Open Scholarship at the University of Melbourne

2023 Open Access Publishing Agreements

Text version of the video: [2023 Open Access Publishing Agreements at the University of Melbourne](https://vimeo.com/manage/videos/805410683/cbc972ff7a)

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# Introduction

This is a text version of an informational video exploring the University of Melbourne's 2023 open access publishing agreements. My name is Zac and I'm the Scholarly Communications Consultant at the Library.

We're going to start with considering the state of open access in 2023, before examining the 2023 open access publishing agreements, including the new Read and Publish agreements that came into effect this year. We'll then consider some examples of the different agreements and how they work, before finishing with a look at the different open access pathways available to researchers.

# 1. Open access in 2023

First, why might you want to pursue open access?

## Benefits of open access

Here are a few of the many benefits to open access…

For one, you're removing financial barriers to your research, bringing publications out from behind paywalls. In doing so, you can reach a much wider audience and get more exposure. This means your research will be available to practitioners in your field, as well as those developing public policy.

Open access is also inclusive of researchers around the world, including in low- and middle-income countries, where access to subscription journals is often limited.

Finally, open access is associated with significantly greater impact and higher citation rates.

The citation data below pertains to University of Melbourne affiliated journal articles published between 2015 and 2021.[[1]](#footnote-1)

### Closed access (paywalled) articles

Citations (mean) = 18.12
Field citation ratio (FCR) = 2.77
Proportion of articles with attention = 57.95%

### Open access articles

Citations (mean) = 29.86
Field citation ratio (FCR) = 4.22
Proportion of articles with attention = 77.24%

Open access articles from this period have attracted about 30 citations on average, whereas paywalled articles have seen only 18.

Similarly, these open access articles garnered significantly more attention in the news, in policy documents, and on social media, with about 77% of open access articles receiving attention, compared to 58% of paywalled articles.

## Funder open access policies

Of course, you may also be prompted to pursue open access because it’s mandated by your grant funder.

As many will be aware, we enter 2023 with some major changes to our funder open access policy landscape.

In September 2022, the NHMRC announced a new open access policy. This new policy applies immediately to new grants awarded under Grant Opportunity Guidelines that were issued on or after the 20th of September 2022, and it will apply from the 1st of January 2024 for all other NHMRC grants.

Under the new NHMRC policy, all peer-reviewed journal articles and peer-reviewed conference papers must be open access immediately upon publication under a Creative Commons Attribution (CC BY) licence, although there are some exceptions for this licence requirement.

The old 2018 NHMRC Open Access Policy, which remains in effect for some grant holders, has the same scope, but allows a 12-month embargo and doesn't mandate a specific licence.

The current ARC Open Access Policy, which applies to all ARC-funded research outputs except for preprints and data, likewise requires publications to be open access within 12 months of publication.

For both NHMRC and ARC policies, either the final published output or the Author Accepted Manuscript (AAM) can be made open access to comply with the policy.

You can find out more about these policies on the Library's [Open Scholarship](https://library.unimelb.edu.au/open-scholarship/) website: [Funder open access policies](https://library.unimelb.edu.au/open-scholarship/funder-open-access-policies).

## Principles for Open Access to Research Outputs at Melbourne

I'd also like to note here the University has a position on open access expressed in the [Principles for Open Access to Research Outputs at Melbourne](https://library.unimelb.edu.au/open-scholarship/principles).

This articulates our commitment to making our research as open as possible to improve the public good. The principles also note the responsibilities of researchers to make their research as open as possible, and only as closed as necessary.

# 2. 2023 open access publishing agreements

All of the agreements we'll be discussing here are detailed on the [Open Access Publishing](https://library.unimelb.edu.au/open-scholarship/open-access-publishing/) page of the Open Scholarship website. This page contextualises the agreements alongside other open access publishing pathways.

## Types of agreements

Before we go any further, let's consider the major open access publishing agreements and models around today.

First, we have Read and Publish (R&P) agreements, and almost all our 2023 agreements are of this type. Under these agreements, the university pays an annual fee that covers both read access to paywalled content (that is, a journal’s subscription) and some open access publishing. Such agreements are all with traditional subscription publishers of hybrid journals (that is, subscription journals that publish articles open access for a fee).

Other types of open access publishing agreements include agreements with fully open access publishers, where an institutional membership or supporter fee can replace author-facing charges, and Subscribe to Open (S2O) publishing models, where a journal publisher commits to making in the coming year’s content fully open access at no cost to authors, if they meet their subscription target.

We're going to focus now on our Read and Publish agreements, almost all of which were negotiated by the Council of Australian University Librarians (or CAUL) on behalf of Australian universities. I mention this because you may hear them referred to as “CAUL R&P agreements.”

## 2023 Read and Publish agreements

Below we have listed all of the Read and Publish agreements available to University of Melbourne corresponding authors in 2023.

### Uncapped agreements, covering a range of hybrid and open access journals

* Biochemical Society
* Cambridge University Press
* Cold Spring Harbor Lab Press
* CSIRO Publishing
* IOP Publishing
* Microbiology Society
* Royal Society

### Uncapped agreements, covering a range of hybrid journals only

* Brill
* Company of Biologists
* De Gruyter
* Future Science Group
* Geological Society (Lyell Collection)
* SAGE Publishing

### Capped agreements, covering a range of hybrid and open access journals

* Wiley & Hindawi

### Capped agreements, covering a range of hybrid journals only

* AIP Publishing
* Elsevier
* Oxford University Press
* Springer Nature
* Taylor & Francis

We have new agreements with Elsevier, SAGE, and Taylor and Francis, and several smaller STEMM publishers. All of our 2022 agreements were renewed, including those with Springer Nature, Cambridge University Press, and Oxford University Press.

Of note, the Wiley agreement has been renewed and this year has significantly expanded coverage: it now includes all of Wiley's fully open access journals and the open access journals published by Hindawi, the open access publisher Wiley bought in 2021.

Above, the agreements have been broken down into different categories.

First, we distinguish here between those that are capped, and those that are uncapped.

Uncapped agreements cover an unlimited amount of open access publishing in eligible journals. Fortunately, most of our agreements fall into this category, including the agreements with SAGE, Cambridge University Press, Brill and De Gruyter.

Capped agreements, by contrast, limit how many open access publishing fees (or APCs) they will cover in the calendar year. Six of our agreements are capped: those with AIP, Elsevier, Oxford University Press, Springer Nature, Taylor and Francis, and Wiley/Hindawi.

The agreements also are broken down here by scope.

On the one hand, we have agreements that only cover a selection of the publishers’ hybrid journals - all of the fully open access journals from these publishers will still levy Article Processing Charges (APCs) to University of Melbourne authors. Our agreements with Elsevier, Springer Nature, Taylor and Francis and SAGE are all of this type.

On the other hand, we have agreements that cover publishers’ hybrid journals and fully open access journals, or a selection thereof. Our agreements with Cambridge University Press, CSIRO, and Wiley/Hindawi all fall into this category.

### Estimated article coverage under the agreements[[2]](#footnote-2)

2022: 25%
2023: 40%

*Percentages reflect proportions of articles published in journals eligible for APC waivers for open access publishing.*

As these coverage estimates indicate, our new and expanded agreements bring significantly more coverage of University of Melbourne journal articles in 2023.

Whereas in 2022 we estimated that roughly a quarter of all University of Melbourne affiliated journal articles were published in journals eligible under the agreements, that has risen to at least 40% this year.

Note that the larger out-of-scope portion of the “pie,” here, includes APC-free open access journals, which are already free to publish in, as well as journals that don't have open access pathways.

## Eligibility and limitations: authors

For an article to be eligible, the corresponding author must be a University of Melbourne staff member or student and provide this affiliation. This includes honorary staff and graduate researchers. The affiliation of the first author or any other author is not considered. Eligibility rests solely on the corresponding author’s affiliation.

Publishers will usually confirm author eligibility by checking:

* the author’s affiliation, which is provided in the submission system or article acceptance system and in the article itself. This should be with the University of Melbourne.
* the author's email address. The publisher, or CAUL, will be looking for a unimelb.edu.au or student.unimelb.edu.au domain to verify the author’s affiliation.

So it’s important that you use your unimelb email address upon submission and in the article acceptance form, not a personal email or another institution's email address, otherwise your article may not be able to be covered.

It is also worth keeping in mind, though, that many other Australian universities have also signed up to these Read and Publish agreements, or some assortment of them, and similar agreements are in play overseas. So in the case that your article’s corresponding author is not from the University of Melbourne, they may still be eligible through their own institution.

## Eligibility and limitations: date of acceptance (or submission?)

Also note that articles must be accepted for publication during the term of the agreement, in most cases. So for the new agreements with Elsevier, SAGE, and Taylor and Francis, which commenced on the 1st of January 2023, what matters is not the date of submission or publication, but the date you receive the formal acceptance email from the publisher.

There is one exception to this, and that is for Wiley and Hindawi’s fully open access journals. In these cases, articles must be submitted during the term of the agreement, which began on the 1st of January 2023. For these journals, authors request funding during the submission process and receive a confirmation email soon afterwards. This ensures the APC waiver is secured before the agreement’s cap is reached, so you won't be stuck with a bill to pay.

## Eligibility and limitations: caps

As I noted earlier, six of our agreements are capped, with limits on how many articles will be covered in the calendar year.

At this stage (7 March 2023), we project that most of the caps will last the entire calendar year. However, the Springer Nature cap will likely be reached in late Q3 or in Q4 - in 2022, it was reached in early November - and the same may be the case for the Wiley/Hindawi agreement. So please stay tuned for updates on our website throughout the year.

If a cap is reached, authors can publish behind a paywall without having to pay an open access Article Processing Charge, and can pursue repository open access in Minerva Access, which is free of cost.

## Eligibility and limitations: non-open-access fees may not be covered

It's important to be aware that in almost every case, our Read and Publish agreements only cover open access Article Processing Charges (APCs).

Some journals levy additional processing fees, such as page charges or service fees, and these can get quite high.

So remember to check journal websites for information on additional fees prior to submission.

## Eligibility and limitations: article types

Further on limitations, all of the agreements are limited in what article types they cover.

All agreements cover original research articles, although they differ on what other contribution types covered.

Brief contributions, such as editorials and letters, are often not covered, meaning they will attract APCs for open access publishing.

You can find details on which article types are covered for each agreement on our [Open Access Publishing](https://library.unimelb.edu.au/open-scholarship/open-access-publishing/) page.

## Eligibility and limitations: included journals

Importantly, each agreement also has a list of included journals - those eligible under the agreements.

Some agreements only cover a limited selection of titles, whereas others will cover most of the publisher's portfolio, if not their entire portfolio, as is the case with some of the smaller publishers.

Under the Cambridge University Press agreement, for example, almost all of their journals are covered.

Other agreements have some more notable exclusions.

The Springer Nature agreement, for example, only covers certain imprints, including Springer and Palgrave Macmillan, but excludes the Nature portfolio, as well as all open access journals, including those published by SpringerOpen and BMC.

Similarly, the Elsevier agreement excludes Lancet and Cell Press titles, as well as their open access journals.

Also note that the Elsevier and Taylor and Francis agreements have more limited included titles lists. CAUL has decided to limit coverage to selected high-use titles from these publishers to avoid publishing caps being reached part-way through the year. This way, authors can have greater confidence when submitting to these selected titles that the cap is unlikely to be reached during the calendar year, and they will be able to publish open access at no cost.

## Eligible journals list

We now have a spreadsheet listing all journals eligible under the 2023 agreements on our website. To find this list of all covered titles, go to our [Open Access Publishing](https://library.unimelb.edu.au/open-scholarship/open-access-publishing/) page, and go down to the “open access publishing agreements” section. There you will find a link to “View the 2023 list of all covered journals.”

The list is in an Excel 365 spreadsheets available through SharePoint, so you'll need to use your University of Melbourne Single Sign-On to access it. The spreadsheet contains an alphabetical list of all titles covered by the agreement - that's over 6,500 journals - and notes the publisher agreement that it falls under. It will also note whether or not the agreement is capped, and the status of the cap. Be sure to check the spreadsheet regularly to be updated on the projected cap end dates.

If your journal appears in the list, scroll further down the page to find the details of the publishing agreement that it falls under. For example, if you're publishing with SAGE, scroll down until you find SAGE Publishing in the publisher list. Expand this section and you will see details of the SAGE Publishing agreement, including notes on journal coverage and restrictions, eligible article types, and how to use the agreement.

## Creative Commons licences

A quick word here on Creative Commons licences.

These open licences are best practice in open access publishing and make it clear to all involved what rights are being granted to the public.

They are made up of combinations of four elements that reflects different requirements - attribution, share-alike, non-commercial and no derivatives - and they sit on a spectrum from more open to more closed.

The more open Creative Commons Attribution (or CC BY) licence is strongly encouraged, and in some cases required, by the ARC and NHMRC. This license allows your work to have the greatest reach and impact, and allows it to be translated, included in open educational resources, and freely distributed on any platform.

More restrictive licenses, such as Creative Commons Attribution-Noncommercial-NoDerivatives (CC BY-NC-ND), often involve a significant loss of author rights to publishers. If you're signing an exclusive publishing agreement with your publisher, you will usually be retaining copyright only in name, with all rights of copyright being signed over to the publisher. If you then opt for a more restrictive licence, the rights to commercialise use and create derivatives (such as translations) will lie with the publisher, not the author, and will often be tightly controlled and monetised.

You can find out more about Creative Commons licences on the [Creative Commons website](https://creativecommons.org/) or on the [University Copyright website](https://copyright.unimelb.edu.au/).

# 3. Examples…

## Cambridge University Press

Consider the example of the Cambridge University Press Read and Publish agreement.

As noted earlier, this includes hybrid and open access journals published by Cambridge. The only excluded journals are the few that do not yet publish open access - currently 11 of 409 journals.

Eligible article types include research articles, review articles, rapid communications, brief reports, and case reports.

It’s an uncapped agreement, meaning there is no limit on the number of times the agreement can be used for APC waivers in 2023.

To be eligible, the corresponding author must, at the time of submission, provide the University of Melbourne as their affiliation and provide their unimelb.edu.au email address.

The author then has a choice of Creative Commons licence.

In terms of the author’s workflow…

First, simply submit your article through the usual submission process in Cambridge Core.

On acceptance, the corresponding author must complete an author publishing agreement (this may be through the “Ironclad” system).

Select “Open Access” publishing and choose a Creative Commons licence - for example, CC BY - and refer the Article Processing Charge (APC) to “My institution,” if prompted.

APCs are automatically waived by Rightslink (that is, the Copyright Clearance Center) when the corresponding author is affiliated with the University of Melbourne and used their unimelb email.

## Elsevier

Let’s consider another example: the Elsevier Read and Publish agreement.

The list of included journals is more limited, with 237 of over 2,800 journals being covered. It excludes Lancet and Cell Press titles, as well as open access journals. We have a full list of eligible journals on our website.

Eligible article types include research articles and review articles, and a cap is in place, but with coverage being limited to selected titles, this cap is projected to last throughout 2023.

Again, to be eligible, the corresponding author must provide the University of Melbourne as their affiliation and their unimelb.edu.au email address.

You also will have a choice of CC BY or CC BY-NC-ND licence.

Now, to use the Elsevier Read and Publish agreement:

First, one follows Elsevier’s usual online submission process.

On acceptance, the corresponding author must complete a Rights and Access form - this is the authors’ publishing agreement with Elsevier.

In this form, the corresponding author must select the University of Melbourne as their organisation, then select “Gold Open Access” publishing and choose a Creative Commons licence.

Coverage under the agreement is sent to CAUL for approval. They will quickly approve APC waivers for corresponding authors affiliated with the University of Melbourne, who have used the University of Melbourne email address.

## Wiley & Hindawi

Finally, let's look at the example of the Wiley and Hindawi Read and Publish agreement.

It covers over 1,300 Wiley hybrid journals and over 500 Wiley or Hindawi open access journals. There are still some excluded journals - about 70 Wiley or Hindawi titles are not covered by the agreement. Again, a full list of eligible journals is available on our website.

Eligible article types include primary research and review articles, case studies, reviews, and short communications. A full list of article types is available on our website.

It is a capped agreement and the cap is currently projected to last until late 2023.

To be eligible, the nominated corresponding author must provide the University of Melbourne as their affiliation and provide their unimelb.edu.au email address.

Again, the authors will have a choice of Creative Commons licence.

The workflows here will differ whether you’re publishing in a hybrid journal or a fully open access journal.

If you are publishing with a Wiley hybrid journal, you first follow Wiley's usual submission process.

Your article then goes through peer review and revisions as usual.

On acceptance, you will need to confirm a responsible corresponding author who will determine eligibility for an open access agreement.

In this publishing form, the responsible corresponding author will then confirm open access publishing (agreement eligibility will be recognised automatically) and select a Creative Commons licence.

Again, coverage under the agreement is sent to CAUL for approval, and CAUL will quickly approve APC waivers for University of Melbourne corresponding authors.

The workflow is a bit different for fully open access journals from Wiley and Hindawi.

Here, it is during initial submission, that you nominate a corresponding author who will determine open access eligibility.

At the time of submission, you request funding for the APC via the Wiley or Hindawi platform. A funding request will be sent to CAUL, who will quickly approve funding for University of Melbourne corresponding authors and confirm this by email, assuming the publishing cap has not been reached.

Once this has been confirmed, article review proceeds as usual.

# 4. Other pathways to open access

We wanted to take a moment to highlight other pathways to open access that the University supports.

## Other open access publishing pathways

We have a publishing agreement in place with the small open access journal publisher Cogitatio, where our supporting membership helps them operate and means our corresponding authors don't face APCs.

We also support the [Directory of Open Access Journals](https://doaj.org/), which is a quality controlled index of open access journals that is easy to browse by discipline. Almost 70% of the journals in DOAJ do not levy APCs, being free for authors and readers alike, thanks to the support of institutions, organisations, associations, or grants.

We also support several publishers’ Subscribe to Open initiatives, including those of Annual Reviews, Berghahn, and Practical Action Publishing. Under such models, if the journal’s subscription or revenue target is reached by the end of the year, they will publish all of the coming year’s content open access without APCs.

Finally, we are also paying close attention to the open access book publishing landscape, supporting diverse models for open access book publishing without author-facing fees. For example, we support the MIT Press Direct to Open initiative – a kind of “Subscribe to Open” for monographs and edited books. We also support Open Book Publishers, which publishes peer-reviewed academic books at no cost to authors, and the Knowledge Unlatched initiative, which organises collective efforts to pay the costs of opening up paywalled scholarly books and journals.

## Open access fees

Finally, just a few words open access processing charges.

Some publishers offer discounts on the open access publishing fees of articles, books, or chapters, for corresponding authors affiliated with the University of Melbourne.

### 2023 open access publishing fee discounts

* American Chemical Society
* BMC (BioMed Central)
* De Gruyter \*
* Elsevier \*
* ICE Publishing
* MDPI
* Royal Society of Chemistry
* SpringerOpen
* Taylor & Francis \*
* SAGE Publishing \*

*Author-facing charges apply. In all cases, limits and exclusions apply.*

*\* Covers selected titles excluded from respective R&P agreements, as well as titles covered by the agreements when publishing caps have been reached.*

These discounts are all detailed at the bottom of the [Open Access Publishing](https://library.unimelb.edu.au/open-scholarship/open-access-publishing/) page.

It's important to note that the University does not have central funds available for open access publishing, so check with your faculty, school, or grant funders if you need to have APCs covered.

When publishing in a hybrid journal that's not covered by one of our Read and Publish agreements, the University would prefer that authors pursue repository open access, rather than pay an expensive APC.

Let's look at this free repository pathway now.

## Repository open access in Minerva Access

The University of Melbourne's institutional repository is [Minerva Access](https://minerva.unimelb.edu.au/).

It currently contains over 100,000 records, and records are discoverable through Google and Google Scholar. When a file is deposited in Minerva Access, it enables direct downloads through researchers’ Find an Expert profiles, as well as through Google Scholar. The repository also sees over 2 million downloads each year.

Most importantly: when depositing your research in Minerva Access, our repository team ensures compliance with publisher policies and copyright law. This includes managing embargo periods.

So unlike when you upload to a scholarly networking site like ResearchGate or Academia.edu, where the onus is on you to check publisher policies and copyright, if you deposit with us on publication, we will do all of those checks for you, and manage embargoes and policies as required. We will not make any files public without doing those checks.

In terms of which version to deposit...

The submitted manuscript can usually be shared on a preprint server.

After submission to the journal, your article would, of course, go through editorial and peer review, and revisions, and perhaps multiple revision cycles, before being accepted by the publisher for publication.

This version accepted for publication is often referred to as the Author Accepted Manuscript (AAM), and it's this version that can be made open access in a repository after an embargo. It's this version that you can deposit to Minerva Access for repository for open access.

The publisher then does their typesetting and copyediting to produce a proof. The proof usually cannot be shared in a repository and it cannot substitute for the AAM.

The final PDF, which is then produced and published, can only be shared in a repository or elsewhere if it was published open access under a Creative Commons licence.

## How to deposit your research in Minerva Access

There are three ways you can deposit your research in Minerva Access.

The first of these is to use the [ServiceNow form](http://unimelb.service-now.com/research?id=sc_cat_item&sys_id=7ec79db51b3f6414ef32a68b274bcb8e&category_id=3e76ca884fe2e6007861a90f0310c7c7) that's available on the [Research Gateway](https://gateway.research.unimelb.edu.au/resources/outputs/research-outputs-support).

Alternatively, you can just send an email to the Research Outputs team – research-outputs@unimelb.edu.au – and include your Author Accepted Manuscripts or the URLs of your open access publications. Be sure to note the publication details in your email.

Finally, you can log into the [Elements](https://minerva-elements.unimelb.edu.au/login.html) publications management platform and deposit your research that way.

You can find out more information on the Minerva Access website: [Deposit your research outputs](https://minerva.unimelb.edu.au/deposit).

# Enquiries and further resources

Thank you for joining us for this video.

If you have any enquiries relating to the open access publishing agreements in place - or about open access publishing in general - please email your discipline's [Liaison Librarians](https://library.unimelb.edu.au/liaison), or arrange a time to [consult a librarian](https://unimelb.service-now.com/student?id=sc_cat_item&sys_id=6398b1e1dbc763c00032cae43a961971&category_id=2768ae9d4fae22807861a90f0310c7f0).

Alternatively, you can just send an email to the Library Enquiries team - library-enquiries@unimelb.edu.au - and they will direct your enquiry on as needed.

1. Citation data extracted from Dimensions on 21/2/2023 for 2015-2021 UoM-affiliated articles. Here, “open access” includes publisher and repository pathways (gold, hybrid, green). [↑](#footnote-ref-1)
2. Based on 2019-2021 UOM-affiliated articles published in journals covered by the 2023 open access publishing agreements. Using data from Elements and CAUL’s included journals lists. [↑](#footnote-ref-2)