
ULSTER UNIVERSITY

Research and Innovation

Open Access and Institutional Repository Policy

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OPEN ACCESS AND INSTITUTIONAL REPOSITORY POLICY

Introduction

1. Open Access (OA) means unrestricted online access to peer-reviewed research outputs and enables the prompt and widespread dissemination of research findings. It benefits the efficiency of the research process and allows publicly funded and other research to drive economic growth while delivering social benefits through increased public understanding of research.
2. This policy is intended to provide a broad and inclusive framework through which all staff can achieve OA. The policy requires researchers to engage with OA and the implementation of this policy will complement and assist the transition to mainstream OA required by the UK funding councils for post-2014 REF. A number of research funders have specific OA requirements which will require additional measures for compliance.
3. The Ulster Institutional Repository (UIR) is a digital repository of research material created by researchers of Ulster University and showcases the research and scholarly output of the University across all subjects and disciplines. The primary aim of the UIR is to increase the impact of the University's research, share knowledge and provide OA.

Policy Statement

4. Ulster University supports open access to research as part of its mission to be recognised globally for the quality of its research and welcomes moves by Research Councils and other external funding bodies to promote unrestricted access to the published output from the research they fund.
5. The University supports the principle that the outcomes of publicly-funded research should be made available as widely as possible and aims, through the UIR:
 - to enhance the visibility, usage and impact of the University's research by maximising online access to it for all would-be users and researchers world-wide; and

- to minimise the effort that individual researchers must expend in order to provide open online access to their research output.

Scope of Policy

6. This policy applies to all staff in the University who are engaged in research activities and to all research outputs across all disciplines and in all formats.

Policy

7. The University **requires** its staff to deposit (copyright permissions allowing) a copy of all forms of published research in the Ulster Institutional Repository (UIR) so as to support OA and meet the requirements of the growing number of research funders in the UK (and internationally) who now encourage or mandate OA.
8. Research outputs are defined as published or publicly available results of research work completed at the University and are expected to have been subject to recognised peer review.
9. Staff are required to deposit in the UIR:
 - the final, refereed, corrected, **accepted** drafts of all peer-reviewed journal articles and peer-reviewed conference articles (publisher's policy permitting);
 - all forms of assessable research output¹ relative to the discipline and subject to any publishers' restrictions including:
 - a. post publication updates and corrections;
 - b. text, image, video and audio representations of creative works.

¹ See Appendix 1 for a full list of research output types currently available in the UIR.

Open Access in the UIR

10. The UIR serves as the University's Open Access Repository, making accessible the full text of research publications and other outputs:
 - full text documents available in the UIR are generally indicated with PDF icon although other file formats are also available;
 - links to OA articles on publishers' websites or in other repositories are provided although it is recommended that, where possible, the full text is made available in the UIR;
 - not all records will have full text documents or links to free full text, but DOIs (Digital Object Identifiers) are provided (where available) linking through to articles on publishers' web sites, which will be accessible for a fee or otherwise although it is recommended that, where possible, the full text is made available in the UIR.

Content Policy

11. Any peer-reviewed research output with valid metadata created by a member of staff of Ulster in any format including multimedia will be accepted.
12. The University encourages the deposit of the full text of books or research monographs. Where it is not possible to deposit the full text, details of the contents and a link to the document should be provided.
13. In the case of items in a language other than English an abstract in English may be included.
14. The University will try to ensure continuous readability and availability:
 - items may be migrated to new file formats where necessary;
 - where possible, software modifications will be provided to access un-migrated formats.

A. *Creators/Depositors*²

15. Items may only be deposited by accredited members of the University.
16. Creators may only submit their own items. Where research is generated as a result of collaboration between multiple Creators, the depositing Creator is acting on behalf of all creators.
17. Creators are strongly encouraged to deposit an item as soon as sufficient metadata are available for it to be correctly cited, subject to limitations imposed by the publisher.
18. Creators must ensure copyright compliance (see Section F below).

B. *Publisher Policies*

19. In all cases items should comply with the policies of the publishers. The Sherpa-Romeo list summarises the policies on self-archiving of many journal publishers (<http://www.sherpa.ac.uk/romeo.php>). Ensuring compliance with publishers' policies is the responsibility of the Creator. Where the Depositor of an item is not the Creator of that item it is the responsibility of the Creator to ensure compliance and to advise the Depositor of any embargo periods.

C. *Research Funder Policies*

20. Research funders are increasingly making stipulations about OA publication when awarding grants. In all cases items should comply with the policies of the research funders. The Sherpa-Juliet list summarises the policies given by various research funders as part of their grant awards (<http://www.sherpa.ac.uk/juliet/index.php>). Ensuring compliance with funders' policies is the responsibility of the Creator. Where the Depositor of an item is not the Creator of that item it is the responsibility of the Creator to ensure compliance with the funder's policy.

² A Creator is the author/producer of the research output and the Depositor is a member of staff who is depositing on behalf of the Creator.

D. Versioning

21. The final, refereed, corrected, **accepted** drafts of all peer-reviewed journal articles and peer-reviewed conference articles should be submitted as soon as sufficient metadata are available.
22. The final accepted version of all other items should be submitted as soon as sufficient metadata are available. The final formatted version may also be deposited (publisher's policy permitting).
23. If necessary, an updated version of an item may be deposited (i.e.: where the content of the item has changed). Errata and corrigenda lists may be included with the original record if required.

E. Quality Control

24. The validity and authenticity of the content of items is the responsibility of the Creator(s).
25. All items will be reviewed and approved by relevant Editors for valid and complete metadata before being released for public access.

F. Copyright and Licence

26. Compliance with copyright is the responsibility of the Creator.
27. Where material has been commercially published, OA to that material will only be possible where the publisher's copyright policy allows this. The [SHERPA Romeo](#) website gives details of what is and is not possible and it is the responsibility of Creators to ensure compliance with individual publishers' copyright policies.
28. Items (in any format) where the copyright resides with the Creator or the University are available free of charge.
29. If copyright agreements do not permit deposit, access to the full text of the item will be embargoed and only the metadata associated with the item will be made

available in the UIR (see the [Copyright](#) section on the UIR website for additional information).

30. Where copyright permits, copies of items can generally be reproduced, displayed or performed, and given to third parties in any format or medium for personal research or study, educational, or not-for-profit purposes without prior permission or charge, provided:
 - the creators, title and full bibliographic details are given;
 - the content is not changed in any way and, where specific rights, permission or conditions apply, these will be included in the metadata.

G. Retention and Preservation Policy

31. Items will be retained in the UIR indefinitely even if the creators are no longer employed by the University.
32. If items are withdrawn they are not deleted per se, but are removed from public view.
33. UIR files will be regularly backed up according to current best practice.
34. The University will make all reasonable endeavors to restore the repository to another appropriate location in the event of a physical disaster.

H. Notice and Takedown Policy

35. The Research Office will investigate removing any item on receipt of a complaint. The Open Access & UIR Steering Committee³ will review any take-down requests in the event that the complaint is found to be valid.
36. Complaints may include contact from:
 - the owner or representative of the owner with Intellectual Property Rights in all or part of the item, including third party material;

³ See Appendix 2 for Open Access & UIR Steering Committee Membership and Terms of Reference

- the creator of all or part of the item who has moral rights or;
 - any individual or organisation who believes that any of the material held on the UIR does not comply with the [University's Code of Practice for Professional Integrity in the Conduct of Research](#).
37. The University shall retain the right to withdraw any items for professional or administrative reasons, if there are legal or University Intellectual Property Rights problems or other exceptional circumstances.
38. Acceptable reasons for withdrawal may include:
- Violation of publishers' policies;
 - Legal requirements and proven violations;
 - National Security;
 - Research not consistent with the [University's Code of Conduct for Professional Integrity in the Conduct of Research](#);
 - A virus or other technical problem.
39. Items will not be physically deleted unless there is a legal requirement to do so. Since any item that has existed at some time may have been cited, a metadata record indicating that the item was in the UIR will remain in perpetuity. A "tombstone" marker will be supplied when the item is requested. URLs will continue to point to "tombstone" citations, to avoid broken links and to retain item histories. This will include the original metadata (for verification).

See Appendix 3 for Notice and Take-down Procedures (to be read alongside the UIR Open Access and Institutional Repository Policy).

Open Access for REF

40. The University will provide support for academics through the transition to OA publishing to ensure a strong and competitive approach for the next REF. This will be guided by the Open Access & UIR Steering Committee which reports to the University Research & Innovation Committee. Further institutional advice and support will be provided on an ongoing basis.

A. *HEFCE's Policy for Open Access in the Post-2014 REF*

41. The four UK HE funding bodies believe that the outputs of research should be as widely and freely accessible as possible and as such have introduced a new policy for OA in relation to research assessment after REF2014. HEFCE's new policy requires that certain research outputs (i.e.: Journal Articles and Conference Proceedings with an ISSN) should be made OA to be eligible for submission to the post-2014 REF.
42. While HEFCE's new policy shifts OA firmly into the mainstream, it is important to note that HEFCE acknowledges this will be a 'transition' and that the new policy includes a series of exceptions that should help manage different disciplinary concerns for OA at the same time as meeting new requirements for a post-2014 REF.
43. The policy states that, to be eligible for submission to the post-2014 REF, authors' accepted and final peer-reviewed manuscripts (also known as the 'author manuscript' or 'final author version' or 'post-print') must have been deposited in an institutional or subject repository as soon after the point of acceptance as possible, and no later than three months after this date.
44. To allow Universities time to set up systems to monitor REF OA compliance there will be an initial 'light touch' application of the policy from 1st April 2016 with full compliance expected from 1st April 2017:
 - Papers accepted for publication **after 1st April 2016** will only be eligible for submission to REF2021 if authors have deposited their final peer-reviewed manuscript in the UIR **within three months of publication**.
 - Papers accepted for publication **after 1st April 2017** must be deposited **within three months of date of acceptance of publication**.
45. Deposited material should be discoverable, and free to read and download, for anyone with an internet connection.
46. The requirements above (see 44.) apply only to journal articles and conference proceedings with an International Standard Serial Number (ISSN). Monographs, book chapters, other long-form publications, working papers, creative or practice-based research outputs are currently out of the scope of the policy. The policy also contains criteria and process for handling exceptions (e.g.: where the policy cannot reasonably be fulfilled).
47. A full copy of the HEFCE policy can be downloaded at: [HEFCE 2014/07](#).

48. All staff are directly responsible for providing and maintaining details of their published research in the UIR. To facilitate this, some publications data will be automatically harvested from external sources (subject to availability) but it will ultimately be the responsibility of every researcher to ensure that his or her publication record is up-to-date.
49. The University's preference in respect of publishing in journals is for OA by means of the Green route as this approach provides most of the benefits of OA in a cost-effective way. However, at Ulster, the choice of Gold or Green is a decision for authors who should bear in mind that their funder's OA policy may affect this choice. Some funders will provide funding specifically for Gold Open Access.

A. *Gold Open Access*

50. Gold means immediate open access on the publisher's website, usually in exchange for a fee. Many journals and proceedings published under a traditional subscription model offer Gold. A fee is paid to make the content available to everyone – not just subscribers – on the publisher's website. In the case of articles, this is known as an Article Processing Charge (APC). This route may be required in particular circumstances, such as when an author wishes to publish in a journal which is only available in Open Access form, or when immediate Open Access is required and therefore an embargo period is not acceptable to the funder or author. Some publishers may allow authors to deposit the accepted copy in repositories. To comply with the REF OA policy and to use the Gold route to OA researchers should include, where possible, OA/APC charges for OA in their grant applications.
51. In relation to Research Council Awards the University has fixed funds from RCUK to support the cost of Gold Open Access for RCUK-funded researchers and eligible researchers can apply for these funds via this [link](#).

B. Green Open Access

52. The Green route to OA is freely and equally accessible to all researchers via the UIR or subject specific repositories (publisher's policies permitting), and this will be at the core of Ulster's emerging institutional policy for OA to research.
53. Green OA means making research freely available in the UIR and/or subject repository. It normally applies to all publication types, copyright permitting. Subscription journals that offer Gold OA normally also have a Green option that allows authors to deposit their final author manuscript in the UIR although the publisher often specifies an embargo period before it can be released on open access.
54. To achieve Green OA compliance, researchers should deposit their publications in the UIR at the time of acceptance (publisher policy permitting). The post print may be deposited in due course providing there is no change in content.

Responsibility for Policy

55. The Open Access and Ulster Institutional Repository Policy is overseen by the Research and Innovation Committee (RIC) and the administration of Open Access compliance, Article Processing Charges and local repository services are undertaken by the Research Policy Office and Library. The strategic management of the UIR and OA activities is provided by the Open Access & UIR Steering Committee, chaired by a Research Institute Director and consisting of RIDs, UIR Editors and representatives from the Research Policy Office, the Library and ISD.

OA Support

56. OA support will be available from the Research Policy Office and [Library](#).

Equality Statement

57. This policy supports equality of opportunity for all researchers to achieve Open Access to research outputs, regardless of career-level, discipline or funding source.

Research Output Types

Artefact	An artist's artefact or work product
Body of work	A set or coherent grouping of items.
Book (authored)	A book or conference volume which you have authored.
Book (edited)	A book or conference volume which you have edited.
Book section⁴	A chapter or section which you have authored or edited in a book or a conference volume.
Composition	A musical composition.
Conference contribution	A peer-reviewed paper, poster, speech, lecture or presentation given at a conference. If the conference item has been published in a journal or book then please use the <i>Book section</i> or <i>Journal article</i> category.
Confidential report (external)	A report produced for a company, government body or other research sponsor(s) but which has not been published because of its commercial or other sensitivity.
Design	A drawing, model, structure, scheme or plan, prototype, decorative or artistic work for an application or purpose, which has been peer-reviewed, published or commissioned.
Device or product	A device or product resulting from research.
Digital or visual media	A digital video, DVD, photograph or visual image.
Exhibition	An artist's exhibition, curation of an exhibition, or site-specific exposition of artefact(s).
Installation	Site-specific, interior or exterior, three-dimensional, multi-media or spatial construction where the installation concept is paramount.
Internet publication	Research outputs that are freely available on the internet and do not fit into any other of the Item Types.
Journal article	A peer-reviewed article.
Patent	A published patent. Do not include unpublished patent applications.
Performance	Performance of a music, drama, dance or art & design event.
Research report (external)	A research report prepared for an external organisation.
Scholarly edition	An edition of a text that is reliable and useful for scholarly purposes.
Software	Written programs or procedures pertaining to the operation of a computer system.
Other	Something within the scope of the repository, but not covered by the other item types.

⁴ Researchers are encouraged to consider OA publication of monographs and book chapters where possible. At present, only the Wellcome Trust mandates OA for monographs and book chapters. Other funders have not yet included them in their policies.

Open Access & UIR Steering Committee

Membership 2014/15	
Composition	Membership
Nominated Chair	Professor BW Scotney
Director of Research & Innovation	Mr T Brundle
Representative(s) from Library	Mrs J Peden Mr J Kennedy
Representative from ISD	Mr G McAleese
Faculty Representatives: <ul style="list-style-type: none"> • Art, Design and the Built Environment • Arts • Computing and Engineering • Life and Health Sciences • Social Sciences • Ulster Business School 	Professor K Fleming Professor F Lyons Chair to act also as faculty representative TBA Professor C Gormley-Heenan Dr AJ McKittrick
Co-opted Members	-
IN ATTENDANCE Administrative Manager (Research Policy) Administrative Officer (Research Policy) Application Support Manager	Mrs NC Dallat Mrs B Wilson Mrs A Campbell

Terms of Reference 2014/15
<p>Objective</p> <p>To provide strategic advice and recommendations on how the University should address the transition from largely subscription-based publication of research outputs to largely open access publication and to ensure the UIR facilitates this process.</p>
<p>Terms of Reference</p> <ol style="list-style-type: none"> 1. To advise on current developments and trends in Open Access publishing 2. To advise on Open Access policies of funding bodies, funding councils and Government 3. To identify priorities for the University's policies on Open Access and the UIR 4. To make recommendations to Research & Innovation Committee about policies and procedures in relation to Open Access and the UIR 5. To raise awareness of Open Access publishing and the UIR 6. To review any complaints and make decisions on any take-down requests in relation to the UIR

ULSTER UNIVERSITY

ULSTER INSTITUTIONAL REPOSITORY (UIR)

NOTICE AND TAKE DOWN PROCEDURE

Open Access & UIR Steering Committee

1. To make a complaint, an individual should contact the UIR Administrator specifying the item of concern and the grounds for the complaint. On receipt, the UIR Administrator will make an initial assessment of the validity of the complaint.
2. Where the complaint is found to be valid, the relevant item will be temporarily removed from the repository pending an agreed solution.
3. The UIR Administrator will then inform the creator of the material that the item is subject to complaint and the nature of the complaint. The complaint will be reviewed by the UIR Steering Group. If the Steering Group is unable to provide the necessary expertise it may be necessary to engage other professional opinion. All attempts will be made to resolve the issue swiftly and amicably to the satisfaction of both the complainant and the creator(s).
4. If a resolution is found through mediating between the parties, this will be enacted/initiated. Likely outcomes include:
 - the item need not be changed (the item is restored in UIR);
 - the item is replaced in UIR with a revised version;
 - the item is retained in UIR but access is restricted;
 - the item is permanently withdrawn from UIR.