

University of Strathclyde Research Publications Guidance

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Strathclyde Research Publications Guidance: executive summary

This guidance (version 4.0) formalises Strathclyde's institutional commitment to the effective management of research publications by Strathclyde researchers and, in furtherance of Strathclyde's strategic ambitions, seeks to ensure best practice is observed by researchers when publishing. Such best practice will ensure that individual authors also benefit from maximising their potential citation impact.

A diagrammatic summary of the Strathclyde Publications Guidance (Figure 1) accompanies this executive summary and may assist in highlighting important considerations to researchers when preparing and disseminating research publications. Full details of the Publications Guidance is provided in the main body of the document.

Preparing research publications

- **Funder compliance requirements:** Researchers should be aware that they are subject to external policies on Open Access and should ensure compliance with funder requirements, where applicable.
- **Personal name form:** It is important that University of Strathclyde authors be identified consistently. We therefore encourage Strathclyde researchers to standardise their personal name form when publishing and use the same variation of their name consistently throughout their career, where possible and appropriate. It is appreciated that there will be circumstances where researchers will not feel able to standardise their name (e.g. due to marriage, divorce or trans researchers who self-identify as a gender not assigned at birth). In these circumstances researchers should employ vigilant online identity management (via ORCID, Scopus, ResearcherID, etc. - see below) to ensure credit for research outputs is assigned accurately.
- **ORCID and author identification:** Strathclyde researchers should use their ORCID (Open Researcher and Contributor ID) whenever they are submitting their author details for a publication (where ORCID is supported by the publisher), thereby ensuring Strathclyde authors receive credit for their research outputs.
- **Online identity management:** Strathclyde researchers should ensure they maintain their online identities within key research intelligence tools thus guaranteeing academic credit for their research outputs. Identities to be managed should include Scopus ID, ResearcherID, and Google Scholar.
- **Institutional affiliation in research publications:** All University authors must cite "University of Strathclyde" as their institutional research base when recording their affiliation in research articles, conference papers and other publications, irrespective of where the affiliation actually appears in the publication.
- **Acknowledging research funding:** All University authors should ensure they acknowledge any funding sources within publications arising from this funding. Acknowledgements should include any relevant external grant numbers. Authors should note that inclusion of such statements is frequently a condition of research grants.
- **Research data availability statements:** All University authors must ensure that, where applicable, a statement about where underlying research data can be accessed is included in their research output. Such statements are increasingly necessary to comply with the wishes of many research funders but there are also indications that publications with open data are more likely to be cited.
- **Rights retention:** Where researchers are funded by UKRI research councils, authors should ensure all manuscripts submitted for consideration by journal publishers after 01/04/2022 include the rights retention statement, irrespective of which route to OA is ultimately selected by authors. Inclusion of the statement guarantees the immediate openness of the peer-reviewed text under a CC-BY licence, thereby guaranteeing that the requirements of the UKRI Open Access Policy can be satisfied.
- **Using amendment to copyright form:** In instances Authors are encouraged to maximise the reuse potential of their research outputs by retaining certain author rights, especially in instances where publishers operate strict conditions on Green Open Access. The recommended means of doing this is through the University of Strathclyde Amendment to Publication Agreement. This form has been developed in conjunction with Copyright & Information Compliance and protects authors' rights to deposit Green OA manuscripts in PURE (and ergo Strathprints), as well as reuse your work in other outputs.

Dissemination of research publications

- **Open Access to journal articles and conference papers:** The accepted author manuscripts (AAM) of all accepted journal articles and conference papers must be uploaded to PURE as soon as possible after the point of acceptance and no longer than 2 months after the date of acceptance. Receipt of these AAMs is essential as the ultimate route to OA can be unknown at acceptance (e.g. Green or Gold).
- **Open Access to other scholarly outputs:** Research outputs which are not journal articles or conference papers should be uploaded to PURE as soon as possible after acceptance for publication. Such outputs may include book chapters, project reports, working papers and so forth, but may also include certain conference proceedings which are outside the scope of the REF policy on Open Access. Non-textual outputs, such as software, should also be uploaded and the possibility of making these open access for dissemination via the institutional repository discussed.
- **Grey literature:** Strathclyde authors generate a significant corpus of grey literature. These outputs should be uploaded to PURE to ensure widest possible dissemination via University systems, but also to ensure persistent access to these outputs, thereby assuring future 'citability' via a stable URL and avoiding the 'reference rot' associated with publication via project websites, departmental webpages, etc.
- **Responding to publication requests:** Authors are strongly encouraged to provide copies of their publications on request where this is for academic research or learning purposes and does not breach legal restrictions. The most common vehicle for such requests will come from Strathprints.
- **Disseminating outputs on social media:** Dissemination and discovery of academic literature through social media channels such as Twitter particularly, but LinkedIn and Facebook too, is increasing. Where Strathclyde authors choose to use social media to disseminate details of their output, they are encouraged to disseminate an Open Access version to ensure the widest possible readership and maximum social sharing potential.
- **Academic social networks:** Popular academic social networks include ResearchGate, Academia.edu and Mendeley. The University of Strathclyde welcomes the responsible use of academic social networks by researchers, subject to the guidance below (e.g. avoid uploading research outputs to these website).

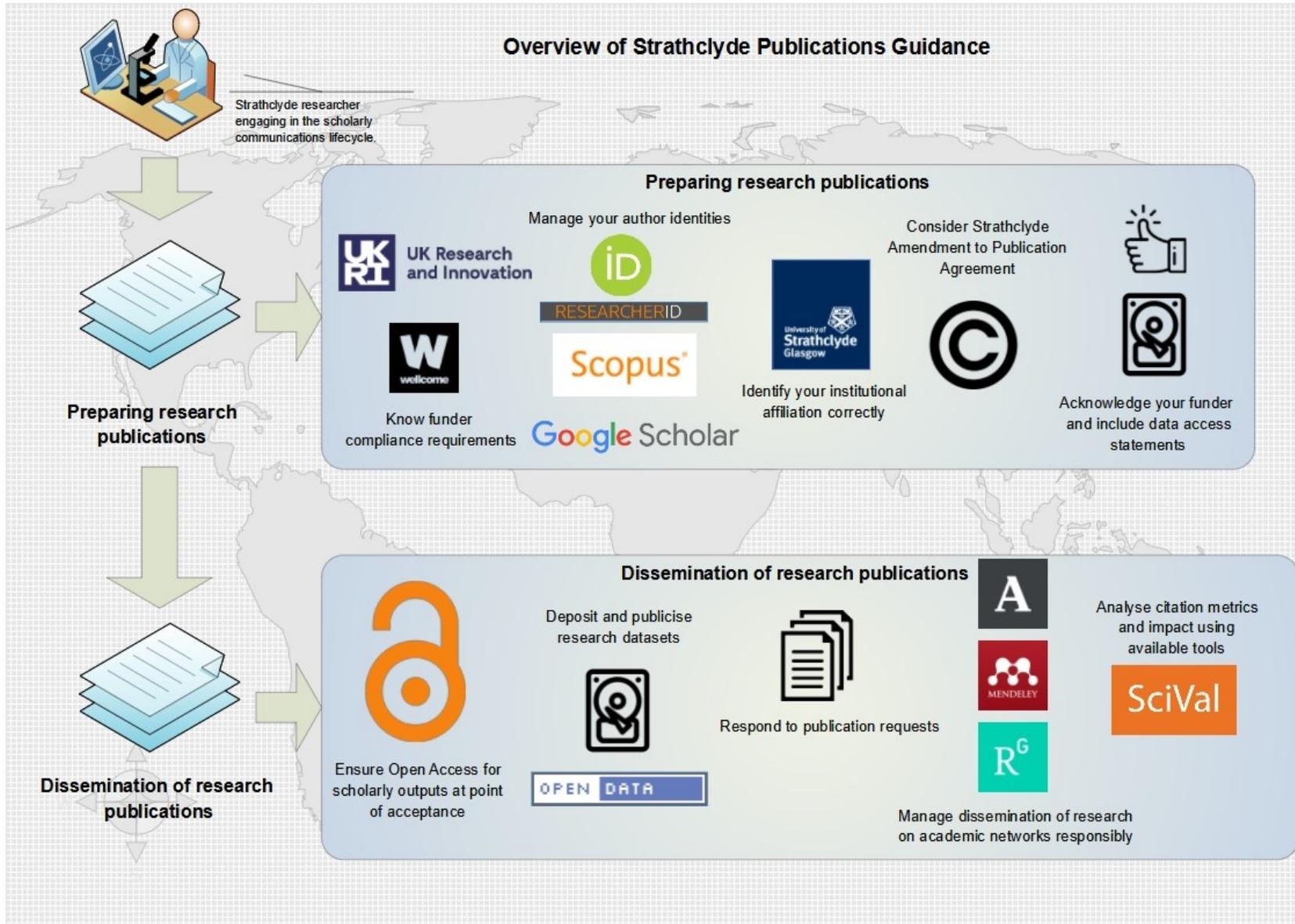


Figure 1: A diagrammatic overview of the Strathclyde Publications Guidance, and what Strathclyde researchers should be considering when preparing and disseminating research publications.

1. Purpose and scope of guidance

- 1.1. The University of Strathclyde acknowledges that the act of scholarly communication is an integral part of the research process. Research publications, in particular, have a significant role to play in scholarly communication, enabling Strathclyde's world-leading research to be disseminated and communicated to both academic and general audiences. As well as facilitating the dissemination of new knowledge, research publications perform an important function in promoting both individual researchers and the institution.
- 1.2. The [University of Strathclyde's Vision 2025](#) strategy (2020-2025) sets out expectations for the future citation impact of Strathclyde research, as well as Strathclyde's ambition towards 'fully open access publishing' and FAIR open data. This guidance therefore formalises Strathclyde's institutional commitment to the effective management of research publications by Strathclyde researchers and, in furtherance of Strathclyde's strategic ambitions, seeks to ensure best practice is observed by researchers when publishing and managing scholarly communication more generally. Such best practice will ensure that individual authors also benefit from maximising their potential citation impact.
- 1.3. In a parallel development, the UK higher education sector is demonstrating increased interest in impact assessment and providing greater public accountability. Ensuring the University better manages information about -- and access to -- research outputs, to help researchers maximise the dissemination of their research outputs and comply with funder requirements, is therefore of paramount importance.
- 1.4. This guidance was originally created under the auspices of the Digital Research Asset Management Steering Group (DRAMS), formed by the former Associate Deputy Principal Research, Prof. Deepak Uttamchandani, to examine the effective management of Strathclyde's digital research assets. The guidance has been updated in subsequent years to reflect changing external policy requirements and organisational changes within the University of Strathclyde.
- 1.5. The guidance applies to all published research outputs created by employees of the University of Strathclyde (including postgraduate research students) where research publication is an expectation of their employment.

2. Infrastructure and support

- 2.1 The University of Strathclyde already operates a mature infrastructure of information systems, specifically designed to support many aspects of this guidance. These include:
 - **PURE:** The University's Current Research Information System (CRIS), known locally as "PURE", is the "point of entry" for researchers wishing to record details of their scholarly communication and research activities. PURE provides a current record of the University's research outputs and facilitates research reporting, assessment and review. A public view of PURE's content is available and is known as the "KnowledgeBase". KnowledgeBase provides a shop window of Strathclyde's research expertise and helps to promote institutional research.
 - **Strathprints:** "Strathprints" is the University of Strathclyde's institutional repository and functions as an archive of research outputs. Strathprints is automatically populated with most bibliographic data and full-text digital objects deposited in PURE, after a process of "validation" and compliance checking has been undertaken by experienced Open Access staff. Strathprints helps to promote and make discoverable Strathclyde research outputs.
- 2.2 To support the remit of this guidance it is also necessary to rely on a series of third party systems. These include but are by no means limited to:
 - Scopus: <https://www.scopus.com/>
 - Web of Science: <http://ipscience.thomsonreuters.com/>
 - SciVal: <https://www.scival.com/>
 - ORCID: <https://orcid.org/>
 - Google Scholar: <https://scholar.google.co.uk/>

Support in the operation of these systems and guidance on how best to use them is provided by the following teams in Professional Services:

- REF Team: The REF Team is based within Research & Knowledge Exchange Services (RKES). Contact: refteam@strath.ac.uk
- Scholarly Publications & Research Data (SPRD): A sub-team of Scholarly Research Communications specialises in supporting Open Access (OA), the institutional repository, and research data management (RDM). Faculty Librarians are also increasingly engaging with researchers at a faculty level on OA and RDM matters. Contact: openaccess@strath.ac.uk
- The RDMS team (collaboration between RKES/SPRD) support researchers to achieve excellence through the provision of systems, infrastructure, tools and guidance. This includes, reviewing data management plans; helping researchers understand how to comply with funder policies/mandates; and providing training courses and workshops. Contact: researchdatapoint@strath.ac.uk

Additional information on the responsibilities to groups or individuals as a result of this guidance are provided later in [Section 4](#) of this document.

3. Research outputs

Preparing research publications

- 3.1 **Funder compliance requirements:** Researchers should be aware that they are subject to external policies on Open Access. These policies are often a condition of research funding (e.g. UKRI, Wellcome Trust, ERC, medical charities such as Cancer Research UK) and require all outputs that are the outcome of research funding to be made Open Access. In order to ensure that researchers fulfil the requirements of their research funder(s) it is important that they understand both the requirements of funders and the publication options offered by the selected destination journal or publisher.

Staff should note that the Open Access requirements of the Research Excellence Framework (REF) mandate the most significant change to scholarly communication behaviour. Open Access has also been found to stimulate an improved citation impact [1]. It is acknowledged that those new to Open Access or Research Data Management may at first be overwhelmed by the expectations of funder policies. [Appendix A](#) provides an integrated workflow diagram designed to highlight some of the important milestones in making publications Open Access and depositing their related research dataset(s).

Full details and guidance about complying with these Open Access policies is available from the Strathclyde Open Access website, available: <http://www.strath.ac.uk/openaccess/>.

Further help and advice can be requested by contacting the Open Access mailbox (openaccess@strath.ac.uk).

- 3.2 **Personal name form:** It is important that University of Strathclyde authors be identified consistently. We therefore encourage Strathclyde researchers to standardise their personal name form when publishing and use the same variation of their name consistently throughout their career, where possible and appropriate. It is appreciated that there will be circumstances where researchers will not feel able to standardise their name (e.g. due to marriage, divorce or trans researchers who self-identify as a gender not assigned at birth). In these circumstances researchers should employ vigilant online identity management (via ORCID, Scopus, ResearcherID, etc. - see below) to ensure credit for research outputs is assigned accurately via their language independent identifier.

An author may have multiple names. Multiple authors may also share the same name simply due to name abbreviations, identical names, or name misspellings in publications or in bibliographic citations (e.g. within reference lists). This can produce name ambiguity which can distort the performance of document identification and retrieval, and which may also cause improper attribution of credit, thus compromising the ability of citation tools, such as Scopus or Web of Science, to accurately attribute citations to Strathclyde researchers. The use of name variants such as those below, combined with variations in institutional affiliation, are in some studies estimated to result in 25% of queried author names to be ambiguous thus resulting in the "loss" of 7% of citations.

Name variants for Graham Hills: *Graham Hills, G. J. Hills, Graham J. Hills, Graham John Hills*

- 3.3 **ORCID and author identification:** Strathclyde researchers should use their ORCID (Open Researcher and Contributor ID) whenever they are submitting their author details for a publication (where ORCID is supported by the publisher), thereby ensuring Strathclyde authors receive credit for their research outputs.

The University of Strathclyde endorses the use of ORCID and has arranged for all research staff to be assigned an ORCID. ORCIDs are 16 digit codes (e.g. 0000-0002-8482-3473) used to uniquely identify authors. Staff unsure of their ORCID should consult their profile within PURE. Further help and advice can be requested by contacting pure@strath.ac.uk.

ORCID provides a persistent digital identifier that distinguishes researchers and, through integration in research system workflows such as manuscript and grant submission, supports automated linkages between their professional activities ensuring that individual authors are correctly recognised. A growing number of research publishers and research funders are supporting ORCID, including publishers such as The Royal Society, PLOS, and IEEE, as well as research organisations such as UKRI.

- 3.4 **Online identity management:** Strathclyde researchers should ensure they maintain their online identities within key research intelligence tools thus guaranteeing they receive academic credit for their research outputs. Identities to be managed should at a minimum include Scopus ID, ResearcherID, and Google Scholar.

Authors' citation impact is normally analysed using one or more of the following tools: Scopus (or SciVal, based on Scopus data), Web of Science, DS Dimensions, and Google Scholar. University ranking tables, such as the THES World University Rankings, also rely on citation data derived from these tools. It is therefore important that citation data compiled by these systems are as accurate as possible.

When an author publishes for the first time they are automatically assigned a Scopus ID (by Scopus) and/or a ResearcherID (by Web of Science). For name disambiguation reasons, identifying authors correctly can be problematic for Scopus and Web of Science and this can often mean that they omit or misassign important publications from an individual's publication history. Sometimes authors may find that they have several identities within Scopus or Web Science thereby diluting their overall citation impact. All the aforementioned tools recognise that their data can be inaccurate and all therefore provide functionality such that authors can update data held about their research outputs.

Maintenance of online identities, such as Scopus ID and ResearcherID, should be undertaken by Strathclyde researchers using the following services (Note that ORCID supports the linking of authors' Scopus ID and ResearcherID with ORCID):

- Scopus Author Feedback Wizard (for maintaining ScopusID): <http://www.scopusfeedback.com/>
- Manage your ResearcherID profile (for maintaining ResearcherID): <http://www.researcherid.com/>

Staff should also seek to disambiguate themselves on Google Scholar by creating a Google Scholar profile: <https://scholar.google.co.uk/>

Instructions on using the above noted services is available: <https://strathprints.strath.ac.uk/60205/>.

SciVal: The University provides a subscription to SciVal, Elsevier's research intelligence dashboard. SciVal offers opportunities for sophisticated analyses of citation metrics using Scopus data. Staff interested in analysing or benchmarking using SciVal can find instructions at: <https://goo.gl/N2W1M4>.

- 3.5 **Institutional affiliation in research publications:** All University authors must cite "University of Strathclyde" as their institutional research base when recording their affiliation in research articles, conference papers and other publications, irrespective of where the affiliation actually appears in the publication. This is necessary to ensure that Strathclyde authors can be easily identified and retrieved (by both humans and machines) as being affiliated to the University of Strathclyde. It also ensures full credit is given in bibliometric and citations analyses which may be undertaken on an institutional basis (e.g. during assessment of Strathclyde's research by government, analysis of Strathclyde's citations for the purposes of compiling international league tables, etc.).

All researchers are therefore required to use an address in the form below when submitting an output for publication, taking care to ensure the correct institutional name form is used. Note that the correct name form for the University of Strathclyde is as follows:

University of Strathclyde

Name forms deviating from this are incorrect. A typical deviation is the following:

A typical address would therefore observe the following convention:

[Parent department name], University of Strathclyde, Glasgow G1 1XH, United Kingdom

If publishers place constraints on the amount of address space available, precedence must always be given to the institutional name: *University of Strathclyde*. Department, School or Research Group affiliations may appear, if there is sufficient space, but never at the expense of omitting *University of Strathclyde*.

In instances where an author holds a joint affiliation, both affiliations may be cited, but the *University of Strathclyde* affiliation must be included. For example (with full addresses):

Graham J. Hills^{a,b}

^a Microbiology Department, Glasgow Royal Infirmary and University Trust, 16 Alexandra Parade, Glasgow G31 2ER

^b Strathclyde Institute of Pharmacy & Biomedical Sciences, University of Strathclyde, 161 Cathedral Street, Glasgow, G4 0RE

If galley proofs are received, authors are requested to check that their institutional affiliation to University of Strathclyde is appropriately recorded.

- 3.6 **Acknowledging research funding:** All University authors should ensure they acknowledge any funding sources within publications arising from this funding. Acknowledgements should include any relevant external grant numbers. Authors should note that inclusion of such statements is frequently a condition of grant funding and all Open Access policies linked with research funding mandate them.

Funding should be acknowledged in the following format:

This research was supported by the Engineering & Physical Science Research Council (EPSRC) [grant number xxxx].

Where more than one grant is acknowledged, this should be done in the format:

This research was supported by the Engineering & Physical Science Research Council (EPSRC) [grant numbers xxxx, yyyy]; the Natural Environment Research Council (NERC) [grant number zzzz]; and the Economic and Social Research Council [grant number aaaa].

The grant number format must exactly match that used by the funder, including the correct punctuation (e.g. EP/G036659/1; RES-010-66-0066; 098664/Z/10/Z). This is necessary to ensure accurate compliance reporting and institutional auditing of the University of Strathclyde by research funders.

For textual outputs such as journal articles, conference papers or book chapters, it is typical of most publishers to include space for this information on either the document submission template (e.g. MS Word or LaTeX template) or as part of the manuscript submission process. However, in instances where a publisher does not provide the aforementioned, a grant acknowledgement statement should instead be provided as a footnote on the first page of full-text.

Guidance on funding acknowledgements within non-textual research outputs is less developed. It is therefore left to individual authors to make a judgement on the most appropriate place in which to provide funder information. Further advice on acknowledging funders within non-textual outputs can be requested by contacting the Open Access mailbox (openaccess@strath.ac.uk).

The UKRI has produced guidance on the correct acknowledgement of research funders within the scholarly literature, available: <https://www.ukri.org/manage-your-award/publishing-your-research-findings/acknowledging-your-funding/>. Staff should consider reviewing this guidance, which is widely accepted by most research funders, including the Wellcome Trust and the Association of Medical Research Charities, as well as numerous publishing associations.

Note that in PURE, projects and related dataset information should be added to research outputs by linking to any relevant projects or datasets via the 'Relations' section of the research output template.

- 3.7 **Data availability statements:** All University authors must ensure that, where applicable, a statement about where underlying research data can be accessed is included in their research output. Such statements are increasingly necessary to comply with the wishes of many research funders (<https://strath.sharepoint.com/sites/resdata/>) but there is evidence that outputs with open data are more likely to be cited, e.g [2], [3].

Typically such a data availability statement would be as follows:

Research data supporting this paper are available at: <https://doi.org/10.12345/12345>.

The integrated Open Access and Research Data Management diagram in [Appendix A](#) highlights the importance of including data availability statements at the 'submission' stage of a research publication. Further advice on providing a statement about research datasets within research outputs can be found at the RDMS website (<https://www.strath.ac.uk/research/researchdatamanagementsharing/>). Advice is available from the RDMS team (researchdatapoint@strath.ac.uk) if there are legitimate reasons why the data should be restricted.

Research Data Management

Datasets created by Strathclyde researchers fall within the remit of University of Strathclyde's Research Data Policy, available at: <https://www.strath.ac.uk/research/researchdatamanagementsharing/>. Since the publication of the "RCUK Common Principles on Data Policy" the University has invested in infrastructure and a support framework to assist Strathclyde researchers in managing their research data and, when appropriate, making research datasets available for sharing and/or wider discovery. Staff should consult the Strathclyde Research Data Policy to ensure they are complying.

Further information and guidance on Research Data Management at the University of Strathclyde, and the systems used, is available from the University website, at: <https://www.strath.ac.uk/research/researchdatamanagementsharing/>

- 3.8 **Ensuring rights retention:** Where researchers are funded by UKRI research councils, authors should ensure all manuscripts submitted for consideration by journal publishers after 01/04/2022 include the 'rights retention statement', irrespective of which route to OA is ultimately selected by authors (e.g. whether Green or Gold). Inclusion of the statement guarantees the immediate openness of the peer-reviewed text under a CC-BY licence, thereby guaranteeing that the requirements of the UKRI Open Access Policy can be satisfied. In other words, the inclusion of the rights retention statement ensures that an AAM can be deposited in a repository without embargo and under appropriate licence conditions. Authors should ensure the following statement is included in their submitted manuscript, in the acknowledgements section next to the UKRI grant acknowledgement:

For the purpose of open access, the author(s) has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript (AAM) version arising from this submission.

Combined with a grant acknowledgement, the rights retention statement may look similar to this example:

This research was funded in whole or in part by the Engineering & Physical Sciences Research Council (EPSRC) [EP/R033889/2]. For the purpose of Open Access, the author has applied a CC licence to any Author Accepted Manuscript (AAM) version arising from this submission."

UKRI encourage authors taking advantage of rights retention to apply a CC-BY licence, although the UK 'Open Government Licence' or a 'Creative Commons Attribution No-derivatives (CC BY-ND) licence' may be stated as an alternative, if necessary.

- 3.9 **Using amendment to copyright form:** Authors who are not funded by UKRI, and therefore not subject to the rights retention requirements (3.8), are encouraged to maximise the reuse potential of their research outputs by retaining certain author rights. The recommended means of doing this is through the University of Strathclyde Amendment to Publication Agreement. This form has been developed in conjunction with

Copyright & Information Compliance and protects authors' rights to deposit Green OA manuscripts in PURE (and ergo Strathprints), as well as reuse your work in other outputs.

When authors decide to publish in the scholarly literature they are generally required to sign a form transferring some – or all – of their copyrights to that publisher (sometimes known as a CTA, or “copyright transfer agreement”). This is especially the case when authors are publishing in a subscription access publication, which happens to encompass most of the academic literature.

Strathclyde's copyright amendment is a legal instrument that authors can use to modify their copyright transfer agreements with non-Open Access publishers, thereby protecting specific rights which authors want to retain, such as the ability to:

- Deposit the research output in an institutional repository, for the purposes of research dissemination and/or compliance with funder Open Access policies;
- Distribute copies of a research output in the course of teaching or research, and;
- Create derivative works.

At time of writing it can be reported that most journal policies have standard copyright transfers that allow the above noted author rights to be retained by the author. However, some publishers policies continue to operate restrictive copyright agreements, particularly publishers of some conference proceedings. In such cases the Strathclyde amendment to copyright should be used by Strathclyde authors.

The University of Strathclyde Amendment to Publication Agreement is available at:

<https://strath.sharepoint.com/:w:/r/sites/openaccess/Shared%20Documents/Public/amendment-to-publication-agreement.docx>

Further help and advice can be requested by contacting the Open Access mailbox (openaccess@strath.ac.uk). Note that so-called “Gold Open Access” journals, which necessitate the payment of an article processing charge (APC) in order to facilitate the publication process, do not require the use of copyright addendums.

Dissemination of research outputs

3.10 **Open Access to journal articles and conference papers:** The accepted author manuscripts (AAM) of all accepted journal articles and conference papers must be uploaded to PURE as soon as possible after the point of acceptance and no longer than 2 months after the date of acceptance. This is a critical step in the Open Access publication workflow, as noted in [Appendix A](#). Journal articles and conference papers which have been uploaded to PURE will be made Open Access via deposit in Strathprints and exposure on KnowledgeBase, after a process of validation and only if is permitted by the publisher (often after a set embargo period has expired). AAMs should be uploaded to PURE irrespective of whether the journal article or conference paper may be published Gold Open Access.

Ensuring Open Access to Strathclyde's latest research outputs is essential to staff eligibility requirements of the REF, as defined by the REF policy on Open Access; but it is also essential to ensure the maximum possible dissemination of Strathclyde's high quality research, thereby supporting the institutional commitment to improving Strathclyde's citation impact. Open Access to research outputs has been demonstrated to significantly improve the dissemination of research and its eventual citation impact [1]. **Note** that the REF policy on Open Access requires AAMs to be deposited within 3 months of the date of acceptance; however, in practice this needs to be quicker to allow sufficient time for copyright and REF compliance to be checked, ahead of deposit and fulfilment of the REF policy. For this reason, AAMs are required to be uploaded to PURE **within 2 months** of the date of acceptance.

Note that the AAM is the version of the manuscript that has been through peer-review, has peer-review comments implemented and has been accepted by the journal / conference editor.

Guidance on manuscript types, or Open Access more generally, is available from the Strathclyde Open Access website, at: <http://www.strath.ac.uk/openaccess/>

3.11 **Open Access via APCs or R&P agreements:** Openness in publication may be achievable using the Gold route to Open Access. Strathclyde authors in receipt of UKRI research council, Wellcome Trust, or medical charity funding may be eligible for the payment of article processing charges (APCs) from institutional block grants (administered by the SPRD team). So-called 'read and publish' agreements brokered with scholarly publishers by the Library also provide a route to Gold publication, irrespective of whether the research is the outcome of research funding. As per the publication workflow diagrammed in [Appendix A](#), Strathclyde authors are encouraged to check their Gold eligibility early in the publications timeline, either by contacting the SPRD team (openaccess@strath.ac.uk) or by consulting guidance documentation at: https://www.strath.ac.uk/professionalservices/openaccess/gold_oa/

3.12 **Open Access to other scholarly outputs:** Research outputs which are not journal articles or conference papers should be uploaded to PURE as soon as possible after acceptance for publication. Such outputs may include book chapters, project reports, working papers and so forth, but may also include certain conference proceedings which are outside the scope of the HEFCE policy on Open Access. Non-textual outputs, such as software, should also be uploaded and the possibility of making these open access for dissemination via the institutional repository discussed.

It should be noted that the UKRI Open Access Policy is transitioning to an environment which goes beyond mandatory OA for journal articles and conference papers, to include long-form publications. This transition will commence from **01 January 2024** and will apply to all book chapters, edited collections, monographs, and books which are the outcome of UKRI funding.

UKRI's policy of long-form publications will not apply to the following outputs:

- Trade books: The decision of whether a book should be considered a trade book or an academic monograph, is at the discretion of the author and publisher.
- Scholarly editions. Defined as an edition of another author's original work or body of works informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), often with a scholarly introduction and explanatory notes or analysis on the text and/or original author.
- Exhibition catalogues
- Scholarly illustrated catalogues
- Textbooks
- All types of fictional works and creative writing

Note that research data on which articles and other publications are based are covered by the University of Strathclyde Research Data Management Policy, available:

https://www.strath.ac.uk/media/ps/cs/gmap/academicaffairs/policies/Research_Data_Policy_v1.pdf.

Guidance on depositing research data is available, at:

<https://www.strath.ac.uk/research/researchdatamanagementsharing/>. General enquiries about Research Data Management & Sharing at the University of Strathclyde can be directed to researchdataproject@strath.ac.uk.

The REF policy on Open Access specifies that journal articles and conference papers are a “minimum requirement” of compliance with their policy. However, REF has indicated that “credit will be given in the research environment component of the REF” to institutions that can “demonstrate that [they have] taken steps towards enabling Open Access for outputs outside the scope of [REF’s] definition”. Making Open Access other scholarly outputs not only fulfills this requirement of the REF policy on Open Access, but also maximises the dissemination and impact of the entirety of Strathclyde’s intellectual research output.

- 3.13 **Grey literature:** Grey literature typically includes policy briefs, reports, working / discussion papers and so forth. Strathclyde authors generate a significant corpus of grey literature; this is especially true within specific research groups or departments. However, as these outputs can generate impact, authors should consider the manner in which grey literature is published. Publication via an ordinary webpage should be avoided (e.g. via project website, university page, etc). As in 3.10, these outputs should instead be uploaded to PURE to ensure widest possible dissemination via University systems, but also to ensure persistent access to these outputs, thereby assuring future ‘citability’ via a stable URL and avoiding ‘reference rot’.

Strathclyde authors who intend to publish a grey output which they consider to have impact potential, should consider liaising with staff at the Scholarly Publications & Research Data (SPRD) team ahead of output publication. SPRD staff can provide advice to authors on the licencing to be attached to the output, its possible identification by a digital objective identifier (DOI), and can ensure its optimum dissemination. Authors are encouraged to contact openaccess@strath.ac.uk to discuss the publication of their grey outputs as they approach finalisation.

- 3.14 **Responding to publication requests:** Authors are strongly encouraged to provide copies of their publications on request where this is for academic research or learning purposes and does not breach legal restrictions.

The "Request Eprint" link is a feature of Strathprints and is displayed on the abstract pages of research outputs. The link is displayed to users when a record about a research output contains: one or more restricted documents (e.g. one or more of the outputs is under a temporary embargo), or; no documents (e.g. the Strathclyde author has failed to deposit a research output). By clicking the "Request Eprint" link, users can submit a request to Strathprints which, in turn, generates an email to members of the SPRD team requesting a copy of the restricted/missing items. SPRD staff can release a copy of the requested item, or contact the relevant Strathclyde author to secure a copy. The "Request Eprint" link therefore facilitates so-called “Almost Open Access”. Strathclyde authors are encouraged to respond positively to such manuscript requests since they are a key mechanism of providing legitimate and legal access to research outputs that are not Open Access or might otherwise be inaccessible.

Authors using academic social networks, such as ResearchGate or Academia.edu, may receive similar requests from users of these systems.

- 3.15 **Disseminating outputs on social media:** Dissemination and discovery of academic literature through social media channels such as Twitter particularly, but LinkedIn and Facebook too, is increasing. There is also emerging evidence that research exposed via social media can influence the citation and impact of that research.

Note that only a limited number of individuals within a given social network will enjoy access to a ‘paywalled’ version of your output. Thus, where Strathclyde authors choose to use social media to disseminate details of their output, they are also encouraged to disseminate an Open Access version to ensure the widest possible readership and maximum social sharing potential. Referencing a Green OA

version of the output (e.g. from Strathprints) adds value to social media contributions rather than simply referencing the DOI of the final published version only.

- 3.16 **Academic social networks:** The University of Strathclyde welcomes the use of academic social networks by researchers, subject to the guidance below. Popular academic social networks include ResearchGate, Academia.edu and Mendeley. Such services allow researchers to enhance the digital reach of their research by enabling interactions within dynamic scholarly social networks.

Strathclyde researchers should avoid uploading research outputs to any of the aforementioned websites. The commercial nature of these websites means that in many cases the uploading of research outputs will violate any CTAs authors may have signed. The University of Strathclyde cannot check the copyright for research outputs uploaded to academic social networks, nor does it take any responsibility for outputs uploaded to these sites. Please note that researchers can still participate in these services without uploading files as most will cache online copies of academic papers (captured from institutional repositories). Researchers can therefore continue to network and respond to article requests without uploading files. Additional legal guidance is available from Copyright & Information Compliance, at:

<https://www.strath.ac.uk/professionalservices/is/compliance/ownership/> .

Strathclyde repository services operate a take-down policy, whereby if copyright is challenged, the offending output will be removed from the public view within 24 hours of the request being received and the copyright will then be checked. All research outputs that are made publicly available through Strathclyde systems are checked by qualified staff members.

Notwithstanding the recommendations not to upload files to academic social network websites, staff should note that uploading research outputs to academic networks does not fulfil the requirements of any Open Access policies nor does it fulfil the requirements of this guidance. Only the upload of research outputs to PURE (and ergo Strathprints) can ensure compliance with external and internal policies.

4. Responsibilities

- 4.1 **Research & Knowledge Exchange Committee (RKEC):** RKEC, chaired by the Associate Principal Research & Knowledge Exchange, Prof. Tim Bedford, is the owner of this guidance document.
- 4.2 **Vice-Deans (Research):** The Vice-Deans (Research) are responsible for promoting awareness and understanding of this guidance within their faculties and ensuring relevant Departmental Research Committees circulate details of the guidance at meetings and/or other relevant departmental research events.
- 4.3 **Individual Strathclyde researchers:** Each Strathclyde researcher will ensure that information about their research outputs are entered in PURE, kept up-to-date, and, where applicable, ensure a copy of the accepted author manuscript (AAM) is uploaded where specified by this guidance. For co-authored outputs it is the responsibility of authors to decide who is responsible for providing this information.

In addition to the aforementioned, it is the responsibility of Strathclyde researchers to ensure that requirements on the dissemination of research outputs, as stipulated by any external research funders (e.g. UKRI, REF, etc.), are met in full and that the publication requirements, as specified above, are followed during scholarly communications (e.g. name disambiguation, use of ORCID where relevant, etc.).

- 4.4 **Principal Investigators:** As well as ensuring outputs which are the outcome of research funding meet the conditions set out in 4.3, Principal Investigators should ensure projects, related dataset information and project impacts be linked to relevant research outputs. This can be achieved via the 'Relations' section of the research output template in PURE. See the PURE user guides for more information on how to add relations within research outputs to projects, datasets or other research outputs, at: <https://moss.strath.ac.uk/rkesportal/>.
- 4.5 **Supervisors:** Supervisors of postgraduate research students are responsible for ensuring this guidance is communicated to, and actioned by, their supervisees.
- 4.6 **RKES and ISD:** RKES and ISD are responsible for ensuring that systems and processes are implemented to support the objectives of this guidance. This includes but is not limited to:

- Delivering help and support on all aspects of the guidance, including requirements under the REF policy on OA, funder compliance and publisher policies on issues surrounding Open Access;
- Providing help and advice on using all systems referenced in the guidance, such as PURE, Strathprints but also externally hosted tools such as Google Scholar and the various name disambiguation services outlined.

5. Further information

Specific enquiries about this guidance can be directed to openaccess@strath.ac.uk.

General information about the topics covered in this guidance are available from the University of Strathclyde Open Access pages (<http://www.strath.ac.uk/openaccess/>) and the RKES Support pages within the RKES Portal (<https://moss.strath.ac.uk/rkesportal/>).

6. References

- [1] SPARC Europe, "The Open Access citation advantage: list of studies and results to date," *SPARC Europe*, 2016. [Online]. Available: http://sparceurope.org/oaca_table/.
- [2] H. A. Piwowar and T. J. Vision, "Data reuse and the open data citation advantage," *PeerJ*, vol. 1, p. e175, Oct. 2013.
- [3] H. A. Piwowar, R. S. Day, and D. B. Fridsma, "Sharing Detailed Research Data Is Associated with Increased Citation Rate," *PLoS ONE*, vol. 2, no. 3, p. e308, Mar. 2007.

Appendix A

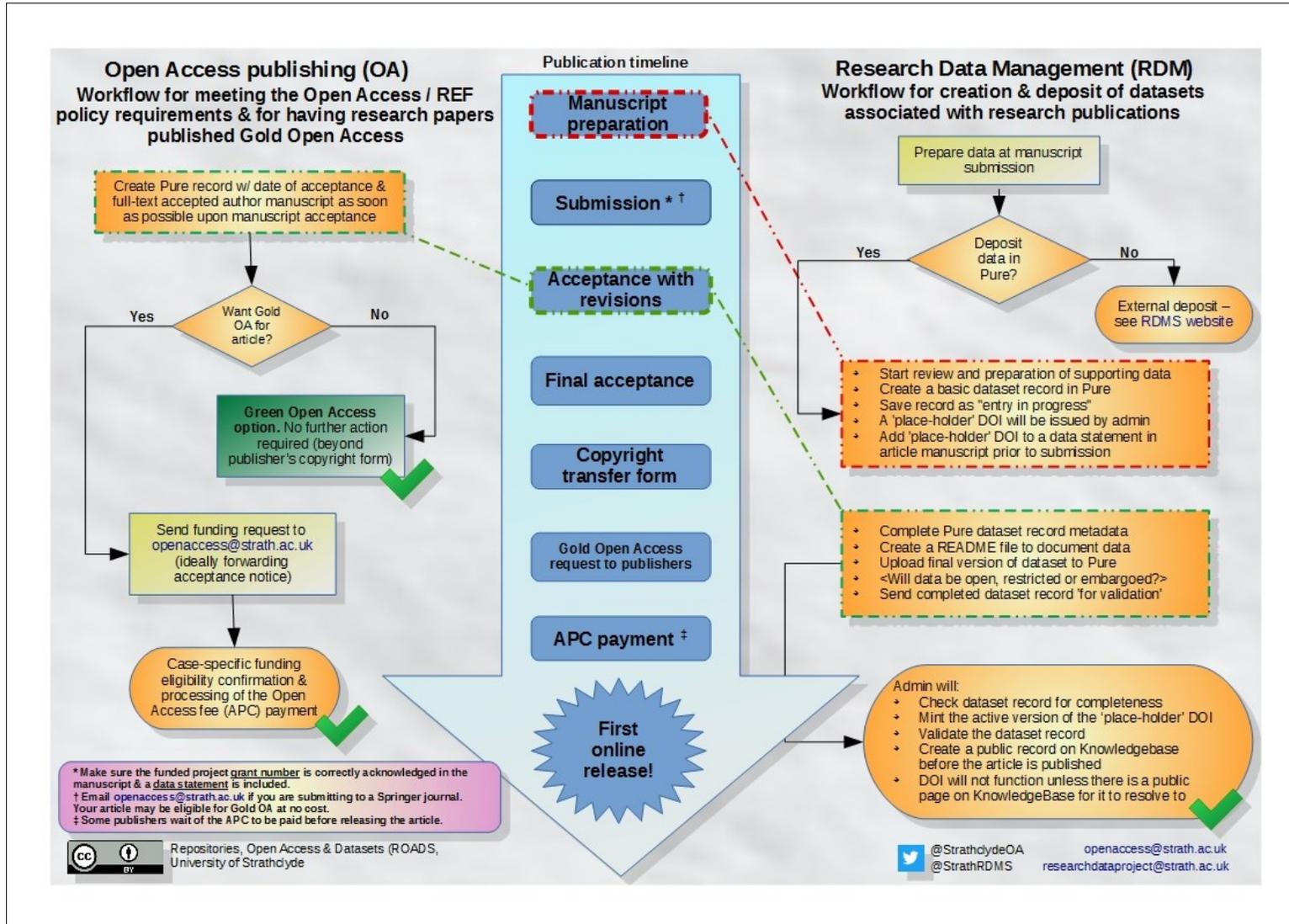


Figure 2: Open Access publication workflows and Research Data Management workflows run in parallel and with connections throughout. The above integrated workflow diagram is designed to simplify the process of making publications Open Access and their related research dataset(s).