

EDINBURGH NAPIER UNIVERSITY OPEN ACCESS POLICY

Rationale

To be eligible for future research assessment exercises, higher education institutions (HEIs) are now required to implement processes and procedures to comply with the REF Open Access policy, which may include using a combination of 'Green' and 'Gold'¹ routes to open access. Edinburgh Napier University (ENU) will comply with the REF Open Access policy.²

Scope of this Policy

This policy sets out the requirement for those journal articles and conference proceedings with an International Standard Serial Number (ISSN), accepted for publication after 1 April 2016, to be made open access to be eligible for submission to the post-2014 Research Excellence Framework (REF2021).

What this policy does not cover

This policy does not apply to monographs and other long-form publications, or to non-text outputs, or to the data which underpin some research. Further, this policy does not apply to those particular output types that are delivered confidentially for security or commercial reasons.

Aim of the Policy

To ensure all Edinburgh Napier research outputs are open access and fully compliant with the REF Open Access policy and eligible for REF2021.

Edinburgh Napier University's Open Access Policy

ENU is to be a Green route university. It is expected that the majority of articles published will be published Green route after 1 April 2016.

Where Gold route is used, responsibility for funding the Article Processing Charge (APC) - if applicable - will fall locally. Schools are required to facilitate the sourcing and distribution of APC funding, ensuring consistency, transparency and equal opportunity. Gold open access articles must be published with an irrevocable open license such as a Creative Commons license.

ENU expects researchers to deposit in the University research management system, subject to any publishers' restrictions, all forms of research output. Only outputs recorded in the University Research Management system will be considered for promotion and progression within the University or for the Research

¹ The two principal routes to open access publishing are known as Green and Gold. Under the Green route authors typically publish in a journal and also self-deposit a version of that same article via subject-specific repositories or their institutional repository. Most publishers impose an embargo between publication and Green open access through a repository. Under the Gold route authors publish in a journal that makes the article open access immediately upon publication. The fee sometimes required for Gold open access publication is referred to as an Article Processing Charge (APC).

² <https://re.ukri.org/research/open-access-research/>

Excellence Framework exercise. This includes articles published before 1 April 2016. See Paragraph 107 of the REF policy document.³

Monitoring and Reviewing the Policy

This policy will be monitored closely by Information Services as more information and decisions are made at sector level. It will be reviewed in Academic Year 2020/2021. The review will take place after the REF2021 submission by the Research and Innovation Committee (RIC).

Training and Communication of the Policy

The ENU Open Access policy will be robustly communicated and a staff development and training programme will be rolled out by the Head of Information Services and the University Leader of Researcher Development.

Further information

Any enquiries regarding this policy should be directed to research@napier.ac.uk

Open Access Policy
Edinburgh Napier University
March 2015
Amended September 2019

³ https://www.ref.ac.uk/media/1092/ref-2019_01-guidance-on-submissions.pdf

Implementation Procedure

This implementation procedure document is written to guide various stakeholders on how to comply with the ENU OA policy and **ensure eligibility for REF2021**.

Academics

- Determine which route (Green or Gold) that the funder requires. If Gold is required and the funder covers the cost then publish Gold. If Gold is required and no funding is provided, agree with Dean of School or nominee the funding availability for publications. Otherwise, publish Green.
- For Green publications, ensure that any embargo periods are compliant with REF requirements (12 months Panels A and B and 24 months Panels C and D).
- For all publications, send publisher's acceptance email/letter to Repository@napier.ac.uk or input directly to the University Research Management System.
- Deposit the final, refereed, corrected, accepted drafts (post-prints⁴) of all peer-reviewed journal articles and peer-reviewed conference articles in the **University's research repository** in addition to any subject repository **immediately upon acceptance**
- Research Council grant holders should check the RCUK policy for more specific details on embargoes etc. <http://www.rcuk.ac.uk/research/openaccess/policy/>
- In accordance with HEFCE's recommendations, ENU expects researchers to deposit, where possible and subject to any publishers' restrictions, all forms of research output in order to gain additional credit. This includes articles published before 1 April 2016. See Paragraph 15 of the HEFCE policy document⁵. Examples of these outputs are listed below:
 - conference papers and workshop papers
 - books, book chapters, monographs, reports and working papers
 - representations of creative works
 - back catalogue of outputs

Deans of Schools

Deans of Schools will use outputs in the University research management system for:

- internal review of research performance (annual mini REF/audit) and to inform staff appraisals and promotions within the University
- modelling profiles and submitting information for external review e.g. REF2021; internal funding distribution

Deans of Schools will facilitate the sourcing and distribution of the funding for publishing using the Gold route, where the funder does not specifically provide this. It is recommended that decisions regarding funding should be measured against a set of agreed University-wide **criteria**, in part to avoid any perceived unfairness.

Criteria (suggested)

- Does the funder require Gold?
- Will this enhance ECR career development?

⁴ Post prints are final peer reviewed article immediately prior to final submission to publisher.

⁵ http://www.hefce.ac.uk/media/hefce/content/pubs/2014/201407/HEFCE2014_07.pdf

- Will peer review take place prior to committing to Gold?
- Will withholding the possibility of Gold affect the researcher's freedom to publish in an outlet of their choice?

Approving Committee (RIC)

RIC will be asked to approve this policy at its meeting in May 2015 and review the policy in academic year 2020/2021 after the REF submission date.

RIO

RIO will provide advice regarding funding body open access requirements and in regard to funding support for publications, REF requirements for Open Access and support for the University Research Management System.

School Administration

Schools will be expected to ensure accurate records of all outputs published are recorded in the University Research Management System including the data listed below. This data will be used for all Open Access compliance monitoring.

- Funder
- Author
- Journal Title
- Publisher
- ISSN
- Date of Publication
- Proof of Date of Acceptance by the publisher
- Green/Gold
- APC charge
- Article Title

Information Services

Information Services will:

- Check (or where appropriate upload) publishers' acceptance letters/emails are uploaded to the University Research Management System
- Check the quality of recording of outputs that have been uploaded to the University repository
- Train academic staff in the use of the repository and open access process

