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Open Research Policy

POLICY COVERSHEET

# Key Details

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| **POLICY TITLE** | Open Research Policy |
| **DATE APPROVED** | 6th July 2022 |
| **APPROVING BODY** | Research & Innovation Committee |
| **VERSION** | 2 |
| **PREVIOUS REVIEW DATES** | October 2014 |
| **NEXT REVIEW DATE** | July 2025 |
| **OUTCOME OF EQUALITY IMPACT ASSESSMENT** | *No major change* |
| **RELATED POLICIES / PROCEDURES / GUIDANCE** | Research Data Management PolicyIPR PolicyOpen Access procedures |
| **IMPLEMENTATION DATE** | September 2022 |
| **POLICY OWNER (JOB TITLE)** | REF & Policy Manager |
| **UNIT / SERVICE** | Research & Innovation Services |
| **CONTACT EMAIL** | kajefferies@cardiffmet.ac.uk |

# Version Control

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| --- | --- | --- |
| **VERSION** | **DATE** | **REASON FOR CHANGE** |
| 1.0 | October 2014 | First version |
| 2.0 | July 2022 | Second version  |

# Introduction

## **Purpose**

### Cardiff Met is committed to increasing the quality, integrity and accessibility of our research by supporting a growing culture and practice of Open Research (OR).

### We recognise recent recommendations made by UNESCO which assert that open research can be *a powerful tool to reduce inequalities between and within countries and further the human right to enjoy and benefit for scientific progress, as stipulated in the Universal Declaration of Human Rights*.

### We note commitments made in the UK Government’s Research & Development Roadmap to embrace the potential of open research practices and to *strongly incentivise open data sharing where appropriate, so that reproducibility is enabled, and knowledge is shared and spread collaboratively*.

1.1.4 We also note the introduction from 1st April 2022 of the updated UKRI Open Access policy, designed to *make a reality the UK Government’s ambition that publicly funded research is available to the public without delay or constraints on its wider use and application*.

## **Scope**

### This policy sets out high level ambitions of the University in terms of OR. It is recognised that, whilst progress has been made in terms of improving the openness of research produced at Cardiff Met, an escalation of effort is now required if the institution is to fulfil its ambition for all research that can be open, to be accessible to anyone. This being the case, the policy is linked to an underpinning action plan which will serve to improve compliance with this policy over time. The action plan will initially be for two academic years.

### This policy applies to all those who undertake research at Cardiff Met and includes specific expectations for both researchers and the University.

## **Definitions**

### **Open Research (OR)** is based on the principle that knowledge produces the greatest benefit if it is shared as widely as possible. UNESCO offer the following definition, “an inclusive construct that…aims to make multilingual scientific knowledge openly available, accessible and reusable for everyone, to increase…collaborations and sharing of information for the benefits of…society. It comprises all…disciplines and aspects of scholarly practices, including basic and applied sciences, natural and social sciences and humanities.” It is sometimes referred to as Open Science.

### **Open Access (OA)** is a range of practices via which published research outputs are distributed online, free of access charges or other barriers and, as such, it facilitates the achievement of Open Research. It is an important element of Open Research and is the focus of Annex 1 of this policy.

### **Research data** is data in the form of facts, observations, images, results, recordings, measurements or experience on which a research output is based. Data may be numerical, descriptive, visual or tactile and may be held in any format or media.

# Expectations under this policy

## **The University will:**

### Develop and communicate a clear action plan to enhance the openness and transparency of its research.

### Provide and manage suitable systems for the deposit and sharing of research outputs and research data to enable researchers to fulfil the expectations listed in section 2.1 of this policy.

### Communicate our message on open research and clearly signpost training and support for our researchers at all stages of the research lifecycle.

## **Researchers will:**

### Actively consider open research implications at an early stage of the research process in relation to their research outputs, including research data and publications, to ensure maximum benefit and impact is achieved as early as possible in the research process ie research will be made as open as possible and as closed as necessary.

### Ensure familiarity with and adherence to any open research related requirements of the funders of their research.

### Adopt standard identifiers for themselves (e.g. ORCID) and their research outputs (e.g. DOIs) to aid discovery and re-use.

2.1.5 Ensure familiarity with and adherence to their School and discipline related practices.

# Roles and Responsibilities

## This policy applies to all individuals who are engaged in research at Cardiff Metropolitan University.

## The Research & Innovation Committee has strategic ownership of the policy and is responsible for monitoring the action plan associated with it and for reviewing it periodically, in line with the University Schedule for Policy Approval.

# Related Policies and Procedures

### Researchers who are awarded funding by UKRI, or any of its constituent bodies, should note their updated UKRI Open Access Policy introduced in April 2022. The policy applies to in-scope research articles submitted for publication on or after 1st April 2022 and in-scope monographs, book chapters and edited collections published on or after 1st January 2024. UKRI have published guidance and resources to support researchers to comply with the policy which can be found [here](https://www.ukri.org/publications/ukri-open-access-policy/). Advice can also be sought from Research & Innovation Services who will work with the library to ensure any affected staff are aware of the policy and its requirements. Further details are available in Annex 3.

### Researchers should also familiarise themselves with the University Research Data Management Policy and the University Policy on staff rights in respect of Intellectual Property (in particular Section 3 “Ownership of IPR”). Researchers are also advised to take note of the Open Access information and workflow appended to this policy at Annex 1.

# Review and Approval

### This policy will be reviewed by Research & Innovation Committee every three years, in line with the University Schedule for Policy Approval. The next review will be undertaken in the 2024/25 academic year.

### In addition, an update on progress against the action plan associated with this policy will be undertaken annually.

Annex 1

**Open Access at Cardiff Met – Key Information**

Open Access (OA)is a set of practices through which research outputs are published and distributed digitally and free of paywalls or other access barriers. OA is a key part of Open Research (OR); it forms a cornerstone of OR by making published research as openly available as possible whilst enabling researchers to retain control over their own copyright, amongst other intellectual property.

The following information provides definitions for the most commonly used terms associated with OA and explains the ways in which Cardiff Met is supporting open access publishing. For more information and help regarding “non-traditional” outputs, which fall outside the publication routes described here, contact the Research Librarian, or visit the [library webpages](https://study.cardiffmet.ac.uk/Library/Pages/openaccess.aspx).

Cardiff Met is committed to ensuring that those elements of its research output which can be made open access, are made open access. Researchers are encouraged to consider the following three routes which can be followed to ensure published research is made available on an OA basis. Information about routes to OA publishing are generally available via the journal/publisher webpages or can be found via [Sherpa Romeo](https://www.sherpa.ac.uk/romeo/index.php).

It is recognised however that there will be instances where OA publication is not possible and this is acceptable under this policy, providing appropriate consideration has been given to OA publication routes available.

**Route 1:** **Green Open Access** *(Green OA):* Publishing in a venue which permits authors to deposit a copy of the accepted manuscript in [our repository](https://figshare.cardiffmet.ac.uk/), usually following an embargo period.

**Route 2: Gold Open Access** *(Gold OA):* Publishing in a venue and paying an Article Processing Charge (APC) to allow immediate open access. The fully published version is available to anyone upon publication. APCs are charged to the person/institution but only levied to lead/corresponding authors.

These are a mixture of hybrid OA journals (where OA articles are published alongside paywalled articles) and OA only journals. As both involve APCs to fund publishing [Library Services has a number of agreements to support this type of publishing](https://study.cardiffmet.ac.uk/Library/Pages/OAagreements.aspx) which passes no cost onto authors.

Authors should be careful not to confuse APCs with charges levied by outlets considered to be “vanity publications”. Such outlets will often levy pay-to-publish fees without undertaking rigorous, or any, peer review. Given increased instances of such outlets, it is recommended that authors use tools such as [Think Check Submit](https://thinkchecksubmit.org/journals/) and [Directory of Open Access Journals](https://doaj.org/) to ensure they are publishing their work in authentic venues. Further advice is also available from the Research Librarian.

**Route 3: Diamond Open Access** *(Diamond OA):* Publishing in an APC free OA only journal. The fully published version is available to anyone upon publication.

These are journals who do not charge for publishing as they fund their activities via different means. The [DOAJ](https://doaj.org/) (Directory of Open Access Journals) indexes useful information about where to find Diamond OA journals.

Routes to OA publishing at Cardiff Met - Flowchart