University of Brighton

Open Access Policy and Implementation Plan

1. Introduction

'University of Brighton's researchers make significant contributions to social, cultural, economic and environmental wellbeing across a broad range of work. Collaborations – business, academic, community, professional and government – are essential to the advancement and development of new, innovative and ground-breaking research.' [1]

> The Budapest Open Access Initiative[2], 2001, an international effort to make research papers from all disciplines freely available to everyone, describes open access as:
>
> "free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself..."

There are two routes to Open Access, commonly referred to as Green and Gold. The University advocates the Green route to Open Access as the approach to sharing research freely and openly with all stakeholders. Green enables authors to publish in any journal and to self-archive a version of the article for free public use. Thus the Green approach provides most of the benefits for a much smaller additional cost than Gold Open Access. This policy has been developed to support that approach while also ensuring institutional compliance with funders Open Access requirements.

The University of Brighton Research repository (UBR) is a digital collection of research and enterprise outputs of University staff. The UBR is publicly accessible and provides an opportunity for staff to greatly increase the discoverability and potential impact of their research, far beyond that achievable via the standard 'pay to view' subscriptions routes. Staff should deposit all research outputs, including journal articles, conference proceedings, book chapters and non-text based outputs in the University of Brighton Research repository (UBR), subject to publishers' copyright permissions.

2. Funded publications

Funding support for the Gold route to Open Access publishing is available from research funders, e.g. RCUK, Horizon 2020. Researchers in receipt of these grants should make use of dedicated OA publishing funding where it exists[3].

Research that is supported by funders, who permit open access costs, should include open access publication costs in the application and management of these research grants.

Where grant funding is used the author/creator must acknowledge that source and comply with the publishing requirements of the funder.

There is no additional central funding available from the University to pay Open Access APCs.

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[1]Professor Bruce Brown, PVC Research http://www.brighton.ac.uk/research/index.aspx [accessed 01/07/2014]
[2] Available from http://www.budapestopenaccessinitiative.org/ [accessed March 2014]
[3] RCUK fund is managed by the Research Office.

3. What should be added

It is expected that all published outputs, including those that are non-text-based, will be deposited in Converis and made publicly available via the UBR. Where output format precludes upload to the UBR, bibliographic data should still be added.

Bibliographic data will be made open access immediately for all output types. To comply with publishers' embargo periods, full text deposits may be held in the restricted area of the repository temporarily and will be made open access within a month of the end of any embargo period[4].

Outputs that are excluded from this expectation are those where it would be considered unlawful to deposit, where depositing the output would present a security risk or would breach confidentiality.

3.1 Text based outputs

Outputs should be deposited as soon after point of acceptance as possible. For output types marked* this should be no later than 3 months from the letter of acceptance to comply with HEFCE requirements.

Documents should include electronic versions of the following.

- Articles published in peer-reviewed journals*
- A full paper included in edited conference proceedings*
- A paper included in edited working paper series
- Book chapters, unless CTA applies.
- PhD theses registered with the University, unless permission is withheld for commercial reasons[5].

3.2 Non-text based outputs

Outputs may include electronic versions of the following. This list is not exhaustive and is derived from REF 2014 panel criteria:

Artefacts; data sets; databases; designs; devices; digital and broadcast media; exhibitions; films, videos and other types of media presentation; images, photographs, and paintings; installations; performances and other types of live presentations; prototypes; software design and development; software, computer code and algorithm.

For practice-based research where the research process and/or content is not evident from the output itself, researchers should include additional materials that communicate the research imperatives to potential research users and/or to other scholars.

3.3 Version

Text based outputs should be the author's accepted and final peer-reviewed text. This is also known as accepted author manuscript, final author version or post-print. Where an Article Processing Charge has been paid to a publisher, on publication, the author's version should be replaced with the formally published version.

3.4 Format

The preferred textual format is PDF. Text which is a scanned image will not meet HEFCE criteria for discovery and should not be deposited.

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[4] Managed by Repository Librarian
[5] PhD theses deposit is managed by Repository Librarian.

A wide range of non-textual materials including multimedia can be deposited in the UBR.
Formats should meet accessibility guidelines.

3.5 Multiple authors/creators

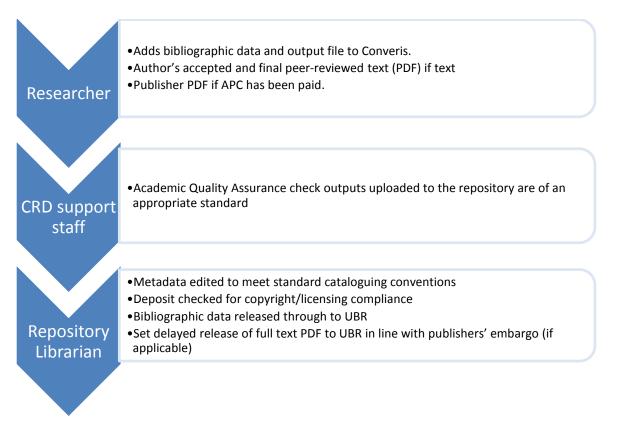Where deposited material has multiple authors/creators:

- Collaborative work must be correctly attributed
- At least one author/creator must be an employee of the University of Brighton.
- The author/creator depositing the output must seek the permission of co-authors/creators. UoB authors are advised to inform co-authors of the university OA policy and secure permission at the earliest opportunity.

3.6 Language

All metadata should be in English but full-text items can be uploaded in other languages, provided an English abstract is made available.

4. Adding material

All research outputs for inclusion in the UBR are deposited and managed in Converis using the data quality and copyright compliance workflows embedded in the system.

Researcher
- Adds bibliographic data and output file to Converis.
- Author's accepted and final peer-reviewed text (PDF) if text
- Publisher PDF if APC has been paid.

CRD support staff
- Academic Quality Assurance check outputs uploaded to the repository are of an appropriate standard

Repository Librarian
- Metadata edited to meet standard cataloguing conventions
- Deposit checked for copyright/licensing compliance
- Bibliographic data released through to UBR
- Set delayed release of full text PDF to UBR in line with publishers' embargo (if applicable)

5. Use of material

The metadata may be re-used in any medium without prior permission for not-for-profit purposes. Items in the UBR will be harvested by search engines such as Google and other services such as OAIster to increase discoverability. The deposited records and outputs will also be used for:

- Internal review of research performance
- Modelling profiles and submitting information for external review e.g. the Research Excellence Framework

6. Standards

UBR is compliant with international open access infrastructure standards (OapenAire) and metadata harvesting protocols (OAI-PMH) allowing the repository to be cross-searchable nationally and internationally. Authoritative metadata and cataloguing conventions will be used in data indexing.

7. Copyright

Content will be made openly accessible in line with publishers' permissions – version, embargo periods. Copyright advice relating to the uploading of text based materials is provided by Information Services or is available here http://www.sherpa.ac.uk/romeo/Format

As stated in the university policy 'Creating and Exploiting our Ideas and Intellectual Property'[6] authors own the copyright of their scholarly work including artistic works, books and journals unless agreed otherwise in writing and unless specifically commissioned by the University. Outputs should, if possible, be licenced under the Creative Commons Attribution Non-Commercial Non-Derivative (CC BY-NC-ND).

8. Removing content

Removal from public view will be allowed, if requested by the author, the institution or a third party, in certain circumstances, e.g.

- to comply with journal publisher rules –version; embargo period
- where defamatory or where confidential material has accidentally been disclosed
- where the author has replaced the output with an updated version
- where the content has been upheld by the wider research community as plagiaristic, or where the research has been falsified
- where the content does not conform to existing legislation

If there is proof of copyright violation then the work in question will immediately be removed. Withdrawn items are not deleted entirely, but are removed from public view.

For further information please see the University's Procedure for Investigating and Resolving Allegations of Misconduct in Research

9. Preservation

Items will be retained indefinitely. The University of Brighton is committed to provide persistent access to content in the Repository, but this applies only to material housed on servers maintained directly or under contract by the University. Links and access to content of any format referenced outside the Repository cannot

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[6] https://staff.brighton.ac.uk/hr/erf/policies/Creating%20Enterprise%20Policy.pdf

be guaranteed. Those in charge of administering the repository will try to ensure continued readability and accessibility.

10. Roles and responsibilities

All deposits will be assessed to ensure that they are within the scope of the policy and every effort will be made to validate published works although members of university staff have different roles and responsibilities in this process. These responsibilities are outlined below:

Individual Researchers are responsible for the authenticity of deposits. Authors of outputs have a responsibility to ensure that their publications record is complete, up to date and correctly represented on the University repository.

Heads of School are responsible for the promotion and implementation of the policy in their areas.

IS, Library Services is responsible for the OA policy assuring the data provenance and legality of outputs publicly available in the UBR. Repository Librarian undertakes final quality checks on all metadata and copyright and should be contacted for any issues involving cataloguing. Information Advisers are responsible for training and guidance on open access, and will provide copyright advice and support to researchers at each campus.

The Research Office is responsible for monitoring compliance with the OA policy, dealing with issues that relate to governance or meeting funding body requirements. The RO manages the RCUK APC fund.

IS, IT Services is responsible for the management and maintenance of the university research systems – UBR and Converis.

Open Access Policy Implementation Plan

Although the requirements for the policy are straightforward, in that everything that *can* be open access *should* be, it is recognised that in order to be able to comply, researchers will need support, briefing and training on the principles of open access, navigating publishers copyright policies and the operation of Converis. Therefore this implementation plan covers both the issue of communication and the follow-up training and support.

1. Policy dissemination/Communication

Once approved, an email will be sent via uni info alerting staff to the key requirements of the policy. An announcement will also be posted on staffcentral and on the Information Services and Research Office pages of staff central. Staff will be reminded of the positives of compliance, such as, increased citation and download rates, and reminded that there will be a longer-term consequences in terms of submission to REF2020. They will also be informed about training and support available. **Timescale: November 2014.**

School Research Committees will be asked to include the Open Access Policies on their agendas and a member of Information Services or the Research Office will attend the meeting to respond to questions – if desired. **Timescale: Autumn 2014**

2. Training and support

Staff in Library Services and the Research Office will work together to co-ordinate support and training on both copyright issues and on the use of Converis. Broad areas of responsibility are currently as follows:

> *Library Services:* Open Access requirements, copyright advice;
> *The Research Office:* training and guidance for staff using Converis.
> *Support staff in the CRDs* will provide advice on accepted output types under direction of the DRDs and will probably have a role in terms of the usage of Converis for staff in their College.

Workshops will be run for staff on each campus, where staff will be briefed on the policy, how to seek help on copyright issues, usage of Converis and the process for the submission of outputs;

Online information will be provided on the Library Services web pages on OA including a glossary of common terms; funders' requirements, FAQs. Also the Research Office web pages will contain information on how to use Converis. Both of these sites will link together;

Day to day support will be available from support staff in the CRDs, Research office staff and Library Services staff.

3. Compliance and Governance:

3.1 Issues with compliance and compliance targets

RCUK expect institutions to be 45-50% compliant with their Open Access policy within the first year. For a recent compliance monitoring exercise, the University of Brighton returned a 60% compliance rate. It should be noted however that it is difficult to measure compliance because if we do not know what has been published then we cannot tell what proportion of outputs are compliant.

Therefore, although we returned a 60% compliance rate, as we find out about more outputs, that percentage will inevitably decrease.

However, it is proposed that we aim for the following compliance targets. Noting that the REF policy only applies to certain output types, there are compliance targets for those outputs which must fulfil REF criteria and for all outputs.

	Compliance of outputs types which must adhere to the REF policy	Compliance of all outputs
April 2015	40%	30%
September 2016	60%	45%
December 2016	80%	60%
April 2016 – Date from which REF compliance is due	100%	80%

3.2   Governance and compliance monitoring

Heads of School are responsible for implementation of the policy in their areas and monitoring compliance should take place as part of the standard management process. Research Office will generate a report for Heads of School on publications deposited in Converis that can be used as a basis for discussion. Currently these reports are generated annually but will need to be more frequent. It is expected that CRDs will have a role in this once they are established.

The Research Office will work with Information Services to develop a system of recording compliance of individual outputs on Converis. It is expected that this will be done at the point at which the output is deposited. **Timescale: December 2014**

Research Strategy Committee will be provided with regular reports on compliance data and issues with compliance and the Research Office will specifically monitor compliance with RCUK/Horizon 2020 funded research requirements.

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