

Guidance on Open Access Publishing for NCAS Climate and NCAS CMS Staff at the University of Reading

RCUK Policy

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/Pages/outputs.aspx>
- 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 source of RCUK funding should be acknowledged in the article.

Open Access Publishing

RCUK recognises two options for Open Access Publishing:

- a) “Gold open access” (*immediate unrestricted access to the final version of the paper*). Usually involves the author paying a fee.

or

- b) “Green open access” (*consent to deposit the final accepted version of the article in a repository within 6 months if the journal has no gold option, or 12 months if funding was not available for the gold option*).

RCUK currently has a strong preference for Gold Open Access.

Gold open access can be through 2 routes, either:

- Publishing in an Open Access Journal, i.e. one in which all the articles are open access, or
- Publishing an open access article in a “Hybrid” Journal, i.e. most articles are available only on payment of a subscription, but the author may pay to make his article open access (e.g. Journal of Climate, or Quarterly Journal).

The University has established a fund to help researchers pay for Gold Open Access journal charges (using funds from an RCUK block grant). **This fund can only be used to pay for papers which arise from research supported by a competitively won NERC grant, not the NCAS Core grant.** Researchers may apply to the University OA fund to cover article processing charges (APCs) for articles that are planned to be published in an Open Access journal, or an OpenAccess article in a hybrid journal. For 2014 the University has decided to initially allow this grant to be used to pay the page charges in addition open access charges. This will be subject to review during the year based on available funds.

Note that the University has pre-paid agreements with some publishers, including Wiley, that allow Reading researchers to publish articles as open access at no cost to themselves, but see below for rules as to how to exploit these agreements.

To see the University’s pages on Open Access go to

<http://www.reading.ac.uk/library/open-access>

and for specific guidance of RCUK funded work go to

<http://www.reading.ac.uk/library/open-access-rcuk>

The document “Open Access Requirements for Research Council Grants” contains most of the information you need, including a flow chart as to help you decide the open access route you should take.

Other funders have Open Access publishing requirements (e.g. Wellcome Trust and EU Horizon 2020).

Regardless of funding source the University requires you to add the bibliographic details and also self-archive (deposit) a peer-reviewed full text version in CentAUR and you should do this immediately after the paper has been accepted for publication. This will usually be the author final version after peer review corrections, but sometimes the published version is permitted. From 2016 this will be a HEFCE requirement for inclusion in the REF. HEFCE recommends early adoption and so the policy is being implemented by the University from October 2014. The database SHERPA/RoMEO at <http://www.sherpa.ac.uk/romeo/> contains journal policies which provide details as to which versions you may self-archive and length of embargo before the paper can be made publicly available. If the publisher does not permit deposit of the author final version, this must still be deposited in CentAUR but it will be locked; this will comply with the HEFCE policy as an allowable exception.

For specific guidance on the HEFCE policy for open access in the next REF go to <http://www.reading.ac.uk/library/open-access-ref>

What does this mean for me and my RCUK funded work?

1) Does the journal you want to publish in comply with RCUK requirements?

Most of the journals we commonly publish in e.g. AMS, RMetSoc, Springer journals have (gold, green or both) options which comply with NERC policy. To be sure and to see what options are available check on-line with SHERPA/FACT at <http://www.sherpa.ac.uk/fact/>, search by your funder and journal.

Note that RCUK policy on gold access requires you to use CC-BY. Some journals will offer a range of options, some may only offer a more restrictive licence. Check before you agree to pay. Other CC licences (e.g. CC-BY-NC-ND) are too restrictive and should not be selected.

Note that in particular AMS journals do not publish using the CC-BY licence as standard and you will need to request this when you opt to have open access.

2) Should I choose Gold or Green Open Access?

If funds are available then you should choose the Gold Option. If funds are not available or the journal does not offer a compliant Gold Option, release of the final version of the article you have archived in CentAUR following the appropriate embargo, will normally be sufficient to comply with RCUK policy.

3) How should I pay for Gold Open Access?

- a) If your work is funded by a grant which is currently active and started *before* 1st April 2013 then you may have funds for publication charges (or other resources) within the grant which should be used to pay for the publication costs, including open access charges.
- b) If your grant started *after* 1st April 2013, if the grant has finished, or you have no funds left in a current live grant to pay for publication charges then you may be eligible for funding from the University's block grant.
- c) Work funded by the NCAS Core grant is not counted by NERC in determining the block grant award to the University and therefore they will not pay for this work. Funds are available within NCAS to pay these charges, but the process for accessing this is still being developed, so speak to your PI.

4) How do I access the University's funds for Open Access Charges?

There is an online form to fill in, from <http://www.reading.ac.uk/library/open-access-rcuk>. You have to be registered, but Nicola and Julia have accounts and can fill in the form. To request funds please e-mail Nicola and Julia with the subject "Open Access Fund Request" and include the following information:

PI of RCUK grant which funded the work:

Grant Reference Number of RCUK grant which funded work:

Journal Name:

Journal Publisher:

Journal URL stating APC charge:

Estimated cost of APC Charge (inc. VAT):

Title of Article:

Author List:

CentAUR ID of Article: (for articles which have been submitted, i.e. hybrid journals)

Is Sponsor Acknowledged in Publication?

Does the publication include a statement on how underlying research data can be accessed?

5) When should I apply for funds?

"Open Access Journals" i.e. all the articles are open access. You should apply for and get approval for funds **before you submit the article**

"Hybrid Journals" i.e. you are paying for open access in a subscription journal. You should apply for and get approval for funds **after the paper has been accepted but before you agree to pay for open access.**

Note: The University has specific arrangements for some publishers including "Wiley" however:

- For **Wiley** journals you **must** still seek approval for funds **before** you choose the open access options ("Onlineopen" or "Wiley Open Access").

To find out more information, try the University's web pages above. If you can't find the information there you can ask specific questions by e-mailing

OArequests@reading.ac.uk

Supplementary Information on some commonly used journals

Below is a table of some commonly used Journals and some relevant information on archiving on CentAUR, open access charges and other page charges. Note that this information was correct to the best of our knowledge in January 2014, and can be used for guidance, particularly on page charges when choosing which journal to submit to, **but you should refer to the databases mentioned above and journal webpages for the latest information, before archiving or submitting.**

Journal	Green Open Access ¹	Gold Open Access	Page Charges	Colour Charges
AMS journals	Published version after 6 months	\$800 ²	\$145 (not BAMS)	Free
Clim Dyn	Accepted version after 12 months	\$3000+VAT	Free	Free
JGR	Published version after 6 months	\$3500	\$1000 + \$120 per PU ³ > ~25	?
GRL	Published version after 6 months	\$2500	\$500 + \$25 per PU > 12	?
JAMES	Open Access	Open Access	\$50 per PU	?
ASL	Accepted version after 12 months	\$1500 (\$1200 for RMetS members)	None	None
QJRM	Accepted version after 12 months	\$3000 (\$2400 for RMetS members)	14 free then £110	First £250, then £150
Int J. Clim	Accepted version after 12 months	\$3000 (\$2400 for RMetS members)	Free	First £250, then £150

RCUK Data Access Policy

You are required to include a “statement on how the underlying research materials – such as data, samples or models – can be accessed.” See <http://www.nerc.ac.uk/research/sites/data/policy/> for more details but in particular it says

- NERC Grant holders and staff within NERC’s research centres are required to offer to deposit with a NERC data centre copies of any data sets resulting from the research supported.

In practice, for us this generally means a statement addressing as many of these types of underlying materials as are relevant to your paper:

- Model Codes
- Analysis Code
- Underlying Datasets (whether simulated or observed), and
- The Data Products underlying your figures

There is, as yet, no canonical advice as to how to proceed, but the following is provided as guidance.

For data you have produced, there are four possible mechanisms of access:

1. You can offer to make them “available on request”, or
2. You can provide them as supplementary material, or
3. You can arrange for them to be hosted elsewhere, for example, in a University Data repository or at the BADC, and provide a link, or, best of all,
4. For data products you can arrange to publish them in their own right (again, possibly via the BADC, but there are other alternatives).

¹ The embargo period, refers to the date at which the article is made publicly available. To comply with HEFCE REF guidelines you should deposit it in CentAUR on acceptance and use the embargo settings

² Note (as above) that the standard licence for AMS Open Access is not RCUK compliant

³ PU= (# words)/500 + #figs + #tables

Option 1 is a long-term commitment, and you probably want to avoid that if you can.

Option 2 is only available with some journals but can be very convenient for you.

Option 3 is generally the simplest of all, but at the time of writing the University is still working on establishing its data repository. For any size dataset, but particularly larger datasets, you can contact the BADC to see if they can archive the data. For very large datasets you should probably have arranged data management with BADC with your original grant.

You should definitely consider option 4, particularly if the underlying dataset is one you have produced, since it's another way of getting academic credit for some the work you've done on this paper. You can contact the BADC support desk (support@ceda.ac.uk) for information on how you can do this (via them, or elsewhere).

For code, things are currently more complicated. One very simple option is to publish the code on github (<http://github.com>) or a similar site, and link to it. Again, it can appear in supplementary materials. This is a fast moving area.

For underlying datasets which you have not created, you should endeavour to find a reliable online repository and link to it in your paper, either via traditional references, or if no other option is possible, via hyperlinks in the text or footnotes.

For some models you can point to online code, but recognise that your “configured code” (with parameter choices) may differ from the published code – you should definitely indicate such differences in some form of supplementary material. For other models, you can only refer to published model descriptions, but again, it's important to distinguish how your model variant may differ from those.