# Equality, Diversity and Inclusion Impact Assessment

**Title of Policy, Procedure, or Function:**

**School/Directorate: Directorate of IT and Library Services**

**Author/Position: Simon Bains, University Librarian**

**Date Created: November 2022**

1. **Aims and purpose of Policy, Procedure, or Function:**

To enable the University of Aberdeen and its researchers to disseminate their research and scholarship as widely as possible, ensuring compliance with research funder open access requirements under Plan S (https://www.coalition-s.org). Plan S requires that researchers share their findings in an open access way and this policy firms up this process whilst still allowing researchers to publish in the journal of their choice.

The policy supports the existing University Spin-off and IP Policy by enabling researchers to retain the rights to their research when signing licence to publish with academic publishers.

This will be done by including a statement with any submission to a journal stating their intention to retain the right to make any resulting Accepted Manuscript (AM) available under an open licence. They will deposit a copy of the AM in the institutional repository where it will be made freely available under an open licence setting the terms of reuse.

The Open Research Team in the Library will provide support and guidance.

1. **Stakeholders:**

Researchers

The University of Aberdeen

Open Research Team

Wider research community

The public

1. **Additional Consultation/Involvement**

Organisation/person consulted or involved:

Date, method, and by whom:

Location of consultation records:

University Research Committee 11 Nov 2021, 09 March 2022, 28 Sept 2022, Simon Bains, Records held in Central committee archive

Senate 21 Sept 2022, 2 Nov 2022, Simon Bains, Records held in Central Senate archive

University’s law firm, Simon Bains, correspondence available from Simon Bains if required

Discussion with University of Edinburgh Open Research Colleagues, 10/11/2021 Teams meeting Simon Bains, Emma Francis, Joanna Adams

Participation in Research Libraries UK discussions and Jisc on rights retention as a strategic objective nationally, Open Research Team, various dates and events

Brief summary of results of consultation indicating how this has affected the Policy, Procedure, or Function:

A comprehensive strategic consultation process was carried out. The policy proposal was proposed and accepted at University Research Committee (URC), and the subsequent draft policy was also approved by URC. The issue was given profile across the University via a series of blog posts on the University News opinions section and there were some informal conversations with Heads of Schools. Externally, there was engagement with the Research Libraries UK community and with Jisc, and a detailed conversation with the University of Edinburgh, who had already developed and launched a similar policy. The policy also followed an internationally recommended model, established by Harvard University.

The legal robustness of the policy was developed with support from the University’s legal firm. They provided a legal view that recommended such a policy, and were consulted on the wording of the draft. URC were kept informed of this and reassured about legal risk as a result.

The draft policy went to Senate twice; first for an academic view, and then for approval, at which point it was passed with a substantial majority vote.

The University Librarian led policy development, engaged with lawyers, and represented it at all committees.

The Research Publications Policy with reference to the rights retention element has been for the most part well received by researchers and professional services colleagues who recognise the need to make research open access. They are frustrated with having to transfer the rights to their research outputs to academic publishers who place restrictions on how the researcher can share and reuse their research or charge vast amounts of money to publish open access.

**4. Monitoring**

a) Detail method of monitoring of the Policy, Procedure or Function and by whom:

The Open Research Team will use the reporting function in Pure to monitor how many outputs are being made open access with support from the policy and how many outputs are not made open access, queries to the Open Research Team via Freshservice will be monitored and used to identify areas where further support is needed along with monitoring opt-outs of the policy which will be recorded via a web form.

b) Detail how monitoring results will be utilised to develop the Policy, Procedure, or Function:

Results will be used to identify where the policy has been successful and where there are areas where further support or guidance is needed.

c) Timescale of monitoring including proposed dates:

Monthly reports will be generated from the 1st June 2023 onwards with more indepth reviews on a 6 monthly basis.

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| **5. Impact assessment** |
| Select what impact there will be on each group |
| **Characteristic**  | **Positive Impact** | **No Impact**  | **Negative Impact** | **Not Applicable** |
| Age |  | \* |  |  |
| British Sign Language (BSL) |  | \* |  |  |
| Care Experienced or Estranged  |  | \* |  |  |
| Disability (impact may differ according to physical, cognitive, and mental health conditions) | \* |  |  |  |
| Gender Reassignment |  | \* |  |  |
| Marriage and Civil Partnership |  | \* |  |  |
| Neurodivergent |  | \* |  |  |
| Non-binary |  | \* |  |  |
| Parents and carers |  | \* |  |  |
| Pregnancy and Maternity |  | \* |  |  |
| Race |  | \* |  |  |
| Religion and Belief |  | \* |  |  |
| Sex |  | \* |  |  |
| Sexual Orientation |  | \* |  |  |
| Socio-Economic Group | \* |  |  |  |

a) For each negative impact identified above, please state your mitigating actions below with timescales: No negative impact identified

b) Detail how monitoring results will be utilised to develop the Policy,

Procedure, or Function:

The policy will be monitored through the reporting function in Pure to identify numbers of research outputs made open access, supported by the policy and the opt-out form and queries through Freshservice will be used to identify problem areas and where further support may be needed.

c) How is the Policy, Procedure, or Function likely to promote good relations between people with different protected characteristics?

The policy is intended to support the whole University research population in retaining the rights to their research when publishing, this will enable research to be made open access without barriers such as lack of funding to pay for open access or other restrictions placed by academic publishers. Research will be openly available benefitting all stakeholders in research, including communities who may be disadvantaged by research being held behind a paywall.

**6. Publication**

Provide details of arrangements to publish the assessment:

The assessment will be published on the [Equality, Diversity, and Inclusion web page](https://www.abdn.ac.uk/staffnet/working-here/equality-diversity-and-inclusion.php) and in the Policy Zone on the University website.

**7. Review Date:**

Author (name and position): Simon Bains, University Librarian

Author’s signature:

Equality, Diversity, and Inclusion Team member (name):

Equality, Diversity, and Inclusion Team member signature:

**8. Date of submission to Equality, Diversity, and Inclusion Committee:**

Approval (please highlight as appropriate)

Yes No