

ESRC Open Access Policy

OAI address of repository:

<http://www.esrcsocietytoday.ac.uk/esrcinfocentre/oai.aspx?verb=Identify>

1. Introduction

The ESRC actively promotes open access to all of the research that it wholly or partially funds. This Open Access Policy sets out the ESRC's commitment to this principle, including related topics aimed at making the deposit of research outputs as easy and practical as possible.

For all grants awarded as a result of applications since 1 October 2006, it is mandatory at the earliest opportunity to:

- deposit a copy of any resultant articles published in journals or conference proceedings, in the ESRC Social Sciences Repository
- wherever possible, deposit the bibliographical metadata relating to such articles, including a link to the publisher's website, at or around the time of publication, in the ESRC Social Sciences Repository

The ESRC also encourages, but does not formally oblige, all grant holders to ensure deposit of articles arising from grants awarded as a result of applications before 1 October 2006.

Grant holders are also encouraged to submit copies of resultant publications and/or associated metadata with institutional and other appropriate repositories.

Open access to research outputs maximises their dissemination and resulting impact, usually leading to an increase in citations¹.

The ESRC Social Sciences Repository is a subject-based funder's repository. Where allowed by publishers' contracts, researchers are encouraged to upload full texts of all outputs (not limited to articles and conference proceedings) in addition to their bibliographical metadata.

2. Metadata Policy

'Metadata' refers to information describing deposited items in the ESRC Social Sciences Repository.

Metadata is available free of charge, and may be re-used in any medium without prior permission for not-for-profit purposes, provided the OAI Identifier or a link to the original metadata record is given.

The metadata must not be re-used in any medium for commercial purposes without prior formal permission.

3. Data Policy

Access to all files deposited within the ESRC Social Sciences repository is free of charge.

Where full items are available, single copies can be reproduced, displayed or performed in any format or medium for personal research or study, educational, or not-for-profit purposes without prior permission or charge.

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

¹ In their academics' guide to open access

(<http://www.lboro.ac.uk/departments/dis/disresearch/poc/pages/academicguide-summary.html> - accessed 2008-09-30), JISC and SURF (a foundation in the Netherlands) claim an increase of 50-250% in citations.

4. Content Policy

The ESRC Social Sciences Repository allows the deposition of over 40 different types of research outputs, ranging from journal articles to audio-visual objects. The available content types include (but are not limited to):

- Journal articles
- Bibliographic references
- Conference and workshop papers
- Unpublished reports and working papers
- Books, chapters and sections
- Datasets
- Learning objects
- Multimedia and audio-visual materials

Deposited items may include:

- working drafts
- submitted versions (as sent to journals for peer-review)
- accepted versions (author's final peer-reviewed drafts)
- published versions (publisher-created files)

Items are individually tagged with their version type and date. The ESRC Social Sciences Repository displays both the date the deposited item was published in the repository, and the publication date as defined by the author/depositor.

The principal language of submitted items is English.

5. Submission Policy

Researchers funded by the ESRC must deposit all outputs from any of their research funded by the ESRC, in the ESRC Social Sciences Repository, except where this is restricted by publisher policy on licensing and/or copyright.

ESRC grant holders are also encouraged to deposit outputs and/or metadata associated with them, in open access repositories of other appropriate institutions.

Eligible depositors must include complete bibliographic references and full texts of all their publications, although in the case of the latter, it is the depositor's responsibility to ensure that items are not deposited during an embargo period, so that the terms of the embargo are not breached. Wherever possible, full texts should be deposited in PDF format.

Which version of the article should be deposited, depends upon publishers' agreements with their authors. Authors should respect the copyright/licensing policies limiting use; however, ESRC will work with publishers to establish arrangements, and not require authors to negotiate these themselves.

The ESRC Society Today Support team vet all deposited items for the exclusion of spam, verification of citations and the correct submission of bibliographical information related to the item. Once this process is complete, the deposited item is catalogued within the ESRC Social Sciences Repository according to the AACR2 standard.

Any copyright violations are entirely the responsibility of the authors/depositors. If the ESRC Social Sciences Repository receives proof of copyright violation, the relevant item will be removed immediately.

6. Copyright policy

Publishers' policies on copyright and licensing must be respected by authors/depositors. These may include, but are not restricted to, embargo periods or restrictions on deposited content for non-commercial purposes.

To identify which version of a document should be deposited with the repository, the author should refer to the copyright agreement which they have made with the publisher.

The copyright of a preprint which has not yet been peer-reviewed, resides completely with the author, and can therefore be self-archived. The copyright of a post-print which has been peer-reviewed, depends on the wording of the copyright agreement which the author has signed with the publisher.

Many publishers' policies allow the peer-reviewed post-print to be archived, so the author should check with the copyright agreement or directly with the publisher. If possible and/or necessary, the author should amend their copyright agreement with the publisher so that self-archiving is not prohibited; however, this is not required by the ESRC.

The ESRC's guidance on copyright assumes that publishers will maintain the spirit of their current policies.

6.1. "Author-pays" publishing

The ESRC affirms the right of authors to choose where they wish to place their research for publication. It is for an author's institution to decide whether the institution wishes to pay any page charges or other costs incurred for publishing during the period of the ESRC grant, using funds from full economic costs or other income.

7. Preservation Policy

The ESRC will ensure that all outputs are accessible and readable for a minimum of 15 years after deposition.

All text-based deposited items are converted into PDF format for archival purposes, before uploading to the ESRC Social Sciences Repository.

All other filetypes are stored in their original format within the ESRC Social Sciences Repository.

ESRC Society Today regularly backs up its files, including the ESRC Social Sciences Repository, according to current best practice.

Items may be removed from the ESRC Social Sciences Repository on an exceptional basis. Acceptable reasons for withdrawal include:

- Proven copyright violation or plagiarism
- Legal requirements and proven violations
- Falsified research

Withdrawn items are not deleted *per se*, but are removed from public view and their identifiers/URLs are retained indefinitely. URLs will continue to point to 'tombstone' citations, to avoid broken links and to retain item histories.

Changes to deposited items are only permitted if an updated version is deposited.

In the event of the ESRC Social Sciences Repository being closed down, the ESRC will take all reasonable measures to ensure that the database is transferred to another appropriate archive.