

## **Open Access (OA) Guidance: April 2017**

This guidance has been prepared in response to HEFCE's latest publications (Circulars CL 32/2016 and 2016/35) which set out the policy for Open Access in relation to the next Research Excellence Framework (REF) 2021.

### **I. REF eligibility**

The HEFCE policy states that, to be eligible for submission to REF 2021, authors' outputs must have been deposited in an institutional or subject repository within three months of *acceptance* for publication.

1. This requirement will apply to outputs accepted after 1 April 2018. HEFCE will review the readiness of systems with the HEI sector in Autumn 2017.
2. Outputs accepted between 1 April 2016 and 1 April 2018 must be deposited in the University's Open Access Repository (Apollo) within three months of actual publication (usually online).

The requirement applies only to journal articles and conference proceedings with an International Standard Serial Number. It will not apply to monographs, book chapters, other long-form publications, working papers, creative or practice-based research outputs, or data.

**Please note:** Whilst a significant number of publications may be published as Open Access (gold route), the School would still wish authors to deposit these outputs within Apollo – some Open Access journals may not publish within 3 months of acceptance and/or may not be listed within a subject repository such as PubMed Central which may compromise REF eligibility.

**In addition, HEFCE is moving away from inviting submissions per individual – the next REF is unlikely to run on the 'four best' principle, but on a much wider basis across the School's output.**

### **II. Wider REF environment**

HEFCE have stipulated that credit will be given in the research environment component of REF 2021 to institutions that enable open access for research outputs beyond the standard REF definition:

*"Where a higher education institution (HEI) can demonstrate that it has taken steps towards enabling open access for outputs outside the scope of this definition [REF-returnable for an individual PI], credit will be given in the research environment component of REF 2021."*

**HEFCE are very likely to look at publication metrics beyond those normally considered REF-returnable – this policy has implications both for Research Environment, but also for Research Impact in REF 2021.** The University may be asked for an OA metric which accounts for all publications – not just those specifically returnable for REF.

**The School is therefore aiming for authors to make *all* University publications OA compliant *via* deposit in Apollo within 3 months of *acceptance* for publication.**

### III. Open Access compliance

The School would define a University output as any work published under an affiliate University Department or Institution – this will include joint affiliations on outputs between an NHS Trust and the University.

The School expects *any* author publishing under a University affiliation to upload their manuscript to Apollo – *no matter their position on a publication and their level of seniority*. Affiliated staff will have a Raven account and CRSid and will therefore be able to deposit their manuscripts in Apollo.

**Please aim to make all publications eligible by depositing outputs *via* Apollo within 3 months of acceptance so that this practice becomes embedded as normal procedure by 2018.**

#### (i) Types of output

The following attempts to clarify those outputs which should be uploaded to Apollo; authors are asked to upload outputs which fall within the first two categories.

Low-risk outputs are those which could reasonably be excluded from University affiliation and/or have inherent difficulties for researchers to ensure Open Access compliance; in these cases, authors are asked to upload outputs to Apollo where possible.

| REF returnable outputs for individual PIs | Eligible outputs under wider REF environment | Low-risk outputs     |
|---|--|----------------------|
| Original research articles                | Review articles                              | Edited book chapters |
| Conference proceedings with an ISSN       | Conference proceedings with an ISBN          | Consortium outputs** |
|   | Authored book chapters                       |                      |
|   | Editorials                                   |                      |
|   | Comments / Letters                           |                      |
|   | Errata*                                      |                      |

\* Authors are encouraged to upload errata *via* Apollo (both errors that originate in the publication process and those arising from errors of scientific logic or methodology) since the OA availability of an erratum may affect the OA eligibility of an original publication.

\*\* A number of School PIs will be Consortia members (which could include hundreds of researchers); Consortia publications linked to authors through membership alone are regarded as low-risk. However, named authors on Consortia publications (i.e. those who have received the manuscript) should still ensure that the publication is uploaded to Apollo.

#### (ii) Open Access compliance for external funding bodies

This guidance is focussed on OA compliance for REF purposes. However, particular funders, including Research Councils UK (e.g. BBSRC, MRC, etc.) and the Charity Open Access Fund (COAF), also require Open Access compliance – often through Open Access publication (gold route).

The COAF is a partnership between Arthritis Research UK, Bloodwise, the British Heart Foundation, Cancer Research UK, Parkinson's UK and the Wellcome Trust, which is administered by the Wellcome Trust. Please note that the Wellcome Trust apply sanctions (such as withheld grant funds) if funded researchers do not comply with their OA policies.

**Please upload any publication which acknowledges RCUK or funding from a COAF constituent partner to Apollo – the Open Access team may then be able to advise on the publication's eligibility for payment of Open Access charges through the centrally held grants.**

#### IV. Share your accepted manuscript *via* Apollo

It's easy to share your manuscript. Simply visit the [upload form: https://www.openaccess.cam.ac.uk/](https://www.openaccess.cam.ac.uk/), attach your manuscript, fill in a few details and press send.

There are a few important things to note:

- Apollo administrators need:
  - your **accepted manuscript** - this is the version that contains all the changes made after peer review but has not been typeset or copyedited by the publisher in any way. Please send a 'clean' copy, i.e. one that does not contain tracked changes or letters to the editor;
  - the date that the paper was **accepted for publication** - this date needs to be reported to HEFCE;
  - to see your paper and authorise any open access payments **before** you commit to anything with the publisher - this is because (1) not all papers are eligible for support from the University's block grants for open access; and (2) the grants are finite, so it is not possible to guarantee support for all eligible papers.
- Manuscripts can be uploaded by an author, or administrator or librarian on their behalf. You will need a Raven account (CRSid) to upload a manuscript.

You can find out more about what you need to do [here](http://osc.cam.ac.uk/open-access/share-your-research/what-do-i-need-do).: <http://osc.cam.ac.uk/open-access/share-your-research/what-do-i-need-do>

If you need to know which open access options to pick at the time of submission, please upload your paper at that point.

You can also [send an email](mailto:info@openaccess.cam.ac.uk) if you have any questions: [info@openaccess.cam.ac.uk](mailto:info@openaccess.cam.ac.uk)