OPEN ACCESS AT THE UNIVERSITY OF SOUTH WALES

1. Position statement

1.1 Universities are becoming increasingly accountable for the funding they receive for research. The Open Access agenda plays a major role in ensuring the widest possible access to the outcomes of publicly funded research.

1.2 The academic community at the University of South Wales is committed to ensuring that the results of its research are made as freely accessible as possible and takes its responsibilities seriously, especially with regards to publicly funded research. It recognises the rationale for this directive but also the benefits to researchers allowing greater visibility, increased citations and the stimulation of new opportunities and collaborations.

1.3 The University recognises that in order to ensure compliance with the directives of open access, an alliance of responsibility must be upheld between author and institution. They are:

Author commitment
The University believes that authors should be provided with the autonomy to make decisions about where they wish to publish their outputs and should be committed to producing outputs of the highest quality.

Concurrently, academics should ensure that they are aware of and adhere to both funder and future REF Open Access policies.

Institutional commitment
The University will provide authors with informed support through engagement with funders of research and other external stakeholders to ensure that they are fully conversant with the developing nature of the open access agenda and operate within the confines of compliance.

The University will maintain integrity in the compliance and monitoring of open access with an appropriate data management and reporting system that is not only able to meet current demands but which has the ability to adapt to future changes in policy.

2. Responsibilities

2.1 The policy was developed and will be reviewed by Research and Business Engagement under the guidance of the University Open Access Working Group, chaired by the Assistant Head of Library Services. The University Data Management Planning Group also oversees the operational management of the activity in the wider context of research data management provision and compliance.

2.2 Strategic responsibility for the approval of the policy and compliance with Open Access is managed by the University Research Committee.

3. Background

3.1 In July 2012 all the recommendations of the Working Group on Expanding Access to Published Research Findings were accepted by the Government. The Group, chaired by Dame Janet Finch, produced a report titled '*Accessibility, sustainability, excellence: how to expand access to research publications*'[1] which recommended a balanced programme of actions recommending that "the UK should embrace the transition to open access, and accelerate the process in a measured way...".

3.2 Although Finch recommended the development of the infrastructure of institutional repositories, it viewed their role as "complementary" to formal publishing. Instead, it emphasises that a "clear policy direction should be set towards support for publication in open access or hybrid journals, funded by APCs, as the main vehicle for the publication of research, especially when it is publicly funded."

3.3 In response to the report, the Government provided a directive to both the Funding Councils and Research Councils to hasten the progress towards a fully open access environment allowing more people to read and use the publications arising from research. Consequently, in consultation with key stakeholders including the HEI sector, RCUK have produced a new policy on open access and HEFCE have delivered their intentions via a policy for the "post-2014 Research Excellence Framework (REF)".

3.4 Both the RCUK and HEFCE policies have resulted in a step change in the way in which institutions and researchers respond to this agenda and have served to stir debate and shape institutional open access policies. Policies vary between institutions, usually determined by the level of additional external funding that is provided to support a directive towards immediate free of charge public accessibility.

4. **Routes to open access**

4.1 There are two routes to achieving open access referred to as Gold and Green:

Gold Open Access
The Gold open access route allows immediate access of an output via the publisher's website, available to anyone to read free of charge. This is often known as the "**author-pays**" model as authors are usually provide payment known as an Article Publishing Charge (APC). Outputs can be published in an open access journal or in a hybrid journal (a subscription journal in which some articles are open access).

Green Open Access
The Green open access route is where an author publishes in a subscription journal but then makes the work available via an electronic archive called a repository. This route is generally known as "**self-archiving**". There is no financial cost for this route but authors must adhere to the publisher's self-archiving policy which may impose an embargo period before the output can be made publicly available. It is often the case that the author's accepted and final peer-reviewed text (often referred to as "**post-print**"), rather than the publisher's version can be made available.

4.2 Whilst both routes are complementary they are also considered very different in approach but allow researchers the freedom to choose the most appropriate outlet to publish their research.

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[1] [Report of the Working Group on Expanding Access to Published Research Findings: Executive Summary](#) (Finch Report, June 2012)

It is important to note that although different models are available, the publication process and peer review system remains the same.

5. Open access policies of RCUK and other major funders of research

5.1 In June 2012, RCUK updated its open access policy on the peer-reviewed research articles published in journals or conference proceedings that acknowledge funding arising from research council supported research. The policy applies to articles submitted for publication from April 2013 and aims to "achieve immediate, unrestricted, on-line access to peer-reviewed and published research papers, free of any access charge".

5.2 RCUK supports a mixed approach to open access via both Gold and Green access routes, although does state that its 'preference' is for "immediate Open Access with the maximum opportunity for reuse", i.e. Gold open access. RCUK supports this stance by operating a block grant funding mechanism at a current level of £20m awarded directly to research organisations to cover APCs and other publication costs to aid the implementation of its policy.

5.3 Block grant allocations are based on an estimate of the numbers of papers produced and on the average APC cited in the Finch Report. Institutions that receive funding are expected to set-up and manage their own publication funds. By 2017/18 the funding mechanism is expected to enable 75% of RCUK funded-research articles to be published via Gold open access with the remaining 25% delivered via Green open access.

5.4 Other major funders of research have also adopted the position of RCUK in applying their own Open Access policies that also steer towards a long-term aim of Gold open access. As opposed to RCUK, however, applications to these funding bodies (e.g. The Wellcome Trust and The Leverhulme Trust), allow the anticipated APCs in support of Gold open access to be costed into funding proposals.

5.5 The open access route chosen is at the discretion of the researcher and their organisation but when deciding where to publish, authors must ensure they comply with the appropriate funder policy on open access. Where a journal does not offer an immediate open access option, the author must respect any embargo periods set by the publisher which is typically 12 months for STEM or 24 months for arts, humanities and social sciences.

5.6 These embargo periods are typically longer than the limits set by funders of research. For example, RCUK currently accept a six month and twelve month delay for STEM and arts, humanities and social science disciplines respectively. In time, RCUK wishes to move towards the implementation of a maximum delay of six months for all discipline areas although this is currently still under debate. For the foreseeable future, however, it is likely that a mixed economy of Green and Gold Open Access will remain.

6. HEFCE policy on Open Access

6.1 In April 2014, on behalf of the four UK Higher Education Funding Councils, HEFCE published the *Policy for open access in the post-2014 Research Excellence Framework*. The policy states that "to be eligible for submission to the post-2014 REF, authors' final peer-reviewed manuscripts must have been deposited in an institutional or subject repository on acceptance of publication. Deposited material should be discoverable and free to read and download, for anyone with an internet connection".

6.2 In July 2015, HEFCE published adjustments to the policy to allow additional time for systems to be developed and implemented in institutions' workflows. With regards to the timing of deposit, the policy now states that outputs accepted from 1st April 2016 onwards can be deposited in a repository at any point between acceptance and up to three months after the date of publication. From 1 April 2017 HEFCE plan that the timing of deposit will revert to within three months of acceptance, however, HEFCE will review the readiness of systems with the sector in autumn 2016 to evaluate whether or not a one-year delay has been sufficient.

6.3 The policy applies to all researchers based at UK HEIs and supports the Green open access route placing the use of repositories at its heart. It currently covers author's final peer-reviewed versions of journal articles and published conference proceedings (with an ISSN) but in time may be extended to include other types of outputs such as monographs and book chapters.

6.4 Authors' final peer-reviewed manuscript accepted for publication after the 1st April 2016 must be available within an institutional or subject-based repository at any point between acceptance and up to three months after the date of publication and from 1st April 2017, the publications must be available within three months of acceptance for publication, in order to be eligible for future REF assessments.

6.5 The policy allows publishers embargo periods to be respected permitting authors to make what is referred to as a 'closed' deposit. In practical terms this means that although the full text must be deposited, this does not have to be made freely accessible on deposit provided sufficient metadata is available for discovery. In order to be admissible to the REF, however, embargo periods must not exceed the following:

- 12 months for STEM subjects (REF Main Panels A and B)
- 24 months for arts, humanities and social sciences (REF Main Panels C and D)

6.6 There are a number of exceptions to the policy which will still permit an output to be admissible to the REF. Had the policy been in place for REF2014, however, HEFCE reported that 96% of relevant outputs could have complied highlighting why it is beneficial for institutions to embed their own open access policies to ensure their research is published in line with compliance requirements.

7. Licences

7.1 The RCUK Policy on Open Access and Supporting Guidance (8th April 2013) requires that ideally a research paper be made available using a Creative Commons Attribution (CC-BY) Licence. This Licence allows immediate deposit of the final published version without restriction on re-use. This method of licensing may involve payment of an Article Processing Charge 'APC' to the publisher (N.B. the use of CC-BY where an APC is paid is also the policy of the Wellcome Trust). The RCUK Policy does, however, confirm that access requirements can be met by the use of a CC-BY-NC (Non-Commercial) Licence.

7.2 The HEFCE/REF policy on open access advises that outputs licensed under a Creative Commons Attribution, Non-Commercial, Non-Derivative (CC-BY-NC-ND) Licence would meet their specified access requirements. There are access exceptions (for cases where deposit of the output is possible, but there are issues relating to meeting the access requirements):
   i.   Where the paper includes third party content for which open access rights could not be granted.
   ii.   There is a specified embargo period.
   iii. The publication in question actively disallows open-access deposit, but was the most appropriate publication for the output.

7.3 If one of the above exceptions applies, the output will still be required to meet the deposit and discovery requirement, but not the access requirements.

7.4 The University of South Wales, in line with HEFCE's access requirements, therefore, supports the use of a CC-BY-NC-ND Licence. The University acknowledges that if a publisher specifies their own licence terms, such terms may be acceptable as long as they support the principles and spirit of open access, and allow non-commercial re-use.

7.5 Some third party copyright owners whose material is included in a paper may refuse permission to allow their material to be reproduced in a research paper that is licensed using CC-BY-NC-ND. Where permission is refused, the research paper will be subject to the access exceptions referred to in Clause 7.2(i)-(iii).

8. **University of South Wales Open Access Policy**

8.1 The University of South Wales recognises the value of it research, much of which is world and internationally leading, and so is committed to ensuring its knowledge and expertise is shared as widely and accessible as possible to maximise its use and impact.

8.2 According to the Finch report, the Gold open access route is the most sustainable long-term approach to supporting the open access agenda but substantial resource is required for institutions to support a predominantly Gold open access policy. As the University of South Wales does not receive a block grant from RCUK to support the cost of APCs, it does not have the necessary resource to commit to Gold open access publishing as a principal option.

8.3 The University of South Wales supports a preferred Green open access publishing route, via its institutional repository. It applies to all authors of research at the institution, both staff and students and compliance will be monitored.

8.4 The policy currently relates to **peer-reviewed journal articles and conference proceedings with an International Standard Serial Number (ISSN**). Authors are free to choose where to publish but must be responsible for ensuring they comply with the University policy on open access, the open access policies of the funders from which the research has arisen and the post-REF2014 directive on open access from HEFCE.

8.5 Any embargo periods should be respected and in cases where the journal does not have a compliant policy to match those of the University, funder or HEFCE, authors should consider an alternative outlet in which to publish their research. If an author has a valid reason as to why a publication should be exempt from the HEFCE open access policy they should provide a case for support which will be submitted to the REF for consideration.

8.6 The University of South Wales open access policy, at a minimum, requires:
- From 1st April 2016, authors to deposit the bibliographic details (metadata) of their publication to the institutional repository **on immediate acceptance for publication.**
- The author's accepted and final peer-reviewed text MUST accompany the bibliographic details and must be made freely available at the same time or as soon as permitted (at the end of the embargo period).
- When the publisher allows, the published version should replace the author's peer-reviewed final version.

8.7 A University Publication Fund will be established to provide a limited resource to cover Article Publishing Charges in cases where it is not possible to publish research findings via the Green Open Access route.

8.8 The University recognises that there may rare cases where Gold open access publishing would be of significant strategic benefit to USW and will accept an application for support for APCs. Wherever possible, however, anticipated APCs should be costed into proposals for external funding

8.9 The University will commit to support the University of South Wales open access policy in the following ways:
- Keep up to date with the open access agenda and funder requirements to provide informed and professional advice to staff and students engaged in research.
- Deliver specialised training and support on the open access agenda and ensure all relevant staff are aware of their responsibilities.
- Manage a clear and transparent Publication Fund within the constraints of limited resources to support APCs.
- Monitor adherence to the governance and compliance for open access at the institution and ensure appropriate research data management systems, including the institutional repository, are provided in order to do so.

9. **Governance and compliance of the University of South Wales open access policy**

9.1 Compliance with this policy will be monitored internally on both a strategic and operational level. Research Committee will have the ultimate responsibility to monitor overall compliance supported predominantly by the Research and Business Engagement, Library Services and the University Open Access Working Group. Individual author compliance will be monitored via research reviews and appraisal process as appropriate.

9.2 Research Committee will also be responsible for monitoring the transparency and eligibility criteria of the University of South Wales Publication Fund which will be reviewed annually.

9.3 The University is currently subject to periodic compliance monitoring assessments by RCUK which requests data on financial accountability (if applicable) and policy compliance. Following the implementation of the HEFCE/REF policy on Open Access, the University will also be subject to compliance monitoring by HEFCE. The University must be prepared to respond to other funders of research or stakeholders who may also implement their own compliance monitoring assessments.

10. **Implementation of the University of South Wales open access policy**

10.1 Each researcher (staff and student) at the University of South Wales who intends to publish the outcomes of their research should understand and exercise their commitments with regards to open access, as part of the natural lifecycle of their research.

10.2 The University places responsibility on the author to comply with the policy requirements. This is in common with many other Universities but it is recognised that the University has a significant role to play in raising awareness of open access and providing authors with the expertise and mechanisms they need in order to comply.

10.3   In order to implement the University of South Wales open access policy and to maintain compliance with funders and future REF requirements, the University will provide an appropriate support network through an embed and enable campaign:

Embed the principles of open access and the University policy
Research and Business Engagement and Library Services will work with researchers across the University regardless of 'location' but will expect full engagement from members of Research Institutes. We will commit to the following:

- Highlight the open access agenda and University policy via a University wide awareness campaign.
- Development of an on-going calendar of focussed workshop events aimed at raising awareness of the issues and responsibilities related to the open access agenda.
- Develop comprehensive guidance on both the Research Office and Library Service websites for staff and students.
- Develop a workflow/decision tree to enable authors to determine the action required when considering where to publish.
- Promote the SHERPA/RoMEO, SHERPA JULIET and SHERPA FACT tools so that authors become fully conversant in the level of publisher compliance and associated embargo periods against funder policies.
- Ensure that authors are aware of the criteria and how to apply to the University of South Wales Publication fund for Gold open access publishing.
- Embed a mechanism to check funder requirements with regards to open access when developing an external funding proposal.

Enable authors to comply with the University open access policy
If we require authors to take on responsibility for complying with open access agenda, the University must ensure that they are supported with the tools they need in the form of:

- A robust and intelligent data management system/repository with the ability to assist authors, monitor compliance and adjust to the changing nature of the open access environment.
- An appropriate level of funding to support limited Gold open access publishing to protect the strategic interests of the University.

10.4   Support provided through the campaign will not diminish as the policy is embedded. The University will provide continued support and regularly review provision to ensure researchers remain compliant.

10.5   Implementation of the policy will be enabled via the Open Access Action Plan and must be embedded prior to the HEFCE implementation deadline of 1st April 2016 in order for the University to remain relevant in REF2020.

11. Institutional Support

Support for open access will be provided by the Research and Business Engagement and Library Services. The main contacts are:

openaccess@southwales.ac.uk

Research Librarian:
Mr Nicholas Roberts, Research Librarian, Library Services
nicholas.roberts@southwales.ac.uk, x 54051

Policy and implementation:
Dr Sarah Theobald, Research Excellence Manager, Research and Business Engagement
sarah.theobald@southwales.ac.uk, x 54484

Dr Andrew Dalgleish, Assistant Head of Library Services, Library Services
andrew.dalgleish@southwales.ac.uk, x 82603

Glossary of Terms

APC	Article Processing Charge. Fee which may be payable to the publisher to publish via the gold open access route.
Embargo period	An embargo in academic publishing is a period during which access to a research publication self-archived in an open access repository (Green open access) is restricted. The purpose is usually to protect the revenue of publishers who rely on subscription payments to cover the costs of publication. Typical embargo periods applied by funders are between 6 and 24 months, depending on discipline area.
Gold Open Access	The Gold open access route allows immediate access of an output via the publisher's website, available to anyone to read free of charge. This is often known as the "**author-pays**" model as authors are usually provide payment known as an Article Publishing Charge (APC). Outputs can be published in an open access journal or in a hybrid journal (a subscription journal in which some articles are open access).
Green Open Access	The Green open access route is where an author publishes in a subscription journal but then makes the work available via an electronic archive called a repository. This route is generally known as "**self-archiving**". There is no financial cost for this route but authors must adhere to the publisher's self-archiving policy which may impose an embargo period before the output can be made publicly available. It is often the case that the author's accepted and final peer-reviewed text (often referred to as post-print), rather than the publisher's version that can be made available.
Hybrid Open Access	Is when an article is published in a traditional subscription journal, but where the author pays an APC to make their individual article freely available from the journal website, without restriction or charge to the reader. This means that some articles in that journal will only be available to subscribers whereas others (where the author has paid an APC) will be freely available to everyone.
Post-print	The final version of an academic article or other publication - after it has been peer-reviewed and revised into its final form by the author. It is often referred to as the **author's accepted manuscript**. In order to comply with the HEFCE Policy for open access in the post REF-2014 Research Excellence Framework and thus be eligible for REF2020, this is the version that must be included in an institutional repository.
Pre-print	A draft of an academic article or other publication before peer review. Preprints cover initial and successive drafts of articles, working papers or draft conference papers. It is also referred to as the **author's submitted manuscript**.
Repository	A digital archive that collects preserves and disseminating the intellectual output of a subject or organisation without charge to the World. Institutional repositories contain research produced by that particular institution or research organisation. Subject repositories contain research produced within given academic disciplines.
SHERPA/Juliet	A searchable available database of research funders' open access policies.
SHERPA/RoMEO	A searchable database of the copyright transfer policies of academic publishers and their journals.
SHERPA/FACT	A funders and authors compliance tool to help researchers check if the journals in which they wish to publish their results comply with their funder's requirements for open access to research.

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