# FAQ policy framework open access (OA) at NWO-I

## Policy – how it works:

* **How do I make my publication available in OA form?**

There are three ways to make your publication available in OA form:

- Publication in a Gold OA journal: the publisher makes the article available in OA form.

- Publication in a journal that falls under a transformative deal: the publisher makes the article available in OA form. At present, NWO-I only participates in a transformative deal with Elsevier. During the submission process, OA publication should already be possible to arrange without any problems.

- Publication in a non-OA journal and taking the responsibility to ensure that the article concerned is placed in the repository designated by your institute immediately upon publication (green route).

* **How should I arrange OA if, for example, I am the 50th author (in large consortia)?**

If the corresponding author does not ensure that the article becomes available in OA form, you must place it in the designated repository yourself. If it is available in OA form elsewhere, you only need to place a link in the designated repository. If several co-authors work at an NWO institute, only one of them needs to place the article in the repository.

* **What should I do if my co-author(s) does/do nothing to ensure publication in OA form?**

Then you should simply place the article in the designated repository yourself. The policy framework arranges that you are not only required to do that, but that you are allowed to do that.

## Practical questions

* **Should I place the AAM or the VoR in the repository?**

You are required to place at least the AAM (Author’s Accepted Manuscript) in the repository. Some publishers permit immediate publication of the VoR (Version of Record) in a repository. If that is the case, you can also choose the VoR.

* **What should I do if I receive a takedown notice?**

You should pass this on to the contact person at your institute. They will contact NWO-I and deal with the matter further. The AAM remains in the repository.

* **Who takes responsibility and deals with the administrative formalities that may emerge from this?**

The responsibility for the policy lies with NWO-I, and it will deal with the administrative formalities that emerge from this.

* **Who will bear the costs in the case of a possible (legal) procedure and/or fine?**

NWO-I.

* **Do I have to comply with the publisher’s embargo concerning when the AAM (or the VoR, if that is permitted) may be placed in the repository?**

No. As stated in the policy framework, the wish of the employer takes precedence over the wish of the publisher. This is because the NWO-I policy framework is from an earlier date than the request from the publisher.

* **If I place a preprint on arXiv, for example, then does that count for open access?**

No, that does not count as open access. The version after peer review (therefore the Author’s Accepted Manuscript or, where permitted, the Version of Record) should be placed in the designated repository (which is arXiv for some NWO-institutes).

* **What happens if OA, for whatever reason, proves not to be possible?**

Then you should request help from the repository manager of your institute. If this does not solve the problem, you should contact your line manager/group leader to explain why it is not possible and the requirement to make the article available in OA form will subsequently be lifted for that article.

* **Do the OA requirements mean that I can no longer publish in the high-profile journals in my discipline, and what does that mean for my career opportunities?**

The researcher still decides which journal he or she wants to publish in. Therefore, this may also be a closed (subscription) journal, as long as on the day of publication you place at least the AAM in the repository designated by your institute.

* **When I submit my article, should I inform the publisher that I will publish it without embargo in my own repository?**

You do not have to inform the publisher about this. On the NWO-I website, it will be stated (delayed by the hack) that we have implemented this policy and what we require our employees to do. Furthermore, cOAlition S has sent a letter to all publishers about plan S and because NWO is a member of cOAlition S, the publishers should already know that this also applies to us.

## Point of contact:

* **Who can I approach with my questions?**

For answers to general and specific questions you can approach the contact person of your institute. Who this is can be found on the institutes website. He or she can answer your questions or pass them on to the person who can.

* **How should I deal with questions from publishers?**

You can pass these on to the contact person of your institute. Who this is can be found on the institutes website. He or she will ensure that these are dealt with appropriately.

## Copyright

* **Who is the copyright holder?**

That is NWO-I. This is established in the Collective Labour Agreement Research Institutes (CAO-OI), article 1.8.2 which states: Pursuant to article 7 of the Copyright Act, an employer is deemed to be the maker and owner of those works that employees have created in the performance of their work.

* **What is the difference between the policy of NWO and NWO-I with respect to copyright and CC-BY licences?**

The NWO policy is:
For projects awarded on the basis of calls for proposals published from 1 January 2021 onwards the following requirements apply. NWO requires that publications are immediately (without embargo) made available in open access form and that a CC-BY license is applied. For authors who wish to use the Green route, cOAlition S has developed the Rights Retention Strategy. This strategy ensures that authors retain the right to share their work in open access form immediately and under an open licence. This also applies should the publisher place any limitations on that.

Researchers who want to make use of this right are advised to include the following text in the article when they submit it:

‘This research was funded in whole, or in part, by the Dutch Research Council (NWO) <project number>. For the purpose of open access, a CC BY public copyright licence is applied to any Author’s Accepted Manuscript version arising from this submission.’

For more information, see: [Open access publishing | NWO](https://www.nwo.nl/en/open-access-publishing).

For projects awarded on the basis of calls for proposals published before 1 January 2021 the following requirements apply. NWO requires that publications are immediately (without embargo) made available in open access form.

At present, no requirement has been included in the NWO-I policy concerning the use of a CC-BY licence for publications.