Open Access

Frequently Asked Questions

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About Open Access

What is Open Access?
Open-Access material is digital, online, free of charge, and free of most copyright and licensing restrictions. It removes the subscription barrier to published research, enabling such research to be available to everyone. For more information, see http://libguides.library.dmu.ac.uk/openaccess/about.

Why is Open Access important?

Publishing Open Access:-
- allows other researchers to have access to your research, including those in institutions and countries that can’t afford the subscriptions.
- opens up your research to audiences outside of academia and evidence suggests that making your research Open Access can result in increased citations.

Publishing Open Access is also important from a policy and funding view:
- The University’s Open Access Policy requires you to deposit outputs from your research to the University’s repository, De Montfort Open Resource Archive (DORA).
- If your research is funded, your funder may require you to ensure that publications arising from your research are Open Access.
- HEFCE have stipulated that only journal articles and conference proceedings that have been made available Open Access will be eligible for the post-2014 REF.

For more information, see http://libguides.library.dmu.ac.uk/openaccess/about.

What is the University’s policy on Open Access?

- De Montfort University supports the principle that the results of publicly-funded research should be made available as widely and freely as possible (i.e. Open Access).
- The University has adopted ‘Green’ Open Access as the norm for all peer-reviewed research articles and conference papers.
- The University has mandated that bibliographic metadata for all research outputs must be recorded on DORA. This policy extends that mandate to include full text deposit for some outputs, in accordance with HEFCE and funder requirements.

Download the University’s Open Access policy from: http://www.dmu.ac.uk/documents/research-documents/research-support/final-de-montfort-university-open-access-policy.pdf
Making your research available Open Access

How do I make my research Open Access?
There are two types of Open Access: Green and Gold:

Green

• An author deposits a copy of their author’s accepted manuscript to an Open Access repository, such as De Montfort Open Resource Archive (DORA) (https://www.dora.dmu.ac.uk).
• The paper becomes freely available after the publisher's embargo period.

Gold

• Gold usually involves a one-off payment to a publisher, called an Article Processing Charge (APC).
• The publisher makes your paper available immediately in an Open Access format.
• Some journals exist purely in an online only, Open Access format.

For more information, see http://libguides.library.dmu.ac.uk/openaccess/about.
If your research is funded by the RCUK, you can apply to the University for payment of the APC. Contact openaccess@dmu.ac.uk

What is an institutional repository?
Most institutions will have institutional repositories, allowing publisher acceptable versions of your papers to be deposited without any fees. At DMU, you can deposit your paper to DORA (https://www.dora.dmu.ac.uk).

How do I deposit my paper to DORA?
See https://www.dora.dmu.ac.uk/

What version of my work should I deposit in the repository?
You should deposit the latest version of your work permitted by the publisher. This is usually the author’s accepted manuscript, sometimes referred to as a post-print (i.e. the version that has been finalised after the peer review process, but which has not yet been formatted in the publisher house style). Publishers’ requirements may however vary.

Use the SHERPA/RoMEO (http://www.sherpa.ac.uk/romeo) service to find details for your publisher, contact openaccess@dmu.ac.uk for guidance or see http://libguides.library.dmu.ac.uk/openaccess/deposit for more information.
How can I keep track of the different versions of my manuscript?

The LSE version toolkit is useful in understanding the different versions of your manuscript and how you can organise your versions. See [http://www.lse.ac.uk/library_versions VERSIONS_Toolkit_v1_final.pdf](http://www.lse.ac.uk/library_versions VERSIONS_Toolkit_v1_final.pdf)

I understand I need to deposit full text of journal articles and conference proceedings accepted for publication from 1 April 2016; however I’d like to deposit full text of older articles. Can I do that?

Yes. You just need to check the agreement you signed with your publisher to make sure it allows you to deposit the Author Accepted Manuscript in the institutional repository. You also need to check the embargo period required to see if it has already expired, or whether it’s still under embargo. If it’s still under embargo, you just need to enter the embargo end date when you deposit the output to the repository.

**Funding Open Access research**

**What is an Article Processing Charge (APC)?**

An APC (Article Processing Charge) is a one-off charge paid by the author to a publisher to allow immediate publication in an Open Access format.

**Does the University have a fund to pay APCs?**

The University does not have funds to pay for all APCs and recommends that you use the Green Open Access route of publishing where possible. A block grant has been supplied to the University for research arising out of Research Council funding. Please contact openaccess@dmu.ac.uk for advice.

I don’t have funds to pay an article processing charge, does this mean that I can’t publish in the journal of my choice?

No, you still have the choice of where to publish. Most publishers will allow you to deposit a version of your paper to De Montfort Open Resource Archive (DORA) ([https://www.dora.dmu.ac.uk/](https://www.dora.dmu.ac.uk/)). This is known as the Green route to Open Access publishing and is the favoured route of publishing by the University. Use the SHERPA/RoMEO ([http://www.sherpa.ac.uk/romeo/](http://www.sherpa.ac.uk/romeo/)) service to find details, or contact openaccess@dmu.ac.uk for advice.

My research is funded by a Research Council. Are funds available to pay APCs?

Yes, the University has been provided with a block grant to pay APCs for research funded by Research Councils. This is distributed on a first-come first-served basis. Please contact openaccess@dmu.ac.uk for more information.
I am in receipt of funding, but not from the RCUK. Will my funder pay Open Access APCs?

See the table at http://libguides.library.dmu.ac.uk/openaccess/funders for details of funders’ policies, or contact openaccess@dmu.ac.uk for guidance.

I have paid an APC to the publisher to make my paper available Open Access. Do I still need to deposit my manuscript to DORA?

Yes, the University mandates that all journal articles, as well as conference papers with ISSNs (International Standard Serial Numbers) be made available via DORA (https://www.dora.dmu.ac.uk) Deposit of other types of material is encouraged where possible, and the University mandates that metadata for all outputs is provided in DORA. This will enable the University to comply with the HEFCE post-2014 REF requirements.

Outputs on DORA will be found by search engines such as Google Scholar, increasing the visibility of your research.

How can I build in Open Access fees in my future research?

You may wish to think about your publication strategy when you are starting your research. If you are looking for funding from a non-RCUK funder, you can build in APCs to your funding bid at the outset. Charges can be expensive, on average around £1500 per publication. Contact openaccess@dmu.ac.uk for advice.

For more information about the Open Access research lifecycle, see http://libguides.library.dmu.ac.uk/openaccess/lifecycle.

Funder requirements

How do I find out if my funder has an Open Access requirement?

Use the SHERPA/JULIET (http://www.sherpa.ac.uk/juliet/) tool to search for your funders’ requirements or see the table at http://libguides.library.dmu.ac.uk/openaccess/funders for details of funders’ policies.

What licence do I need to allocate to my paper to comply with funder requirements?

Research that is made available Open Access must have a Creative Commons licence assigned. Creative Commons (http://creativecommons.org/) is a non-profit organization that enables the legal sharing and use of creativity and knowledge by providing a simple, standardised way of granting copyright permissions/licences (http://creativecommons.org/licenses) to a piece of work.

Research funded by Research Councils requires you to use a CC-BY licence. For explanations of the different CC licences, see http://libguides.library.dmu.ac.uk/openaccess/licences
See the FAQ below for information about the appropriate licence to use for HEFCE post-2014 REF requirements.

Do I need to deposit full text of monographs and book chapters?

Some funders do require full text deposit of monographs and book chapters, most notably the Wellcome Trust. Most, however, regard models of Open Access as not yet sufficiently developed for monographs and book chapters. Many will consider supporting you to make your monographs and book chapters Open Access if you wish to do so. Recent reports from HEFCE and OAPEN outline some of the issues in this area, and JISC have produced a useful ‘how to’ guide to making monographs and book chapters Open Access:

- HEFCE report (2015) http://www.hefce.ac.uk/pubs/rereports/Year/2015/monographs/Title,101531,en.html

HEFCE are not requiring monographs and book chapters to be made Open Access for the post-2014 REF (see questions below)

Post-2014 REF requirements

Do I need to publish my research in Open Access format to be eligible for the post-2014 REF?

If your research output is a peer-reviewed journal article or a conference paper with an ISSN (International Standard Serial Number), you must publish your paper in an Open Access format to be eligible for the post-2014 REF.

You can choose to publish either by the Green or the Gold route, but you must also deposit your author’s accepted manuscript to De Montfort Open Resource Archive (DORA) (https://www.dora.dmu.ac.uk/).

The full-text of other types of material are not required to be made available Open Access, although the University mandates that the metadata for all research outputs is made available in DORA, and encourages the full-text of all research outputs to be deposited to the repository wherever possible.

See http://libguides.library.dmu.ac.uk/openaccess/REF for more information

Does this policy mean that only journal articles and conference proceedings can be submitted to the post-2014 REF?

No, all types of research outputs are still accepted. HEFCE accepts that it is currently more challenging to make non-journal/conference outputs available in an
Open Access format. However, you should make the metadata for all research outputs available in DORA (https://www.dora.dmu.ac.uk/).

It is worth noting that credit may be given in the research environment component of the post-2014 REF for making other publication types Open Access.

Why has HEFCE introduced an Open Access policy for the post-2014 REF?
See HEFCE FAQ (http://www.hefce.ac.uk/rsrch/oa/FAQ/#general).

When does the HEFCE policy come into effect?
The policy comes into effect on 1st April 2016, but we recommend that you start following the Open Access policy as soon as possible.

At what point does my paper need to be deposited to DORA to comply with the post-2014 REF policy?
As soon as your paper is accepted, it should be deposited to DORA. This includes the metadata and full-text manuscript for journal articles, as well as conference papers with ISSNs. Acceptance means that:-

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

For all other output types the University mandates making the metadata available in DORA, and where possible encourages full-text deposit.

Do I need to keep evidence of the acceptance date?
In some disciplines, and with some journals, the acceptance date will be clearly articulated by the journal, and you will receive an email stating the acceptance date. HEFCE have said that these emails will not be required as evidence. We recommend that, if possible, you keep a copy of the email as a ‘just in case’ measure.

In other disciplines and journals, the acceptance date is less clearly defined. HEFCE are aware of this, and for the first year of the policy are allowing some leeway, while discussions take place with publishers on clarifying acceptance dates. We recommend using your best judgement as to when the acceptance date is, and depositing as soon as possible. If all else fails, HEFCE will accept deposit within three months of first online publication, for the first year of the policy.

My publisher’s Open Access policy stipulates an embargo period. What should I do?
You must still deposit your paper to DORA (https://www.dora.dmu.ac.uk/) at the point of acceptance, to meet funder and post-2014 REF requirements. The full-text version
of the paper will be hidden until the embargo period ends, at which point it will be made accessible.

What licence do I need to allocate to my paper to comply with post-2014 REF requirements?

It is advised that research not funded by a Research Council, but that is REF-returnable use a CC BY-NC-ND licence. For more information on licences, see http://libguides.library.dmu.ac.uk/openaccess/licences.

Open Access policies suggest that depositing an author’s accepted manuscript to a subject repository is acceptable. What are these?

Some subject areas will have repositories that provide access to Open Access research. Check the Directory of Academic Open Access Repositories (OpenDOAR) to establish subject repositories that meet funder requirements and HEFCE’s policy for post-2014 REF. Access OpenDOAR at: http://www.opendoar.org/.

The university also requires that if you are publishing to a subject repository, you also deposit your paper to DORA (https://www.dora.dmu.ac.uk/), enabling the university to build up a record of its research outputs and meet post-2014 REF requirements.

If I upload my article to networking sites, such as ResearchGate or Academia.edu, or to a webpage does this meet funder and post-2014 REF requirements?

No, to comply with your funder and with post-2014 REF requirements, you need to deposit your research either to the University’s repository, DORA (https://www.dora.dmu.ac.uk) or to a recognised subject repository (see OpenDOAR http://www.opendoar.org/ for a list of accepted repositories).

By uploading to sites such as ResearchGate or Academia.edu, you may even be in breach of copyright. When using these sites, make sure that you are uploading a version that is acceptable to the publisher. See SHERPA/RoMEO (http://www.sherpa.ac.uk/romeo/) for more guidance on acceptable versions.

The publisher of my journal actively disallows a deposit to a repository, but there is no funding for an APC. If I publish in this journal, am I then not eligible for the REF?

You can still publish in your chosen journal. HEFCE do have some exceptions to the post-2014 REF policy. However, please contact openaccess@dmu.ac.uk for guidance.

What happens if the embargo end date for my output falls after the REF publication period? Will my output still be REF-eligible?
Yes. REF panels will be assessing the published copy of your output, not the version in the institutional repository, so the embargo period will not affect their access to your output. However, the output will need to have been deposited as required, in order to be eligible for assessment.

**My outputs include images where copyright is owned by third parties. It would be prohibitively expensive to get Open Access permissions for them. Do I still need to make my outputs Open Access?**

Yes, but in a limited way:

Firstly, are the images essential to understanding the text? If not, you can make your output Open Access without the images (you might want to provide descriptions of the images).

If the images are essential to understanding the text, there are solutions you might consider:

Would it be possible to use a low-resolution copy of the image? This would provide sufficient clarity to make sense of the text, but would not be usable for other purposes.

Are there copies of the image already Open Access licensed on the internet? (Increasingly, museums and galleries are providing Open Access copies of items in their collections.) In this case, you could provide a link, with attribution.

As a last resort, you can claim an ‘access exception’. This means you will deposit your output and record the metadata, however it will be ‘closed access’, so that users will be unable to download a copy. If claiming an exception, you must discuss it with the Repository Officer when submitting your output to the repository.

**I’ve recently moved to DMU from another institution. How do I make sure that my previous outputs are REF-eligible for DMU, from an Open Access point of view?**

It depends on when you moved to DMU:

- If you moved before 1 April 2016, there isn’t an issue as the Open Access requirements didn’t apply before that date.

- If you moved after 1 April, and you have an article/conference proceeding which was accepted for publication from 1 April onwards but hasn’t yet been deposited in a repository; you will need to deposit the author’s accepted manuscript to the DMU repository as soon as possible, and within three months of the acceptance date.

- If you moved after 1 April, and you have outputs that meet the REF Open Access criteria through deposit to your previous institution’s repository; you will need to record the basic metadata for those outputs in the DMU repository, and can provide a link to the record and full text in your previous institution’s repository.
Co-authorship

What do I do if my paper has multiple authors from different institutions?
Each author can add the paper to their respective institutional repository. If you want the paper to be returnable to the post-2014 REF, it must be deposited to De Montfort Open Resource Archive (DORA) (https://www.dora.dmu.ac.uk/). For more information on working with third-parties, see http://libguides.library.dmu.ac.uk/openaccess/deposit.

Journals with questionable peer review and marketing practices

I have been contacted by a publisher who says they would like to publish my work Open Access for a fee in their journal. How do I know if this is a reputable journal/publisher?
Unfortunately, some non-reputable publishers are abusing the Open Access arena by contacting researchers directly to publish their research for a fee. If you are not sure about the reputability of a journal or publisher, please contact openaccess@dmu.ac.uk.

Finding and Using Open Access research

How can I search for Open Access papers?
Google Scholar (https://scholar.google.co.uk/) searches across most Open Access repositories, including DMU’s institutional repository, De Montfort Open Resource Archive (DORA) (https://www.dora.dmu.ac.uk/).
OpenDOAR (Directory of Academic Open Access Repositories) is a database of subject repositories (http://www.opendoar.org/).
CORE (COnnecting REpositories) aggregates all Open Access research outputs from repositories and journals worldwide (http://core.ac.uk/).

How do I or my students cite an Author’s Accepted Manuscript?
If the article or its metadata gives you the full reference, reference it as follows:
AUTHOR(S) (Year) Title of article. Title of journal, Vol. no. (Part no./Issue/Month), Pages, use p. or pp. [Post-print] Available from: URL [accessed: date]
If the full reference (ie volume, part and pages) are not given, the following is acceptable:
AUTHOR(S) (Year) Title of article. Title of journal. [Post-print] Available from: URL [accessed: date]


Further help

Information about all aspects of Open Access is available at:- http://libguides.library.dmu.ac.uk/openaccess.

Contact openaccess@dmu.ac.uk for advice and guidance.

A glossary of Open Access terms is available at:- http://libguides.library.dmu.ac.uk/openaccess/faqs

A range of tools are available that can help you interpret funders’ and publishers’ Open Access requirements:

- SHERPA/RoMEO (http://www.sherpa.ac.uk/romeo/) to search by journal title, ISSN or publisher to find Green Open Access conditions.
- SHERPA/FACT (http://www.sherpa.ac.uk/fact/) to check if a journal you wish to publish in complies with funders’ requirements for Open Access.
- SHERPA/JULIET (http://www.sherpa.ac.uk/juliet/) to find general details of funders' Open Access policies.