

Open Access Policy Framework 2021



As adopted by the Executive Board on 24 June 2020

Introduction

Full and immediate access to scientific publications and their availability for use and reuse is an essential precondition for a well-functioning science system. Open Access improves the (online) dissemination and findability of scientific results, thus increasing the potential impact on science and society. As a signatory to the [Berlin Declaration on Open Access](#) since 2005, NWO is committed to ensuring that the results of NWO-funded research are available Open Access. NWO is thus fulfilling the ambitions of the Dutch government ([OCW 2013](#), [OCW 2016](#)) and the Council of the European Union ([EC 2016](#)). Publicly funded research should be openly available for everyone to read and reuse anywhere in the world. NWO works with national and international partners to promote the transition to Open Access via initiatives such as the National Plan Open Science ([OCW 2017](#)). In September 2018, NWO also joined cOAlition S, a group of national research funders using Plan S to accelerate the transition to full and immediate Open Access. This policy framework sets out the way NWO will implement the [implementation guidance](#) of [Plan S](#) as published by cOAlition S on 31 May 2019.¹

¹ https://www.coalition-s.org/wp-content/uploads/PlanS_Principles_and_Implementation_310519.pdf

Article 1: Definitions

- 1.1 **Author Accepted Manuscript (AAM):** the version of a publication accepted by the publisher, into which the author has incorporated the changes resulting from the peer review process.
- 1.2 **Policy framework:** the Open Access Policy Framework 2021.
- 1.3 **Call for proposals:** the rules published by NWO for a specific funding round as referred to in Articles 2.1 and 2.2 of the Framework Regulations NWO Grants.
- 1.4 **Directory of Open Access Journals (DOAJ):** database containing a list of Open Access journals and platforms and their publications, as maintained by Infrastructure Services for Open Access C.I.C. and accessible via the website <https://www.doaj.org/>.
- 1.5 **Directory of Open Access Repositories (OpenDOAR):** database containing a list of Open Access repositories, as maintained by the University of Nottingham and accessible via the website <http://www.opendoar.org>.
- 1.6 **NWO:** the Dutch Research Council. For the purposes of this policy framework, “NWO” means the body or official authorised to represent NWO or take the relevant decision under the applicable Authorisation Procedure NWO.
- 1.7 **OAPEN Library:** central Open Access repository for Open Access books, as maintained by OAPEN (Open Access Publishing in European Networks) and accessible via www.oapen.org.
- 1.8 **ESAC Registry:** registry containing a list of Transformative Agreements, as maintained by the Max Planck Society for the Advancement of Science and accessible via the website <https://esac-initiative.org/>.
- 1.9 **Technical guidance and requirements Plan S:** the technical guidance and requirements published by cOAlition S in Plan S, Part III, on 31 May 2019. See: www.coalition-s.org.
- 1.10 **Transformative Agreement:** for the purposes of this policy framework, this means an agreement between the Association of Universities in the Netherlands (VSNU), the Consortium of University Libraries (UKB) or one of its members and a publisher, with a view to Open Access publication of articles, provided the agreement is publicly available and registered in the ESAC Registry.
- 1.11 **Transformative Journal:** a journal that has stated its intention to transition to Open Access and has been recognised by cOAlition S.
- 1.12 **Version of Record (VoR):** the final version of an article as published by a journal.
- 1.13 **Scientific article:** for the purposes of this policy framework, this means all peer-reviewed scientific articles, including review papers and conference papers, that are based on research funded fully or partially by NWO.

Article 2: Application and scope

This policy framework applies to publications resulting from projects funded under calls for proposals opened by NWO on or after 1 January 2021.

Article 3: Scientific articles

All scientific articles resulting from or reporting on research wholly or partly funded by NWO must be made available Open Access immediately (without embargo) online at the time of publication, via one of the following routes:

- 3.1 Publication in an Open Access journal or platform registered in the Directory of Open Access Journals and complying with the relevant technical guidance and requirements of Plan S;
- 3.2 Publication in a closed or hybrid subscription journal and immediate (without embargo) deposition of a copy of the publication (the Version of Record or at least the Author Accepted Manuscript) in an Open Access repository registered in the Directory of Open Access Repositories and complying with the relevant technical guidance and requirements of Plan S;
- 3.3 Publication in a journal for which a Transformative Agreement exists or in a journal that has been accepted by cOAlition S as a Transformative Journal.

Article 4: Academic books, book chapters and edited collections

Books, book chapters and edited collections resulting from or reporting on scientific research wholly or partly funded by NWO and aimed primarily at an academic readership must be made available Open Access online via one of the routes mentioned below. An exception is made in case the book is aimed at a broad, non-academic readership (trade books).

- 4.1 Immediate Open Access publication of a book, book chapter or collection;
- 4.2 Publication of the Version of Record or at least the Author Accepted Manuscript of the book, book chapter or collection via an Open Access repository but at least via the OAPEN Library, as soon as possible but no later than 12 months after the original publication date.

Article 5: Copyright and licences

- 5.1 With a view to the optimal dissemination, use and reuse of the work, researchers or their institutions are not permitted to transfer to the publisher the copyright on publications resulting from NWO funding.
- 5.2 All publications must be published under the Creative Commons Attribution (CC BY) 4.0 licence.
- 5.3 By exception, contrary to Article 5.2, a CC BY-ND (Attribution, No Derivative works) licence may be accepted upon request by the author.
- 5.4 For books, edited collections and book chapters, authors may, contrary to Article 5.2, choose publication under a CC BY-ND, CC-BY-NC (Attribution, Non-Commercial) or CC BY-NC-ND (Attribution, Non-Commercial, No Derivative works) or CC BY-SA (Attribution, Share-Alike) licence.

Article 6: Publication costs

Costs associated with publication in Open Access journals, as referred to in Article 3. Books, as referred to in Article 4.1, are also eligible for payment of costs by NWO.

Article 7: Acknowledgements

Authors should mention the support provided by NWO in each publication, stating the NWO project number and the title of the relevant funding round.

Article 8: Research data

In accordance with NWO's policy on research data, authors should ensure that, as a minimum, the research data underlying the publications are made available as openly and freely as possible via a trusted repository. To this end publications should be accompanied by a data availability statement.

Article 9: Reporting, enforcement and sanctions

- 9.5 In the final reporting, the project leader is required to report on the Open Access availability of publications resulting from the project.
- 9.6 NWO may ask applicants to provide additional assurances regarding the provisions of Articles 3 and 4.
- 9.7 Failure to comply with obligations arising under this policy framework may have consequences for the disbursement of the grant.
- 9.8 If, at the time the grant is disbursed, the publications are not available in one of the routes referred to in Article 3 or 4, the grant will be reduced by 2.5%.

Article 10: Deviation from the policy framework

Deviations from this policy framework are permitted where stated explicitly in a call for proposals.