ExplORe: Funder Open Access Policies

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• What is Open Access (OA)?
• Why funders want OA
• OA Policies for publications
• Rights Retention
• OA at Aberdeen
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• Block Grants

• Open Access for Data
Introduction

• Funder Open Access Policies been around for a while
• Aligned 2012/13
  • UKRI
  • Wellcome firmed up existing guidance to policy
  • COAF
  • Block grants introduced
  • Aim was to transition to open access
  • Too slow
  • New policies from 2021
What is Open Access?

Research outputs are made freely available to anyone with an internet connection without charge or other barriers.

Immediate open access under a licence allowing sharing and reuse under specific conditions i.e. CC BY.
# Routes to Open Access

<table>
<thead>
<tr>
<th>Process</th>
<th>Publisher Open Access (Gold)</th>
<th>Repository Open Access (Green)</th>
<th>Diamond Open Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version</td>
<td>Immediately open access on publisher website.</td>
<td>Author deposits in institutional or subject repository.</td>
<td>Immediately open access on publisher website.</td>
</tr>
<tr>
<td>Rights</td>
<td>Version of Record (VoR)</td>
<td>Usually Accepted Manuscript (AM) post peer review but before publisher formatted.</td>
<td>Version of Record (VoR)</td>
</tr>
<tr>
<td></td>
<td>Published under an open licence – usually <strong>CC-BY</strong></td>
<td>Use Rights Retention for immediate OA under an open licence. Otherwise embargoes apply.</td>
<td>Published under an open licence – usually <strong>CC-BY</strong></td>
</tr>
<tr>
<td>Cost</td>
<td>Usually incurs a fee e.g. APC paid by funder or covered by institutional agreement.</td>
<td>Free.</td>
<td>Free to publish. Free to read. Costs covered by society or institution.</td>
</tr>
</tbody>
</table>
Funder Open Access Policies

Check your contract for other funders and contact openaccess@abdn.ac.uk
Open Access Licences

• Applies to journals and conference papers published with an ISSN
• Immediate Open Access
• Under a CC BY licence
• CC BY-ND permitted by exception
• Open Government Licence (OGL) if required for government funded co-authors subject to crown copyright
Hybrid Journals – Green OA

• Pay to publish selected articles OA in subscription journals
• Double dipping
• More expensive than fully open journals
• Lack of transparency
• Hybrid APCs not paid by funders
• Publisher open access agreements
• Embargoes set by publishers for green OA – use RRS
• Ask openresearch@abdn.ac.uk if not sure
Rights retention strategy

• When publishing green OA in a hybrid journal
• Publisher takes your rights
• Imposes restriction on how article can be used
• Use RRS to let them know that you will retain rights to AM
• Enables immediate OA in repository
• Complies with funder policies
• Institutions also introducing rights retention
Rights retention strategy

• "For the purpose of open access, the author has applied [a Creative Commons Attribution (CC BY) licence] [an ‘Open Government Licence’] (or where permitted) [a Creative Commons Attribution No-derivatives (CC BY-ND) licence] to any Author Accepted Manuscript version arising".

• Make clear to the publisher at time of submission that funder requires AM to be made open access under an open licence

• Apply to all submissions

• Check open access options before submission
Research Publications Policy

• New University Research Publications Policy from May 2023
• Authors achieve immediate and wide dissemination without restrictions
• Retain more rights over your own work
• Retain the freedom to publish where you see fit
• Automatically comply with funder and REF open access requirements
• Opt-out available
When using RRS

• Legal stance
• Some publishers have made exceptions for funded authors
• Some say they won’t accept it – funder advice is publish elsewhere
• Institutional policy will strengthen position
• Is optional for authors who don’t have funding
• Risk of non-compliance
• Co-authors – make them aware of your requirements
Tools to check publisher/funder policies

- SHERPA RoMEO online resource summarising publisher open access policies, providing details of self-archiving permissions and conditions of rights given to authors on a journal-by-journal basis
- SHERPA FACT tool to help researchers check if a journal complies with their funder’s open access requirements
- SHERPA JULIET database where researchers can search for information on funder policies and requirements on open access, publication and data archiving
- OpenDOAR quality-assured global directory of repositories. Enables identification, browsing and search for repositories
- Journal Checker Tool Publishing options supported by your funder’s OA policy?
- Use with caution
Block Grant

- Block Grant provided by UKRI, Wellcome, British Heart Foundation
- Research articles
- Funded authors only
- Not enough to pay APC for all research
- Often exhausted before end fy

- Open to corresponding author or PI
- Grants current or last 5 years
- Check availability before submission
- Be aware of limitations
- Approval from DoR
- Use OA Agreements
Open Access Publisher Agreements

**Cambridge University Press**
hybrid and fully OA journals. Choose CC BY licence.

**Wiley**
includes hybrid and fully OA journals. Choose CC BY licence.

**Elsevier** – Hybrid journals only. CC BY licence as default.

**Oxford University Press**
hybrid and fully OA journals. Choose CC BY licence.

**Microbiology Society**
hybrid and fully OA journals. Choose CC BY licence.

**PLOS Unlimited**
publishing - 6 titles. CC BY licence default.

**Royal Society**
hybrid and fully OA journals. Choose CC BY licence.

**Sage** – Hybrid journals only. Choose CC BY licence.

**Springer Compact Agreement** –
Hybrid only. CC BY licence as default.

**Taylor & Francis** -
Hybrid journals only. Choose CC BY licence.

**Company of Biologists**
OA in 3 hybrid journals.

**Other Agreements**
on our [webpages](#)...

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www.abdn.ac.uk/open-research | openresearch@abdn.ac.uk | @OpenResearchUoA
Publisher Open Access Agreements

- Agreements with all major publishers
- Library pays for open access so no charge to authors
- Eventually publishing model flips to OA for all
- No more subs, APCs and less admin
- Immediate OA under CC licence
- Selected journals
- Research and review articles
- Available to UoA corresponding authors
- Any problems let us know
Monographs, Chapters & Edited Collections

• Differences between funder policies
• Open access under an open licence
• Green, Gold or Diamond
• Book Processing Charge (BPC) – payment depends on funder
• Slightly more permissive than journal requirements
• UKRI from Jan 2024
• Wellcome
• European Commission
• REF no requirement under current policy (under review)
Pure/AURA
Pure/AURA

• Email paperaccepted@abdn.ac.uk
• Send confirmation of acceptance and accepted manuscript
• Add information yourself
• Upload metadata for datasets
• Email us for help
• openresearch@abdn.ac.uk
Think. Check. Submit.

- Predatory publishers
- Take payment for services they have no intention of providing
- Think: are you submitting research to a trusted journal or book publisher?
- Check: Think. Check. Submit
- Submit: Only if you can answer yes to the questions on the checklist
Open Data Requirements

• Check your funder policy and t&c’s
• You should have a Data Management Plan (DMP)
• NERC, EPSRC, Horizon require data deposit in repository
• No later than publication
• Open licence
• Include a data availability statement in your publication even where no underlying data
• Should point to where the data is available not request from author
British Heart Foundation Open Access Policy

Primary Research Papers & Non-Commissioned Reviews

- Deposited in Europe PMC no later than 6 months from publication
- Version of Record (VoR) published in a journal or on a publisher platform
- CC BY where an APC has been paid by BHF
- Small block grant – check funds are available before committing to an APC
- Accepted Manuscript (AM) deposited in Europe PMC no later than 6 months from publication

https://www.bhf.org.uk/for-professionals/information-for-researchers/managing-your-grant/open-access-policy
Journal articles & Conference Papers with an ISSN

- Immediate open access either by Version of Record (VoR) published in journal or publisher platform
- Accepted Manuscript (AM) deposited in trusted repository
- Also deposit in Pure/AURA – paperaccepted@abdn.ac.uk
- Open licence – CC BY or equivalent
- APCs should be included in budget
- Fully open access journals only – no hybrid APCs
- Reimburse APCs through the life of grant
- Publish via Open Research Europe
  - only for EU funded authors
  - no charges
- Hybrid journals – retain sufficient rights to comply with policy - Use Rights Retention Statement

Monographs, Chapters, Edited Collections

- Monographs - immediate OA
- VOR or AM
- CC BY NC or CC BY ND
- Include costs in grant for fully OA
- Hybrid OA not eligible cost

Data

- OA at time of publication
- Immediate OA for public health emergencies
- Includes original software required to view datasets or replicate analyses
- Publications must include data availability statement
- Horizon Europe presentation
- Horizon Europe Model Grant
NIHR Open Access Policy

Journal articles & Conference Papers with an ISSN
• Applies to research papers, conference papers and non-commissioned reviews submitted from June 2022
• Immediate open access in Europe PMC
  • Version of Record (VoR) published in a journal or on a publisher platform
  • Accepted Manuscript (AM) deposited in Europe PMC
• No embargo permitted
• CC BY (or OGL) licence required for both VoR and AAM - CC BY ND by exception
• Subscription journals – retain sufficient rights to comply with policy - Use Rights Retention Statement
• NIHR will pay reasonable fees to enable immediate open access – funds included in grant, includes hybrid, no colour or page charges
• Use NIHR Open Research Platform

Monographs, Chapters, Edited Collections
• Out of scope of the policy (with the exception of NIHR Journals Library publications)
• Reserve the right to mandate OA for preprints in public health emergency

Data
• Publications must include data sharing statement
• Data is encouraged to be made OA in suitable repository

• https://www.nihr.ac.uk/documents/nihr-open-access-publication-policy-for-publications-submitted-on-or-after-1-june-2022/28999
Research Excellence Framework (REF)

REF2021 submitted 31 March 2021. OA policy under review - follow REF2021 OA policy until further notice. 
Applies to journal articles and conference papers published with ISSN, monographs not currently subject to OA requirements

• Repository-Based Open Access (Green)
• Deposit Accepted Manuscript (AAM) in institutional or subject repository within 3 months of acceptance
  • Email paperaccepted@abdn.ac.uk
• Embargoes of up to 12 and 24 months for STEM & HSS currently permitted
• Exception - Deposit within 3 months of 1st online publication

• Publisher open access (Gold)
• VoR immediately available is compliant
• Publisher agreements allow compliance
• Must permit reuse
  • CC-BY-NC-ND licence allowed
UKRI Open Access Policy

Journal articles & Conference Papers with an ISSN

- Applies to outputs submitted from 1st of April 2022
- Immediate open access either by
  - Version of Record (VoR) published in a journal or on a publisher platform
  - Accepted Manuscript (AM) deposited in an institutional or subject repository (PMC for MRC)
  - OA or preprints encouraged & may be mandated in public health emergency
- Block grant – no hybrid APCs, no colour charges, check funds available before committing to an APC
- Hybrid Journals - retain sufficient rights to comply with policy - Use Rights Retention Statement
- CC BY licence required for both VoR and AAM - CC BY ND by exception
- No embargo permitted
- https://www.ukri.org/publications/ukri-open-access-policy/

Monographs, Chapters, Edited Collections

- Applies to outputs published from 1st of January 2024
- Open access either by
  - Version of Record (VoR) published open access via a publisher’s website, platform or repository. Must be open within 12 months of publication.
  - Accepted Manuscript (AM) is published open access via a publisher’s website, platform or repository. Must be open within 12 months of publication
- CC BY licence preferred, but NC and ND licences permitted
- Open Access fund will be centrally held by UKRI

Data

- Publications must include data sharing statement
- Data is encouraged to be made OA in suitable repository (mandatory for EPSRC & NERC, check your council requirements)
Primary Research Papers

Deposited in Europe PMC no later than 6 months from publication

• Version of Record (VoR) published in a journal or on a publisher platform
  • CC BY where an APC has been paid
  • OA costs can be reclaimed through Grant Tracker portal
• No colour or page charges
• Accepted Manuscript (AM) deposited in Europe PMC no later than 6 months from publication

https://www.versusarthritis.org/research/information-for-researchers/information-for-research-award-holders/open-access-and-travel-support/
Wellcome Open Access Policy

Original Research Papers

- Doesn’t include review articles
- Preprints encouraged, mandated in public health emergency
- Immediate open access either by
  - Version of Record (VoR) published in a journal or on a publisher platform
  - Accepted Manuscript (AM) deposited in Europe PMC
- Block grant – no hybrid APCs, no colour charges, check funds available before committing to an APC
- Hybrid journals – retain sufficient rights to comply with policy - Use Rights Retention Statement
- CC BY licence required for both VoR and AAM - CC BY ND by exception.
- No embargo permitted

Monographs, Chapters, Edited Collections

- freely available via NCBI Bookshelf PubMed Central (PMC) and Europe PMC asap and no later than 6 months from publication
- CC BY licence preferred, but NC or ND permitted
- Apply to Wellcome to have book processing charge (BPC) reimbursed for fully OA publications only. No hybrid
- Theses should be open through EThOS

Data

- OA at time of publication
- Immediate OA for public health emergencies
- Includes original software required to view datasets or replicate analyses
- Publications must include data availability statement
- https://wellcome.org/grant-funding/guidance/open-access-guidance/complying-with-our-open-access-policy
Summary

• Compliance with funders and REF
• Check policies
• Make sure journal offers compliant OA
• Use RRS
• If you need to pay to publish check funds are available
• Ask OR team
• Use Agreements
• Update Pure
• Open Data
Any Questions?

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@OpenResearchUoA