Open access publications policy

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Purpose	Detailing the University's approach to open access to ensure the widest possible access to its research publications.

Version number	Purpose / changes	Document status	Author of changes, role and school / unit	Date
3.8	Amendment to 14.3, contact details updated.	Published	Prof. Tom Brown, VP Research, Collections and Innovation	10/3/2025

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Glossary

TERM	DEFINITION
Open access	Open access (OA) refers to research outputs that can be freely accessed by anyone in the world via the internet so that it can be used without licensing restrictions for research, teaching or other purposes. Scholarly norms including proper attribution apply.
Green OA	'Green' OA means a version of the work is made available through a public repository
Gold OA	'Gold' OA means the final version of the work is immediately open upon publication via a publisher's website. Different business models can apply, *sometimes* but not always reliant on publication fees (see APC / BPC).
Diamond OA	'Diamond' OA is a subset of Gold OA to describe publications which are fully open access from a publisher website without payment of individual publication fees. Diamond journals are often supported by sponsorship, membership or partnership models.
Hybrid journals	Hybrid journals are those which operate a mixed model, with some content only available to subscribers or via a paywall, and some articles open access. The OA content requires payment of publication fees (individually or via publisher agreements)
APC / BPC	Some publishers operate models which require payment of publication fees to achieve 'Gold' OA, called Article Processing Charge (APC) or Book Processing Charge (BPC). APCs can range from £500 - £9000, BPCs can range from £3000 - £12000
REF	A form of regular research assessment exercise which takes place in the UK, the most recent exercise being the Research Excellence Exercise (REF) 2021
DORA	San Francisco Declaration on Research Assessment (DORA) is a set of recommendations to improve the ways in which the output of scientific research is evaluated by funding agencies, academic institutions, and others.
Institutional Repository	An institutional repository is a platform (and the associated services) provide by an institution to manage and disseminate content from its academic community. In St Andrews we use a repository platform called DSpace for publications and e-theses, linked to our research information system Pure.
Pure	Pure is the research information system which brings together key information on all aspects of research at St Andrews. All researchers have a Pure account and can maintain a research profile, create records, and upload publications and underlying data.
Preprint	A preprint is a full draft research paper that is shared publicly before it has been peer reviewed. Most preprints are given a digital object identifier (DOI) so they can be cited in other research papers.
Embargo	In this context an embargo means a delay to open access of a version of a publication, for example an accepted version released via repository 12 months after publication.
Articles and proceedings	The broad set of publication types which are peer reviewed and published in journals, on formal publishing platforms and in conference proceedings. The distinguishing

	feature is the presence of an ISSN (International Standard Serial Number) on the publication. Does not include edited collections with an ISBN
Books and chapters	Scholarly works defined in the policy as 'books and chapters' are formally published with an ISBN (International Standard Book Number) with some publication types defined as out of scope, including creative writing and textbooks.
Creative Commons	Creative Commons (CC) is an organisation and de facto standard for open access licensing, using a set of standard licences to express the terms of reuse for end users. The licence required by most funders has a basic 'Attribution' requirement (CC BY) and other licences introduce restrictions such as 'non-commercial' (CC BY-NC). See licence explainer: https://creativecommons.org/licenses/
Data Access Statement	Data access statements allow users to discover, access and cite the data underpinning a publication. Statements should always be included in articles to make it clear if and where data exists, as well as any valid reasons why it must be restricted.
Third-party material	The copyright in content such as images or figures contained within a publication may be owned by others. Inclusion of this material may be covered by 'fair use' under copyright law or may require additional permissions. Third-party material may be subject to different licences for reuse from the licence of the containing publication.
Persistent identifiers	A persistent identifier is a way to identify a digital item permanently and uniquely. The most widely used identifier is a 'Digital Object Identifier' (DOI) commonly assigned to articles, books, preprints, and datasets.
ORCID	Open Researcher and Contributor ID (ORCID) provides a persistent digital identifier that distinguishes you from every other researcher. ORCIDs are often required by research funders and publishers and are used in other systems to uniquely identify authors.
First online publication	This refers to the date the final, publisher's 'version of record' is first made available, such as on a publisher's website. This usually means an 'early online' date rather than date of a print publication.

Statement

1. The University of St Andrews is strongly committed to ensuring the widest possible access to its research and maintaining the ability for researchers to publish in the venue best suited to ensure effective communication of research results. Making research outputs more readily available to read and share increases the potential for community engagement, citation, reuse and impact.

2. Open access (OA) must be globally sustainable and equitable and make the best use of resources, with innovative business models and community approaches encouraging a vibrant publishing ecosystem, thus making scholarly research more open and accessible to the public. The University recognises scholarly research as a collaborative endeavour transcending national borders, for which communication and discourse are essential. We are committed to social responsibility and will make our research findings widely available for local, national and global benefit (*University Strategy*).

3. The University encourages, and in some cases requires, researchers to provide open access to published research, to meet our ambitions for open research, enable compliance with research funders who mandate open access to the work they support, and ensure policies align with rules for REF or future research assessment exercises.

4. The University supports a variety of approaches to open access, enabling academics, researchers, staff and students to publish in the venue of their choice. As a signatory to DORA, the University is fully committed not to judge research works by their venue of publication. This policy embeds our preference for 'green' open access via our institutional repository.

Purpose

5. This policy is designed as an enabling mechanism, supporting good research practice and being of benefit to authors and readers. We aim to:

   5.1. Enable the University and its researchers to disseminate scholarly research results as widely as possible.

   5.2. Raise awareness of the need to retain sufficient author rights and embed practice of '*act on acceptance: deposit in Pure'*.

   5.3. Support researchers to achieve compliance with funder requirements.

   5.4. Maintain choice of where to publish, retaining quality and excellence in our outputs.

   5.5. Build on the University's [Intellectual Property Policy](#) by setting out the rights retained by authors, the licensing mechanisms and the practical steps to achieve open access.

   5.6. Support and encourage good open research practices for research activity relating to publishing and dissemination more broadly, including use of preprints, underpinning research data, attribution and acknowledgements and use of persistent identifiers.

Scope

6. This policy applies to all staff at the University of St Andrews who produce materials of a scholarly nature created in the course of employment.

7. Materials in scope of this policy include original journal articles, review articles (including invited and commissioned), published conference proceedings, monographs, edited collections, and book chapters.

8. Materials in scope will have different requirements, and are separated into 2 types:

   8.1. Articles, including reviews, peer reviewed and accepted for publication in a journal or on a publishing platform, and conference papers accepted for publication in proceedings with an ISSN [hereafter "**Articles and proceedings**"]

   8.2. Long-form works, including academic monographs, book chapters and edited collections: these are scholarly works by one or more authors which are formally published with an ISBN and intended for an academic audience. They will normally have undergone peer-review or editorial control. [hereafter "**Books and chapters**"]. The policy for books and chapters currently only applies where funder mandates are in effect (see 15.1)

9. Materials **out of scope** of this policy include (but are not limited to): book reviews, editorials, commentary and opinion pieces; conference papers presented at a conference but not published (whether in proceedings, journals or books with ISSN or ISBN); conference abstracts; preprints; scholarly editions, trade books, textbooks, creative writing and fictional works; research data and software (covered by a separate but closely aligned [Research Data Management policy](#)); teaching materials; materials covered under 'defined exceptions' in section 16.

10. Policy scope will be kept under review and may be revised in response to institutional strategic objectives and external funder policies.

Intellectual Property and Copyright

11. This policy confirms the ownership of copyright as set out in the [Intellectual Property Policy](). **All staff should ensure they are aware of the rights governing materials of a scholarly nature, summarised below**:

   11.1.   Principle 1: Clause 10 of the IP Policy states that as employer the University generally holds copyright in works produced by employees, however the University waives ownership of copyright in scholarly materials. This is a long-standing commitment, enabling authors to enter into agreements with publishers and undertake the standard practice of signing publication agreements.

   11.2.   Principle 2: Waiving of copyright comes with the obligation to grant to the University a non-exclusive, irrevocable, royalty-free licence including the right for the University to sub-licence to third parties*. Clause 11 of the IP Policy sets out this 'grant of rights' by authors to the University, which acts to rebalance ownership and rights in scholarly works regardless of any downstream arrangements between authors and publishers. The sub-licence essentially enables dissemination through the University's repository system(s) which are in turn accessed by third party indexing services as well as researchers. Sections 14 and 15 of this policy specify the sub-licences and processes required for depositing accepted manuscripts of journal articles in the institutional repository and / or depositing other materials of a scholarly nature where required for compliance with external funding bodies.

   11.3.   The University acknowledges the fact that scholarly works may be the result of collaboration with researchers who are not employed by the University of St Andrews, and therefore copyright is sometimes held jointly with co-authors who are not automatically subject to this OA Policy. It is endeavoured that all points of our OA Policy are met and University of
   St Andrews staff should bring this to the attention of their co-authors as early as possible. If full compliance turns out not to be feasible, the 'protocol for alternative options' laid out under point 17 should be followed.

   * "***In return for the University waiving ownership of copyright the owners will grant to the University a non-exclusive, irrevocable, royalty-free licence including the right to sub-license to third parties.***" [***IP Policy***]

Practical application / procedures

12. The method of Open Access enabled by this policy is known as 'Green' open access and is based on authors retaining sufficient rights to self-archive a version of the article within an institutional or other repository for free public use. Works deposited under the terms of this policy will be made publicly available as described in sections 14 and 15.

13. The Green approach provides most of the benefits of open access in a cost-effective way while being globally sustainable and equitable. It builds on our existing research information management system (Pure) and the institutional research repository. Under the University's IP Policy each staff member grants a licence* to the University for 'reasonable purposes' which includes deposit to our institutional repository. This mechanism supersedes any downstream licence that a publisher may try to impose, and researchers will be fully supported by the University to achieve open access under the terms of this policy.

14. Articles and proceedings:

14.1.　　In the case of articles and conference proceedings with an ISSN, authors grant the right to the University to make accepted manuscripts available under the terms of a Creative Commons Attribution (CC BY) licence immediately following first online publication.

14.2.　　To achieve Green open access, staff will record their articles and proceedings in Pure at the time of acceptance and will provide an electronic copy of the author accepted manuscript (AAM) for deposit in Pure. Researchers should follow the latest deposit guidance which will be available through the Open access webpages or contact the OA team for advice: openaccess@st-andrews.ac.uk

14.3.　　In order to convey the rights retained by staff in their work, publishers have been formally notified in advance that this policy applies. For additional transparency, or where a funder requires it, authors can include the following statement in the acknowledgement section and cover letter of their submission:

"*In order to meet institutional and research funder open access requirements, any accepted manuscript arising shall be open access under a Creative Commons Attribution (CC BY) reuse licence with zero embargo.*"

An alternative statement with the same intended outcome, if required by specific funders such as UKRI, can be used instead.

14.4.　　The University will make the AAM available to the public via the institutional repository under a Creative Commons Attribution (CC BY) licence immediately following first online publication.

14.5.　　Staff must include a Data Access Statement in all articles to inform readers whether underpinning data exist and if possible, where data can be accessed. Research data underpinning the published work should be compliant with the University's Research Data Management policy and research funder guidelines. See details in section 22.

14.6.　　The policy for articles and proceedings takes effect for articles submitted from 1 Feb 2023. The policy does not apply to articles submitted or accepted prior to the adoption of this policy.

15. Books and chapters

15.1.　　**The policy for books and chapters only applies to those works that have a funder mandate in effect**, for example books supported by Wellcome Trust or Horizon Europe, or long-form publications acknowledging UKRI funding published on or after 1 January 2024. Authors should refer to their grant terms and conditions. For all other books and chapters, open access is encouraged but not required.

15.2.　　In the case of monographs, edited collections, and book chapters authors grant the right to the University to make manuscripts available under a choice of Creative Commons licence including more restrictive variants where necessary, within 12 months of publication.

15.3.　　Staff will record these works in Pure at the time of acceptance or earlier and will provide an electronic copy of the author's accepted manuscript (AAM) for deposit in Pure unless an exception applies.

15.4.　　The University will make the AAM available to the public via the institutional repository under a Creative Commons licence after an embargo period, typically of 12 months, or sooner if required by research funders. A Creative Commons Attribution (CC BY) licence is preferred, but other Creative Commons licences are permitted.

15.5.　　Third-party material contained in the work can be included under more restrictive licences or removed from the open access version if rights cannot be obtained for reuse.

16. Defined exceptions

The OA team will manage defined exceptions following dialogue with authors, without need for further approval. Authors will be informed if their request for an exception would cause issues with funder policy compliance.

16.1. For articles and proceedings:

16.1.1. an alternative Creative Commons licence may be used on the deposited AAM where a funder allows it, or if there is no external funder mandate or REF requirement. The author must inform the OA team of their preference for an alternative licence.

16.1.2. A 'closed' deposit of AAMs for articles & proceedings will be required even if an exception applies.

16.2. For books and chapters:

16.2.1. If complete monographs and edited volumes are made fully open access on a publisher's website under a Creative Commons licence, the creation and deposit of AAMs may not be required unless there is an external funder or research assessment mandate in effect.

16.2.2. If removal of third-party content would make the AAM unsuitable for sharing, an exception will apply and the AAM will be retained as 'closed' access in Pure.

16.2.3. If an existing contract is in place that prevents adherence to this policy, authors should refer to the 'protocol for alternative options'.

16.3. Reasonable adjustments

16.3.1. Exception(s) may apply if an individual is unable to follow this policy due to disability or other protected characteristics. Where requested, and if possible, we will make reasonable adjustments to ensure all individuals can equitably comply with the OA policy. Examples may include providing assistance with deposit of AAMs and providing reminders of timebound elements.

16.3.2. For advice on reasonable adjustments please contact the Equality, Diversity and Inclusion team: diversity@st-andrews.ac.uk

17. Protocol for alternative options

17.1. The University acknowledges that there might be circumstances that call for alternative procedures for in-scope publications and will consider reasonable requests on a case-by-case basis.

17.2. As stated in the University's IP Policy "*The University will consider requests to terminate or modify licenses on a case by case basis.*" This means if a situation arises outwith the control of authors **and an exception does not already apply to material in scope** (see sections 8, 15.1 and 16), it will be permissible for staff to consider alternative options for a specific publication following a request to the OA team.

17.3. The OA team will advise authors on potential alternatives including negotiating with publishers on amending copyright licences, and support will be available from the University's Copyright Officer and Chief Legal Officer. The University will stand behind staff who face legal action, and will accept responsibility and liability for such claims, where staff have properly followed University policy and guidance as set out in this policy and/or funder's policies.

17.4. Requests must be made as early as possible and in all cases before final publication and may be referred to the Head of Open Research, Head of School, or VP (Research, Collections & Innovation) if necessary. Authors will be informed if an alternative option would affect compliance with funder policies.

17.5. Further guidance is available on OA web pages under Rights retention alternative procedure.

18. Publisher-provided open access

18.1.   Publicly funded OA without any fees to authors or readers (Diamond OA) is a suitable alternative to Green OA, also being globally sustainable and equitable.

18.2.   Diamond OA is distinguished from other Gold OA models that are based on payment of Article or Book Processing Charges (APC/BPCs). The University acknowledges that such 'Gold' open access may be a suitable alternative, for example when immediate open access of the final published version is covered by a publisher agreement which constrains costs. In some cases, the most appropriate venue may be fully open access (not hybrid) under a model which requires reasonable Article or Book Processing Charge (APC/BPC) to be paid in order to publish.

18.3.   The OA team administers open access publication funds which are available to academic authors in certain cases where reasonable APC/BPCs are required to be paid (i.e., in fully OA venues). Enquiries about funding must be made in advance of submission. See OA web pages for further information about OA costs and criteria.

18.4.   The University does not support payment of APCs in hybrid journals from central funds unless covered by a transitional agreement. Instead, Green OA is enabled through the rights retention strategy in this policy.

Additional publishing and open research practices

19. Required acknowledgements

19.1.   For maximum visibility of our research, the University requires all publications to be correctly identified and affiliation to St Andrews to be recognised in bibliometric sources where it is appropriate to do so. [See Publication practice and authorship for further guidance].

19.2.   This policy requires all staff with a contracted time of at least 0.2 FTE to include their affiliation on all research publications, using an address which includes the exact phrase "University of St Andrews" as a minimum, where research is connected to the University.

20. Persistent identifiers

20.1.   ORCID (Open Researcher and Contributor ID) is a globally recognized persistent identifier which distinguishes individual researchers and helps to ensure publications are attributed correctly. ORCID aids discoverability and is a mandatory requirement for some funders and publishers.

20.2.   The University expects all research staff to have an ORCID, which should be created and maintained in Pure. Support, training, monitoring and reporting processes are in place.

21. Preprints

21.1.   Preprints are manuscripts prior to formal peer review, typically uploaded by authors to preprint platforms such as arXiv, bioRxiv or SocArXiv, and *may* also be submitted to journals for peer review. Preprints themselves are not in scope of this rights retention policy; however, the University encourages researchers to share preprints as openly as possible where appropriate for the discipline. Researchers should also follow any grant conditions on sharing of preprints, for example where there would be public health benefit.

21.2.   Where a preprint is publicly available on a preprint platform with a DOI, researchers are encouraged to record these in Pure. Creative Commons Attribution (CC BY) licences are recommended for preprints.

22. Open data, software and code

22.1.   As mentioned in 14.5, all articles must include a Data Access Statement.

Statements should enable citation of underpinning research data by providing a location with a unique identifier (DOI) and any terms of access. Example DAS are provided on our [RDM web pages](#).

22.2.   Data Access Statements must be added to all articles even when there are no data associated with the article or the data are inaccessible. In the latter case, the Data Access Statement must state the reason(s) why the data cannot be made available.

22.3.   Research data, software and code underpinning publications should comply with funder requirements and should follow the principle *as open as possible, as closed as necessary*. For further guidance, refer to the University's [Research Data Management policy](#).

Support, Monitoring and Reporting

23. The University will support researchers in meeting all requirements under this policy, as well as mandates imposed by respective funders and rules of research assessment exercises. Researchers are encouraged to get in touch with the OA Team with any questions that might arise. [Email: openaccess@st-andrews.ac.uk](mailto:openaccess@st-andrews.ac.uk)

23.1.   To assist with accessibility of documents uploaded under this policy and to uphold Digital Accessibility Regulations 2018, we encourage authors to check their manuscripts meet the University's [Digital Accessibility standards](#).

24. The OA team will proactively monitor research outputs to identify specific points on which further guidance or support mechanisms might be indicated. Monitoring aims to further ensure the University's research is compliant with funder and institutional open access requirements, and that its policies align with rules of future research assessment exercises. Dialogue will always take place in the first place with individual authors to resolve any outstanding issues.

25. The OA team will provide quarterly reports to Directors of Research and Heads of Schools on open access compliance. The OA team will work closely with Schools to identify any potential risks of non-compliance and provide the opportunity to identify further supporting mechanisms to help researchers achieve open access.

Related documents and resources

University of St Andrews policies
Intellectual Property Policy:
https://www.st-andrews.ac.uk/policy/research-external-work/intellectual-property-policy.pdf

Research Data Management policy:
https://www.st-andrews.ac.uk/policy/research-open-research/research-data-management-policy.pdf

Using ORCID:
https://www.st-andrews.ac.uk/staff/research/managing/orcid/

Equality, Diversity and Inclusion policy:
https://www.st-andrews.ac.uk/policy/staff-equality-diversity-and-inclusion-review/equality-policy.pdf

Disability policy:
https://www.st-andrews.ac.uk/policy/staff-equality-diversity-and-inclusion-disability/staff-disability-policy.pdf

External policies
UKRI Open Access Policy: https://www.ukri.org/publications/ukri-open-access-policy/

Concordat for Open Research Data: https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-ConcordatonOpenResearchData.pdf

Webpages and resources
Open access webpages:
https://www.st-andrews.ac.uk/research/support/open-research/open-access/

Rights retention guidance:
https://www.st-andrews.ac.uk/research/support/open-research/open-access/rights-retention-strategy/

Copyright guidance:
https://www.st-andrews.ac.uk/policy/library-and-museum-services/copyright-for-teaching.pdf and
https://www.st-andrews.ac.uk/policy/library-and-museum-services/copyright-for-researchers.pdf

Accessibility guidance:
https://www.st-andrews.ac.uk/digital-standards/accessibility/

Equality, Diversity and Inclusion:
https://www.st-andrews.ac.uk/hr/edi/

Glossary – Provided for terms including Green and Gold OA, Data Access Statements, Third-party copyright, Creative Commons (see page 2).

Responsibility and governance

The Open access publications policy is overseen and approved by the Research, Impact and Innovation Committee. Strategic management and oversight of open research activities is provided by the Open Research Working Group, consisting of academic staff representatives and members of Libraries & Museums, Research and Innovation Services and the Principal's Office. Administration of open access compliance, open access funds and local repository services is undertaken by the Open Access Team under the leadership of the Scholarly Communications Manager and Head of Open Research.

Contacts

Open Access support openaccess@st-andrews.ac.uk

Head of Open Research Support openaccess@st-andrews.ac.uk

Research Data Management support research-data@st-andrews.ac.uk

Equality, Diversity and Inclusion team diversity@st-andrews.ac.uk

Digital accessibility guidance digitalcommunnications@st-andrews.ac.uk

Appendix 1: Frequently Asked Questions

1. **Why was revised text relating to open access introduced to the University IP Policy?**

The IP Policy is the overarching governing policy for IP, including copyright in scholarly materials (clauses 10 and 11). It is designed as an enabling policy, so that the University and its researchers can disseminate research and scholarship as widely as possible whilst supporting choice of where to publish. The global research environment also means we need to take steps to meet open research expectations and support compliance with funder requirements.

2. **Who owns the copyright in scholarly materials?**

Under the IP Policy, authors/researchers are the copyright owner. Clause 10 of the IP Policy states that the University waives ownership of scholarly materials for staff. It explicitly changes the underlying legal premise (where employers own copyright by default) and enables the standard practice of authors signing copyright agreements with publishers.

3. **Why are authors required to grant a licence to the University?**

This is to ensure a binding contract is in place that enables effective sharing, for teaching and other purposes. This 'prior contract' between the University and employees means publications can be deposited into our institutional repository. The policy aims to take a balanced approach, with each party having the rights needed to avoid publications being locked behind paywalls.

4. **Why does the related Intellectual Property (IP) Policy not include specific language about rights and licences?**

The IP Policy aims to be clear and concise, while enabling sufficient rights to be retained for all parties so that we can achieve our open access aims. The text was initially clarified by a revised Open Access Policy (v2, March 2022), seeking to maximise alignment with major research funders, particularly with requirements of the new UKRI OA Policy for the types of scholarly publications in scope. Our fully revised OA Policy (v3) explains in detail how OA compliance requirements such as use of Creative Commons Attribution (CC BY) licences can be met while avoiding conflicts with publisher-imposed restrictions on sharing.

5. **Why does the 'grant of rights' take effect on creation and acceptance, not on final publication?**

The version that can be shared via deposit in Pure needs to be the one incorporating all revisions following peer review, but before the publisher has completed final typesetting (as this process often acquires additional copyright protection for the publisher). Copyright arises upon creation and thus it is key that the licence takes effect at this point also.

6. **Why are different licence terms mentioned for different types of publications?**

Requirements for the sharing of articles and conference proceedings are more mature, have been expressed as principles by Plan S and are fully embedded in funders' open access policies. It is widely recognised that works including books and chapters will require a different approach, and we aim to maximise alignment with funder policies and potential future REF policies.

Some specifics are included in the revised University OA Policy, such as 'conference proceedings with ISSN' to differentiate from material out of scope. In all cases we seek to align with UKRI wording where possible.

7. **Why is Creative Commons Attribution (CC BY) stated as the preferred end-user licence?**

A CC BY licence allows the maximum reuse of work while giving appropriate credit to authors. It avoids limitations on downstream use such as translation or some educational settings. CC BY is the required licence for most major funders.

8. **What changes will researchers need to make when publishing?**

Authors will need to be aware of their options at the point of submission and seek advice on rights retention as early as possible. Authors may need to include specific text in their submitted manuscript or cover letter. Advice will be available from openaccess@st-andrews.ac.uk

The embedded practice of '*act on acceptance: deposit in Pure'* can continue for articles and will be required for other publication types in future. The simple message will be supplemented with advice to '*think on submission*' as various options may need to be considered at an early stage.

9.   How will this process work with co-authors from several institutions / countries?

As noted in 11.3 of the policy, the University acknowledges the fact that research works are frequently the result of collaboration with researchers who are not employed by the University of St Andrews. We expect a similar policy and process will be rolled out in institutions across the UK, and in countries where Plan S principles are in effect. You should inform your co-authors of your requirements and send appropriate text to the corresponding/submitting author.

If strict compliance turns out not to be feasible, the procedures laid out under section 17 should be followed. We will develop further guidance on how this will work in practice.

10. Why can we not rely on funders' Rights Retention Strategy alone?

Plan S aligned funders have implemented a [Rights Retention Strategy](#) which has similar intentions to the institutional IP policy changes, i.e. forming a prior obligation regarding open access that is primary to any downstream publisher licences. However, the IP policy differs by shifting the contractual obligation to the author/institution relationship, whereas in the case of Plan S funders' RRS, the contract lies only between funder and institution. This shift to rights retention under an institutional IP Policy gives researchers greater clarity and more assurance that they will be supported through the publication process with regards to retaining their dissemination rights.

11. It is often not possible to make research data immediately OA, why is it included under the 'scholarly materials' definition?

Research Data is included in Clause 10 of the IP Policy and in the revised OA Policy to clarify the waiver of copyright and therefore the *ownership* of these materials. However, there is no expectation that all research data must be open under the same terms as publications, and this is clarified in the detail for each type of material in the OA Policy (sections 14 and 15).

The principle for research data is 'as open as possible, as closed as necessary'.

12. How will third-party content in publications be affected by the policy?

Materials such as images, illustrations or maps can be included in publications under a more restrictive licence than the overall work if the relevant rights cannot be secured. In such cases third party material should display the reuse licence (if any) that applies, to separate the content from the overarching article licence. Where reuse permissions cannot be obtained at all, exceptions will apply on a case-by-case basis.

13. Will this policy act as a disincentive to submit work to publishers that have default embargo policies?

The intention of the policy is to ensure researchers can select the most appropriate venue for their work, and still meet open access requirements through the retention of their author rights. We would hope publishers will not try to enforce restrictions on sharing of accepted manuscripts and will continue to accept submissions with specific text included about rights retention. Jisc, the UK organisation responsible for negotiating agreements with publishers, is engaged in discussions with the Publishers Association aiming to ensure this framework of rights retention can work in practice.

The 'alternative options' clause (17) is intended to allow for cases where difficult situations arise, and a reasonable approach will be taken. Authors will be advised where an alternative option would cause them to be non-compliant with specific funder policies.

14. Is there a requirement for all monographs and book chapters to be open access?

Not at this stage. Some funders including Wellcome Trust, ERC and EU have OA requirements for all peer-reviewed outputs from their grants, including books, so researchers should follow their funders' requirements. UKRI will introduce a requirement for long-form works from January 2024 and we expect this trend to continue. Until further guidance emerges including for a future REF, we will encourage open access for monographs, edited collections and chapters, but the policy will not state this as a requirement.

15. What is the position for trade books and creative writing?

Materials <u>out of scope</u> of the institutional Open Access Policy will include trade books, textbooks, creative writing including poetry and fiction, as well as conference abstracts or papers presented at a conference and not published in proceedings (see clause 9). Where definitions of publication types vary between disciplines, we will follow guidance from specific research funders where there is any bearing on OA requirements and advise accordingly.

16. How should researchers choose between Green and Gold OA if both are available?

The University overall preference is for Green OA however the policy distinguishes Diamond OA (a form of Gold OA without fees to authors or readers) as a suitable alternative. During this period of transition, there will also be cases where Gold OA under a 'transformative agreement' is suitable, provided costs are constrained. Researchers should bear in mind the questions of global equity and social responsibility when considering whether Gold OA costs in fully OA venues are reasonable. See section 18 of the policy or contact the OA team for advice.

17. What is the current position on preprints?

Preprints themselves are not in scope of the Open access policy. However for many research areas, it has become customary to share manuscripts prior to formal peer review, typically uploaded by authors to preprint platforms such as arXiv, bioRxiv or SocArXiv [for a list of preprint platforms see this open list (Google doc) or https://en.wikipedia.org/wiki/List_of_preprint_repositories], and may also be submitted to journals for peer review. The University encourages researchers to make use of such platforms to share research works as openly and widely as possible for maximal impact and support of global equity in scholarly communication. Such practice might be required by funders, notably if there would be a benefit to public health.

18. What is the position on rights retention for students?

We will support students to follow similar practices where possible, however the current policy applies to staff only. We will work towards a future policy that can enable students to retain their author rights and achieve open access in the same way as staff.

Contact for FAQ

If your question is not covered here, contact openaccess@st-andrews.ac.uk

[Please ensure that the version control table below is on the last page of your document. Once finished, please delete all blue text prior to submitting this document for approval.]

Version number	Purpose / changes	Document status	Author of changes, role and school / unit	Date
1.1	Extend review date, update OA web link, amend RCUK to UKRI		Head of Open Research, RIS	05/04/2021
2	Minor revisions to align with USTAN IP Policy.	Published	Head of Open Research	12/01/2022
3	Full revision with details on OA requirements and introducing additional requirements for open research practices.	DRAFT for ORWG consultation	Head of open Research	12/04/2022
3.1	Amended draft following ORWG, CLO and RIIC feedback	DRAFT for academic consultation	Head of Open Research	08/06/2022
3.2	Revisions following academic consultation, for approval by ORWG and RIIC	Revised draft	Head of Open Research	06/09/2022

3.3	Additional clarifications, FAQ and Glossary extended.	Final draft	Head of Open Research	26/09/2022
3.4	Feedback from EDI in relation to Equality Impact Assessment 16.3, 17.5, 23.1, resources	Revised final draft	Head of Open Research	04/11/2022
3.5	Approval by Academic Senate including implementation date for articles (14.6).	For publication	Prof. Tom Brown, VP Research, Collections and Innovation	14/12/2022
3.6	Clarification of 19.1 and 19.2, updating URLs	For publication	Prof. Tom Brown, VP Research, Collections and Innovation	24/07/2023
3.7	Updating review date	Published	Prof. Tom Brown, VP Research, Collections and Innovation	15/07/2024
3.8	Amendment to 14.3, contact details updated.	For publication	Prof. Tom Brown, VP Research, Collections and Innovation	10/03/2025