1. PURPOSE

The Lincoln University Research Output Mandate establishes the default position of depositing all research outputs via the research management system Symplectic Elements, into the Lincoln University Research Archive.

A mandate will strengthen the process of implementing the new research management system, Symplectic Elements reducing the risk of research outputs not being available for assessment in the 2018 PBRF round. It will also assist with validating outputs by making them and their ratings more readily available for PBRF, and selected content for reference lists, web pages, management reporting, Professional Development and Appraisal.

It reduces the loss of Lincoln University Intellectual Property which dissipates over time when researchers or authors change their focus to new endeavours, resign or retire. It allows for the collection of selected peer esteem to support the related research outputs and encourages emerging researchers to optimise the value of outputs as they are produced. A mandate supports the Lincoln University policy on open access which was adopted in July 2013.

It was proposed that the deposit of outputs would be voluntary during 2014 to acknowledge the Symplectic Elements implementation phase, and become mandatory from 1 January 2015 to ensure validation of outputs is complete by the end of 2017 for the 2018 PBRF.

The Research Output Mandate policy has been produced in response to a request by the ELT Research and Commercialisation Committee meeting of 2 December 2013.

2. DEFINITIONS

Mandate  Mandate does not mean compulsory but is a publishing industry term which recognises researchers are expected to submit appropriate versions of their outputs into an institutional repository

Open access  Free, permanent online access for anyone, world-wide.

Metadata  Information about the output, usually name of the author, title, subject, keywords, date, and other bibliographic information
3. POLICY CONTENT AND GUIDELINES

3.1. Scope of the Mandate

The Lincoln University Research Output Mandate should include all publicly available research and scholarly output of the staff of Lincoln University and its subsidiaries. The outputs will be provided in a digital format where available.

The following outputs are to be included:

- Journal articles
- Research monographs and book chapters.
- Research reports, discussion papers, working papers
- Conference papers, poster presentations
- Chapters or papers in proceedings
- Audio and video presentations associated with research
- Hui and oral presentations

The full text of all deposited material should be made available via the Lincoln University Research Archive unless an embargo is applied for commercial or legal reasons, or there is any contravention of IP rights, copyright, or there is another compelling reason not to do so.
The *default* setting for all outputs deposited via Elements into the Research Archive workflow is *closed access*. This is due to the complexity of establishing which version, if any, can be made publically available. If an output is delivered that is already publically available, and this version complies with open standards, it will also be made available openly.

All drafts are excluded from the mandate and the Research Archive. An output must progress to preprint or a later format to be included.

Metadata will be added to all material deposited in the Research Archive via Elements to facilitate identification and searching. Metadata will be made available for harvesting by national and international search engines, e.g. nzresearch.org.nz, Digital New Zealand and Google Scholar.

### 3.2. ORCiD

ORCiD is being introduced with the Elements implementation for better identification and visibility of Lincoln researchers, future integration with new systems that measure research impact, and to ease the creation and maintenance of research portfolios.

### 3.3. Responsibility

Lincoln Research and Innovation (LRI) are responsible for the management of Elements, with support from ITS, while Library, Teaching and Learning are responsible for managing the content of the Research Archive, including the software and information architecture. LTL currently manages secure storage via an external vendor, Datacom.

### 3.4. Deposit

Deposit of material in the Research Archive will be the responsibility of the authors, as advised and supported by the Lincoln Research and Innovation and Library, Teaching and Learning using metadata and content delivered via the research management system, Elements.

### 3.5. Copyright

All material deposited in the Research Archive is subject to New Zealand copyright law. It is not required that the copyright in any material be assigned to the Research Archive; it remains with the copyright owner making it compatible with publishers’ copyright agreements as follows:

- Copyright for un-refereed preprints or their equivalent resides entirely with the author before it is submitted for peer-reviewed publication.
- Copyright for the peer-reviewed post print will depend on the wording of the copyright agreement the author has signed with the publisher.
- An author may choose to licence their outputs using the Creative Commons system, if the output isn’t already licenced to a publisher.

### 3.6. PBRF

Researchers are responsible for maintaining their research and evidence portfolios in Elements or assigning tasks to their authorised delegate. Lincoln Research and Innovation and Library, Teaching and Learning will work together to provide access to relevant outputs for assessment during the PBRF.
Some outputs deposited via Elements into the Research Archive will remain permanently in a closed digital collection due to copyright and publisher restrictions. They may be made available to the PBRF Panel for assessment, but only with the explicit direction and consent of the author.

4. LINKS WITH OTHER POLICIES, SUBSIDIARY RESOURCES AND REFERENCES

- Policy on Intellectual Property
- Policy on Distribution of Revenue from Commercialisation of Intellectual Property
- Human Ethics Committee
- Animal Ethics Committee: Code of Conduct for the Use of Animals
- Research Archive Policy
- Policy on Research
- Records Management Policy
- Open Access Policy
- Draft Research Data Management Policy (still in progress)

5. RESPONSIBILITY AND APPROVAL

The Vice-Chancellor is authorised to approve this policy through the Research & Commercial Sub-Committee of SMG.

The Deputy Vice-Chancellor, Scholarship and Research has overall responsibility for this policy. Enquiries about this policy may be made to the University Librarian.