



Open access procedures and the RCUK mandate

All peer-reviewed research papers submitted for publication after 1st April 2013 are subject to the [RCUK's policy](#) on open access (OA). At present, this states that papers must be published in journals that allow immediate, unrestricted access via their own website (in most cases this will involve payment of an article processing charge) – the 'Gold' option - or that allow deposit of the final accepted manuscript in a repository with an embargo of no more than 6 months (for which no payment will be due) – the 'Green' option. During the 5- year transition period, the maximum embargo period has been extended to 12 months where there is no funding available for publication charges. This mandate applies to all peer-reviewed papers arising from BBSRC or other Research Council funded research.

- How do I know if my journal complies?

As well as wholly open access publishers such as PLoS, many traditional publishers now accept OA papers in otherwise subscription-based journals, and some publishers have embargo periods which do comply with the RCUK policy. [SHERPA FACT](#) will check compliance with funders' requirements for all the Research Councils and the Wellcome Trust. Search by journal title or ISSN.

- What details should my paper include?

All papers must include details of the funding that supported the research and, if applicable, a statement on how the underlying research materials – such as data, samples or models – can be accessed. However, the policy does not currently require that this data should also be open access. Guidance on how to acknowledge funders in journal articles is available [here](#).

- What do I do about copyright and licence agreements?

Since the stated aim of this policy is to allow users not just to read but also to re-use the content of research papers, RCUK also mandate the use of a [CC BY](#) licence if article processing charges are paid. Most publishers who offer a Gold 'open' option will also meet this requirement, but if they do not, technically your paper will not comply. If you are publishing in a Green journal, a [CC BY-NC](#) licence is acceptable. Licence agreements may also ask you to indicate ownership of copyright. In most cases this will be Rothamsted Research Ltd.

Rothamsted has been awarded a block grant that will cover some of the cost of open access publishing, with the condition that we monitor expenditure and report back to RCUK. To enable us to collect the information which we will require for this, spending on open access will be administered via the Library.

- How do I access funding?

You will usually be asked to agree to pay OA fees (or Article Processing Charges (APCs) when your paper is accepted:

- Check with Tim Wales (tim.wales@rothamsted.ac.uk) that your publication is eligible for funding and that there is money still available
- Select the [CC BY licence](#) option if offered a choice (as it is a requirement of our funding councils) or ask the publisher if it is not
- Rothamsted is not tax exempt and our VAT number is 197 4201 51
- Specify Tim Wales as the invoice contact if contact details are required
- Pass the invoice to Tim for payment authorization if it comes direct to you
- Your invoice will be dealt with by Finance once these steps have been completed.

The majority of publishers do not require a PO number, but if you are asked for one, please raise a requisition via your Department with the cost code N8008. Requisitions will be routed via the Library for approval.

NB Some publishers are now offering institutional “pre-payment” accounts with discounted rates for Open Access charges with their own special workflows for authors to use for invoicing. At present, Rothamsted has such an account with Wiley – please see [these instructions](#).

The process above will help us monitor and record spending on publication charges for reporting purposes. Please contact Tim_(ext 2659) if you are not sure if your journal complies with the mandate or if you would like advice on completing publishers’ forms.

Both funders’ and publishers’ policies are likely to be modified during the transition period and we will monitor developments, particularly with respect to their impact on the effectiveness of the Green route to compliance.