OPEN RESEARCH POLICY

CONTENTS

1.   Purpose

1.1. Leeds Arts University has a commitment to supporting an inclusive environment that produces high-quality, rigorous research that is open to all.

1.2. Open research is subject to compliance with legal, ethical, regulatory, contractual, and intellectual property protection requirements. This policy aims to support and enable the management of open research so that it can be *"as open as possible, as closed as necessary"*.

1.3. This document is to be viewed in conjunction with the Open Research Guidelines, which outline the daily operational guidelines for compliance with this policy. It also should be read in conjunction with the Data Protection Policy.

2.   Scope

2.1. This policy sets out Leeds Arts University's requirements for open research, covering open access for the outputs of research projects, as well as the management of data generated in the process of research.

2.2. Compliance with the tenets of this document is necessary for Leeds Arts University researchers (see 3.1).

3.   Definitions

3.1. Future use of the below capitalised terms in this document refers to the following:

- **Output**: refers to a completed research outcome. Our categories for these include: artefacts, books and book sections, compositions, creative projects, designs, digital videos, journal articles, published conference proceedings, performances, exhibitions, patents, and research reports.

- **Repository**: refers to the Leeds Arts University institutional repository. The Leeds Arts University Institutional Repository (hereafter referred to as "the Repository") is an archive for collecting, hosting, and preserving digital copies of research Outputs authored or co-authored by those in the scope of this policy.

- **Researcher**: refers to a member of Leeds Arts University staff on a teaching and research or research only contract (classified as 'Category A' for the purposes of research assessments).

- **The University**: refers to Leeds Arts University.

- **Research Data:** Information created during the research process instrumental to the process of the research enquiry.

- **Dataset:** a body of related Research Data composed of separate elements which can be read as a unit.

3.2. For full definitions of any further technical terms mentioned in this policy, please see the glossary section at the end of the document. For further clarification, please contact the Research Team.

4.   Open Access

Leeds Arts University is committed to ensuring Open Access to its variety of research outputs (wherever possible, see 1.2). The following section establishes the University's approach to Open Access to research outputs.

4.1. Principles:

4.1.1. The University is committed to ensuring that Outputs are openly accessible in a timely manner. The University recognises that there are significant benefits of Open Access for the institution, the academic community, and society as a whole.

4.1.2. Where possible, the University requires Outputs to be deposited by means of **Green Open Access via** deposit in the Repository. If it is not possible to make the output Open Access (see 1.2), a metadata-only record with restricted Output materials will be created.

4.1.3. The University has a commitment to reaching a KPI of a minimum of REF 2* for all Outputs. As such, all Outputs must have gone through a peer review process, as this is a key indicator of quality for underpinning research:

i.   The University values peer review as being of utmost importance for research. It acts to provide editorial assistance and assurance of reliability, shareability, preservability and interoperability;

ii.   Peer review can ensure that research meets the standards of the research community, and for audiences and funders it can build up trust in the overall body of research outputs;

iii.   Peer review provides assurance for the integrity of research, which is essential when making Outputs Open Access. The University supports the Concordat to Support Research Integrity.

4.2. Journal Articles:

4.2.1. The University is a signatory of DORA (San Francisco Declaration on Research Assessment), and as such has a commitment to not using "*journal-based metrics, such as Journal Impact Factors (JIFs), as surrogate measures of the quality of individual research articles, to assess an individual scientist's* [researcher's] *contributions, or in hiring, promotion, or funding decisions*".

4.2.2. The University supports the following routes to Open Access for **journal related content** (reports, journal articles, and conference proceedings with an ISSN or DOI), which should then be deposited on the Repository within 3-months of the acceptance date:

i.   Green Open Access;

ii.   Diamond Open Access.

4.2.3. The University **does not** provide funds for:

i.   Gold Open Access;

ii.   Self-publishing.

4.2.4. When a publishing agreement prohibits Open Access, the University accepts (within 3-months of the acceptance date):

      i.   Deposits of research articles as metadata-only items with restricted materials (typically the Author's Accepted Manuscript).

4.3. Longform publications:

4.3.1. The University supports the following routes to Open Access for **longform publications** (monographs and book sections, or reports and conference proceedings with an ISBN), which should then be deposited on the Repository within 12-months of the publication date:

      i.   Green Open Access;

      ii.   Diamond Open Access.

4.3.2. The University **does not** provide funds for:

      i.   Gold Open Access, unless the publication is eligible for UKRI funding for Longform Publications;

      ii.   Self-publishing.

4.3.3. When a publishing agreement prohibits Open Access, the University accepts (within 12 months of the publication date):

      i.   Deposits of longform publications as metadata-only items with restricted materials;

      ii.   Deposits of published trade books (eg. novels, poetry collections, short stories, and individual poems) as metadata-only items with restricted materials.

4.4. Practice-based creative Outputs:

4.4.1. The University supports the deposit of **creative Outputs** (artefacts, compositions, creative projects, designs, digital videos, exhibitions, films, and performances) on the Repository (which facilitates making them open through **Green Open Access**) provided that:

      i.   The Output has been **disseminated** through a platform which was publicly accessible during the dates of the dissemination;

      ii.   The Output has gone through a **peer review** process (see section 4.1.3. and the Open Research Guidelines for more details);

      iii.   The Output is accompanied by a **300-word supporting statement** outlining the research process, insights and dissemination.

4.5. If a Researcher leaves the University, their research will stay on the Repository as a record of the institution's research Output.

4.6. The University reserves the right to retire outputs from the Repository:

4.6.1. On ethical grounds;

4.6.2. In the event of a valid Research Integrity complaint;

4.6.3. In the event of a valid copyright/Intellectual Property challenge.

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

4.8. If a research Output is not recorded on the Repository, it is deemed for the purposes of University's research processes to not exist.

4.9. If a Researcher's funder has their own requirements or restrictions for Open Access, then the Researcher and the University must comply with the funder's policy (see 1.2).

5. **Research Data Management**

The University will support researchers in making the data generated during the process of the creation of Outputs open to read and accessible for reuse. This should be done within the boundaries of confidentiality, ethical approval, protection of Intellectual Property, and other arrangements will allow.

Research Data should also be made open in accordance with the requirements and guidelines of any external funders the research may have. For further information with regards to funder requirements, Researchers should seek the funder's website.

Please read Leeds Arts University's Data Protection Policy for information with regards to managing data within the Data Protection Act 2018. When using data from participants in research, Researchers should also read the Guidance on Anonymisation and Pseudonymisation in Research.

5.1. Principles

5.1.1. The University supports the principles of the Concordat on Open Research Data.

5.1.2. The University supports the FAIR Data principles, and believes that Research Data should be made "as open as possible, and as closed as necessary".

5.2. Requirements

5.2.1. The University requires compliance with the following, subject to 1.2. of this policy.

5.2.2. The University shall:

i. Support researchers in making the Data from published research Outputs (monographs, book sections, articles, reports) openly accessible;

       ii.   The University supports researchers in making the Data from creative practice-based outputs (artefacts, compositions, creative projects, creative writing, designs, digital videos, exhibitions, films, and performances) openly accessible.

    5.2.3. Researchers shall:

       i.   Submit supporting information and metadata alongside any dataset deposit, including a description of the data, and provide Persistent Identifiers (such as ORCID numbers) to enable data discoverability;

       ii.   Deposit Research Data under a [Creative Commons license](#) to support reuse and reproducibility;

       iii.   Create and maintain a Data Management Plan for projects that produce or handle research data. Data Management Plans should form part of any ethics approval application through the [Ethics App](#), which needs to be completed before any research project begins. For more information on ethics approval, please see the [Ethics in Research Procedure](#).

       iv.   Handle and manage research data in compliance with Leeds Arts University's [Data Protection Policy](#), as well as any legal, ethical, regulatory, contractual and Intellectual Property requirements throughout its life cycle.

       v.   Properly cite and comply with the licensing stipulated for third-party data or co-created data arising from collaborations.

       vi.   Include a Data Access Statement when required, as part of any research article deposit, providing details of how data supporting the published article may be accessed. If data cannot be accessed, provide a statement explaining why this is the case.

5.3. If a Researcher's funder has their own requirements or restrictions for Open Data, then the Researcher and the University must comply with the funder's policy.

Glossary

- **Article Processing Charges (APCs):** processing charges applied to Gold Open Access journal article publishing.

- **Author Accepted Manuscript (AAM):** the final copy of a journal article, book, or book chapter, which has been peer reviewed and accepted for publication.

- **Book Processing Charges (BPCs):** processing charges applied to Gold Open Access book publishing.

- **CC BY:** a Creative Commons license which allows others to distribute, remix, adapt, and build upon the material in any medium or format, so long as attribution is given to the creator. The license allows for commercial use.

- **CC BY-ND:** a Creative Commons license which allows others to copy and distribute the material in any medium or format in unadapted form only, and only so long as attribution is given to the creator. The license allows for commercial use.

- **Chapter Processing Charges (CPCs):** processing charges applied to Gold Open Access book chapter/book section publishing.

- **Creative Commons License:** A Creative Commons license is one of several public copyright licenses that enable the free distribution of an otherwise copyrighted "work". A CC license is used when an author wants to give other people the right to share, use, and build upon a work that the author has created.

- **Diamond Open Access:** a route to Open Access **publication** of Journal Articles, Books and Book Sections through which publishing costs (APCs, BPCs, CPCs) are covered by donors at no cost to Researchers or The University.

- **Dissemination:** a vehicle through which the output of a research project is shared (eg. an exhibition, a book).

- **DOI:** a Digital Object Identifier (DOI) is a persistent identifier or handle used to uniquely identify various objects.

- **Edited book:** an edited book is a collection of chapters written by different authors on the same subject. Typically, these publications have one or more editors who recruit other experts to write specific chapters.

- **FAIR Data Principles:** a set of principles guiding research data towards being Findable, Accessible, Interoperable, and Reusable. The principles aim to increase the discoverability and machine-actionability of research data on the public internet through use of rich metadata tags and descriptions. The FAIR Data Principles are underpinned by the idea that research should be "as open as possible and as closed as necessary".

- **Gold Open Access:** a route to Open Access **publication** of Journal Articles, Books and Book Sections through payment of Article Processing Charges (APCs), Book Processing Charges (BPCs), or Chapter Processing Charges (CPCs) to the publisher.

- **Green Open Access:** is a means of archiving disseminated Outputs under Creative Commons licenses so that they are Open Access. Green Open Access is a means of archiving Outputs to make them Open Access and is **not a route to publication or dissemination.**

- **ISBN:** an International Standard Book Number (ISBN) is a numeric commercial book identifier that is intended to be unique.

- **ISSN:** an International Standard Serial Number (ISSN) is an eight-digit serial number used to uniquely identify a serial publication, such as a magazine.

- **Journal Article:** an article published in an academic journal.

- **Journal related content:** include journal articles and conference proceedings or reports with an ISSN.

- **Longform publications:** include academic monographs, book chapters, edited collections, trade books and conference proceedings or reports with an ISBN.

- **Monograph:** an academic book on a single specialised topic. Monographs can be written by one or more authors.

- **Open Access:** is a set of principles and a range of practices through which research outputs are distributed online, free of access charges or other barriers.

- **Publication date:** the date an Output is formally published and made public.

- **Publishing agreement:** an agreement an author enters into with a publisher in which the terms of publication are defined.

- **Read & Publish Agreement:** an agreement between The University and a journal publisher. The University subscribes to a range of journals from a publisher, and included in that subscription is the ability for The University's researchers to publish in a select range of their Open Access titles APC-free.

- **Repository:** a Repository (also referred to as an Institutional Repository) is an **archive** for collecting, preserving, and disseminating digital copies of the approved research Outputs of an institution. The Institutional Repository is a means of **self-archiving** via **Green Open Access**.

- **Research Data Management Plan (DMP):** a plan which describes a researchers data management and sharing activities. DMPs should cover planning and preparation, data during the research process, storing the research data, and sharing the research data.

- **Rights Retention Statement (RRS):** a statement used to retain the copyright to the Author Accepted Manuscript of a book or journal related Output published through subscription or paywalled publishers. Rights are either retained under a Creative Commons CC BY or CC BY-ND license for the purposes of research assessments. The statement is as follows: *"For the purpose of open access, the author has applied a [ENTER CHOSEN LICENSE HERE] license to any Author Accepted Manuscript version arising"*

- **Version of Record (VoR):** the final published version of a journal article, book, or book chapter, which has been peer reviewed and accepted for publication.