OPEN RESEARCH POLICY

Policy	Open Research Policy
Organisation	Leeds Beckett University
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Developed in consultation with	Library Services Research Services Group Library Senior Management Group Research and Enterprise Committee
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External references	• UKRI Open Access Policy • Concordat on Open Research Data • FAIR principles • Horizon 2020 online manual • REF 2021 guidance on submissions • Open Research Europe • Octopus Publishing Platform
Links to other internal policies / procedures	• eThesis Policy • Ethics Policy • Intellectual Property Policy
Version reference	Version 1.2

Version History – summary of changes	• Approved by the Research and Enterprise Committee 23 January 2020
	• Ver 1.1: definition of gold open access updated in para 3.4 (Feb 2021)
	• Ver 1.2 (October 2023): minor changes / additions to the text:
	   o Introduction: further context added
	   o 1.1: policy start date removed
	   o 1.2: scope of data management clarified
	   o 2.3: compliance with funder policies added
	   o 2.4: change of name LLI to LSS updated
	   o 3.1: reference to the REF removed from policy itself and included in footnote
	   o 3.3: dissemination of research outputs included
	   o 3.4: Diamond OA added. Reference made to eBooks and BPCs.
	   o 3.5: publisher agreements added
	   o 3.6-3.7: new paragraphs on rights retention added
	   o 3.8: context added and paragraph reordered
	   o 3.9: new paragraph on pre-prints added
	   o 4.1: funder requirements added and external context split into 2 paragraphs
	   o 4.4: link to University Ethics Policy included
	   o 4.8: Leeds Beckett Theses and Research Data Repository included
	   o 4.9 wording of external deposit changed to include metadata record within Symplectic

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Contents

This policy sets out Leeds Beckett University's commitment to making all the products of our research Open Access, which means that they are publicly available and accessible to all, at no cost. This includes research outputs of any kind, including research data, methods and protocols.

Open Access promotes the visibility of research, as well as enabling the reuse and reproducibility of its outputs and data, supporting a more collaborative and inclusive model of research that helps to promote transparency and trust in science.

Taking the basic principle of being "as open as possible, as closed as necessary"[1], the policy aims for research outputs, data and methods to be available to all, whilst acknowledging that there may be ethical or legal reasons why this is not always possible.

The policy draws on external documentation and policies around Open Research and Scholarly Communications including UKRI Open Access Policy, the Concordat on Open Research Data and the FAIR principles.

1   Scope
1.1   This policy applies to all staff ("researchers") within the University and postgraduate research (PGR) students ("researchers").
1.2   This policy does not apply to the management of data or records relating to the day to day running of the University.

2   Roles and Responsibilities
2.1   It is the responsibility of all staff and PGR students to adhere to this policy.
2.2   It is the responsibility of Deans and Directors of Research, or their nominated representatives, to ensure compliance with this policy.
2.3   It is the responsibility of recipients of external funding to ensure they comply with both LBU and funder policies.
2.4   It is the responsibility of LSS to audit compliance with this policy.

3   Research Outputs
3.1   Research outputs are defined in this policy as the products of research that have been published, disseminated or made publicly available. It includes, but is not limited to, journal articles, monographs, book chapters, conference papers, images, performances, films, artefacts, compositions, and software[2].
3.2   Postgraduate research theses are out of the scope of this policy and covered in a separate eThesis Policy.
3.3   This policy does not direct researchers where to publish or disseminate their work. Researchers should continue to publish in the most appropriate place for their work.

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[1] One of the H2020 principles, linked to the Accessible part of FAIR. https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-data-management/data-management_en.htm
[2] This is based on the list of research output types as used in the 2021 REF exercise, and is available from https://archive.ref.ac.uk/media/1447/ref-2019_01-guidance-on-submissions.pdf Annex K Output glossary and collection formats for REF2 and 3, pp102-113.

3.4   Open Access (OA) means that research outputs are made available online, in a digital format, at no charge to the reader and with limited restrictions on re-use. For printed academic work, the following models of OA apply:

- Green OA is when an article is published in a subscription-based journal or eBook platform and the author accepted manuscript (AAM) is available in a repository, with any required embargo period applied.
- Gold OA is when an article is published in a hybrid or OA journal or on an eBook platform, and the published version of record is immediately and permanently available at the point of publication at no charge to the reader, and with a licence that permits copying and reuse (i.e. a creative commons licence). Article Processing Charges (APCs) or Book Processing Charges (BPCs) may apply.
- Diamond OA is where an article or output is made immediately and permanently available on the publisher's platform at the point of publication at no charge to the author or the reader, and with a licence permitting copying and reuse. These are usually academic community owned and funded publishing initiatives[3].

3.5   The University encourages researchers to follow the principle 'as open as possible, as early as possible'. For printed academic publications, the University supports Green, Gold or Diamond OA. Gold OA is subject to publisher agreements and external grant or School funds being available to cover APCs or BPCs.

3.6   The University supports the practice of rights retention where researchers retain the rights to their work when published, rather than transferring intellectual property rights to the publisher. The benefits of rights retention are that outputs can be made available OA immediately through the institutional repository, thus enabling wide and immediate dissemination of research without restrictions and complying with many funder OA policies. In addition, researchers are not restricted in their choice of journal publication and the application of a creative commons licence allows the sharing and reuse of research but with copyright protection.

3.7   To retain the rights to their work in this way, researchers are required to add a rights retention statement[4] to the Author Accepted manuscript (AAM) when submitting this to a journal for publication. This statement indicates that they have applied a creative commons licence (CC BY) to the AAM which enables it to be made immediately open access from the University's institutional repository but does not prevent the journal publishing the final version. Further information on Rights Retention can be found in the University's Intellectual Property Policy.

3.8   The University's research management system, Symplectic, is used to manage research outputs and make them available within the institutional repository as follows:

3.8.1   For all journal articles and conference proceedings with an ISSN: researchers are required to deposit the AAM in Symplectic within 3 months of the date of acceptance for publication.

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[3] Diamond OA platforms include: https://open-research-europe.ec.europa.eu/about/ and https://www.octopus.ac/

[4] Example wording of the Rights Retention Statement: *"For the purpose of open access, a CC BY public copyright licence is applied to any AAM arising from this submission".*

Outputs that do not meet this requirement will not be eligible for submission to the REF, unless any of the permitted deposit, access or technical exceptions apply.

3.8.2 For all significant[5] research outputs: researchers are required to record details of the output (metadata) in Symplectic.

3.8.3 For all significant research outputs: researchers are encouraged to deposit, where copyright allows, files associated with the output in Symplectic to be made available Open Access in the repository.

3.9 The University supports the practice of making research outputs available as pre-prints where appropriate. Pre-prints are usually early versions of scholarly articles that are published online, often on a pre-print server or repository, before being peer reviewed and potentially published in a journal. Pre-prints enable research to be shared and commented on quickly, and are usually free to both publish and read, thus promoting Open Research.

4   Research Data

4.1 Research data will be managed to the highest standards throughout the research data lifecycle, and according to funder requirements.

4.2 It will take into account the definitions and principles described in the RCUK Concordat on Open Research Data (HEFCE, RCUK, Universities UK, Wellcome Trust, 2016). Briefly, research data are defined in the Concordat as 'the evidence that underpins the answer to the research question, and can be used to validate research findings regardless of its form (e.g. print, digital, or physical)'.

4.3 Responsibility for research data management through an appropriate research data management plan during any research project or programme lies primarily with Principal Investigators (PIs).

4.4 All new research projects must include research data management plans that explicitly address data capture, management, integrity, confidentiality, retention, deletion, sharing and publication, as laid out in the template. It is recommended that this is considered alongside the principles of the LBU Ethics Policy.

4.5 Research data management plans must outline how research data are available for access and re-use in compliance with FAIR principles where appropriate, under appropriate safeguards, and subject to ethical considerations.

4.6 Where possible, researchers should seek to recover the direct costs of managing research data generated by projects from the research funder.

4.7 The University will provide guidance, training and support and, where appropriate, templates for the management of research data and for research data management plans.

4.8 The University will provide mechanisms and services for storage, backup, registration, deposit and retention of research data assets in support of current and future access, during and after completion of research projects. The Leeds Beckett Theses and Research Data Repository is provided for this purpose.

4.9 The Principal Investigator should ensure that all relevant research data are offered and assessed for deposit and preservation in an appropriate University, national or international

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[5] The term significant is self-defined by the member of staff or postgraduate research student and is used to mean notable research outputs. This may be different for people at different stages of their career.

data service or domain repository, unless specified otherwise in the data management plan. Any data deposited in external repositories should also have a metadata only record added to Symplectic.

4.10 Data should not be deposited with any organisation that does not commit to its access and availability for re-use, unless this is a condition of the project funding or arising from other requirements.

4.11 Exclusive rights to reuse or publish research data should not be handed over to commercial publishers or agents without retaining the rights to make the data openly available for re-use, unless this is a condition of funding.

4.12 All relevant data and the intellectual properties rights of that data are subject to the University's [Intellectual Property policy](#).