

Open Research

Supporting University of
Exeter researchers
with open access and
research data management

Climate Group, 12 June 2020



<http://www.exeter.ac.uk/research/openresearch/>

openaccess@exeter.ac.uk

Open Research team

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What areas do we support?



www.exeter.ac.uk/research/openresearch/support/contact/

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www.exeter.ac.uk/research/openresearch/contact/

Agenda

- What is open access?
- Uploading via Symplectic to ORE
- Comply with University policy, REF 2021 OA policy
- What do publishers allow?
- Comply with funder OA requirements
- Publishing OA on publisher website
- Other publication charges

Open access means no paywall



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Traditionally, institutions purchased subscriptions to print journals from publishers. Now that virtually all content is online, institutions purchase access to that content (in traditionally published journals at least) for the members of the institution.

So research findings are only available to members of institutions that purchase access, or to individuals who can afford to pay to download content.

This means that the research may not be accessible to researchers in developing countries, independent researchers (not affiliated with an institution), practitioners e.g. healthcare workers, members of the public, governments etc.

Copyright and licensing

Licences describe how work can be re-used, within copyright law

- Open access = access + rights to re-use
- Licences allow you to retain copyright, whilst granting others permissions to use your work
- Creative Commons offer a suite of licences

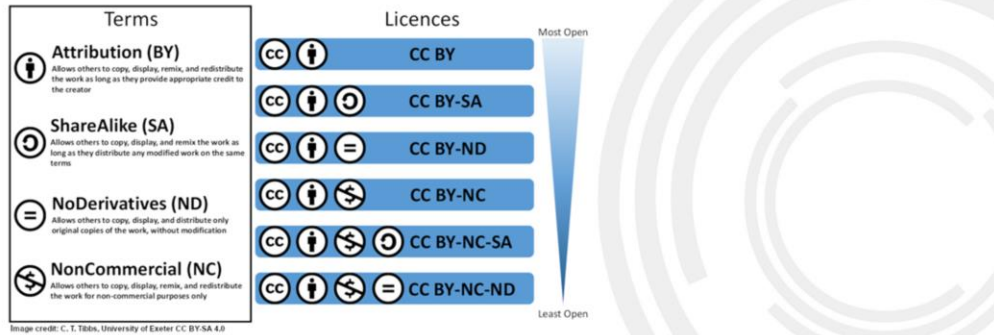
www.exeter.ac.uk/research/openresearch/oa/copyright/

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There are two aspects to open access: access and reuse. The latter is achieved via the application of licences: when making work open access, a licence is applied that describes how the work can be used, allowing sharing and re-use.

Articles published as paid open access often have a [Creative Commons](#) licence.

Creative Commons licences



www.creativecommons.org/

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[Creative Commons](http://www.creativecommons.org/) licences work within existing copyright law, describing how your work can be used. They enable creators to retain copyright while allowing others to copy, distribute, and make some uses of their work - at least non-commercially. All CC licenses (except CC 0) require that attribution (credit) is given to the author (BY).

Many funders require CC-BY (only) when publishing with paid open access.

Licences with additional suffixes are more restrictive (e.g. ND = non-derivative, NC=non-commercial) and as such may not be compliant with the funder.

e.g.

NC = non commercial (cannot be used for commercial advantage)

ND = non derivative (cannot be adapted or translated, must be passed on whole and unchanged)

SA = share alike (any resulting work must be shared under the same licence as the original)

Open access has benefits for you and for society



www.exeter.ac.uk/research/openresearch/about/explained/

Publications that are made available as open access (OA) are freely available to be read, downloaded and reused by anybody with an internet connection, anywhere in the world. This opens research findings up to researchers in developing countries, who couldn't otherwise afford access them, independent researchers (not affiliated with an institution), practitioners e.g. healthcare workers, members of the public (whose taxes helped fund the research), governments.

So, open access has benefits for society as a whole.

Open access also benefits individual researchers:

Open access increases readership of your work, it makes it more visible and allows greater dialogue around your research area. Open access can lead to higher citations and greater impact of your research.

Open access can lead on to collaboration opportunities.

Open access raises the profile of University of Exeter research.

Making work open access (OA)

Self-archiving

Make author accepted manuscript (AAM) OA in a repository, free of charge: 'green' OA

Immediate OA on publisher website

Final full text is published OA on publisher website with licence e.g. CC BY. May involve payment of a fee to the publisher: 'gold' OA. Or there may be no fee: 'diamond' / 'platinum'

What is a repository?

- Long-term storage and preservation
- Permanent URL (handle or DOI)
- Metadata describes your work --> indexing and discoverability
- Non-commercial
- Institutional repository: a 'shop window' for an institution's research

www.exeter.ac.uk/research/openresearch/oa/selfarchiving/

Open Research Exeter (ORE)



www.ore.exeter.ac.uk/repository/

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The University of Exeter's institutional repository is Open Research Exeter ([ORE](http://www.ore.exeter.ac.uk/repository/)).

ORE is an archive for storing, preserving and providing access to the research outputs of the institution. It is a showcase of the research outputs of the University.

REF 2021 open access policy

Eligibility for submission to REF 2021:

- Journal articles and conference contributions with an ISSN
- Accepted for publication after 1 April 2016
- Must be deposited in a repository within 3 months of acceptance
- Version to deposit: author accepted manuscript (AAM)

www.exeter.ac.uk/research/openresearch/policies/ref/

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[REF 2021 open access policy](#)

Applies to journal articles and conference proceedings with an ISSN accepted for publication after 1 April 2016.

The University expects all outputs within the scope of the REF policy to be eligible for submission to the REF, even if they are not eventually nominated. **However, there is no requirement to deposit outputs produced at another institution before your arrival at Exeter: they will either be REF-eligible because compliantly deposited in your previous institution's repository, or we can apply an exception.**

In order to be eligible for submission to the REF, the policy requires the AAM to be uploaded to a repository within 3 months of acceptance.

The policy does not apply to monographs, book chapters or other output types; these are eligible for the REF but don't need to comply with the policy.

University open access policy

Outputs produced whilst employed at University of Exeter:

- Journal articles and conference proceedings with an ISSN
- Upload AAM via Symplectic to ORE within 3 months of acceptance
- Authors of other output types encouraged to pursue open access “where possible and practical”

www.exeter.ac.uk/research/openresearch/policies/exeter/

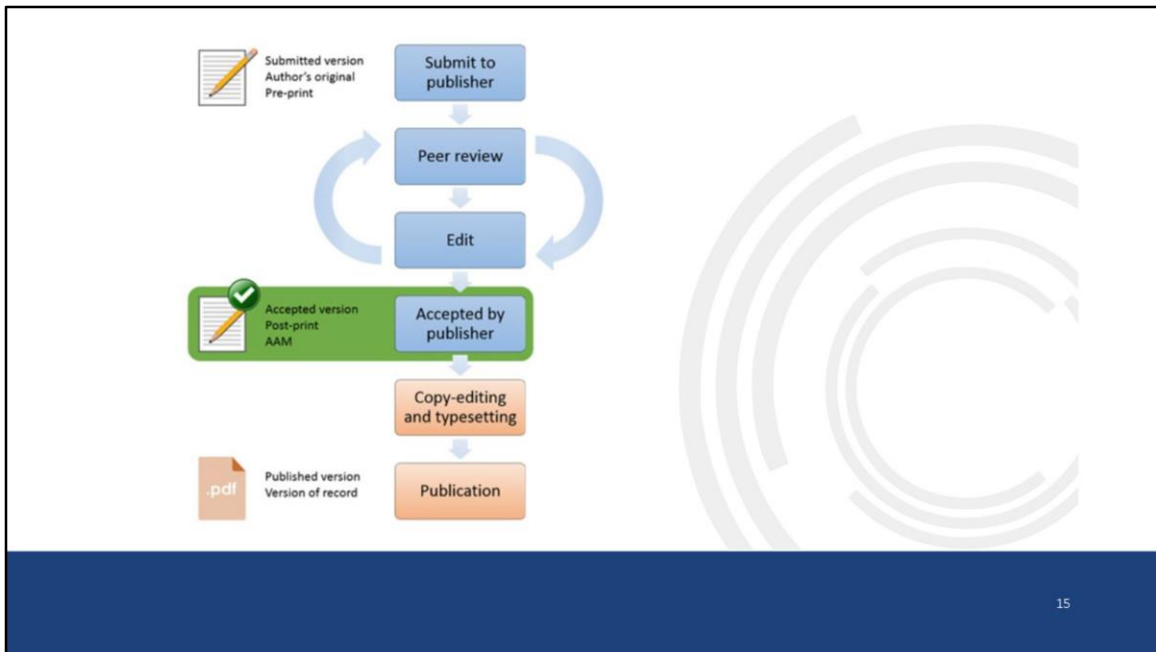
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Upload upon acceptance via Symplectic to ORE

The image is a composite of three parts. On the left is the 'Symplectic Elements Login' page, which includes a 'Login' button and a note that it is the central publication management system. In the center is a red 'PDF' icon with the Adobe logo, labeled 'Author accepted manuscript', with a blue arrow pointing to the right. On the right is the 'University of Exeter Repository' homepage, featuring a circular sunburst chart and a list of departments such as Business School, College of Engineering, Mathematics and Physical Sciences, and others.

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In order to meet the requirements of both REF and University open access policies, upload the AAM upon acceptance via Symplectic to ORE.



The version to deposit to comply with REF is the author accepted manuscript

- also known as the *author manuscript, author's accepted manuscript, final author version, or post-print*
- content is identical to the published version
- includes all modifications from the peer review process
- without the publisher's layout and formatting (over which the publisher retains copyright)
- if you don't have a publisher-supplied manuscript: incorporate main text and any supplementary information in **one PDF/A or PDF file.**

Sharing the pre-peer-review version

bioRxiv
THE PREPRINT SERVER FOR BIOLOGY



ChemRxiv™

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Many (but not all) journals accept work previously posted on a preprint server. Check the publisher's policy before posting an article if you intend to submit it to a journal.

arXiv is a data source in Symplectic, and its records are harvested in with the arXiv PDF attached. Symplectic will therefore prompt you to deposit that PDF when you claim the record. Please only deposit it if it's the AAM; if it's the pre-print, this is not an eligible version for the REF.

Before deposit to ORE, please add a manual record to the arXiv Symplectic record, including the journal to which the article has been accepted and the date of acceptance.

Benefits of sharing preprints

- Accelerate scientific progress by speeding up access to new findings
- Get credit for your work as soon as you make a discovery
- Get feedback on your work before submitting to a journal
- Increase visibility of research

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Benefits of sharing preprints include:

- Scientific results can rapidly be communicated to the entire scientific community
- Get credit for work by posting it online with a date stamp, as soon as the discovery is made
- Include pre prints in funding applications / job applications etc.
- Get feedback on your work before submitting to a journal – from a wider audience than just a few reviewers in the traditional workflow
- Increases visibility of research and may increase citations to work

What do publishers allow?



The screenshot shows the SHERPA/RoMEO website interface. At the top, there is a navigation bar with the SHERPA/RoMEO logo and the text "... open". Below the navigation bar, the page title is "search - Publisher copyright policies & self-archiving". The main content area displays the results for a search query "0028-0836". The journal identified is "Nature" (ISSN: 0028-0836, EISSN: 1476-4887). The RoMEO status is "This is a RoMEO yellow journal". The page lists various policies: Author's Pre-print (checked), Author's Post-print (checked), Restrictions (6 months embargo), Publisher's Version/PDF (unchecked), General Conditions (Research articles only, On author's personal website, Institutional repository, etc.), Mandated OA (Compliance data available for 24 funders), Notes (Applies to Research articles only), Copyright (Pre-print policy, Self-archiving policy, Post-print re-use terms), Updated (20-Sep-2015), and Link to this page (http://sherpa.ac.uk/romeoans0028-0836/). The publisher is listed as "Nature Research (part of Springer Nature) - Yellow Policies in RoMEO". A disclaimer at the bottom states: "This summary is for the journal's default policies, and changes or exceptions can often be negotiated by authors. All information is correct to the best of our knowledge but should not be relied upon for legal advice."

www.sherpa.ac.uk/romeo

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We use the free [SHERPA/RoMEO](http://www.sherpa.ac.uk/romeo) tool to check publishers' self-archiving and copyright policies. It is available via the deposit page in Symplectic.

Most publishers permit deposit of the AAM.

Policies may include the requirement that the deposited copy is placed under an embargo from the date of publication; this period varies from 6 months to 5 years (although the longer period is rare).

We apply the embargo during the review/approval process in ORE.

Some publishers do not require any embargo. Some do not permit deposit at all; authors are still required to deposit in ORE in order to comply with REF and university OA policies, and we place the deposit under a permanent embargo. This is known as a 'closed' deposit under the REF OA policy, and is permitted: such outputs **are** REF-eligible.

Publishing open access

Closed access	Fully open access journals or platforms	Hybrid journals
<p>All articles “closed access”</p> <p>Access is purchased e.g. by institutions through journal subscriptions or by paying to access individual articles</p> <p><i>e.g. Nature Climate Change</i></p>	<p>All articles published open access with a licence e.g. CC BY</p> <p>May involve payment of an APC Not all journals charge fees</p> <p><i>e.g. npj Climate and Atmospheric Science</i></p>	<p>Articles published as closed access (no charge to author) or open access (after payment of an APC)</p> <p>Funder may require you to pay OA</p> <p><i>e.g. Climate Dynamics (Springer)</i></p>

openaccess@exeter.ac.uk

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3 types of journals / platforms

1. Closed access (subscription only)
2. Open access (all articles OA)
3. Hybrid (mixed)

Publish open access in fully open access or “hybrid” journals or on fully open access platforms.

The final full text will be immediately OA on publisher website with a licence e.g. CC BY that describes how the work can be reused. It will be freely accessible to all (not behind a subscription log-in / paywall). There may be a fee to pay in order to publish open access but not all OA journals / publishers charge fees to authors.

Or, publish on a traditional subscription basis on publisher website but make your AM open access by uploading to ORE.

Most publishers allow you to upload the AM, but they may impose an “embargo” on access. Upload upon acceptance, we will apply the embargo before approving to ORE.

Your funder might require you to pay for open access in a “hybrid” journal in order to meet their open access requirements.

[Pay to publish with open access](#) / [Funder open access requirements](#)

Funder requirements for open access

- Check your funder open access policy
- You may be able to comply by uploading AAM to ORE
- Journal **embargoes** can conflict with **funder requirements**
- If journal embargo exceeds funder maximum, pay for open access

e.g. NERC, EPSRC, ERC / Horizon 2020 – pay if embargo exceeds 6 months

www.exeter.ac.uk/research/openresearch/policies/funder/

If your paper acknowledges external funding, you may have open access obligations to your funder.

Check T&C of research grant, check [Your funder open access policy](#).

You may be able to meet their requirements by uploading to a repository e.g. ORE (also upload to PMC for Wellcome Trust, H2020, BBSRC, MRC)

Publisher embargoes can conflict with funder requirements.

If the publisher embargo exceeds maximum allowed by your funder, may need to pay for open access.

If paying for open access, many funders require licence CC BY (only)

UK Research Councils

Funders	AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC
Scope	Peer-reviewed research articles, non-commissioned reviews, conference papers Policy does not cover invited / commissioned reviews, monographs, book chapters
Self-archiving	Upload accepted manuscript to a repository with max 6 months embargo (STEM) MRC, BBSRC also upload to PubMed Central (PMC)
Paid OA	APC paid via UKRI open access block grant CC BY (only) licence Apply to openaccess@exeter.ac.uk upon acceptance (or submission to a full OA journal)

www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/

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[UK Research councils open access policy](http://www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/)

European Research Council (ERC), Horizon 2020

Output type	Peer-reviewed research publications
Paid open access	Costs are eligible to be charged to research grant during duration of award Creative Commons licences are suggested, but not mandated
Self-archiving	Upload <i>accepted manuscript</i> to a repository with max 6 months embargo (STEM) Use of subject specific repositories is encouraged

www.erc.europa.eu/funding-and-grants/managing-project/open-access

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[ERC open access guidelines](#)

[ERC open access overview](#)

[Horizon 2020 open access to scientific publications](#)

Publish open access at no extra cost



BRILL



WILEY



OXFORD
ACADEMIC



www.exeter.ac.uk/research/openresearch/oa/discounts/

We have agreements in place with publishers, often called “Read & Publish” or “offsetting” agreements – we pay a single annual fee to the publisher that covers our journal subscription access & OA publishing for UoE researchers. Or, we receive APC waivers or credits related to our previous journal subscription or OA publishing costs.

These differ between publishers e.g. some have unlimited OA publishing, others cap the number of articles, some include full OA journals, other only include hybrids. Check our website for up to date details: [APC discounts and waivers](#).

Corresponding author must be based at Exeter to benefit from discount / waiver. Identify your affiliation during submission, ideally using your institutional email address.

Request open access via the publisher forms, selecting the University of Exeter. Sign the open access licence e.g. CC BY 4.0.

Identify your funding during submission, so the publisher can offer you a compliant licence.

Many open access journals do not charge APCs as these are funded through membership or other models – check in [Directory of Open Access Journals \(DOAJ\)](#) – filter by those that don’t charge APCs. New open access journals often do not charge APCs for the first e.g. year, to generate submissions.

APC discounts



www.exeter.ac.uk/research/openresearch/oa/discounts/

We have discounts in place with other publishers.

Check our website for up to date details: [APC discounts and waivers](#).

Corresponding author must be based at Exeter to benefit from discount / waiver. Identify your affiliation during submission, ideally using your institutional email address.

Request open access via the publisher forms, selecting the University of Exeter. Sign the open access licence e.g. CC BY 4.0.

You may need to input a discount code – contact us for help with the process.

Author membership of associated society sometimes concurs benefits.

Consider requesting a full or partial APC waiver, if you have no funds to pay.

Central open access funds



www.exeter.ac.uk/research/openresearch/oa/paidoa/

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We administer 3 central open access funds

1. [RCUK/UKRI open access block grant](#)
2. [Wellcome Trust](#)
3. [Institutional open access fund](#)

To apply to one of these, email openaccess@exeter.ac.uk **upon acceptance** (apply upon submission to a fully OA journal)

Apply to us before you commit to paying a publishing fee – funds are limited and available on a first come first served basis – we cannot commit to paying until the point at which we raise a PO.

Other funders allow open access costs to be paid via the research grant e.g. ERC, Horizon 2020. Raise an “ad hoc” requisition in T1, use open access nominal 25910 (last 5 digits of code), we can advise which supplier to use if you are not sure.

Other publication charges

Including:

- Page charges
- Excess length charges
- Colour charges
- Figure charges
- Publication fees [not associated with open access]

openaccess@exeter.ac.uk

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When publishing in a fully open access journal, the APC you pay will cover all publishing costs.

“Other publication charges” may be charged in closed access or hybrid journals.

Not all publishers charge them and they are more common on some disciplines. Think about how to pay these before submitting to a journal that charges them.

Paying other publication charges

Some publishers waive other pub charges if you pay for open access.
Consider “colour online only” free of charge.

Request a waiver or discount.

Check if eligible costs to charge to research grant (not UKRI).

UKRI publication charges can be paid from UKRI OABG - please request waiver / discount first, before contacting us to apply for funding

openaccess@exeter.ac.uk

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If you are paying for open access, the publication / page charges may be automatically waived e.g. American Geophysical Union ([AGU publication fees](#))
Many publishers consider waiver or discount requests, particularly if you can justify your request
e.g. we have already paid XXX for open access; we do not have funds available to pay

Many publishers offer “colour online only” free of charge and only charge for printing in colour in paper journals.
If you opt for colour online only, your figures will be produced in colour online then printed in black & white.

Check if publication costs are eligible to be charged to the research grant (not eligible to be charged to UKRI grants).

If they cannot be waived & if the funder cannot pay, contact us.
Please request a waiver or discount of other publication costs first, before applying to us.

American Meteorological Society – open access

Upload AAM in Symplectic upon acceptance

Comply with REF 2021 and University open access policies

We can make Version of Record OA in ORE after a 6 month embargo

Comply with funders, e.g. NERC, EPSRC, ERC

We will replace the AAM for VoR for you in ORE after publication

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[AMS copyright policy](#)

AMS allow you to upload the accepted manuscript, but require that that it is replaced with the final published PDF 6 months after publication

Upload the AAM upon acceptance to comply with University policy and REF 2021 OA policy. We will replace the file in ORE with the published version on publication, under a 6 month embargo. This meets the requirements of funders including NERC, EPSRC, ERC, H2020

You do not need to pay for open access in AMS journals.

American Geophysical Union (AGU)

Many journals included in Wiley 'Read & Publish' deal i.e. OA publishing free of charge

For those that are not, Upload AAM in Symplectic upon acceptance
Comply with REF 2021 and University open access policies

We can make Version of Record OA in ORE after a 6 month embargo
Comply with funders, e.g. NERC, EPSRC, ERC

We will replace the AM for VoR for you in ORE after publication

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Deposit the AAM upon acceptance to comply with University and REF 2021 OA policies We place it under a temporary indefinite embargo until publication, at which point we will replace it with the published version, under a 6 month embargo. This meets the requirements of funders including NERC, EPSRC, ERC, H2020

You do not need to pay for open access in AMS journals.

AGU usage permissions: <https://publications.agu.org/author-resource-center/usage-permissions/>

“AGU allows authors to deposit their journal articles in institutional repositories if the version is the final published citable version of record, the AGU copyright statement is clearly visible on the posting, and the posting is made 6 months after official publication by the AGU”.

The AAM may be posted to authors' own websites or departmental websites.

American Meteorological Society – other charges

- Page charges of USD 145 per typeset page
- Colour charges

[AMS publication fees](#)

American Geophysical Union – other charges

- Publication fees of USD 0 – 1,000
- If publishing open access, publication fee is waived
- Excess publication charges of USD 125 “per publication unit”
- Fees vary by journal, check instructions to authors

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[AGU publication fees](#)

Open access – looking forwards

- Plan S
- Wellcome Trust policy 2021
- UKRI review of open access policy
- REF-after-REF-2021 OA policy



[Plan S / cOAlition S](#)

[Wellcome Trust OA policy 2021](#)

[UKRI open access review](#)

Further help?

openaccess@exeter.ac.uk

exeter.ac.uk/research/openresearch/



<http://www.exeter.ac.uk/research/openresearch/>

openaccess@exeter.ac.uk