

Open publications

Research Services Essential Series

Open Research Team

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Open Research team

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

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<http://www.exeter.ac.uk/research/researchdatamanagement/support/contact/>

Agenda

- What is open research?
- Why publish open access?
- Open access, Symplectic and ORE
- Open access policies
- Publishing open access on the publisher website



Open research

Open research involves openness throughout the research lifecycle:

- Openness as part of project planning / concept
- Open notebook science
- Making research methodology, software, code freely available
- Open peer review
- **Open access to publications**
- **Open data**

doi.org/

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Open research lifecycle:

[Grigorov, Ivo. et al. \(2016\) 'Research Lifecycle enhanced by an "Open Science by Default" Workflow', Zenodo. DOI: 10.5281/zenodo.49960](#)

Wikipedia: **Open-notebook science** is the practice of making the entire primary record of a research project publicly available online as it is recorded. This involves placing the personal, or laboratory, notebook of the researcher online along with all raw and processed data, and any associated material, as this material is generated.

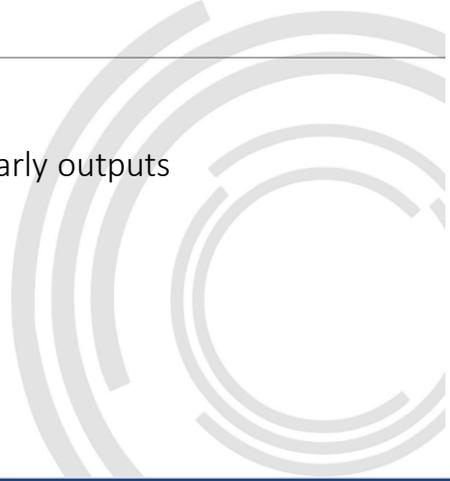
Open peer review includes e.g. the author and reviewer identities are disclosed to each other during the peer review process, unlike the traditional peer review process where reviewers are anonymous except to the editors; making reviewers' reports public, rather than disclosing to the authors only, (this may include publishing authors' replies and editors' recommendations); allowing self-selected reviewers to comment on an article, rather than (or in addition to) having reviewers selected by the editors.

Some publishers which practice various modes of open peer review: BMC, Copernicus Publications, PloS

What is open access?

Free and immediate online access to scholarly outputs

Re-use rights



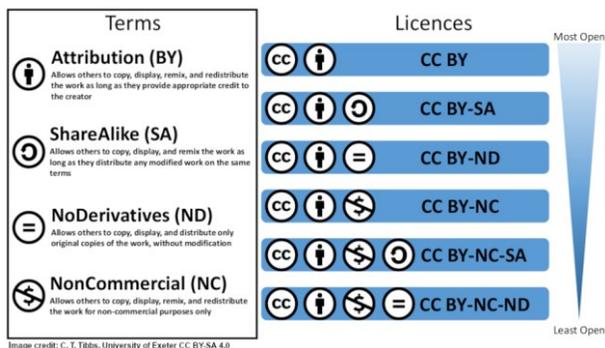
www.exeter.ac.uk/research/openresearch/about/explained/

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There are two key aspects to open access – access and reuse

“free, immediate, online availability of research outputs” – publications made available as open access can be read and downloaded by anybody anywhere in the world with an internet connection

Creative Commons licensing



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

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The second key aspect of open access = “the rights to re-use those research outputs fully in the digital environment”

Open access requires licensing that allows sharing and re-use.

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

These 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.

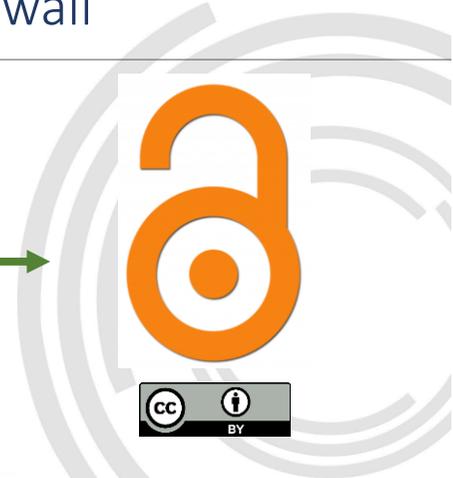
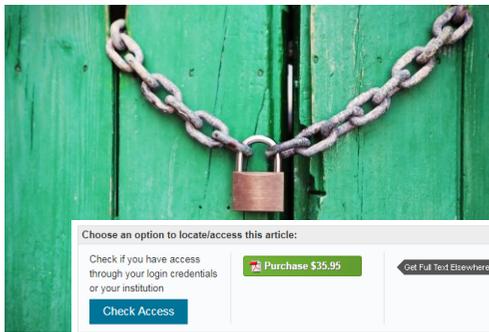
e.g.

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 means no paywall



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

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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 those who can afford to pay to download it.

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

Open access means research findings are freely available to everybody including all those people who couldn't otherwise access them, with a licence that allows others to reuse and build upon the research.

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

[About open research](#)

Open access research is more visible



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

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Open access:

- increases visibility and readership of your work
- can lead to higher citations and greater impact for your research
- can lead to collaboration opportunities
- raises the profile of University of Exeter research
- accelerates scientific progress, as others build on your research
- can help individuals make better decisions, e.g. health, housing
- can inform organisational and governmental policy

Making work open access (OA)

Pre-printing

Make the pre-peer reviewed version OA on a preprint server, free of charge

Self-archiving

Make the 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 the publisher's 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'

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

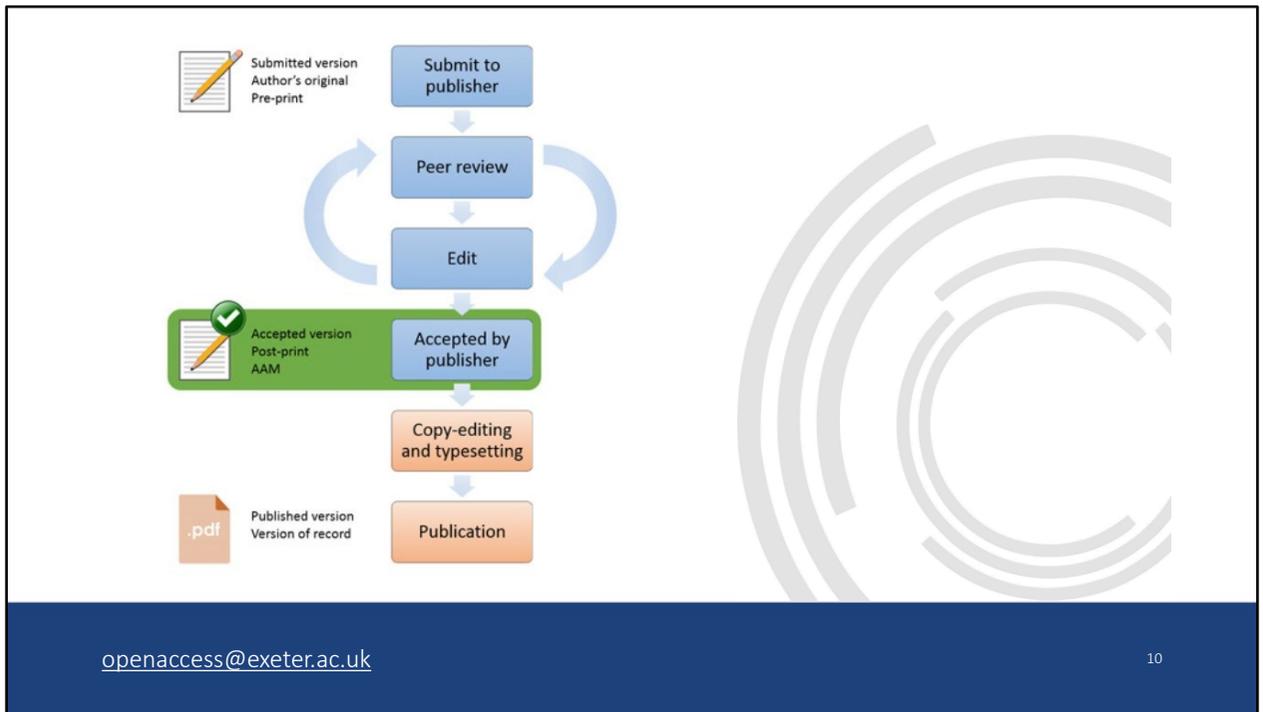
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These are the main routes to open access:

1. Pre-printing: make the pre-peer reviewed version OA on a preprint server, free of charge
2. [Deposit in a repository](#) – accepted manuscript; there are no charges associated with this route
3. Publish your work as open access on the publisher website. This often, but not always, involves [payment of a fee to the publisher](#).

NB: these are not the only routes to OA.

This applies for multiple output types e.g. journal articles, conference papers, monographs, chapters



This presentation refers to different versions of an output. It talks about what authors might want to do with each version, and what they may be required to do with some versions, by their funder or the university.

For journal articles, versions include the:

- pre-print (submitted version, pre peer-review)
- author accepted manuscript (following peer review and amendments)
- published version, which includes the publisher's typesetting, formatting and copy-editing

This graphic describes the article publishing process. For monographs and chapters, the publishing process may be different, often with a less clearly defined 'point of acceptance'. However, the principle of the accepted manuscript still applies, i.e. the version following peer review and subsequent amendments but without the publisher's final typeset and formatting.

Sharing preprints



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One of the earlier versions authors might want to share is the pre-print, which in many disciplines is the pre-peer review manuscript draft, which may or may not have been submitted to a journal or other publication.

However, there is some variation in terminology between disciplines, often because of the differences in the publication process across different outputs types, e.g. journal articles, book chapters

The traditional publishing process from submission through acceptance to publication can take months (or even years in some disciplines). This is e.g. while the journal finds reviewers, the reviewers comment, the paper is revised, there is sometimes another review, or rejection and resubmission to another journal. Throughout this process the research findings are not publicly available.

Pre-prints can be shared as open access on pre-print servers. These are often discipline specific, e.g.

https://en.wikipedia.org/wiki/List_of_academic_preprint_repositories

<https://asapbio.org/preprint-servers>

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

But – check what the publisher allows before posting!

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Many journals accept submission of work previously posted on a pre-print server, but not all.

Check the policies of your target journals / publisher before posting your pre-print to a preprint server.

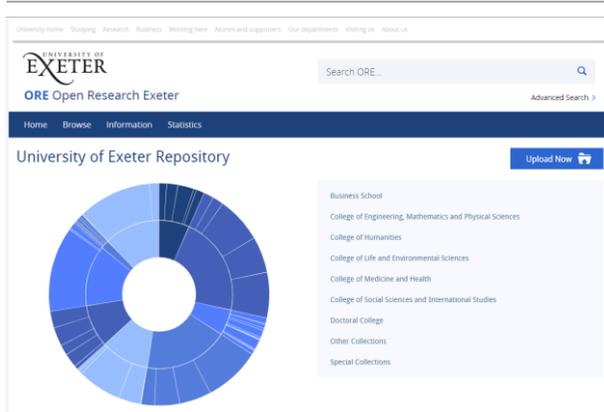
The benefits of sharing preprints include:

- Research findings can rapidly be communicated to the entire scientific community
- Authors can get credit for their work by posting it online with a date stamp, as soon as the discovery is made
- Pre-prints can be included in funding applications / job applications
- Authors can get feedback on their work before submitting to a journal – from a wider audience than just a few reviewers in the traditional workflow
- The visibility of research is likely to increase, which in turn may increase citations to the work

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
- Exeter's repository is Open Research Exeter (ORE)

Open Research Exeter (ORE)



ore.exeter.ac.uk/repository/

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The University of Exeter's institutional repository is Open Research Exeter ([ORE](#)).

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

Items in ORE are very discoverable and appear high up in popular search engine results.

Each item in ORE has a unique persistent online identifier ('handle' or URL). This can be used to point to the work in citations, on social media etc.

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”

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University [Open Access Research and Research Data Management Policy](#)

REF 2021 open access policy

Eligibility for submission to the 2021 REF:

- Journal articles and conference contributions with an ISSN
- Accepted for publication after 1 April 2016
- Published on or before 31 December 2020
- Must be deposited in a repository within 3 months of acceptance

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[REF 2021 open access policy](#)

UKRI is updating *its* OA policy, and is now in phase 4 (November 2020 - 2nd quarter 2021), i.e. finalising and publishing the policy. UKRI and the UK HE funding bodies (which run the REF) are “seeking policy commonality to aid compliance and promote OA,” with the intention that compliance with UKRI policy = compliance with the OA policy for the REF-after-REF 2021.

“Informed by the outcomes of UKRI’s review, the UK HE funding bodies will launch a detailed REF-specific OA consultation no later than six months after UKRI’s policy is announced, which will inform their decisions on the OA policy for the REF-after-REF 2021.

The Research Councils UK (RCUK) Policy on Open Access and REF 2021 OA policy should continue to be followed until further notice. No changes will be made to the REF 2021 OA policy”.

<https://www.ukri.org/wp-content/uploads/2020/10/UKRI-231020-OpenAccessReview-Consultation25Mar20.pdf>

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 submitted.

In order to be eligible for submission, REF 2021 policy requires the AAM to be uploaded to a repository within 3 months of acceptance.

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

Upload upon acceptance via Symplectic to ORE

The diagram illustrates the process of uploading an author-accepted manuscript to the Open Research Exeter (ORE) repository. On the left, the 'Symplectic Elements Login' form is shown, with fields for 'Username:' and 'Password:', and a 'Login' button. Below the form, a note states: 'Symplectic Elements is the central publication management system for use by the University of Exeter.' In the center, the text 'Author accepted manuscript' is positioned above a red Adobe PDF icon and a blue arrow pointing to the right. On the right, a screenshot of the 'University of Exeter Repository' website is displayed. The website header includes the University of Exeter logo, 'ORE Open Research Exeter', and a search bar. The main content area features a circular sunburst chart representing the repository's structure, with a list of departments on the right: Business School, College of Engineering, Mathematics and Physical Sciences, College of Humanities, College of Life and Environmental Sciences, College of Medicine and Health, College of Social Sciences and International Studies, Doctoral College, Other Collections, and Special Collections. An 'Upload Now' button is visible in the top right corner of the repository page.

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

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All deposits come into a taskpool, where they are reviewed by the Open Research team before making them available in ORE. We check that the file you uploaded complies with what the publisher allows.

There are no charges associated with this option, also referred to as 'green' open access.

This is the University's preferred route to open access.

What do publishers allow?

- Many publishers allow you to deposit the AAM
- Generally, you may only deposit one chapter or 10% of a monograph
- They may require an embargo
- Deposit on acceptance; we will apply the embargo

Many publishers allow you to make your work freely available on your own personal website or webpage. They may require that an embargo is applied, i.e. a period of time before the article is open access in ORE).

ResearchGate: publishers often make it clear whether you can deposit in an institutional repository, but ResearchGate is an academic social networking site not a repository, so permission to deposit in a repository does not equate to permission to post in ResearchGate.

ORE is moderated, so we check all deposits. We guarantee long term storage and preservation of your outputs. ResearchGate is a commercial enterprise; there is no guarantee of long-term preservation of outputs.

Unless the publisher specifies that you can, assume you cannot post the full text on ResearchGate or other social networking site. If in doubt check with the publisher or editor what they allow you to do.

Embargoes

What?

The period of time before a publication in a repository is available as open access

Why?

Publishers' requirements

How long?

Varies: from 6 months to (!) 5 years. Typically 6-24 months, depending on discipline

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

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The Request a Copy feature in ORE allows individuals to request a copy of a work which is under embargo. Embargoes are in place in order to comply with publisher requirements or - for theses - at the author's request so as to enable publication of the research.

Consequently, we are unable to make embargoed material available directly from the institutional repository. However, authors are entitled to distribute embargoed manuscripts on a one-to-one basis, and the Open Research team administer this feature as a means of facilitating that contact.

Check what publishers allow

Open Research staff apply required embargoes.
Check your funder policy to see if the embargo means you need to pay for open access; apply to openaccess@wester.ac.uk

Test deposit
Ward Smith IT, Animal Behaviour

Deposit advice

Institutional advice | **SHERPA / RoMEO advice**

For Animal Behaviour:

- ✓ Author can archive **submitted version** (i.e. pre-refereeing)
- ✓ Author can archive **accepted version** (i.e. final draft post-refereeing)
- ✗ Author **cannot** archive **publisher's version / PDF**

Conditions:

- Authors pre-print on any website, including arXiv and REPEC
- Author's post-print on author's personal website immediately
- Author's post-print on open access repository after an embargo period of between 12 months and 48 months
- Permitted deposit due to Funding Body, Institutional and Governmental policy or mandate, may be required to comply with embargo periods of 12 months to 48 months
- Author's post-print may be used to update arXiv and REPEC
- Publisher's version PDF cannot be used

1. Prepare deposit (step 1 of 2)

Upload files from your local machine:

Choose file: No file chosen

Publication Information

Title: Atmospheric Chemistry and Physics - Single
ISSNs: Print: 1680-7316
Electronic: 1680-7324
URL: <http://www.atmospheric-chemistry-and-physics.net/>
Publishers: European Geosciences Union (Society Publisher)
Copernicus Publications (Commercial Publisher)
DOAJ Listing: <https://doaj.org/doi/10.1680/7316>
Requires APC: Yes (Data provided by DOAJ)

Publisher Policy

Open Access pathways permitted by this journal's policy are listed below by article version. Click on a pathway for a more detailed view.

Version	None	CC BY	CC BY-NC	CC BY-NC-ND
Published Version	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accepted Version	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Submitted Version	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For more information, please see the following links:
• [Example Policy](#)

v2.sherpa.ac.uk/romeo/

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To discover what publishers allow, check the SHERPA/RoMEO advice in Symplectic at the point of uploading the file.

Or use [SHERPA/RoMEO](http://www.sherpa.ac.uk/romeo/) direct. It is a database of publisher copyright and self archiving policies FOR JOURNALS. Be aware that records can be difficult to interpret.

You can also check individual publisher websites, or publishers may outline their policies in the acceptance email or in your publishing agreement / licence to publish.

For monographs and chapters: policies are often available online, but we often need to contact smaller publishers to ask permission to deposit / check their policy

Publishing open access on publisher website

Not all publishers charge fees to authors

Publisher Agreements include OA publishing at no extra cost

There may be a fee to pay e.g.

APC = Article Processing Charge

BPC = Book Processing Charge or open access by the chapter

We have discounts with some publishers

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

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You have the option to publish open access on the publisher website, when publishing in fully open access or “hybrid” journals, conference proceedings, book chapters, monographs and other output types. “Closed access” or subscription only journals do not have the option to pay for OA and it is not offered by all publishers of monographs but you can often make all or part of your work OA by uploading to ORE.

When publishing OA on the publisher website, the final full text (and any earlier versions that are posted) will be immediately OA on the publisher website with a licence such as [CC BY](#).

Not all publishers charge fees to authors, but [there may be an \(open access publishing\) fee to pay](#).

E.g. APC = Article Processing Charge (£200 - £5,000)

BPC = Book Processing Charge (£3,500 - £15,000)

Pay for open access by the chapter (~£1,500)

Even if you publish with open access on the publisher website, also deposit to ORE to comply with University policy and maximise the visibility of your work.

Publishing open access

Closed access	Fully open access journals or platforms	Hybrid journals
<p>All articles 'closed access'</p> <p>Access is purchased by institutions through journal subscriptions or by paying to access individual articles</p>	<p>All articles published open access with a licence e.g. CC BY</p> <p>May require payment of an APC Not all journals charge fees</p> <p>Apply to us for OA Funding</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 publish OA</p> <p>Publish OA at no extra cost in hybrid journals in Transformative Agreements</p>

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3 types of journals / publishing platforms

Closed access (subscription only)

Open access (all articles OA)

Hybrid (mixed)

You can publish open access in fully open access or 'hybrid' journals, or on fully open access publishing platforms.

The final full text will be immediately OA on the publisher's 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 the publisher's website but make your AAM open access by uploading 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](#)

Publishers that don't charge OA publishing fees

Journals - many journals listed in Director of Open Access Journals (DOAJ) do not charge fees to authors – filter by “no APC”

<https://doaj.org/>

Monographs – publishing may be funded by societies / institutions, may subsidise OA online by sales of print copies or enhanced PDF

doaj.org/

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Many open access journals do not charge APCs as these are funded through membership or other models.

New open access journals often do not charge APCs for the first e.g. year, to generate submissions.

Some open access journals are run by volunteers, who give their time on a voluntary basis to support OA publishing.

Identify full OA journals that do not charge publishing fees on [Directory of Open Access Journals \(DOAJ\)](#)

When publishing an OA article or monograph, even if the publisher does not charge fees to authors as standard, they may ask you to pay a small amount to cover the cost of publication.

Fully open access publishers do not have subscription income as hybrid publishers do.

Non-profit publishers will not be making a profit from any OA publishing fee that you pay.

We have funds available to pay to publish OA



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

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We administer 3 central open access funds

[RCUK/UKRI open access block grant](#)

Wellcome Trust

[Institutional open access fund](#)

We also have a very small grant from British Heart Foundation in 2020-2021.

To apply to one of these, email openaccess@exeter.ac.uk

Apply upon submission to a fully open access 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.

Contact us upon acceptance to discuss your OA options when publishing in a “hybrid” journal.

All our central OA funds are managed according to our [Policy for managing UOE central OA funds](#)

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.

Funders that require open access



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

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Publisher imposed embargoes can conflict with funder requirements.

If your paper acknowledges external funding (held by you or your co-authors), need to publish in compliance with funder open access policy.

Check [Your funder open access policy](#) e.g.

[UK Research councils open access policy](#)

[Wellcome Trust open access policy](#)

[Wellcome Trust OA policy 2021](#)

[ERC open access overview](#)

[ERC open access guidelines](#)

[NIHR open access policy](#)

Funder open access policies vary in what types of output they apply to e.g. articles, conference proceedings, chapters, monographs

Funders typically specify a timeframe within which your work should be made open access, this equates to a maximum allowed embargo.

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 OA with CC BY
- We can pay APCs in hybrid journals only if essential for funder compliance as per our [policy for managing central OA Funds](#)

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, and/or check [Your funder open access policy](#).

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

However, publisher embargoes can conflict with funder requirements.

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

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

Transformative Agreements with publishers



BRILL



WILEY



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

We have signed up to [Transformative Agreements](#) with publishers – we pay an annual fee to the publisher that covers our journal subscription access & OA publishing for UoE researchers.

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 have a current Uni of Exeter affiliation and an active Symplectic account

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.

Plan S



openaccess@exeter.ac.uk

[Plan S / cOAlition S](#)

[Wellcome Trust OA policy 2021](#)

[UKRI open access review](#)

Other things to remember when publishing

- Acknowledge your funder, including grant number
- Include a data access statement
- Are there any other publishing fees e.g. page charges or colour fees?
- Check if your chosen publication venue charges open access fees
- Apply to us upon acceptance for open access funding
- Apply upon submission to a fully open access journal

openaccess@exeter.ac.uk

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[Data access statement](#)

If the publisher charges publishing fees, consider how you will pay these before submitting.

If you have no funds to pay, consider requesting a waiver.

Consider choosing “colour online only” free of charge (publisher may charge for printing in colour only).

Further help?

openaccess@exeter.ac.uk
exeter.ac.uk/research/openresearch/

