publishing in an open access or hybrid subscription journal and paying the article processing charge (APC) to ensure that it is available on an open access basis; or
    - Publishing in a free open access journal;

- as a minimum, ensure that the bibliographic description of their research output is deposited in the IR as soon as it is accepted for publication by a publisher either by the researcher themselves or made available for deposit by the Library's Collections, Access & Systems Team.

Records in the repository will include the school/institute and research centre of the researcher, where applicable, and, where applicable, the name of the funding body and research grant number.

[1] Outputs that have been provisionally accepted for publication, under the condition that the author makes revisions to the manuscript that result from peer review, are not considered as the final text.
[2] Creativecommonsorg/licenses/by/3.0/

2.24 Embargo periods and closed deposits

- The UKRI policy allows repositories to respect embargo periods set by publications by, where necessary, making a 'closed' deposit on acceptance. The metadata for the closed deposit must be discoverable by anyone on the Internet before the full text is made available (following elapse of the embargo period). Such closed deposits will be admissible to the REF.

2.25 Review of policy and date of coming into effect

- This policy and mandate will be reviewed periodically by Research and Knowledge Exchange Committee with reference to changes in the policies of UKRI and research funding bodies. In particular, the policy will be reviewed in the light of the UKRI Open Access Review announced in 2018. Please check the current version of the policy on the Key Documents page of the University website.

- This version of the policy and mandate comes into effect from March 2019.

3. Institutional Repository Scope/Mandate

The institutional repository (PURE) aims to provide access to as much of the research and scholarly output of Leeds Trinity University and its predecessor institutions as possible.

Deposit in the repository falls into two categories – that which is mandatory, in order to comply with UKRI and funder requirements, and that which is discretionary. The table below sets this out:

Mandatory deposit	**Mandatory deposit timescales**	**Discretionary deposit**	**Metadata required in order for output to be included in institutional repository (PURE)**
Journal Articles (often referred to as **post-print** or **author accepted manuscript** - the version of your article that has been peer-reviewed but not formatted by the publisher)	**From 1st April 2016 - 31st March 2018** the author accepted manuscript must be deposited in the repository between acceptance and up to 3 months after publication. **From 1st April 2018 to present** the author accepted manuscript must be deposited in the repository within 3 months	**Journal articles** (**post-print** or **author accepted manuscript** accepted for publication prior to 1st April 2016	►Accepted date (for articles accepted from 1st April 2018). ►Title of contribution. ►Abstract (if available). ►Authors (leave affiliations for library team). ►Journal title (volume and issue if known). ►Upload a copy of the post-print or author accepted manuscript as an electronic version.

	of the acceptance date.		►A link to the article if it has been published or the journal website.
Conference proceedings with an International Standard Serial Number (ISSN) (often referred to as **post-print** or **author accepted manuscript** - the version of your article that has been peer-reviewed but not formatted by the publisher)	As above	**Conference proceedings with an International Standard Serial Number (ISSN)** (author's final peer reviewed manuscript) accepted for publication before 1 April 2016	►Accepted date (for conference contributions accepted from 1st April 2018). ►Title of contribution. ►Abstract (if available). ►Authors (leave affiliations for library team). ►Journal title (volume and issue if known). ►Upload a copy of the post-print or author accepted manuscript as an electronic version. ►A link to the conference contribution if it has been published or the website where it will feature if applicable.
		Conference proceedings without an ISSN (irrespective of publication date)	► Publication dates. ►Title of conference contribution. ►Abstract. ►Authors (leave affiliations for library team). ►Title of publication. ►Publisher (if known). ►ISBN ► Link to website or publication.
		Monographs (irrespective of publication date)	► Publication date. ► Title. ►Authors (leave affiliations for library team). ► Publisher. ► ISBN. ► Link to publisher's website/book on publisher's website.
		Book chapters (irrespective of publication date)	► Publication date. ► Title of Chapter. ►Authors (leave affiliations for library team). ► Title of publication. ► Publisher. ► ISBN. ► Link to publisher's website/book on
		Multimedia outputs (film/audio)	► Publication date. ► Title of output.

		Multimedia outputs should be deposited in low definition file format to a maximum file size of 8 GB. If outputs are available via external platforms such as Youtube or Vimeo links to these should be included.	►Contributors (leave affiliations for library team). ►Attached item if possible (see left) ► Link to output if available online.
		Working Papers (irrespective of publication date)	► Publication date. ► Title of paper. ► Abstract or similar if available. ►Contributors (leave affiliations for library team). ►Publisher (if available) ►ISBN (if available) ►Attach paper as an electronic version. ► Link to paper if available online.
		Reports (irrespective of publication date)	► Publication date. ► Title of report. ► Abstract or similar if available. ►Contributors (leave affiliations for library team). ►Publisher (if available) ►ISBN (if available) ►Attach report as an electronic version. ► Link to report if available online.

Conference proceedings with insufficient metadata to verify their existence will not be added to the institutional repository (PURE). These will normally be recorded on PURE as activities instead. This also applies to conference posters.

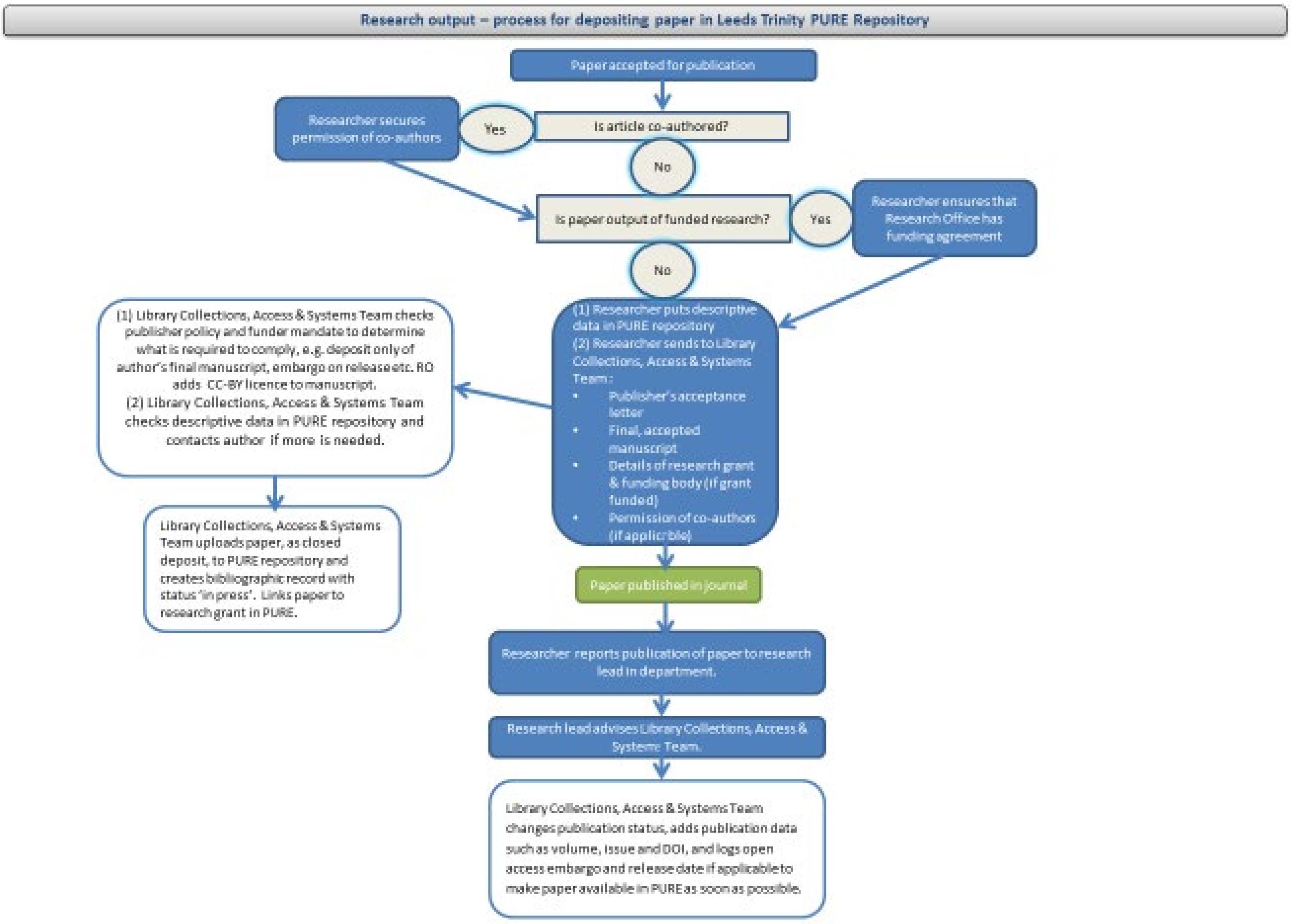
It is acknowledged that it will not be possible for many items falling outside of the mandatory category to include full text outputs, because of copyright restrictions or because, in the case of older items, they do not exist in a digital format. In these cases, the repository will provide bibliographic records only.

The priorities for inclusion of outputs in the Repository are, in descending order:

1. Mandatory items
2. Discretionary items published from 2014 onwards
3. Discretionary items published between 1966 and 2013.

4. Workflow for Repository Depositions

The diagram below maps the process by which papers are to be deposited in the repository, and validated. White boxes indicate that actions will normally be carried out by staff in the Library Collections, Access & Systems Team, and blue boxes that actions will be carried by the researcher.



5. Takedown policy and procedure

Any individual, whether within or external to the University, has the right to request the removal of content from the Leeds Trinity University Repository, on the grounds that it breaches copyright, is in any other way unlawful, or represents research misconduct. The procedure for such a request is contained within the attached appendix.

6. Reporting process

Reports on the number of items in the Repository and their use will be provided to the Committee on a quarterly basis. Reports will be submitted relating to a calendar year as follows, starting from January 2016

Meeting	Period of coverage
April	Preceding January, February and March
September	Preceding April, May and June
November	Preceding July, August and September

March 2019

February	Preceding October, November and December

The reports will consist of the following data, presented in graphical and tabular format:

- Total number of items in the Repository and total number of items with full text
- Total number of items added to the Repository since the previous quarter (and total number of items with full text)
- Breakdown of items in the Repository by Department and by type of research output
- Number of downloads of full text items in the Repository by Department – all years
- Number of downloads of full text items in the Repository by Department – most recent reporting quarter.
- Compliance with UKRI Open Access policy – data on time between acceptance for publication date and date full text deposited. (subject to availability of this data in new version of PURE)

TAKEDOWN POLICY AND PROCEDURE

Any individual, whether within or external to the University, has the right to request the removal of content from the Leeds Trinity University Repository, on the grounds that it breaches copyright, is in any other way unlawful or constitutes research misconduct as defined in the University's *Research Misconduct Policy* http://www.leedstrinity.ac.uk/Key%20Documents/research-misconduct-policy.pdf .

A web form will be created, which will require the following information to be completed by the complainant:

- Complainant's name, email address and postal address
- Content subject to complaint: author. title, link to item in Leeds Trinity Repository, grounds for complaint.

The web form will also contain the following statement:

> *Leeds Trinity University will act on any plausible complaint immediately by withdrawing the offending content from the repository pending investigation. Metadata will remain in the repository unless there is reason to remove it. We will restore the content to the repository only if and when Leeds Trinity is satisfied that it contains nothing unlawful.*

The following procedure will be adopted to manage takedown requests:

Stage 1

(1) Complaints made through the web form will be delivered into the inbox repository@leedstrinity.ac.uk which will be checked every day by the Library Collections, Access & Systems Team, who will consider the complaint with reference to the 'offending' content and make an initial decision about whether or not the complaint is plausible. If the Library Collections, Access & Systems Team is unsure, they will consult the Director of Library & Learning Resources who will escalate this further if necessary. A decision will be reached within 48 hours of receipt of the complaint **OR** the content will be removed/made invisible in PURE, pending a decision on the plausibility of the complaint.

(2) If the complaint is considered plausible, the Library Collections, Access & Systems Team will:

- change the status of the content under investigation in PURE to render it invisible;
- change the metadata record so that it is clear that the full text or content file is not available;
- advise the depositor that it has been withdrawn and the reason for this.

The Library Collections, Access & Systems Team will then investigate the complaint, consulting the depositor as necessary. If, during the investigation, clarification is required from the complainant, the Library Collections, Access & Systems Team will seek clarification.

(3) Content will be restored to the repository only if the Library Collections, Access & Systems Team is satisfied that it is not unlawful (following, if necessary, consultation with the University legal advisor).

(4) If content is restored to the repository, the Library Collections, Access & Systems Team will advise the complainant and the depositor that it has been restored and that the University does not consider it unlawful.

(5) In the event that the complainant does not accept the decision of the Library Collections, Access & Systems Team, they will have recourse to the University's Complaints Procedure, as detailed at http://www.leedstrinity.ac.uk/Key%20Documents/Complaints%20Procedure.pdf .

Stage 2

(1) This stage should normally only be used after an unsuccessful attempt has been made to resolve the problem via the Library Collections, Access & Systems Team.

(2) In all cases, complainants will need to set out their complaint in writing, by letter, to the Deputy Vice-Chancellor, within 10 days of receipt of a response from the Library Collections, Access & Systems Team.

(3) In order to expedite investigation and resolution, the written complaint should include:

- The subject of the complaint ie the author, title, link to item in Leeds Trinity Repository, grounds for complaint;
- References to dated emails, correspondence, published information;
- Summary of attempt(s) at direct address (and meetings, where relevant);
- Clear indication of outcome sought.

(4) Whilst the complaint is ongoing, the actions regarding the content under investigation, stated in Section (2) of Stage 1, will apply.

Timescales

(5) The Deputy Vice-Chancellor shall normally acknowledge the written complaint within five working days of receipt.

(6) The Deputy Vice-Chancellor shall ask the Chair of the Research & Knowledge Exchange Committee to take responsibility for investigation of the complaint and shall charge the Director with interviewing relevant individuals (including the complainant, subject to their availability) within ten days of receipt.

(7) The Chair of the Research & Knowledge Exchange Committee shall gather any further evidence as necessary.

(8) The Chair of the Research & Knowledge Exchange Committee shall report to the Deputy Vice-Chancellor, who shall decide whether the complaint is to be upheld and inform the complainant in writing, normally within twenty-five working days of receipt of the written complaint, of:

- any action to be taken
- right of petition (see below).

Petition against the Outcome/Handling of Complaints

(9) If the complainant is dissatisfied with either the outcome of their complaint or the way in which the complaint was handled, s/he may petition in writing within ten working days of the letter informing her/him of the outcome of the complaint.

(10) Petitions will only be allowed on the following grounds:

- Faulty or irregular procedure in the initial complaint handling;
- Emergence of relevant information not available previously.

(11) The petition should be sent to the Vice-Chancellor who may delegate an appropriate senior manager to investigate the case.

(12) The Vice-Chancellor or delegate will investigate the case fully and will respond in writing to the complainant, normally within 28 working days, stating the outcome of the petition, copied to the Director of Library & Learning Resources and Chair of the Research & Knowledge Exchange Committee, for information. **The decision of the Vice-Chancellor will be final.**