Open Access Publications Policy

University of Wales Trinity Saint David

Group Open Access Publications Policy

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1. Introduction

The University of Wales Trinity Saint David recognises that the principle of open access to research allows for greater visibility of research, stimulates new research opportunities leading to greater research impact. Making research outputs "Open Access" is now a key policy for major research funders and is common practice across the university research sector. This recognises that publicly funded research is a public good that should be made openly available where it is legally, commercially and ethically appropriate. This Policy is therefore designed to foster broad and inclusive practices of open access publishing across the University and to enable its researchers to comply with funding bodies' requirements on open access to research outputs.

2. Purpose

The University recognises that the transition to open access requires significant cultural change and expects compliance with the Policy with regards to research papers to grow over a transition period from the date it is implemented to April 2016. The exception to this is research outputs funded through research conducted on UK Research Council and Wellcome Trust grants. These must be published on an open access basis upon acceptance. The University has mandated the Green Route to Open Access via the institutional repository as its standard route for sharing research freely and openly. The requirements of its research community in achieving this are set out in this policy.

3. Scope

The University has established a central Open Access Publishing Repository which is maintained by Library and Learning Resources. Based on the ePrints platform the repository provides a basis to showcase and distribute the full range of research produced by the University's research community.

In line with research funders' requirements (see Appendix 1), the repository allows for research outputs to be discoverable to anyone with an internet connection, and to search engines. Likewise anyone with internet access will be able to search electronically within the text, read it and download it without charge. The repository also has the functionality to honour any embargo and copyright restrictions placed upon the output by the publisher. Workflows for depositing outputs in the repository can be found on the repository home page.

With just a few exceptions, major public funders of research require the research they fund to be published on an open access basis. Appendix 1 sets these requirements out in detail. Whilst this Policy will be updated in order to respond to external funders' requirement and evolving policies, it is the responsibility of the grant holder to ensure that any open access conditions made by the funder are met in full where research is externally funded. Research, Innovation and Enterprise Services (RIES) and Library and Learning Resources will be able to advise on compliance.

Of particular note are the adopted policies of the seven UK Research Councils (as represented by RCUK) and of the four UK Funding Councils who allocate quality related (QR) research funding through the Research Excellence Framework (REF). Each require that peer reviewed and published research papers and conference proceedings be published on an open access basis, either free of charge on the publisher's own website, or as the final accepted manuscript in any repository, without restriction on non-commercial re-use and within a defined period. The RCUK Policy has been operative since April 2013, the UK Funding Councils' Policy applies to research peer reviewed and published papers and published conference proceedings (with an ISSN) from April 2016. Papers that do not meet

this requirement will be ineligible for submission to the post 2014 REF. RCUK are currently monitoring compliance rates and expect this to be met in full by April 2018 when the transition period ends.

It should be noted that such policies represent the initial move to open access publishing and it is likely that other forms of research publication will come within the scope of funding policies at some date in the future. Indeed, where the University can demonstrate that it has taken steps towards enabling open access for outputs outside the scope of the present REF and RCUK policies, credit will be given in the research environment component of the post-2014 REF.

Following these developments, this Policy requires that all research outputs produced by staff in the University's employment are submitted to the University's Open Access Repository. There will be two types of deposit in this regard:

- **Type A** which covers research papers published in peer review journals and published conference proceedings with an ISSN;
- **Type B** covering all other research outputs as noted in Table 1 overleaf.

In the case of Type A outputs, any embargo period that shall apply must not exceed the maxima stated in Section 4 below. In the case of Type B outputs copyright restrictions may necessitate that indefinite embargos be placed upon the work. In this regard, the University encourages researchers to enter into open access licensing agreements with all third parties. Further explanation of this is covered below.

Table 1:

TYPE A **Mandatory – with limited embargo periods**	- Peer reviewed research papers published in academic journals / periodicals - Conference proceedings published with an ISSN numbers
TYPE B **Mandatory – with user-defined embargo periods**	All other research outputs, including but not limited to: - Research based monographs - Edited research collections - Published conference papers (with ISBN) - Scholarly editions - Critical editions - Translations - Technical reports - Working papers and research reports - Primary data reports - Exhibition or museum catalogues - Creative writing and compositions - Reports on curatorship and conservation - Databases - Representations of performances and other types of live presentation - Representations of artefacts - Designs and exhibitions - Catalogues - Films, videos and other types of media presentation - Advisory report - Representations of physical artefacts such as buildings, devices, images, installations, materials, products and processes, prototypes. - Digital artefacts such as data sets, multi-use data sets, archives, non-print media, web content such as interactive tools. - New materials, devices, products and processes - Standards documents

4. Policy

Type A: Open Access Routes and Conditions (Green and Gold)

The University has mandated the Green Route to Open Access via the institutional repository as its standard route for sharing research freely and openly. In cases where external funding has been secured for the payment of Article Processing Charges (APCs) the Gold Route may be used. The University is not currently in receipt of a RCUK block grant for this purpose and cannot meet APCs from its own funds.

The move to open access publishing is accelerating the pace of change associated with digital publishing and internet based distribution and publishers' business models and licensing arrangements are likely to undergo further change in the coming years. At present two main routes to Open Access exist:

Green Route[1]. Upon acceptance for publication in the journal or conference proceedings, the author's accepted and final peer-reviewed text (which may otherwise be known as the 'accepted author manuscript' or 'final author version' or 'post-print') must be deposited in the University's Open Access Repository. This will normally be subject to the publisher's conditions which may include an embargo period and restrict the use of final published version of the output (i.e. with the journal's formatting, typesetting, pagination etc). This route does not require the payment of an Article Processing Charge (APC) and is therefore free of charge. 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. To be compliant with this Policy the following maximum embargo periods shall apply:

Either:

- 12 months for REF main panels A and B which include Science, Technology, Engineering and Mathematics subjects (see Appendix 2).
- 24 months for REF main panels C and D which include Social Science, Arts and Humanities subject areas (see Appendix 2).

Or, for research funded through any of the seven UK research councils:

- RCUK will accept a delay of no more than 6 months between on-line publication and the final Accepted Manuscript becoming Open Access.
- In the case of papers in the arts, humanities and social sciences (which will mainly be funded by the Arts and Humanities Research Council (AHRC) and the Economic and Social Research Council (ESRC), the maximum embargo period will be 12 months.

In cases where embargo periods apply the research output must be submitted to the repository within 3 months as noted above. In such cases it will be 'discoverable' and meta-

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[1] Also referred as Route 2 in the Funding Councils' *Policy for Open Access in the Post-2014 Research Excellence Framework,*
http://www.uwtsd.ac.uk/about/strategies-and-policies/

data such as title, place and date of publication, authorship, abstract and references will be freely available. The manuscript itself will not however be accessible until the embargo is lifted. Licensing and copyright restrictions will be checked upon submission to the Open Access Repository, although as detailed in Section 7, this may be a consideration in the choice of which journal to publish in.

Gold Route.[2] In this route the journal provides, via its own website, immediate and unrestricted access to the final published version of the paper, which should be made available using the Creative Commons Attribution (CC BY) licence, and allows immediate deposit of the final published version in other repositories without restriction on re-use. This will be subject to the payment of an Article Processing Charge (APC). If external funding for APCs has been secured this option may be used, although the final published version of the output should also be lodged in the University's Open Access Repository as soon as it is published on-line by the publisher. Where there is immediate benefit in doing so, the accepted author manuscript may be deposited at the point of acceptance and replaced with the final publisher manuscript once it is published.

Type B: Copyright and Licensing
Monographs and edited collections. It is recognised that where monographs or book chapters are concerned, it may not be possible for contractual reasons to make the full text open access. Where this is the case, authors who have an electronic version of their work are encouraged to upload it to the Open Access Repository for preservation purposes. If necessary, an indefinite embargo period can be applied. If no embargo is applied the full text will be made available upon submission. Many publishers are revising their contracts to take account of the growth of open access. Authors are therefore encouraged to negotiate publishing contracts that permit their work to be made available via the institutional repository (with an appropriate embargo period if required). This is already a requirement for some research funders such as the Wellcome Trust and authors should check the terms of their grant before signing contracts with publishers.

Other research outputs: In the case of other types of research output, authors should ensure that no copyright or Intellectual Property (IP) agreement has been breached upon submission and that the necessary permissions are in place to make the full text available without embargo. In each case, Library and Learning Resources and Research, Innovation & Enterprise Services will be able to assist.

Licensing
For externally sponsored research (such as RCUK, Wellcome Trust and the EU) a Creative Commons Attribution (CC BY) licence must be used for research published under the Gold route. This license lets others distribute, remix, tweak, and build upon researchers' work, even commercially, as long as they credit authors for the original creation. This is the most accommodating of licenses offered. It is recommended for maximum dissemination and use of licensed materials. For research published under the green route, which shall be usual practice in the University, a CC BY licence should be sought as a matter of preference, although the open access requirement can also be met by use of the minimum of a Creative Commons Attribution-Non-Commercial licence (CC BY-NC). Publisher-specific licences may

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[2] Also referred as Route 1 in the Funding Councils' *Policy for Open Access in the Post-2014 Research Excellence Framework.*
http://www.uwtsd.ac.uk/about/strategies-and-policies/

also be acceptable providing they support the aims of the Policy, and allow re-use including non-commercial text and data mining.

For research that is not externally funded a minimum of Creative Commons Attribution Non-Commercial Non-Derivative (CC BY-NC-ND) licence should be used. This license is the most restrictive of the six main licenses, only allowing others to download researchers' work and share them with others as long as they credit them, but they can't change them in any way or use them commercially. If any researcher requires that anything other than a CC BY-NC-ND license this must be made known at the point of submission to the Repository. Such considerations also fall within the scope of the University's Intellectual Property Policy and will be considered on a case-by-case basis by the Intellectual Property Committee should the need arise.

In all cases, research staff should consult Research, Innovation & Enterprise Services regarding the negotiation of Intellectual Property Rights with publishers (including copyright, licencing, embargo periods) in order to secure contractual terms which meet the terms of this Policy, and any other that should apply, such as the University's Intellectual Property (IP) Policy.

Multiple Authorship
In the case of multiple authorship each author shall retain the right to deposit the output in an institutional Open Access Repository. No agreement shall be entered into that restricts this right. In the case that multiple authors are employed at the University, a single deposit shall be made with the originators identified in the respective metadata.

Movement of staff between HEIs.
When a new researcher commences employment with the University they must, within one month, deposit all previous published outputs which are covered by the mandatory requirements, in the University's Open Access Repository. In cases when the new researcher is moving from another HEI there should be no interruption to discoverability or access to the outputs during the transition. Where a researcher leaves the University notice should be given to remove any such research output that has been deposited. This is in accordance with the University's IP Policy, which assigns the IP rights to research to the originator. The University however maintains the right to retain the deposited research in the Repository should it wish to do so. In such cases the metadata in each retained output will indicate the period in which the originator was employed in the University.

The University recognises that the use of unique researcher identifiers can facilitate this process and encourages all research staff to register with an Open Researcher and Contributor ID (ORCID).

5. Monitoring

The University recognises that the freedom for its researchers to publish in the most appropriate publication is of utmost importance. This freedom however must be balanced with the requirements of external research funding policies.

In such cases where external sponsors of research place specific requirements to publish on an open access basis this Policy mandates that full compliance must be achieved. In such cases, it is the responsibility of the grant holder(s) to ensure that the chosen publication supports the Green Route. Library and Learning Resources will be able to offer assistance in checking licensing arrangements while the SHERPA FACT tool allows researchers check

if the journals in which they wish to publish their results comply with their funder's requirements for open access.

In such cases that research is not externally funded, this Policy also mandates that Type A outputs (research papers and conference proceedings) must be published on an open access basis, and the University expects that this should be a consideration in the choice of which journals and publishers to publish results. If the publication concerned actively disallows open-access deposit in a repository, but is considered the most appropriate publication for the output the researcher should consult the University's Research Committee and seek permission to proceed to publish on a non-open access basis. The same process must be followed if the publication concerned requires an embargo period that exceeds the stated maxima and is the most appropriate for the output or if the output depends on third party content for which open access rights could not be granted. Failure to do so restricts the University in having the full scope of its research available for consideration and submission to the next REF.

Implementation of the Policy will be monitored by the Open Access Steering Group. Membership of the Group shall include one representative from each: Research, Innovation and Enterprise Services (Chair); Library and Learning Resources, Information Technology & Systems and two Faculty representatives. The Open Access Steering Group will report to the Research Committee.

Process
Workflows for the depositing of outputs are published on the University's Repository homepage.

Take-down Policy
The University will make every reasonable effort to ensure that all output published in the Open Access Repository complies with UK law. However, should any employee, student or third party feel that certain content in some way infringes UK law or rights the University will, upon notification, review the legal status of the relevant material and remove it if the complaint is found to be valid. Valid grounds for the removal of content from the repository include:

- Violation of intellectual property rights, including copyright;

- Breach of moral or other rights protected by law (for example, derogatory treatment of work, libel, data protection, privacy);

- Ethical issues including plagiarism, falsified research, and the failure to adhere to ethical guidelines;

- Issues of National security.

To register a complaint, the complainant should contact the Chair of the Open Access Steering Group using the email address repository@uwtsd.ac.uk. The following information should be included:

- Contact details;

- Details of the item (title, author, URL, etc.);

- A description of the grounds for the complaint including any evidence or proof.

On receipt of the complaint, the Open Access Manager will:

- Acknowledge that the complaint has been received;

- Make an initial assessment of the validity of the complaint;

- Temporarily remove the item from public view if further investigation is required.

Following the initial assessment, if a complaint is judged to be invalid, no further action will be taken and the complainant will be informed of this decision; valid complaints will be investigated by the Chair of the Open Access Steering Group, the author of the item in question and, if necessary, the University's Corporate Services Department. All attempts will be made to resolve the issue swiftly and to the satisfaction of both the complainant and the author.

If, as a result of investigation, the item concerned is judged to have infringed an aspect of UK law, it will be permanently withdrawn from the Repository. A historical metadata record of the withdrawn item accompanied by a notice detailing reasons for withdrawal will remain in the Repository but will not be accessible by the public.

6. Links to other policies / procedures:

Disclosure of Information Policy

Research Data Management Policy*

Intellectual Property Policy*

Research Integrity and Ethics Code of Practice

Data Protection Policy*

Records Management Policy *

Acceptable Use Policy

These policies can either be accessed on the UWTSD website or on the MyDay site (please note that some of these policies may be in the process of being drafted).

7. Resource Implications

Implication	Detail
Finance	Annual costs of £4374.13 for the hosting of the EPrints Repository are budgeted for within the Information Technology and Systems budget.
Staff	The application of the Policy can be absorbed by current staffing.
Assets	The EPrints Repository is hosted externally and no additional assets are required.
Partners	The Policy is a requirement for submission to future REF exercises and an expectation for accessing RCUK, EU and charitable research grants. The Policy will drive access to and impacts from the University's research output.
Timescales	The Policy should be implemented by April 2016. The launch of the Open Access Repository and staff advocacy and training should commence in Jan 2016.
Leadership	Professor Mike Phillips

8. Impact Assessment

Implication	Impact Considered (Yes/No)	Impact Identified
Legal	Yes	Primary legislation to which the Policy relates include: - Freedom of Information Act 2000; - Data Protection Act 1998; The Policy also has provision regarding intellectual property rights (including copyright, trade secrets and database rights).
Contribution to the Strategic Plan	Yes	The Policy contributes to the University's Research Strategy. Its impact is to ensure that research activity and outcomes influence the evidence base of policies developed in Wales and beyond. The Policy will contribute to University's research environment and ability to generate research income.
Risk Analysis	Yes	Open Access Publishing is an expectation for maintaining a world class research environment, for accessing research funding and for maintaining the University's research reputation. The Policy mitigates risks associated with loss of research income and reputation. The external hosing of the repository transfers infrastructure risks associated with maintaining the repository to a third party.
Equality	Yes	The provision of training and communication associated with this Policy will take into consideration those with protected characteristics.
Welsh Language	Yes	Once approved the Policy will be made available bilingually. The Open Access Repository will be hosted bilingually.
Environmental and Sustainability	Yes	Successful implementation of the Policy will allow users to access research publications electronically and free of charge as an alternative to less sustainable means. The Policy recognises that publicly funded research is a public good, produced in the public interest and that public access to it removes the costly duplication of resources associated in generating new knowledge.
Communication/ Media / Marketing	Yes	RIES and Library and Learning Resources will promote internal awareness of the Policy and its implementation through staff development events, web-based resources and other forms of advocacy. This will ensure that internal awareness of research outputs are achieved, and that researchers and research students have a general awareness of the regulatory environment. The Open Access Repository will be promoted to an external audience through Corporate Communications.

Policy author(s):

Dr Mathew Briggs – Executive Research Development Officer

9. Document version control

Version No:	Reason for change:	Author:	Date of change:
0.1	Policy Draft approved by Research Committee	MB	
0.2	Proof amendments made in preparation for submission to SMT	CG	21.10.15

Current status of Policy: Approved

The Policy is applicable to: The Dual Sector Group (i.e. UWTSD FE and HE)

Date ratified: 27/01/2016

Date effective from: 27/01/2016

Policy review date: 27/01/2017

For publication: on UWTSD website

Appendix 1 Funding body policy requirements

UK Funding Councils	
Policy	In March 2014 the four UK Funding Councils adopted the Policy for Open Access in the Post-2014 Research Excellence Framework. The policy states that certain outputs must be available in an open-access form from April 2016 to be eligible for submission to the next REF. These include: • Journal articles • Conference proceedings with an ISSN
Deposit requirements	• Output must be deposited in an institutional or subject repository within three months of being accepted for publication. • Output must be deposited as the final, peer-reviewed text (as a minimum).
Discovery requirements	• Output must be discoverable to anyone with an internet connection, and to search engines.
Access requirements	• Output must allow anyone with internet access to search electronically within the text, read it and download it without charge. • The access requirements must be fulfilled as soon as any embargo period has elapsed. • Embargo periods should not exceed 12 months for REF main panels A and B and 24 months for REF main panels C and D.
Access exceptions (these outputs must still be deposited):	• Output depends on third party content for which open access rights could not be granted. • The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate for the output. • The publication concerned actively disallows open-access deposit, and was the most appropriate for the output.

RCUK	• Arts and Humanities Research Council (AHRC) • Biotechnology and Biological Sciences Research Council (BBSRC) • Economic and Social Research Council (ESRC) • Engineering and Physical Sciences Research Council (EPSRC) • Medical Research Council (MRC) • Natural Environment Research Council (NERC) • Science and Technology Facilities Council (STFC)
Policy	The RCUK Policy on Open Access will apply to all qualifying publications being submitted for publication from 1 April 2013. It states that peer reviewed research papers which result from research that is wholly or partially funded by the Research Councils: • must be published in journals which are compliant with Research Council Policy on Open Access, and; • must include details of the funding that supported the research, and a statement on how the underlying research materials, such as data, samples or models can be accessed.
Deposit requirements	RCUK recognises a journal as being compliant with this policy if: • The journal provides, via its own website, immediate and unrestricted access to the final published version of the paper, which should be made available using the Creative Commons Attribution (CC BY) licence, and allows immediate deposit of the final published version in other repositories without restriction on re-use. This may involve payment of an 'Article Processing Charge' (APC) to the publisher. Or, • The journal consents to deposit of the final Accepted Manuscript in any repository, without restriction on non-commercial re-use and within a defined period. No APC will be payable to the publisher. In this latter case, in STEM disciplines, RCUK will accept a delay of no more than six months between on-line publication and the final Accepted Manuscript becoming open access. In the case of papers in the arts, humanities and social sciences (which will mainly be funded by the AHRC and the ESRC), the maximum embargo period will be twelve months. Where funding for APCs is unavailable to an author during the transition period to April 2018, longer embargo periods will be allowable.

Horizon 2020	
Policy	All beneficiaries are required to deposit and ensure open access. Open access to scientific peer reviewed publications has been anchored as an underlying principle in the Horizon 2020 and is explained in the Regulation and the Rules of Participation as well as through the relevant provisions in the grant agreement (see Article 29 "Dissemination of results - Open Access - Visibility of EU funding: pages 60-63 of the Multi-beneficiary General Model Grant Agreement, Version 1.0, December 11, 2013).
What to deposit	A machine-readable electronic copy of the published version publisher's final version of the paper, including all modifications from the peer review process, copyediting and stylistic edits, and formatting changes (usually a PDF document). OR A final peer-reviewed manuscript accepted for publication final manuscript of a peer-reviewed paper accepted for journal publication, including all modifications from the peer review process, but not yet formatted by the publisher (also referred to as "post-print" version).
Where to deposit	Researchers should deposit in a repository for scientific publications (online archives) of their choice. Either: Institutional repository of the research institution with which they are affiliated. OR Subject-based/thematic repository. OR Centralised repository, e.g. Zenodo repository set up by the OpenAIRE project.
When to deposit	Each beneficiary must deposit as soon as possible and at the latest on publication.
When should Open Access be provided	Each beneficiary must ensure open access to the deposited publication — via the repository — at the latest: (i) on publication, if an electronic version is available for free via the publisher, or (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case. For open access publishing, researchers can publish in open access journals, or in journals that sell subscriptions and also offer the possibility of making individual articles openly accessible (hybrid journals). Where the case, the Author Processing Charges (APCs) incurred by beneficiaries are eligible for reimbursement during the duration of the action. For APCs incurred after the end of their grant agreement, a

	mechanism for paying some of these costs will be piloted. In the case of open access publishing open access must be granted at the latest on publication.
	Beneficiaries must also ensure open access to the bibliographic metadata that identify the deposited publication. The bibliographic metadata must be in a standard format and must include all of the following:
	• the terms ["European Union (EU)" and "Horizon 2020"]["Euratom" and Euratom research and training programme 2014-2018"];
	• the name of the action, acronym and grant number;
	• the publication date, and length of embargo period if applicable;
	• a persistent identifier.
Further Information	• Further information and updates can be accessed through OpenAire at the following URL: https://www.openaire.eu/open-access-overview/open-access-info/overview-of-open-access

Appendix 2. REF 2014 Panels

Main panel	Unit of assessment	
A	1	Clinical Medicine
	2	Public Health, Health Services and Primary Care
	3	Allied Health Professions, Dentistry, Nursing and Pharmacy
	4	Psychology, Psychiatry and Neuroscience
	5	Biological Sciences
	6	Agriculture, Veterinary and Food Science
B	7	Earth Systems and Environmental Sciences
	8	Chemistry
	9	Physics
	10	Mathematical Sciences
	11	Computer Science and Informatics
	12	Aeronautical, Mechanical, Chemical and Manufacturing Engineering
	13	Electrical and Electronic Engineering, Metallurgy and Materials
	14	Civil and Construction Engineering
	15	General Engineering
C	16	Architecture, Built Environment and Planning
	17	Geography, Environmental Studies and Archaeology
	18	Economics and Econometrics
	19	Business and Management Studies
	20	Law
	21	Politics and International Studies
	22	Social Work and Social Policy
	23	Sociology
	24	Anthropology and Development Studies
	25	Education
	26	Sport and Exercise Sciences, Leisure and Tourism
D	27	Area Studies
	28	Modern Languages and Linguistics
	29	English Language and Literature
	30	History
	31	Classics
	32	Philosophy
	33	Theology and Religious Studies
	34	Art and Design: History, Practice and Theory
	35	Music, Drama, Dance and Performing Arts
	36	Communication, Cultural and Media Studies, Library and Information Management