**Introduction to Open Access: Transcript.**

**Valerie McCutcheon, 2021-08-19**

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Hello and welcome to this introduction to open access at the University of Glasgow. My name is Valerie, and I am a member of the Research Information Management team.

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

\*Common restrictions include: the author must be acknowledged; any derivative work must also be open access; only non-commercial reuse permitted.

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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 may 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 do not 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 taxpayers who often fund much of the research.

AND... open access is included in the University criteria for academic promotion.

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There are a few different ways to achieve open access. If you are making something available yourself (like a dataset, a report or grey literature) you can choose to licence it yourself. But if you want something that is published to be open access, you need to be aware of the publishers’ open access policy and check any correspondence and agreements they send you.

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 charge to every article.

Some journals do not 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. These more traditional subscription or hybrid journals sometimes make articles open access immediately but apply a processing charge for this.

When the version of record is freely available on the publisher site, this is often referred to as 'gold' open access and when the accepted version is available on a repository without charge this is often referred to as ‘Green’ open access.

The University’s approach is to take the green route wherever it is possible to do so.

Before you submit a manuscript, you need to think about how any mandatory costs will be covered.

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So, what do you need to do to make sure your articles and conference proceedings are open access? It is simple – notify research-openaccess@glasgow.ac.uk as soon as you have a paper accepted. We will advise you on the best route to open access for your article. Ideally send us the author accepted manuscript – that is the final agreed text but before publisher logo or mark-up is added.

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

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Everything in Enlighten that has the correct funders’ reference for a grant that requires a return will be uploaded to the Researchfish reporting tool that some funders ask grant holders to submit information to. 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 Research Excellence Framework exercise (REF).

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

The 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 to part of the data might be that it contains personal information, or is in copyright, or you need to embargo it for a patent application.

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

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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 do not acknowledge the funder, we may not be able to pay for Gold open access where the paper would otherwise be eligible for our Open Access funds.

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UK Research and Innovation (UKRI) are one of the biggest funders of research at the University.

Current UKRI policy applies to peer-reviewed research articles, non-commissioned reviews, systematic reviews, Cochrane Reviews, and conference proceedings acknowledging past or present grants or studentships. Mandatory page charges and supplements will currently be covered if we are paying for open access. We do not pay for optional charges like colour covers.

UKRI require journal articles and conference proceedings to be made open access with a maximum embargo of 6 months (Science, Technology, Engineering, and Mathematics (STEM) or 12 months for (Arts and Social Sciences).

The UKRI fund is finite. When it runs out, the embargo periods are extended.

A CC-BY licence is required if we are paying for open access.

Papers with a biomedical theme must also be deposited in Europe PubMed Central. (This is usually Medical Research Council, and sometimes Biotechnology and Biological Sciences Research Council or other research councils). Sometimes the publisher will deposit in PubMed and sometimes we ask the author to arrange this.

A new policy applies to UKRI funded articles and conference proceedings submitted from the 1st of April 2022.

Articles and conference proceedings must be open access immediately with a CC-BY licence whether via the gold or green route.

Authors using the green route will be expected to include a standard declaration with their submission to a publisher. The declaration must state that they retain the right to post their accepted manuscript on a repository with a CC-BY licence.

UKRI will not pay open access fees for hybrid subscription journals except if they are on a list of transformational journals.

UKRI also recommend the use of pre-prints – early drafts before peer-review.

There are some exceptions to these requirements.

There is also a new open access books policy coming into force in 2024

Further guidance on University of Glasgow support for these policy changes will be provided by the University in advance of April 2022.

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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 present grants or studentships to the University.

•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 the University with block grants for open access, others ask us to apply directly to them.

The funders listed on this slide all typically provide funding for open access, and we can usually help you access these funds. Some funders will allow you to apply for open access funds in your grant application. Check the terms of the funding call.

You can find details of the funders’ policies via the link at the bottom of this slide.

<https://www.gla.ac.uk/myglasgow/openaccess/howdoimakemypublicationsopenaccess/otherfundsforopenaccess/>

Also remember 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 are not sure, email us at research-openaccess@glasgow.ac.uk.

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The 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 Europe PubMed Central

•Have a CC-BY licence

•And the author must include a statement with their submission to publisher

This statement 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 and are required to do so where there is a significant public health benefit

Wellcome Trust also require open access for books and book chapters and provide funding to support this.

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The University has arrangements with some publishers to lessen the cost of open access, and in some cases to get open access for free for articles by University of Glasgow authors. These arrangements are updated quite frequently, so check our Publisher Arrangements page to see whether any apply to you and contact research-openaccess@glasgow.ac.uk if you want to check if your paper can be covered by one of these arrangements.

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

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The Research Excellence Framework (REF) is a process of expert review of research outputs across UK universities that takes place every few years. The exercise:

•Provides accountability for public spending on research,

•Provides benchmarking for the quality of outputs

•And informs the 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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**REF Open Access requirements as defined in the 2021 REF exercise continue to apply to articles and conference proceedings that may be submitted to a future REF**

The Author Accepted manuscript – the **final agreed text** before the publisher adds logos and mark-up - 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.

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

There are limited exceptions.

It is the author's responsibility to notify research-openaccess@glasgow.ac.uk when an article or conference proceeding is accepted.

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REF accepts longer embargo periods than most funders:

•12 months for Science, Technology, Engineering, and Mathematics

•24 months for Arts and Social Sciences

If the library has been notified and the author has provided the accepted manuscript the library can release the full text after any publisher embargo. The author does not need to remember to do this.

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So just to summarise what authors need to do:

When a paper is accepted, make sure it is added to the University publications system 'Enlighten':

•Notify research-openaccess@glasgow.ac.uk

•**Include the final accepted manuscript**

•Include award\* numbers in the acknowledgements of papers

•**Do not agree to pay unless you have confirmation that we will pay, or you plan to pay from local funds**

•Always use university email address and affiliation**. This facilitates access to some of the publisher arrangements.**

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

If authors are taking the green route, we will deposit the manuscript and make it available after the embargo period expires. We will also check compliance and report to funders.

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If there is research data that you need to make open access, look at our research data management pages, where you will find guidance documents and info about training courses.

 <https://www.gla.ac.uk/myglasgow/datamanagement/>

Remember to include a data statement on papers. This is a statement explaining where data underpinning a publication can be accessed, ideally with a link to the dataset record in a repository. You should also include a statement declaring where there was no new data created or restrictions apply.

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Here are some other hints and tips you might find useful

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Most publishers are reputable.

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

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.

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Thanks for listening. If you have any questions, you can contact us at research-openaccess@glasgow.ac.uk for enquiries about publications, or research-datamanagment@glasgow.ac.uk for enquiries about data.