Glasgow Caledonian University - Policy on open access to research

1. INTRODUCTION

The University is strongly committed to the principle that the outcomes arising from its publicly funded research are a public good that should be made as widely available as possible.

It is a mandatory requirement that University staff deposit bibliographic information for all research outputs in the PURE Research Information System and Repository so that a comprehensive institutional record of research activity is maintained.

The University shall adopt the "green" model of free open access as a matter of standard practice to satisfy conditions of grant from research funding bodies.

A Frequently Asked Questions (FAQ) document providing more details about open access is available on the library website at
http://www.gcu.ac.uk/library/servicesforstaff/openaccessatgcu/openaccessfaqs/ .

2 OPEN ACCESS TO RESEARCH

2.1 Policy on Open Access

Research active staff shall be responsible for ensuring that all of their research outputs are made freely available wherever possible and will thereby fully comply with the publishing requirements of their research funders.

2.1.1 Journal Articles and Conference Papers

There are specific external requirements relating to ensuring open access to research journal article and conference papers.

Open access for these types of research outputs may be achieved by:

- Publishing in a free or "green" open access journal where no article processing charges are levied
- Publishing in a subscription journal which permits authors to deposit archival copies of either their final manuscript or the publisher's final version in a local or subject repository thus enabling the research to be made available to all within a designated period of time
- Exceptionally, by publishing within a "gold" open access or hybrid subscription journal where the author pays an article processing charge to ensure that the article is freely and immediately available to all (funding for any article processing charge must be secured in advance of selecting this publication option)
- More information on funding is available on the library website at
  http://www.gcu.ac.uk/library/servicesforstaff/openaccessatgcu/guidanceonopenaccessrequirementsforref2021/openaccessfunding/

Where there is a declared intention to publish in a gold open access journal (for example as part of a collaboration with another HEI), staff should seek to recover article processing charges by including these costs in the initial application to research project funding bodies.

2.1.2 Books, Book Chapters, Monographs, Reports and Working Papers

There is currently no external requirement to make available other forms of output in full text (such as books, book chapters, monographs, reports and working papers) except in cases where this is with the permission of the publishers. However, the bibliographic information relating to these research outputs should be made available to the public.

2.1.3 Research data sets

Certain research funders (such as Research Councils UK or RCUK) require that the research data that underpin the research outputs produced should also be accessible to the public. This may be achieved by providing details of what research data exists, how it may be accessed, and any restrictions that are placed on its availability (for example ethical, confidential restrictions on access). Statements to this effect should be made in the relevant research publications The GCU PURE system supports recording of research datasets and the conditions under which these can be made available to the public. Such information can be displayed in the PURE Portal Research Online@GCU repository.

2.2 Policy on Deposit of Research Outputs

The University requires that post-prints of all journal and conference articles are deposited in PURE and made open access to maximise the visibility and impact of primary research.

Research staff are required to deposit:

- the bibliographic metadata of all forms on published output in the GCU PURE Research Information System and repository.
- the final refereed corrected accepted drafts (post-prints) of all peer reviewed journal articles and peer reviewed conference articles (in line with new REF requirement).
- subject to any publisher restrictions, the following forms of research outputs:
    a. Post-publication updates and corrections
    b. Books, book chapters, monographs, reports and working papers
    c. Research data sets or metadata indicating any restrictions on OA availability

As part of the PURE output deposit validation workflow, library staff will check the UK SHERPA Romeo database to determine whether publisher copyright permissions are available to allow the output to be displayed in full text in the repository immediately or after a defined embargo period. Only outputs that have been validated via this process will be displayed in full text in the repository.

2.3 Compliance with external requirements on Open Access to research

It is a requirement to make the post-prints of journal and conference articles open access where this is permitted by the publisher. In all cases PURE research information system administrators and repository staff will work with authors and depositors to ensure that the specific requirements of publishers (including copyright) research funding bodies, and the Research Excellence Framework (REF) are met.

It should be noted in this context that the four UK Funding Councils have announced their policy in relation to Open Access in the next REF. All publications eligible to be submitted to this REF exercise must be fully open access compliant, if accepted for publication after 1 April 2016. All outputs must fully meet access requirements within one month of publication.

The position on REF Open Access compliance going forward will be monitored by the University's REF Management Group.

2.4 Publication embargo periods

Some publishers may require an embargo period to be imposed before an output can be made available for open access. If an embargo period is needed then the output can be stored in the PURE information system with associated embargo information added by repository staff and set for public release on the appropriate date.

The next Research Excellence Framework will allow "closed deposits" to respect publication embargo periods which may last between 12 and 24 months after publication depending on the REF panel concerned.

2.5 ORCID (Open Researcher and Contributor ID)

ORCID is a not-for-profit independent organisation that is dedicated to the development of an open and independent registry intended to be the de facto standard for author identification academic publishing.

This system unambiguously links authors to their complete correct and current scholarly output and provides a means for verifiable data exchange and interoperability with research systems inside and outside institutions.

All University staff engaged in publishing research are encouraged to register with ORCID to obtain a unique personal open access ID. Further details are available in the attached FAQ.

2.6 Use of research outputs for research assessment

The deposited records and outputs may be used for:

- Internal review of individual research performance
- Evaluation of the implementation of research strategy
- Providing an annual report on the wider benefits of making University research available to the public via the PURE Portal Research Online@GCU repository.
- Modelling profiles and submitting information for external review in the Research Excellence Framework

Any additional contextual information stored in relation to research assessment will be subject to appropriate levels of restricted access.

The University Research Committee will carry out periodic research assessments on the basis that all research materials have been deposited in the GCU PURE Research Information System and Repository in compliance with this policy.

2.7 Exemptions

In some cases the publication of research outputs as open access may not be possible due to the policies of an individual publisher and/or journal (due to copyright issues, see section 2.2), or due to the nature of the research output itself (for example reasons of confidentiality or ethics). In such circumstances the research output must still be recorded within the internal PURE Research Information System but a visibility flag set on the record by the author to indicate it that it should not be made available externally for open access purposes.

2.8 Open Access Transition period

It is widely recognised that the academic publishing world is currently undergoing substantial change but that the move away from a library subscription to an entirely open access model (whether "free" or "author pays") will take some years to complete. Many journals and publishers will still operate on a subscription model. It is also possible that the introduction of open access policy in the sector will lead to a change in academic publishing behaviour. Consequently it will be necessary to keep this policy under review.

3. OPEN ACCESS POLICY GOVERNANCE

Implementation of this open access policy is the responsibility of all research active staff and their line management. The Open Access to Research Policy will be maintained and progress monitored by the University Research Committee on behalf of Senate which is responsible for its formal approval.

APPENDIX 1

Open Access to Research: Frequently Asked Questions (provided on the library web site at http://www.gcu.ac.uk/library/servicesforstaff/openaccessatgcu/openaccessfaqs/)