

THE NEW WORLD OF ACADEMIC PUBLISHING: WHAT 'OPEN ACCESS' MEANS FOR RESEARCHERS

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SUMMARY

'Open access' means unrestricted, online access to the published findings of research.

As a result of national reviews, government statements and pressure from research funders to ensure research results are Open Access. Researchers are being encouraged to 'Act on Acceptance.' From 1 April 2016:

Research papers must be deposited in an 'open' repository (such as Keele University's own repository) within three months of acceptance (not at time of publication)

Papers may be embargoed for 12 months if required by the publisher.

Papers which do not comply will not count for the next Research Excellence Framework ("REF2020").

There are two routes to achieve Open Access – 'gold' and 'green'. The 'green' Open Access route is acceptable, avoiding the high costs of using a full Open Access 'pay to publish' journal. Advice and help is available from the Keele University Open Access team <http://www.keele.ac.uk/researchsupport/openaccessandrepository/>

NEW OPEN ACCESS REQUIREMENTS FOR RESEARCH – CREATION OF A RESEARCH REPOSITORY AND DATABASE

Academic publication is changing. In response to the explosion of research publications in the last 20 years, and the vast number of academic journals which have sprung up, various attempts have been made to bring significant research results to a wider audience. The

internet has enabled a broader readership, bringing research to the attention of practitioners, policy makers, industry, journalists and the general public which in the past would have been read only by a handful of other scholars.

As colleagues will be aware, the Open Access agenda continues to change rapidly following national reviews, various government statements, changing policies from research funding organisations and the publication of HEFCE's policy (Higher Education Funding Council for England) on Open Access for the next Research Excellence Framework (REF). Publications submitted to the next REF must be freely available via Open Access, whilst some research funders including Research Councils UK and many charities are also increasingly requiring publications from research they have funded to be freely available via 'gold' Open Access.

This paper is intended to give colleagues in Keele and its partner NHS organisations an update on open access and recent policy, and various developments we have now put in place, including our new institutional Research Repository linked to our Publications Database, to ensure we have systems in place to fully support the Open Access agenda and research generally, and in doing so raise the visibility, profile and awareness of research undertaken at Keele, as well as ensure full compliance with HEFCE and research funders' policies.

In the interests of sharing the results of our research with the widest audience, ensuring accountability for our use of taxpayers and donors funding, and driving work in the UK forward for maximum benefit to patients, we are sure colleagues find the developments positive and this paper helps to broaden understanding of the Open Access objectives.

NEW OPEN ACCESS REQUIREMENTS FOR PAPERS SUBMITTED TO THE NEXT REF

HEFCE has published its new Open Access policy for the next REF but the exact details of the next REF will not be known until 2017, however, it is assumed it will assess publications up to 2019 and is known unofficially in the university sector as "REF2020". HEFCE, Open Access policy applies to all Journal articles and Conference proceedings which are accepted for publication **after 1st April 2016**. It states that *'to be eligible for the next REF, author's final peer-reviewed manuscripts must have been deposited in an institutional or subject-based repository on acceptance for publication'*¹

Researchers have a maximum period of 3 months after the date of acceptance to deposit the paper in a repository. Some publishers will have an embargo period typically 12 months which will restrict the visibility of the full text but not the 'metadata' e.g. basic details of author(s), date, title, journal, volume. In the medical and physical sciences, the REF main panels A and B have decided that the maximum embargo period should also be 12 months; longer is being allowed in the social sciences and humanities.

HEFCE has a very useful section about Open Access on its webpages at: <http://www.hefce.ac.uk/rsrch/oa/> which provide an overview, a list of frequently asked questions by the research community and administrators, and updates on current projects, e.g. one on research monographs in the humanities and social sciences.

HEFCE has undertaken an analysis of all the outputs submitted to the 2014 REF and concluded that 95% of all outputs could have been compliant with its new policy if appropriate institutional or subject-based repositories were in place. However it has since made some modifications to its policy and timescales as a result of pressure from researchers and institutions.²

KEELE'S APPROACH TO OPEN ACCESS

Keele, and the university sector as a whole, strongly supports the 'green' open access route, whereby researchers deposit their publications in an institutionally hosted repository (or subject-based repository like "arXiv" - <http://arxiv.org/>). This is reflected in Keele's new Open Access policy,

which is available on Keele's webpages dedicated to supporting all members of the University meet the new requirements, at: <http://www.keele.ac.uk/researchsupport/openaccessandrepository/>. Keele's developed its Open Access policy rapidly to address the needs it raises; it is very similar to those of the majority of research-intensive universities, including, for example that adopted by Cambridge.

Keele has a well established Publications Database which records almost all its published outputs, links these to its webpages and generates valuable information about the University's research activity. Over the past year considerable work has been undertaken to ensure Keele has a fully-functioning, fit-for-purpose, modern Research Repository that fully meets all external requirements, including those of HEFCE and research funders. Keele's new research repository is hosted by EPrints, one of the two market leaders across the sector, and can be found at: <http://eprints.keele.ac.uk/>. Keele has invested in a dedicated Research Support Librarian expert, Scott McGowan (s.mcgowan@keele.ac.uk) to support the development of Open Access through the Repository.

The investment Keele has made in its Research Repository and Open Access Policy give benefits to all members of the University including research students and current honorary title holders at Keele (e.g. Honorary Professor, Honorary Clinical Lecturer) who have a Keele HR record. It is therefore of particular benefit to research-active members of our local and regional partners in the NHS.

WHAT ARE THE BENEFITS OF GREEN OPEN ACCESS?

The benefits of green Open Access through an effective institutional Research Repository linked to the Publications Database are potentially very significant, increasing the visibility, profile and awareness of research undertaken at Keele University, hence increasing the University's research and wider institutional reputation internationally. All members of Keele staff have a Staff Profile Page on the Keele website, and this includes many holders of Keele honorary titles as well (for an example for one of the authors see <http://www.keele.ac.uk/chemistry/staff/mormerod/>). As a result of green Open Access all research publications will be fully and freely accessible to anyone from a researcher's Keele webpage. On the

Staff Profile 'Publications' tab, next to the paper will be a 'full text' link which takes anyone with internet access straight to the full text of the paper in the repository. The publications will also be freely and fully accessible to anyone, including all search engines such as Google, on the web via the Repository: <http://eprints.keele.ac.uk/>

In addition to increasing the profile and awareness of research undertaken at Keele, having all publications freely and easily accessible to anyone with internet access, and being picked up by search engines, will potentially significantly increase the future citation of papers, which is clearly an important metric in its own right, particularly in some research areas. It will bring other research benefits too, including potentially increased conference and lecture invites, invited paper requests, more collaborative and partnership opportunities with academic and non-academic organisations, as well as increasing opportunities for non-academic impact of some publications.

WHAT DO RESEARCHERS NEED TO DO?

As soon as a researcher has a paper accepted for publication, he or she needs to record this in *Symplectic*, the Keele Publications Database, see <https://publications.keele.ac.uk/>. This is not onerous, as a minimum only the paper title and acceptance date are required. Further information on the Database can be found at: <http://www.keele.ac.uk/researchsupport/publicationsdatabase>.

Further information about Keele's Research Repository, including a 'how to deposit' video, can be found on the webpage <http://www.keele.ac.uk/researchsupport/openaccessandrepository/> under 'What do I need to do?'

DO RESEARCHERS HAVE TO PAY A FEE?

There is no fee associated with the green Open Access route, and it ensures full compliance with the HEFCE policy and policies of the majority of research funders.

Some research funders provide funding for the gold Open Access or 'pay-to-publish' route, where a payment (Article Processing Charge or APC), typically around £2,000 per paper, is made to the publisher to make the publication accessible for people who do not have access to the journal through an institutional or personal subscription.

The vast majority of publishers also allow researchers to use the green Open Access route, but sometimes this can involve an embargo period whereby the full text is not visible for a period of 12-24 months. Note that the publication must still be uploaded to the Keele Research Repository but will be hidden from view until the embargo period has passed. Up to that time only the metadata will be visible, and at the end of the embargo it will automatically become fully visible to anyone.

Keele University currently receives limited funding to support Article Processing Charges (APCs) for the gold route relating to publications from:

- Research Council UK funded research some research
- Charities (most notably in Keele's context, Wellcome Trust, Arthritis Research UK and Breast Cancer Campaign), through the new Charity Open Access Fund (COAF), one of only 9 non-Russell Group institutions to be in receipt of this funding.

The Research Council UK (RCUK) funding is very limited (amounting to only around 15 publications per annum) and will only fund around 10% of publications based directly on research funded by RCUK grants on an annual basis. RCUK is currently reviewing its policy on Open Access, in light of the clear steer from HEFCE towards advocating green Open Access. The RCUK funding is overseen at an institutional level and requests to have high impact papers resulting from RCUK funded research considered should be made to Scott McGowan (s.mcgowan@keele.ac.uk). The policy around the charity Open Access fund is different and based on a 'first-come, first-served' model, so requests to have papers resulting from charity funded research, for COAF-participating charities, considered should be made through Keele's Research Institute Managers Mark Smith (m.e.smith@keele.ac.uk) and Claire Ashmore (c.ashmore@keele.ac.uk).

The European Commission has pursued the goal of Open Access research publications since 2008 and in 2012 decided it had to find a mechanism through which publications could be made Open Access after a research grant had finished.³ The European Commission launched a pilot project to fund Open Access publications for finalized projects it supported under Framework Programme 7 (FP7), from which

Keele and local partner NHS organisations held several awards, plus awards by the European Research Council. The FP7 post-grant pilot is being developed in the context of the OpenAIRE2020 project, and is aligned with the Open Access infrastructure and support network provided by OpenAIRE. This gold Open Access Pilot provides an additional instrument to make FP7 project research results Open Access. It does not affect authors' freedom to choose which way their project publications should be made Open Access. The European Commission's pilot will be reviewed in early 2016; at the moment it will cover OA APCs for FP7 projects up to two years after they end. A maximum of three publications per FP7 project will be funded. Funded publications must be peer-reviewed and be made available under a CC-BY licence where possible, and must also be deposited into an OpenAIRE-compliant repository such as Keele's. Further information about Open Access in Horizon 2020 is available at: <https://www.openaire.eu/h2020openaccess/>

Full details of publisher's policies are automatically pulled through to *Symplectic* and summarised under 'deposit advice', so authors can check them before they upload their file, or seek advice from the Keele Open Access team. Alternatively publishers' policies on Open Access can be searched here: <http://www.sherpa.ac.uk/romeo/>. Details of research funders' policies can be found here: <http://www.sherpa.ac.uk/juliet/>.

Researchers are permitted to use their own funds to pay APCs for papers they have published if they wish to do so, but Keele's Open Access policy, in line with the rest of the sector, is to promote the green Open Access route. There are increasing audit requirements for compliance with Open Access policies so researchers are asked to inform their Research Institute if they do elect for the gold route and make an APC payment from their own funds, so that a central register can be maintained.

WHAT HAPPENS IF A PAPER DOES NOT MEET THE HEFCE OPEN ACCESS REQUIREMENTS?

It cannot be submitted to the next REF as it would be unclassified. Exceptions will be very rare, e.g. an individual was not employed by a UK university at time of submission for publication, if the paper is published via the gold Open Access route and any instances will require a written supporting case.

NOTE

The content of this paper was correct at mid-September 2015 and based on the information available at that time. Open Access is a rapidly evolving area and colleagues are advised to address any questions to Scott McGowan or Hannah Reidy in Keele's Directorate of Engagement & Partnerships, (email: h.reidy@keele.ac.uk, tel: 01782 733588).

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