

## Open Access Guidance

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This guidance accompanies the Edge Hill University [Policy on Open Access \(RO-GOV-07\)](#). To help you and your colleagues understand the main issues, Learning Services and the Research Office have produced this document as an introduction to open access (OA): what it is and how it will affect researchers. A glossary of terms to assist your navigation through the process is included as an appendix.

### Why you should publish your research in open access

#### *Open access benefits*

The aim of open access is to increase free online access to publicly funded research findings.

As a researcher, making your publications open access can help make sure:

- Your work is read more
- Your work is cited more
- Your work has more impact

According to HEFCE the benefits of open access are that the prompt and widespread dissemination of research findings will:

- Inform researchers of new discoveries in their field
- Stimulate the sharing and discussion of their findings effectively with a wide group of their peers
- Accelerate the impact of their work both within and beyond the academic community
- Support the economic, social and cultural development of the country
- Increase the public understanding of research.

Therefore outputs from all research supported though public funding should be as widely and freely accessible as the available channels for dissemination permit.

#### **Compliance with funders' requirements**

Research funders have taken a range of positions on whether they wish to meet the APCs associated with gold open access. When applying for external research funding staff should ensure that they understand the extent to which the costs of gold open access can be requested from the funder. Where this is possible they should seek to do so.

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Research Councils UK requires all journal articles and published conference proceedings submitted for publication after 1 April 2013 to be made open access. This [RCUK policy](#) comprises both the policy statement and supporting guidance for researchers, their host institutions and the publishers of peer reviewed research papers.

Members of RCUK (the research councils and the Technology Strategy Board) ceased to provide financial support for APCs on the 1 April 2013. These costs cannot be requested from these funders in individual research grant applications.

RCUK provides funding to some institutions in the form of an open access *block grant*, to be used to pay APCs. Edge Hill does not receive any grant to meet these costs. As such, our researchers should plan to publish outputs arising from RCUK funded projects via green open access, with longer embargo periods. Where a strong case can be made, it may be possible to secure internal funds for gold open access.

### **Internal funding to meet the costs of *gold* open access**

The University may support open access publication costs where an appropriate case is made. Such a case will rest on the quality of the publication targeted, the benefits of placing the paper in question in that publication, and cost/value for money. An [application is required before an article is submitted](#) for publication. When making an application the author should identify:

- The standing of the journal in the discipline using appropriate evidence for a non-specialist audience
- If it is a new journal, how a quality judgement is being made (e.g. it might be the quality of the editorial board)
- Other benefits of placing an article in the journal (e.g. accessing a broader, possibly non-academic audience)
- Cost and how this might be shared if it is a joint-authored paper.

### **Compliance requirements in the post-2014 REF**

For the post-2014 REF HEFCE requires all journal articles and conference proceedings published in journals with an ISSN to be made open access, if they were accepted for publication on or after 1 April 2016. This applies to all units of assessment (UoAs). A summary of the open access compliance requirements for the post-2014 REF is given below; however staff can consult the [HEFCE open access policy](#) for full details.

The requirement to comply with the HEFCE open access policy applies only if:

- a) The output is a journal article or is a conference proceeding with an International Standard Serial Number (ISSN).
- b) The output is accepted for publication after 1 April 2016.

Monographs and other long-form publications are excluded, as are non-text, creative and practice based research outputs. Research data are also excluded; however, extra credit in the environment section of

a REF return (REF 5) will be given to those universities that can demonstrate the steps they have taken towards enabling open access for these outputs.

### How to comply with open access

Please check the open access policy for the specific journal when you are submitting a paper to ensure you can comply. This can be achieved in three easy steps

1. Go to the [Sherpa website](#)
2. Check [RoMEO](#) for publishers' copyright and archiving policies
3. Check [Juliet](#) for research funders' archiving mandates and guidelines.

**NB If your journal of choice requires an article processing charge you need to secure funding before submission addressing the issues highlighted above (a draft version is available from the Research Office on request): if you have queries, contact the Research Office for further information.**

Compliant outputs must fulfil certain criteria to be treated as open access. The criteria consist of deposit requirements, discovery requirements and access requirements, summarised below.

	Essential Open Access criteria
<b>Deposit requirements</b>	<ul style="list-style-type: none"> <li>• Final peer reviewed text to be deposited in an institutional or subject repository within three months of acceptance by publisher</li> </ul>
<b>Discovery requirements</b>	<ul style="list-style-type: none"> <li>• All versions* must be discoverable electronically by anyone *Includes replaced/augmented or updated manuscripts</li> </ul>
<b>Access requirements</b>	<ul style="list-style-type: none"> <li>• Must be available to anyone to search, read and download without charge, subject to embargo periods which should not exceed               <ul style="list-style-type: none"> <li>○ 12 months for REF panels A&amp;B</li> <li>○ 24 months for Ref panels C&amp;D</li> </ul> </li> </ul>
	Desirable criteria
<b>Text mining</b>	<ul style="list-style-type: none"> <li>• Making the output available in a format to enable text mining will be credited in the research environment of the next REF</li> </ul>

There will be exceptions to these requirements (for example, where the researcher was not employed by a UK HEI at the point at which their output was accepted for publication, or where the journal actively disallowed open access but was the most appropriate place for publication – in this case the article still needs to be deposited but under permanent embargo; see '*Choosing journals*', below). Outputs submitted to the next REF will be deemed non-compliant with this policy and rated as unclassified where they:

- Fall within the scope of the policy
- Are not compliant with **all** of the criteria above
- No valid exception was recorded.

The table below identifies common issues that can cause an article not to be compliant.

It is possible for non-compliant outputs to be eligible through the lodging of exceptions to the policy. Such exceptions must be justified and suitably evidenced, and the decision as to whether they are acceptable for the REF submission will be made by the Research Strategy Group. Grounds for exceptions can be found in the HEFCE policy.

Issue	Is your output compliant with Open Access requirements? <sup>1</sup>		
	Deposit	Discovery	Access
The <b>correct</b> version of the full text was deposited within the 90 day window <sup>2</sup> and was made accessible in the live archive within one month of deposit/end of embargo	✓	✓	✓
The <b>incorrect version</b> of the full text has been deposited	✗	✓	✓
The output was deposited <b>outside the 90 day window</b>	✗	✓	✓
<b>No full text</b> has been deposited	✗	✓	✗
Output submitted for mediated deposit but <b>not yet in the live archive</b> – Learning Services deposit the item but this is not always done immediately. Please ensure that you send your article for deposit ASAP to allow for any time lags or you risk missing the 90 day window	✗	✗	✗
The output had <b>no embargo</b> and was <b>not made accessible</b> within one month of deposit	✓	✓	✗
The output is under <b>embargo for a period up to the maxima</b> stated by HEFCE <sup>3</sup>	✓	✓	✗
The output is under <b>embargo for a period longer than the maxima</b> stated by HEFCE (inc. permanently)	✓	✓	✗
The output was <b>not made accessible within one month of the end of the embargo period</b>	✓	✓	✗

<sup>1</sup> Deposit, discovery and access requirements taken from the [HEFCE Policy for open access in the post-2014 Research Excellence Framework](#).

<sup>2</sup> Outputs accepted for publication **before 01 April 2017**: 90 days **from publication** (online or hardcopy, whichever is earlier); outputs accepted for publication **on or after 01 April 2017**: 90 days **from acceptance** by the publisher.

<sup>3</sup> While under an appropriate embargo period, the output cannot fulfil the accessibility criteria but will be compliant if it a) fulfils all other criteria, and b) is accessible within one month of the embargo end date.

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## Choosing Journals

Academic staff should seek guidance from colleagues and peers regarding the best place to publish in a given discipline. With the rise of open access, there has been an expansion of predatory publishers who seek merely to profit from author processing charges. The [Scholarly Open Access blog](#) features a non-exhaustive list of such predatory publishers ([Beall's List](#)) and more information can be found on the [Research Wiki](#).

Where a journal has been chosen which does not support open access at all, the academic must explain this decision (journal impact factors will not be a good enough reason for the purposes of the REF) and deposit the article under permanent embargo. It is important that the exception is based on sound academic reasons and we strongly suggest that you speak with the Research Office before choosing one of these journals.

## Open access deposit requirements at Edge Hill University

The [Edge Hill Research Archive](#) (EHRA) is the University's repository for research outputs, allowing content deposited to be viewed worldwide via the Internet. It enables the University's research to be viewed, shared, managed and preserved, and facilitates open access. As a current member of academic staff you should ensure that your accepted publications are deposited into EHRA. This will ensure that your publications are available in open access, and thus comply with requirements for submission to post-2014 REF. Edge Hill offers a mediated deposit process managed by Learning Services which requires that the researcher:

- Makes arrangements to deposit bibliographic metadata for all new publications **immediately upon acceptance by the publisher** for publication
- On acceptance, complete the BOS **mediated deposit survey** (<https://tinyurl.com/EHRAdeposit>) to ensure that Learning Services has all the information required to make a compliant deposit (this ensures that enough metadata is deposited for each of your publications to enable potential readers to adequately identify and correctly cite each publication.)
- On acceptance, **send the author's accepted manuscript** (this is the author-final (post-print) copy, which is the author's final version of a journal article or conference proceedings which has undergone peer review with the publishers acceptance email to [REFcompliance@edgehill.ac.uk](mailto:REFcompliance@edgehill.ac.uk). The authors accepted manuscript needs to be live on the Edge Hill Research archive within 3 months of acceptance for publication.
- On publication, **provide confirmation of the status of the article and publication date**. Confirm the online publication date and any bibliographic details not previously available. Complete the BOS survey as an update (<https://tinyurl.com/EHRAdeposit>) to ensure that Learning Services has all the information required to make a compliant deposit.
- **Attach the published version** of your work when available depending on your funder's requirements and chosen publisher's copyright agreement and embargo period
- Make your publication available using **a licence that aligns with your funders' requirements** and ideally uses the most liberal re-use licence allowed by your chosen publisher.

From 01 November 2016, it will no longer be possible for researchers to deposit their own outputs directly into EHRA; all deposits will be mediated by Learning Services. It is the responsibility of the researcher, however, to ensure that all their material is deposited. Any item which does not meet HEFCE's open access requirements will be excluded from the REF.

For further information, please contact [Helen Bell](#) in Learning Services.

*This guidance was updated on **23 May 2017**.*

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## Appendix

### Open Access Definitions and Glossary of terms

- **Article processing charge** (APC) is a fee levied by the publisher and paid by the author (or usually institution) for the publication of an accepted article in open access.
- The **author-final copy** (or post-print) is the author's final version of a journal article which has undergone peer review. This may not be exactly the same as the final published version of the article.
- **Embargo period** is the length of time a publisher may require an author to wait until they can make their published paper available through green open access. Embargo periods are usually for a minimum of 6 months to a maximum of 24 months.
- **FACT** is a funders' and authors' compliance tool to help you check if the journals in which you wish to publish your results comply with the funder's requirements for open access to research.
- **Green open access** is when the author publishes an article through any subscription journal, and also makes their author-final copy freely available through a repository. Green open access publishing may be subject to an embargo period.
- **Gold open access** is when the publisher gives immediate, free online access to the content of a journal. The publisher may charge authors an article processing charge.
- **Hybrid journals** are subscription based but also provide a gold open access option for authors: to access some articles requires a subscription whilst others are open access. Publishers' revenues for hybrid journals are drawn from both subscriptions and APCs.
- **JULIET** provides summaries of research funders' grant conditions on open access self-archiving of research publications and data. You can search by funder's name and each entry provides a summary of the funder's publications policy.
- **Mediated Deposit** is the deposit of outputs to the repository by Learning Services in order to remove much of the burden from the researcher and ensure outputs are compliant with OA requirements.
- **Open access** is the immediate online availability of academic research papers with no access fees and free from most copyright and licensing restrictions
- An institutional research **repository** is managed by a university to house and make accessible its own research outputs. A repository includes published open access content. Research staff should self-archive their work into their institutional repository.
- **RoMEO** is to help you find out if your publisher's copyright rules allow you to deposit your research article in your institutional repository. You can search by journal title, and each entry provides a summary of the publisher's policy, including what version of an article can be deposited, and any conditions that are attached to that deposit.
- **Sherpa**, funded by JISC, host the RoMEO, JULIET and FACT services to help you check compliance when depositing articles into your institutional repository.