Open Access requirements for Research Council grants

Peer reviewed research papers which result from research that is wholly or partially funded by RCUK, and which are being submitted for publication from 1st April 2013 must:

- be published in journals which are compliant with the RCUK policy on Open Access [http://www.rcuk.ac.uk/research/outputs](http://www.rcuk.ac.uk/research/outputs)
- include details of the funding that supported the research, and a statement on how the underlying research materials – such as data, samples or models – can be accessed.

The Research Councils will recognise a journal as being compliant with their policy on Open Access if:

1. The journal provides via its own website immediate and unrestricted access to the publisher's final version of the paper (the Version of Record), and allows immediate deposit of the Version of Record in other repositories without restriction on re-use. This may involve payment of an 'Article Processing Charge' (APC) to the publisher. The CC-BY license should be used in this case. **Gold Open Access.**

2. Where a publisher does not offer option 1 above, the journal must allow deposit of Accepted Manuscripts that include all changes resulting from peer review (but not necessarily incorporating the publisher's formatting) in repositories such as CentAUR, without restrictions on non-commercial re-use and within a defined period. Research Councils will accept a delay of no more than six months between on-line publication and a research paper becoming Open Access, except in the case of research papers arising from research funded by the AHRC and the ESRC where the maximum embargo period is 12 months. Where no funds are available for Gold Open access, embargo periods may be extended to 12 months (or 24 months for ESRC and AHRC grants only). **Green Open Access.**

In addition, some Research Councils, such as MRC and ESRC, have a requirement that research papers must be deposited in specific repositories, such as UKPMC and ESRC Research Catalogue. This is detailed in the policies of individual Research Councils.
Funding of Gold Open Access Article Processing Charges (APCs)

The University has been given a block grant to cover APCs for publications arising from RCUK grants and has set up an OA fund for researchers to bid into.

Eligibility for funding

- All publications that acknowledge funding from RCUK research grants, fellowships, studentships and also facility grants must comply with the RCUK Open Access policy. Researchers may apply to the University OA fund to cover APCs for articles that are to be published in an Open Access journal, or an Open Access article in a hybrid journal.
- If articles arise from Research Council research grants or fellowships with start dates on or after 1st April 2013 (or from grants that have now finished), researchers may apply to the University OA fund because Open Access or other publication charges can no longer be charged on these grants.
- For current live grants with start dates before 1st April 2013, researchers should use any publication costs requested on the grant and are encouraged to use funds from other DI\(^1\) cost categories to pay for APCs before requesting funds from the University OA fund.
- Unfortunately, the University OA fund won’t cover all articles arising from RCUK funded work, and therefore funds will be distributed on a first come first served basis. (Please note this fund will only cover APCs and page charges for Gold Open Access).
- APCs and page charges for articles arising from NERC centre contracts only (NCAS and NCEO) cannot be claimed from the fund and should be paid from the contract directly.
- The University also has pre-paid agreement with several publishers where researchers can publish Gold Open Access articles arising from RCUK funded research in their journals at no cost to themselves. The rules for access to these are identical to those for the University OA fund.
- The publishers are: BioMed Central/ SpringerOpen/ Chemistry Central; Peer J; Public Library of Science (PLOS); Taylor and Francis and Wiley.
- Details of the deals and the process of applying for them are on the University OA website: [http://www.reading.ac.uk/library/contact/info-for/researchers/openaccess/lib-open-access.aspx](http://www.reading.ac.uk/library/contact/info-for/researchers/openaccess/lib-open-access.aspx)

Process of applying for OA funds

- There is a web request form for researchers to complete to request funds for APCs [https://www.reading.ac.uk/closed/open-access-fund-request](https://www.reading.ac.uk/closed/open-access-fund-request).
  - For Open Access journals, the request form for funds must be submitted prior to acceptance of the article and payment of the APC.
  - For Hybrid\(^2\) journals, the request form for funds must be submitted once the article has been accepted but prior to the payment of the APC.

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\(^1\) Directly incurred – additional items bought in for the grant such as consumables and travel.

\(^2\) Hybrid journals require a subscription for access to the whole journal, but authors can pay a fee (article processing charge) to make their own papers within the journal freely available on open access.
• Checks will be made to ensure applicants have a valid research grant or studentship and they are publishing in a qualifying journal. Applications from researchers who have an existing live grant starting before 1st April 2013 will be asked to pay for APCs from their research grant (either from publication costs or from other cost headings) unless there are insufficient funds to do so.

• Once the request for funds has been agreed, the School administrator should pay for the APC using their purchase card and, when the statement comes in, they should contact OArequests@reading.ac.uk, so we can provide details of the code that the request can be charged against.

• Account code 5855 should be used for all payments of APCs, from either research grant funds, the University OA fund or other sources.

• For queries and further information, please contact OArequests@reading.ac.uk

Deposit in CentAUR

• A metadata record and the author’s final manuscript must be deposited in CentAUR as soon as an article is accepted for publication. This is a requirement for all articles for the next REF and it is a condition of receiving money from the University OA fund.

• Articles must be deposited as soon as accepted for publication, and CentAUR staff will set embargoes, if required by the publisher’s conditions, as follows:
  o For journals where no Gold Open Access option is offered by the publisher, embargoes will be set to expire 6 months, or 12 months (if AHRC or ESRC funded), after publication.
  o For journals offering a Gold Open Access option but for which no funds are available to pay the APCs, embargoes will be set to expire 12 months, or 24 months (if AHRC or ESRC funded) after publication.
  o For journals not allowing an accepted version in a repository, this version will be indefinitely embargoed in CentAUR, but the RCUK policy must either be satisfied by deposition of the published version, if permitted by the publisher, or the article must be published as Gold Open Access with a CC-BY licence.

• If the article has been published as Gold Open Access with a CC-BY licence, this version can be retrospectively added to the CentAUR record. Please email it to centaur@reading.ac.uk

Further information

• Webpages on Open Access include details of the University OA policy and how to request funds from the University OA fund: http://www.reading.ac.uk/library/

• SHERPA/FACT is a tool to help researchers check if the journal in which they wish to publish their results complies with their funder’s requirements for open access to research. http://www.sherpa.ac.uk/fact/
Compliance with RCUK Open Access policy: Decision tree for publications arising from RCUK funded research

Is the research funded by RCUK?

- Yes
  - Is a Gold Open Access option available from your publisher? Check on SHERPA/FACT
    - Yes
      - Do you have a current live RCUK grant that started before 1st April 2013?
        - No
          - Not eligible for University OA fund – article must be paid from grant or other sources
          - Eligible to apply for funds from University OA fund
            - Yes
              - The applicant will be asked to explain why they cannot pay for the charges out of the current grant budget before a request for funds will be agreed.
            - No
              - Green Open Access after 6 months (AHRC/ESRC after 12 months)
        - Yes
          - Immediate Gold Open Access
    - No
      - Green Open Access after 12 months (AHRC/ESRC after 24 months)
- No
  - Author can use pre-paid deals from major sponsors – see website for details

For queries, contact OArequests@reading.ac.uk