Open Access Policy 2023 - 2026

Mae'r ddogfen hon ar gael yn Gymraeg ac yn Saesneg | This document is available in Welsh and English

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1. Introduction

Open Access is a way of thinking and acting that prioritizes making research and scholarly output openly and freely accessible to the public. In an Open Access culture, researchers, institutions, funders, and publishers work together to ensure that knowledge is shared as widely as possible. The 2002 the [Budapest Open Access Initiative](#) marked the beginning of this movement, and this has subsequently been followed by several national and international Open Access statements and policy documents.

Open Access is based on the belief that research should be freely available to everyone, not just those who can afford to pay for access. This means that research articles, data, and other scholarly output should be made available online, free of charge, and without restrictions on reuse.

Open Access encourages collaboration, transparency, and innovation. By sharing research output openly, researchers can collaborate more easily and build on each other's work. Open Access also increases transparency and accountability, as research findings are more easily accessible to the public, who can scrutinize and build upon them.

In an Open Access environment, institutions and funders play an important role in supporting Open Access initiatives and policies. They can provide funding for Open Access publishing fees, establish institutional repositories, and require researchers to make their work openly accessible as a condition of funding.

Publishers also have a role to play in fostering an Open Access culture. They can offer Open Access publishing options, adopt Open Access policies, and explore innovative business models that support Open Access.

Since 2016, the UK Research Excellence Framework (REF) has required that all journal articles and conference proceedings submitted for assessment are published on an Open Access basis within three months of acceptance. The REF provides significant income to underpin the University's research environment and therefore compliance with this policy is crucial.

Overall, an Open Access culture seeks to remove barriers to the dissemination of research and scholarly output, promote collaboration and innovation, and increase the impact and relevance of research to society as a whole.

2. Purpose

The University of Wales Trinity Saint David (UWTSD) recognises that research publications are a valuable asset that may be used to communicate research findings and form the basis for

new and innovative research. As recipients of public funding, we recognise our obligation to make our research as widely available as possible.

UWTSD wants to ensure that its research reaches the widest possible audience, both nationally and internationally. Open Access publishing means that the intrinsic worth of scholarly content is magnified by the ease with which others can access this information and this will lead to benefits for society in general. Progress stems from sharing.

UWTSD regards Open Access, including the responsible and ethical sharing of research publications and other outputs, to be an integral part of good research practice. It enables knowledge translation and innovation and lowers barriers to academic enquiry across the world.

We are committed to and support Open Access to our research publications for the benefit of researchers and wider society.

The UWTSD position on Open Access is consistent with the Open Access policies of major funders such as UK Research and Innovation (UKRI), the Wellcome Trust, the Bill & Melinda Gates Foundation and Cancer Research UK. This Open Access Policy (OA Policy) outlines a set of expectations for how research publications and outputs produced by UWTSD should be managed and disseminated. The OA Policy forms a component of University's Research and Innovation Strategy and seeks to ensure that research publications and outputs are managed and shared in a responsible manner that complies with relevant obligations and commitments.

Nothing in this policy is intended to limit academic freedom with regard to publication of research. However, due diligence with regard to the Open Access requirements of funders and compliance with UKRI's Open Access Policy for the next Research Excellence Framework is expected.

REF2028 Open Access policy will be announced 2023/24. This policy will be updated to reflect any changes. Authors should always refer to any funder stipulated Open Access policy in the first instance.

3. Scope

UWTSD defines the following set of principles to be followed by researchers in order to ensure research publications are managed and disseminated in accordance with good research practice.

Research publications must be managed and disseminated in accordance with contractual, legislative, regulatory, ethical and other relevant requirements. Researchers are responsible for making themselves familiar with requirements set by UWTSD, external funders, and other relevant bodies that apply to their research and adopt practices that fulfil these obligations.

In circumstances where requirements conflict or may have a potential detrimental effect, advice should be sought from the Collections team within the Library and Learning Resources in the first instance, with reference to the Institute for Sustainable Practice Innovation, Research & Enterprise (INSPIRE) or other offices as appropriate.

4. Policy

The Library and Learning Resources (LLR) supports and drives the Open Access landscape within UWTSD in a number of ways;

- Institutional research repository: The LLR manages the institutional repository, which is the digital collection of scholarly output produced by researchers affiliated with the institution. Institutional repositories provide a platform for researchers to deposit their work and make it openly accessible, as well as to track usage and impact metrics.

- Open Access publishing: The LLR supports Open Access publishing by contributing to national negotiations for transformative Open Access publishing agreements with publishers, and subscribing to new Open Access models such as Open Book Publishers.

- Advocacy and education: The LLR advocates for Open Access and raises awareness about the benefits of Open Access through workshops, training sessions, and outreach efforts.

- Copyright and licensing support: The LLR provides guidance on copyright and licensing issues related to Open Access publishing, such as how to apply Creative Commons licenses to scholarly output.

- Open data support: The LLR can also support open data initiatives by providing guidance on data management, data sharing, and data repository options.

- Open Access resources: The LLR provides access to Open Access resources such as Open Access journals, open textbooks, and open educational resources, which help reduce barriers to access for learners and researchers.

4.1 ORCID

An ORCID iD is a unique researcher identifier which can be added to research outputs to ensure that work is easily distinguished from that of other researchers. ORCID is becoming an international standard with over 1.5 million iDs registered by researchers, and now used by an increasing number of publishers, funders and universities.

An ORCID profile is managed by the individual researcher and can be linked to a range of information such as publications, grants, education and employment history.

UWTSD advises every researcher to [register for an ORCID iD](#). The University Research Repository will automatically feed newly published research through to a researcher's ORCID profile.

4.2 Read and Publish Agreements

Library and Learning Resources aim to subscribe to national read and publish agreements with publishers where available and affordable. These agreements shift costs from traditional pay-to-view subscriptions towards Open Access payment charges, ensuring new research is made freely available to read on publication. Where available, publication through a read and publish agreement is the preferred route to Open Access compliance.

The University will prioritise agreements where no cap is placed on the number of articles published by University researchers during the agreement period. Where this is unavoidable, and Open Access publication is likely to lead to increased costs, priority for Open Access publication will be given to research based on the University's [Research and Innovation Strategy](#) and Research Excellence Framework (REF) submission.

Eligibility for Open Access publishing through transformative agreements is usually based on the institution of the corresponding author. Should a UWTSD researcher co-author a publication with a corresponding author based at another HEI, responsibility for publication through a transformative agreement will rest with the corresponding author's home institution. In this situation, the UWTSD co-author should deposit a copy of the metadata and a link to the Open Access article in the UWTSD Research Repository.

Some publishers only include hybrid journals in Open Access publishing agreements and charge separate Article Processing Charges (APCs) for publication in fully Open Access journals (gold open access)[1]. Library and Learning Resources can advise on whether Open Access costs for a particular journal are covered under current agreements but cannot fund APCs in separate pure gold journals and responsibility for securing payment rests with the author.

Further information, advice and support on read and publish agreements can be found on the [Sherpa website](#) and the Library and Learning Resources web pages.

4.3 Research Repository: Submissions

The University's Open Access Research Repository is intended both as a gateway to University research and to provide a route to REF and funder Open Access compliance. All

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[1] [An introduction to open access | Jisc](#)

research publications should be deposited with the Repository as soon as acceptance is received from the publisher. The responsibility for deposit rests with the author.

Where research output is published in an Open Access source (gold Open Access), details of the work should be added to the repository with a link to the version of record.

Where research output is published in a traditional, paywalled source, the Author's Accepted Manuscript (AAM) should be deposited on acceptance (green Open Access). LLR will apply an embargo based on publisher policy where applicable. When choosing a publication, authors must note and comply with REF policy on maximum embargo periods and, wherever possible, apply a rights retention statement to allow immediate Open Access and prevent the need for any embargo.

To maximise staff capacity, priority will be given to current repository submissions which have been authored during the researchers' time at the University. While publications authored by current UWTSD researchers during their employment or study at other institutions will be considered, LLR cannot guarantee these will be made available, especially if already published Open Access elsewhere.

Research Repository submissions are retained indefinitely in keeping with Open Access principles and will only be removed in line with the University's Takedown policy. Submissions are not removed when the researcher leaves the University.

4.4 Research articles

The University has a 3 month period to make research articles available following acceptance, which includes the time taken for repository administrators to process the deposit. Consequently, deposits must be submitted to the repository at least 14 days prior to the end of the 3 month acceptance period.

Library and Learning Resources use a monitoring service to capture details of new articles authored by University researchers. LLR staff may contact authors for further details where articles are found that have not been already submitted to the repository. It is the responsibility of the authors to respond to these requests in a timely manner.

4.5 Book chapters, monographs and edited collections

UKRI policy requires monographs, book chapters and edited collections to be made Open Access within 12 months of publication from January 2024[2]. To ensure compliance and to meet the requirements of the next REF assessment, UWTSD requires monographs, book chapters and edited collections authored by University researchers to be submitted to the

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[2] Making your monograph, book chapter or edited collection open access – UKRI

Research Repository from 1 September 2023. Library and Learning Resources will apply an appropriate embargo to any submissions to ensure compliance with publisher policies.

4.6 Research data

Open research data allows for greater transparency, reproducibility, and collaboration. Research data should be deposited in an appropriate subject data repository in the first instance. Where this is not possible, data can be deposited in the Research Repository. Further guidance is available in the University's Research Data Management Policy.

4.7 Licenses

A Creative Commons licence should be applied to all submissions to aid rights retention and enable reuse. By default, a CC-BY licence will be used, which permits further sharing and adaptation of the work and is mandated by most funders. Where research is not externally funded, researchers may specify an alternative Creative Commons licence to meet any commercial or contractual requirements on deposit: further guidance is available at https://creativecommons.org/about/cclicenses/

4.8 Rights Retention

Rights Retention is a funder-led initiative to enable researchers to publish in subscription journals while retaining their right to self-deposit their manuscript in an Open Access repository without an embargo. To facilitate this, a rights retention statement should be added to the manuscript on submission:

> "For the purpose of Open Access, the author has applied a Creative Commons Attribution (CC-BY) licence to any Author Accepted Manuscript version arising from this submission."

cOAlition S has made cover letter templates available to authors who wish to seek clarity from publishers on rights retention before peer review.

4.9 Theses and Dissertations

The University requires all successful research degree theses to be deposited with the Research Repository, along with Masters dissertations that are awarded a distinction, or are

otherwise awarded a pass and written in the Welsh language or in the academic disciplines of Welsh, Celtic Studies or Welsh history.

Theses will be given a [CC BY-NC-ND licence](#) by default. Students may choose a different Creative Commons licence on deposit if required. Research students wishing to publish their work may apply for a bar on access which is granted by the Research Degrees Committee. Repository moderators will only apply an embargo on confirmation that this has been granted.

5. Monitoring

The policy will be reviewed every three years in liaison with academic staff to ensure continued effectiveness.
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6. Guidance and support

Library and Learning Resources offer a comprehensive range of Open Access guides and researcher support online:
Open Access Guides: https://www.uwtsd.ac.uk/library/open-access/
Academic and InfoSkills: https://uwtsd.ac.uk/library/infoskills/

For queries please contact: openaccess@uwtsd.ac.uk

6.1 Glossary

Hybrid journal	A subscription journal in which some articles are open access and some are behind a paywall. Open access articles in hybrid journals are usually subject to an Article Processing Charge (APC) which is paid by the author or their institution / funding body.
Embargo	In the open access context, an embargo is where the full text of a work in a repository is restricted from public view for a set period after deposit. The embargo period is defined by the publisher.
Green Open Access	A work published in a traditional book or subscription journal behind a paywall, where a free-to-read copy is available in a separate repository. The copy in the repository is usually the author's final accepted manuscript and not the publisher's typeset copy.
Gold Open Access	A work published open access at source and is free-to-read via the publisher, with a clearly identifiable licence (e.g. a Creative Commons licence). Articles are usually subject to an Article Processing Charge (APC) which is paid by the author or their institution / funding body.
Metadata	Data that describes and gives information about other data. In the context of the repository, metadata consists of information about the work being deposited, such as the title, author, ISSN / ISBN, publisher, abstract, etc.

Read and publish agreement	An agreement with a publisher which covers both traditional subscription costs for paywall content, and open access publishing costs.

7. Links to other policies / procedures

- [UKRI Open Access Policy](#)
- [UWTSD Library and Learning Resources Strategy](#)
- [UWTSD Research and Innovation Strategy](#)
- [UWTSD Copyright Policy](#)
- [UWTSD Intellectual Property Policy](#)
- [UWTSD Repository Takedown Policy](#)

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Document version control

Version No:	Reason for change:	Author:	Date of change:
Draft V0.5	Amended following policy consultation, and glossary added	JD	19/05/2023
Draft V0.6	Revised to incorporate Research Committee feedback: added headings for Research data and Book chapters, monographs and edited collections with information about UKRI policy.	JD	12/07/2023
Draft V0.7	Added reference to REF2028 / link to Rights Retention under licences	JD	18/07/2023

Current status of Policy: approved

Is the Policy applicable to: HE

Date ratified: 13 / December / 2023

Date effective from: 13 / December / 2023

Policy review date: 1 / January / 2026

For publication: UWTSD website / MyDay / LLR website

Approval

The policy will be formally considered and approved in accordance with Committee Terms of Reference outlined in the Academic Quality Handbook.

If the policy affects staff, advice should be sought from HR at the outset to ascertain if consultation is required at JCC. HR will also provide advice on the most appropriate stage to consult with JCC and on whether approval by Council is required

ALL policies submitted for approval must be accompanied by a completed:

- *Equality Impact Assessment*
- *Institutional Impact Assessment*
- *Data Protection Impact Assessment*

Prior to submission to committee, authors are asked to consult the Policy and Planning Team who will check that the document complies with University requirements. The Policy and Planning Team will complete the section below.

For completion by the committee secretary

Please tick to confirm the following:

An institutional Impact Assessment has been completed ☐

An EIA has been completed ☐

A PIA has been completed ☐

Matters requiring consideration by the approving committee: