

# Case study scenario outlining the steps taken by a RCUK-funded Professor wishing to publish a paper Open Access at the University of Oxford

## Background

Professor Smith, from the Department of Education at the University of Oxford, is leading on a **journal article co-authored with colleagues from two other institutions**: the University College London and Birkbeck University of London. The paper presents research results from a **project funded jointly by ESRC and EPSRC** to support interdisciplinary research between social sciences and MPLS.

The team wishes to publish their article in the [Educational Researcher](#), a journal of high impact factor in the area of educational research, published by Sage.

Professor Smith has already heard about the the new [RCUK policy on Open Access](#) and is aware that the policy has been in force since 1 April 2013. He also knows that there are two routes to achieve Open Access, '[Green](#)' and '[Gold](#)', and that the University favours 'Green', whenever possible . Now, however, he needs to check what is possible in his particular case.

## Steps taken

1. Professor Smith goes to the Open Access at Oxford website and consults the [Researcher Decision Tree – 'Green' or 'Gold'](#) for the steps he needs to take.
2. He uses [SHEPRA FACT](#) tool to check if the journal, Educational Researcher, complies with the funders' requirements for open access to research. He selects the funders (EPSRC and ESRC) and types in the journal's name.

**Funders & Authors Compliance Tool**  
Helping you comply with research funders' policies on open access to publications

**Funder(s):**

AHRC  BBSRC  EPSRC  ESRC  MRC  NERC  STFC  
 Wellcome Trust

**Journal (Title or ISSN):**

Educational Researcher

**Publication stage:**

Not yet submitted for publication. ▾

[Advanced mode](#)

3. Professor Smith is instantly provided with information he has been looking for. He learns that in the case of this particular journal they can't achieve compliance via the 'Green' route: „*the publisher does not allow you to archive the Publisher's version/PDF of your article until 12 months after publication. This exceeds your funder's acceptable maximum of 6 months.*“ Although the last sentence is true for the EPSRC (max 6 months embargo) but not for the ESRC (max 12 months embargo), the RCUK policy states clearly that **in case of multi-funders, the shorter embargo period applies.**

The publisher offers, however, the Gold route to Open Access against an Article Processing Charge (APC ) of £800 – £1600.

## Funders & Authors Compliance Tool

Helping you comply with research funders' policies on open access to publications

<b>Funders:</b>	Engineering and Physical Sciences Research Council, and Economic and Social Research Council	<a href="#">Change</a>
<b>Journal:</b>	<b>Educational Researcher</b>	<a href="#">Change</a>
	ISSN: 0013-189X, Publisher: SAGE Publications (UK and US)	
<p>✓ <b>You can comply with your funder's policy:</b></p> <ul style="list-style-type: none"> <li>✓ <b>You can publish your article compliantly with open access</b>  <small>Paid open access option available - <a href="#">SAGE Choice</a> - with a range of Creative Commons licences.  Indicative fee: £800-£1600, \$1500-\$3000 per article - Author must request Creative Commons Attribution License</small> </li> <li>✓ <b>You can archive your article compliantly in <a href="#">ESRC Research Catalogue</a></b>  <small>The publisher does not allow you to archive the Publisher's version/PDF of your article until 12 months after publication. This exceeds your funder's acceptable maximum of 6 months.</small> </li> </ul>		
<b>What next?</b>	<p><b>I have not yet submitted my article for publication.</b></p> <p>Use either of the required methods.</p> <p><b>Publishing with open access:</b>  Revisit this website when your manuscript has been accepted for publication.  You retain the copyright of your article.  To ensure compliance with your funder's policy:</p> <ul style="list-style-type: none"> <li>• Confirm that articles are published under a Creative Commons Attribution or more open licence</li> </ul> <p><b>Self-archiving:</b>  No additional action required.</p>	<a href="#">Change</a>

Please discuss any difficulties with your [editor/publisher](#). Contact your [funders](#) if your issues are not resolved. [RoMEO record](#)

Please send feedback to [FACT](#) regarding inaccurate or missing data. [JULIET records](#)

Link for this page: [http://www.sherpa.ac.uk/FACT?page=0013-189X\\_written\\_722\\_717](http://www.sherpa.ac.uk/FACT?page=0013-189X_written_722_717)

4. Professor Smith consults the Researcher Decision Tree – ‘Green’ or ‘Gold’ one more time. He notices that where a publisher charges the author for an immediate open access to the publication, RCUK requires that the paper is published under a [Creative Commons Attributions licence](#) (CC-BY). Professor Smith checks the [publisher's website](#) and finds that Sage offers a possibility to publish a paper under CC-BY licence.

5. The final step now involves applying for the APC funds. Professor Smiths knows that the University was given an [Open Access Block Grant](#) to cover APCs that he can easily apply for, but he is not sure whether the amount should not be split among the remaining institutions. To be sure, he checks the Universty's [Policy on the Allocation of the RCUK Open Access Block Grant](#) where he reads: *where a paper has been written in collaboration with authors from other UK universities Oxford will pay the whole APC where the Oxford author is the corresponding author.*

6. Professor Smith downloads and fills in the [APC application form](#). He also archives a copy of the paper in the [Oxford Research Archive](#) for preservation and increased visibility.