

## OPEN ACCESS BRIEFING

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[HEFCE guidelines](#) now state that in order to be eligible for submission to the next Research Excellence Framework (REF), **journal articles and conference proceedings** accepted for publication from **1 April 2016** must have been deposited in an open access repository within three months of publication. Falmouth University Research Repository ([FURR](#)) is the University's Open Access repository.

Open access publishing makes peer-reviewed scholarly works available online, free for anyone to find and read, with only limited restrictions on how the works can be reused.

Making the results of research freely available through repositories and journal websites can have significant advantages for individual authors, for researchers, for institutions and for the process of research generally by freeing up the process of dissemination.

This means that the potential readership of open access articles is far greater than that for articles where the full-text is restricted to subscribers. There are two types of open access publishing, **Green** and **Gold**.

### **Green Open Access**

Green open access makes journal articles and conference proceedings freely available through an open access repository, such as [FURR](#), either immediately on publication, or after a publisher-imposed embargo period.

The journal publisher dictates which version of the paper is allowed to be archived in the repository, as they generally hold the copyright in the final published version. Publisher's copyright and self-archiving details can be found on [SHERPA/RoMEO](#). Green open access is cost-free for you and your research funder.

### **Gold Open Access**

Gold open access makes journal articles openly available on the journal's website as soon as they are published. You can choose to publish in a wholly open access journal, or a subscription journal with an open access option. The peer-review process remains the same.

You can also add the final version of the paper into the university's open access repository ([FURR](#))

An APC (article processing charge) is generally charged for Gold Open Access. This charge is usually paid by the author's funding body or institution.

Please contact [Mhairi Ambler](#), Research and Development Projects Officer if you have any queries on Article Processing Charges.

### Points to note

- From April 2016, outputs must be deposited within three months of **publication** in order to be eligible for the REF
- From April 2017, under current HEFCE plans, outputs will have to be deposited within three months of **acceptance** for publication
- The version to deposit is the final accepted manuscript (after peer-review, but before the publisher's typesetting), though this may be augmented by the final published version at a later date where permitted by the publishers
- Monographs (books) and articles within published edited collections are exempt from the [requirement of Open Access deposit](#) for the current REF
- It is important to keep an accurate record of each version of your article in order to be able to upload the appropriate version to the repository

Falmouth University recommends that research outputs of all types should be deposited in [FURR](#), including books and book chapters (where permissible by publishers). Extra REF credit is available for depositing outputs outside the scope of the REF policy.

### Embargoes

Publishers often impose a delay on making manuscripts available through open access repositories. REF policy makes allowances for journal embargoes in line with the relevant REF panels. The maximum permitted periods are 12 months ([Panels A and B](#)) and 24 months ([Panels C and D](#)).

### Support

The Library has a dedicated Academic Liaison Librarian, Catherine Worrall, who will provide support to all staff. Please contact [repository@falmouth.ac.uk](mailto:repository@falmouth.ac.uk) for any questions you may have in relation to uploading outputs onto [FURR](#).

## Supporting Guidance Notes

### Exceptions

Exceptions may be allowed under the following circumstances:

Publishing in a journal or conference proceedings with a longer embargo than the maximum permitted

The maximum permitted embargoes are 12 months (REF panels A and B) and 24 months (REF panels C and D). If you have chosen to publish in a journal with a longer embargo period, before you submit the paper to the journal you should consider

whether there are any suitable alternative publications that allow open access within the required embargo periods.

If, having considered other publication venues, you believe that the journal/proceeding is the most appropriate publication for the work, you can still submit the output to the REF. It will fall under one of the exceptions in the REF policy.

You should still deposit your final manuscript in [FURR](#) on acceptance, or at the very least within 3 months of publication. Your paper will be made open access after the embargo has expired.

Publishing in a journal or conference proceedings that does not allow open access  
If you have chosen to publish in a journal that does not allow open access, before you submit the paper to the journal you should consider whether there are any suitable alternative publications that would allow you to comply with the REF open access policy.

If, having considered other publication venues, you believe that the journal/proceeding is the most appropriate publication for the work, you can still submit the output to the REF. It will fall under one of the exceptions in the REF policy.

Outputs dependent on open access rights which cannot be granted for third-party content in the paper  
If your publication includes third-party content for which open access rights cannot be granted, you have the option to remove this content and deposit the text in [FURR](#) on its own. However, HEFCE recognises that the third-party content may be essential to the publication, and allows an exception in these circumstances.

#### Cases where it would be unlawful to deposit the paper

This exception can be used where there were legal barriers to depositing the work. The paper can be submitted to the REF without complying with the requirements of the REF policy.

#### Researchers not at a UK university when the paper was submitted

If you did not comply with the REF policy because you were not employed at a UK university when the work was submitted for publication, you can still submit the publication to the REF. However, you should deposit the final manuscript in [FURR](#) as soon as possible.

### **Frequently Asked Questions**

#### What are Article Processing Charges?

An article processing charge (APC), also known as a publication fee, is a fee which is sometimes charged to authors to publish an article in an academic journal. It is common in open access journals (hybrid or fully open) as well as in fully closed

journals. This fee is usually paid by an author's institution or research funder rather than by the author themselves. It may be waived in cases of hardship.

#### What exactly needs to be uploaded in order to be eligible for the REF?

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

#### Which version should I deposit?

You should deposit your final accepted manuscript. This version includes all changes resulting from peer review, as well as any changes of an academic nature requested by the journal editor or conference organiser, but is not the copy-edited, typeset version of record that appears on the publisher's website. Publishers do not normally allow authors to make this version of record open access.

#### What is my final accepted manuscript?

Your 'final accepted manuscript', sometimes referred to as your 'final author version', 'final author manuscript', or 'final manuscript' is the version of your work which:

- **has been accepted** for publication
- **has been peer-reviewed**
- but **has not** yet had the **publisher's layout** and **typesetting** applied

This can often be a Word version of your publication. Most publishers allow this (and only this) version to be made available in an open access repository after an embargo period has passed.

#### What is meant by conference proceedings?

The REF policy applies to papers published in proceedings with an ISSN (International Standard Serial Number), as well as journal articles. It does not cover proceedings published as a book, with an ISBN. However, Falmouth's policy is that outputs of all types should be deposited in [FURR](#). Extra REF credit is available for depositing outputs outside the scope of the REF policy.

#### What happens if I don't comply with the REF Open Access Policy?

From **1 April 2016**, articles and conference proceedings not deposited in an open access repository within three months of publication cannot be submitted to the next REF.

#### What is meant by date of acceptance?

The date of acceptance is the point at which the corresponding author is notified that:

- the output has been reviewed by the journal or conference
- all academically necessary changes have been made in response to that review
- the article is ready to be taken through the final steps toward publication (normally copy-editing and typesetting)

## Funding Requirements

General RCUK guidance on Open Access: <http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUKOpenAccessPolicy.pdf>

Funder name and policy	Is OA required?	To note
<a href="#">Arts and Humanities Research Council (AHRC)</a>	Yes	No provision is made to Falmouth University for Gold Open Access. Financial support for this will be considered on a case by case basis. Please contact the <a href="#">Research and Development Office</a> .
Arts Council England	No	N/A
<a href="#">Biotechnology and Biological Sciences Research Council (BBSRC)</a>	Yes	No provision is made to Falmouth University for Gold Open Access. Financial support for this will be considered on a case by case basis. Please contact the <a href="#">Research and Development Office</a> .
<a href="#">British Academy</a>	No	Please note that the British Academy will not accept the inclusion of article processing charges (APCS) as an eligible cost within an application for any of their grants.
<a href="#">Engineering and Physical Sciences Research Council (EPSRC)</a>	Yes	No provision is made to Falmouth University for Gold Open Access. Financial support for this will be considered on a case by case basis. Please contact the <a href="#">Research and Development Office</a> .
Higher Education Funding Council for England (HEFCE)	Yes	Please see the following link for further information: <a href="http://www.hefce.ac.uk/pubs/year/2014/201407/">http://www.hefce.ac.uk/pubs/year/2014/201407/</a>
Heritage Lottery Fund (HLF)	No	N/A
Horizon 2020	Yes	Please see the following link for more information: <a href="http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf">http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf</a>

Interreg	No	N/A
<a href="#">Innovate UK</a>	Yes	Innovate UK supports the principle of Open Access where project partners have agreed to publish outcomes as a route to dissemination. This should be included within a project's Collaboration Agreement and should follow the guidelines contained in the RCUK policy on Open Access. Additional costs for publication charges will not be considered.
<a href="#">Jisc</a>	Yes	Published research papers and conference proceedings to be made available through an open access repository within 6 months of publication, via Green OA.
<a href="#">Leverhulme Trust</a>	No	Although The Trust does not mandate open access, it will fund OA charges - providing they are incurred during the life of the grant. Fees should be included in grant applications for Grant-funded researchers, or in the research expenses category for Fellowships.
NESTA	No	
Natural Environment Research Council (NERC)	Yes	No provision is made to Falmouth University for Gold Open Access. Financial support for this will be considered on a case by case basis. Please contact the <a href="#">Research and Development Office</a> .
<a href="#">Wellcome Trust</a>	Yes	See guidance in hyperlink.