Open Access Policy

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 (IR) mandate is an expression of this support. By implementing this policy, the University also seeks to comply with HEFCE's *Policy for open access in the post-2014 Research Excellence Framework*, as amended by *Circular Letter 20/2015* of 24th July 2015*,* thus supporting the University and its staff's contributions to the REF and to comply with mandates that are being imposed by an increasing number of research funding bodies.

There are broadly two routes to OA: green and gold. Open access is *green* when the full text is available in a repository and, thus, may be accessed on the World Wide Web. The publisher may impose an embargo thus delaying availability of the full text from the repository and the paper may be available as manuscript rather than typeset paper. Open access is *gold* when the full text is published in an online journal. The author must usually pay a fee for publication (known as an Article Processing Charge) and the paper is available, free of charge, immediately on publication from the publisher's website. The bibliographic record for a Gold OA paper may be included in a repository with a link to the full-text version online.

2.2 Policy statements:

2.2.1 Compliance with HEFCE policy

Leeds Trinity University will comply with the Higher Education Council for England (HEFCE) Policy for Open Access in the post-2014 Research Excellence Framework (REF), by making all journal articles and conference proceedings with an International Standard Serial Number (ISSN), accepted for publication available on an open access basis.

2.2.2 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.

2.2.3 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 IR 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 IR, either by the researcher themselves or made available for deposit by the Repository and Open Access Officer (ROAO), no later than three months after publication (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 IR 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 ROAO.

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

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[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/

2.2.4 Embargo periods and closed deposits

- The HEFCE 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.

2.2.5 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 HEFCE and research funding bodies. Please check the current version of the policy on the documents page of the Research Office intranet[3].

- This policy and mandate comes into effect from 1 May 2015.

3. Institutional Repository Scope/Mandate

The institutional repository 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 HEFCE and funder requirements, and that which is discretionary. The table below sets this out:

Mandatory deposit	Mandatory deposit timescales	Discretionary deposit
Journal articles (author’s final peer reviewed manuscript) accepted for publication after 1 April 2016	From 1 April 2016 – 31 March 2017 between acceptance and up to 3 months after date of publication. From 1 April 2017 onwards within 3 months of acceptance	**Journal articles** (author’s final peer reviewed manuscript) accepted for publication prior to 1 April 2016
Conference proceedings with an International Standard Serial Number (ISSN) (author’s final peer reviewed manuscript) accepted for publication after 1 April 2016	As above	**Conference proceedings with an International Standard Serial Number (ISSN)** (author’s final peer reviewed manuscript) accepted for publication before 1 April 2016
		Conference proceedings without an ISSN (irrespective of publication date)
		Monographs (irrespective of publication date)

[3] The policy will be published on the documents page of the research intranet.

		Book chapters (irrespective of publication date)
		Multimedia outputs (film/audio) (irrespective of production date) [4]
		Conference posters (irrespective of date)
		Working papers (irrespective of publication date)

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.

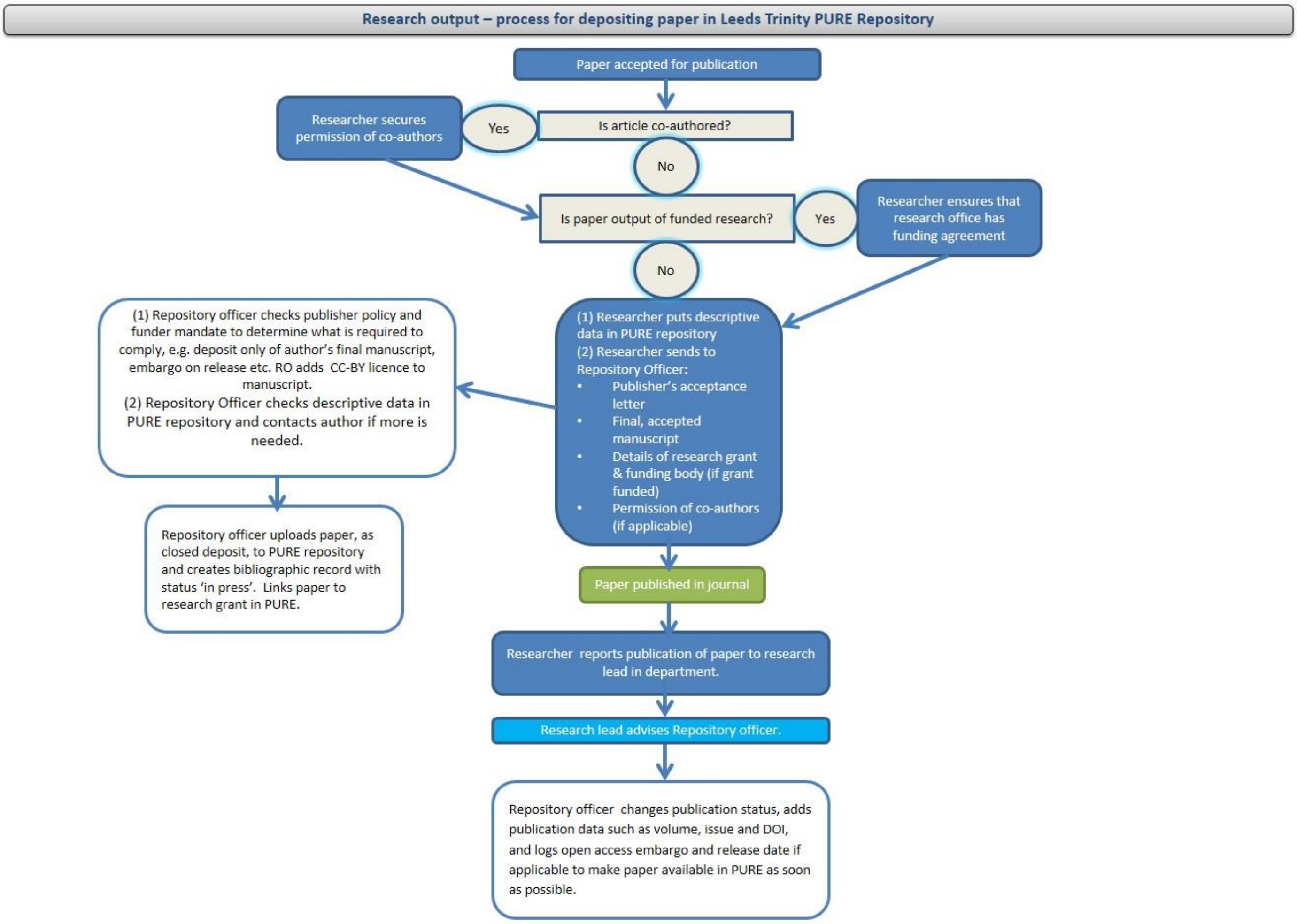
The priorities for inclusion of outputs in the Repository are, in descending order:

1. Mandatory items
2. Discretionary items published since 2010
3. Discretionary items published between 1966 and 2010.

[4] 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, then links to these should be included in the metadata supplied by the depositor.

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 the Repository & Open Access Officer, 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, or is in any other way unlawful. 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
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 HEFCE 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)

October 2015

APPENDIX

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, or is in any other way unlawful. 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 either the Repository and Open Access Officer (ROAO) or the Director of Library and Learning Resources, 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 ROAO is unsure, s/he will consult the Director of Library and Learning Resources. 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 ROAO 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 ROAO will then investigate the complaint, consulting the depositor as necessary. If, during the investigation, clarification is required from the complainant, the ROAO will seek clarification.

(3) Content will be restored to the repository only if the ROAO is satisfied that it is not unlawful (following, if necessary, consultation with the University legal adviser).

(4) If content is restored to the repository, the ROAO will advise the complainant and the depositor that it has been restored and that the content is not considered unlawful.

(5) In the event that the complainant does not accept the decision of the ROAO, they will have recourse to the following process – Stage 2.

Stage 2

(1) This stage should normally only be used after an unsuccessful attempt has been made to resolve the problem via the Repository and Open Access Officer.

(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 Repository and Open Access Officer.

(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 Director of Research 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 Director of Research shall gather any further evidence as necessary.

(8) The Director of Research 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 Repository and Open Access Officer and Director of Research, for information. **The decision of the Vice-Chancellor will be final.**