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Annex to: Decision on policy for scientific publishing

## Policy for scientific publishing

There are four SLU core values: scientific approach, creativity, openness and responsibility. SLU research is to be of the highest quality, and the university must promote and stimulate ground-breaking, excellent research. Furthermore, society must be able to access and benefit from SLU's research.

The following policy for scientific publishing aims to ensure that research conducted at SLU receives recognition and is distributed, utilised, and published through high-quality channels. In this document, "quality" refers to the quality of the publication channel – not the quality of the research itself.

Due to the rapidly changing nature of the publishing world, this policy should be reviewed every two years, or at shorter intervals if necessary.

### Accessibility, visibility and quality

It is important that scientific publications live up to the scientific community's principle of promoting open science.

- SLU researchers are encouraged to publish their work in relevant, well-reputed national and international peer-reviewed publications. This is to encourage the best possible quality and visibility.
- Ideally, all scientific publications produced by SLU should be open access.
- All peer-reviewed articles published must be open access. This can be achieved in several ways by:
  - 1) publishing articles open access in journals
  - 2) self-archiving in the SLU publication database.
- SLU researchers are encouraged to publish other types of research outputs open access, for example, book chapters, monographs, conference contributions, working papers, preprints, posters and datasets. Research

outputs can be published in the SLU publication database or on other suitable platforms. Researchers are also recommended to share their findings via digital channels such as blogs and social media.

- Researchers at SLU should avoid entering into contracts with publishers who restrict the possibility of open access publishing.
- In addition, SLU researchers are strongly advised to create an Open Researcher & Contributor ID (ORCID). The ORCID should be provided in conjunction with publishing in journals and other channels.
- It is important for researchers to publish their results via channels accessible to the general public, such as in popular science books and journals, or daily newspapers.
- The library can provide information about how to evaluate the quality, reliability, visibility and accessibility of journals and other publication channels.

## Affiliation

Correct affiliation is essential so publications can be found and linked to SLU and the correct department when bibliometric analyses are conducted, during evaluations, and allocation of funding. When providing an address to a journal or a publisher, the following information marked in bold is mandatory:

**Department name**, any additional attributes, **Swedish University of Agricultural Sciences**, department's postal address with PO Box no. and postcode, **Sweden**.

**Institutionens namn**, eventuell ytterligare bestämning, **Sveriges lantbruksuniversitet**, institutionens postadress med box- och postnummer, **Sverige**.

Only state multiple affiliations (several separate addresses) if you are actively employed at multiple organisations and have conducted the underlying research of the publication within the framework of these employments.

## Division of responsibility in relation to the SLU publication database

The SLU publication database – SLUpub – lists and displays the university's research, and all publications produced by SLU researchers must be registered in the database. Guidelines for a clear division of responsibility amongst employees who work in the database are essential to ensure the content is up to date and of high quality.

**Researchers** must ensure that their publications are registered in SLUpub. They must also make sure to include a version of peer-reviewed articles that can be self-archived.

Each year, the **head of department** must verify and approve the list of publications that the library has recorded as affiliated with the department.

The **library** is responsible for the quality of the metadata stored in the publication database and provides supporting information for verifying publications and authors' departmental affiliations.

## Appendix to the Policy for scientific publishing

Contents of the appendix:

1. Affiliation
2. Division of responsibility for the SLU publication database
3. Publishing channel and open access
4. ORCID

## 1. Affiliation

### 1.1 Importance of correct affiliation

Correct affiliation is important for several reasons:

- To be able to identify a university's publications by searching for the author's affiliation stated in the address. Both national and international organisations use this information to compile data for bibliometric analyses.
- The SLU publication database – SLUpub – links publications to departments. The address the author states in the publication provides a basis for this affiliation as part of the library's validation procedures.
- To ensure that citation databases can identify an organisation's publication. For example, Web of Science and Scopus compile an organisation's publications to make it easier for database users to retrieve publications. By using the university's name (Swedish University of Agricultural Sciences), you ensure that the publication is included in these contexts.
- You must also state the country in the address, as this is one criterion used to identify an organisation's publications in Web of Science.

### 1.2 The university's name

- You must use the university's name, **Swedish University of Agricultural Sciences**. For publications in Swedish, use Sveriges lantbruksuniversitet.
- Do not use the abbreviation SLU.

### 1.3 Full affiliation

Include the full address as written in one of the two examples below (the information in **bold** is mandatory).

- **Department name**, any additional attributes, **Swedish University of Agricultural Sciences**, department's postal address with PO Box no. and postcode, **Sweden**
- **Swedish University of Agricultural Sciences**, **Department name**, any additional attributes, the department's postal address including PO Box and postcode, **Sweden**

“Any additional attributes” can be used to state the name of a division or collaborative centre, and similar that is based on collaboration.

Depending on where to publish there may be different rules for what information should be included and in what order. Below are three useful examples:

- **Department of Crop Production Ecology**, Linnean Centre for Plant Biology, **Swedish University of Agricultural Sciences**, Uppsala, **Sweden**

- **Department of Forest Genetics and Plant Physiology, Umeå Plant Science Centre, Swedish University of Agricultural Sciences, 901 83 Umeå, Sweden**
- **Swedish University of Agricultural Sciences, Department of Aquatic Resources, Institute of Freshwater Research, Stångholmsvägen 2, SE-178 93 Drottningholm, Sweden**

#### *1.4 Multiple affiliations (several different addresses)*

Only state multiple affiliations (several separate addresses) if you are actively employed at multiple organisations and have conducted the underlying research of the publication within the framework of these employments.

## 2. Division of responsibility for the SLU publication database

SLUpub is a central resource for collating, disseminating and displaying information about SLU publications. The database is used as a basis for bibliometric analyses (such as the annual publication-based allocation model and the Quality and Impact (KoN2018) research evaluation); as a platform for SLU's electronic publishing; as a source for generating publication lists for individual researchers and SLU departments; and for supplying publication data to internal and external systems.

Below, you can read the instructions for researchers, heads of department and the library about the various SLUpub procedures, and the responsibilities held by the different roles.

### **Researchers**

- Researchers have until January each year to ensure that any publications from the previous year have been registered in SLUpub.<sup>1</sup> However, it is recommended that new publications are continuously registered in order to ensure that the data in SLUpub is up to date.
- When registering, researchers must make sure they include a link to or copy of the publication.
- When registering peer-reviewed articles, the researcher must include a version for self-archiving.
- In the event of self-archiving of research outputs other than peer-reviewed articles, the researcher must ensure that the copyright holder's permission has been granted.
- Researchers must register their ORCID in SLUpub.

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<sup>1</sup>The library will determine the specific deadline and notify those affected.

### Head of department

- The head of department must ensure that the correct personal and organisational data has been registered for the department's researchers.<sup>2</sup>
- The head of department must verify and approve publications that have been linked to the department via the researcher's affiliation. This can be a continual procedure, although it can be done at least once per year after the library checks researcher registrations.

### Library

- The library is responsible for the validation of publication records in SLUPub. Validation refers to checking and supplementing metadata for a registered publication.<sup>3</sup> Validation does not refer to an assessment of the actual publication content.
- The library will provide support for researchers self-archiving, such as help regarding access and usage rights and copyright matters.
- The library will check that full texts of peer-reviewed articles are allowed to be self-archived in SLUPub.
- The library is responsible for ensuring that articles published under the Creative Commons (CC) licence are self-archived without further intervention from researchers.<sup>4</sup>
- The library will continually import and validate new publication records from Web of Science.
- The library must provide documentation about the previous year's publications by department. This documentation is verified and approved by the head of department.
- The library is responsible for the inclusion criteria and metadata processing practices in SLUPub.
- The library is responsible for maintaining the registry system and steps for increasing data quality.

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<sup>2</sup> Directory administrators at each department usually do this by registering researchers in IDIS, which then supplies SLUPub with personal and organisational data. If no personal and organisational link is available in IDIS/SLUPub, the head of department must provide the library with the relevant information.

<sup>3</sup> For publications where there is no affiliation, or where information is insufficient, the library will assume that this information will be the same as the researcher's current employment position.

<sup>4</sup> CC licences for open articles mean that the researcher authorises further distribution and different use of the article, without needing to obtain or grant special permission.

### 3. Publishing channels and open access

This policy aims to promote quality, distribution, visibility and use of the university's scientific publications. Quality, visibility and availability can be achieved in several ways, with open access being the most significant to the principle of open science.<sup>5</sup>

The issue of quality in scientific publishing also raises questions that cannot be addressed by this policy. Publishing quality is often viewed as being on a par with impact and publishing in well-reputed journals. Naturally, the quality of the research is crucial, and the quality of the publication channel is also relevant in this context. The changeover from journal licencing to publishing fees has seen the emergence of a lucrative market for predatory publishers. These publishers use business models for open access in a way that does not conform to either established publishing or editorial practice or good scientific conduct. However, the prevalence of such publishing at Swedish higher education institutions appears to be low.<sup>6</sup> Nevertheless, it is important to help researchers avoid either knowingly or unknowingly publishing their work in these journals. In the long run, this is a matter that needs to be addressed by the research community.

The European Code of Conduct for Research Integrity written by the European Federation of Academies of Sciences and Humanities, ALLEA, believes that publishing in this type of journal could go against ethical principles and threaten research integrity.<sup>7</sup> The Vancouver guidelines state the researchers themselves have the primary responsibility for avoiding this sort of publishing; researchers should assess the authenticity, quality and practices of the journals they intend to publish in.<sup>8</sup> Researchers need support from the university to help them with these assessments. The SLU library can provide information about several tools and services that can be used to determine a journal's authenticity. These include: thinkchecksubmit.org, Cabell's Blacklist, Directory of Open Access Journals (DOAJ) and Committee on Publication Ethics (COPE). The Swedish Research Council is also working to create a list of reliable publishing channels. This should be complete by 2020/2021 and could be useful in this context.

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<sup>5</sup> Open science is a way of making research more accessible and transparent for other researchers and for society at large. Open science is an umbrella term that includes open access to scientific publications and research data. Here, open access is defined as a publication that is available for everyone to read, free of charge and without needing to register.

<sup>6</sup> Nelhans, G. & Bodin, T. (2020). Methodological Considerations for Identifying Questionable Publishing in a National Context – the Case of Swedish Higher Education Institutions. *Quantitative Science Studies* (Accepted).

<sup>7</sup> <https://www.allea.org/wp-content/uploads/2017/05/ALLEA-European-Code-of-Conduct-for-Research-Integrity-2017.pdf>

<sup>8</sup> The Vancouver guidelines were published by the International Committee of Medical Journal Editors (ICMJE). They were originally written for medical research, but today, they are applied to a number of different areas. See: <http://www.icmje.org/icmje-recommendations.pdf>.

Traditionally, research was available via subscription services provided by individual universities. However, it is becoming common practice for researchers, universities and funding bodies to finance open access to scientific literature via publishing fees. Both national and international discussions have highlighted how the shift to open access will also result in changes to funding flows. Currently, SLU uses central funding to finance publishing fees for approximately 75% of the journals in which SLU researchers are published. This takes place through an agreement via the National Library of Sweden's Bibsam Consortium and is managed by the library. Being included in this type of agreement has been the main strategy for attaining the national goal of open access. However, the strategy may need supplementing with local efforts on self-archiving in the event that agreements cannot be reached.

In an open science system, research findings are made available for use by decision-makers, industry and the general public to a greater extent than at present. Consequently, external actors such as the EU, the Swedish government and research funding bodies have clear requirements for more transparent and accessible research. As the first step in this transition to more transparency and accessibility, research findings from public funding are being made available to the general public via open access publishing. The government aims to implement this change during 2020, with open access to research data being complete by 2026.<sup>9</sup>

Furthermore, open access is a key component in speeding up the transition to immediate and open publishing of publically funded research in Plan S.<sup>10</sup> Formas is one of the actors to have signed up to Plan S and the new requirements for immediate open access for projects announced as of 2021.

#### 4. ORCID

ORCID (Open Researcher & Contributor ID) is an international service that assigns researchers a unique ID. Using this ID when publishing increases the certainty that research findings are linked to the correct author. SUNET has signed a joint agreement with ORCID, enabling easy and secure access to the ORCID system for Swedish libraries and research organisations. SLU is included in this joint agreement.

The majority of SLU researchers and doctoral students have an ORCID. To ensure maximum visibility in national and international databases and other research information systems, it is important that all active ORCIDs are registered in the SLU publication database. This is particularly helpful when identifying researchers

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<sup>9</sup>EU Commission recommendation 2018/790; Knowledge in collaboration –for society's challenges and strengthened competitiveness (Govt. bill 2016/17:50); Budget bill for 2020, (Bill 2019/20:1), p. 245.

<sup>10</sup>Plan S is an initiative by CoAlition S, an international network of research funding bodies. It aims to accelerate development towards a full-scale open publishing system.

in evaluations such as the Quality and Impact (KoN2018) research evaluation. It also enables individual researchers to receive recognition for their research.

SLU also requires the ORCID to be linked to published data, both with the Swedish National Data Service (SND), and the forthcoming archiving and publishing system for research and environmental analysis data (Tilda).