

Aalborg University's Policy and Guidelines for Open Access Publishing



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Driven by the principles of accessibility, inclusivity, and transparency, Aalborg University's (AAU) Open Access Policy embodies our belief that knowledge should be freely available to all. At its core, AAU's Open Access Policy articulates a commitment to making scholarly works produced by AAU researchers openly accessible, thereby maximizing their impact and reach. By embracing Open Access principles, AAU fosters collaboration, visibility, and accessibility, and amplifies the societal benefits of research, thereby fulfilling the AAU mission to serve as a catalyst for positive change in the world.

Through this policy, AAU empowers our faculty, researchers, and students to share their discoveries with the global community, sparking interdisciplinary dialogue, and driving innovation across disciplinary boundaries. Moreover, by embracing Open Access, AAU reaffirms our dedication to upholding the highest standards of academic integrity and transparency, fostering trust in the research and researchers.

AAU's Guiding Principles for Open Access Publishing

- AAU aims to make Open Access to research outputs a guiding principle without compromises to the ambition of publishing high quality research in relevant journals where Open Access is not an option.
- AAU aims to create Open Access to the university's research publications without financial, legal, or technical limitations, and supports publishing Open Access through different routes to either immediate or delayed Open Access.
- Researchers at AAU should at least retain the right to parallel publish (Green Open Access¹) the Accepted Author Manuscripts in VBN, if they transfer the publication rights to the publication channel.
- AAU's Open Access policy adheres to the [Agreement on Reforming Research Assessment](#) and aims to fulfill the objectives of [Denmark's National Strategi for Open](#)

[Access](#) measured via the national [Open Access Indicator](#).

- AAU is committed to developing infrastructure and publishing platforms to aid the increase of Open Access to research from AAU.
- All researchers at AAU must have an ORCID to comply with Open Science principles, accessibility, and openness. See here how to create and connect your ORCID to your researcher profile in VBN.

Background and the Overall Framework for the Open Access Policy

This Open Access Policy is a revision of Aalborg University's Open Access Policy from 2017 (version 2.). This Policy was approved by the Strategic Council for Research and Innovation (SFRI) November 6th, 2024, and is in effect from January 1st 2025".

¹ For a description on the different types of Open Access, see the section on Terms and Definition on Open Access page 8

Open Science and Open Access have been on the European agenda for the past 20 years with an increase in volume during this period, not only in Europe but also internationally. This is reflected in several declarations and commitments to Open Science and Open Access, as well as a range of universities, organizations, companies, and organs, which work towards creating better conditions for open research and open science, including Open Access to research publications and increasingly other forms of research information and research data (see [FAIR Guiding Principles for Scientific data management and stewardship 2016](#)). This commitment is also reflected in the increasing demand from larger funding agencies to publish Open Access.

At AAU, the [Aalborg University Research Indicator](#) supports and merits Open Science and Open Access. Part A of the AAU Research indicator uses bibliometrics to calculate publication points and citations, including publication points for preprints. Part B of the indicator merits Open Science evaluated based on Strategic Performance Agreements between the faculties and the departments. Moreover, AAU adheres to [The Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities](#) (2003), the [Agreement on Reforming Research Assessment](#) (2022), and [Denmark's National Strategy for Open Access](#).

How to Publish Open Access and Quality Check Publication Venues

Generally, there are three routes to make your work Open Access.

Route 1 (Gold Open Access): Pay for your work to be Open Access. This is done by paying an Article Processing Charge (APC) or a Book Processing Charge (BPC) to the publisher, who has accepted your work. You can also make use of one of the national publishing agreements where the APC has been paid by the Royal Danish Library Consortium.

With Route 1, *your final version* is published Open Access.

Route 2 (Diamond Open Access): Like Gold Open Access, *the final version* is published Open Access. However, Diamond Publishers do not charge an APC or a BPC; making this option cost free for you as a researcher.

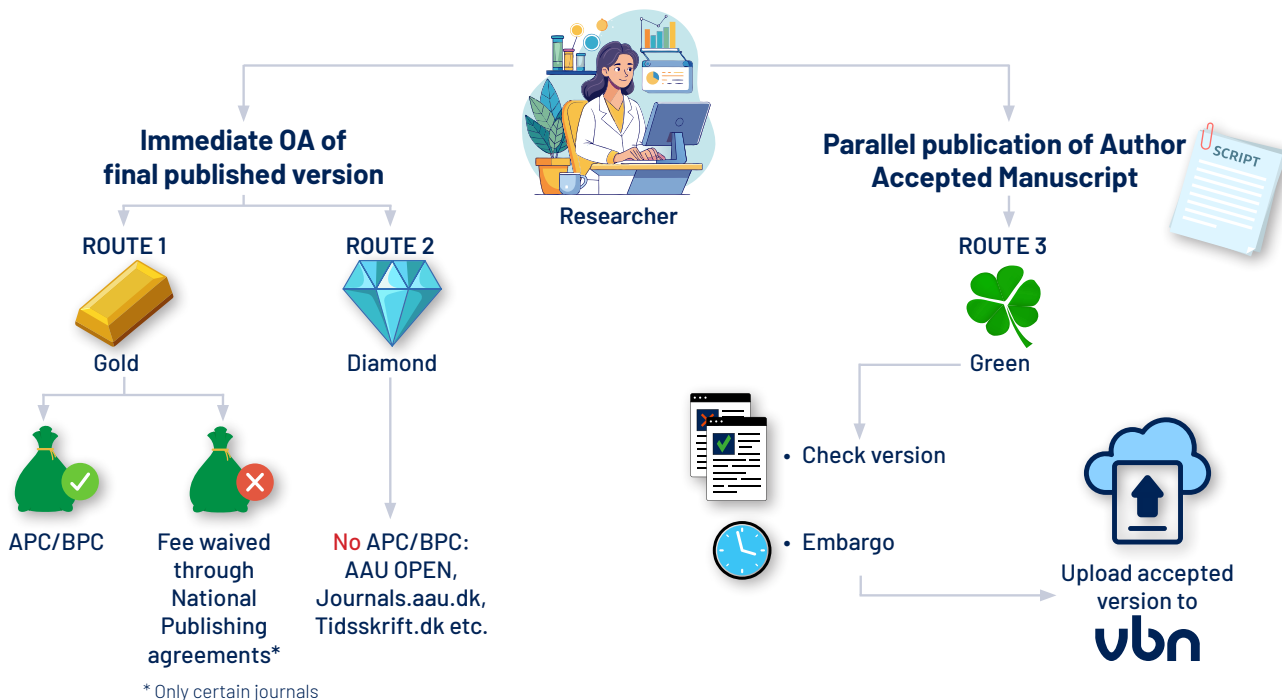
Route 3 (Green Open Access): Make use of parallel publishing/self-archiving, which most publisher allow (check the different policies including embargo periods with the individual publishers). With option 3, your *Accepted Author Manuscript* is made openly available in an institutional repository, such as VBN.

Open Access is part of changing the publication landscape where APCs and BPCs have become a new source of income for publishers. Unfortunately, this has led to an increase in the number of predatory journals and questionable publishers, where especially the peer review is lacking in quality.

As a researcher, it can be difficult to navigate in this changing landscape and avoid questionable journals. There are, however, several services which can provide guidance in the selection of journals. Below is a list of services which are either free to use or can be accessed through the University Library's services.

- [The Norwegian Register for Scientific Journals, Series and Publishers](#)
- [Directory of Open Access Journals \(DOAJ\)](#)
- [Directory of Open Access Books \(DOAB\)](#)
- [Directory of Open Access Preprint Repositories](#)
- [Sherpa Romeo Open Access Policy Checker Tool](#)
- [Think, Check, Submit](#)
- [Cabells](#) (can be accessed through the University Library)

Roads to Open Access (OA)



Need help? Contact AAU OPEN | aaupopen@aau.dk

1. How to Publish Your Journal Articles and Conference Articles in Proceedings Open Access

Immediate Open Access to your final published work allows users to read and reuse the work according to the conditions of the chosen license. This route is often referred to as Gold Open Access or Diamond Open Access.

For Gold Open Access, authors at AAU can either choose to pay an Article Processing Charge (APC) or make use of the Read and Publish Agreements, which AAU is part of via the Royal Danish Library. These publishing agreements allow AAU researchers to publish their journal articles Open Access free of charge in a wide range of journals as the APC has been paid by the Consortium.²

For Diamond Open Access, AAU authors can select journals that do not charge APCs for

publishing articles, the so-called Diamond Open Access journals. Aalborg University Open Publishing (AAU OPEN) is the publisher of several [Diamond journals](#), where you as a researcher can publish immediate Open Access free of charge. An equivalent national Diamond publisher is tidsskrift.dk, which is hosted by the Royal Danish Library.

1.1 What is Expected of the Authors?

AAU authors must check the list of journals covered by the [Consortium Agreements](#) to see if any of them are compliant with the academic ambitions and scope of the article. If none of the journals are applicable, authors have the option (but are not required) to publish Open Access by covering the APC or select another journal.

AAU does not have a central fund to cover APCs. Authors who wish to publish immediate Open Access in a journal that is not cov-

² Read more about the national agreements and the Consortium [here](#)

ered by any of the Consortium Agreements, or a Diamond journal must cover the Open Access fee with their own research funds (e.g. grant budget*).

**It is strongly encouraged to budget for Open Access costs in research grant proposals, if the aim is publication in journals not covered by the Consortium Agreements as the costs for Open Access often are significant.*

2. How to Parallel Publish Your Journal Articles and Conference Articles in Proceedings Open Access in AAU's Institutional Repository VBN

If immediate Open Access to your final published version is not an option due to for instance lack of funding, or the selection of journals covered by the Agreements is not relevant for the scope of your article, it is often possible to make use of **parallel publishing**. Equivalent terms are **Green Open Access**, **Delayed Open Access**, or **Self-archiving**.

This means that authors are allowed to make the Accepted Author Manuscript/Post Print openly available in the institutional repository VBN. This is NOT the final published version, but an earlier version that has been accepted after peer review, but not set up with layout, volume, issue, pages.

There may be different terms attached to this option. For instance, some publishers require an embargo period to the Accepted Author Manuscript before the release date in the institutional repository. In addition, some publishers require a specific Creative Commons License to the Accepted Author Manuscript.

2.1 What is Expected of the Author?

As a researcher at AAU, you are required to add the Accepted Author Manuscript to the publication in Pure if your final published version is not immediately Open Access. You can add the Accepted Author Manuscript when registering the publication, or it can be added up to 12 months after publication.³

³ If you as an author have reasons to opt out on uploading your accepted author manuscript, please contact aaupen@aau.dk.



If you wish to parallel publish your journal article or conference article in a proceeding Open Access, it is recommended that you check the publishers' policies for green open access/self-archiving in your choice of journal. Some publishers have more restricted policies, for instance related to embargo periods. It is thus recommended to select journals under publishers that offer favorable Open Access parallel publishing policies, if this does not compromise the relevance and quality in the selection of the journal.

NB: Attention to the Publishers' parallel Open Access policies is particularly important if you as a researcher have funding requirements to publish Open Access. I.e. EU-grants do not accept embargo periods on Accepted Author Manuscripts

2.2 How to upload your Accepted Author Manuscript in Pure

You upload your Accepted Author Manuscript in Pure similarly to uploading other electronic files. The following video includes a full guide on how to upload your Accepted Author Manuscript in Pure

[Link to video](#)

If you are in doubt about embargo periods, you may simply upload the Accepted Author Manuscript to the publication registration in Pure and use the default option [unknown](#) under access. The AAU OPEN-team and the local department [VBN Reporting Officers](#) will assist with setting embargo periods and include the correct Creative Commons License when this applies.

In addition, the AAU OPEN team sends a reminder via the Pure system annually to AAU researchers where the publisher allows parallel Open Access publishing of an Accepted Author Manuscript. The reminder is related directly to the publication in question.

3. How to publish your Books and Book Chapters Open Access

AAU authors or editors of scholarly books are encouraged to publish their monographs and edited volumes Open Access whenever possible.

Unfortunately, there are no publisher agreements through the national Consortium and AAU does not have a central fund to cover publishing charges. Authors who wish to publish immediate Gold Open Access must cover the Open Access fee with their own research funds (e.g. grant budget*).

There are fewer options for Diamond Open Access for books and book chapters. However, AAU is committed to creating infrastructure that can support Open Access publishing also for these publication types. An option for making your monograph⁴ or anthology openly available is to publish your work Open Access via Aalborg University Open Publishing. To learn more, visit Aalborg University Open Publishing [here](#).

Parallel publishing is less common for books or book chapters, but you are encouraged to confer with your publisher in advance.

** It is strongly encouraged to budget for Open Access costs in research grant proposal as the costs for Open Access often are significant.*

3.1 What is Expected of the Authors?

Authors are asked to explore the possibilities of publishing their work Open Access. The AAU OPEN-team is happy to assist with expert knowledge and guidance in this process for finding suitable publication venues.

4. How to Publish Your PhD Thesis Open Access

The Doctoral Schools and AAU OPEN have a joint procedure for submission, filing, printing, and online publication of PhD dissertations from AAU. PhD-students at AAU are encouraged to publish their thesis Open Access using this option.

4 For Open Access of PhD thesis, see section 4.

If you choose to have the PhD thesis published after the PhD degree has been awarded, it will be Open Access and be available for download from VBN. By publishing the PhD thesis Open Access via AAU OPEN, the thesis will receive a DOI and it is possible to gather download statistics of the dissertation from the portal. Read more about publishing your PhD thesis Open Access [here](#).

5. How to Publish Preprints

In some disciplines, publishing preprints on a preprint server or in VBN can be a way to show one's research results early and comply with the Open Science agenda. It is often possible to get a DOI to the preprint which enables you to follow the usage via citations. Furthermore, a preprint becomes part of the scholarly record, which makes it possible to track it along with e.g. SoMe activities. Preprints count 0.5 points in the AAU Research Indicator when published in a preprint repository (pay attention to publishing practice within your research field).

5.1 What is Expected of the Author?

One of the benefits of publishing preprints, besides contributing to the early dissemination of knowledge, is feedback from peers. Hence, choose a preprint server that is relevant for your research topic. You can find a list of quality checked and subject specific preprint repositories [here](#)

NB: An increasing number of journals accept papers, where a preprint version has been published in a preprint server. If you plan to submit your paper to a journal, remember to check their policy on preprints beforehand.

Remember to register your preprint in VBN as an output type with a link to the repository where you have published your preprint. If you do not register the publication, it will not count in the AAU Research Indicator. If a preprint is published as a paper in a journal later on, you must register the publication as a new publication in VBN. You will have two registrations: one for the preprint and one for the journal article. It is possible to link the

two registrations. You can find a guide [here](#) on how to register the preprint in VBN.

Creative Commons

A [Creative Commons](#) license provides a standardized method for authors, whether individuals or organizations, to grant public permission to use their creative works within the bounds of copyright law. From the perspective of someone reusing the work, the presence of a Creative Commons license clarifies what actions are permissible. When publishing Open Access, you will be asked to choose a Creative Commons license for your work.

For immediate Open Access, authors choose an open license as modelled by Creative Commons. For Gold and Diamond Open Access publishing, CC-BY is the recommended and preferred option. For parallel publishing via green Open Access, some publisher might require a Creative Commons license on the Accepted Author Manuscript. If the case, the type of CC license will be listed on the publisher's website under their Open Access policies.

Who is Behind AAU's Open Access Policy

AAU's Open Access Committee is behind AAU's Open Access Policy and responsible for assessing the policy. AAU OPEN handles the secretariat services for the Open Access Committee and is committed to developing and supports the initiative.

AAU OPEN also provides advice and guidance to AAU's researchers on Open Access questions and strategies for publishing Open Access.

Read more about the Open Access Committee and its members [here](#)

Read more about AAU OPEN and the AAU OPEN team [here](#)

Contact AAU OPEN at: aauopen@aau.dk

Terms and Definitions on Open Access

Gold Open Access

Publications where the final published version is freely available to anyone. Gold Open Access journals or book publishers charge a fee for publishing the work. This fee is often referred to as an Article Processing Charge (APC) or a Book Processing Charge (BPC).

Diamond Open Access

Publication in journals or with book publishers where the final published version is freely available to anyone. The author does not pay a fee/APC/BPC for the publication to openly available.

Green Open Access

Also referred to as parallel publishing, delayed Open Access, or Self-archiving, where the publisher allows the author to archive the Author Accepted Manuscript in an institu-

tional repository (VBN is Aalborg University's institutional repository). This form of Open Access is often subject to an embargo period typically between 6 and 24 months.

Creative Commons: is an international non-profit organization that works closely with large organizations, publishers, and governments to create, adopt, and implement open licensing to ensure that CC licenses and CC-licensed content is used correctly. You can use Creative Commons' [License Chooser](#), if you are in doubt about which license to use on your Open Access publication.

The National Open Access Agreements

The Royal Danish Library Licensing Consortium has negotiated read-and-publish agreements with several large publishers on behalf of the Danish research institutions. This means that their researchers can publish free of charge in lists of specific journals from these publishers.



