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<th><strong>Title</strong></th>
<th><strong>Sussex Research On-Line: Institutional Repository Policies</strong></th>
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| **Type** | Policy |
| **Date** | 1 July 2011 |
| **Strategic context** | Providing visibility of and access to our research outputs. Helping preparations for and submissions to REF. |
| **Summary** | The principles of this policy relate to ensuring that the University captures information about all of its research outputs in a single location, along with the content of the output (subject to copyright). All researchers associated with the University are required to deposit such information. |
| **Risk analysis** | The institution has decided to have a repository, and to be effective in capturing information about all outputs, there needs to be suitable policy. There is a risk that researchers will not engage with the repository, but it will be promoted as the single means of providing such information, and will be only means of entering output information into individuals’ web profiles. |
| **Resource implications** | The repository project is meeting the needs of the development of the repository, and the Library now has a Repository Support Officer to support its operation. There will be a small burden on researchers to maintain their output records in the repository. |
| **Consultation** | These policies were developed by members of the Repository Project Team, in consultation with the Project Board, and using available national guidance. They have been recommended by the Research Committee for approval by Senate, and have also been noted by HR Committee and Information Services Committee. |
| **Future actions** | This policy will be communicated to the research community as part of the project to implement the repository. |
| **Effective date of introduction** | 1 August 2011 |
| **Recommendation** | Senate is asked to APPROVE the policies. |
A. Introduction

1. The University has established an on-line repository, Sussex Research On-Line (SRO), for information about its research outputs. This document provides the principles under which the repository is operated, and the requirements of researchers, departments and schools as to their interactions with it.

2. The purpose of the repository is to provide a record of the outputs of the University, plus access to the content where permitted, in order to assist with visibility and dissemination, and with institutional and sector processes such as research assessment.

3. These policies are an enhancement of those approved by Information Services Committee in May 2007. The effective date for the policies is 1 August 2011.

B. Principles

4. The repository is the sole location for institutional records of research and related outputs. It will include meta-data about each output, the content of the output (subject to copyright), and data associated with the output (where required).

5. Information in the repository about published outputs will generally be made available to the public domain, unless there are approved embargo periods.

6. All researchers (staff and postgraduate research students) associated with the University are required to ensure the deposit of meta-data for all of their peer-reviewed research and related outputs. They are also required to ensure the deposit of the content of the output, where possible and permitted by the copyright owner. The Library will provide support in checking copyright conditions.

7. The repository is able to hold information about work-in-progress and grey literature. There is no institutional requirement for researchers to deposit such information, but individual departments or schools may choose to mandate its deposit, subject to relevant quality controls.

8. The repository will be the institutional source of research output information for institutional, school, department, group, and individual (profile) web pages. It will also be the institutional source of research output information for institutional, school, department, group, and individual monitoring and management processes.

9. The corresponding author (or the lead University author if the corresponding author is not at the University) is responsible for ensuring that the output is properly recorded, and that all University authors (staff and students) are correctly linked to the output, and that the output is correctly linked to any project through which the research was funded.

10. The corresponding author is also responsible for ensuring that University authors are correctly referenced in the publication (i.e. attributed to the University of Sussex), to ensure citation statistics are correct. They are also responsible for ensuring that the funder(s) of the research is appropriately recognised.
11. The repository will hold all relevant information for a researcher, including that generated before they joined the University, if desired.

C. **Policy on Submission, Content, and Preservation**

C.1 **Submission**

12. Sussex Research On-Line (SRO) is a permanent record and on-line store of research output from the University of Sussex. It provides access to the metadata, and where possible, a copy of the output, publicly available worldwide, with an aim to maximise the visibility of, and access to, the University’s research.

13. Sussex Research On-Line is the Institutional Repository for the University of Sussex (including the Brighton and Sussex Medical School).

14. Items may only be deposited by accredited members of the University of Sussex, or their delegated agents. Authors/Depositors may record and archive only their own work.

15. Eligible depositors must deposit metadata for all their research outputs.

16. Eligible depositors are required to ensure the deposit of full texts of all their peer-reviewed publications at the earliest opportunity. Access to items will be restricted where required to comply with publishers’ embargos or contract terms. This requirement applies to material produced after the date of this policy, and is not retrospective, although researchers are able to deposit any of their previous outputs. It is recognised that the availability of full text is more likely to apply to journal outputs than to books and monographs.

17. Items should comply with relevant law, such as third party copyright and data protection.

18. SRO staff will vet items on eligibility and relevance, check and enhance metadata, and make efforts to ensure appropriate permission from the copyright holder (e.g. the publisher).

19. If the repository receives proof of copyright violation, the relevant item will be removed immediately.

C.2 **Takedown**

20. Valid reasons for the removal of items are outlined in the Preservation section below.

21. Takedown requests should be directed to SRO staff using the contact details provided on the website.

22. All takedown requests will be reviewed by SRO staff, if a valid reason is found then the item will be removed from the repository.

C.3 **Metadata**

23. Anyone may access the metadata free of charge.

24. The metadata may be re-used in any medium without prior permission for not-for-profit purposes and re-sold commercially provided the OAI Identifier and/or a link to the original metadata record are given.
C.4 Research Output Files and Data

25. Anyone may access full items free of charge where they are not embargoed.

26. Copies of full items (files, data, documents, etc.) generally can be reproduced, displayed or performed, and given to third parties in any format or medium for personal research or study, educational, or not-for-profit purposes without prior permission or charge, provided:

- the authors, title and full bibliographic details are given;
- a hyperlink and/or URL are given for the original metadata page;
- the content is not changed in any way.

27. Full items must not be sold commercially in any format or medium without formal permission of the copyright holders.

28. Some full items are individually tagged with different rights permissions and conditions.

29. Research Data which is linked to a research output can be deposited in SRO so long as: there is clear ownership by the University, data is anonymised (and complies with relevant legislation), and can be technically stored and downloaded from SRO. The University reserves the right to move research data into a separate repository at a later date.

30. This repository is not the publisher; it is merely the on-line archive.

31. Mention of the repository is appreciated but not mandatory.

C.5 Content

32. SRO will accept any material that relates to research output in any format including multimedia. Materials include:

- Journal articles
- Books, chapters, and sections
- Conference and workshop papers/posters.
- Theses
- Unpublished reports and working papers
- Datasets
- Multimedia and audio-visual materials
- Funded research project reports
- Software
- Patents
- Bibliographic references

33. Research papers may include: (a) unpublished pre-prints (not peer-reviewed) (b) final author peer-reviewed drafts (post-prints) (c) published versions.

34. Papers are individually tagged with their peer-review and publication status.

35. Principal Languages: English
C.6 Preservation

36. Items will be retained indefinitely.

37. The repository will try to ensure continued readability and accessibility.

38. The repository regularly backs up its files according to current best practice.

39. Items may not normally be removed from the repository.

40. Acceptable reasons for withdrawal include:
   - Proven copyright violation or plagiarism;
   - Legal requirements and proven violations;
   - National Security;
   - Falsified research.

41. Withdrawn items are not deleted *per se*, but are removed from public view.

42. Withdrawn items’ identifiers/URLs are retained indefinitely.

43. URLs will continue to point to ‘tombstone’ citations, to avoid broken links and to retain item histories.