

Draft Research Outputs Access Policy

Introduction

During June 2006 the Research Councils Executive Group agreed to adopt a policy that all their funded researchers should, where required to do so, deposit the outputs from RCUK funded research in an acceptable Open Access repository as designated by the individual research council.

The rationale behind this move is the belief that where materials are made available in Open Access repositories, they are heavily used and cited. This gives even greater visibility to, and recognition for, a researcher's work – which is good for the individual, the university, research funders and research in general. This is supported by a growing number of international studies and locally through the experiences of the Edinburgh Research Archive.

Each of the eight individual Research Councils, and the Wellcome Trust, have produced specific, but differing, guidance to the research communities they fund on access to outputs in each field of research (for example in the case of the Wellcome Trust, there is a requirement to deposit outputs in a UK-wide repository as well as support for their deposit in institutional repositories, and for their publication in 'open access journals'). Consequently with advice sent to researchers from a number of sources, there is potential for researchers to become confused about their obligations.

By adopting a Research Outputs Access Policy the University has an opportunity to clarify the current position and support its own staff in fulfilling their conditions of grant as set out by RCUK and other funding bodies. This has the advantage of providing staff with only one set of procedures to be followed. The Library will update this Policy in line with changing requirements in any of the policies of Research Councils and other research funding bodies.

Policy

Material which represents the total publicly-available research and scholarly output of the [*insert institution here*] is to be made available online in the University's institutional repository [*insert IR name and location here*], subject to the exclusions noted below. In this way, it contributes to a growing international corpus of refereed and other research literature freely available online, a process occurring in universities worldwide.

It is recommended that the University encourages the deposit of all the materials in the following categories in the repository from 1 June 2007:

- refereed research articles and contributions;
 - at the post-peer review stage (the accepted draft – also referred to as the postprint)
 - or
 - at the pre-peer review stage, with corrigenda added following peer review if necessary
- unrefereed research literature, conference contributions, chapters in proceedings (the accepted draft)
- refereed scholarly monographs for which the author has no commercial intention

There is no intention that individual researchers will be expected to break publishers' copyright or licensing agreements or to negotiate with publishers. Furthermore, materials to be commercialised, or which contain confidential information, or of which the promulgation would infringe a legal commitment by the University and/or the author, should not be included in the repository.

Mechanisms

This policy will be supported by Library & Collections repository staff who will provide a service that will:

- Provide full guidance to University staff and documentation in this area
- Upload materials to the repository if assistance is required
- Check copyright is observed on each submission
- Ensure the relevant Research Councils receive a timely copy, as set out in the relevant conditions of grant.

Materials for the institutional repository should be either uploaded by authors or sent to the [*insert institution here*] repository staff.

The material stored in the repository will be digitally curated, to ensure that it remains accessible by researchers, teachers and learners, as part of a maintained archive of [*insert institution here*] research.

Where authors or researchers maintain home pages, links should be provided to the document which is stored in the [*insert IR name and location here*].

Staff from Library & Collections will produce regular statistics for use and downloads of materials from the [*insert IR name and location here*].

Example Use case scenario (Narrative)

1. A senior lecturer in the School of Geosciences with a project funded by NERC has finished her research and has written a draft manuscript to send to a prestigious journal published by Elsevier.
2. The draft manuscript is submitted to the journal editor who agrees that it is a worthy submission and sends it off for peer review by two anonymous reviewers. The reviewers agree that the paper should be published but recommend minor corrections are required.
3. From 1 October 2006 NERC requires that, for new funding awards, an electronic copy of any published peer-reviewed paper, supported in whole or in part by NERC-funding, is deposited at the earliest opportunity in an e-print repository.
4. The author completes the final corrections and returns the manuscript to the Journal Editor - the same electronic version is also emailed to repository staff.
5. The repository staff check the publisher's copyright policy and determine that it is acceptable to deposit this version in the IR. Library staff then deposit the paper and provide descriptive metadata to enhance its discoverability and ensure long-term preservation of the digital object.
6. Once the author's final version is online in the IR the author is informed of the URL so that it can be cited. Details of the location are also sent to the NERC repository.
7. Every six months the repository staff provide routine statistics to authors indicating how many times their papers have been downloaded from the repository.