

# University of York protocol for management of the York Open Access Fund

## 1. About this document

### 1.1. Purpose

1.1.1. This document outlines the principles for allocation of funding from the York Open Access Fund (YOAF). It is intended to give guidance to all stakeholders on eligibility and process for funding of publication costs from YOAF.

### 1.2. Version control

Version	Notes	Author	Date
v.1.0	Initial Draft for feedback from implementation group	Thom Blake	30/03/2013
v.1.1	Incorporating feedback from implementation group	Thom Blake	03/06/2013
	Approved by University Senior Management Group		02/07/2013
v.2.0	Following first 6-month review	Thom Blake	20/12/2013
v.3.0	Draft revision	Thom Blake	30/10/2017
v.3.1	Draft revision incorporating feedback from Open Access Finance Group	Thom Blake	19/02/2018
	Approved by University Research Committee		14/03/2018

## 2. Background

### 2.1. York Open Access Fund

2.1.1. YOAF is the mechanism established by the Library for payment of open access article processing charges (APCs) and related publication charges. It is intended to facilitate a coordinated

approach to funding, monitoring and reporting of open access costs and to provide best value to the University and research funders in the payment of these costs.

## 2.2. Funding streams

2.2.1. YOAF comprises block-grant funding from UK Research and Innovation (UKRI), the Charity Open Access Fund (COAF), and occasional funding from the Wellcome Trust in addition to their contribution to COAF.

2.2.2. Details of UKRI open access funding can be found on the UKRI open access web pages ([www.ukri.org/funding/information-for-award-holders/open-access/](http://www.ukri.org/funding/information-for-award-holders/open-access/)).

2.2.3. More information about the COAF can be found on the COAF webpages (<https://wellcome.ac.uk/funding/managing-grant/charity-open-access-fund>).

## 3. Protocol

### 3.1. Eligible authors

3.1.1. YOAF is open to requests from staff or students affiliated with University of York. The author making the request should be a member of the University at the time that the output is submitted for publication.

3.1.2. The author requesting funds must acknowledge support from one or more of the eligible research funders (see 3.2).

3.1.3. Where more than one author of the output acknowledges support from an eligible research funder YOAF can pay all eligible costs on behalf of those authors, without seeking to split costs between institutions.

3.1.4. If an output also acknowledges support from a research funder which has an open access requirement but is not one of the eligible research funders for YOAF, then it may only be possible for YOAF to pay part of eligible costs in proportion to the contribution of the eligible research funders.

### 3.2. Eligible research funders

3.2.1. To be eligible for payment of publication costs from YOAF, outputs must acknowledge funding from one of the UKRI Research Councils, excluding Research England or Innovate UK, or one of the medical charities contributing to the Charity Open Access Fund (COAF) scheme. Membership of these schemes may change over time.

### 3.3. Eligible output types

#### **For UK Research and Innovation (UKRI) funding**

3.3.1. YOAF can pay publication fees for outputs included in the scope of the RCUK Policy on Open Access (<https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/>).

#### **For Charity Open Access Fund (COAF) or Wellcome Trust funding**

3.3.2. YOAF can pay publication charge for outputs eligible for funding according to the COAF terms and conditions (<https://wellcome.ac.uk/funding/managing-grant/charity-open-access-fund>).

### 3.4. Eligible publications

#### **For UK Research and Innovation (UKRI) funding**

3.4.1. Outputs accepted for publication in any journal or conference proceeding are eligible for a payment from YOAF, as long as the publication will allow compliance with the RCUK Policy on Open Access (<https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/>) and the criteria set out in this document.

3.4.2. In the event that available funds become reduced to a sufficiently low level, eligibility will be restricted to outputs where payment is required in order for the output to be published in accordance with the RCUK Policy on Open Access (<https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/>) and the criteria set out in this document. The Library will be responsible for determining the level of funding at which this restriction becomes necessary and for communicating any changes in eligibility as appropriate.

3.4.3. For outputs acknowledging funding from the Medical Research Council (MRC), the journal must either deposit a copy of the output to PubMed Central/Europe PubMed Central, or allow the author to do so.

#### **For Charity Open Access Fund (COAF) or Wellcome Trust funding**

3.4.4. COAF or Wellcome Trust can only be used to pay publication fees to a publisher that has agreed to comply with the COAF terms and conditions. Further details are available through the COAF publisher requirements webpage (<https://wellcome.ac.uk/funding/managing-grant/publisher-requirements>).

### 3.5. Eligible costs

#### **For UK Research and Innovation (UKRI) funding**

3.5.1. Where outputs will acknowledge funding from one of the UKRI research Councils, YOAF can be used to pay for article processing charges (APCs) and/or other publication costs such as page charges or colour figure charges. In all cases, the output must comply with the RCUK Policy on Open Access (<https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/>).

### **For Charity Open Access Fund (COAF) or Wellcome Trust funding**

3.5.2. Funds from COAF or Wellcome Trust open access funding can only be used to pay for open access APCs. Other publication costs, such as page charges or colour figure charges, cannot be reimbursed. In some cases, these costs may be able to be reimbursed from the original research award.

## **3.6. Conditions of publication**

### **Open access**

3.6.1. Where an APC is paid from YOAF the output must be made open access immediately on publication.

### **Licensing**

3.6.2. Where an APC is paid from YOAF the output must be published under a Creative Commons Attribution (CC BY) licence.

### **Acknowledgement of research funding**

3.6.3. The output should acknowledge research funding in the form required by the funder. This will usually be in the format: "This work was supported by the Economic and Social Research Council [grant number xxxx].", or "This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Natural Environment Research Council [grant number zzzz]; and the Economic and Social Research Council [grant number aaaa]."

### **Acknowledgement of affiliation to University of York**

3.6.4. The output should acknowledge affiliation to University of York. This should be in the format given in the University Policy on the Publication of Research

([www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/policy-on-the-publication-of-research/](http://www.york.ac.uk/about/departments/support-and-admin/information-services/information-policy/index/policy-on-the-publication-of-research/)).

### **Deposit to PubMed Central / Europe PubMed Central - For UK Research and Innovation (UKRI) funding**

3.6.5. Where an output acknowledges funding from the Medical Research Council (MRC), to be eligible for funding from YOAF the publisher of the article or the author making the request must agree to deposit a copy of the accepted article to the PubMed Central or Europe PubMed Central repository.

### **Deposit to PubMed Central / Europe PubMed Central - For Charity Open Access Fund (COAF) or Wellcome Trust funding**

3.6.6. To be eligible for funding from YOAF the publisher of the article must agree to deposit a copy of the accepted article to the PubMed Central or Europe PubMed Central repository.

## **3.7. Allocation of funds**

3.7.1. Allocation of APC funds from YOAF is on a 'first come, first served' basis for all eligible costs. There is no internal peer-review.

3.7.2. There is no upper or lower limit placed on the cost of APCs

3.7.3. Funds from YOAF can only be allocated once an output has been accepted for publication.

### **3.8. Requests for payment of fees**

3.8.1. Requests for payment of fees from YOAF should be submitted using the online request form ([www.york.ac.uk/library/info-for/researchers/open-access/yoaf/fund/](http://www.york.ac.uk/library/info-for/researchers/open-access/yoaf/fund/))

3.8.2. Where possible, it is recommended that authors request payment of fees before submission of the output to the journal. This will allow the Library to advise on whether or not a chosen journal is compliant with funder requirements and whether an output is eligible for funding from YOAF. However, availability of funding cannot be confirmed until an output has been accepted for publication.

3.8.3. Requests for payment from YOAF should be made before publication. APCs can only be paid from YOAF if a paper is made open access immediately on publication. If an output has already been published as non-open-access, YOAF cannot be used to pay APCs to make the output open access retrospectively.

### **3.9. Responsibilities**

3.9.1. Allocation of funds from the YOAF will be closely monitored and the allocation policy will be kept under review.

3.9.2. The University will work with UKRI, other universities, and other relevant organizations to develop and follow best practice in allocation of open access funding.

3.9.3. The Library will maintain agreements with publishers where appropriate to ensure best value is obtained for payments from YOAF.

3.9.4. The Library will be responsible for reporting to research funders about use of funds from the YOAF, as well as reporting to University executive and external auditors as appropriate.

3.9.5. The Library will provide appropriate data about use of the YOAF to Jisc to support negotiations with publishers and other stakeholders.

3.9.5. The Library will provide advice and support on Open Access and application to the YOAF.