



University of the Highlands and Islands

Research Publishing: Open Access Policy

POL101

Lead Officer (Post):	Dean of Research and Knowledge Exchange
Responsible Office/ Department:	Research Office
Responsible Committee:	Research and Knowledge Exchange Committee, Partnership Council
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Date of Equality Impact Assessment:	n/a
Date of Privacy Impact Assessment:	n/a

Accessible versions of this policy are available. Please contact the University Governance team.

Policy Summary

Overview	<p>UK researchers are required by many agencies to ensure any funded research is openly available to anyone with an internet connection without any paywall or restriction. Different agencies have varying requirements, this policy distils the main points of the policies most relevant to our work into a framework UHI researchers can use to ensure compliance.</p>
Purpose	<p>This policy sets out the steps required to ensure published research results comply with the various mandates from key funding bodies and is intended to ensure university staff and students are acting within sector 'best practice' frameworks to ensure university research results are both openly available wherever possible, and available in the correct way on the correct platforms. The policy sets out university requirements based upon internal requirements and those of some key funders and frameworks. This policy updates and supersedes the previous University of the Highlands and Islands 'Research Publishing: Open Access Policy' passed by University Court in August 2014.</p>
Scope	<p>This policy applies to all employed staff of, and enrolled students of, the University of the Highlands and Islands and all Academic Partners, who publish research results in any form on any public platform, be it digital or paper, or another appropriate medium or format. The policy applies to print and digital materials uploaded to internal technologies and external technologies used by university and Academic Partner staff to record and make available the results of research conducted at the university or academic partner.</p>
Consultation	<p>Interested parties across UHI Libraries, Research Office, partner research departments, Research and Knowledge Exchange Committee (RKEC) have been invited to contribute to this policy revision.</p>
Implementation and Monitoring	<p>The UHI Research Office, members of RKEC and Academic Partner Research Committees are responsible for ensuring this policy is visible and known to all research staff.</p>

Risk Implications	Not complying with the principals presented in this policy could result in research funding being re-claimed, the university not being eligible for certain funding, or could leave the university vulnerable to legal action, fines and reputational damage.
Link with Strategy	Compliance, increasing research income and growing our research base.
Impact Assessment	Equality Impact Assessment: The policy applies equally to every member of staff or publishing research student without exception.
	Privacy Impact Assessment: The policy does not require the storage or use of personal information – PIA's are in place for internal systems used to record the subjects of this policy.

1. Policy Statement

The research publishing landscape has changed dramatically since 2015. This policy has been updated to take into account all the latest developments up to August 2022. It is not only considered best practice to attempt to publish research on an open platform, but most of the main funding bodies now mandate it.

The concept of Open Access publication for research outputs from publicly funded research is not new, but it has been growing in significance in recent years and, as a result of the publication in 2012 of the report from the National Working Group on Expanding Access to Published Research Findings, and the UK Government's subsequent acceptance of the report's recommendations, many national governments, funding councils and agencies across the globe now require research findings to be published on an open access platform.

In more traditional forms of publication, now mostly in the past, access to published research outputs had been limited by the need for payment directly by the reader or by an institution on behalf of a group of readers. In contrast to this, Open Access publication, is the move to ensure that outputs derived from research activity (mainly, but not exclusively, in the form of research journals) are presented to the reading public (individuals, groups, government-related, businesses and so on) in on-line/electronic publications that are free for them to access and use.

Advocates of OA stress public funds pay for the majority of research and publishing costs via various funding models. By moving research findings onto open platforms is intended to ensure that the public and fellow researchers across the globe have unhindered, free access to the results of that investment as soon as possible once the research finding has been published. This open access will in turn, it is argued, encourage greater understanding of research activity, ensure broader and faster dissemination of research findings, encourage collaborative working methods and the sharing of ideas across academic and business sectors, and secure significantly increased public engagement with research at all levels.

2. Definitions

OA	Open Access
APC	Article Processing Charges
UKRI	United Kingdom Research and Innovation

3. Purpose

This policy sets out the steps required to ensure published research results comply with the various mandates from key funding bodies and is intended to ensure university staff and students are acting within sector 'best practice' frameworks to ensure the research outcomes of UHI researchers are both openly available wherever possible, and available in the correct way on the correct platforms. The policy balances university requirements and those of some key funders and frameworks, outlined next.

3.1 Issues to consider at UHI

The requirement for research results to be made available on an Open Access basis is now firmly established across the sector. Establishing OA as the default publishing method has meant the requirements placed upon university staff and the mechanisms of publishing have changed markedly over the last five years. For research staff and students at UHI, the following factors must be taken into account:

- a) **Government, Funding Councils and Research Councils Policy** – The Funding Councils and the Research Councils all have their own OA policies with varying requirements. However, there are many similarities in these requirements. The guidelines set out in UHI’s policy adopt the main elements of the majority of Open Access policy that our researchers might expect to be involved with.
- b) **Research Assessment Framework (REF)** – The REF assessment exercise has a requirement for outputs submitted to be openly accessible. Due to the relatively high percentage of funding UHI achieves from the REF we must continue to ensure all our research outputs comply with the REF OA mandate.
- c) **Global publishing trends** – Consideration that higher education operates in a world market, and UHI must ensure it is part of that the drive towards Open Access globally, and our researchers have the best opportunity possible for collaboration.
- d) **APC Costs** – The way we pay for publishing research and reading the outcomes of research has changed markedly since 2017. APC costs have not remained static, indeed, the move towards OA has meant that APC fees are more often being included in publishing and subscription fees in what was initially termed ‘Read and Publish agreements’ but now more often referred to as ‘Transformational Agreements’. There are various webpages within UHI libraries and the UHI Research Office to help steer researchers through the wider terms and agreements in use and in place for UHI; these are mentioned fully in section 8.
- e) **Embargo periods** – Embargo periods for Green Open Access (see section 3.2 for definition) range from 6 – 24 months, and the Funding Councils are working to try to ensure that this comes down to a maximum of 12 or 6 months.
- f) **Strategic Planning** – Appropriate strategic management of our publications, their visibility, and the overall cost, to facilitate the longer-term aims and objectives of the University including building-up its world class level research activity in several discrete areas, is a major driver of our OA policy. Staff in those areas already engaging fully in the REF and those in other areas of research that have good potential for the future, but which are not yet ready for engagement with the REF, must be nurtured and grown in appropriate ways. Beyond this, an approach to publication for early career researchers is essential. This requires clear and deliberate research development planning across all locations, all disciplines, and all REF units, which will involve detailed processes of mentoring, coaching, training, annual (research-related) performance review and considered publishing plans.
- g) **Intellectual Property (IP)** – IP considerations require to be taken into account fully and appropriately, in order to secure for UHI potential income streams from research discoveries that we might wish to be able to exploit fully as a university.
- h) **Affordability** – Resources to facilitate progress towards UHI’s research ambitions and continued payment of subscription fees/publishing deals is always balanced very carefully to allow our researchers the best global visibility, while being carefully managed. UHI does not receive any ‘Block Grant’ for OA publishing from UKRI, so our OA funds need to be sourced from elsewhere.

3.2 Green, Gold, Diamond, and Journal-free Open Access

There are currently 3 main approaches available to authors and institutions with respect to meeting the Government's target of a move towards full (or near to full) open access publication. These are known as the 'Green' 'Gold' and 'Journal-free' open access routes. As publishers attempt to find new ways to publish and raise revenue to support their systems in this new publishing landscape the methods to publish work are still evolving quickly, one such way is termed 'Diamond' access. The main methods are described briefly as follows:

Green Open Access:

Green Open Access permits a version of the final research-based article produced by a member of academic staff to be placed by the author in a suitable Open Access repository. In the case of UHI, the intended repository for such deposits is associated with the PURE Research Information Management System. In most cases, the article/output becomes available for unhindered and free access by the general public after an embargo period has past, which is set by the original publisher. This embargo period is typically 6 – 24 months following publication.

Gold Open Access:

Gold Open Access allows an individual article to be made directly available to any reader as a result of an up-front payment to the publisher of the relevant Article Processing Charge (APC). The article may then be accessed freely and without hindrance immediately by any reader, and the output may also be deposited in a suitable form in an Institutional Repository (such as PURE) without any embargo period. The new 'Read and Publish' or 'Transformational' agreements UHI has negotiated with various publishers effectively provide 'Gold' access as the deals include APC fees in the overall annual subscription fee, without further payment of an APC by the author (although there is a process to follow to publish an article through these negotiated deals).

Diamond Open Access:

Diamond OA is a new development being driven by EU funders and the agency behind Plan S – as such we should expect this new development will produce a requirement, or at least an opportunity, for UHI researchers to deal more often in another form of OA in years to come. Diamond OA refers to a scholarly publication model in which journals and platforms do not charge fees to either authors or readers:- "Diamond Open Access journals represent community-driven, academic-led and -owned publishing initiatives. Serving a fine-grained variety of generally small-scale, multilingual, and multicultural scholarly communities, these journals and platforms embody the concept of bibliodiversity." according to the 2022 action plan for Diamond access. For UHI researchers, this would mean APC-free publication but, as ever, the platform must be chosen carefully to ensure the intended audience for the research results will be able to find the work.

Read more at: <https://zenodo.org/record/6282403>

Journal-free Open Access:

Another emerging method, described as peer-reviewed work that happens independently of journal publications or platforms. It is described by the agency behind Plan S as "scholarly work that has been peer-reviewed without publication in a journal or on a platform to be of equivalent merit and status as papers published in these traditional venues". It does not expand further on how this may work in practice.

The UHI OA policy cannot yet comment on this method as it is neither widely adopted nor mandated by research funders, but use of this method in future must be considered carefully by authors within the parameters within this policy.

4. Scope

All research staff and students of all levels who are publishing research findings are expected to be aware of and comply with the principals within this policy.

Authors of monograph style long-form outputs should note that from 1 January 2024 UKRI funded monographs (and possibly other funders yet to confirm) must also be published with an open access licence on an open access platform.

5. Exceptions

It is recognised there may be limited exceptions where compliance is not possible for a variety of reasons (for example, when a journal policy is at odds with UHI policy, but the journal has been decided as absolutely the correct place to publish a specific article). There must be clear reason for any exception and consultation with members of the local Academic Partner Research Committee or Research Lead or university Dean of Research and Knowledge Exchange should always precede any decision that would not be in compliance with the principals set out in this policy.

6. Notification

University and Academic Partner staff and students who publish research findings on any platform.

7. Roles and Responsibilities

This policy is primarily reviewed and revised by the UHI Research Office, in consultation with Libraries, partner research departments and Research and Knowledge Exchange Committee (RKEC). Academic Council is the approving committee.

8. Procedures

8.1 UHI Policy

This policy supersedes and updates the previous University of the Highlands and Islands 'Research Publishing: Open Access Policy' originally passed by University Court in August 2014.

In view of the information set out in this document, UHI have adopted a policy that facilitates a hybrid approach to Open Access at this stage, **applicable immediately journal articles and from 1 January 2024 also to include monographs based on UKRI or other funding that stipulates open access**, which does the following:

1. Confirms the use of the Green Open Access publication route as UHI's default preferred approach to publication of journal-based and monograph research outputs, with a short or zero embargo; but
2. with provision to enable/facilitate Gold Open Access publication where either of the following apply:
 - a. Gold Open Access publication is a stated requirement of the research grant funding body and funding is available from the grant funding body, or
 - b. UHI has a negotiated deal (Read and Publish, Transformational) in place with the publisher concerned, thereby enabling the author to publish the article as an open access article without incurring additional costs to the university, or
 - c. The preferred academic journal for publication of particularly (strategically) important output is available only through the Gold Open Access route, and where the output is intended for inclusion in UHI's next REF submission.

In agreeing the above, it is acknowledged developments across the sector, in regard to Open Access, continue and we must be prepared to adjust this policy position accordingly, as well as to continue to engage in the sector-wide debate on Open Access.

It should also be noted that the above policy relates to research publications in journals and as monographs. However, in the case of publications that are understood to be derived from scholarship and advanced scholarship, normally 'only' the Green Open Access route for publication will/should be supported.

8.2 Practical actions

In the case of Article Processing Charges (APCs), payment should be funded using options in the following order, while remembering there are now many ways to avoid paying additional charges yet still publishing your article openly. The key thing to note is the need for researchers and prospective authors to think about, and plan in advance for, publication of the outcomes of their research in a suitable format and through an appropriate outlet, which should normally comply with Green Open Access approach. However, for publications that require some other publication route and outlets, below are the 4 main routes UHI advocates to cover the APC costs:

8.2.1. Publishing your article in a fully open access journal - Authors can avoid APC's altogether by depositing their article in a repository or finding an open access journal that does not charge APCs and offers open access to articles to all readers – sometimes referred to as Diamond Open Access. Use the database of open access journals to find a suitable journal for your article:

<https://doaj.org/>

8.2.2. Using project funds - many funders will reimburse publishing charges during the duration of a funded project; applicants should always include provision for open access publishing costs in the budget of their project proposal. However, reimbursement must usually happen while a project is live so if publications happen following a project those will not normally be covered by the original project funder.

8.2.3. Publishers with an agreed 'Transformative' deal - There are now many opportunities to publish using existing agreements with publishers using what are termed 'Read and Publish' or 'Transformative' agreements. UHI has many such deals in place through our library subscriptions and authors must ensure they take advantage of these deals to publish openly wherever possible. Details of the current deals available to UHI authors can be found at:

<https://libguides.uhi.ac.uk/openaccess/publisherpolicies>

8.2.4. Local or Research Office APC funds - If funding from your project is not available (for example if the project has now finished), and you have decided the best journal for your article does not have an agreement or discount with UHI, you must then attempt to cover your APC cost from local funds. If you find local funds have been exhausted, you can apply to the Research Office fund. This fund is very limited in total value (as the university does not receive block grant funding for APCs from UKRI) and is therefore focussed on high-scoring REF outputs that cannot achieve APC funding by any other means. You must be the lead author on the article to be considered with your request being submitted to The Dean of Research and Knowledge Exchange, details of how to do so at:

<https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/APC-Payments.aspx>

UKRI OA Block Grant

It should be noted that universities receiving block grant funding from the Research Councils will receive, as part of their block grants, a sum specifically to enable Gold Open Access publication of outputs. This applies to 84 UK-wide institutions but does **not include UHI**. The formula used to determine this grant has been applied to UHI but UHI does not meet the minimum level of activity to trigger a grant. The grant is based on staff effort on active Research Council grants and the current Article Processing Charge (APCs) rates – universities are allocated a proportion of the total UK block grant fund based on their percentage of the total labour costs on Research Council grants over a three-year period. Effectively, UHI would need to be awarded a higher level of RC funding for the applied formula for OA to result in an OA block grant.

8.3 Agreement to publish your article or monograph

8.3.1 Staff across the UHI Academic Partnership may proceed to secure publication arrangements for their research outputs through the Green Open Access publication route without further reference in advance to the UHI Research Office (albeit all research publications should be discussed and agreed with relevant line managers and mentors in APs and discipline area aggregations, as appropriate). This will cover the vast majority of the work we undertake, both for general research publication purposes and also for the major part of our next REF submission. It will be crucial, though, for all 'green route' publications to be deposited in an appropriate form into the institutional repository, which is embedded in the PURE Research Information Management System,

at the earliest possible stage and not exceeding 3 months from acceptance of the article by the chosen publisher.

8.3.2 For articles published within journals that UHI has Read and Publish or Transformational deals, again staff across the UHI Academic Partnership may proceed to secure publication arrangements for their research outputs without further reference in advance to the UHI Research Office (albeit all research publications should be discussed and agreed with relevant line managers and mentors in APs and discipline area aggregations, as appropriate). Again, a copy of the article should be deposited in our PURE Research Information Management System, at the earliest possible stage and not exceeding 3 months from acceptance of the article by the chosen publisher. NOTE – the annual budgets for these agreements run from January to December and in the past funds have been exhausted before their annual renewal in January, meaning OA publishing is not available with the chosen publisher towards the end of a calendar year, unless payment in full of the usual APC is made or delaying the publishing of an article until January. It is therefore recommended that before submitting to a publisher authors should check on the UHI Libraries OA information page if your chosen publisher fund for OA is still open: <https://libguides.uhi.ac.uk/openaccess/publisherpolicies>

8.3.3 In cases where Gold Publication is required or preferred, and where the cost of Gold Open Access publication is not covered within the underpinning grant funding (see section 8.2.2 above), or a previously agreed UHI deal (see section 8.2.3) the following will need to take place:

- a. **Own resources** - If the employing Academic Partner wishes to cover the cost of Gold Open Access publication from its own resources, no further reference to the UHI Research Office needs to be made; but,
- b. Use the database of open access journals to find a suitable journal for your article: <https://doaj.org/>
- c. **UHI Research Office APC fund** - If the employing Academic Partner does not agree to cover the cost of Gold Open Access publication from its own resources, but it is felt by the author to be strategically important (primarily for REF-related purposes) for Gold Open Access publication in a particular high quality journal (that is not covered by Green Open Access provisions), then the case for the cost of Gold Open Access publication will need to be considered in advance. Application can be made to the Dean of Research and Knowledge Exchange on completion of an online form available on SharePoint. If approved, the cost of Gold Open Access publication will either be covered in full by a central UHI resource, or through sharing the cost in an

Note: A publisher will always advise the author direct which version is allowed to be made public and any embargo periods. There is a validation step within the PURE process where a Pure editor will check the output metadata and links for integrity but embargo periods or special instructions from the publisher **will not be known by the Pure editor**.

Therefore, for all articles it is the responsibility of each researcher to ensure embargo periods or any special instructions for every output are adhered to when uploading outputs to Pure. Any output with an embargo period must still be recorded within PURE, the embargo period should also be recorded, with the visibility set to 'Public – no restriction'. Pure will not publish the record to the Research Database until the embargo has ended – public visibility of the record at the end of the embargo period will be automatic.

appropriate way with the employing AP. Submitting an application does not mean the APC will be covered, you are merely making an **application** for payment of the APC. Read full details of this scheme at: <https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/APC-Payments.aspx>

8.4 Consideration of research project funder OA policies

UHI has this over-arching policy to guide research staff on how to make our research open, and extensive consideration of funder and UKRI/individual Research Council policies has been carried out before arriving at a UHI OA policy. However, there are specific AO publishing requirements attached to publications that arise from projects funded by certain agencies, that may over-ride the preferred UHI route. In all cases the specific requirements of those funding agencies must be understood and followed; not following the specific guidance could mean your publication(s) cannot be funded by that agency, or they could claw-back project funding used to pay for publications that do not meet their requirements (see also section 3.2.2). Details of the main agencies (but not all) that have specific requirements are in the following section (section 9).

Jisc have two tools to help you check on funder policies and journals that might match those policies:

UK Funders OA policies are indexed by the Sherpa Juliet service from Jisc, see:

<https://v2.sherpa.ac.uk/juliet/>

Check if a particular journal complies with the policy of the agency funding the article:

<https://v2.sherpa.ac.uk/fact/>

9. Legislative Framework

In developing the UHI OA policy, the policies of following agencies, who fund research and/or have direct influence on OA policy, were referred to and have principles from their policies referenced to ensure UHI researchers can be compliant across as many funding bodies as possible.

9.1 Key funders/agencies with specific OA policies for publications they fund:

- + UKRI: <https://www.ukri.org/publications/ukri-open-access-policy/>
- + CSO: <https://www.cso.scot.nhs.uk/outputs/cso-open-access-policy/>
- + NIHR: <https://www.nihr.ac.uk/documents/nihr-open-access-policy/28999>
- + Wellcome: <https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy>
- + The British Academy: <https://www.thebritishacademy.ac.uk/publishing/>
- + Horizon2020 standards/openAIRE compliance: <https://www.openaire.eu/how-to-comply-to-h2020-mandates-for-publications>

For summary requirements for each of these policies see appendices 1-5.

For monographs authors the following agencies have confirmed their intention to mandate open access, with others expected to follow during the life of this policy revision:

- + UKRI: <https://www.ukri.org/publications/ukri-open-access-policy/>

- + British Academy: <https://www.thebritishacademy.ac.uk/policy-and-research/>

UK Funders OA policies are indexed by the Sherpa Juliet service from Jisc, see:

<https://v2.sherpa.ac.uk/juliet/>

9.2 Frameworks:

In addition to the above policies, the following sector frameworks are referenced in this UHI OA policy.

- + FAIR principles: <https://www.openaire.eu/how-to-make-your-data-fair>
- + Plan S/coalition S: https://www.coalition-s.org/plan_s_principles/
- + The League of European Research Universities (LERU) principles: <https://www.leru.org/publications/implementing-open-science>
- + REF policies and requirements : <https://www.ref.ac.uk/>
- + UKRI open research and Open Access policies: <https://www.ukri.org/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/>

10. Related Procedures, Guidelines and Other Resources

- + Open access licencing; use of creative commons: <https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/Open-Research.aspx>
- + LibGuide (UHI) to OA publishing & publisher policies: <https://libguides.uhi.ac.uk/openaccess>
- + APC payment and transformative agreements for research publishing: <https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/APC-Payments.aspx>

11. Version Control and Change History

Version	Date	Approved by	Amendment(s)	Author
0	19/6/2014	Academic Board	Original policy	Michael Rayner, Stuart Knight
1	25/08/2022	RKEC Approved	Review of UK OA environment, UHI policy refresh; Inclusion of diamond access procedure, links to funder/agency policies, update to UHI policy template	Stuart Knight

Appendix 1

UKRI Open Access Policy summary – announced 06 August 2021

Peer-reviewed research articles: UKRI's updated policy requires immediate open access for peer-reviewed research articles submitted for publication from 1 April 2022.

Monograph requirement: It also includes a new requirement for monographs, book chapters and edited collections published from 1 January 2024 to be made open access within 12 months of publication.

Requirements of the new policy

For peer-reviewed research articles, key requirements of the new policy include:

1. immediate open access for research articles submitted for publication on or after 1 April 2022
2. either via the version of record in a journal or publishing platform, or by depositing the authors accepted manuscript (or if permitted by the publisher the version of record) in an institutional or subject repository
3. CC BY licence and CC BY ND by exception, including a requirement to notify publisher of licensing at the point of submission.

Key requirements of the new policy for monographs published on or after 1 January 2024 include:

4. the final version of a publications or accepted manuscript being made open access via a publisher's website, platform or repository, within a maximum of 12 months of publication
5. CC BY licence preferred, but NC and ND licences are permitted.

Funding to publish research

For research articles, we will continue to fund via a block grant mechanism to research organisations. For monographs, funding will be a centralised fund held by UKRI that organisations will apply for.

In terms of who will be eligible to receive open access funding, the same principle as is the case currently will apply; those organisations eligible to apply for research funding from UKRI will be eligible to receive open access funding.

A wide range of eligible costs will be allowed, however, there will be some specific exclusions. One exclusion relates to funding for research articles, where the cost of hybrid open access publishing in subscription journals will not be eligible unless part of a Jisc-approved transitional arrangement. The UKRI Open Access Policy will replace the existing research councils Policy on Open Access, which applies to peer-reviewed research articles acknowledging research council funding and was published in 2013.

Full policy requirements and detail at: <https://www.ukri.org/publications/ukri-open-access-policy/>

Appendix 2

CSO Open Access Policy summary – 01 June 2022

The policy applies to all peer-reviewed research articles, including reviews not commissioned by publishers, submitted for publication on or after 1 June 2022 that arise from CSO grants and CSO fellowships.

1. Articles must be immediately, freely and openly accessible to all.
2. The most up to date Version of Record or the Author Accepted Manuscript of in-scope articles must be made freely available through PMC/Europe PMC by the official final publication date, without any embargo period.
3. CSO will pay open access fees such as an article processing charge (APC) required by a publisher for articles that stem from a CSO award. This funding is provided on the basis that the publisher makes the Version of Record freely available on the publishing journal platform at the time of publication AND deposits the Version of Record in PMC to allow that content to be shared with Europe PMC also at the time of publication.
4. These requirements should not prevent researchers from also depositing a copy in their institutional or another subject based repository.
5. Peer reviewed articles from CSO grants and Fellowships must give appropriate acknowledgement of CSO using the unique award identifier in the funding or acknowledgement section of the manuscript.
6. All articles that acknowledge CSO as a funder should be published under a Creative Commons Attribution licence (**CC BY**) licence to ensure maximum impact. This permits all users of CSO-funded articles to disseminate and build upon the material for any purpose without further permission or fees being required. Any exceptions to the CC BY licence must be applied for in advance with justifications.

Funding will be limited to £8,000 per standard CSO committee grant or Fellowship and must be applied for within 18 months of financial reconciliation of the grant. If we are not the only funder acknowledged on the paper then the PI must confirm we are the majority funder or explain why the application for funds is being sent to CSO.

Full policy requirements and detail, including details on options should your chosen journal OA policy not comply with CSO requirements: <https://www.cso.scot.nhs.uk/outputs/cso-open-access-policy/>

Appendix 3

NIHR Open Access Policy summary – 08 October 2021

The National Institute for Health and Care Research Open Access publication policy is focused on our expectations in relation to publishing academic, peer-reviewed journal articles – but this is just one way in which our researchers may choose to disseminate their research findings. We recognise and encourage a diversity of approaches to disseminating research findings so that people can make use of them. We are also committed to making sure that when we assess research outputs during funding decisions, we consider the intrinsic merit of the work and not the journal in which it is published (see our position on responsible use of metrics).

This policy applies to all peer-reviewed research articles, including reviews not commissioned by publishers and conference papers, submitted for publication on or after 1 June 2022 arising from:

NIHR Programmes, NIHR Personal Awards and NIHR Global Health Research Portfolio: research studies where the research costs are funded in whole or in part by the NIHR. Personal awards that do not fund research are out of scope of this policy.

Peer-reviewed research articles which are otherwise out of scope (e.g. NIHR Infrastructure research studies with minority NIHR funding), but which acknowledge NIHR support/funding must be deposited and made freely accessible through Europe PMC, as soon as possible, but no later than 12 months post the official final publication date.

Monographs (with the exception of NIHR Journals Library publications), book chapters, edited collections, or forms of non-peer-reviewed material, such as pre-prints, are considered out of scope of this policy. However NIHR reserves the right to ensure the use of preprints in the context of emergencies.

Principle 1 - Articles must be immediately, freely and openly accessible to all

The most up to date Version of Record or the Author Accepted Manuscript of in-scope articles must be made freely available through PubMed Central (PMC) and Europe PMC by the official final publication date, without any embargo period.

Principle 2 - There should be no barriers to the re-use and dissemination of NIHR funded articles

All in-scope articles must be published under the Creative Commons attribution licence (CC BY), or Open Government Licence (OGL) when subject to Crown Copyright, to ensure maximum impact. This will permit all users of NIHR-funded articles to disseminate and build upon the material for any purpose without further permission or fees being required.

Principle 3 - Articles must be freely discoverable

All articles must be long-term archived and freely discoverable through PMC and Europe PMC to those that may wish to read, share and reuse the outputs of NIHR funded research,

including patients, service users, carers and the public. This includes machine readability and accessibility to ensure full utility of NIHR funded articles.

Articles must ensure research articles are findable, accessible, interoperable and reusable [the FAIR principals for data - <https://www.openaire.eu/how-to-make-your-data-fair>).

Principle 4 - NIHR will pay reasonable fees to enable immediate open access

When an Open Access payment is applicable, for example an APC, NIHR will pay reasonable fees required by a publisher to effect publication in line with the criteria of this policy. Where relevant and appropriate, additional funding can be requested for active contracts that budgeted based on the previous Open Access policy scope.

Full conditions at: <https://www.nihr.ac.uk/documents/nihr-open-access-policy/28999>

Appendix 4

Wellcome Trust Open Access Policy summary – from 01 January 2021

All original, **peer-reviewed research articles** that are supported in whole, or in part, by Wellcome must be:

1. made freely available through PubMed Central (PMC) and Europe PMC by the official final publication date, and
2. published under a Creative Commons attribution licence (**CC BY**), unless we have agreed, as an exception, to allow publication under a CC BY-ND licence.

Where there are multiple partners involved, all research articles supported in whole, or in part, by Wellcome must be compliant with this policy.

All original scholarly **monographs and book chapters** authored or co-authored by Wellcome grant holders as part of their grant-funded research, must be:

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Routes to compliance

There are three publishing routes you can follow to comply with Wellcome's policy. Our preferred routes to compliance are routes 1 or 2. These options ensure that the final published version (which includes all copy-editing changes and a commitment to update the work with any corrections etc) is made OA at the time of publication

Route 1: Publish in a fully OA journal or platform.

Route 2: Publish in a subscription journal through a transformative arrangement that is available to you via your organisation.

Route 3: Publish in a subscription journal and take responsibility for making the Author Accepted Manuscript (AAM) freely available from Europe PMC at the time of publication.

Full conditions at: <https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy>

Appendix 5

Horizon2020 Open Access Policy summary – 18 October 2017

All peer-reviewed scientific publications arising from Horizon 2020 funding have to be made available in open access. There are two ways to provide open access:

1. Deposit your publication in a repository for scientific publications and ensure open access.
2. Publish your research in an open access journal. You may publish in open access journals, Hybrid journal or in journals that sell subscriptions.

In both cases you have to deposit your publications in a repository, even when publishing in an open access journal.

- Immediately if you have published in an open access journal
- Within six months of publication (12 months for publications in the social sciences and humanities) in any other case

Routes to compliance

1. As soon as possible and at the latest on publication, deposit your published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications. Moreover, you must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publication.
2. Ensure open access to the deposited publication — via the repository — at the latest on publication (for articles published in open access journals), or within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
3. When you deposit, you must also ensure open access to the descriptive metadata that identify the deposited publication. This metadata must be in a standard format and must include all of the following:
 - a. the words ["European Union (EU)" and "Horizon 2020"] ["Euratom" and Euratom research and training programme 2014-2018"].
 - b. the name of the project, acronym and grant number.
 - c. the publication date, and length of embargo period if applicable, and
 - d. a persistent identifier.

Full conditions at: <https://www.openaire.eu/how-to-comply-to-h2020-mandates-for-publications>

Appendix 6

Documents/policies/tools referenced in refreshing this policy

External

https://www.ukri.org/wp-content/uploads/2021/08/FOR-PUBLICATION_UKRI-Open-Access-Policy_Version-1.4_29-Mar-2022.pdf

<https://www.cso.scot.nhs.uk/outputs/cso-open-access-policy/>

<https://www.nihr.ac.uk/documents/nihr-open-access-policy/28999>

<https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy>

<https://www.openaire.eu/how-to-comply-to-h2020-mandates-for-publications>

<https://www.leru.org/publications/implementing-open-science>

<https://www.coalition-s.org/why-plan-s/>

Internal

<https://www.uhi.ac.uk/en/t4-media/one-web/university/about-uhi/strategy-and-planning/strategic-plan-2021-25.pdf>

<https://www.uhi.ac.uk/en/t4-media/one-web/university/about-uhi/governance/policies-and-regulations/policies/copyright-policy.pdf>

<https://www.uhi.ac.uk/en/t4-media/one-web/university/about-uhi/governance/policies-and-regulations/policies/Equality,-Diversity,-and-Inclusiveness-Policy.pdf>

Jisc have two tools to help check on funder policies and journals that might match those policies:

UK Funders OA policies are indexed by the Sherpa Juliet service from Jisc, see:

<https://v2.sherpa.ac.uk/juliet/>

Check if a particular journal complies with the policy of the agency funding the article:

<https://v2.sherpa.ac.uk/fact/>

Further open research tools available from Jisc at:

<https://www.jisc.ac.uk/open-research#>