The Babraham Institute

BI-IM-001 OPEN ACCESS PUBLISHING POLICY

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Version control

Date	Version	Status	Summary of Changes
13 January 2021	1.0	Archive	New in the 2020 Policy Review
20 July 2022	1.1	Active	Minor tweaks to formatting/grammar

Document approval

Define the approval authorities for the document

Document version	Approved by	Position	Date
1.0	Babraham Executive Committee	N/A	13 January 2021
1.1	Stephen Barrett	Project Officer	20 July 2022

Distribution

Name or Group	Date of issue	Version
All staff and associates	18 January 2021	1.0

Associated policies, procedures and guidance

This policy should be read in conjunction with:

BI-RES-001 Authorship Policy

BI-KEC-001 Intellectual Property Policy

UKRI Open Access Policy

Contents

1. Definitions

"Open Access"	Unrestricted, online access to peer-reviewed and published research papers free of any access charge.
"Gold Open Access"	'Gold' Open Access is the term used when a publisher makes the work openly available at publication. This can be through a fully Open Access journal (which often, but not always, have article processing charges) or by making a single article Open Access in an otherwise subscription journal (these are called 'hybrid' journals and they always impose an article processing charge).
"Green Open Access"	Green Open Access means that a version is available somewhere else (e.g., on an author's institutional website, or in a repository), a practice commonly referred to as "self-archiving".
"Employee"	Institute employees on Institute or Babraham Institute Enterprise Ltd (BIE) terms and conditions, Institute employees on BBSRC or other terms and conditions, and Research Fellows on Institute terms and conditions.
"Staff"	Employees and Babraham Institute registered PhD students.

2. Commitment statement

2.1.   At the Babraham Institute our mission is to be an international leader in research focusing on basic cell and molecular biology with an emphasis on healthy ageing through the human life course.

2.2.   Research and operational excellence are essential to meeting our vision of being at the forefront of research that improves lives. The Institute Values set out our approach to how we operate across all Institute activities, both at an individual level and together as the Babraham Institute. The expectation of the Institute is that each staff member looks to represent and reflect the Institute Values within their own contributions and function, and to support and not hinder the expression of these Values in the work of others.

2.3.   We believe that free and open access to the outputs of publicly funded research offers significant social and economic benefits, as well as aiding the development of new research. We support the UK Research Councils' Open Access policy in respect of our research. The Government, in line with its overarching commitment to transparency and open data, is committed to ensuring that published research findings should be freely accessible.

3. Purpose

3.1.   The Institute policy on Open Access Publishing aims to achieve immediate, unrestricted, online access to peer reviewed and published research papers, free of any access charge in line with the Research Councils policy on open access publishing.

3.2.   Our vision is for all users to be able to read published research papers in an electronic format. Users should also be able to search for and re-use (including download) the content of published

research papers, both manually and using automated tools (such as those for text and data mining), provided that any such re-use is subject to full and proper attribution.

3.3.   Most major research funders now have a mandate for outputs to be made open access. By accepting a research grant, the grant holder is required to provide open access to the publications arising from the funded research. Funder open access policies are important for supporting research outputs becoming openly accessible by academic and non-academic audiences.

4.   Scope

4.1.   This policy applies to:

- Institute employees on Institute or Babraham Institute Enterprise Ltd (BIE) terms and conditions
- Institute employees on BBSRC or other terms and conditions
- Research Fellows on Institute terms and conditions
- Research Fellows (honorary)
- Honorary Members of Faculty
- Babraham Institute registered PhD students

4.2.   The policy applies to peer-reviewed research articles (including review articles not commissioned by publishers), which acknowledge UKRI funding, that are submitted for publication from 1 April 2013, and which are published in journals or conference proceedings.

4.3.   The policy also applies to the majority of our other funders but there could be variations. Researchers should refer to their individual conditions of grant. Funders that pay for open access include the Wellcome Trust, Cancer Research UK (CRUK), British Heart Foundation (BHF) and the European Commission.

5.   Institute responsibility

5.1.   The Institute receives a block grant from UKRI and hase established an Open Access publication fund to pay Article Processing Charges (APCs).

5.2.   The Institute Grants Office is responsible for requesting Open Access funding at the time of grant application to non-UKRI funders.

5.3.   The Policy Owner is responsible for reviewing the effectiveness of this policy internally through compliance reporting.

6.   Researchers' responsibility

5.4.   Researchers, as the generators of all of the research papers and responsible for much of their peer review, are expected to publish any peer-reviewed research papers in journals that are compliant with the Institute policy on Open Access publication. All papers must include acknowledgement of the funding that supported the research and, if applicable, a statement on how the underlying research materials (data, samples or models) can be accessed. For information about authorship and acknowledgements, see the Authorship Policy (BI-RES-001).

5.5.   Researchers are responsible for ensuring that their papers are published under the correct route and with the correct licence according to their funders' requirements.

6.   Journal compliance

6.1.   The Institute recognises a journal as being compliant with this policy if:

- The journal provides, via its own website, immediate and unrestricted access to the final published version of the paper, which should be made available using the Creative Commons Attribution (CC BY) licence, and allows immediate deposit of the final published version in other repositories without restriction on re-use. This will almost certainly involve payment of an APC to the publisher. This is the preferred method of Open Access (called Gold Open Access) and the Institute has funds available to meet APCs. Please contact the Policy Owner for details of how to pay this charge.

    Or

- The journal consents to the deposit of the final Accepted Manuscript in any repository, without restriction on non-commercial re-use and within a defined period. No APC will be payable to the publisher. This is known as the Green route to Open Access publication and it is not the Institute's preferred route. The Institute will not accept a delay of more than six months between online publication and the final Accepted Manuscript becoming Open Access. Researchers cannot therefore publish in journals that have an embargo period longer than 6 months.

6.2.   The Institute recognises that copyright of the manuscript itself normally remains with the author, as reflected in the historical right and tradition of authors to publish online manuscript versions of their papers even before submission, and this will continue.

6.3.   A compliance checker for journals is available here: Sherpa Fact[1]. Please note that this is not always 100% accurate.

7.   Other considerations

7.1.   Researchers should be aware that pre-prints do not replace the Gold route for Open Access. Please also remember that depositing pre-prints and data in bioRxiv (or similar) and public databases counts as disclosure when it comes to intellectual property, just as it does if you speak at a conference. If your research may have commercial potential, please speak to the KEC team prior to any publication. See the Intellectual Property Policy (BI-KEC-001) for further information.

7.2.   PhD students should follow the University's policy regarding the publication of their theses.

8.   Further information

8.1.   This policy will be reviewed regularly to incorporate any changes, legislative or otherwise. The next review date is specified on the cover sheet.

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[1] http://www.sherpa.ac.uk/fact/

8.2.   Associated policies, procedures and guidance are listed on the cover sheet. The Policy Owner named on the cover sheet can be contacted with any queries.

8.3.   This policy may be varied, withdrawn or replaced at any time by the Institute at its absolute discretion.