

Open Access Publication: Guidance Update July 2014

Open Access (OA) is an initiative to make publicly funded research outputs in academic journals freely available at the point of use, and not restricted by journal subscription. The Finch Report 2012 (<http://www.researchinfonet.org/publish/finch/>) recommended large scale adoption of "author pays" OA within the UK. This has been endorsed by the UK Government, RCUK and HEFCE (so will be required for the next REF) as follows:

- Research Councils and many other UK research funders already mandate OA publication as a condition of the research that they fund – including research funded through ESRC studentships. RCUK provide a (limited) block fund to the University to support this. Library Research Support are required to RCUK on compliance with the OA mandate.
- EU Horizon 2020 also has a strong Open Access mandate and researchers need to include publication costs as part of their proposal.
- HEFCE confirmed its guidance in March 2014; HEFCE will require OA of all journal articles and conference proceedings that have an ISSN (conference proceedings published as a book series are not included) that are accepted for publications from 1st April 2016.¹
- More widely, OA policies came into operation from 1st January 2014.

Decisions relating to publications and OA remain academic decisions, under the oversight of each School. Schools are responsible for ensuring that publications comply with the funder's requirements, and for academic judgements relating to the appropriateness of the journal and the timing of the publication, taking into account the quality of the article and career stage of the author(s).

Please note, when providing outline publication details for Sussex Research Online, and when depositing publications in the repository, it is essential that you provide details of the research funder, to enable the University to monitor and report OA compliance with funder requirements.

A University working group has drawn up University policy and systems for OA. Their February 2014 report is available on the internal ESW Research webpage <http://www.sussex.ac.uk/esw/internal/research>.

¹ A summary of HEFCE Open Access policy (as at August 2014), is found at the end of this document. The full HEFCE policy is also provided on the ESW Research webpage. In addition, HEFCE have a very useful Open Access FAQ page at <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/faq/>

There is more information (including about individual journal OA policies) to be found on the Library webpages

<http://www.sussex.ac.uk/library/staff/research/openaccess>.

These brief notes are intended to give you outline information and guidance on OA publication.

What are the OA options?

OA applies to journal publication, and in the case of HEFCE to published conference proceedings that have an ISSN ; it does not apply to publications through other outlets, eg. books/chapters. But RCUK, Government and some other funders will have clear requirements for OA publication of research they sponsor.

There are two options to make your journal publications open access:

- i) Gold route: Publish in an Open or Hybrid journal - known as "Gold" or "author pays" route. Some journals will only allow Gold route. This is likely to cost average £1,300 per publication (though there is wide variation), normally payable by the corresponding author's institution (see 'What about the cost?' below).
- ii) Green route: Some journals will allow authors to make their papers available via a repository, either institutional (Sussex Research Online (SRO)) or subject based. This is known as "Green" route. Green route will be subject to an embargo period required by the journal (short green = 6-12 months embargo; long green = 12- 24 months). For post-2014 REF Panels C and D (social science, arts and humanities) HEFCE will allow up to 24 months' embargo. There should be no fee associated with Green routes. The Library offers direct support for upload to SRO.

Note: HEFCE requires (from 1st April 2016) all relevant post-2014 REF publications will be deposited in Institutional or subject repositories, within three months of the date of acceptance. To allow compliance with Green route embargos, authors can make a 'closed' deposit on acceptance. This means that the submitted version of the output is deposited in the repository, though cannot be openly accessed until expiry of the embargo period. However the meta-data (author, title, outlet etc.) about the output must be discoverable to anyone with an internet connection before the full text becomes available for read and download (which will occur after the embargo period has elapsed). Closed deposits will be admissible to the REF.

OA Publication decisions

Schools should determine whether articles should be published on a Green, Gold or other basis. These decisions should be the product of consultation with research mentors, centre/departmental research leads, DRKE and/or HoS as appropriate.

Within this, you should consider the following:

1. Opting for OA or not OA?

- If your research funder requires OA, you should choose this. This said, Research Councils do not require full institutional compliance with OA until 2017/18 (required compliance rate of 53% for 2015/16)
- HEFCE will require OA of all journal articles and conference proceedings that have an ISSN (conference proceedings published as a book series are not included) accepted for publications from 1st April 2016.
- On balance we recommend OA for journal papers and conference proceedings with ISSN from now on. If in any doubt, you should discuss this with research mentor, research centre/theme lead, and/or DRKE/HoS as appropriate.

2. Opting for Gold or Green routes:

- If your research funder requires Gold OA, choose this (bearing in mind compliance dates).
- If RCUK are funding your research, you may apply for an allocation from the RCUK OA block fund. The fund is administered by the Library, who advise researchers on compliance with the policy and confirm eligibility details before asking the researcher to approach their HoS/DRKE for authorisation to use the funding. Note the sums available are limited.
- If your research funder does not require Gold OA, but will fund it, choose this.
- If Gold route is not required and short Green route is available, go for this.
- If Gold route is not required and short Green route is also not available, go for long Green route.
- Beyond this, the School will need to establish and operate a transparent rationale and mechanisms for allocating any School funds for Gold OA. In addition to quality, these will be influenced by research funder requirements and by cost (see below). Some Schools may choose to opt for all Gold – ESW is not currently in a position to do this. We recognise that faculty and PGR students publish in a range of forms, in particular books/chapters/working papers and we are keen to continue to support this range as appropriate. Where journal publication is best and most appropriate, we are most likely to advocate for (preferably short) Green route where possible.

What about the Costs of Gold OA publication?

Mixed economy: Across the sector, there will be a mixed economy for dealing with these costs – especially during the transition period. Institutionally, HEIs are keen to ensure that we will not be charged twice – i.e. through continued payment of journal subscriptions at current levels. These arrangements are presently being worked out nationally.

Funder support: The anticipated costs of Gold OA are average £1,300 per publication. RCUK will pay block grants to HEIs (proportional to their RCUK funding level) to contribute to Gold OA costs. The University will allocate RCUK funds for Gold OA on a first come first served basis. These funds will not be sufficient to cover all publications of RCUK funded research, so other OA funding for RCUK sponsored research publications will need to be decided at School level.

Some other funders (e.g. Wellcome) will pay Gold costs on an as required basis. UK Government funders have agreed to set aside sums for Gold publication but have not yet determined mechanisms.

On making research bids it will be important to establish whether the funder will contribute to Gold OA. (Many, e.g. charities, will not do so, as publication costs commonly arise after the end of a grant, and therefore count as indirect institutional costs). If funders will support Gold OA, it's important to cost this in at the bidding stage. Also, when making partnership bids between HEIs, it is important to agree in principle distribution of costs with corresponding authorship.

School decisions re support: Schools are responsible for any charges over and above the RCUK funds allocated directly by the University, and for OA charges for publications arising from any other funded or unfunded research not covered by the project itself. Current SMG advice to Schools is that they need not set aside additional budgets for Gold OA for the present year. Instead, we go for Green where possible and where RCUK/other dedicated OA dedicated funds aren't available.

Sussex Research On-line (SRO)

SRO is the institutional repository for recording of information (meta-data) about ALL publications, and for deposit of publications for OA purposes as outlined above.

Please follow the guidance below:

1. Informing Research and Enterprise Co-ordinator on acceptance of publication:

At the point of acceptance of a publication, please inform the REC of its acceptance, providing the following meta-data:

- title of publication
- author(s)

- type of publication (e.g journal article, book, chapter)
- journal/outlet/publisher
- date of acceptance
- funder details (if externally funded)
- whether Gold or Green route (embargo period if known – details for specific journals can be found on library website at link below)

2. As soon as details are available, please provide to REC:

- doi
- publication details (e.g volume/issue number, page numbers)
- start and end date of embargo period if applicable

3. Deposit of publication in SRO:

- open or closed (if necessary to comply with embargo) deposit within 3 months of acceptance
- open deposit as soon as allowable in compliance with publisher OA policy.

For University-wide updates please visit:

<http://www.sussex.ac.uk/library/staff/research/openaccess>.

Summary of HEFCE (post-2014 REF) Open Access Requirements

March 2014

A summary of HEFCE requirements is as follows:

- OA is required of: all journal articles and conference proceedings that have an ISSN (conference proceedings published as a book series are not included) that are accepted for publications from 1st April 2016.
- The content should be available via either Institutional or subject repositories, deposited within three months of the date of acceptance. This includes 'closed deposit' if required to comply with embargo period (see below).
- The licence terms should allow re-use. Creative Commons Attribution Non-Commercial Non-Derivative (CC-NC-ND) licence is acceptable.
- Embargo periods of 12 months for Panels A and B (medicine science, and engineering), 24 months for Panel C and D (social science, arts and humanities).
- Scanned images are not acceptable, as they are not electronically searchable.
- Text-mining capability is encouraged, but not mandatory. It will be given credit in the REF Environment statement.
- Retention of copyright by author / institution encouraged.
- There will be deposit, access and technical exceptions to the requirement for compliance.
- Credit will be given in the Environment statement to institutional / unit approaches to OA.
- Relevant publication meta-data will need to be captured in SRO, e.g. date of acceptance, date of deposit of an appropriate version, start and end dates of the embargo period, details of exceptions.