

Open Access FAQ's in relation to RCUK, HEFCE and EU Horizon 2020 policies

1. What is Open Access?

Open Access is the process by which research outputs are made freely available online to be read, downloaded, distributed and re-used.

2. Which research outputs do not have to be made Open Access?

The policy does not cover monographs, books, critical editions, volumes, catalogues, exhibitions, video, audio, photography, design, software, exhibition catalogues, compositions, performances, art objects.

3. Is 'free access' the same as 'Open Access'?

No, 'free access' refers to the ability to read online without any restrictions such as the need to have a subscription. 'Open Access' means that you can also redistribute and reuse the item without needing permission.

4. What is RCUK's Open Access Policy?

If your research output is wholly or partly funded by RCUK this must be acknowledged in the output. If your output is a [peer reviewed] research article or conference proceeding then the final text must be made Open Access immediately or no later than 24 months after publication, depending on funding council. See <http://www.rcuk.ac.uk/research/openaccess/policy/>

5. When does the RCUK Open Access Policy start?

The policy came into place on 1st April 2013 and applies to all articles and conference proceedings submitted for publication after that date.

6. What is HEFCE's Open Access policy?

From April 2016 HEFCE requires that for an output to be considered for the next REF that the final peer reviewed text of research articles and conference proceedings (with an ISSN) submitted for publication be deposited in an institutional repository (Goldsmiths Research Online; <http://research.gold.ac.uk/>) or relevant subject repository within 3 months of acceptance.

For regular updates and the most current information consult the [HEFCE open access policy pages](#).

7. Do HEFCE require conference proceedings that are part of a book or series also need to be made Open Access?

No, these are out of the scope for HEFCE's Open Access policy.

8. What is the EU's policy on Open Access?

Through the European Commission's Horizon 2020 programme all research articles need to be made Open Access within 6 months for Sciences and 12 months for Humanities, Arts and Social Sciences. This can be done by the final peer reviewed text into Goldsmiths Research Online.

More information can be obtained by regularly consulting the [EU Policy pages on Open Access](#).

9. What is GRO?

GRO is Goldsmiths Research Online (<http://research.gold.ac.uk/>) which is our institutional repository. We hold the records of the research outputs of the college and the full text of papers.

10. Can compliance with RCUK, HEFCE and EU Horizon 2020 only be achieved by depositing the final publisher pdf?

No. You can comply with all three funding bodies by depositing the Author Accepted Manuscript AAM in GRO, which is the version after peer review but without publisher pagination or formatting, ie. equivalent to the final peer reviewed text. This is the typically accepted 'green route' to Open Access. (The final publisher pdf can only be used 70 years after the author's death.)

11. Can practice based and creative research outputs be made Open Access via GRO?

Yes they can but neither RCUK nor HEFCE make this a requirement in their policy at the moment. However HEFCE state that credit will be given in the research component part of the next REF for any such material that is made Open Access.

12. Does research data need to be made Open Access?

RCUK prefer, where appropriate, that research data is made Open Access. If this is not possible because of ethical or other reasons then they require that the PI includes a statement in his/her research output stating how the data can be accessed, e.g. by emailing the PI.

At application stage PIs should have submitted a data management or technical plan. These will be reviewed by the Research Ethics and Integrity Committee post-award to ensure data is shared responsibly and ethically, in accordance with the [University's research data management policy](#).

Unfunded research should also obtain ethical clearance via the Research Ethics and Integrity Committee and make explicit any research data sharing practices for approval. Goldsmiths' encourages unfunded research data outputs to be uploaded on GRO, where ethically appropriate. If necessary and appropriate, redacted or edited versions of research data can be submitted to GRO as well.

HEFCE do not require that you make your research data Open Access but will acknowledge and provide credit in the research component part of the next REF if data are made Open Access.

EU Horizon 2020 do not require that you make your data Open Access but do require that it is deposited in a data repository e.g. <http://data.gold.ac.uk/> and that information on how that data can be accessed is included with the publication.

For more information, access the [EU open access policy](#).

13. Does Goldsmiths have a data management policy?

Goldsmiths' has a research data management policy, see <http://www.gold.ac.uk/research-data/>. Further advice on open data and ethical research data sharing can be obtained via the Research Ethics and Integrity Committee, <http://www.gold.ac.uk/research/ethics/>

14. What is 'Gold Open Access'?

'Gold Open Access' is where the final publisher version of the article/conference proceeding (usually the pdf) is made immediately available by the publisher to download, redistribution, and reuse from the date of publication.

15. Is there a fee for 'Gold Open Access'?

Article Processing Charges (APC) are usually found in 'Hybrid Journals', these are traditional subscription journals that have an APC for a specific article to be made Open Access. Some pure Open Access journals such as PLoS One also have an APC. However there are many pure Open Access journals that do not charge an APC.

16. How can I find a 'Gold Open Access' publisher that does not charge an APC?

The Directory of Open Access Journals (<http://doaj.org/>) lists over 6000 journals that do not have an APC.

17. What is 'Green Open Access'?

'Green Open Access' is where an earlier version of an article or conference proceeding is made available, usually via an institutional repository such as Goldsmiths Research Online, either immediately on publication or after an embargo period. For RCUK, HEFCE and EU Horizon 2020 this must be the Author Accepted Manuscript (AAM).

18. Are there funds to cover APCs?

Goldsmiths has been provided by RCUK with a small block grant to cover APC's for research only funded by RCUK. Unfortunately there is no other central fund.

19. I am RCUK funded, how do I apply to have the APC covered?

You should contact openaccess@gold.ac.uk with details of the journal, and your grant number. A member of the GRO team will then check if the journal is compliant with RCUK requirements and if funds are still available. If so, once your article is accepted, then they will arrange for payment to be made directly to the publisher.

20. How is the RCUK Open Access fund distributed?

Since the fund we have been provided with is small it will be distributed on a first come first basis in the first instance. As the open access agenda develops, this will be reviewed.

21. The most appropriate journal for my research does charge an APC, can Goldsmiths cover this?

Goldsmiths have decided that the most effective, fair and economical path to comply with RCUK and HEFCE Open Access policy is to pursue 'Green Open Access' (see our Institutional Open Access statement at <http://research.gold.ac.uk/openaccess.html>) so there are currently no central funds to cover any APC's. For EU Horizon 2020 you can cover these fees from your grant if you publish within the lifetime of the grant, if you publish afterwards you will need to contact EU Horizon2020 to apply for funds. If your project is funded by RCUK, then certain outputs may be eligible for APCs to be paid via the RCUK block grant administered by Goldsmiths (see FAQs above).

22. I originally included funds for Open Access in my RCUK grant, should I use these to cover an APC?

Yes, RCUK indicate that where funds were originally specified in the original grant for Open Access that they should be used to make the output immediately 'Gold Open Access'.

23. Can I deposit the Author Accepted Manuscript (AAM) immediately into GRO?

You should deposit the AAM into GRO on date of acceptance or no longer than 3 months afterwards. The GRO team will make this publicly available on the publication date or after the publisher specified embargo.

24. Where can I find out about embargo periods?

You can check embargo periods by searching for the journal title in SherpaRomeo (<http://www.sherpa.ac.uk/romeo/>).

25. I have looked in SherpaRomeo and I am still unsure about the embargo, what can I do?

Deposit your AAM into GRO and a member of the GRO team will check the permissions and embargo period for you, or you can contact GRO via email gro@gold.ac.uk

26. How do I find out if a particular journal is compliant with RCUK?

You can check journal/funder compliance on the SherpaFact website (<http://www.sherpa.ac.uk/fact/>).

27. I've checked SherpaFact but I am still unsure if the journal is funder compliant, what do I do?

Contact gro@gold.ac.uk who will investigate further.

28. RCUK and another funder funded my paper; does it need to still be made Open Access?

Yes, if the paper is partly the result of funding by the RCUK then you will need to make it Open Access to comply with HEFCE and RCUK mandates. For the paper to be considered for submission to HEFCE in the next REF it also needs to be Open Access (see FAQs above).

29. If I have added the details of my RCUK-funded paper to GRO do I also need to add them to [ResearchFish](#)?

At present yes, although we hope in the future to be able to use GRO to populate [ResearchFish](#).

30. A commercial partner and RCUK co funded my paper, do I need to make it Open Access?

Yes, if the paper is partly the result of funding by RCUK then you will need to make it Open Access to comply with HEFCE and RCUK mandates. For the paper to be considered for submission by HEFCE in the next REF it also needs to be Open Access (see FAQ 6).

31. My paper is the result of collaborative work with overseas partners who do not have Open Access requirements; do I need to make it Open Access?

Yes, if the paper is partly the result of funding by RCUK then you will need to make it Open Access. When collaborating with overseas partners you should ensure that they are aware of the terms and conditions of your funders and publishing Open Access should be part of any collaboration agreement.

32. I have published a collaborative paper, whose responsibility is it to make the paper Open Access?

This should be discussed with your collaborators but usually the PI, leading organisation or the corresponding author should arrange for the paper to be Open Access.

33. My collaborating author has made the paper Open Access in their institutional repository; can I also deposit it into GRO?

Yes, this is important, but remember to check if there are any embargoes.

34. What is the maximum embargo for 'Green Open Access' that is still compliant with RCUK, HEFCE and EU Horizon 2020 policy?

RCUK require a maximum embargo of 24 months for Arts, Humanities and Social Sciences and 12 months for Science subjects but if the work was funded by the Medical Research Council then the maximum embargo is 6 months.

HEFCE require a maximum embargo of 24 months for Arts, Humanities and Social Sciences and 12 months for Science subjects.

EU Horizon 2020 require a maximum embargo of 12 months for Arts, Humanities and Social Sciences and 6 months for Science subjects.

35. My paper is funded by a number of different funders who all have different embargo dates, which one should I observe?

You should observe the minimum embargo date.

36. Does RCUK expect 100% Open Access compliance?

RCUK urge that all researchers make their research outputs Open Access but will only expect 45% compliance from each academic institution in 2013/14 and 53% compliance for 2014/15. 100% compliance is expected by 2017/18.

37. Does HEFCE expect 100% Open Access compliance?

HEFCE expects a 96% compliance rate.

38. 96% is a high compliance rate. How did HEFCE arrive at this percentage?

HEFCE state that based on the REF2013 submission 96% of published articles and conference proceedings could have been made Open Access within the stated embargo periods.

39. Is such a high compliance rate possible for those publishing in the Arts, Humanities and Social Sciences?

HEFCE have indicated compliance rates vary between STEM and Arts, Humanities and Social Science outputs (AHSS). The exact differences remain as yet unclear. As the Open Access landscape evolves HEFCE expects that AHSS colleagues will find it easier to comply.

40. What are the 'rare instances' where HEFCE allow 'exceptions' to their Open Access policy?

Where a UK HEI at the point of having their paper accepted did not employ an individual.

Where the publication concerned was the most appropriate venue for the output even though the embargo period exceeded the HEFCE policy or the publication does not allow Open Access but is still the most appropriate.

Where there is another reason for non-compliance a short written explanation will need to be submitted for consideration in the next REF.

41. The journal I want to publish in has a Green Open Access embargo longer than permitted by RCUK/HEFCE can I still publish with them?

You should consider publishing with another journal. If this is not possible then approach the publisher and inform them of RCUK/HEFCE requirements. If the publisher will still not allow a compliant 'Green Open Access' embargo then the article will be non compliant and will be counted as part of the permitted non compliant percentage.

Retaining emailed correspondence from publishers on this subject is recommended to support exceptional entries for the next Research excellence Framework (REF) exercise.

42. What Creative Commons license do I need to apply to the full text?

Since Goldsmiths is following the 'Green Open Access' path your author accepted manuscript should have the Creative Commons license CC-BY-NC or CC-BY-NC-ND.

43. What is [CC-BY-NC](#)?

This license allows anyone to read, download, distribute and adapt parts of your work as long as you are credited, any changes are indicated and it is for non-commercial use.

44. What is [CC-BY-NC-ND](#)?

This license allows anyone to read, download and distribute your work as long as you are credited, the work is not adapted or changed and is for non commercial use.

45. If an APC is paid what Creative Commons licenses should be applied?

You should select the CC-BY license.

46. What is [CC-BY](#)?

This license allows anyone to read, download, distribute, adapt, change, translate your work as long as you are credited and any changes are indicated. It also allows the work to be used commercially.

47. If my work is not Open Access will I still be considered for staff promotion?

Promotion and progression decisions are currently not influenced by the Open Access status of an individual's research outputs. However, Goldsmiths has a general expectation that wherever possible outputs will be recorded in GRO, and that outputs which fall under the HEFCE, RCUK and other funder mandates will be compliant with our green open access policy. It is likely that in due course verification of this will be required as part of the promotions process.

48. What is a predatory publisher?

These are 'publishers' who offer to publish your work 'Open Access' for a usually small fee but are in fact not reputable or 'Open Access'.

49. How can I identify a predatory publisher?

Often the journal will not have an ISSN, they will seek copyright of your work, not offer a Creative Commons license and will not be listed in the Directory of Open Access Journals at <http://doaj.org/>. If you are still unsure contact openaccess@gold.ac.uk who will be able to help.

50. How will HEFCE audit our compliance?

HEFCE have indicated that their audit will be 'light touch' but they will expect institutions to prove that they have the correct procedural and technical processes in place to ensure that compliance is met. Where compliance is not met, HEFCE will gather the relevant exception evidence.

51. What is ResearchFish?

[ResearchFish](#) is the system used by RCUK to record all outputs generated as part of research projects funded by them. It replaces the Research Outputs System (ROS). In future data previously entered in to ROS will be migrated to ResearchFish. ResearchFish and Goldsmiths Research Online (GRO) will hopefully be interoperable in future.

For further questions about ResearchFish and post-award reporting requirements, please contact openaccess@gold.ac.uk.

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