

ISC10D007

Title: Research Publications Full Text Deposit Policy
Circulation: Information, Strategy and Services Committee – 11 November 2010
Agenda: ISC10A001
Status: Open

At a meeting on 13th October 2010 the ISD Research Board considered a proposal for a UEA Research Publications Policy. A small number of changes were suggested by the Research Board and these are reflected in the policy which is included on the following pages.

A separate paper outlining two options for how the policy would be implemented and supported was also considered. The Research Board expressed a strong preference for the second option with a centralised support for deposit and copyright clearance. This is a new service and this option will require additional staff resource within ISD, and a separate CUBS bid is being made for an additional post. If approved this post will be held back until August 2011 and added to the pool of available posts as part of the implementation of the Administrative Integration Review.

The ISD Research Board has endorsed the policy on the condition that it is also recognised that additional resources are required to adequately support the implementation.

ISSC are asked to approve the policy subject to appropriate support being made available. The policy will come into effect until August 2011.

UEA Research Publications Policy (Mandate)

Publications Policy for the deposit of research publications

The University of East Anglia:

- aims to increase the visibility, usage and impact of its research publications by maximising unrestricted online access to its research for all users and researchers worldwide.
- supports the principle that the outcomes of publicly funded research should be made available freely online for non-commercial private study or research purposes.

To achieve these aims this policy requires all UEA authors to upload publication details for all peer-reviewed research publications authored whilst at UEA into the UEA Repository:

The University of East Anglia also requires the deposit of the accompanying full-text for each new research publication immediately on its acceptance for publication (unless there are legal, commercial or confidentiality reasons not to do so).

All materials contained within UEA Digital Repository shall comply with copyright legislation and where appropriate, publishers' copyright policies. Where publisher policy does not permit the use of the actual published version, the author's final accepted peer-reviewed draft (known as the post-print) will normally be submitted.

Non-peer reviewed material may also be deposited, subject to the version type of that material being made clear and unambiguous, e.g. reports, working papers, etc. On occasions, owing to publisher restrictions, it may be necessary to accept not yet peer-reviewed (pre-print) versions of journal articles, in which case their version type will be clearly marked.

UEA authors, or their nominated representatives, may only submit works in which they are identified as the author or one of the authors (providing permissions have been obtained). This policy is designed to assist UEA authors, or their nominated representatives, with obtaining copyright clearance and a range of templates and supporting material is available via the ISD website. Material may only be deposited by staff affiliated to UEA or their nominated representatives using the self-deposit software administered by ISD.

Authors may request that their submission is embargoed for a period of up to five years subject to appropriate supporting evidence (e.g. the need to publish further on the topic or for commercial and copyright reasons). In such circumstances, the full-text should still be deposited, but only the publication details will be made visible in the repository for the duration of the agreed embargo period. Material will not normally be removed from the repository once submitted unless it breaches copyright.

The ISD Research Board will oversee the development of the repository and act as its Editorial Board and will oversee any legal, copyright or academic integrity issues that arise. Users should consult our OpenDOAR policies below for more detail on UEA's Digital Repository Use Policies.

OpenDOAR policies

The following policies have been generated using the Directory of Open Access Repositories at <http://www.sherpa.ac.uk/OpenDOAR/opendoarpolicies.php> and which detail specific use policy of UEA's Digital Repository.

Metadata Policy for information describing items in UEA Digital Repository

Anyone may access the metadata free of charge.

The metadata may be re-used in any medium without prior permission for not-for-profit purposes provided that a link is made to the original metadata record in UEA Digital Repository.

The metadata must not be re-used in any medium for commercial purposes without formal permission.

Full-text Data Policy

Anyone may access the full text free of charge.

Copies of full items generally 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 content is not changed in any way

Full items must not be harvested by robots except transiently for full-text indexing or citation analysis, items must not be sold commercially in any format or medium without formal permission of the copyright holders.

UEA Digital Repository is **not** the publisher; it is merely the online archive.

Content Policy for types of document & data set held

UEA Digital Repository holds all types of materials.

Deposited items may include:

- Pre-refereed author's version (as submitted to journals for peer-review) [Preprint]
- Post-refereed author's version (author's final accepted peer-reviewed drafts) [Postprint]
- Post-refereed publisher's version (publisher-created files)
- Non peer reviewed articles
- Teaching materials
- Research data

Deposit Policy

Items may only be deposited by accredited members of the University of East Anglia, or their delegated agents.

Eligible depositors must deposit bibliographic metadata for all their publications.

The administrator of UEA Digital Repository only vets items for the eligibility of authors/depositors, relevance to the scope of the repository, valid layout & format, and the exclusion of spam

The validity and authenticity of the content of submissions is the sole responsibility of the depositor.

Items can be deposited at any time, but will not be made publicly visible until any publishers' or funders' embargo period has expired.

Any copyright violations are entirely the responsibility of the authors/depositors. If UEA Digital Repository receives proof of copyright violation, the relevant item will be removed immediately.

Preservation Policy

Full-text and metadata will be retained indefinitely.

UEA Digital Repository will try to ensure continued readability and accessibility, items will be migrated to new file formats where necessary.

Where possible, software emulations will be provided to access un-migrated formats.

UEA Digital Repository regularly backs up its files according to current best practice.

Items may not normally be removed from UEA Digital Repository

Acceptable reasons for withdrawal include:

- Proven copyright violation or plagiarism
- Legal requirements and proven violations
- National Security
- Falsified research

Withdrawn items are not deleted *per se*, but are removed from public view.

Withdrawn items' identifiers/URLs are retained indefinitely.

URLs will continue to point to 'tombstone' citations, to avoid broken links and to retain item histories.

Changes to deposited items are **not** permitted.

Errata and *corrigenda* lists may be included with the original record if required.

If necessary, an updated version may be deposited.

In the event of UEA Digital Repository being closed down, the database will be transferred to another appropriate archive.

Appendix - Proposed Guidelines and Processes for Full-Text Upload into UEA Digital Repository

Introduction

In early 2010, ISSC approved the recommendation that UEA moves to a mandate for the deposit of all publications data (from 2007 onwards) into the UEA Digital Repository. The next step is to consider mandate of full-text deposit in addition to the publications data.

This paper sets out proposed guidelines and processes for uploading full text material into the Repository. It includes options for managing copyright clearance and implications for dealing with the scale of work.

There are two options to consider:

Option 1: A devolved model of deposit where academics (or a member of faculty administrative staff on their behalf) are responsible for managing copyright with publishers, checking publisher copyright agreements relating to all publications deposited, seeking permission from publishers to deposit and upload their own full-text and metadata. Some advice and support from ISD staff would be provided. The implication of this option would be that the scale of work would have to be managed primarily within faculties by academic staff and administrators. Eprints has good self-deposit functionality and basic copyright checks can be done on the RoMEO web site.

Benefits of this option

- Faculties would retain control of the deposit of their papers and metadata.
- Academics would be managing their own copyright in liaison with their publishers with whom they already have a professional relationship.

Risks of this option

- The additional workflows that an academic would be required to carry out for this option may lead to less being deposited into the repository.
- Devolution of this work may lead to a variety of different processes being employed across the university.

Option 2: A centralised model of deposit where ISD staff assist academics with checking and managing copyright, monitoring research outputs deposited to ensure that they meet with publisher requirements, trouble-shooting situations where rights are not available, and offering some mediated support with uploading the full-text and metadata. This option would significantly reduce the input required by academics or faculty administration staff.

However, as ISD is not currently resourced to manage these processes, this option would require some kind of ISD Repository Manager to manage the deposit and copyright clearance processes outlined above.

As part of the appraisal of this option, it is worth drawing attention to a recent 'Support for Research' survey of libraries in the 1994 Group which included analysis of repository support. This found that of the 7 respondents (UEA, Bath, Birkbeck, Exeter, Loughborough, Royal Holloway and Sussex), only UEA had no dedicated staff looking after this aspect of the repository. Resources for these posts ranged from 1.6 FTE at Bath to 0.7 FTE at Birkbeck. The average across the institutions was 1 FTE.

Benefits of this option

- Centralised management of the repository would mean more joined up processes for deposit and management of the UEA Digital Repository and probably higher levels of deposit.
- A Repository manager would take ownership of the whole process, gaining experience of issues around copyright and engaging with colleagues at other institutions to review developments in repository software.

Risks of this option

- In the current economic climate, it may be difficult to justify the creation of a new post.
- Reducing services in other areas to resource an ISD Repository Manager may lead to a decline in other library services.

The Research Board is asked to consider the above options and advise on which option should be pursued.