

## Version control

Ver	Date	Changes	Name	Author
1.0	Jan 2022	First version – (circulated to DoR and other relevant parties)		
1.1	7 March 2022	Second version to incorporate comments and updated with new UKRI related		
1.2	16 March 2022	Third version – incorporate comments from IS and Planning		

## Introduction

Heriot-Watt University recognises the open and wide publication of research outputs and outcomes is an essential part of the research process. It plays a crucial role in the dissemination of knowledge and in the promotion of individual researchers and the institution.

An important development has been the increased drive towards Open Access publication as part of a wider Open Research agenda. Plan S is an initiative for open access publishing, created by a coalition of international research funding organisations, which aims to accelerate the transition to full open access. Plan S requires that, from 2021, scientific publications that result from research funded by public grants must be published in compliant Open Access journals or platforms. UKRI and other major research funders such as Wellcome and the EU are Plan S signatories.

The increased emphasis within the UK higher education sector on public accountability and impact assessment has made it critical that the University manages information about, and access to, research outputs and outcomes.

## Purpose

The Research Publication Policy will assist in raising the profile of Heriot-Watt University's research, and in calculating bibliographic measures such as citation counts. The University risks losing research funding if it fails to meet funders' expectations. The following policy outlines the University's expectations. It underpins the University's commitment to Open Research and promotes the use of Pure in gathering information about research outputs and outcomes, both for internal management and external research assessment. It takes effect from April 2022.

## Objectives

1. Researchers should choose the most appropriate place to publish their research output and are encouraged to ensure the quality and impact of their output when selecting where to publish. It is the responsibility of the researcher to comply with funders' open access policies and to meet any other contractual requirements. Sanctions could be applied by the funder if the paper does not meet their open access requirements.
2. All research publications/outputs must be recorded in the Pure current research information system.
3. Researchers must deposit in Pure the author's accepted manuscript (AAM) or Version of Record (VoR), as appropriate, of journal articles or conference proceedings with an ISSN prior to, or immediately on, online publication and within 3 months of the acceptance date.
4. Researchers are encouraged to deposit in Pure, where copyright allows, the full-text of all published research outputs. This includes monographs, edited chapters, working papers, conference papers and preprints.
5. The University supports both green and gold open access publishing with a preference for green publishing i.e. the deposit of the author accepted manuscript (AAM) or version of record (VoR) in Pure with no embargo period and a CC-BY, or equivalent, licence. If this is not granted in the author's contract with the publisher, researchers should seek at submission to retain copyright and other reuse rights for research outputs.

Researchers should be aware that retaining copyright on UKRI-funded publications is stipulated as a condition of grant by UKRI. UKRI give an example of wording to be used when submitting a paper to a journal which is not compliant with the UKRI Open Access Policy's requirements on copyright and re-use licences. Where there is conflict between a publisher's open access policy and that of the University or funder, please contact [open.access@hw.ac.uk](mailto:open.access@hw.ac.uk) before submission.

6. Where green open access is not available, the University will pay open access fees for UKRI-funded research papers and conference proceedings published in UKRI-compliant Gold Open Access journals or open access publishing platforms, subject to the availability of funds.

In addition, the University has signed Transitional Open Access Agreements with a number of publishers to make all Heriot-Watt University-affiliated corresponding authors' paper published in the included journals open access on publication.

Researchers should consult the relevant guidance on the Information Services Research Support SharePoint for more information on Transitional Agreements and on complying with UKRI and other funders' open access policies and requirements.

7. Researchers must obtain clearance for the rights that any third parties may hold in a research output before it is deposited in Pure.

8. Researchers should deposit any supporting files that relate to research outputs with the paper. For data sets please refer to refer to the Research Data Management Policy.
9. Where stipulated by the Funder, an appropriate version of the research paper must be deposited in Pure and in the specified third-party repository – for example PubMed or NERC repository.
10. All publications submitted to a publisher must include Heriot-Watt University as the author affiliation and use the Heriot-Watt University standard address convention (see Appendix 1). Other institutions can be recognised where the author holds an Honorary position or has been on a secondment or sabbatical during the period of research.
11. Publications must include a funder statement (see Appendix 2).
12. Research articles must include a Data Access statement, even where there are no data associated with the article or the data are inaccessible. Please refer to the Research Data Management Policy for further details.
13. Researcher are required to sign up for an ORCID ID<sup>1</sup> and use this in grant applications and manuscript submissions. This can be done via Pure or directly via ORCID. ORCID IDs must be added to Pure profiles.
14. Other research outcomes should be added to Pure at the earliest opportunity. In this instance Impact, Activities (such as conference attendance) and Media representation should be considered as an outcome.

## **Scope**

This policy applies to all research outputs and outcomes created by employees of Heriot-Watt University on a research contract or where publication of research is an expectation of their employment. It is highly recommended that Emeritus and Honorary Members of staff follow this Policy.

## **Lines of Responsibilities**

The Deputy Principal (Research and Innovation) is responsible for overseeing institutional compliance with this Policy.

Information Services provides supporting data and management information, guidance and advice in support of the Policy.

Planning Directorate - monitoring.

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<sup>1</sup> <https://www.hw.ac.uk/uk/services/is/research-support.htm>

## **Monitoring and Evaluation**

The policy will be reviewed after one year to ensure compliance with current legislation, codes of practice and regulatory standards, to take account of infrastructure developments and the needs of the research community.

Compliance with an Open Access Policy is also a condition of grant by Funders. The University reports annually on compliance to UKRI and the BHF.

## **Related Policies**

Research Data Management Policy

Research Ethics etc

## **Appendix 1 Affiliation**

As a minimum the affiliation should include one of the following:

Heriot-Watt University

Heriot-Watt University Malaysia

Heriot-Watt University Dubai

with a comma separating the address fields

External associations can be included but must follow after Heriot-Watt, with each association separated by a semi-colon.

## **Appendix 2 Funder Acknowledgement**

We recommend that when funders next amend their terms and conditions of grant they specify that all published research articles should have a funding acknowledgement in the form of a sentence as follows, with the funding agency written out in full, followed by the grant number in square brackets.

Multiple grant numbers should be separated by comma and space. Where the research was supported by more than one agency, the different agencies should be separated by semi-colon, with “and” before the final funder.