Ulster University

Open Access and PURE Policy

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OPEN ACCESS AND PURE *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 complements and assists the transition to mainstream OA required by the UK funding councils for REF2021. A number of research funders have specific OA requirements which require additional measures for compliance.

3. PURE is the University's digital repository of research material created by Ulster University's researchers and the PURE online portal showcases the research and scholarly output of the University across all subjects and disciplines. The primary aim of PURE is to increase the impact of the University's research, share knowledge and provide a mechanism for 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 PURE:

    - 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.

7. The University **requires** its staff to deposit (copyright permissions allowing) a copy of all forms of published research in PURE 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 PURE:

    - 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 output 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.

Open Access in PURE

10. PURE serves as the University's Open Access Repository, making accessible the full text of research publications and other outputs:

    - full text documents available in PURE 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 PURE;

    - 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 PURE.

Content Policy

11. Any peer-reviewed research output with valid metadata created by a member of staff of Ulster University 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.

Submission Policy

A. Creators/Depositors

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. In addition the Sherpa REF tool provides guidance on compliance with the requirements for REF Open Access. 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. 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.

D. *Versioning*

21.   The final, refereed, corrected, **accepted** drafts of all peer-reviewed journal articles and peer-reviewed conference articles should be submitted to PURE at the point of acceptance (and no later than 3 months from the date of acceptance;

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 validated 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 PURE.

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 PURE 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.   PURE files will be regularly backed up according to current best practice.

34.   The University will make all reasonable endeavors to restore PURE to another appropriate location in the event of a physical disaster.

H.   *Notice and Takedown Policy*

35.   The PURE Support Team will investigate removing any item on receipt of a complaint (see Appendix for procedure in the case of a complaint).

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;
- 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 PURE 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 Practice for Professional Integrity in the Conduct of Research;
- A virus or other technical problem.

39.   The University will provide support for academics through the transition to OA publishing to ensure a strong and competitive approach for the next REF. PURE and OA support are available to all staff via online resources, workshops and drop-in PURE/OA clinics https://www.ulster.ac.uk/internal/research/openaccess and https://www.ulster.ac.uk/internal/research/puresupport

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

40.   Research England and the three other 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 REF2021. The new policy states that, to be eligible for submission to REF2021, authors' final peer-reviewed manuscripts must have been deposited within 3 months of the date of acceptance in an institutional or subject repository. Deposited material should be discoverable, and free to read and download, for anyone with an internet connection. For the policy document please see the REF website.

41.   While the new policy shifts OA firmly into the mainstream, it is important to note that the funding bodies acknowledge 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 REF2021.

42.   The policy states that, to be eligible for submission to REF2021, 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.

43.   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 2018 i.e.:

- 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 PURE **within three months of publication.**
- Papers accepted for publication **after 1st April 2018** must be deposited **within three months of date of acceptance** of publication.

44.   Deposited material should be discoverable, and free to read and download, for anyone with an internet connection.

45.   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).

46. A full copy of the REF OA policy can be downloaded from https://www.ref.ac.uk/.

Complying with Open Access for REF

47. **All staff** are directly responsible for providing and maintaining details of their published research in PURE. 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/her publication record is up-to-date.

48. 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 University, 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

49. 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.

50. In relation to UKRI (formerly RCUK) Awards, the University has fixed funds from UKRI to support the cost of Gold Open Access for UKRI-funded researchers and eligible researchers can apply for these funds via this link.

B. Green Open Access

51. The Green route to OA is freely and equally accessible to all researchers via PURE or subject specific repositories (publisher's policies permitting), and this will be at the core of Ulster University's emerging institutional policy for OA to research.

52. Green OA means making research freely available in PURE 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 accepted author manuscript in PURE although the publisher often specifies an embargo period before it can be released on open access.

53. To achieve Green OA compliance, researchers should deposit their final peer reviewed accepted manuscript in PURE 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

54. The Open Access and PURE Policy is overseen by the Research and Impact Committee (RIC) and the administration of Open Access compliance, Article Processing Charges and local repository services are undertaken by the Research Performance team, Academic Excellence staff based in the Faculties and the Library Team.

OA Support

55. PURE and OA support and resources are available to all staff at: https://www.ulster.ac.uk/internal/research/openaccess and https://www.ulster.ac.uk/internal/research/puresupport

Equality Statement

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

ULSTER UNIVERSITY

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COMPLAINTS PROCEDURE

1	To make a complaint, an individual should contact the PURE Support Team specifying the item of concern and the grounds for the complaint. On receipt, the PURE Team 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 PURE pending an agreed solution.
3	The PURE Team 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 PURE Support Team and, if the PURE Support team 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 PURE); • the item is replaced in PURE with a revised version; • the item is retained in PURE but access is restricted; • the item is permanently withdrawn from PURE.

Embargo periods start at the date of **first publication**, not acceptance.

This is a living document which will be reviewed on an ongoing basis

If you have any comments, please do contact us at pure-support@ulster.ac.uk