OPEN RESEARCH GUIDELINES

1. **Background**

   1.1. This document provides guidelines for compliance with the University's Open Research Policy.

   1.2. The Guidelines will be reviewed regularly to respond to relevant external changes in the Open Research landscape. Pathway Researchers and Research Fellows will be updated accordingly.

2. **The Institutional Repository**

   2.1. The main objectives of the Institutional Repository are to:

      2.1.1. Increase dissemination of and access to research conducted by Pathway Researchers and Research Fellows under the auspices of the University;

      2.1.2. Provide support for research assessment (e.g. REF);

      2.1.3. Capture, preserve, and facilitate open access to the University's research Outputs.

   2.2. The University will continue to support and enhance the capabilities of the Institutional Repository as a mechanism for archiving Outputs in-line with relevant internal or external policies.

3. **Research Outputs**

   3.1. Outputs submitted to the Repository must meet the following definition of research: *"Research is defined as a process of investigation leading to new insights, effectively shared"*.

   3.2. All outputs must be compliant with the University's Ethics Policy.

   3.3. A significant contribution (author, co-author) by a Pathway Researcher or Research Fellow must have been made to all Outputs submitted for deposit on the Repository.

   3.4. Co-authored Outputs must be deposited in the Repository, even if the co-author has deposited the Output in their institution's own repository.

   3.5. Researchers should properly cite and comply with the licensing stipulated for outputs created by others and co-created outputs arising from collaborations.

   3.6. For all Outputs, the **full-text or equivalent** must be made openly available on the Repository wherever possible.

      3.6.1. If it is not possible to deposit the full text or non-textual equivalent, the Output content should still be deposited as a restricted metadata deposit. The metadata for every research Output should be openly available on the Repository, even if the Output content cannot be made available.

   3.7. Research Outputs must be deposited (with help from the Research Team) on the Institutional Repository as soon as it is possible to do so. This can be done via the University's repository submission labels.

3.7.1. New research-active staff are encouraged to deposit research Outputs, including those produced prior to their appointment, into the Leeds Arts University Repository wherever possible.

3.7.2. Outputs deposited by former members of staff will be retained on the repository, subject to:

    i.   1.2 of the Open Research Policy;

    ii.   Any external/internal policy changes.

3.8. All research outputs submitted for deposit on the repository must have an accompanying completed submission label:

3.8.1. Sufficient materials must be **submitted alongside the label** in an appropriate format (see 3.8.4 for details).

3.8.2. All authors, funders, contributors, collaborators, and acknowledgements should be included in the Output's label.

3.8.3. The label must be the up-to-date version, [which can be found here on Portal](#).

3.8.4. The output 'item types' the repository provides infrastructure for are: artefacts, books, book sections, compositions, creative projects, designs, digital videos, journal articles, performances, published conference proceedings, exhibitions, patents, and research reports.

    i.   **Artefacts** are creative practice-based outputs such as objects, artist books, artworks, or series of artworks in the same media (eg. a series of photographs) which have been exhibited, commissioned or otherwise presented in the public domain. Representation of the artefact(s) (typically as a PDF portfolio and selected JPGs) must be provided.

    ii.   **Books** are longform publications such as monographs, novels, collections of poetry, and publications which have been published with an ISBN. A PDF copy of the book must be provided.

    iii.   **Book sections** are longform publications such as chapters, short stories, individual poems, and contributions to books. Book sections in academic publications (eg. edited books) must be substantive, 5000-words or over in length, and must include bibliographical content. Materials submitted must include a copy of the front cover, title page, copyright page(s), and contents page(s) from the book. A PDF copy of the book section must be provided.

    iv.   **Compositions** are creative practice-based outputs such as original scores, first performances, or first recordings of musical compositions. A PDF of the score and/or a video or audio recording must be provided.

    v.   **Creative projects** are creative practice-based projects comprised of multiple parts in different media/formats to form one cohesive output.

These can also be substantial creative outputs of many parts where other item classifications are unsuitable. Representation of the project must be provided in an appropriate format, see other output types for clarification.

vi. **Designs** are creative practice-based outputs such as design drawings, design books, models, or websites. There must be sufficient materials provided that show the design and research process. This can include fashion design, textile design, graphic design, multimedia design, sound design etc. Representation of the design(s) (typically as a PDF portfolio and selected JPGs) must be provided.

vii. **Digital videos** are creative practice-based outputs such as documentaries, computer games, websites, and animations. This category does not include recordings of presentations. A digital copy of the video in an mp4 format must be provided.

viii. **Journal articles** are articles published in academic journals with a DOI and/or ISSN. Journal articles are substantive and are typically 5000-words or over in length and must include bibliographical content. A PDF copy of the Author Accepted Manuscript or Version of Record must be provided, whichever is appropriate. A Data Access Statement should be provided, see section 4.

ix. **Published conference proceedings** are substantial published texts arising from conferences with an ISSN, ISBN, or DOI. A PDF copy of the AAM or VoR must be provided, whichever is appropriate.

x. **Exhibitions** are creative practice-based outputs such as solo exhibitions or curatorial projects. There must be sufficient materials to show the research narrative, including method and insights. Representation of the exhibition (typically as a PDF portfolio and selected JPGs) must be provided.

xi. **Patents** are granted patents, copyrights, trademarks, or registered designs on specific products or processes. A PDF copy of the patent must be provided.

xii. **Performances** are creative practice-based outputs in the form of any research culminating in a performance piece of theatre, dance, music, or performance art - which has been exhibited, commissioned or otherwise disseminated in the public domain. A PDF portfolio and a digital video in an mp4 format must be provided.

xiii. **Research reports** are reports commissioned and/or funded by an external organisation including reports for private companies, government departments and non-governmental organisations (NGOs). A PDF copy of the report must be provided.

3.9. All outputs must demonstrate having been through a peer review process.

3.9.1. Peer review is the evaluation of work by **one or more** people within the same field as the producer(s) of the work;

3.9.2. Peer review for books and journal articles is a process typically instigated by the **publisher**;

3.9.3. Peer review for book sections is a process typically instigated by the **publisher and/or editor**;

3.9.4. Peer review for creative outputs (artefacts, exhibitions, creative projects etc.) is a process typically instigated by the **disseminator**. This includes, but is not limited to:

     i.   Selection for exhibitions;
     ii.   Selection for festivals;
     iii.   Evidence of peer reviewed funding;
     iv.   Reviews from authoritative sources;
     v.   Prizes or awards.

3.9.5. Researchers cannot peer review their own work, as there is no independent objective critical distance. This could be seen as contributing to **self-publication.**

3.10. Outputs should **not** be self-published.

3.10.1. Self-publishing is the publication/dissemination of research without the involvement of/peer review from an established external publisher/disseminator;

3.10.2. Self-publishing applies to all forms of research outputs, including creative practice-based outputs such as artefacts, exhibitions and creative projects.

3.10.3. If there is a possibility an output could be claimed by another research institution or HEI, this must be stated on the output submission label.

3.11. **Journal content** (with an ISSN and/or a DOI) must be submitted to the repository **before the publication date and within 3-months of the acceptance date** under a CC BY or CC BY-ND license:

3.11.1. For Diamond Open Access, this must either be the Version of Record (VoR) or Author Accepted Manuscript (AAM);

3.11.2. For subscription journals, for the purposes of Green Open Access a Rights Retention Statement must be used to retain the researcher's copyright to the Author Accepted Manuscript (AAM), which can then be deposited on the Repository under a CC BY or CC BY-ND license:

     i.   The Rights Retention Statement must be written in the acknowledgement section from the point of submission to any

subscription journal;

ii. The Rights Retention Statement the University advises staff use is as follows:

"For the purposes of Open Access, the author has placed a (*CC BY license or CC BY-ND license, delete where appropriate*) on the Author Accepted Manuscript arising"

iii. The Research Team must be consulted before a Rights Retention Statement is used.

3.12. **Longform publications** (with an ISBN and/or a DOI) must be submitted for deposit on the repository **within 12-months of the publication date**:

3.12.1. Diamond Open Access longform publications must be deposited under the same license the publisher has attributed;

3.12.2. Paywalled longform publications can be submitted with any relevant embargo periods or restrictions to access (such as creating restricted metadata-only records) specified in the publishing agreement;

3.12.3. Trade book publication (eg. novels, poetry collections, short stories and individual poems) can be submitted with any relevant embargo periods or restrictions to access (such as creating restricted metadata-only records) applied.

3.13. **Creative practice-based outputs** must be submitted for deposit on the repository under one of the Creative Commons Licenses, unless there are legal, ethical, regulatory, contractual, or intellectual property protection reasons not to.

3.13.1. Creative practice-based outputs (and other Outputs where the research process is not self-evident) must be accompanied by a **300-word supporting statement**. This statement should provide coherent evidence of the research dimensions of the work in terms of:

i. **Research Process:** the question and/or issues being explored, the process of discovery, methods and/or methodologies, the creative and/or intellectual context or literature review upon which the work draws, or challenges or critiques;

ii. **Research Insights:** the findings, discoveries or creative outcomes of that process;

iii. **Dissemination:** how and where the insights or discoveries were 'effectively shared'.

3.14. If an output does not meet the criteria above (where appropriate to item type), then it will not be deposited in the Repository.

4. Research Data

4.1. Research Data generated by Researchers in the process of their research activities should be deposited (where appropriate) in a trusted relevant external data service or disciplinary data repository that supports use of ORCIDs and provides datasets with a DOI.

    4.1.1. The Research Team will provide researchers with assistance and training to find appropriate data services or disciplinary data repositories for their Research Data.

    4.1.2. Upon deposit of datasets, wherever possible a DOI should be generated to ensure maximum discoverability and interoperability.

4.2. Research Data includes any data created by the researcher that was instrumental in the process of the research inquiry.

    4.2.1. This could include, for example:

        i.   Anonymised audience surveys;

        ii.   Case studies;

        iii.   Images;

        iv.   Interview transcripts;

        v.   Models and maquettes;

        vi.   Notebooks;

        vii.   Prototypes;

        viii. Score drafts;

        ix.   Sketchbooks;

        x.   Storyboards;

        xi.   Work in progress sound recordings.

    4.2.2. For advice and assistance on Research Data and dataset content, please contact the research team.

4.3. When using data created by others, Researchers must ensure that they are properly cited in any acknowledgements or data access statements included in their Output deposits. Where appropriate, this should include DOIs for any datasets used.

4.4. Researchers should include a Data Access Statement as part of any research article deposit, providing details of how data supporting the published article may be accessed. If data cannot be accessed, a statement should be provided explaining why this is the case.

4.4.1. Examples of a Data Access Statement could include, but are not limited to:

    i.   Data supporting this article is available at (provide DOI, URL, another Persistent Identifier);

    ii.   Data supporting this article will be available at (provide DOI, URL, another Persistent Identifier) following an embargo of (enter length of embargo);

    iii.   Data supporting this article is not available due to (provide reasons, eg. "concern participants could be identified");

    iv.   Data supporting this article is included within the article and/or supporting materials.

5. Roles and Responsibilities

5.1. **Researchers** are responsible for:

5.1.1. Ensuring their own compliance with the Open Research Policy and these guidelines;

5.1.2. Submitting repository labels and materials for research outputs created under the auspices of the University (see item types and requirements at 3.8.4);

5.1.3. Depositing research data in an appropriate data service or disciplinary data repository where it is appropriate to do so;

    i.   Attending and completing any training provided by the University relating to Open Research;

    ii.   Having an awareness of the terms of any copyright transfer agreements they sign. Researchers are encouraged to endeavour to retain Intellectual Property rights for their research Outputs and Research Data;

    iii.   Declaring any known legal, ethical, contractual, Intellectual Property, or copyright requirements and issues when submitting outputs to the repository;

    iv.   Declaring any unanticipated legal, ethical, contractual, intellectual Property, or copyright requirements and issues that arise after the work has been deposited on the repository.

5.2. The **Research Team** is responsible for:

    i.   Depositing Outputs submitted by researchers which are compliant with the Open Research Policy and Guidelines on the repository in a timely manner.

    ii.   Ensuring that research Outputs, data, and their associated abstracts, materials, and metadata meet requirements and a consistent standard;

    iii.   Ensuring that Outputs on the Repository comply with Open Access requirements (where appropriate);

    iv.   Providing support, guidance, and training to Researchers on Repository use and expectations, as well as on Open Access requirements and Research Data Management;

v. Keeping up-to-date with any changes to Open Research requirements and keeping Researchers updated and informed;

vi. Working with Researchers to ensure their compliance with the Open Research Policy and Guidelines.

5.3. It is the role of The **University** to:

i. Support Researchers in how to best make their work visible and accessible;

ii. Support academic freedom, research integrity and ethical practice;

iii. Provide a centrally managed and maintained platform to make research Outputs freely available;

iv. Provide Researchers with training on Open Access and Research Data Management.