Open Access Publishing Guidelines

Background and motivation

New Harvest has a philosophy to Default to Open. We believe that by ensuring that the assets we create are accessible for all to use, re-use, redistribute and build upon, we are multiplying the impact of that asset. Open invites collaboration, discussion, and reflection - all of which are crucial in positively transforming our food system.

All grantees agree, as part of their award, that all outputs resulting from their New Harvest Research will be made open. Starting on July 1, 2023, New Harvest will strictly enforce this commitment. We have developed this guide to help answer questions about how grantees can uphold this commitment with regard to their research publications.

What is Open Access and why is it important

Open Access (OA) is the provision that peer-reviewed, scholarly, and research information is free availability on the public internet, permitting any users to access, copy, use, distribute, transmit, and make derivative works with proper attribution to the original author\(^1\). Open access is not an end in itself, but a means to further ends. Above all, it is a means to the equity, quality, usability, and sustainability of research\(^2\).

Why is it important for cell ag?

Cellular agriculture is a novel field, which aspires to transform the way that food is produced, which is central to the health and livelihood of people around the globe. In such a disruptive field, it is especially critical that information regarding this technology is open and freely available to other scientists, regulators, innovators, and the public to ensure that future products are:

- **Accessible**, such that anyone in the world can participate in the understanding, production, and consumption of cell ag products;
- **Applicable**, such that cell ag technologies can be applied accordingly and appropriately to different cultures, regions, and cuisines; and
- **Accountable**, such that claims can be substantiated and there is transparency along the length of the supply chain.

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\(^1\) Swan, A. (2012). *Policy guidelines for the development and promotion of open access*. UNESCO. [https://unesdoc.unesco.org/ark:/48223/pf0000215863](https://unesdoc.unesco.org/ark:/48223/pf0000215863)

Information to Understand OA publishing

Intellectual assets can be protected through different paths based on the asset, such as patents, copyright, trademarks, and more. We will focus on understanding Copyright, the method used to protect literary work.

Copyright

What is it?

Copyright grants rights to the author or creator of a wide range of original works, including (but not limited to!) literary works, artistic works, databases, and computer software.

Although copyright laws vary from country to country, a few general fundamentals are:

1. Copyright grants a set of exclusive rights to copyright owners, which means that no one else can copy, distribute, publicly perform, adapt, or otherwise use the work without permission of the copyright holder.
2. Copyright applies to works that are original. Generally speaking, this means the work must have been a creation of its creator and not copied from another work.
3. Copyright does not protect facts or ideas themselves, only their expression.
4. As a general rule, copyright is automatic the moment a work is created. While registration with the local copyright office often confers certain benefits and allows you to record your authorship officially, registration is not required.
5. Copyright protection lasts a long time, often many decades after the creator dies.

Who owns it?

Typically, the first owner of a copyright will be the individual person that created a work. However, copyright can be transferred to others, and often is in academic publishing!

It is important to note that the author of a work may not necessarily be the copyright holder. For example:

1. Works created in the course of your employment are likely to be owned by your employer, although ownership rules vary by jurisdiction.
2. If you have co-created a single original work that is subject to copyright, you may be a joint owner, rather than an exclusive owner. Joint ownership generally prohibits one author from exploiting a work without the consent of the others.
3. Copyright is often transferred to the journal when publishing an article, but it does not have to be! Retaining your copyright is helpful to allow you to keep your work open. New Harvest has had luck asking publishers to take the copyright transfer out of their publishing agreements - you can ask for that too! For more information on rights retention see the Plan S Rights Retention Strategy.

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3 this section is adapted from the Creative Commons Certificate for Educators, Academic Librarians and GLAM, https://certificates.creativecommons.org/cccertedu/
Creative Commons (CC) licenses

CC licenses are types of copyright licenses commonly used in OA publishing. They are legal tools that creators and rights holders can use to offer certain usage rights to the public, while reserving other rights\(^4\). CC licenses are built on a combination of these components:

- **BY – (by attribution)** Credit must be given to the creator
- **NC – (non-commercial)** Only noncommercial uses of the work are permitted
- **ND – (no derivatives)** No derivatives or adaptations of the work are permitted
- **SA – (share alike)** Adaptations must be shared under the same terms

Here are a few common CC licenses:

- **CC BY 4.0** The most open license, allows any form of re-use (with credit to original publication)
- **CC BY-NC-ND 4.0** Allows reuse if given attribution, but cannot be used for commercial purposes and cannot be modified.
- **CC BY-NC-SA 4.0** Allows reuse if given attribution, but cannot be used for commercial purposes. Derivatives are allowed as long as the new version has the same CC license.

**What does 4.0 mean?** You will notice that the CC licenses have “4.0” in them (and you may see other licenses with other numbers!). 4.0 is the most recent license version (introduced in 2013). Information on earlier versions can be found here.

**How to use them**

It is as simple as writing it on your work! If you are the owner of the copyrighted material, you are free to place any license you would like to on it - just write it somewhere on the document.

Journals sometimes require certain licenses (often a type of CC license, sometimes other bespoke licenses), and if you have signed ownership of the copyright over to them it is now their decision (reasons to keep your copyright!).

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\(^4\) Creative Commons FAQ, [https://creativecommons.org/faq/#is-creative-commons-against-copyright](https://creativecommons.org/faq/#is-creative-commons-against-copyright)
Article Versions

As you write, submit, revise, and publish your piece there are different rules related to OA at each stage. To understand OA publishing options, you first must understand these different article versions:

- **Submitted Version (aka preprint!)**
  The original version submitted to a journal for peer review

- **Accepted Version**
  The final author-created version that incorporates referee comments and is accepted for publication

- **Published Version**
  The publisher-created published version, that has been peer-reviewed and copy edited

Figure adapted from diagram by Thomas Shafee⁵

Types of Open Access

You might hear names for different types of OA in publishing, such a “green” or “gold”. While we find these names to often be confusing and prefer descriptive terms, we've outlined them here to help with your understanding as you navigate journal policies.

**Gold OA:** The author pays a fee to make their article OA. Author retains copyright, but pays an Article Processing Charge (APC).

**Green OA:** Also known as “self-archiving”. The article is published normally (may be closed) and the author archives a version of the article in an OA repository (i.e. arXiv, ResearchGate, The New Harvest OpenCellAg Repository). Green OA does not typically require a fee, however, the publisher may place restrictions such as an embargo or which versions can be archived.

How to ensure your article is OA

Types of Journals

**Fully Open Access Journals - Best!**
These journals only publish OA articles. Most of these journals will still charge an APC (those which do not are called **Diamond OA**). To check if a journal is fully open access, you can search for it on the [Directory of Open Access Journals](https://doaj.org). *(Note: if looking for a specific journal, it is often easiest to search for its ISSN number!)*

**Transformative Journals - Second best!**
Transformative journals are hybrid journals (see below) that have made an explicit commitment to transition to full OA and must meet key performance indicators each year. You can find a list of transformative journals [here](https://www.transformations.org/).

**Hybrid Journals - Last resort!**
Hybrid journals contain a mix of open and closed articles. Authors pay a fee to make their specific paper **Gold OA**. Most OA advocates do not recommend supporting publishing in hybrid journals (unless they have transformative agreements) because it incentivizes a broken system. However, some of the biggest publishers out there follow this model.

Finding the Right Journal

While the academic system often pressures authors to publish in high impact journals, New Harvest believes that **the merit of the publication is more important than the venue** in which it is published. We strive to push back against the accepted norm that impact factor or journal name is the most important factor when choosing a journal.

**Ensuring your work is accessible should be the #1 priority!**

We do not want to limit which journal you publish in. However, it is your responsibility to ensure that the journal has a pathway for your article to be OA.

*Each publisher has different (and often multiple!) options for how to make your article OA.*
In addition, each version of the article may have different options and policies for making it open access.
SHERPA Romeo Database

To understand your options for making articles open access, we recommend using the SHERPA Romeo database.

SHERPA Romeo provides detailed information on every OA pathway within each journal’s policy. Each pathway represents a way in which a document can become OA. Pathways have the following properties:

<table>
<thead>
<tr>
<th>Icon</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Open access publishing</td>
<td>The pathway includes open access publishing</td>
</tr>
<tr>
<td>£</td>
<td>Additional open access fee</td>
<td>The pathway requires the payment of a fee (in addition to any normal publication fees that may be required) to make the article open access</td>
</tr>
<tr>
<td>✗</td>
<td>Not permitted</td>
<td>No open access pathway exists for the article version</td>
</tr>
<tr>
<td>©</td>
<td>Copyright owner</td>
<td>The copyright owner that the pathway requires</td>
</tr>
<tr>
<td>⌁</td>
<td>Conditions</td>
<td>Conditions that apply to the pathway</td>
</tr>
<tr>
<td>📝</td>
<td>Licence</td>
<td>The licence that the pathway requires</td>
</tr>
<tr>
<td>!</td>
<td>Prerequisites</td>
<td>Requirements that must be met to allow the pathway to be used. These may include prerequisite funders, subjects, or permissions from the publisher</td>
</tr>
<tr>
<td>✎</td>
<td>Location</td>
<td>The websites on which the pathway allows the article version to be available. This includes self-archiving and publisher-deposit locations, including the website of the journal</td>
</tr>
<tr>
<td>📝</td>
<td>Notes</td>
<td>Additional notes on the policy</td>
</tr>
<tr>
<td>🌈</td>
<td>Publisher deposit</td>
<td>The publisher will deposit on your behalf in the location specified</td>
</tr>
<tr>
<td>⏳</td>
<td>Embargo</td>
<td>The embargo that the pathway requires. Unless stated otherwise, the embargo starts on the date of publication</td>
</tr>
</tbody>
</table>

For example: Biomaterials has 4 different pathways for OA (follow [this link](#) to see the Biomaterials page): 2 for the published Version, 1 for the Accepted Version, and 1 for the Submitted Version.

For more information on how to use SHERPA Romeo, see their [Help Guide and Videos](#).
Institutional OA Policies and Funding

Some universities, funds, and governments have implemented OA publishing policies. These policies are often more than just an OA mandate - they often also provide assistance for agreements with publishers, financial assistance for fees, and/or options for archiving your work in institutional repositories.

As our fellows are affiliated with universities around the world, it is hard for us to keep tabs on all of the institutional and regional policies. However, as we learn of these, we aim to record the information for future fellows to use.

Table of open access policies and assistance by university

<table>
<thead>
<tr>
<th>University</th>
<th>OA Policy</th>
<th>Financial and Other Assistance</th>
<th>Institutional Repository</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dalhousie University</td>
<td>No</td>
<td>Discounts or waivers at select journals</td>
<td>DalSpace</td>
</tr>
<tr>
<td>Newcastle University</td>
<td>No</td>
<td>Discounts or waivers at select journals</td>
<td>ePrints</td>
</tr>
<tr>
<td>Tufts University</td>
<td>No</td>
<td>Discounts or waivers at select journals</td>
<td>Funding assistance</td>
</tr>
<tr>
<td>University of Bath</td>
<td>Yes</td>
<td>Discounts or waivers at select journals</td>
<td>Funding assistance</td>
</tr>
<tr>
<td>University of California (all)</td>
<td>Yes</td>
<td>Discounts or waivers at select journals</td>
<td>UC Davis Open Access Fund &amp; TOME Open Access Monograph Fund</td>
</tr>
<tr>
<td>University of Vermont</td>
<td>No</td>
<td></td>
<td>ScholarWorks</td>
</tr>
<tr>
<td>Technical University Munich</td>
<td>Yes</td>
<td>TUM Publishing Fund</td>
<td>mediaTUM</td>
</tr>
</tbody>
</table>

Due to agreements between the TUM and publishers you can benefit from special conditions for self-archiving.

If you have information to add to this directory, please contact Breanna Duffy.
New Harvest Publishing Policies

For New Harvest Grantees

All peer-reviewed publications that are based on results from research funded fully or partially by New Harvest must be published OA.

Grantees can follow 3 routes to make their publications OA:

<table>
<thead>
<tr>
<th>Route</th>
<th>Description</th>
<th>Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Top Choice) Open Access publishers</td>
<td>Publish in a <strong>fully Open Access Journal</strong></td>
<td>Can request funding from New Harvest OA Fund*</td>
</tr>
<tr>
<td>Subscription publishers (transformative journals)</td>
<td>Publish Open Access in a <strong>Transformative Journal</strong></td>
<td>Can request funding from New Harvest OA Fund*</td>
</tr>
<tr>
<td>(Last Resort) Subscription publishers (repository route)</td>
<td>Publish in a subscription journal and make either the accepted or published version openly available in the New Harvest OpenCellAg Repository. The journal must allow posting in an institutional repository within 12 months of publication.</td>
<td>New Harvest will not support publication fees, but will host the article on the repository.</td>
</tr>
</tbody>
</table>

* When funding is available. See the policy below on using the OA Fund.

To assist with OA fees, New Harvest will have an Open Access Fund. At least at first, the OA fund will be limited, so it is important that this is the last resort.

To request funding from the OA Fund, fellows must first:

A. Publish in a fully OA journal or a Transformative Journal (no other hybrid journals will be supported)

B. Demonstrate that they have first attempted to receive funding through their university or other means. (see **Institutional OA Policies and Funding**)

C. Justify why they must publish in the given journal (fellows should prioritize OA journals, and choose the journal with the lowest possible fee)