

Health and Care Research Wales Open Access Policy

Introduction

Open access publishing makes academic research freely, immediately and permanently available online for anyone to read, share and reuse. This policy supports the fundamental principles that ideas and knowledge derived from publicly funded research should:

- be made available and accessible for public use as widely, rapidly and effectively as possible;
- be freely discoverable to those that may wish to research, share and use the outcomes of our published research, including patients, service users, carers and the public; and
- be preserved and remain accessible for future generations.

Health and Care Research Wales is committed to ensuring that data and publications resulting from the research we fund are accessible to as many people as possible. We believe that open access publishing is essential to the research community as it encourages timely sharing of knowledge, prevents duplication and waste, and ultimately accelerates research progression.

Scope

This policy applies to all peer-reviewed research articles (including reviews not commissioned by publishers and conference papers) that are

- supported in whole or in part by Health and Care Research Wales funding; and
- are submitted for publication on or after 1 September 2022.

The policy does not apply to articles submitted for publication prior to 1 September 2022. However we encourage authors to self-archive such articles on Europe PMC, which they can do at no additional cost.

Policy

1. All in-scope articles must be made **open access immediately** as soon as they are published, without any embargo period.

2. The most up to date Version of Record or the Author Accepted Manuscript must immediately be made freely available through **Europe PMC**, without any embargo period.
3. 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), so that all users of the research can disseminate and build upon the material for any purpose without further permission or fees being required.

As an exception, you can ask for individual articles to be published under a Creative Commons No-Derivatives licence (CC BY-ND), so that your research cannot be used to create derivatives works without your permission. To apply for this exception, you should email healthandcareresearchgrants@gov.wales. You will need to have your request approved before your paper is submitted for publication.

These licensing requirements do not apply to any materials included within a research article that are provided by third-party copyright holders. The third-party materials in the article can be subject to more restrictive copyright licences than outlined in this policy.

4. Publications should **acknowledge Health and Care Research Wales support**. You must include the following text in all submissions:

'This research was funded in whole, or in part, by Health and Care Research Wales [Grant number xxxxx]. For the purpose of open applied [a Creative Commons Attribution (CC BY) licence] [an 'Open Government Licence'] (or where permitted by the National Institute for Health Research) [a Creative Commons Attribution No-derivatives (CC BY-ND) licence] to any Author Accepted Manuscript version arising'.

5. All in-scope research articles must include a **data statement** describing how the underpinning research data can be accessed. Where there are reasons to protect access to the data, for example commercial confidentiality or sensitivities around data derived from potentially identifiable human participants, these should be included in the statement.
6. Health and Care Research Wales will pay reasonable open access fees (such as Article Processing Charges) required to effect publication in line this policy (see **Advice on costs** below).

Compliance

In practice, our open access policy means researchers need to either publish their article in a journal that offers an immediate open access option (sometimes called “Gold Open Access”), or one that allows the author to self-archive the final manuscript in EuropePMC immediately.

Health and Care Research Wales monitors compliance with this policy, including reviewing information that has been reported through Researchfish and EuropePMC.

From 1 April 2022, these policy requirements will be made part of the Health and Care Research Wales grant conditions.

Advice on choosing a journal

All of our award holders submitting manuscripts to journals should find out in advance whether the journal in question will enable them to meet the requirements of this policy, either by offering an immediate Open Access option, or by permitting the author to self-archive the manuscript immediately on EuropePMC under an open licence.

The [SHERPA RoMEO](#) service, hosted by the University of Nottingham, is an online resource that give information on a journal-by-journal basis of the publisher’s copyright and open access archiving policies.

Open access option

Journals providing an immediate (Gold) open access option include all the open access publishers (such as BioMed Central and the Public Library of Science) as well as an increasing number of traditional publishers who have introduced a model in which individual articles can be made open access.

The author will usually have to pay a fee for the Gold open access option, such as an Article Processing Charge. Authors working in a University should explore whether their HEI holds a transformative ‘read and publish’ agreement with the journal publisher, as they may then be able to make the article open access without an additional fee.

A benefit of using this option is that the journal will usually take responsibility for depositing the final, published version of your paper in EuropePMC on the day of publication. Authors should check that this is the case, as otherwise they will need to deposit the final version in EuropePMC themselves.

Self-archiving option

If you submit your manuscript to a publisher that does not offer an open access option you can still comply with our open access policy by depositing a copy of the final, peer reviewed manuscript in EuropePMC on the journal publisher's official date of final publication.

Europe PMC has an [author manuscript submission system](#). We will provide the names and contact details of our grant holders to EuropePMC and this will allow you to deposit your manuscript free of charge. Guidance on how to self-archive and details of other benefits and tools made available through Europe PubMed Central, are available on the Europe PubMed Central website: <http://plus.europepmc.org/>.

Please note that the ability to self-archive your article relies on the Author Accepted Manuscript having an open licence applied to it. Authors will need to notify the journal at the point of submission that they have an obligation to deposit their article immediately in EuropePMC.

If the publisher's policy is in conflict with this obligation and immediate deposition in EuropePMC cannot be negotiated then you will need to reconsider where to publish your article. This is anticipated to be an exceptional circumstance as most UK funders, and others around the world, have adopted very similar positions, meaning the arrangements suggested here are fast becoming part of normal research practice.

Advice on costs

Health and Care Research Wales grant holders deposit their manuscript in EuropePMC free of charge.

Regarding the open access fees such as Article Processing Charges charged by publishers, in the majority of cases, Health and Care Research Wales researchers can use their project grants or personal awards to meet reasonable costs.

Different journals and publishers provide different or additional value-added services (for example, creating infographics, colour plates, additional pages) which means they can have different Article Processing Charges. We expect our award holders to be aware of the costs of publishing in different journals and to only use journals that they consider represent value for money.

Please note that some journals ask authors to agree to pay a fee at the point of submission. Health and Care Research Wales funding cannot be used to support these fees. Authors should also be aware of "predatory journals" who send spam emails to academics to get them to publish an article, and then charge large publication / open access fees even though these articles are not properly peer-reviewed or indexed in a reputable bibliographic database. You can use the [SHERPA RoMEO](#) service to check for legitimate journals with open access policies.

For researchers working in Universities, it is also worth checking whether your HEI has an agreement in place with the publisher that enables them to publish an open access article for free.

Researchers who are struggling to find funding for open access publication should email Healthandcareresearchgrants@gov.wales

Queries

Any queries about this policy and its implementation should be directed to Healthandcareresearchgrants@gov.wales

Glossary

Article Processing Charge (APC): A publishing fee paid to journals to publish a research article open access.

Author Accepted Manuscript (AAM): The author's version of a research article that has been peer-reviewed and is accepted for publication, prior to typesetting by the publisher. It may otherwise be known as the 'author manuscript' or 'final author version' or 'post-print'.

Creative Commons attribution licence (CC BY): A licence which allows anyone to read, share, and adapt the original material for free, but the user must give appropriate credit and indicate if changes were made.

Creative Commons Attribution No-derivatives licence (CC BY-ND): A licence which allows anyone to read and share the original material for free, with appropriate credit (like the CC BY licence), but with the additional restriction that if the reader adapts the original material, they may not distribute the adapted material.

Data statement: Data sharing statements must be included when publishing the findings of the research describing how to access the underpinning research data.

Discoverable: Discoverable publications mean that they can be found by readers and search engines, usually facilitated through a bibliographic or metadata record associated with the full text.

Embargo: A period during which access to scholarly work is restricted to those who have paid for access.

Europe PubMedCentral ([EuropePMC](#)): A permanent, free-to-access online digital repository which contains full-text preprints and peer-reviewed life sciences publications. It is hosted by European Molecular Biology Laboratory's European Bioinformatics Institute, and is partnered with PubMed Central. Health and Care Research Wales one of the funders. Deposited manuscripts can be found, read and downloaded for free and in full by anyone in the world with internet access. This resource offers our researchers a centrally managed, permanent and stable

repository for their open access publications at no additional cost and simplifies the self-archiving process.

Licence: The licence outlines what a person may do with a third party copyright work (e.g., a Creative Commons (CC) licence or Open Government licence).

Official final publication date: The earliest date that the final version-of-record is made available on the publisher's website.

Open Access: The online permanent availability of scholarly work via the internet, free of charge to individuals who wish to access, read and re-use.

Open Government Licence (OGL): Work created by officers or servants of the Crown in the course of their duties is Crown copyright and cannot usually be assigned away from the Crown. Collaborations between Crown officers or servants and others will also be Crown copyright in respect of the Crown contributions. The default licence which must be used for most Crown copyright information is the Open Government Licence.

Paywall: A method of restricting access to content, (e.g., research articles, news), via a purchase or a paid-for subscription.

Repository: An online archive of scholarly outputs (e.g., Europe PMC). The collection can include publications in peer-reviewed journals, books and book-sections, technical reports, working papers, monographs, conference presentations, research data, audio and visual materials or any other research content that has some scholarly value.

Self archiving: The process of archiving research articles to a repository along with bibliographic metadata (data that describes other data. For items in open access repositories, this usually consists of a full bibliographic reference, abstract, keywords and similar information).

SHERPA RoMEO database: A tool that provides a database of journal and publisher policies on copyright and self-archiving.

Version of Record: The final published version of the article containing the publisher's copy edits and layout.