1. Introduction

The university recognises that the publication of research outputs is a significant part of the research process. These outputs are central to the dissemination of knowledge and the promotion of individual researchers as well as the Robert Gordon University.

Alongside this is recognition of the complex environment in which the publication of research outputs takes place as researchers must take account of the growing emphasis on free and Open Access to research, research funder publication requirements, and post-2014 REF requirements. This is in addition to the traditional evaluation of publishers and journals that must be undertaken to ensure publication takes place in the most suitable location; that is in a journal/conference of relevance and quality and that allows for wide dissemination of the research.

2. Purpose and Scope

These guidelines aim to help researchers by: highlighting some key areas of consideration in the current research environment, giving Open Access information including an explanation of the Green and Gold Routes for Open Access, providing a summary of considerations around publication, explaining what support is available to them, and providing a flowchart that highlights key questions to consider when investigating Open Access and where to publish.

The guidelines apply to written publications i.e. journal articles and conference papers, although many points are of relevance to other forms of publication as well, and are aimed at all written published research outputs created by employees of Robert Gordon University in the course of their employment.
3. Research Funder and Post-2014 REF Requirements

In the current publication environment it is vital that the researcher is aware of the following:

- Research funder conditions that must be fulfilled when publishing outputs, usually around
  making the output Open Access
- The post-2014 REF requirements for making outputs Open Access.

These two requirements will influence where a researcher decides to publish.

Post-2014 REF requirements

In 2014 HEFCE published their Policy for Open Access in the post-2014 Research Excellence Framework (http://www.hefce.ac.uk/rsrch/oa/Policy/) which gives information about requirements for the next REF i.e. that for research to be considered for the next REF exercise the outputs must be available Open Access and meet various conditions during the process of being made available Open Access. The main parts of policy are:

- The policy applies to journal articles and conference proceedings/papers which have an ISSN and are accepted for publication after 1st April 2016.
- The items must be deposited in an institutional or subject repository.
- The output deposited should be the final peer-reviewed manuscript (sometimes called the author accepted manuscript or a post-print). This may be replaced later with an updated peer-reviewed document or final published version.
- 1st April 2016 – 1st April 2017: the output will need to be deposited as soon after acceptance of publication as possible (date as stated in an acceptance letter or email) and no later than three months after the date of publication. The date of publication will be considered to be the earliest date that the final version of record is made available e.g. the “online first” date rather than the print publication date. This can not be done retrospectively.
- 1st April 2017 onwards: the output must be deposited as soon after acceptance of publication as possible (date as stated in an acceptance letter or email) and no later than three months after this date. This can not be done retrospectively.
- Once deposited outputs with no embargo should be accessible within 1 month and those with an embargo should be accessible within 1 month of its end.
- Embargo periods can be no more than 12 months for panels A and B and 24 months for panels C and D. This may influence where you publish.
- Outputs should be discoverable by readers and automatic tools like search engines and remain so.
- Outputs should be free to read and download, for anyone with an internet connection.

Please be aware this is summary of the main requirements only and the full policy document should be read to see all conditions, exceptions etc.

These requirements will influence where the researcher will publish as a journal / conference must allow them to meet these requirements in order for the output to be eligible for REF.

Research Funder Requirements

When granting funding to perform research a research funder will place various requirements on the researchers such as asking them to report back at various stages or keep records of research data. One of the key requirements many funders have is that the outputs of the research they fund must be made available Open Access, often with various conditions attached to this process.
In order to support this some research funders may offer the opportunity for authors to include money for Open Access publishing within their funding application. This generally has to be specified when the research proposal is made so consideration about publication and any potential Open Access charges should be given at the start of the process if this opportunity is available.

The RCUK is a main proponent of Open Access for research outputs and their policy is summarised next as an example of research funder requirements.

One of the main research funders, the RCUK has a policy on Open Access, [http://www.rcuk.ac.uk/research/Openaccess/](http://www.rcuk.ac.uk/research/Openaccess/), that details their requirements to make outputs from research they fund available openly to the public. The main parts of policy are:

- The policy applies to peer-reviewed research articles accepted for publication from 1st April 2013 onwards.
- The final peer reviewed article must be available Open Access; the published version would also be acceptable.
- If the author is paying to make the article Open Access i.e. using the Gold route, it should be available immediately and have a CC BY license.
- If the author is using the self archiving, Green route to make their output Open Access the article must be available in a repository after an embargo period and have no restriction on non-commercial re-use.
- Embargo periods are 6 months for STEM disciplines and 12 months for arts, humanities and social sciences. However if a journal offers both Gold and Green Open Access options, and Gold can not be afforded, these embargo periods can change to 12 and 24 months.

Please be aware this is summary of the main requirements only and the full policy document should be read to see all conditions, exceptions etc.

The funder requirements, such as these, will influence where the researcher publishes. For example if the research funder requires an output to be Open Access within 12 months and a journal has a two year embargo that journal would not be suitable for publishing the research.

**SHERPA/JULIET and SHERPA/FACT**

The best and most up to date place to find out about funder requirements is from the research funders themselves either in the information they have provided to grant holders or on their websites. However these two services can help track down information:

- SHERPA/JULIET - Research funders’ Open Access policies
- SHERPA/FACT - Funders and authors compliance tool

**4. Open Access**

Open Access refers to the free availability of research outputs for third parties to both access and to reuse. Free availability of access means availability on the public internet without financial, legal or technical barriers (other than those related to access to the internet itself).

**Green and Gold Open Access**

A distinction is made between Gold and Green Open Access. This refers to the route by which the Open Access version of an output is made available. Publishers will have journals that offer one, both (hybrid), or neither of these routes and so it is important to understand the Green and Gold
Open Access routes in general, and to always check what Open Access options and conditions a journal has in specific. Below is a summary of the main differences between these two routes.

* Pre-print – is the version of the article before any peer-review process.

** Post-print – also frequently called the author accepted manuscript – is the final peer reviewed version with no publisher formatting.

This diagram from HEFCE, [http://www.hefce.ac.uk/rsrch/oa/FAQ/#deposit](http://www.hefce.ac.uk/rsrch/oa/FAQ/#deposit), shows the distinction between the versions. The post-print is frequently, but not exclusively, the version used for open access so retaining copies of all versions is essential.

*** This is often called the Article Processing Charge (APC) and the amount varies from publisher to publisher.
Open Access Licenses

Open Access content is still protected by copyright and this usually resides with either the author(s) or the publisher of a work depending on the publishing agreement used. However, to be considered Open Access, certain rights must be granted for third parties to distribute, reuse, or modify content. The extent of these rights and corresponding restrictions are codified and communicated through use of a license attached to the work.

There are a number of different licenses available which offer different levels of rights and restrictions for reuse by third parties. The most common types of license used are Creative Commons licenses and the Open Government Licence. Once a license has been used for publication this cannot be revoked. For content published as Open Access on a publisher’s website, the type of license used will be specified as part of the publishing agreement between author(s) and publisher.

HEFCE, [http://www.hefce.ac.uk/rsrch/oapolicy/](http://www.hefce.ac.uk/rsrch/oapolicy/), describes the Creative Commons Licenses as follows:

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<th>License</th>
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<td><strong>Attribution.</strong> This licence lets others distribute, remix, tweak, and build upon your work, even commercially, as long as they credit you for the original creation.</td>
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SHERPA/RoMEO

The journal or publisher website is the main place for up to date information about a journal and should inform people about what Open Access options they have available; although often information about what Green Open Access options are offered is less accessible than the Gold options. In addition the SHERPA RoMEO website offers a way to check quickly for a journal’s Green Open Access options and it also will often list if there is a Gold option as well.

- [SHERPA/RoMEO](http://www.sherpa.ac.uk/romeo/) - Publisher copyright policies and self-archiving

5. Publication Considerations and Actions

When making decisions about where to publish research there are a range of considerations that the author should take into account and actions that should be undertaken by the authors.

Relevance, Impact and Reputation

Authors should ensure that the journal / conference where they wish to publish their output is relevant to their research, suitable for the stage of their research career, of good reputation and quality, and will allow for dissemination of their work to others.
Research Funder Requirements and Opportunities

The author must be aware of any requirements that the researcher funder has for the output such as the necessity to make the output available Open Access, what timescales are in place for making the research output accessible, and which version of the material should be made available. The requirements the funder has in place will influence where the author can publish and may rule out some publishers/journal titles.

If the research funding included money for Gold Open Access then journals that allow Gold Open Access should be the priority when deciding where to publish.

Please see the earlier section on research funder requirements for more information.

Post-2014 REF Requirements

The author must be aware that for their research output to be eligible for the next REF exercise it must be available Open Access and must have met the various conditions such as timescale for availability and accessibility of the post-print version. These requirements will influence where the author can publish and may rule out some publishers/journal titles.

Please see the earlier section on Post-2014 REF requirements for more information.

Author Identifier

When given the option by a publisher authors should use should use a persistent author identifier when submitting author details for a publication. The University has identified ORCID as its preferred identifier and all authors should create and use an ORCID Id where possible.

Acknowledging Affiliation to Robert Gordon University

Authors will acknowledge Robert Gordon University in all their research outputs.

The address should be in the form [school or department or Institute], Robert Gordon University, Garthdee Rd, Aberdeen, AB10 7QB, United Kingdom. If there are constraints on the space available Robert Gordon University should be used.

Acknowledging the Research Funder

Authors should acknowledge all funding sources with relevant external grant number (in the correct format) in their research outputs.

Include a Research Data Statement

If required and/or appropriate authors should identify within their research outputs where the data which underpins their research may be accessed.

Retain Copyright

Authors are encouraged to seek to retain their copyright and other reuse rights for research outputs in contracts with collaborators, funders and publisher. Although it is understood that this action is dependent on the publisher, whether the author is using the Green or Gold route for publishing, funder requirements, and what licenses are available.
Pre-prints, Post-prints and Published Versions

It is essential that the author retains a copy of each version of their research output including the pre-prints, post-prints (author accepted manuscript) and the final published version. This is necessary in order to make the output available Open Access as different publishers and repositories will have different requirements for which version can be used.

Deposit in OpenAIR

OpenAIR, https://openair.rgu.ac.uk, is the university's institutional repository (IR) and is the university archive for Open Access research outputs. It is populated with full text and associated metadata, where this is allowable by publishers and the full text has been provided by the author.

Robert Gordon University researchers who produce research outputs and who wish to or who are required to make the output available Open Access are responsible for ensuring that the output is added to and available in OpenAIR within any conditions placed by research funders and REF such as timescales and use of the correct version.

More information about OpenAIR can be found on this web page or by contacting the library.

Record in CRIS

The Current Research Information System (CRIS) (currently KSS) is the official record of the university's research output and the mechanism for submitting research outputs for performance review, research assessment and facilitating audit and reporting, where necessary. Therefore it is essential that metadata about all research outputs are included within this system and the author is responsible for entering this information into the CRIS.

6. University Support

The university, through RES and the Library Service, is responsible for ensuring the systems and processes are in place to support these guidelines, specifically:

- Providing help and advice on all aspects of these guidelines, including funder requirements and publisher policies regarding Open Access;
- Providing help, advice and assistance in maintaining information in the CRIS and OpenAIR, including article versions, persistent author identifiers, metadata, Gold Open Access and Green Open Access.

7. Publication Flowchart

The following flowchart that takes you through questions to consider when deciding where to publish and thinking about Open Access and can be used as a guide.
Research ready to publish. Find a journal you would like to publish in.

Does the journal allow the research to be made available Open access?

- Yes
  - What type of Open Access does it allow?
    - Gold
      - Check out: What licenses they assign to the author, the conditions they detail and any restrictions. Does this meet any funder or REF requirements?
        - Yes
          - Check out: How much will this cost i.e. what is the article processing charge (APC). Do you have the money?
            - Yes
              - Send in the article, opt for Gold Open access, and pay the APC. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
            - No
              - Check out: Does the journal offer green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
                - Yes
                  - Check out: Does the journal offer Green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
                - No
                  - Send in the article to the publisher. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
        - No
          - Check out: Does the journal offer green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
            - Yes
              - Check out: Any other conditions the publisher puts in place e.g. type of license you can use. Do these meet any funder or REF requirements?
                - Yes
                  - Send in the article to the publisher. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
                - No
                  - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
            - No
              - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.

- No
  - Look for a different title to publish in or see if it meets any funder or REF exceptions.
    - Gold
      - Check out: What licenses they assign to the author, the conditions they detail and any restrictions. Does this meet any funder or REF requirements?
        - Yes
          - Check out: How much will this cost i.e. what is the article processing charge (APC). Do you have the money?
            - Yes
              - Send in the article, opt for Gold Open access, and pay the APC. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
            - No
              - Check out: Does the journal offer green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
                - Yes
                  - Check out: Does the journal offer Green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
                - No
                  - Send in the article to the publisher. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
        - No
          - Check out: Does the journal offer green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
            - Yes
              - Check out: Any other conditions the publisher puts in place e.g. type of license you can use. Do these meet any funder or REF requirements?
                - Yes
                  - Send in the article to the publisher. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
                - No
                  - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
            - No
              - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.

- Both
  - Explore both options to see which is most suitable for your, your funder, and the REF requirements.
    - Gold
      - Check out: What licenses they assign to the author, the conditions they detail and any restrictions. Does this meet any funder or REF requirements?
        - Yes
          - Check out: How much will this cost i.e. what is the article processing charge (APC). Do you have the money?
            - Yes
              - Send in the article, opt for Gold Open access, and pay the APC. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
            - No
              - Check out: Does the journal offer green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
                - Yes
                  - Check out: Does the journal offer Green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
                - No
                  - Send in the article to the publisher. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
        - No
          - Check out: Does the journal offer green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
            - Yes
              - Check out: Any other conditions the publisher puts in place e.g. type of license you can use. Do these meet any funder or REF requirements?
                - Yes
                  - Send in the article to the publisher. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
                - No
                  - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
            - No
              - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.

- Green
  - Check out: Which version of the article they allow to be deposited in a repository i.e. pre-print or post-print? Does this meet any funder or REF requirements?
    - Yes
      - Check out: Is there an embargo period in place for Open Access? Will this allow you to meet any funder or REF requirements?
        - Yes
          - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
        - No
          - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
    - No
      - Check out: Does the journal offer Green Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
        - Yes
          - Check out: Any other conditions the publisher puts in place e.g. type of license you can use. Do these meet any funder or REF requirements?
            - Yes
              - Send in the article to the publisher. As soon as the article is accepted send the final peer-reviewed version to the library for deposit in OpenAIR.
            - No
              - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.
        - No
          - Check out: Does the journal offer Gold Open Access and will that meet your funder/REF conditions? Alternatively look for a new title to publish in.

- Both
  - Explore both options to see which is most suitable for your, your funder, and the REF requirements.