

NOTTINGHAM TRENT UNIVERSITY

PUBLICATIONS POLICY

1. Background

- 1.1 The University recognises that publications resulting from research, scholarship and practice are extremely important assets. As such, the University believes they should be managed in a way that ensures that they provide maximum value both to academic staff, whose activity they represent, and collectively to the institution. The academic community has an essential role to play in the generation and publication of scholarly outputs, while the University has an important role to play to support academic staff in the preparation of the publications, and as the curator of those assets.

2. Aim

- 2.1 Ensure effective publication, dissemination, communication, and curation of NTU research and scholarship, safeguarding output eligibility for submission to the Research Excellence Framework (REF).

3. Research Outputs

- 3.1 For the purposes on this policy, research is defined as the creation of primary empirical research, the development and testing of theories, the use of methodological studies and philosophical inquiry and analysis. This could also include the maintenance of the intellectual infrastructure in forms such as dictionaries, catalogues and contributions to major research databases. Research outputs are the formal outputs from these activities.

3.2 Objectives

- 3.2.1 Ensure that research outputs are prepared and curated in a way which:
- safeguards NTU output eligibility for submission to the REF;
 - supports the collation of data and information that:
 - HEFCE expects institutions to retain in order to fulfil the submission requirements of the REF, as well as any audit of that submission;
 - NTU is expected to retain to fulfil the reporting requirements of research funders such as RCUK.
 - maximises the intellectual, scientific, economic, social and cultural impact of NTU publications, increasing the number of publications in journals of high-impact (as defined by Scopus and other databases, as appropriate);
 - increases the number of citations of NTU publications.

3.3 Expectations

- 3.3.1 It is expected that NTU Staff undertaking research will:

- 3.3.1.1 For publications included within their 'Individual Research Plan', develop a dissemination plan based on the Publication Good Practice Guidelines.

- 3.3.1.2 Use a standardised institutional affiliation "Nottingham Trent University" in all research outputs to ensure clear affiliation with NTU.
- 3.3.1.3 Register for an individual ORCID (Open Researcher and Contributor ID identifier) and include it when submitting publications to publishers, when 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. An ORCID identifier will also be required for submission of all deposits to IRep, the NTU institutional repository.
- 3.3.1.4 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 added to IRep.
- 3.3.1.5 Where available, take advantage of opportunities to publish their work in an open access form offered by journal publishers, making use of the NTU Open Access Publication Fund, where appropriate, in order to pay open access publication fees.
- 3.3.1.6 Deposit where copyright allows, all research outputs that are journal articles and conference proceedings with an ISSN (International Standard Serial Number), into IRep upon acceptance for publication:
 - The output must have been deposited as soon after the point of acceptance as possible, and no later than three months after this date (as given in the acceptance letter or e-mail from the publication to the author). Staff are asked to provide the version of their output that is as close as possible to the published version; to be eligible for REF submission, the output must have been deposited as the author's accepted and final peer-reviewed text (which may otherwise be known as the 'accepted author manuscript' or 'post-print'). Staff will be expected to add embargo details for the journal, following a check on SHERPA/RoMEO;
 - Following publication of the output, the depositing author is responsible for updating the record in IRep via PubSub with full bibliographic details, including the date of publication; the IRep record will need to be updated as soon after the point of publication as possible, and no later than one month after this date.

It is expected that employees will recognise the importance of ensuring that all journal articles are placed into IRep as soon after the point of acceptance as possible, and no later than three months after this date. Refusal or failure to do so is likely to make the submission ineligible for consideration to the REF and could lead to formal disciplinary action being taken.

- 3.3.1.7 Deposit where copyright allows, the full text of book chapters and monographs that report original research. The output must have been deposited as soon after the point of publication as possible, and no later than three months after this date.

3.3.1.8 For practice-based outputs, deposit (where copyright allows) supporting digital content illustrating the nature of the work. The output must have been deposited as soon after the point of publication as possible, and no later than three months after this date. For the purposes of the NTU Publications Policy, the following IRep types are included within the definition of practice-based outputs:

- Composition;
- Digital or visual media;
- Exhibition; and
- Performance.

3.3.1.9 Deposit into IRep bibliographic details of all other research outputs, providing the full text where appropriate.

3.3.2 It is expected that newly appointed staff undertaking research will:

3.3.2.1 Deposit into IRep all research outputs that are journal articles and conference proceedings with an ISSN, which were authored at a previous UK HEI and accepted for publication after 1 April 2016. Staff are asked to provide the author's accepted and final peer-reviewed text (which may otherwise be known as the 'accepted author manuscript' or 'post-print').

3.3.2.2 Deposit into IRep bibliographic details of all other research outputs published from 1 January 2014 onwards that were authored at a previous HEI, providing the full text where appropriate.

3.3.3 It is expected that the library will:

3.3.3.1 Ensure that all research outputs which are journal articles and conference proceedings with an ISSN, are normally added to IRep within 5 working days of submission providing:

- output details are submitted via PubSub (the IRep submissions system);
- the Open Access policies of the publisher have already been identified following a discussion with a Research Support Librarian; and
- the appropriate copyright cleared version of the article is submitted alongside the required metadata.

Details of all other research outputs will normally be added to IRep within 15 working days.

3.3.3.2 Add license statements or statement of rights and any other copyright statements required by the publisher (where the depositing author has provided this data). Following publication of a journal article (or conference proceedings with an ISSN), the library will update relevant metadata within IRep for those outputs initially deposited on acceptance (following provision of this data from the depositing author within PubSub), and set the embargo.

3.3.3.3 Work with School ADRs to ensure that Research Support Librarians provide effective support to NTU staff undertaking research, including guidance on HEFCE and funder open access policies, publisher open access policies, and dissemination strategies. Within three months of appointment, the library

Research Team will contact newly appointed members of academic staff undertaking research in order to provide them with an overview of the NTU Publications Policy.

3.3.3.4 Provide management data and reports to complement the NTU appraisal process, and annual cycle of Schools' research planning, including:

- Reports detailing academic staff engagement with IRep, compliance with the NTU Publications Policy, and (where relevant) compliance with HEFCE and funder open access policies;
- Citation analysis data and reports, using Scival or other datasets as appropriate.

3.3.3.5 In liaison with the Research Office, undertake a quarterly audit of journal articles and conference proceedings with an ISSN that are included within the NTU Unit of Assessment outputs spreadsheets, with the aim of clarifying the compliance status of these outputs in relation to the HEFCE 'Policy for open access in Research Excellence Framework 2021'. Details of non-compliant outputs that could still be submitted to the REF as 'exceptions' will also be provided.

3.3.3.6 Administer the NTU Open Access Publication Fund on behalf of the University, providing School ADRs with regular reports on Article Processing Charge expenditure.

3.3.4 It is expected that School Associate Deans for Research (ADRs), working with Unit of Assessment Coordinators, will:

3.3.4.1 Provide advice on which publications should be prioritised for OA funds within any particular School, identifying key areas of research and ensuring that HEFCE and funder policies are met.

3.3.4.2 Monitor compliance with, and exceptions to, the NTU Publications Policy, ensuring that HEFCE and funder policies are met. Issues surrounding non-compliance with the NTU Publications Policy will be raised with the relevant line manager of the NTU member of staff.

3.3.5 It is expected that line managers of NTU staff undertaking research, will:

3.3.5.1 Within the annual appraisal process:

- Explore the output and publications to ensure appropriate progress and compliance with the policy.

4. Outputs of Scholarship

4.1 There are many definitions of scholarship. For the purposes of this policy, scholarship is defined as scholarly activities which broadly equate to the "Integration" (synthesis of knowledge across disciplines, topic or time), "Application" (use of disciplinary expertise externally to aid society/ community) and "Teaching and Learning" (study, development and sharing of pedagogic models and practices)

categories in Boyer's¹ scholarship model. Scholarship outputs are the formal outputs from these activities.

4.2 Expectations

4.2.1 It is expected that NTU staff when writing scholarship publications will:

4.2.1.1 Use a standardised institutional affiliation "Nottingham Trent University" to ensure clear affiliation with NTU.

4.2.1.2 Acknowledge funding, support, sponsorship and other forms of input (including that of others who have made substantive intellectual contributions) to the work in an appropriate way.

4.2.1.3 Deposit into the scholarship publications system bibliographic details. *This expectation is currently awaiting the development of the system and associated procedures*

4.2.1.4 Follow the NTU Publication Good Practice Guidelines: Scholarship.

5. Other Supporting documents

- NTU Freedom of Speech Policy
- NTU Publication Good Practice Guidelines: Journal Articles
- NTU Publication Good Practice Guidelines: Monographs
- NTU Publication Good Practice Guidelines: Practice-based Outputs
- NTU Publication Good Practice Guidelines: Scholarship
- NTU Research Data Management Policy

6. Responsibility

Policy Owners	Senior Pro Vice-Chancellor (Research) and Deputy Vice-Chancellor
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7. Document Review

7.1 The Policy will be reviewed by the Senior Pro Vice-Chancellor (Research) in association with the University Research Committee and by the Deputy Vice-Chancellor in association with the Academic Standards and Quality Committee in June 2019.

¹ Boyer, E.L. Scholarship reconsidered: priorities of the professoriate. Carnegie Foundation for the Advancement of Teaching. Available at: depts.washington.edu/gs630/Spring/Boyer.pdf. 1990. and, Boyer, E.L. Scholarship reconsidered: Priorities for the professoriate. San Francisco: Jossey-Bass. 1997

Appendix 1 - Workflow for research outputs

Researchers

Develop a publication and dissemination plan based on the Publication Good Practice Guidelines.

Following review of open access options, liaise with ADR regarding the use of the NTU Open Access Fund (should it be required)

Register for an individual ORCID identifier and include it when submitting publications to publishers, when applying for grants, and in any research workflow to ensure that the individual is credited for their work

Use a standardised institutional affiliation "Nottingham Trent University" in all research outputs to ensure clear affiliation with NTU.

Deposit where copyright allows, all research outputs into IRep (see below for further detail)

ADRs

Provide advice on which publications should be prioritised for OA funds within any particular School, identifying key areas of research and ensuring that HEFCE and funder policies are met

Monitor compliance with, and exceptions to, the NTU Publications Policy, ensuring that HEFCE and funder policies are met. Issues surrounding non-compliance with the NTU Publications Policy will be raised with the relevant line manager of the NTU member of staff.

Library

Ensure that all research outputs which are journal articles and conference proceedings with an International Standard Serial Number (ISSN), are added to IRep within 5 working days of submission. Details of all other research outputs will normally be added to IRep within 15 working days

Following publication of a journal article (or conference proceedings with an ISSN), the library will update relevant metadata within IRep for those outputs initially deposited on acceptance (following provision of this data from the depositing author within PubSub), and set the embargo.

Provide management data and reports to complement the NTU appraisal process, and annual cycle of Schools' research planning

Administer the NTU Open Access Publication Fund on behalf of the University, providing ADRs with regular reports on Article Processing Charge expenditure.

