

Cardiff University Open Access Publications Policy

Introduction

Cardiff University recognises the significant social and economic benefits associated with free and open access to publicly funded research.

Open Access (OA) is a publishing model that enables peer reviewed articles to be freely available for anyone with access to the internet, rather than limiting readership to subscribers only. It opens up academic research to everyone and is strongly supported by the UK Government as a driver for economic regeneration. **RCUK** and other funding bodies such as the **Wellcome Trust** and the **Charities Open Access Fund (COAF)** are requiring their grant holders to ensure that all outputs from their grants are made OA. The European Commission also mandates OA for **Horizon 2020** funded outputs and from 2016, HEFCE allows only journal articles and published conference proceedings which are OA to be submitted to the **post-2014 REF** with very limited exceptions.

Cardiff University's institutional repository, ORCA, showcases staff and research student publications and makes Green and Gold OA¹ outputs available to the public online. Cardiff University **requires** the deposit of the full text of all Cardiff University research publications into ORCA, regardless of whether they are Green or Gold.

Cardiff University Open Access Publications Policy

The Cardiff University Open Access Publications Policy requires that, **from 1 November 2017**:

1. Authors record bibliographic details of all research outputs in the University's institutional repository, no later than the date of publication.
2. For journal articles and conference proceedings only, authors deposit the full text of the final, peer-reviewed, author's version ("post-print") in the institutional repository no later than 3 months after acceptance. Where publishers' copyright permissions allow and there are no confidentiality or commercial constraints, these versions will be made Open Access. Subject Librarians and the ORCA team can advise on copyright permissions (see para. 21).
 - a. Self-archived (Green) papers will automatically have a cover sheet added containing the bibliographic details.
 - b. Outputs subject to an embargo will not be released publicly until the embargo period has expired (although they will still be eligible for REF submission within the embargo period).
3. Authors are responsible for checking the accuracy of their publications in the Research Portal.

¹ Green OA refers to self-archiving the post-print of an output in the institutional repository. Gold OA involves the payment of an Article Processing Charge (APC) to the publisher to make the final published pdf freely available.

4. Authors are strongly encouraged to deposit the full text of all other publications (including monographs) in the institutional repository *where publishers' copyright permissions allow*. This will enable the University to claim credit in the Environment statements for promoting an Open Access policy.
5. Authors must use the standardised institutional affiliation "Cardiff University" in all research outputs to ensure a consistent link to the University. The use of standard author identification methods such as ORCID is strongly recommended (and is a requirement for some funders).
6. Authors must acknowledge the source of grant funding associated with a research output. This is a condition of grant funders.
7. Authors must comply with the funders' policies relating to OA, including research information and data management.
8. The policy applies to all researchers, including PhD students. Those funded by RCUK are required to make their journal articles and conference proceedings OA by either the Green or Gold route within 12 months of acceptance.
9. University regulations already require research theses to be deposited into ORCA when awarded (unless subject to a temporary bar on access or exempted for copyright reasons).
10. Cardiff University Press has been established to provide online access to University outputs using an OA model. Submissions to the Press are managed by Editorial Boards under the oversight of a University Press Editorial Board.

The rationale for the policy

11. To ensure that the requirements of research funders to make research outputs available freely online are met.
12. To ensure that all journal articles and conference proceedings are potentially eligible for submission to the REF.
13. To raise the profile of Cardiff University research.
14. To improve opportunities for authors to have their work published.
15. To enable consistent displays of bibliometric measures associated with research outputs such as citation counts and article impact factors.

Benefits

16. The deposit of research outputs in the institutional repository will ensure their long term preservation, storage and availability.
17. Publications, data and links will be available via School and personal webpages.
18. Researchers will be supported in the upload of relevant, required information to RCUK's harmonised Research Outputs System, based on the Researchfish tool (which is a requirement for future funding).
19. Outputs deposited in the institutional repository will be 'exposed' to Google and other search engines, thus increasing visibility and citation counts.
20. Making outputs OA facilitates knowledge transfer and open science. Public service organisations, small and medium-sized enterprises and businesses which do not

have subscriptions to journal literature will be able to access the University's outputs freely over the web, demonstrating Cardiff's commitment to supporting the economy in Wales and elsewhere.

Advice and guidance

21. Researchers can deposit their publications in the institutional repository via the intranet. The University Library provides advice and assistance to help researchers with their publications. Contact your Subject Librarian or ORCA@cardiff.ac.uk for further information.
22. Subject Librarians can also advise on compliance with copyright and embargo periods.
23. The SHERPA Romeo website <http://www.sherpa.ac.uk/romeo/> provides details of the policies of different publishers with regard to copyright permissions, and SHERPA FACT <http://www.sherpa.ac.uk/fact/> is a tool to help authors establish whether a journal is compliant with RCUK or Wellcome Trust / COAF OA policies.
24. Support for academic staff regarding advice on funder requirements and payment of Gold OA charges is provided via openaccess@cardiff.ac.uk.
25. Further information, including step by step guidance on REF compliance for each School and compliance via the Green and Gold routes, can be found on the staff and student intranet by searching for Open Access.
26. An interactive Open Access compliance tool to help staff identify the Open Access options and requirements for their research outputs can also be found on the intranet.
27. This policy forms part of the University Research Integrity Code of Practice, which can be found on the intranet.

Cardiff University

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