



Repository policy for *OpenAIR @ RGU*

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1. Purpose of policy

The aim of this public document is to provide clarity to parties both internal and external to Robert Gordon University (RGU) regarding RGU's open access institutional repository, *OpenAIR@RGU* (OpenAIR). To this end, this policy defines the content that RGU will hold on OpenAIR, the general workflow by which material is added to OpenAIR, the nature of RGU's commitment to preserving material held on OpenAIR, and the conditions under which material may be withdrawn from OpenAIR.

It is recommended that this policy be reviewed annually by RGU library staff in conjunction with the office of the Vice Principal for Research (VPR), though interim review may be necessary to respond to the changing landscape of research and library systems.

2. Key terms and abbreviations

accepted version	- The version of a manuscript accepted for publication after all editing and corrections. This does not usually include any publisher formatting and branding. Also known as the "author accepted manuscript" or "post-print version."
digital object	- The digital file or files representing the content of a research output.
HEI	- Higher education institution, typically a university or college.
ISSN	- International Standard Serial Number, an identifier associated with specific serials.
Library	- Members of library staff directly involved in the administration of OpenAIR, and the associated publications@rgu.ac.uk and openair-help@rgu.ac.uk e-mail addresses.
OpenAIR	- OpenAIR@RGU, https://openair.rgu.ac.uk/
published version	- The version of a manuscript disseminated by a publisher, either online or in print. Also known as the "publisher PDF" or "version of record."
record	- The database entry on OpenAIR, typically consisting of metadata and one or more digital objects.
REF	- Research Excellence Framework, http://www.hefce.ac.uk/pubs/year/2016/201635/
Researcher	- The creator (or a single creator acting on behalf of multiple creators, even where one or more other creators have no association with RGU) responsible for the content of a research output, or a delegate acting on behalf of one or more creators. This includes all RGU staff, research students (DBA, DInfSci, DPP, DPT, EngD, MPhil, MRes, MSc by Research, PhD) and any other person whose research has been supported by RGU (for example, visiting academics who produce research outputs while associated with RGU). This does not include any RGU student on a taught programme.
research output	- The products of a research project. These may take the form of publications, physical or digital artefacts, events, research data etc.
RGU	- Robert Gordon University, http://www.rgu.ac.uk/
URL	- Uniform resource locator, also known as a web address.
VPR	- The office of the Vice Principal for Research at RGU.

3. Repository scope

3.1 OpenAIR exists to hold the research outputs of Researchers associated with RGU.

3.1.1 Research outputs subject to the Open Access requirements of the Research Excellence Framework 2021 (REF) – namely journal articles and conference papers with an International Standard Serial Number (ISSN) – will be given high priority status for processing due to timescale requirements.

3.1.2 Where a Researcher has produced research outputs at another higher education institution (HEI) prior to beginning association with RGU, these will be considered for upload to OpenAIR if they meet the criteria given in section 3.3 below, and as long as to do so would not breach existing licence and copyright agreements (with publishers, funders or the original HEI). These research outputs will be given low priority status for processing, unless also subject to the REF Open Access requirements (section 3.1.1 above).

3.1.3 RGU will allow research outputs to be held on OpenAIR in cases where the Researcher undertook the majority or entirety of the research while associated with RGU, but ceased association with RGU prior to the final production or publication of the research output. These research outputs will be given low priority status for processing.

3.2 All records on OpenAIR must be associated with a digital object, representing the research output described by the record. Two exceptions apply here, namely project websites (see section 3.3.6 below) and research data (see section 3.3.8 below).

3.3 OpenAIR will hold the types of research output listed below. Researchers are welcome to request that other types of material be held on OpenAIR, but this will be subject to the approval of the Library and the VPR.

3.3.1 Artefacts, designs and exhibitions

For physical materials, a digital copy or digitised version will be held. The responsibility for the creation of this digital object lies with the Researcher. For events and exhibitions, a portfolio will be held. For example, this may include exhibition catalogues, photographs and advertising. All records for artefacts, designs and exhibitions will have a brief description embedded in the record to accompany the digital object. It is the responsibility of the Researcher to provide the content of this description.

3.3.2 Books and book chapters

Full-text. These will be either accepted or published versions, depending on publisher restrictions. It is the responsibility of the Researcher to provide an abstract if the full text does not contain one already.

3.3.3 Conference publications

Full-text. The majority of these are expected to be individual conference papers produced by Researchers. It is the responsibility of the Researcher to provide an abstract if the full text does not contain one already. OpenAIR will also hold entire conference proceedings for conferences hosted or organised by RGU.

3.3.4 Journal articles

Peer-reviewed. Full-text. These will be either accepted or published versions, depending on publisher restrictions. It is the responsibility of the Researcher to provide an abstract if the full text does not contain one already.

3.3.5 Posters and presentations

All records for posters and presentations will have a brief summary embedded in the record to accompany the digital object. It is the responsibility of the Researcher to provide the content of this summary.

3.3.6 Project websites

OpenAIR will hold descriptive records that link to project websites hosted elsewhere, in recognition of the importance of these outputs to certain research projects but acknowledging the fact that OpenAIR is not suitable as a host for active websites due to system constraints. All records for project websites will have a brief description embedded in the record to accompany the link. It is the responsibility of the Researcher to provide the content of this description.

3.3.7 Reports

Full-text. These will be either accepted or published versions, depending on publisher- or commissioner restrictions. It is the responsibility of the Researcher to provide a summary if the full text does not contain one already.

3.3.8 Research data

OpenAIR will only hold completed sets of data. For advice on strategies for storing incomplete sets of data while undertaking a project, Researchers should contact the RGU Research Data Management Project Officer (rdm@rgu.ac.uk). OpenAIR will also hold descriptive records that link to datasets held elsewhere, to provide flexibility in meeting diverse practices in data-hosting solutions. All records for research data require a range of information specific to this type of output, the exact nature of which will be discussed with the Researcher on a case-by-case basis. It is the responsibility of the Researcher to provide any information required for the effective storage of their research data.

3.3.9 Systematic review protocols

Full-text. Reviews arising from these protocols will usually be treated as normal journal articles (see 3.3.4 above). Protocols are included as types of research data. It is the responsibility of the Researcher to provide an abstract if the full text does not contain one already.

3.3.10 Theses

Full-text. OpenAIR will hold theses produced at- and awarded by RGU as part of the following degrees: DBA, DInfSci, DPP, DPT, EngD, MPhil, MRes, MSc by Research, PhD. It is the responsibility of the Researcher to provide an abstract if the full text does not contain one already.

3.4 OpenAIR will hold digital objects in a variety of media, including text, image, video and audio. However, OpenAIR does not provide a streaming service for audio-visual media.

3.5 All research outputs held on OpenAIR must comply with the RGU policies on data protection, research ethics and research governance: <https://www3.rgu.ac.uk/about/planning-and-policy/policies/policies>.

4. Submission to repository

4.1 Researchers will send details of their research outputs and copies of the relevant digital objects to the Library, primarily via the publications@rgu.ac.uk e-mail address. Additionally, the Library may receive alerts from other sources and then initiate contact with the Researcher. It is the responsibility of the Researcher to provide any further information requested by the Library.

- 4.1.1 If a research output is subject to the REF Open Access requirements (as defined in section 3.1.1 above), it is essential that the Researcher supply the journal / series details and accepted version of the text as soon as possible after the text has been accepted for publication.
- 4.1.2 In agreeing that a research output be held on OpenAIR, the Researcher agrees that the research output is subject to a non-exclusive distribution licence agreement with RGU. The full text of the agreement is given in the appendix of this policy.
- 4.2 The Library will assess the eligibility of research outputs for inclusion into OpenAIR based on the extent to which they fit the criteria outlined in section 3 (“Repository scope”) above.
 - 4.2.1 In cases where the Library has rejected a research output for inclusion into OpenAIR on any grounds, the Researcher may refer to the VPR to request that an exception be made. The VPR may then discuss the matter with the Library and a final decision will be made known to the Researcher.
- 4.3 The Library will use the details and digital objects provided by Researchers to create records on OpenAIR.
 - 4.3.1 The Library will ensure that the metadata associated with a research output is as accurate as possible, which may require further details to be requested from the Researcher and/or retrieval of metadata from external sources (such as publisher websites).
 - 4.3.2 The Library will ensure that any licence restrictions imposed by third parties (for example publishers, funders or commissioners), or restrictions due to confidentiality are respected. This may often involve an embargo on the digital object, though the metadata will still be made publicly available throughout the embargo period, where permissible. It is possible for users of OpenAIR to request copies of items that are held under embargo. These requests will be forwarded to the Researcher, since most publishers permit individual sharing of embargoed papers between researchers.
 - 4.3.3 The Library will give priority to processing research outputs that are subject to the REF Open Access requirements. However, the Library is committed to processing all other research outputs in a timely manner, the exact speed of which may vary depending on current workload.

5. Curation of repository

5.1 Retention:

- 5.1.1 RGU commits to holding records in OpenAIR indefinitely.
- 5.1.2 Record retention may be subject to restrictions imposed by third parties (such as publishers).
- 5.1.3 Record retention may be subject to formal withdrawal procedures, outlined in section 6 (“Withdrawal from repository”) below.
- 5.1.4 As a minimum, if the research output is subject to any specific funder requirements regarding retention of records, RGU will ensure that these requirements are met. It is the responsibility of the Researcher to ensure that the Library is aware of any such requirements.
- 5.1.5 RGU will ensure that the original digital object is retained for all records, in addition to any updated formats and versions. Earlier versions of digital objects may be removed from public view, subject to the Library’s discretion.

5.2 Preservation:

- 5.2.1 For as long as a record is held in OpenAIR, RGU will try to ensure the continued discoverability, accessibility and readability of research outputs. This may be subject to factors outside of RGU's control, for example the technical administration of the server, which is hosted by an external partner.
- 5.2.2 RGU will ensure that OpenAIR is regularly backed-up to minimise any loss of data caused in the event of a server failure. Details of the external partner's backup procedure can be found at <http://www.ed.ac.uk/information-services/computing/computing-infrastructure/virtual-hosting/technical>.
- 5.2.3 In the event that OpenAIR is closed down, all records will be transferred to another appropriate archive.

5.3 Discovery, access and reusability:

- 5.3.1 For as long as a record is held in OpenAIR, the metadata will be available for indexing by Internet search engines, to improve the discoverability of research outputs.
- 5.3.2 For as long as a record is held in OpenAIR, the metadata and digital objects will be publicly available and free to access for anyone with an Internet connection, subject to any embargos as defined in section 4.3.2 above.
- 5.3.3 Unless a specific licence is required due to publisher or funder agreements, records will be made available by default under a Creative Commons Attribution Non-Commercial international licence (CC BY-NC 4.0). This allows other people to re-use material as long as they give appropriate credit and do not use it for commercial purposes. Refer to <https://creativecommons.org/licenses/by-nc/4.0/> for full details of this licence.

6. Withdrawal from repository

6.1 Defining "withdrawal":

- 6.1.1 When a record is withdrawn from OpenAIR, the metadata and any digital objects are made inaccessible to non-administrator users and the general public.
- 6.1.2 The record identifier and web address (URL) will continue to exist, and the record will still be discoverable. However, anyone who is not able to access the record will be presented with a "tombstone" citation and an explanatory message instead of the full record. This is to avoid broken links, which can have a negative impact on an institution's web presence.
- 6.1.3 Under exceptional circumstances (see section 6.2.4 below), a record may be permanently removed from OpenAIR, which completely eliminates the identifier, URL, metadata and any digital objects. This will cause anyone attempting to access the record, either via a link or directly entering the record URL, to instead receive an error or broken link message.

6.2 At any point during a record's lifetime in OpenAIR, anyone can submit a request for its withdrawal by contacting the Library via openair-help@rgu.ac.uk, specifying the record involved and the reasons for requesting that it be removed.

- 6.2.1 Acceptable reasons to request withdrawal include, but may not be limited to: the research output plagiarises another work or otherwise violates copyright; the research output breaches an

alternative legal agreement; the research output represents a risk to national security; the research output is based on falsified research.

- 6.2.2 On receiving a request for withdrawal, the Library will make an initial assessment of the acceptability of the request. If deemed reasonable, the Library will withdraw the record from OpenAIR while further investigation into the validity of the claim is made by the Library and / or the VPR.
- 6.2.3 If the investigation proves the claim to be invalid, the affected record will be restored to OpenAIR as soon as possible.
- 6.2.4 If the investigation proves the claim to be valid, the record will permanently be left withdrawn from OpenAIR. Under exceptional circumstances, for example where even storing the data represents a risk to national security, the record may be permanently deleted. RGU reserves the right to decide whether a particular record necessitates permanent deletion.

7. Data protection

7.1 Personal data handled by repository staff:

- 7.1.1 RGU retain copies of correspondence with various Researchers and third parties (e.g. publishers and conference organisers) for reference purposes. This correspondence is retained even after a Researcher has left RGU; however, all correspondence that is no longer required for reference once REF has passed will be deleted.
- 7.1.2 RGU may retain some personal data in our internal records, where it is relevant to REF compliance (e.g. a note on extended sick leave, maternity leave or other situations that may be required for exceptions to the REF Open Access requirements). This information will be deleted as soon as the REF has passed.
- 7.1.3 OpenAIR allows users to create an account for the purposes of setting-up and receiving e-mail notifications of new additions to the collections. These accounts include the names and e-mails of the users involved. This information is accessible only to system administrators and will be retained for as long as the user wishes. In the event of a user wishing to remove their account from OpenAIR, they should request this from RGU (publications@rgu.ac.uk).

Appendix – Non-exclusive distribution licence

In order for OpenAIR to reproduce, translate and distribute research outputs worldwide, Researchers agree to the following terms:

The Researcher, as creator and/or copyright holder of the research output, grants to RGU the non-exclusive right to reproduce, translate and/or distribute the research output and any abstract, summary or other description thereof worldwide, in either print- or electronic format and in any medium including (but not limited to) audio and video.

The Researcher agrees that RGU may translate the research output to any medium or format for the purpose of preservation, without changing the content of the research output.

The Researcher agrees that RGU may retain multiple copies of the research output for the purposes of security, back-up and preservation.

The Researcher confirms that the research output is their original work and that they have the right to commit to this licence agreement. The Researcher also confirms that, to the best of their knowledge, the content of their research output in no way violates the copyright of any other party. If the research output

does contain material for which the Researcher does not hold copyright, the Researcher confirms that they have received unrestricted permission from the copyright holder to subject the research output to this licence agreement. The Researcher also confirms that any such third-party owned material is clearly identified and acknowledged within the content of the research output. Any copyright violations are the sole responsibility of the Researcher.

The Researcher confirms that, if the research output is based upon work sponsored or otherwise supported by an agency or organisation other than RGU, they have fulfilled any right of review or any other obligations required by the relevant contract or agreement.

RGU will ensure that the Researcher is clearly identified as the creator and/or copyright holder of the research output, and will not make any alterations to the research output other than those allowed by the terms of this licence.

George Bray (Repository and metadata assistant librarian), on behalf of:
RGU Library. Publications team.
publications@rgu.ac.uk

Change log for versions from 1.0:

Version 1.1 – minor typographical corrections and rephrasing; update link to November 2016 revision of the REF OA policy; update name of the REF (i.e. from “post-2014” to “2021”); clarification in section 3.1.2 in light of portability for REF 2021; clarification in section 3.3.9 concerning location of protocols on OpenAIR (i.e. within research data); expansion of section 4.3.2 regarding handling of requests for embargoed materials; alteration of section 5.3.3 regarding the default licence applied to uploads (i.e. from “CC BY-NC-ND 4.0” to “CC BY-NC 4.0”).

Version 1.2 – minor rephrasing; update name of policy owner; update link to RGU policies in section 3.5; addition of section 7 on data protection.