

# Open Access Publications Policy

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**Institutional Repository Steering Group**

July 2010 [as 'TeesRep Policy Document']

Revised with the inclusion of the Archiving Mandate October 2010

Revised April 2015 [with new title and revised Submissions Policy section following the introduction of the HEFCE Policy for Open Access]

## 1. Definitions

Capitalised terms in this policy are intended as follows:

**1.1 Output:** research Outputs include:

- Final, peer reviewed, accepted drafts of journal articles;
- Accepted theses (see 5.2.3)
- Conference contributions;
- Book chapters.

**1.2 Post-print:** the 'full-text' version of the Output that has been accepted for publication after the peer-review changes have been incorporated. This does not typically include the publisher's own formatting. To comply with HECFCE requirements the file type must allow electronic searching within the text.

**1.3 Author:** a person who has contributed to the research and writing/production of the Output, and therefore whose name is listed as an 'Author' on the Output.

## 2. Principles

- Teesside University is committed to ensuring that the Outputs of its research can be accessed readily.
- We believe that maximum visibility and accessibility can be achieved through unrestricted online access, and we support the ambition of major research funders to allow access to research Outputs to the widest possible community.
- The University will continue to support and enhance its institutional repository as a mechanism for recording details of all Outputs published by Authors, and a means for making Post-prints openly available online.
- The University's choice of route to open access is by making the Post-print of a published Output accessible through the University's institutional repository, TeesRep.
- This document specifies policies for the management of the TeesRep collection of research material and will be reviewed at the end of every academic year.

**2.1.** The main objectives of TeesRep, Teesside University's Institutional Repository, are to:

- 2.1.1.** Disseminate widely the intellectual Output of Teesside University through electronic access to research publications.
- 2.1.2.** Support open access publishing and routes to open access materials.
- 2.1.3.** Provide support for the Research Excellence Framework (REF).
- 2.1.4.** Increase citation rates for Teesside University research papers.
- 2.1.5.** Capture and preserve the University's intellectual Outputs.
- 2.1.6.** Support the development of a healthy research environment by providing researchers with access to the full range of research activity.

### **2.2. HEFCE Open Access Policy**

This Policy should be read in conjunction with HEFCE's Policy for Open Access in the Post-2014 Research Excellence Framework at

[http://www.hefce.ac.uk/media/hefce/content/pubs/2014/201407/HEFCE2014\\_07.pdf](http://www.hefce.ac.uk/media/hefce/content/pubs/2014/201407/HEFCE2014_07.pdf)

### **2.3. Teesside University Archiving Mandate**

Since September 2010 the University has had a mandate which states that:

For record keeping, research asset management and performance evaluation purposes, and in order to maximise the visibility, accessibility, usage and impact of our institution's research Output, all Teesside University researchers are mandated to deposit the publicly available Output of the University's research activity into TeesRep, the University's Institutional Repository.

If Outputs are not deposited in the repository it will be assumed that they do not exist. Consequently Outputs not deposited cannot be used on University hosted websites and in Research Institute and School research performance figures.

Any Output which by dissemination would infringe legal compliance or which contains confidential material should not be deposited.

### **3. Metadata Policy**

- 3.1.** The metadata schema used throughout TeesRep will be principally based on Dublin Core elements and element refinement.
- 3.2.** TeesRep metadata elements will be used where no suitable Dublin Core element or element refinement exists.
- 3.3.** Anyone may access the metadata free of charge.
- 3.4.** The metadata may be re-used in any medium without prior permission for not-for-profit purposes provided the URI (Uniform Resource Identifier) or a link to the original metadata record is given.

### **4. Data Policy**

- 4.1.** Anyone may access items free of charge.
- 4.2.** Copies of items can be:
  - 4.2.1.** Reproduced, displayed or performed, and given to third parties in any format or medium
  - 4.2.2.** Used for personal research or study, educational, or not-for-profit purposes without prior permission or charge

Provided that:

- 4.2.3.** The Authors, title and full bibliographic details are given
- 4.2.4.** A link and/or URI are given for the original metadata page
- 4.2.5.** The content is not changed in any way
- 4.3.** Items must not be sold commercially in any format or medium without formal permission of the copyright holders.
- 4.4.** TeesRep is not the publisher; it is merely the online archive.
- 4.5.** Mention of TeesRep is appreciated but not mandatory.

### **5. Content Policy**

- 5.1.** TeesRep is an institutional repository.
- 5.2.** The Teesside University Archiving Mandate requires all researchers to deposit the publically available Output of their research in TeesRep.

**From September 2010, Authors have been required to provide bibliographic details and full text for the following types of research Outputs**

**5.2.1.** Journal articles published in a peer-reviewed journal, while employed by Teesside University, since September 2010.

**5.2.2.** Conference proceedings produced while employed by Teesside University, since September 2010.

**5.2.3.** Theses submitted and passed by Teesside University Research Degrees Committee.

This must be the Final Advance Independent Work, including all corrections. Awards currently eligible are:

- PhD
- MPhil
- DProf
- MProf
- PhDCW
- MPhilCW

**5.3. From September 2010, Authors have been required to deposit bibliographic details and strongly encouraged to include full-text for all other research Outputs, including (not exclusively)**

**5.3.1.** Conference and workshop items:

- a) Unpublished conference proceedings and workshop items by Teesside University Authors, including papers, presentations, posters.
- b) Conference and workshop items by non-Teesside University Authors. Proceedings, papers and other research materials resulting from conferences, research activity or other research focussed events organised by Teesside University staff and taking place at Teesside University.

**5.3.2.** Books and book chapters

**5.3.3.** Multimedia, audio-visual materials, still images and software.

**5.3.4.** Technical reports, commissioned reports, working papers, and other un-refereed research Output

**5.4.** The full-text, which is attached to the records may include:

**5.4.1.** Accepted versions (Author's final peer-reviewed drafts)

**5.4.2.** Published versions (publisher-created files)

The deposit of any full-text version is subject to publisher restrictions.

**5.5.** Items are individually tagged with their version type and date.

5.6. The TeesRep administrator will retain the right to exclude any item submitted to the repository if it contravenes this Content Policy.

## 6. Submission Policy

6.1. Teesside University has had an archiving mandate since September 2010.

6.2 In 2014 HEFCE introduced its Policy for Open Access in the Post-2014 Research Excellence Framework ([http://www.hefce.ac.uk/media/hefce/content/pubs/2014/201407/HEFCE2014\\_07.pdf](http://www.hefce.ac.uk/media/hefce/content/pubs/2014/201407/HEFCE2014_07.pdf)) which further underpins the original mandate.

6.3 From 1<sup>st</sup> May 2015, in order to conform to HEFCE Policy as well as the Teesside University Archiving Mandate, Authors are required to add the following to TeesRep:

- i) Bibliographic information (metadata) describing the Output, for example Authors, title, journal, abstract and acceptance date.
- ii) The Post-print version of the Output (the file type must allow electronic searching within the text), respecting the publishers' copyright permissions.

6.3.1 The Author of an Output must notify the TeesRep team **immediately** when an Output is accepted for publication. The metadata (title, Author, name of publication that has accepted the paper) should be deposited together with the Post-print version and evidence of the acceptance date.

6.3.2 It is the **Author's responsibility** to inform the TeesRep team when an Output is accepted for publication and to deposit the metadata, Post-print and evidence of acceptance in a timely manner. **NB: it is vital that the TeesRep team receives this information in a timely manner. It is a HEFCE requirement under the 2014 policy that all Outputs (including the Post-print) must be deposited as soon after the point of acceptance as possible. Failure to comply will result in disqualification from inclusion in REF2020.**

6.3.3 Embargoed outputs will be added to TeesRep but will be suppressed until the end of the embargo period.

6.3.4 It is the **Author's responsibility** to notify the TeesRep team of the publication date in order that embargo periods can be accurately calculated. **NB: it is vital that the TeesRep team is notified immediately the publication date is confirmed. It is a HEFCE requirement under the 2014 policy that all Outputs are made available via open access within one month of the end of the embargo period. Failure to comply will result in disqualification from inclusion in REF2020.**

6.3.5 Authors are strongly encouraged to retain ownership of the copyright of published research Outputs where possible.

6.4 Teesside University Senior Managers (Deputy Vice Chancellor (Research and Enterprise), Dean of Graduate Research School, Director of Library and Information Services, Assistant Deans, and Research Institute Directors) have responsibility to facilitate the deposit of research Outputs by research-active staff.

6.5 Items may only be deposited by Authorised members of the institution.

- 6.6** Authors may only submit their own work to TeesRep.
- 6.7** Assistant Deans, Research Institute Directors, Directors of Support Services or nominees should be contacted for approval of items and for confirmation of which collection items should go in to before they are submitted to TeesRep.
  - 6.7.1** The TeesRep administrator only vets items for the eligibility of Authors/Authors, relevance to the scope of TeesRep, and valid layout and format.
  - 6.7.2** The TeesRep administrator will be able to edit metadata, determine accessibility based on copyright agreements and convert files to commonly used formats.
- 6.8** The validity and authenticity of the content of submissions is the responsibility of the Author but items will be checked by the administrator before they are made publicly available.
- 6.9** Authors and administrators will make every effort to ensure that deposited items comply with copyright regulations.
- 6.10** All theses submitted to TeesRep will have a signed Electronic Theses Deposit Agreement which will be retained separately in print.
- 6.11** All Authors will be required to agree to a Deposit Licence in order to give permission for work to be held in TeesRep.
- 6.12** When research is generated as a result of collaboration between multiple Authors, TeesRep will accept the agreement from the researcher at Teesside University, on behalf of his/her co-Authors in good faith.
- 6.13** If TeesRep receives any query regarding copyright violation, the relevant item will be removed immediately and investigated.
- 6.14** Training in the purpose, value and impact of TeesRep will be given to all researchers.

## **7 Preservation Policy**

- 7.1** Teesside University Senior Managers (Deputy Vice Chancellor (Research and Enterprise), Dean of Graduate Research School, Director of Library and Information Services, Assistant Deans, and Research Institute Directors) will have responsibility at a strategic and advocacy level, to ensure that TeesRep is firmly embedded into the strategic thinking of the University.
- 7.2** Items will be retained indefinitely.
- 7.3** TeesRep will try to ensure continued readability and accessibility:
  - 7.3.1** Items will be migrated to new file formats where necessary
  - 7.3.2** Where possible, software emulations will be provided to access un-migrated formats
  - 7.3.3** It may not be possible to guarantee the readability of some unusual file formats
- 7.4** Files deposited within TeesRep are regularly backed up according to current best practice.
- 7.5** The original bit stream is retained for all items, in addition to any upgraded formats.
- 7.6** Items may not normally be removed from TeesRep.
- 7.7** Acceptable reasons for withdrawal/refusal include, but are not limited to:
  - 7.7.1** Journal publishers' rules
  - 7.7.2** Proven copyright violation or plagiarism
  - 7.7.3** Legal requirements and proven violations
  - 7.7.4** National Security

- 7.7.5 Falsified research
- 7.7.6 The item is in a format which cannot be stored or displayed properly
- 7.7.7 The item has a virus or other technical problem
- 7.8 Withdrawn items are not deleted *per se*, but are removed from public view.
- 7.9 Withdrawn items' identifiers/URLs are retained indefinitely.
- 7.10 URLs will continue to point to 'tombstone' citations, to avoid broken links and to retain item histories:
  - 7.10.1 There will be a withdrawn notice and an option to contact the administrator if further information about the withdrawal is needed.
- 7.11 The metadata of withdrawn items will not be searchable.
- 7.12 Changes to deposited items are not permitted.
- 7.13 *Errata* and *corrigenda* lists (errors and corrections to text after printing) may be included with the original record if required.
- 7.14 If necessary, an updated version of an item may be deposited:
  - 7.14.1 The earlier version may be withdrawn from public view
  - 7.14.2 There may be links between earlier and later versions, with the most recent version clearly identified
- 7.15 If an Author leaves Teesside University their items will be retained in TeesRep.
- 7.16 In the event of TeesRep being closed down, the database will be transferred to another appropriate archive.
- 7.17 Regular monitoring and review of TeesRep will be carried out and reported annually to the University Research Policy Committee (URPC).

## 8 Take-down policy

- 8.1 If the TeesRep team are notified of a potential breach of copyright or receive a complaint based on the acceptable reasons for withdrawal (6.7), the item will be removed from public view pending an investigation.
- 8.2 Queries will be passed to the Director of Library and Information Services, or their nominee, who will make a decision as to whether the item should be withdrawn from TeesRep.
- 8.3 The complaint will be acknowledged within five working days.
- 8.4 The Director, or their nominee will commence procedures to investigate the item, in liaison with Legal Services.
- 8.5 Where the grounds for complaint are considered plausible, the material will be permanently withdrawn from the repository.
- 8.6 To make a complaint about a TeesRep item, please provide your contact details, the title, description and URL for the item, and an outline of the reasons for the objection. Complaints should be sent to [TeesRep.team@tees.ac.uk](mailto:TeesRep.team@tees.ac.uk) or TeesRep, Teesside University, Library & Information Services, Middlesbrough. Tees Valley, TS1 3BA.

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On behalf of the Institutional Repository Steering Group