Open Access Policy

Why does ASAP have an Open Access policy?

Providing free, online access to published research will:

- maximize the availability and usability of publications

- make sure the research we fund can be built upon

Our OA policy is in line with the key principles of **Plan S (https://www.coalition-s.org/addendum-to-the-coalition-s-guidance-on-the-implementation-of-plan-s/principles-and-implementation/)**. ASAP is a member of **cOAlition S (https://www.coalition-s.org/)**, a group of like-minded funders committed to steering the scientific establishment toward fully open practices.

All work published with partial or full support by ASAP must be credited and must be published according to the open-access policies described here.

What is Plan S?

The plan requires researchers to publish their findings in open repositories or in journals that make the work freely available to all, with a copyright license that permits unrestricted reuse. The "S" stands for "shock". It was launched in 2018 by cOAlition S, a consortium originally composed of research agencies and funders from twelve European countries, and now encompassing 24 organizations in the United States and other countries.

What are the publishing requirements of ASAP and Plan S?

All ASAP-funded researchers will follow the basic tenets of OA publication set forth in Plan S, as follows:

- *Immediate free access*: Peer-reviewed, author-accepted research must be made freely available immediately upon publication, without any embargo period (zero embargo).

- *Unrestricted reuse rights*:

    - ASAP funded authors or their institutions must retain the copyright for their research articles unless they are published in the public domain.

    - Articles must be published under the Creative Commons Attribution license CC-BY 4.0, or under the CC0 license which does not require attribution, or equivalent. Both licenses permit reuse of the material without restriction.

Timing

Plan S is scheduled to become fully operational on January 1, 2021. **ASAP is allowing researchers and publishers additional time to become compliant; our open access policy will be implemented in a step-wise process and will go into full effect on January 1, 2022.**

Year 2020 and 2021

1. ASAP-funded researchers will be required to publish their articles in journals that permit full, immediate open access – whether in fully OA (Gold OA) journals or in subscription journals that offer an OA option (hybrid OA), both of which require Article Processing Charges (APCs). *In this period, ASAP will cover reasonable costs charged by both Gold and hybrid journals for immediate open access publication.*

2. Articles must also carry the CC-BY 4.0 or CC0 license or equivalent. In cases where the journal does not accept this license, the Plan S "green strategy" will apply, whereby the author accepted manuscript (AAM) carries the CC-BY license and is deposited in PubMed Central and Europe PMC upon publication of the version of record (VoR). The difference between the AAM and journal's VoR is that the AAM is peer-reviewed, revised, and accepted for publication, but not copyedited.

3. Another exception to the Plan S policy in 2020-2021 is that *ASAP-funded authors or their institutions are not required to retain copyright for their research articles*.

Year 2022 and beyond

As of January 1, 2022, articles based on ASAP-funded research must be fully compliant with Plan S, as described above – i.e., publication in Gold OA journals, author or institution retention of copyright (or public domain), and CC-BY 4.0 or CC0 license or equivalent (either publisher's version of record or author's accepted manuscript).

ASAP will no longer fund OA publication costs in subscription-based, hybrid journals unless the journal has adopted a "transformative" framework, whereby:

- the share of OA content in the journal is gradually increased

- subscription costs of the journal decrease as income from OA fees increases

- the journal commits to transition to full OA in an agreed upon timeframe.

The overall goal of cOAlition S funders, which includes ASAP, is to shift publication of all scholarly findings away from a subscription basis to open access and open licensing. This goal precludes the support of hybrid journals.

However, we will continue to support OA costs for publishers who are committed to transitioning to full open access and offer transformative journal OA agreements that align with this goal.

Are preprints included in your policy?

Preprints, which are complete drafts of manuscripts yet to be certified by peer review, must be submitted to an approved public repository upon submission to a journal, or sooner. Preprint manuscripts must be identical to the version submitted for publication, linking to research outputs and carrying the CC-BY license as described here. This is the fastest way to get your work to the widest possible audience.

Upon publication of the peer-reviewed article, the preprint must link to it – i.e., to the version of record (and to the author-accepted manuscript if that carries the CC-BY 4.0 or CC0 or equivalent license).

Are there other policy requirements regarding the published article?

All ASAP funded articles must be made freely available through PubMed Central (PMC) and allow that content to be shared with Europe PMC at the time of publication.

As noted above, published articles must carry the Creative Commons Attribution license (CC-BY 4.0) or equivalent. Because many publishers do not allow authors to retain intellectual property rights in their journals, compliance can be met if the author accepted manuscript (AAM) carries the CC-BY license and is deposited in PubMed Central and Europe PMC immediately upon publication of the version of record (VoR).

To enact this "green open access" policy – which ensures that ASAP funded researchers can continue to seek publication in any journal while remaining fully compliant with the principles of Plan S – all submissions of original research to peer-reviewed journals must contain the following notice:

"This research was funded in whole or in part by Aligning Science Across Parkinson's [Grant number]. For the purpose of open access, the author has applied a CC-BY (or CC0) public copyright license to the author accepted manuscript version arising from this submission."

Also noted above, ASAP funded authors or their institutions must retain copyright (starting in 2022) for their research articles.

See the section below regarding ASAP's policy on the inclusion of underlying data and software in preprints and publications.

What are Creative Commons Attribution licenses, and why are they necessary?

A Creative Commons (CC) license enables the free distribution of otherwise copyrighted work. It is used when an author wants to give other people the right to share, use, and build upon a work that the author has created.

There are variations of the CC license, as shown in the table below. ASAP funded researchers must use the most permissive license, CC-BY, which permits individuals to copy and redistribute the material in any medium or format and transform and build upon the material, including for any purpose without further permission or fees being required. CC-BY requires that those reusing the work provide proper attribution to the original authors. For authors employed by the government, content remains in the public domain, so there is no copyright and CC0 applies, for which no attribution is required.

Icon	Right	Description
	Attribution (BY)	Licensees may copy, distribute, display, and perform the work and make derivative works and remixes based on it only if they give the author or licensor the credits (attribution (https://en.wikipedia.org/wiki/Attribution_(copyright))) in the manner specified by these. Since version 2.0, all Creative Commons licenses require attribution to the creator and include the BY element.

Share-alike (SA)	Licensees may distribute derivative works only under a license identical ("not more restrictive") to the license that governs the original work. See also copyleft (https://en.wikipedia.org/wiki/Copyleft). Without share-alike, derivative works might be sublicensed with compatible but more restrictive license clauses (e.g., CC BY to CC BY-NC).
Non-commercial (NC)	Licensees may copy, distribute, display, and perform the work and make derivative works and remixes based on it only for non-commercial (https://en.wikipedia.org/wiki/Non-commercial)purposes.
No Derivative Works (ND)	Licensees may copy, distribute, display and perform only verbatim copies of the work, not derivative works (https://en.wikipedia.org/wiki/Derivative_work)and remixes (https://en.wikipedia.org/wiki/Remix_culture)based on it. Since version 4.0, derivative works are allowed but must not be shared.

Can I publish my paper under a different license to CC-BY?

CC-BY is the default license required for all research papers (except for articles in the public domain, which would denote the CC0 license). However, in exceptional cases you can ask for an article to be published under a CC-BY-ND license. Your request must:

- explain the reasons for the exception

- be sent to us before your paper is accepted for publication

We will consider requests on a case-by-case basis.

How will I keep track of which journals are compliant with ASAP policies?

We will provide a directory of journals that are compliant before Plan S policies are fully in place (2020-2021) and after ASAP's implementation of Plan S policies takes effect (after January 1, 2022). The directory will be continually updated according to publishers' changing policies as they comply with ASAP's requirements.

What are "reasonable" Article Processing Charges (APCs)?

We will work with our funding partners in cOAlition S to define a reasonable APC amount. We recognize that different journals and publishers provide different services, which means they can have different APCs. For example, a journal that provides value-added services — such as creating infographics, writing a lay summary, or helping authors deposit data/code in the appropriate repository — may charge more than a journal that doesn't offer these services.

We expect our grant holders to be aware of the costs of publishing in different journals, and to select journals that they consider to represent adequate value for fees charged.

What happens if investigators don't comply with the OA policy?

Only articles published in compliance with this policy will be considered in requests for ASAP funding extension or renewal.

Underlying Data and Software

What is the ASAP OA policy regarding data and software?

ASAP's open access policy requires that funded researchers maximize the availability of research data, code, methods, and materials underlying research findings. At a minimum, the data that support research papers must be made available to other researchers in recognized community repositories at the time of preprint and manuscript submission, as well as any original software that is required to view datasets or to replicate analyses.

It is also highly desirable to make your data and software accessible to the ASAP Collaborative Research Network (i.e., members of other grantees and teams funded by ASAP) prior to publication.

Underlying data encompasses all primary data, associated metadata, and any additional relevant data necessary to understand, assess, and replicate the reported study findings.

These policies are aligned with existing industry best practices, including data availability policies required by several publishers.

Why is access to underlying data and software important?

Providing access to underlying data and software is key in fulfilling ASAP's mission of rapid and free exchange of scientific ideas. Access to underlying data and software allows one's peers to verify, reproduce, and reuse data in new ways. In addition, careful recording and management of data and code offers provenance and preservation for future inquiries.

How should I make my data and code accessible and open?

The repository you choose should:

- enable immediate open access to the underlying data upon posting of your preprint and submission of your manuscript to a journal.

- allow reuse with licensing no more restrictive than Creative Commons Attribution 4.0 License (http://creativecommons.org/licenses/by/4.0/)(CC-BY 4.0).

- assign your dataset with a persistent and unique identifier, such as a DOI (digital object identifier) to facilitate linking and citation.

- provide long-term storage and preservation, such as those that meet the ISO's trustworthy digital repository standards. (http://www.iso16363.org/)

Additional research outputs, management plans, and credit attribution

What other research outputs must be shared?

Experimental protocols that are employed in ASAP-funded research must be made publicly available (and updated as needed) through a protocol sharing service such as protocols.io. Sharing and discussing scientific methods is crucial to achieving credible, reproducible experimental research.

All tools or reagents a) funded by and b) that result from ASAP awarded projects must be made readily available to the community as a means of supporting reproducibility and to enable further research. Accessible community repositories will be recommended, such as the Michael J. Fox Foundation (MJFF) Tools Program (for model systems, cell lines, vectors) and Addgene (for plasmids, DNA reagents, viruses). This requirement applies to cell lines, transgenic models, plasmids/clones, antibodies, and other reagents.

How are my research outputs managed and tracked?

ASAP-funded researchers must consider their approach to managing and sharing anticipated outputs at the start of their funding cycle. We consider that all research outputs are significant and will hold clear value as a resource for others in academia or industry. As such, we require a Research Outputs Management System (ROMS) explaining your planned approach. A template for the ROMS will be available on the ASAP platform and staff will assist in the initial planning stage.

You should have a flexible and dynamic approach to outputs management. This means reviewing and adapting your plan as your research progresses and throughout the research lifecycle.

Plans should reflect established best practice in your research field. In particular, make sure your shared outputs are discoverable to other research teams and to recognized community repositories when possible, using persistent identifiers for these outputs wherever possible.

ASAP will consider whether researchers have managed and shared their research outputs in line with our requirements, as a critical part of the end-of-grant reporting process.

How are my research contributions assessed?

While there are many high-quality journals that are open access, we are committed to making sure that when we assess research outputs during funding decisions, we will consider the intrinsic merit of the work, not the title or impact factor (JIF) of the journal or publisher. This is in line with the San Francisco Declaration on Research Assessment (DORA) (https://sfdora.org/), of which we are a signatory.

Nearly 2,000 academic institutions, funders, publishers, and scholarly societies are DORA signatories. These entities are developing new, more effective means of assessing the quality of an individual's research contributions and more rapid and efficient ways to communicate our findings (Schmid, 2017 (https://dx.doi.org/10.1091%2Fmbc.E17-08-0534)).

What attributions are required on my research outputs?

All publications resulting from partial or full support by ASAP — either during the award, or after the funding period has ended — must be credited with reference to the grant ID of the project and a named affiliation to appear in the Author Information section for an ASAP-funded investigator.

For the ASAP Collaborative Research Network:

- **Author affiliation:** In addition to an investigator's home institution, an ASAP-specific affiliation should be designated as such: Aligning Science Across Parkinson's (ASAP) Collaborative Research Network, Chevy Chase, MD.

- **Acknowledgements section:** Specific language will be provided, upon award, for inclusion in the manuscript acknowledgements section, which will include the project grant ID.

- **Intellectual property rights notice:** "This research was funded in whole or in part by Aligning Science Across Parkinson's [Grant number] through the Michael J. Fox Foundation for Parkinson's Research (MJFF). For the purpose of open access, the author has applied a CC-BY public copyright license to the author accepted manuscript version arising from this submission."

  - For articles in the public domain – i.e., when no copyright ownership is applicable – the latter sentence would read "This article belongs to the public domain and is under CC0 license; as such, the content can be used freely with no requirement of author attribution."

For the ASAP Global Parkinson's Genetics Program (GP2):

- **Author affiliation:** In addition to an investigator's home institution, a GP2-specific affiliation should be designated as such: Aligning Science Across Parkinson's (ASAP) Global Parkinson's Genetics Program (GP2), Bethesda, MD.

- **Acknowledgments section:** Specific language will be provided, upon award, for inclusion in the manuscript acknowledgments section, which will include the grant ID and specific working group(s) if applicable.

All outputs must denote the Creative Commons Attribution license (CC-BY 4.0) or equivalent; or for articles in the public domain, CC0.

When you use research data, software, and materials generated by others in your research, you must cite the source and abide by the terms and conditions under which they were accessed.

When receiving funding from multiple institutions, whose policy should grantees adhere to?

If other funders of a multi-funded grant are concerned about adhering to the policy, ASAP will engage in discussion with the other funder(s) to understand their concerns. Contact your co-author's program officer or contact us to initiate discussion.

Your compliance with our OA policies will be monitored and so we urge such discussion prior to publication when there are contravening circumstances.

Contact us

If you have any questions, email **openaccess@parkinsonsroadmap.org (mailto:openaccess@parkinsonsroadmap.org)**.

Note, these policies will ultimately be housed on the ASAP website in perpetuity and will be referenced as such in the award contract. This document serves as a preview and certain details will be updated upon posting to the website.