Open Access Journals, Subvention Funding, OA Policy, and Public Access Compliance

Health Professions Educator Series
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Libraries

Slides: https://bit.ly/OA-VTCSOM

Today's Outline

- Overview of Open Access (OA)
- OA Journal Selection
- Virginia Tech OA Subvention Fund
- Virginia Tech Intellectual Property & OA Policy
- Depositing / Sharing Works OA on VTechWorks
- Public Access & Open Access

Overview of Open Access

What is Open Access?

As defined by Springer:

At its most fundamental Open Access is when publications are ***freely available online to all at no cost and with limited restrictions with regards reuse***. The unrestricted distribution of research is especially important for authors (as their work gets seen by more people), readers (as they can access and build on the most recent work in the field) and funders (as the work they fund has broader impact by being able to reach a wider audience).

As defined by the University Libraries at Virginia Tech:

Open Access refers to the removal of price and permissions barriers to peer-reviewed research.

Open access can be achieved by:

- Publishing in an open access journal, or
- Depositing an article version such as an accepted manuscript or preprint into a repository

Value & Benefits of Open Access

More exposure for your work

Practitioners can apply your findings

Researchers in developing countries can see your work

Higher citation rates

Taxpayers get value for money

Compliant with grant rules

The public can access your findings

Your research can Influence policy

Challenges of Open Access

"Predatory" publishers

Stigmas

- Pay-to-publish
- Vanity presses

Article Processing Charges (APCs) can be **_very_** high per article

Selecting OA Journals for Publication

- Scope / Purpose / Audience
- Rigor / Reputation
- Findability / Discoverability
  - (Ulrichs states where indexed)
- Impact in the field (IF)

Open Access
- Funding agency policy
- Agreements & APC:s
- Open data

Journal processes
- Peer review & editorial work
- Submission & acceptance

Database indexing
- Visibility & citability
- Quality stamp

Subject & audience
- Scope of the journal
- Subject specificity & multidisciplinarity

Recommendations
- University policy
- Co-authors & colleagues

Impact & quality
- Journal impact factor
- Questionable journals

Selecting OA Journals for Publication

Be sure to:

Checklist available!

Books & Chapters

Journals

(does require some time to dig and find the information!)

Open Access in General:

University Libraries
Open Access Subvention Funding
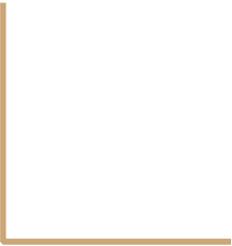
As you go through the journal selection process:

Consider what funding (if any) you have available for OA Article Processing Charges (APCs) *before* you select a journal to submit.

1. Grant funds
   a. "easy" to add to budget request
   b. May not be option for smaller grants
      i. e.g. some stipulate what funds can be used for
2. Department / college
   a. Funds can be used to pay APCs (some depts allocate certain amount)
3. Open Access Subvention fund (from library)
   a. Last resort; max. $1500 APC, no cost sharing
   b. Some discounts available

VT Open Access Subvention Fund

- Funds are available to underwrite article processing charges (APCs) for scholarly peer-reviewed articles accepted for publication in open access journals.
- All current Virginia Tech faculty, staff, and students; VTCSOM students; and VTCSOM faculty who are employed by Carilion Clinic are eligible.
- OASF support is not available if a grant supported the research upon which the article is based. (Some exceptions apply, e.g., the grant does not support publication of research results.)
- OASF support is not available if your department, school, college, or institute has funding to support OA publishing. The request form requires that you have checked with your affiliated units before applying to the fund.

Questions about the fund can be sent to oasf-g@vt.edu

VT OASF Guidelines

- Hybrid journals are not supported
  - You can decline the OA option, and provide free, no-embargo access to your accepted version by using Virginia Tech's Open Access Policy.

- Fully OA journals:
  - The OA journal's publisher must be a member of the Committee on Publishing Ethics (COPE) or the Open Access Scholarly Publishers Association (OASPA) or comply with a similar Code of Conduct
  - OA journals should be registered in an open access directory such as the Directory of Open Access Journals or Sherpa/Romeo.

- The funding limit is **$1500 per article**. Please note that this is now a hard cap, and **all invoices have to be paid in full by the OASF if supported** (i.e., no cost sharing allowed)

Rationale for changes to the funding Article Processing Charges (APCs)

Traditional Subscription Business Model		
$3,225/year per library (moderately priced subscription journal)	250 libraries subscribed	$806,250 annual journal revenue
Open Access Business Model		
$3,225 APC	2,113 articles / year	$6.8 million annual journal revenus

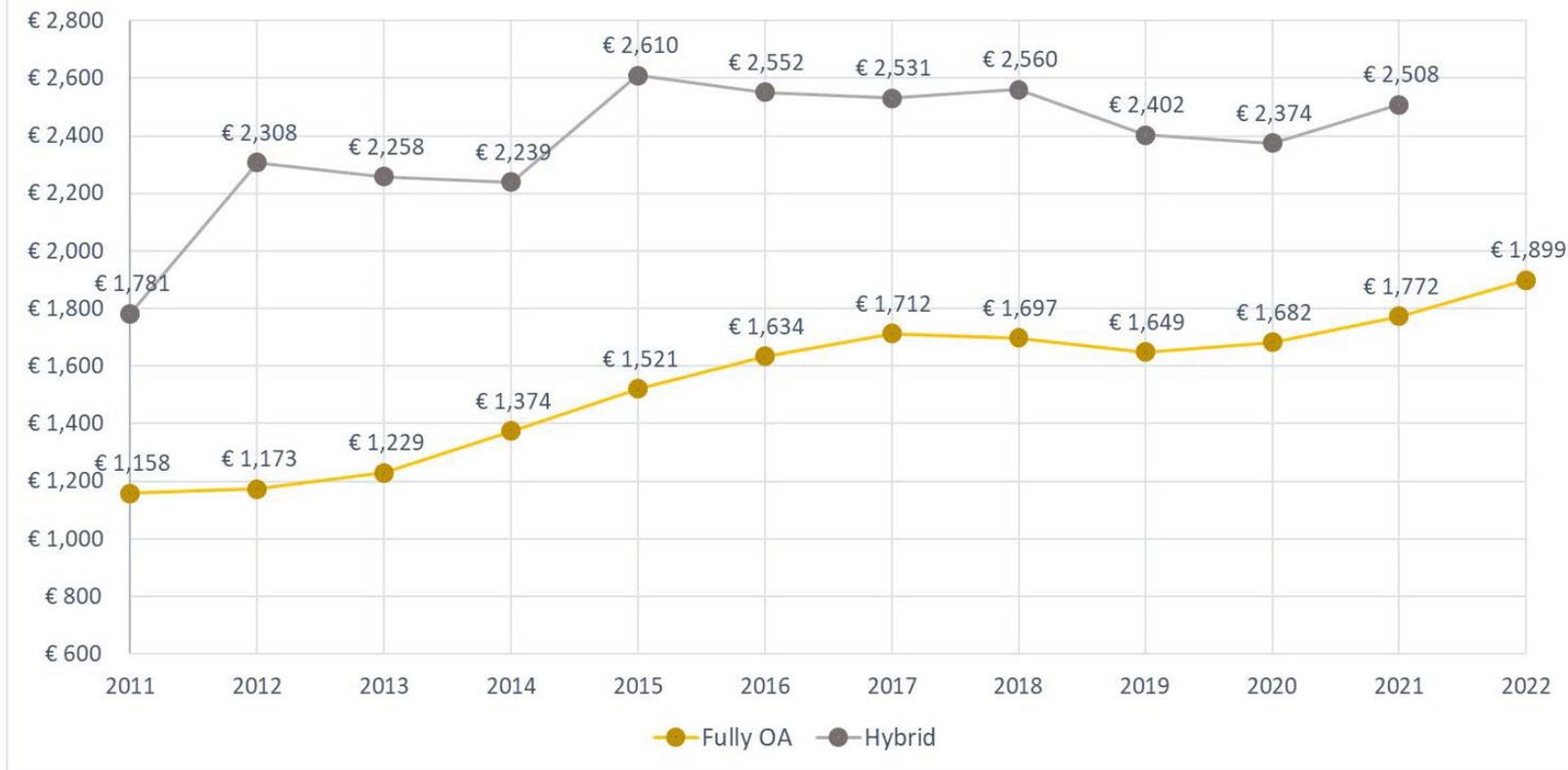Estimates based on journal subscription fees and APCs for *Frontiers* journals

Average and Median Article Processing Charges, 2004-2022
N = 152,746

Average APC in fully OA journals; data comes from the Open APC Initiative. Prices are displayed in Euros.

Average Article Processing Charge: Fully OA Journals vs. Hybrid Journals, 2011-2022

Average APC in Hybrid vs. OA Journals

Data from Open APC Initiative

VT OASF Guidelines

- **Approved requests must be at or below $1500**.
  - The fund will no longer support APCs higher than $1500 regardless of whether there is additional funding available; in other words, cost-sharing arrangements are no longer permitted if you receive funding from the OASF.

- **Authors are limited to $3000 in funding per fiscal year** (July-June).
  - For papers with multiple Virginia Tech co-authors, the OASF still subsidizes the same total amount of up to $1500 per article but the support is prorated among each of the VT authors. For example, an article request for $1500 with 3 Virginia Tech co-authors would be prorated at $500 each.

Further rationale / explanation for reducing support for OASF

The University Libraries, with support from the Provost's Office, is implementing stricter criteria for the OASF, reducing award amounts, and overall funding in order to reduce support for the commercial-side of OA infrastructure.

# Further rationale / explanation for reducing support for OASF

There are other means to make work openly available, such as taking advantage of Virginia Tech's Open Access Policy, which went into effect July 1, 2021. *Next section will cover this)*

Articles with APCs vs No APCs

While nearly 69% of active OA journals are no-fee, most articles (65%) are in fee-charging journals

Fee and No-Fee Articles by Year, Big 9
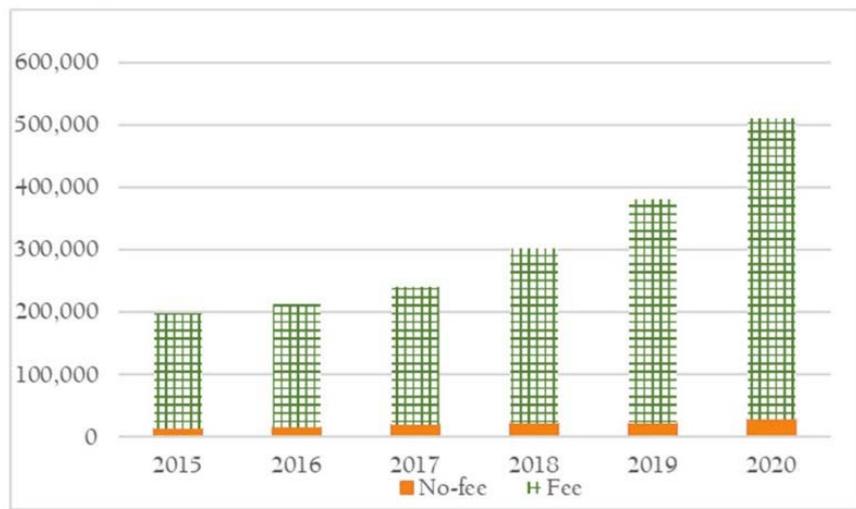
Fee and No-Fee Articles by Year, The Rest

Source: https://waltcrawford.name/goa6.pdf (OA self-published book by a library scholar)

OA Journal Selection Tips

- Beware of 'paper mill' journals
- Many of the large for-profit publishers have rapidly increased the number of journals and articles they publish (e.g., Frontiers, MDPI)
  - These two journals are still COPE members and OASPA members, but often scholars question their rapid publishing and peer review practices.
- To find OA journals without APCs, go to the DOAJ, search for a journal in your subject domain, and select the 'Without fees' filter
- Unfortunately, you cannot sort or filter by the APC amount, but you can browse and find the information

191 indexed journals

⫴ Refine search results

SEE JOURNALS…

■ Without fees

☐ With a DOAJ Seal ⊘

☐ Author retains all rights

Further reading

- Equity, Inclusiveness, and Zero Embargo Public Access
- The Double Cost of Green-via-Gold (also read the many thought-provoking comments and arguments)
- The State of the Version of Record
- Open Access at 'any cost' cannot support scholarly publishing communities

Intellectual Property & Open Access Policy
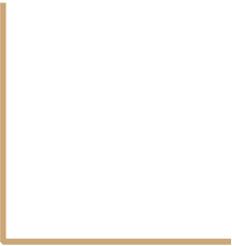
Property

(Section 2.3.A.8)

A **no-cost, embargo-free open access for accepted versions of scholarly articles is available to all VT researchers thanks to Virginia Tech's Open Access Policy**, approved by the Board of Visitors on March 22, 2021. Accepted versions are available in VTechWorks, which receives over 3,000 downloads per day from around the world.

8. For Scholarly Articles: Authors grant to the university a nonexclusive license to their scholarly articles in order to provide open access (free, public, online access) to them via the university repository. However, anything deposited in the university repository is subject to the provisions of all the numbered paragraphs above. An author may waive the license for a particular article or delay access for a specified period of time. The university may not sell the articles. Authors deposit in the university repository an electronic copy of their unformatted, post peer-review, accepted manuscript for each scholarly article within one month after the date of its publication. Upon deposit of accepted manuscripts into the university repository, the university grants authors a nonexclusive license to share accepted manuscripts elsewhere.

What does the policy allow you to do?

- ***Legally*** deposit your **Author Accepted Manuscript (AAM)** of your published articles (journal articles & book chapters)
  - Must be published after July 1, 2021
  - Deposit it immediately after acceptance to one month after publication
  - You **do not** need to honor the publisher copyright policy or contract with respect to deposit of the AAM (e.g., no need to honor the embargo periods)
  - Permanently link to and save your important scholarly work
    - Link to it on other profiles (e.g., LinkedIn)

Open Access Policy Guide

Use tabs for more information:

Version prep

How to deposit

FAQs

Open Access Policy at Virginia Tech: Home

Search this Guide | Search

Information to help Virginia Tech authors deposit scholarly articles to VTechWorks

**Home** | Version Prep | How to Deposit | FAQ | Waiver | About VTechWorks | History

In Brief

Virginia Tech's open access policy enables authors to legally provide open access to the accepted version (**not** the journal's published version) of their scholarly article, *regardless of what your copyright transfer agreement says* (a very small number of publishers may require you to waive the policy). The policy follows U.S. copyright law and has been vetted by Virginia Tech's Office of Legal Counsel. More than 100 U.S. universities already have a similar policy in place.

Details on how to deposit your articles for open access:

- **Who** : All faculty, staff and students (anyone with a VT affiliation)
- **What** : The accepted version of your scholarly article (or the published version if openly licensed or in the public domain)
- **When** : The day of acceptance through one month after publication, no embargo needed
- **Where** : VTechWorks (learn more in the About VTechWorks tab)
- **How**: There are three deposit options (for details, see the How to Deposit tab above):
  - Elements (EFARs), *faculty and grad students only*
  - OA Policy Deposit Form
  - Email vtechworks@vt.edu
- **Why**: Most scholarly articles written by VT authors are not available to the public, which includes scholars in low and middle-income

VTechWorks:
Depositing / Sharing Works OA
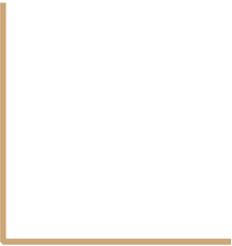
What is VTechWorks?

VTechWorks provides global access to Virginia Tech scholarship, including:

- Theses and dissertations
- Journal articles
- Books & book chapters
- Technical papers
- Reports
- Presentation slides
- Conference papers
- Administrative documents
- Videos
- Images
- + more by faculty, students, and staff

Benefits of VTechWorks:

- 94,000 items and growing
- 3,000+ downloads per day, on average
- Highest usage from the U.S., India, China, the Philippines, the U.K., and Canada; downloads come from almost every country in the world
- Indexed by all search engines, as well as Google Scholar, Unpaywall, BASE, and the university homepage search (vt.edu)
- A permanent URL (handle) for each item
- Download statistics for each item
- Preservation for each item and metadata updates
- Maintained by VT Libraries - contact us anytime, vtechworks@vt.edu
- Read more about VTechWorks in this VT News article

Prepare your Manuscript for Deposit

Create a **cover page or header** on the first page of your AAM that includes:

- Author information and affiliation(s)
- Link / DOI to the publisher's version
- Information / citation about the published version (journal or book title, issue & volume number, etc.)
- Check for accessibility
- Convert to PDF

Example of a cover page

Example of a header

More information & tips: https://guides.lib.vt.edu/oapolicy/prep

Three ways to deposit to VTechWorks

- Directly on VTechWorks
- Web deposit form
- Deposit via Elements
  - If you're an Elements user, this is the easiest way

Depositing manuscripts via Elements

1. Login to Elements
2. Go to Scholarly & Creative Works
3. Find or add the item for which you want to deposit the AAM
4. Select 'Deposit' (black button)
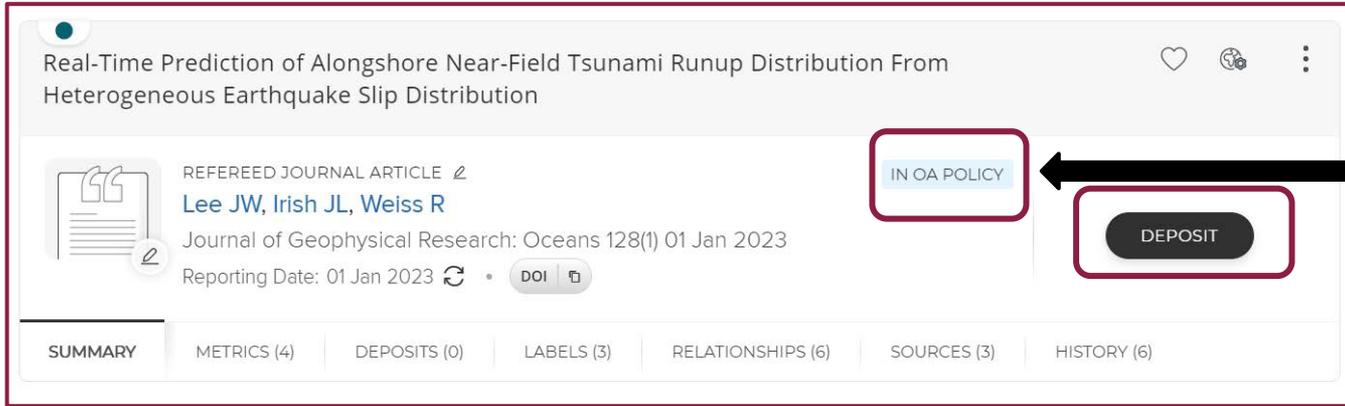
Real-Time Prediction of Alongshore Near-Field Tsunami Runup Distribution From Heterogeneous Earthquake Slip Distribution

REFEREED JOURNAL ARTICLE
Lee JW, Irish JL, Weiss R
Journal of Geophysical Research: Oceans 128(1) 01 Jan 2023
Reporting Date: 01 Jan 2023 · DOI

IN OA POLICY

DEPOSIT

SUMMARY   METRICS (4)   DEPOSITS (0)   LABELS (3)   RELATIONSHIPS (6)   SOURCES (3)   HISTORY (6)

You'll know it's covered by the OA policy if you see the "IN OA POLICY" label on the work in Elements

Depositing manuscripts in Elements (continued)

5. In the pop-up box, click "Deposit" again.

6. On the deposit screen, click "Browse" to select a PDF from your computer, and for File version, choose "Accepted version" (or "Published version" if the article is published open access with a CC license). Then click "Use this file."

Not covered by the policy?

- If it's a book chapter published after July 1, 2021, it *is* covered by the policy but Elements doesn't label it
- If it's published *before* July 1, 2021, most of the time, you can still archive the AAM as long as you honor the publisher's embargo (see next slide)

1. Prepare deposit (step 1 of 3)

Upload a file

Choose a file from your local machine:

Choose file: Browse... MyArticle.pdf

File version: Accepted version

Use this file

Retroactively Deposit Accepted Manuscripts of Published Scholarly Articles

- Most publishers allow *some* version of the manuscript to be deposited in a repository (often the Author's Accepted Manuscript (AAM)), but often on the condition of an **embargo period**.

- For scholarly articles **published before July 1, 2021**, you can check the publisher copyright contract or policy.

- Your copyright contract is the best place to look

- The SHERPA/RoMEO database is the ***next best*** place for this information

  - The data from this database is also integrated into Elements (see next slide for example)

Deposit works via Elements retroactively

By default, the 'Institutional advice tab displays. Select the "SHERPA/RoMEO advice" tab to see details about the publisher's policy

This policy allows deposit of the AAM in the Institutional Repository (e.g., VTEchWorks) after a 24-month embargo

You can deposit immediately and select the embargo period, and it will automatically become available at the end of the embargo.

GE

y & creative work: <u>Using auxiliary adherends to eliminate</u> <u>need for grain control in fracture testing of adhesively bonded wood</u>

You are about to deposit this refereed journal article to **VTechWorks**

Deposit advice

| Institutional advice | SHERPA RoMEO advice |

International Journal of Adhesion and Adhesives

| Submitted | Accepted | Published |

Multiple policies were found for this version:

Option 1

Locations	Author's Homepage Named Repository
Embargo:	No Embargo
Licence:	CC BY-NC-ND
Conditions:	Must link to publisher version with DOI

Option 2

Locations	Institutional Repository Subject Repository
Embargo:	24 months
Licence:	CC BY-NC-ND
Conditions:	Must link to publisher version with DOI

1. Prepare deposit (step 1 of 3)

Upload a file

Choose a file from your local machine:

Choose file:
[Choose File] No file chosen

File version:
[None] ▼

[Use this file]

<u>Leave without depositing</u>

Final tip for VTechWorks

You can also deposit other scholarly works to Elements, especially if they aren't published online, such as presentation slides, videos, and reports.

What it looks like on Elements when the work is available on VTechWorks:

Links to presentation slides in VTechWorks on Experts profile

POSTER

Virginia Tech Research Impact & Intelligence Team: An Integrative Approach to Research Analytics and Responsible Assessment Practices
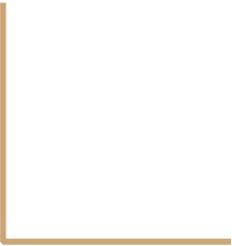
22 Sep 2022 • Nordic Workshop on Bibliometrics and Research Policy

Miles R. Stovall C, Over S

DOWNLOAD PDF   VIEW MORE INFO

Public Access & Open Access

Federal agency public access mandates

In August 2022, the [White House Office of Science & Technology Policy (OSTP) issued a memorandum](#) (known as the 2022 Nelson Memo) on Ensuring Free, Immediate, and Equitable Access to Federally Funded Research calling on federal agencies to make "articles resulting **from all U.S. federally funded research** freely available and publicly accessible by default in **agency-designated repositories without any embargo or delay after publication**."

Distinguish between OA and Public Access

Both have the end result of materials being available at no charge to readers, but take different approaches to achieve that outcome.

Public Access: result of a *requirement* or *mandate* by a federal agency, some exceptions apply for ensuring security of sensitive information

Open Access: typically a *choice* by the author(s), either by choosing an OA venue or by making it OA in a repository (or sometimes both); usually an open license is also applied
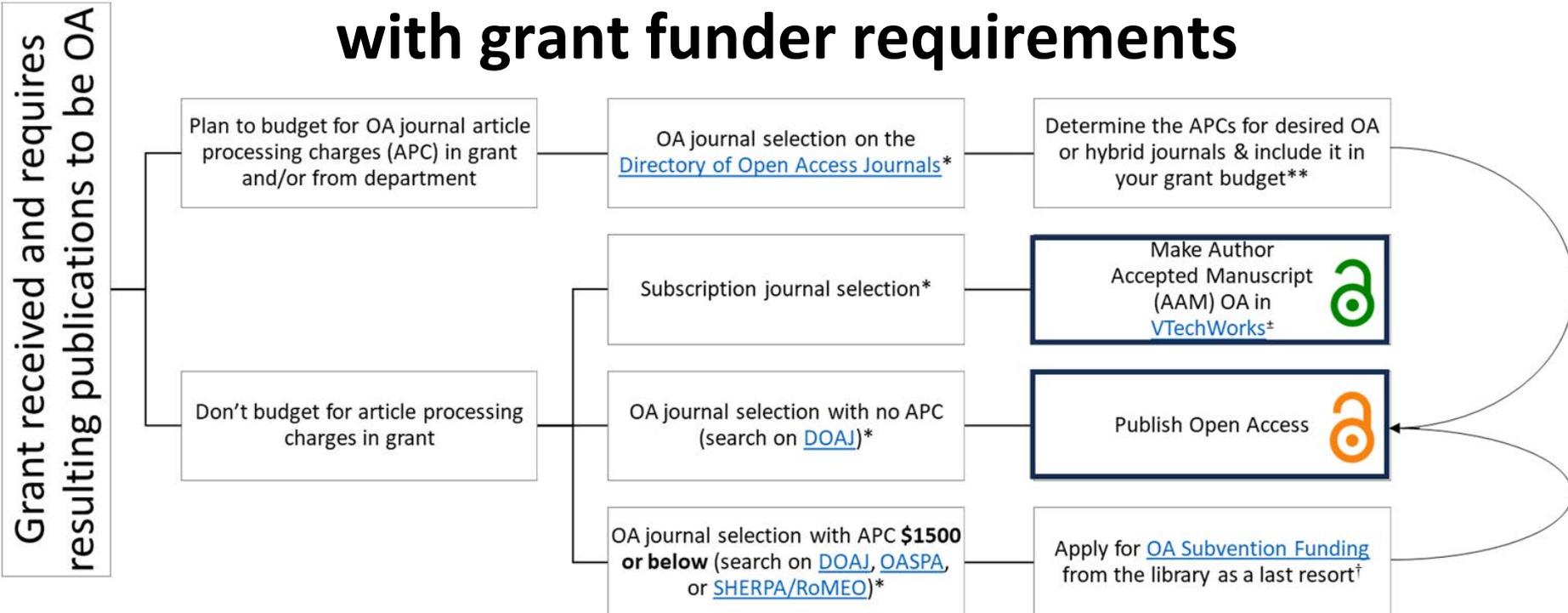
2022 Nelson OSTP Memo

This updated memo:

- Requires *all* federal agencies to comply, not just the NIH and NSF
- Eliminates the 12-month embargo period
- Requires the underlying data to be made openly available in machine-readable formats
- Agencies must publish their final policy implementation plans by December 31st, 2024, with an effective date no later than one year after the publication of the agency plan
- Agencies subject to the 2013 Holdren Memo (NIH, NSF) must make their plans available sooner, which means they will go into effect sooner than 2025.

Further reading

- [White House requires immediate public access to all U.S.-funded research papers by 2025](#)

- [Fact Sheet: White House OSTP Memo on Ensuring Free, Immediate, and Equitable Access to Federally Funded Research](#)

- [Read the full 2022 Nelson Memo](#)

- [Agency Updates](#) (listed on SPARC)

# How to make your publication OA and comply with grant funder requirements

Grant received and requires resulting publications to be OA

Plan to budget for OA journal article processing charges (APC) in grant and/or from department

OA journal selection on the Directory of Open Access Journals*

Determine the APCs for desired OA or hybrid journals & include it in your grant budget**

Subscription journal selection*

Make Author Accepted Manuscript (AAM) OA in VTechWorks±

Don't budget for article processing charges in grant

OA journal selection with no APC (search on DOAJ)*

Publish Open Access

OA journal selection with APC **$1500 or below** (search on DOAJ, OASPA, or SHERPA/RoMEO)*

Apply for OA Subvention Funding from the library as a last resort†

*Use the Think, Check, Submit! Checklists when selecting a journal or book, OA or subscription. As part of the OA journal selection process and to qualify for OASF funds, the journal must either be listed on the DOAJ, SHERPA/RoMEO, the Open Access Scholarly Publishing Association, or that it complies with the OASPA Code of Conduct.

**You can also use department funds in a cost-sharing arrangement with the grant and your department; or you can have the department pay for the APC; cost sharing is not allowed with the OASF.

† OASF support is not available if your department, school, college, or institute has funding to support OA publishing.

± Your grant funder may require deposit in their repository, which is an alternative to depositing it into VTechWorks; often the publisher deposits on the author's behalf but be sure to check with your grant funder. In addition, the Virginia Tech OA Policy allows for *immediate* deposit of the AAM upon acceptance into the journal.
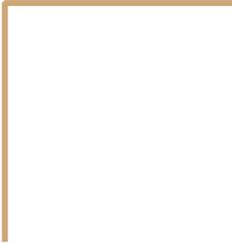
Questions?

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