



UNIVERSITY  
*of*  
ABERTAY DUNDEE

# Self-Archiving and Research Repository Policy

<b>Creator</b>	Research Information Sub-Group of Research and Knowledge Transfer Committee
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# Self-Archiving and Research Repository Policy

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# ***University of Abertay Dundee Self-Archiving and Research Repository Policy***

## **1. Introduction**

The University of Abertay Dundee is committed to maximising the visibility, citation, usage and impact of its research outputs by providing open online access to its research through the University's repository.

The development of the repository supports the national commitment to open access outlined in the Scottish Declaration on Open Access (adopted 2005), to which the University is a signatory, and is reflected in Abertay's goal of increasing external awareness of the expertise of its staff. It is also consistent with the principles promoted by the Research Councils and other funders that the results of publicly funded research should be made available as widely and quickly as possible.

The repository will be the University's definitive record of research output and hence will provide data for future research assessment as well as for internal reports and bibliometric analyses. It will provide full text of all peer-reviewed research published from January 2010. Additionally, bibliographic records will date back until at least 1<sup>st</sup> January 2001, to include the assessment period for RAE2008 and ensure that repository content provides a comprehensive overview of Abertay's recent research.

It is not intended that the submission of research outputs to the repository should be an arduous process and the University will ensure that a simple methodology with straightforward instructions for submission is available. Where possible, the Library will assist in depositing items and bibliographic records on behalf of academic staff and research students.

The only effective way of ensuring rapid population of the database is to make the deposit of appropriate research outputs mandatory. From January 2010, therefore, the University requires all staff and research students to deposit the full text of peer-reviewed journal articles, and other research outputs, in the University repository in accordance with the policy outlined below.

## **2. Policy statement**

It is the University's policy to establish a comprehensive database of research outputs, recording bibliographic information and, where permissible under publishers' copyright policies, providing access to the full text of published research produced by University staff and research students.

The University therefore requires that all staff and research students submit the following to the repository:

- Full text electronic copies and bibliographic details of peer-reviewed research published from 1 January 2010.
- Bibliographic details (including abstracts, where available) of peer-reviewed research published between 1 January 2001 and 31 December 2009.

and that:

- The electronic version of theses accepted for research degrees after 10<sup>th</sup> July 2009 will be deposited in the repository on behalf of the students.

Furthermore, the University strongly encourages submission of the following to the repository:

- Full text electronic copies of peer-reviewed research published prior to 2010.
- Bibliographic details of peer-reviewed research published prior to 2001 including abstracts where they are available.
- Theses accepted for the award of a research degree prior to 10<sup>th</sup> July 2009 where available in electronic format.
- Descriptive records of creative research outputs, such as films, audio recordings, exhibitions or performances, including supporting files where appropriate.
- Full text electronic copies and bibliographic records of non-peer-reviewed research publications.

All non-peer-reviewed outputs must be approved by the School Research and Knowledge Transfer Committee of the submitting author/creator prior to being made publicly available.

### 3. Submission of content

- A wide variety of research outputs can be submitted to the repository including, but not limited to, journal articles, conference contributions, monographs, books and book chapters, theses, reports for external bodies, patents, software, performances, compositions, designs, exhibitions and digital or visual media.
- Publications submitted to the repository should be as close as possible to the published version and should comply with publisher policies and conditions; the majority of journal publishers allow authors to deposit an **author final version** of their work in institutional repositories.
- Peer-reviewed publications should be submitted within 3 months of being accepted for publication. Exceptions must be approved by line managers or Heads of School.
- Peer-review status will be shown for all material in the repository.
- Where it is not possible to deposit a copy of the publication (e.g. due to copyright, publisher or funder agreements), bibliographic details should be recorded with a link or reference to the published version.
- If authors of items deposited in the repository leave Abertay, the item will remain in the repository as part of the institutional record. Authors will be able to deposit the same content in other repositories, or refer to the version in the University's repository.
- The preferred file format is adobe portable document format (pdf), although other file formats can be deposited.

### 4. Exceptions

In certain circumstances material may be excluded from public view via the repository and, exceptionally, not deposited. Examples include:

- Material that is restricted by copyright or other UK legislation from being made available in a repository.
- Material that is restricted by publisher or funder agreements or conditions.
- Research outputs that contain commercially sensitive or confidential material or **Intellectual Property** requiring protection.
- Unpublished material containing non-copyright cleared **third-party content**.

- Copies of publications already deposited in an **Open Access** repository such as UK PubMed Central. Bibliographic details should be provided so that Library staff can create links to the existing version.

A takedown procedure to minimise risk from copyright infringement or other complaint regarding content will be operated.

## 5. Embargoes or delays in publishing to the repository

- Items under **embargo** by publishers or funders should be deposited within 3 months of being accepted for publication, but will not be made publicly available until the embargo period has expired.
- It is expected that all theses will be in the public domain. Any exceptions will be considered on a case by case basis by the Supervisor and the Research Degrees Committee with final approval of the Pro Vice Chancellor (Academic Development), and must be justified in terms of the Freedom of Information (Scotland) Act 2002 and/or the Environmental Information (Scotland) Regulations 2004 as appropriate. If a restriction is granted the University may nonetheless be required to disclose the thesis in whole or in part under this legislation.

## 6. Responsibilities and Quality Assurance

The repository will be designed to enable uploading of documents with minimal effort.

- Authors are responsible for submitting the correct version of their own or co-authored outputs to the research repository, and for ensuring the validity and authenticity of the content.
- Authors are responsible for ensuring that their work does not infringe the copyright and moral rights of any other third parties.
- Authors must agree to the terms of the repository deposit licence.
- Non-peer-reviewed outputs must be approved by the School Research and Knowledge Transfer Committee of the submitting author/creator prior to being made publicly available.
- Items may be submitted by delegated staff such as school administrators, or sent to Library staff to be uploaded on behalf of authors.
- Library staff will deposit theses on behalf of research students.
- Library staff will check compliance with publisher copyright policies before items are made publicly available.
- Library staff will review and enhance metadata but will not check or alter the content of items.
- The Research and Knowledge Transfer Committee will arrange annual monitoring of items in the Repository.
- Library staff will advise and support researchers in the deposit process.
- The University's Research and Knowledge Transfer Committee will oversee the development of Abertay's repository via the Research Information Sub-Group.

## 7. Metadata

- Metadata fields will specify the peer-review status of articles and include links to final published versions where applicable.
- Basic metadata will be created by authors or their delegated agents at the time of submission. As a minimum this will include title, author, abstract or description and keywords.
- Library staff will create additional metadata and edit basic metadata to ensure the quality of complete metadata records.

- All metadata in the repository is based on the recognised global standard for describing, managing and retrieving networked resources, called Dublin Core, implemented in line with national guidelines.
- Where possible, controlled vocabularies will be used to maintain consistency and to enhance the quality of records exposed to search and browse services.
- Anyone may access metadata in the repository free of charge and records may be incorporated into aggregated services. Rights for reuse of metadata are defined in section 9.

## **8. Access and reuse of repository content**

Items deposited in the repository will be made openly accessible via the Internet immediately, unless a publisher's, funder's or exceptionally thesis embargo requires a delay. Content is intended for free, permanent open access.

### **(a) Metadata reuse**

- The metadata may be accessed free of charge.
- The metadata may be reused in any medium without prior permission for not-for-profit purposes provided the unique identifier or a link to the original metadata record is given.
- The metadata must not be reused in any medium for commercial purposes without formal permission.

### **(b) Data reuse**

- Full-text items in all externally accessible areas of the repository may be accessed free of charge.
- Some material is reserved for internal use and will be accessible to University of Abertay staff only.
- Embargoed items are withheld from view due to legal requirements or to comply with publisher, funder or University policies.
- Copies of open access full items can 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 authors, title and full bibliographic details are given.
  - a hyperlink and/or URL are given for the original metadata page.
  - the original rights permission statement is given.
- Full items must not be sold commercially in any format or medium without formal permission of the copyright holders.
- Some full items are individually tagged with different rights permissions and conditions which must be adhered to.

## **9. Notice and takedown procedure**

A notice and takedown procedure applies if proof of copyright infringement or complaint for other reasons such as data protection or alleged research misconduct is received.

- All complaints will be acknowledged and investigated.
- Valid complaints will be referred to appropriate authorities within the University and legal advice taken where necessary.
- The item concerned will be temporarily removed if the complaint is deemed to be valid, pending an agreed solution. The item will always be removed in cases of uncertainty.
- The depositor of the content will be contacted to notify them of the complaint.

- Each case will be judged individually, encouraging resolution between the parties concerned.
- Both the complainant and depositor will be informed of the outcome of the investigation and any action taken, which may include one of the following:
  - content remains in the repository or is replaced unchanged.
  - content is amended and returned to the repository.
  - content is permanently removed from public view (a metadata record may remain).

## **10. Preservation**

- Items will be retained indefinitely.
- It may not be possible to guarantee the continued readability and accessibility of all items, particularly unusual file formats.
- The repository files will be backed up regularly.
- Items may not normally be removed from the repository, except at the discretion of the University of Abertay Dundee.
- Items may be withdrawn or deleted in accordance with the takedown procedure.
- Withdrawn items will be removed from public view, with their identifiers pointing to a 'tombstone' entry stating the item has been withdrawn.
- Deleted items will be removed entirely from the database.
- Changes to deposited items are not permitted, however:
  - errata and corrigenda lists may be included with the original record.
  - an updated version may be deposited and the earlier version withdrawn from public view on request.
- In the event of the repository being closed down, the database will be transferred to another appropriate archive.

## **11. Related policies, regulations or procedures**

- Code of Good Practice in Research
- Intellectual Property Policy
- Regulations for the Award of Research Degrees
- Research Degrees Handbook

## **12. Glossary**

### **Author final version**

For journal articles this refers to the final author-created post-refereed version accepted for publication, sometimes referred to as 'post-print' or 'accepted' version. It is not the same as the published version, which includes publisher logos, formatting and copyright notices.

### **Deposit licence**

The deposit licence confirms that the work being submitted is original, and grants necessary permissions to the repository for storage, preservation and dissemination of the submission.

### **Embargo**

Publishers often impose conditions on the deposit of full text items in repositories, including a time delay following publication. Publisher embargo periods can be checked using the Sherpa/Romeo database. Funders may also require a period of non-disclosure and exceptionally thesis authors may request an embargo on release of their work, for example, to protect commercially exploitable IPR.

### **Intellectual Property**

The requirement to deposit research outputs will take account of the University's Intellectual Property Policy. This policy outlines the type of material that may be generated by staff and students, such as inventions, and the methods for protection and exploitation of Intellectual Property rights.

### **Metadata**

Metadata is information used to help find, use and manage information resources, structured into fields with defined syntax. The repository uses metadata conforming to the global standard called Dublin Core, ensuring that information can be exchanged effectively.

### **Open Access**

"If an article is "Open Access" it means that it can be freely accessed by anyone in the world using an internet connection. This means that the potential readership of Open Access articles is far, far greater than that for articles where the full-text is restricted to subscribers. Evidence shows that making research material Open Access increases the number of readers and significantly increases citations to the article - in some fields increasing citations by 300%." (SHERPA, 2006: <http://www.sherpa.ac.uk/>). A directory of quality-controlled Open Access journals is available at <http://www.doaj.org/>.

### **Self-Archiving**

Open Access can be achieved by publishing in a subscription-based journal, and also placing a suitable copy in a repository - this is known as 'self-archiving'. 97% of journals registered at ROMEIO currently allow some form of self-archiving (<http://romeio.eprints.org/stats.php>), usually using the 'author final version'.

### **Third-party content**

Content generated by someone other than the author(s) of the material. Permission is required for substantial inclusion of such content before the material can be made publicly available. There are no rules to determine if third-party content is 'substantial' and each case needs to be judged individually.

**Takedown policy**

A Takedown policy serves to try and minimise institutional risk from inappropriate material being made available through the repository. Where grounds for complaint are plausible content will be removed from the repository while the complaint is investigated.