OPENWORKS ASK AN OA COLLEAGUE
(PROTOTYPE FOR WIKI FOR SUPPORT STAFF – SAMPLE QUESTIONS)

ABOUT THE WIKI

The opeNWorks ‘Ask An OA Colleague’ wiki will be hosted via the NoWAL website and will further develop good Open Access (OA) practice within the region by providing the facility to ask questions and discuss answers about funder policies and related issues. The questions and answers below represent the first exchange of experience.

INTRODUCTION

The wiki has been created to allow colleagues to share OA experience and good practice within the NW region. It will foster discussion and offer support but should not be considered as an alternative to the official guidance provided by funding bodies, eg,

http://www.hefce.ac.uk/rsrch/oa/
http://www.rcuk.ac.uk/research/openaccess/policy/

SAMPLE QUESTIONS

When do we need to start to meet HEFCE’s requirements for open access?

ANSWER: HEFCE’s policy on open access and the next Research Excellence Framework comes into force on 1 April 2016. HEFCE are encouraging institutions to start complying now and have suggested that extra credit could be available for those who do. (University of Liverpool)

ANSWER: As soon as you can, but bear in mind that there might be further policy revisions in the run up to April 2016 which might change your message to researchers. (University of Manchester)
What are the requirements?

ANSWER: HEFCE’s policy on open access states that all journal articles and conference proceedings must be deposited in a repository within three months of acceptance in order to be eligible for the next REF. They allow maximum embargo periods of 12 months for STEM subjects and 24 months for social sciences and humanities. While HEFCE do not require the use of any particular licence, they advise that the CC-BY-NC-ND licence is adequate. (University of Liverpool)

ANSWER: The Author Accepted Manuscript (AAM) must be deposited according to the policy but this may be relaxed to allow deposit of Gold OA published papers in the run up to April 2016. Remember that the policy doesn’t apply to conference proceedings published with an ISBN and that there are exceptions in cases where journals don’t allow deposit of the AAM or require an embargo exceeding HEFCE’s maximum. (University of Manchester)

What bibliographic details need to be recorded?

ANSWER: All institutions that receive funding from RCUK or HEFCE are expected to have implemented processes to capture at least the mandatory metadata described in RIOXX (see below) by April 2016. A list of the fields and whether they’re optional, recommended or mandatory is available here: http://rioxx.net/v2-0-beta-1/ (University of Liverpool)

When does the full article need to be made available via an institutional repository?

ANSWER: For an article to be eligible for submission to the next Research Excellence Framework, its full text should be made available within 12 months of publication if up for submission to REF panels A or B, and within 24 months of publication if up for submission to REF panels C or D. Note, however, that regardless of when the full text is made available, metadata about the article should be made available as soon as possible after the date of the paper’s acceptance by the journal. (University of Liverpool)

ANSWER: Deposit in an ‘approved’ subject repository would satisfy the HEFCE criteria – this may not satisfy your institutional policy though. (University of Manchester)

Do researchers put all their research that they have done on the institutional repository that they are currently employed or just their current research at that institution?

ANSWER: This is entirely a matter for internal institutional policy. (University of Liverpool)

What happens if there is collaboration between institutions? Where does the research get held?

ANSWER: Both metadata about the article and copies of the article itself should be held in the institutional repositories of all involved institutions. Of more interest is the question of which institution should pay an APC for articles arising from inter-institutional collaborations. In general, it will be the corresponding author’s institution that pays, but there will be exceptions – for example, if
the corresponding author is at a foreign institution with no open access policy, but one of the other authors is based at a UK institution and acknowledges Research Councils UK funding in the paper, then that author’s institution may be called on to pay the APC. (University of Liverpool)

ANSWER: Most institutions will want copies of their own research in their own repositories but achieving this may be difficult, as publishers generally provide the AAM to the corresponding author only. (University of Manchester)

If the article is from an open access journal and doesn’t appear on Sherpa Romeo how do we know which version of the article can be uploaded to an institutional repository?

ANSWER: If an article has been made available on a Gold open access basis, the published version of record can be freely uploaded to the institutional repository. (University of Liverpool)

When recording the ISSN, there is sometimes an e-ISSN. Which one do we record?

ANSWER: Where available, the e-ISSN should be used. (University of Liverpool)

When an article has been uploaded to an institutional repository how can we tell which version it actually is? How can we see at a glance if it is a pre-print, post print or publisher’s version?

ANSWER: You will need to check the paper itself. Publisher versions are usually very easy to identify, as they will have full publisher formatting. Some post-prints may be in the form of a publisher-provided template, which makes identifying them a bit more difficult – look to see if there is a “published” date on them – if not, it may be a post-print. Post-prints and pre-prints will often only be distinguishable if the depositing user has indicated this. As such, you may want to develop your repository so that depositors are asked as part of the deposit process to indicate if the file is a pre-print, post-print or publisher version. (University of Liverpool)

ANSWER: It’s possible that some publishers will start to mark the AAM as such. In the meantime we’re starting to keep records of templates per publisher to help with identification. (University of Manchester)

If an item is still in press can researchers upload a version to an institutional repository?

ANSWER: In most cases it is perfectly acceptable to upload a version of a paper to an institutional repository while it is still in press – what researchers will likely be unable to do is make that paper publicly accessible. Publisher embargo periods for green open access begin at the moment of first publications, not while an item is still in press.

It is worth noting, however, that there can be differences in opinion over what constitutes the date of first publication. Some publishers will claim this to be the date of print publication, even if an “online first” (or similar) edition has been available online for months; researcher funders, though, will generally take the date at which a full version of the paper is first made available to be the date of publication. (University of Liverpool)
Would the full article be made available from the date accepted or the date published?

ANSWER: To comply with the HEFCE policy on open access and the Research Excellence Framework, metadata about the article should be made available as soon as possible, and no later than three months after the date of acceptance. The author accepted manuscript of the paper should also be uploaded to the repository within this time frame, but the article does not need to be made available until after the journal’s embargo period has ended. (University of Liverpool)

ANSWER: My reading of the policy is that metadata should be ‘open’ within one month of publication – this is important because some publishers require an embargo on metadata prior to publication. (University of Manchester)

How do you determine which cc licences get added to the full text?

ANSWER: Sadly at times it can be quite difficult to ascertain if a Creative Commons (CC) licence of any kind has been assigned to an article – you will need to check the paper itself and/or the publisher web page for that paper to see if a CC licence has been applied. Both the Research Councils UK and the Charity Open Access Fund partners require a Creative Commons Attribution licence (CC-BY) if their open access block grants are to be sued to pay an article processing charge.

Note that as CC licences do not supplant copyright, it is possible for a paper to be both copyrighted to a publisher and also have a Creative Commons licence – in cases such as this, the publisher, as the rights holder, makes the work available under a CC licence. (University of Liverpool)

If a journal shows up as having an embargo, how do we ensure the article goes live at the appropriate time?

ANSWER: This will depend on the repository software you are using. In some systems you will be able to set the embargo end date within the system, and the system itself will automatically make the full text available from that time. In other systems you will record the end date of the embargo, and will then need to make regular checks of which items are embargoed and which are not, manually making those papers who have reached the end of their embargo period available. (University of Liverpool)