

Spiral

Imperial Institutional Repository

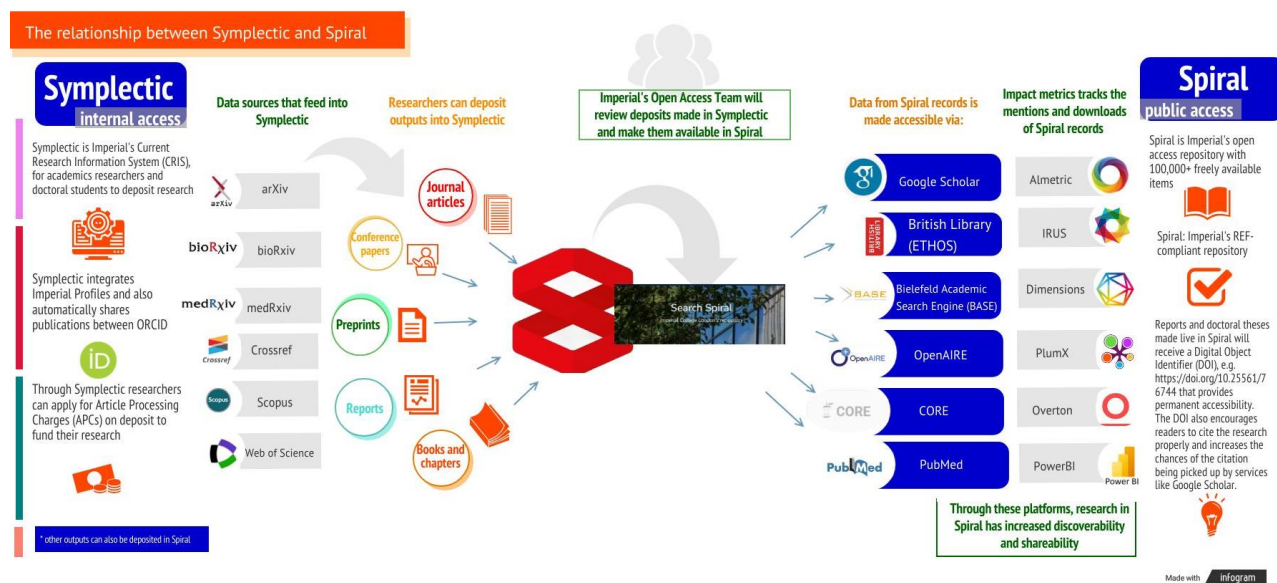
policy

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Introduction

Spiral, Imperial College London's institutional repository, is run on an open-source software, DSpace (version 7.8) and provides access to Imperial's research outputs. Most of the content is full-text and freely accessible to the public via the internet, except for master dissertations and some doctoral theses which are restricted to Imperial staff and students; and datasets and software metadata only records. All staff and doctoral students can deposit outputs for which they have authorship and sharing rights using [Symplectic Elements](#) which is Imperial's Current Research Information System (CRIS).

Spiral uses the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH) which facilitates indexing by [Google Scholar](#) and open access content aggregators such as [CORE](#), [Bielefeld Academic Search Engine](#) (BASE), [OpenAIRE](#), the British Library's [ETHOS](#) service and many others.



Open Access policy

Imperial is committed to disseminating its research and scholarship as widely as possible. In line with this it supports the principle that 'the results of research that have been publicly funded should be freely accessible in the public domain' and therefore it encourages all its academic and research staff and students to make their research available through open access (OA). To reflect its commitment to open access, Imperial has updated its [Open Access policy](#) to allow researchers to make the peer-reviewed author accepted manuscript (AAM) from journal articles and conference proceedings available on an OA basis without post-publication embargoes. The new [Research Publications Open Access Policy \(RPOAP\)](#) which came into effect from the 1 January 2024, enables those outputs to meet funder obligations and to be eligible for the next Research Excellence Framework (REF) exercise.

Imperial's research data management policy

Imperial is also committed to the management of research data to promote research integrity, transparency and open science in line with the FAIR data principles. Imperial provides a robust digital curation infrastructure that supports open data access and protects confidential data. Imperial acknowledges legal, ethical and commercial constraints on data sharing and the need to preserve the academic entitlement to publication. Please see full details of the [Research Data Management policy](#) and further policy guidance can be found on the [Research data management webpages](#)

Spiral Licences

Use licence

All research outputs are protected by copyright unless stated otherwise. The Spiral record will display the relevant copyright statement and licence (where applicable). For example, research outputs funded by UKRI and Wellcome Trust and other funding organisations will normally apply a CC-BY licence to the Version of Record (VoR). Alternative creative commons licences, such as a CC-BY-NC and CC-BY-ND, may also be applied to their outputs.

Spiral has a default [Use licence](#), for all other outputs, where a licence or copyright statement is not applied to the output.

Deposit licence

All authors (or their delegates) depositing their research outputs to Spiral must agree to the [Deposit licence](#)

Thesis deposit and Use licence

All Doctoral students depositing their thesis in Spiral must agree to the thesis deposit and use licence. See full details of the [Thesis deposit and Use licence](#). Doctoral students have the option to choose from six [Creative Commons licences](#)

Spiral Metadata

The metadata standard used in Spiral is [Dublin Core](#), and is compliant with [RIOXX: The Research Outputs Metadata Schema v. 2](#). The metadata in Spiral (except for abstracts) is open access under a [CC0 licence](#) in line with the [FAIR principles](#).

Depositing in Spiral

The repository contains research outputs that are deposited by Imperial staff and students only. The following output types can be deposited in Spiral:

- Journal article (including any subtypes such as review, letters etc)
- Conference proceeding (including abstracts and posters)
- Book/ monograph/ series
- Chapter
- Dataset (metadata record only)
- Patent
- Report

- Software / Code (metadata record only)
- Thesis / dissertation
- Working paper

Imperial expects all staff and students depositing their research outputs in the repository to respect prior agreements with publishers and only deposit outputs where permission is granted. However, for academic and research staff and students depositing their peer-reviewed articles and conference proceedings that are within the scope of [RPOAP](#) will no longer need to abide by publisher policies where the publisher has been notified by Imperial. Help and guidance on depositing to Spiral can be found on the [Scholarly Communication webpages](#)

Rights Retention Strategy statement

UKRI and Wellcome Trust funded authors are no longer required to add the Rights Assertion Statement or Rights Retention statement on submitted manuscripts for publications that are within RPOAP, where a publisher has been notified. They will only need to do so if their publisher **is not** on the [notified list of publishers](#). For further guidance please see [RPOAP webpages](#)

Deposit workflow

All research outputs submitted to Spiral are checked by the Open Access team to ensure that they are compliantly deposited and the record meet metadata standards. Further details are provided in the RPOAP workflow and [Journal Deposit Workflow Chart](#). Doctoral theses submitted to Spiral are initially checked by the Assessment Records team and where applicable, the embargo is applied to the relevant record. Final metadata checks are made by the Open Access team. See the complete [E-Thesis workflow](#). Master dissertations are deposited in Spiral at the discretion of the department and are restricted to Imperial staff and students only. See further guidance to [Depositing Master's dissertation to Spiral](#).

Spiral also serves as Imperial's data catalogue for datasets and software that are held in external repository platforms. The Research Data Management (RDM) team maintain the catalogue using information provided to them. Researchers can use Symplectic Elements to create a metadata record for externally hosted datasets or software or, alternatively, on receiving the DOI (Digital Object Identifier) of the dataset or software a member of the RDM team will create a metadata record for the item and provide a link to the external repository source. As much metadata information is included as possible and at a minimum the title, DOI, related publication, funder information, and key words are checked. These metadata records in Spiral are open and publicly available, the datasets or software may be subject to embargo.

Responsibility of Spiral Administrators:

- To ensure the accuracy and quality of all metadata records (including updating records within a reasonable time after the first online publication)
- To check that all outputs are compliant with publisher policies
- Apply the appropriate embargo period to the Spiral record

Responsibility of Depositor:

Researchers and academic staff (or nominated delegate):

- To upload the correct version in accordance with the publisher's posting policy
- To ensure all Imperial co-authors are added to the Symplectic Element's metadata record to avoid duplication
- To avoid uploading raw data to Spiral

Responsibility of Doctoral students:

- To upload your thesis in a PDF/A format
- To ensure the creative commons licence selected in Spiral matches the creative commons licence in thesis
- To ensure that evidence of permission is included if attaching any published publications to appendix

- To avoid uploading raw data to Spiral

Embargo Implementation

Author accepted manuscripts that are submitted to Spiral prior to publication are applied an indefinite embargo until first online publication or publication date. The open access team will apply any required embargo restriction to post-publication outputs during the metadata and copyright checking process. Embargoed outputs that are live in Spiral can be requested at the discretion of the author using the 'Request a Copy' function.

Retraction and Corrections

It is the author's responsibility to request the removal of a record if an output has been retracted. Authors can request for a Spiral record to be withdrawn due to a retraction by using our [Rapid Takedown policy](#) request. Publisher corrections are automatically harvested into Symplectic Elements and can be submitted to Spiral at the author's discretion. Authors can also email the Open Access team if they require any corrections to be made on a Spiral record.

Withdrawals and Rapid Takedown policy

Outputs can be withdrawn temporarily or permanently from the live repository either by the request of the author or by the Open Access team. Withdrawn items continue to have a tombstone record (landing page with minimal bib detail of the withdrawn item) but no access to the withdrawn file. The repository has a rapid takedown policy for any request to remove an output. As the copyright owner, you can request a removal of your work that has been deposited without your permission. Please see our [Rapid Takedown policy](#) for more details. Or contact the Open access team openaccess@imperial.ac.uk

Preservation policy

The preservation of Imperial's digital content within Spiral is to protect, sustain, and preserve the valuable digital resources of research outputs and theses and dissertations, that they can be accessible, reusable, and searchable in the future.

Thesis preservation:

All doctoral theses are formatted to PDF/A for the purpose of longevity and preservation to allow future access to file. All theses and dissertations are archived to Archivematica preservation system.

Data preservation:

All data supporting published research conclusions at Imperial must be preserved for at least 10 years from the end of the project that produced it - some data may need to be kept for longer, depending on relevant laws or funder policies. More information about data preservation can be found on the [Research Data Management webpages](#)