

## Introduction to Open Access: Transcript.

**Matt Mahon, 2021-02-11.**

### *Slide 1*

Hi, welcome to this introduction to open access. My name is Matt, I'm a member of the Research Information Management team.

### *Slide 2*

**Open Access** is the principle that a research output should be made available free of charge, with no barrier to access.

The copyright holder of an output can make it open access by applying an **open access licence** to it.

For example, a journal article or dataset with an open access licence can be accessed and reused by anyone, and there will be no (or very few\*) restrictions on how people can reuse the item.

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There are lots of benefits to making your work open access:

- It means more exposure, and higher citation rates – your open access outputs will be referred to by more people in their own publications.
- Your work is available to a wider audience without subscription. This means that people who don't have access to sources such as University libraries can read your work – this might be researchers in developing countries, practitioners and policy makers, or members of the public.
- Funders are also keen on open access because it means more people can see the results of research, which represents better value for money for the taxpayer who often funds much of the research.

You can find more info on the history of Open Access in this video.

### *Slide 4*

There are a few different ways to achieve open access. If you're making something available yourself (like a dataset or a report or some other grey literature) you can choose to licence it yourself. But if you want something that's published to be open access, you need to follow the publishers' open access policy.

Some journals are 'fully open access' – everything in the journal is automatically open access. Sometimes this is free, but more often the journal will apply a publication charge to every article, to replace the income they would have received from subscriptions.

Some journals don't automatically publish articles open access, but they allow authors to deposit the text of the final accepted manuscript in an online repository where it can be made open access after an embargo period of up to two years. These journals can sometimes make articles open access immediately, but apply a processing charge for this.

We call it 'Gold' open access when it is paid for, and 'Green' when it is free.

The University's approach is to take the free route wherever it is possible to do so.

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So what do you need to do to make sure your articles and conference proceedings are open access? It's simple – notify us as soon as you have a paper accepted. We will advise you on the best route to open access for your article.

#### *Slide 6*

Once you notify us, we'll make a record for your publication in Enlighten, our publications repository. If the publisher lets us, we'll deposit a copy of the accepted manuscript that you provide.

#### *Slide 7*

Everything in Enlighten that has a funders' reference for a grant that requires a return will be uploaded to the Researchfish reporting tool. For staff, we also use Enlighten to populate the publications section of your Performance and Development Review (the form used to discuss achievements and forward planning with your manager).

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The main sources of open access requirements are the University, funders and the REF.

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There is some good guidance in the University's policy documents and we recommend that you read them.

University of Glasgow's approach is that outputs should be made open access wherever possible.

Journal articles and conference proceedings can usually be made open access via the Gold or Green route.

Research Data should be made open access wherever it is possible to do so. Good reasons for restricting access might be that your data contains personal information, or is in copyright, or you need to embargo it for a patent application.

#### *Slide 10*

Some funders have open access requirements. You should consider these before submitting an article.

#### *Slide 11*

If you received funding for your research, you should always include an acknowledgement of your funding in the correct format. Always include the funders' reference number in the acknowledgement. If you don't acknowledge the funder, we may not be able to pay for Gold open access where the paper is eligible for our Open Access funds.

#### *Slide 12*

Before you submit an article, make sure that the journal's open access policy fits with what your funder requires. These policies will be updated in 2021, and we will issue new guidance if anything changes.

- Outputs must be made open access with a maximum embargo of 6 months (STEM) or 12 months (Arts and Social Sciences).
- UKRI policy applies to peer-reviewed research articles, non-commissioned reviews, systematic reviews, Cochrane Reviews and conference proceedings acknowledging past or current grants or studentships
- Mandatory page charges and supplements will be covered if we are paying for open access. We do not pay for optional charges like colour covers.
- The UKRI fund is finite. When it runs out, the embargo periods are extended.
- Includes NC3Rs (National Centre for the Replacement Refinement & Reduction of Animals in Research)
- A CC-BY licence is required if we are paying.
- Papers with a biomedical theme must be deposited in PubMed Central. This is usually Medical Research Council, sometimes Biotechnology and Biological Sciences Research Council or other research councils.

#### *Slide 13*

There are several other funders who provide support for open access.

Policies vary but generally apply to peer-reviewed original research and review articles that acknowledge past or current grants or studentships.

- A CC-BY licence is usually required if the funder pays.
- Biomedical articles must generally be deposited in PubMed Central
- The funders have differing procedures – some provide us with funds, others ask us to apply directly to them.

- The funders at the top right – Wellcome Trust, Chief Scientist Office, Cancer Research UK, National Institute for Health Research (NIHR) and Versus Arthritis all have funding for open access. Most of these we have block grants or can assist with accessing funds. For Versus Arthritis authors should request open access funding on grant applications.
- For Blood Cancer UK and Parkinson's UK – contact [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk) as new policy not yet released and we will need to contact them to ask if they will fund new cases.
- Note that British Heart Foundation usually fund open access but do not have budget for this at present.

You can find details of the funders' procedures at the link at the bottom of this slide.

Remember also the University policy is to use the 'green' route where available so payment is not always necessary.

Again, check that the journal's policy matches your funder requirements before submitting your paper. If you're not sure, email us at [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk).

#### *Slide 14*

Wellcome Trust has a new policy which applies to Original Research Articles submitted from 1st January 2021.

This means articles must:

- Be freely available on PubMed Central
- Have a CC-BY licence (an exception is possible for a non-derivative licence by application)
- And the author must include a statement of acknowledgement on submission to publisher:

This allows the author to make the accepted version open access e.g. via the University repository 'Enlighten' and Europe PubMed Central even if the publisher does not offer a compliant open access route or funds are not available to pay the publisher.

Wellcome will only fund submissions to fully open access journals or those transforming to open access.

Authors are also encouraged to share pre-prints – early drafts before peer-review.

Require open access for books and book chapters.

#### *Slide 15*

The University has a number of arrangements with different publishers to lessen the cost of open access, and in some cases to get open access for free for all items by UofG authors. These deals are updated quite frequently, so check our Publisher Arrangements page to see whether any apply to you and contact [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk) if you want to check if your paper can be covered by a deal.

### Slide 16

The other main driver of open access is the Research Excellence Framework.

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The Research Excellence Framework (REF) is a process of expert review of research outputs across UK universities. The exercise:

- Provides accountability for public spending on research,
- Provides benchmarking for the quality of outputs
- Informs the selective allocation of funding to universities.

For each submission, three distinct elements are assessed: the quality of **outputs** (e.g. publications, performances, and exhibitions), their **impact** beyond academia, and the **environment** that supports research.

**Articles and conference proceedings submitted to REF must be open access!**

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**The Ref policy applies to articles and conference proceedings\* accepted for publication from 1<sup>st</sup> April 2016**

The output must have been deposited in a repository as soon after the point of **acceptance\*** as possible, and no later than **three months** after this date.

- Author Accepted manuscript – **final agreed text** before publisher adds logos and mark-up
- We **must** evidence it is in our repository
- It **may** be a closed deposit

The author is responsible for ensuring that this policy is followed.

There are limited exceptions that might be applied in rare cases.

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Outputs must be made open-access.

REF accepts longer embargo periods than most funders:

- 12 months for Science, Technology and Medicine
- 24 months for Arts and Social Sciences

**MYTHBUSTER** - It is not necessary to pay an open access charge to comply with REF open access requirements.

### *Slide 20*

So just to summarise what you need to do:

When a paper is accepted, make sure it is added to Enlighten:

- Notify [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk)
- **Include the final accepted manuscript**
- Include award\* numbers on papers
- **Don't agree to pay if don't have confirmation that we can pay, or if you don't have local funds**
- Use University email address and affiliation

### *Slide 21*

We will check the funder requirements and the publisher's policy, and advise you on how to proceed. If appropriate, we'll arrange payment from the funds we hold.

If you're taking the green route, we'll deposit the manuscript and make it available after the embargo period expires. We'll also check compliance and report to funders.

### *Slide 22*

If you've got some research data that you need to make open access, take a look at our research data management pages, where you will find guidance documents and info about training courses.

### *Slide 23*

Here are some other hints and tips you might find useful:

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You should make sure you can identify whether a journal is trustworthy.

- Most publishers are reputable.
- Beware of those that do not deliver appropriate standards of peer review and service.
- These are sometimes known as 'predatory' journals.
- Use a practical checklist such as <https://thinkchecksubmit.org/> to help identify trusted journals
- Trusted journals will usually be indexed in a suitable database.

### *Slide 25*

You should make sure that authors are appropriately credited for the work that they have contributed to an output. The University recommends the Credit taxonomy of authorship. You can find more information on our open access pages.

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Thanks for watching. If you've got any questions, you can contact us at [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk) for enquiries about publications, or [research-datamanagment@glasgow.ac.uk](mailto:research-datamanagment@glasgow.ac.uk) for enquiries about data.