

This Open Access to Publications policy will take effect January 1, 2022. For articles submitted for publication before January 1, 2022, please refer to the [Public Access to Publications policy](#).

## Open Access to Publications

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### Purpose and Scope

This policy establishes HHMI's expectations relating to public accessibility of publications resulting from research in HHMI laboratories. This policy applies to all lab heads employed by HHMI, including Investigators, Janelia Research Campus Group Leaders, Senior Group Leaders, and Janelia Senior and Theory Fellows.

### Effective Date

This policy is effective for articles submitted for publication on or after January 1, 2022. Articles submitted for publication before that date continue to be covered by HHMI's current [Public Access to Publications Policy](#).

For HHMI Investigators and lab heads at Janelia appointed after January 1, 2022, this policy is effective for articles submitted for publication on or after the date their HHMI employment starts.

## Policy

### Open License Publication Requirement

HHMI lab heads must make any original, peer-reviewed research articles with major contributions from an HHMI lab freely available under CC BY, a Creative Commons Attribution license, by the publication date. The goal of this policy is to ensure that HHMI research is shared with immediate open access and without restrictions on subsequent use so that scientists can build on one another's work to accelerate discovery.

A contribution to a publication from an HHMI lab is considered major if an HHMI lab head or lab member is listed as first, last, or corresponding author, or as a first, last, or corresponding co-author on the publication.

An HHMI lab head can meet the requirements of this policy for a specific article in the following ways:

- Publishing the "version of record" (the version that is published by the journal) under a CC BY license so that it is immediately and freely available to the public. For example, open access journals typically offer a CC BY license option and make the articles they publish immediately and freely available.

- Depositing the “author-accepted manuscript” (the version after peer review accepted by the journal) in PubMedCentral or another HHMI-designated repository under a CC BY license so that it is immediately and freely available to the public upon publication in the journal. This option applies to journals like subscription journals which do not publish the journal article (i.e., the version of record) under a CC BY license. If the journal does not deposit the author-accepted manuscript in a repository on behalf of the authors, it is the responsibility of the HHMI author(s) to ensure that the author-accepted manuscript is available under a CC BY license by the publication date.

*Articles on preprint servers:* HHMI lab heads are also encouraged to consider depositing articles in a publicly accessible preprint server, such as bioRxiv. HHMI recognizes articles deposited in publicly accessible preprint servers as evidence of productivity and will accept them for purposes such as lab head reviews. If the article shared on a preprint server is never published as a peer-reviewed article, availability of the version on the preprint server under a CC BY license will satisfy the requirements of this policy. However, publication in a preprint server, even under a CC BY license, will not be sufficient to satisfy the requirements of this policy if these articles are subsequently submitted to a journal for peer review and publication and are accepted and published. In such cases, either the version of record or the author-accepted manuscript published in the journal must be made available under a CC BY license by the publication date.

*Review and opinion pieces:* Review articles, perspectives, commentaries, and other articles that are not primarily focused on sharing original research findings are not subject to this policy.

## **Data/Code Availability Statement**

All articles subject to this policy must include a data/code availability statement detailing how data and code integral to the publication can be accessed.

## **Use of HHMI Budget for Publication Charges**

For original, peer-reviewed research articles with major contributions from an HHMI lab that are submitted for publication on or after January 1, 2022 (and therefore subject to this policy), HHMI lab heads:

- May use their HHMI budget to pay publication fees charged by open access journals and by “hybrid” journals that have committed to a full transition to an open access model on a timeline acceptable to HHMI. Hybrid journals impose access charges on readers (e.g., subscriptions) and also charge authors extra in order to have their articles published under an open license. For this purpose, hybrid journals are considered committed to a full transition to an open access model on an acceptable timeline if they appear on the list of [“transformative journals”](#) published by the global initiative on open access initially launched in Europe and known as Plan S.
- May **not** use their HHMI budget to pay for open access fees charged by hybrid journals that have not committed to a full transition to an open access model, or not committed to such transition on a timeline acceptable to HHMI. One way to publish in these journals is to deposit the author-accepted manuscript in PubMedCentral under a CC BY license so that it is immediately and freely available to the public.

- The following temporary exception applies: For articles submitted for publication on or after January 1, 2022 and before January 1, 2023, HHMI lab heads may use their HHMI budget to pay for open access fees charged by hybrid journals run by nonprofit organizations such as scholarly societies.

For articles submitted for publication before January 1, 2022 (and therefore not subject to this policy), HHMI lab heads may use their HHMI budget to pay for any publication charges, including open access fees charged by hybrid journals.

## **Additional Guidance**

HHMI intends to provide on its website information that may be helpful to lab heads in complying with this policy, and to keep this information updated regularly. In addition to a set of Frequently Asked Questions, HHMI expects to provide, by January 1, 2022:

- Resources including a journal tracker tool that lab heads can use to identify journals and platforms that meet the requirements of this policy by offering compliant publishing options that are accessible to all HHMI scientists.
- A list of major hybrid life sciences journals run by nonprofit organizations, such as scholarly societies, that qualify for the temporary exception for articles submitted between January 1, 2022 and December 31, 2022. HHMI lab heads may use their HHMI budget to pay open access fees charged by these journals for articles submitted for publication before January 1, 2023.
- A list of repositories in addition to PubMedCentral in which authors and/or journals can deposit the author-accepted manuscript or the version of record of an article to meet the requirements of this policy.
- An update to the policy on [sharing published materials](#). The update will reflect that data integral to a publication should be shared following the principle “as open as possible, as closed as necessary,” i.e. under an open license (unless restrictions apply, for example due to data protection or privacy laws or regulations) and consistent with the FAIR (findable, accessible, interoperable, and reusable) principles.

## **Related Procedures, Forms and Policies**

- [Sharing Published Materials/Responsibilities of HHMI Authors](#)
- [Public Access to Publications](#)
- [Open Access Policy Frequently Asked Questions \(FAQs\)](#)

## **Contact**

Any questions about HHMI's expectations relating to public accessibility of publications resulting from research in HHMI laboratories at host institutions may be raised with the [scientific officer](#) or [HHMI attorney responsible for the site](#), or at Janelia with Nelson Spruston, Senior Director of Scientific Programs, or Kristina Heiberger, the HHMI attorney responsible for Janelia.

Issued by: President's Office

Issue Date: 10/1/2020

Effective Date: 1/1/2022

Last updated: 9/29/2020