BRUNEL UNIVERSITY LONDON RESEARCH PUBLICATIONS POLICY

Brunel University London produces world-class research and is committed to ensuring free access to all our research outputs to maximise its usefulness to the wider research community and society in general.   The University has an Open Access Mandate which forms part of an overarching Code of Research Integrity. The University's Publications Database (BRAD) and Institutional Repository (BURA) provide the mechanism for meeting the requirements of the mandate by recording details of all published outputs and making full-text versions easily available online.

1.   PURPOSE

The University's Open Access Mandate was first approved by Senate in 2009. The most recent version (September 2014) is as follows:

Brunel University London Open Access Mandate

All staff are expected to place new research publications in the University's research database BRAD and the University's research archive, BURA, subject to publishers' copyright permissions.

It is the responsibility of the staff member to comply with this mandate, using the support of Library Services to resolve any queries if necessary.

It is the responsibility of Institutes and Colleges to assure staff compliance with the Open Access mandate. Compliance rates for BRAD and BURA will form part of the University Research Plan KPIs and the Institute and College Research Plans.

Individual compliance with the Open Access mandate will form part of an individual's Personal Research Plan and the University's promotion criteria.

This research publications policy supports Brunel's commitment to the Open Access Mandate and outlines the requirements for effective management and dissemination of all research publications by Brunel authors. There are three main drivers underpinning this policy:

   a. The changing HEI landscape. Government and many funders, including Research Councils UK, are mandating Open Access for the research they have funded. To be eligible for REF submission, HEFCE policy also requires that all journal articles and conference proceedings accepted for publication after 1st April 2016 must be made OA by depositing the full-text in an online repository. Equally, HEI's are increasingly required to evidence the impact of publicly funded research to demonstrate return on investment.

   b. Brunel's strategic ambitions.   Brunel has long recognised the potential for greater worldwide visibility with increased citations and research collaborations offered by Open Access. In 2010, Brunel adopted an Open Access mandate to ensure its current research reaches the widest possible audience and BRAD / BURA provide the means to build upon and consolidate its research reputation.

c. The growing need for research intelligence. Taken together our publications database (BRAD) and our institutional repository (BURA) forms our current research information systems (CRIS). Greater use of our CRIS supports the effective management of research information, enabling Brunel to collect, evaluate and return data to national assessment exercises such as the REF and monitor research performance by a range of indicators.

2. AIMS

The aims of our Publications Policy are threefold:
- To outline the University's expectations of Brunel authors in recording their research activity using the University CRIS.
- To provide information of the roles and responsibilities of University staff in providing information and support in the effective management and dissemination of Brunel research for maximum impact.
- To facilitate the preservation, curation and ongoing access to research outputs.

3. SCOPE

This includes all employees of Brunel University London, where publication is an expectation of their employment and to postgraduate students. The policy is mandatory for research outputs that constitute journal articles and conference contributions. Its adoption is encouraged for other types of outputs, including books and book chapters, digital artefacts, and other types of publications.

Postgraduate Students submitting PhD theses should follow the guidance and policy in the Code of Practice for Research Degrees.

The Research Publications policy does not apply to undergraduate or master's students, administrative staff or to Brunel's collaborative partners.

<u>Research Outputs</u>

Research outputs are defined as published or publically presented results of research work completed at the University.

Research outputs will have normally been subject to recognised peer review.

Typically, these outputs would be published reviews, original journal articles, monographs, books, book chapters, patents, works of art or performance or art compilations, and digital media. Published conference papers may be included, while unpublished conference paper presentations would not normally be included.

The policy notes that research outputs that constitute journal articles and conference contributions have different requirements in the REF from other output types and differentiates them accordingly (section 4.1 and 4.2).

4. POLICY REQUIREMENTS

4.1 For research outputs that constitute journal articles and conference contributions. :

1. Brunel University London requires from the 1ˢᵗ April 2016:
    a. Authors record bibliographic details of all research outputs in the University's publications database (BRAD), **at the time of acceptance for publication.**
    b. Authors deposit full text copies of all journal articles (i.e. the final author version after peer-review and before type-setting) and all conference papers in BRAD **at the time of acceptance and use the deposit function to push it through to BURA.** This meets funders and government Open Access compliance requirements.
2. Where publisher copyright permissions allow and there is no confidentiality or commercial constraints, the research outputs in the institutional repository (BURA) must be made 'Open Access', i.e. deposited material should be discoverable, and free to read and download, for anyone with an Internet connection.

3. Authors must comply with the funders' policies relating to Open Access and research data management.

4. Authors must use a standardised institutional affiliation including "Brunel University London" in all research outputs to ensure clear affiliation. Brunel University London must also appear in the first line of the address.

5. Authors must acknowledge the source of grant funding associated with a research output in the publication itself. Information about the grant should also be linked, by the author, to the record of the publication in the University Publications Database (BRAD). Grant information in BRAD is fed automatically from the University's Grant Information System.

6. Authors should include an individual ORCID ID when submitting publications, applying for grants, and in any research workflow to ensure that the individual is credited for their work and that the correct institutional affiliation is achieved.

7. The policy applies to all peer reviewed research outputs published under University affiliation, including those published by PhD students. Where the student is publishing peer reviewed research with a member of academic staff the responsibility for compliance lies with the academic. In other cases where a student is publishing peer reviewed research, section 1a may not apply and the student should seek guidance from Library research support regarding dissemination through BURA.

4.2 For all other types of research output:

8. Brunel University London requires from the 1ˢᵗ April 2016:

      a. Authors record bibliographic details of all research outputs in the University's publications database (BRAD), **at the time of acceptance for publication, where possible or within two months of the point when the output enters the public domain.**

      b. Authors have the option to deposit full text copies of research output in BRAD and are encouraged to do this where it is possible **and to use the deposit function to push it through to BURA.**

9. Where publisher copyright permissions allow and there is no confidentiality or commercial constraints, the research outputs in the institutional repository (BURA) must be made 'Open Access', i.e. deposited material should be discoverable, and free to read and download, for anyone with an Internet connection.

10. Authors must comply with the funders' policies relating to Open Access and research data management.

11. Authors must use a standardised institutional affiliation including "Brunel University London" in all research outputs to ensure clear affiliation. Brunel University London must also appear in the first line of the address.

12. Authors must acknowledge the source of grant funding associated with a research output in the publication itself. Information about the grant should also be linked, by the author, to the record of the publication in the University Publications Database (BRAD). Grant information in BRAD is fed automatically from the University's Grant Information System.

13. Authors should include an individual ORCID ID when submitting publications, applying for grants, and in any research workflow to ensure that the individual is credited for their work and that the correct institutional affiliation is achieved.

14. The policy applies to all research outputs, including those published by PhD students.

5.   PLACE OF PUBLICATION FOR JOURNAL AND CONFERENCE PROCEEDING OUTPUT TYPES

These output types are subject to specific guidance from funders regarding Open Access. For researchers at Brunel, there are three options for making research material open access (OA). For some routes, article publication charges and submission fees (APCs) may apply.

Journals may offer a Gold OA option (pay to publish), or a Green OA option, allowing repository deposit (self-archiving), or both. The University has established an Open Access Publishing Fund to facilitate Brunel researchers who need or wish to use a Gold OA (pay to publish) option.

Authors who are unfamiliar with OA options should contact Research Support in the Library on *openaccess@brunel.ac.uk* for advice.

Authors submitting under a pay to publish open access journal, should contact Research Support in the Library to check whether they will be covered by Brunel's Institutional open access funds before submitting the paper.

Authors should note that it is not usually possible to pay an APC retrospectively for a paper that has previously been published.

For journal and conference proceeding output types:

1. Authors are responsible for the mode and place of publication, but must ensure their chosen publication route meets any mandated funder and/or external research assessment requirements.
2. Where an author receives external funding from a funder who mandates open access and supplies an institutional block grant, the author should contact Research Support in the Library on *openaccess@brunel.ac.uk* at the point of article acceptance to obtain funds and ensure compliance.
3. Where an author does not receive external funding, the author should consider Open Access when choosing the point of publication. Where possible, they should publish under a Green OA option. Where this is not possible or the journal has an embargo period exceeding 12 months they should contact Open Access Publishing on *openaccess@brunel.ac.uk* at the point of acceptance, or earlier if determined by the journal, to request their research output is published via the Gold route (i.e. immediate public availability).
4. When place of publication has been agreed with Library services, the Researcher remains responsible for pushing the publication through to BURA in a timely manner.
5. Research Support (Library Services) will check publications for HEFCE and funder open access compliance, apply embargoes where appropriate, and make the bibliographic records and full text of all research outputs publicly available on BURA.
6. In order to support processes of funder open access compliance, and where funding has been obtained to publish via the Gold Route, information about the grant should also be linked, by the author, to the record of the publication in the University Publications Database (BRAD).
7. Authors should take steps to safeguard IP throughout the entire publication process (help and advice on copyright and IP is available from the Library and the RSDO respectively).
8. Authors should comply with publisher agreements regarding copyright.
9. Authors should comply with the University Research Data Management policy and Funder Research Data Management Policy.
10. Authors should comply with requests from the University for additional information for audit purposes.

6.   RESPONSIBILITIES

Research and Knowledge Transfer Committee (RKTC)

The RKTC, chaired by the Deputy Vice-Chancellor (Research), is the owner of this policy.

College Research Committees (CRC)

College and Institutes Heads of Research and their Research Managers are responsible for:

- Promoting awareness and compliance with this policy in their College.
- Collaborating with Library Services on advocacy, communications and training needs

- Raising awareness of the policy requirements and processes (use of BRAD) at all levels of College from senior management through to faculty academics and administrators
- Conducting College level research assessment exercises and monitoring, benchmarking and forecasting College level research activity

Research Support - Library Services

Research Support within the library is responsible for:

- Providing advice and guidance on all aspects of this policy including funder open access and publisher policies; and compliance with copyright and embargo periods. The SHERPA Romeo websites provides details of copyright permissions whilst SHERPA FACT helps authors establish whether a journal is compliant with RCUK or Charity Open Access Fund (COAF)
- Providing advice and guidance on the use and development of BRAD as the Institution's current research information system which is used to capture, record and report on all research activity across the University
- Leading on advocacy, training and promotional activity around open access publishing and the use of BRAD and BURA to meet open access requirements
- Providing on-going library support for BRAD, including data quality checking bibliographic records and full-text, importing records, and helping researchers upload full-text papers
- Administering Open Access funding streams to pay for Gold OA, including record keeping, funder and publisher liaison
- Supporting University level assessment exercises in relation to research outputs
- Horizon scanning for technological, funder and sector developments that may impact on scholarly publishing

Researchers

Brunel researchers are responsible for:

- Ensuring they maintain an accurate and up-to-date list of all their research outputs
- Ensuring they link their publications with any funding they have received
- Ensuring they maintain full and complete metadata records of their research outputs in BRAD
- Depositing an appropriate version of their full-text publications upon acceptance
- Using the Creative Commons CC-BY attribution licence, wherever possible, which permits publication reuse to ensure widest possible dissemination
- Ensuring that any funder requirements are complied with, including making papers Gold OA and depositing copies in an appropriate subject repository, for example EuropePubMedCentral
- Monitoring the visibility of their publications in BURA

Postgraduate students submitting PhD theses

Under *Senate Regulation 5* all students enrolled on research degrees (e.g. MPhil, PhD) must provide the Library with an electronic version of their successful thesis for archival in *BURA*, the University's open access research repository. The only exceptions to this requirement are submissions for PhD by the Published Works route and submissions for higher doctorates.

To meet this regulation, Postgraduate students should follow the processes outlined in the Code of Practice for Research Degrees.

Further information and advice regarding submitting theses can be found in the BURA policy and on the BURA website.

7.   COMPLIANCE WITH THE POLICY

Individual compliance with this policy will meet the University's Open Access mandate.

The University intends to use BRAD as part of REF, Mock REF and other research assessment exercises. Outputs that are not compliant with the policy and are not on BRAD in a timely manner may be treated as not made available in the public domain and excluded from inclusion in these exercises by the University.

Research Support (Library Services) will use BRAD to identify compliant publications and will provide periodic statements to RKTC and CRC on the volume of research activity recorded in BRAD and the number of full-text deposits in BURA. This will indicate levels of academic engagement across the university, enabling targeted support and encouragement.

8.   POLICY CROSS REFERENCING

http://www.brunel.ac.uk/__data/assets/pdf_file/0007/384235/research-integrity-code.pdf

http://www.brunel.ac.uk/life/student-handbook/policies Brunel Open Access Mandate

http://www.brunel.ac.uk/__data/assets/pdf_file/0008/372392/SEN6502-Senate-RKT-APPX1-Brunel-University-RDM-Policy-final-approved-version.pdf

This policy was APPROVED by Research and Knowledge Transfer Committee of Senate in April 2016.