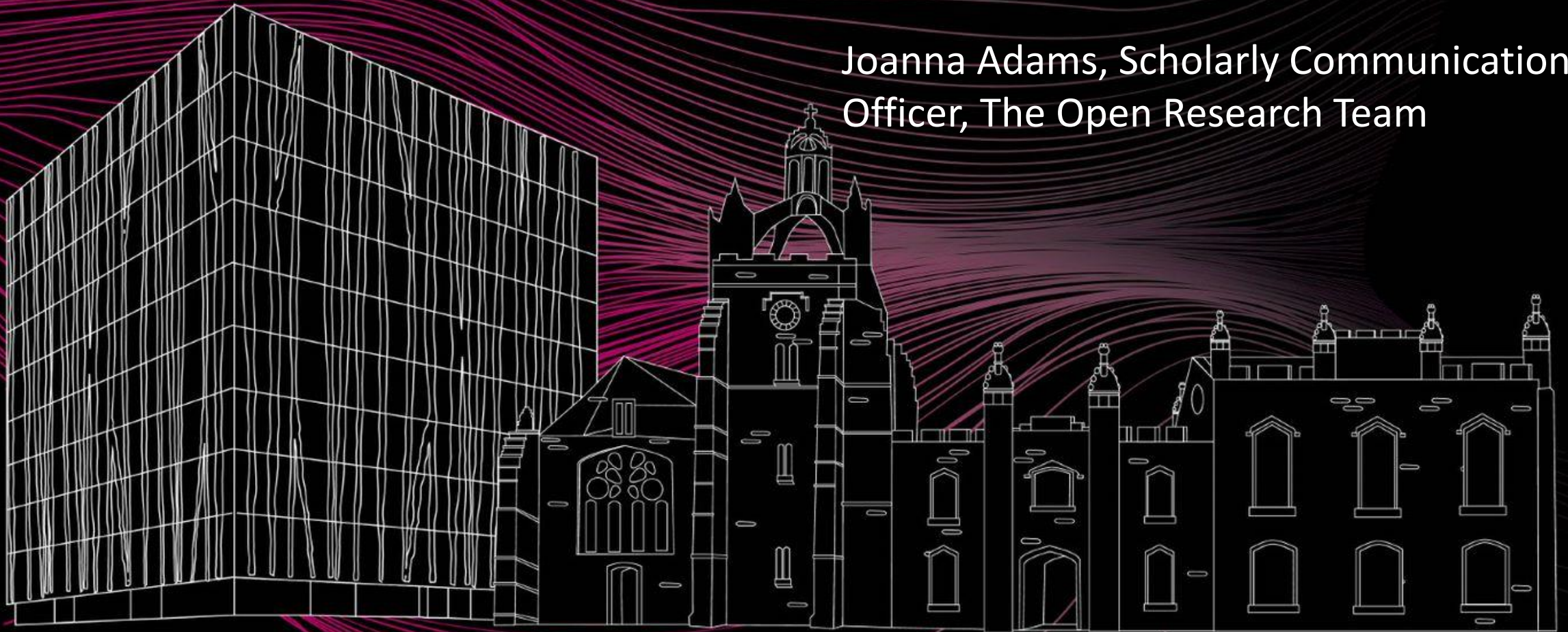


ExplORe: Funder Open Access Policies

Joanna Adams, Scholarly Communications
Officer, The Open Research Team



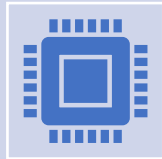
Contents

- What is Open Access (OA)?
- Why funders want OA
- OA Policies for publications
- Rights Retention
- OA at Aberdeen
- OA Publisher Agreements
- 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

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

Funder Open Access Policies



REF2021 Research Excellence Framework



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



Distribute, remix, adapt
Credit must be given to
the creator



Copy and distribute only
No derivatives
Credit must be given to the creator

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...

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

StaffNet

Working Here Policy and Governance Teaching and Learning **Research and Knowledge Exchange** News and Events Staff Directory

Pure

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- University Home
- StaffNet
- Research and Knowledge Exchange
- Pure**
- System maintenance
- Altmetrics

Contact

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PURE is a web-based system that captures a wide range of research-related outcomes, impact and activities and promotes the University's research excellence to the wider community.

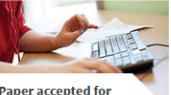
PURE organises content in a relational way to build links between people, grants, publications, impacts and datasets. It is a dynamic and productive source of information which underpins many of the University's processes. PURE also synchronises with other university systems to provide a connected view of our research activity

How to videos and training resources can be found at <https://www.abdn.ac.uk/toolkit/systems/pure/> and in the resources below.

Access PURE

Pure is the University's Research Information System.

[Log In](#)



Paper accepted for publication?

UNIVERSITY OF ABERDEEN

AURA - Aberdeen University Research Archive

AURA Home

Welcome

The Aberdeen University Research Archive (AURA) provides access to the full text of selected research outputs of the University. Research theses are not included in AURA but are held in our [Digital Resources collections](#).

If you are looking for an article, chapter, conference paper, working paper or other research output of the University and cannot find it in AURA (or have any other query) please [contact us](#).

If you are a member of University staff, to keep your publication information up to date please make sure you notify [paperaccepted](#) of all new publications, and enter all relevant content into Pure. Further information can be found [here](#).

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- Subjects

DISCOVER

Author

- Education in the North (299)
- Smith, Pete (228)
- Price, David (201)
- Johnston, Marie (136)

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UNIVERSITY OF ABERDEEN

Welcome to The University of Aberdeen Research Portal

Advanced search

Established to serve the north-east of Scotland, today our university is a global presence in higher education. A dual focus on our region and the wider world is as important to us today as it was five centuries ago.

Find out more about the [University of Aberdeen 2040 strategy](#)

- 1588 Profiles
- 137 Disciplines
- 74009 Research output
- 90 Research Facilities
- 678 Datasets
- 105 Impacts
- 4278 More

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>

Horizon Europe (European Commission)

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)

Versus Arthritis

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?

Joanna Adams
Open Research Team
openresearch@abdn.ac.uk
paperaccepted@abdn.ac.uk
www.abdn.ac.uk/open-research
[@OpenResearchUoA](https://twitter.com/OpenResearchUoA)

