

Charter for Open Access to Publications – User Guide

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1. PREAMBLE

The Institut Pasteur Charter for Open Access to Publications, as presented in organization memo 0122 dated May 1, 2021, sets out the Institut Pasteur's commitments to open access.

The aim of this guide is to help you comply with the Institut Pasteur Charter by providing information about how you can make your publications accessible. It explains the key points about open access in a clear and practical way. It also describes the advantages of the HAL open archive and contains an FAQ on how to submit publications to HAL-Pasteur.

We are constantly working to improve this guide and we welcome any comments or suggestions. Please write to <a href="https://nateur.google.goo

The CeRIS HAL-Pasteur team.

2. REMINDER OF THE BASICS OF OPEN ACCESS

WHAT IS OPEN ACCESS?

Open access (OA) is a term used to refer to the immediate, free and permanent availability of academic publications online. It involves two conditions – the publication must be:

- free to read:
- AND available for reuse.

WHAT ARE THE DIFFERENT TYPES OF OPEN ACCESS?

	Gold open access = open access journals	Diamond open access	Green open access = open archives	Bronze open access
Free to read	YES	YES	YES	YES
Available for reuse	YES	YES	YES	NO
Author charge	YES	NO	NO	NO

• Green open access (the "green road"): in this model, researchers self-archive their publications in national, institutional or themed open archives.* Although publishers impose an embargo* on the visibility of author accepted manuscripts* in open archives, the articles can still be submitted at the point of publication. The embargo period is managed by the Institut Pasteur's HAL team.

The first open archive was arXiv, set up in 1991. In France, the HAL national archive was created in 2001. HAL is managed by the Center for Direct Scientific Communication (CCSD), a joint research unit run by CNRS/Inria/INRAE/Lyon 1 University. HAL is funded by the French Ministry of Higher Education, Research and Innovation.

- Gold open access (the "gold road"): under this model, articles are published in open access
 journals (publishers PLOS and BMC were the pioneers of OA). The gold road also includes
 journals set up and funded by consortia of institutions and libraries such as eLife. More recently,
 conventional publishers have created OA journals such as Nature Communications and
 Scientific Report. The gold road usually uses Creative Commons licenses,*1 which permit free
 use.
- Diamond open access: this road concerns journals managed by academic communities (universities, research organizations, communities of researchers, learned societies, etc.). They are funded upstream and are therefore free of charge for readers and authors (or publication fees are low).

December 2022

¹ The asterisks refer to definitions in the glossary at the end of the document.

The diamond model also includes platforms for preprints* and OA publications, often run by research funding bodies, for example <u>Wellcome Open Research</u> (Wellcome Trust) and the new European Commission platform <u>Open Research Europe</u>. These platforms, reserved for the publication of the articles funded, also offer an open peer review.

NB: Previously the only two terms generally in use were green open access and gold open access. Nowadays we tend to consider journals with a publication fee for authors as gold open access and those with no author fee as diamond open access. Diamond open access is the most advanced open access solution. It is completely free of charge for readers and authors alike and it also promotes bibliodiversity by encouraging research communities to manage their own publications.

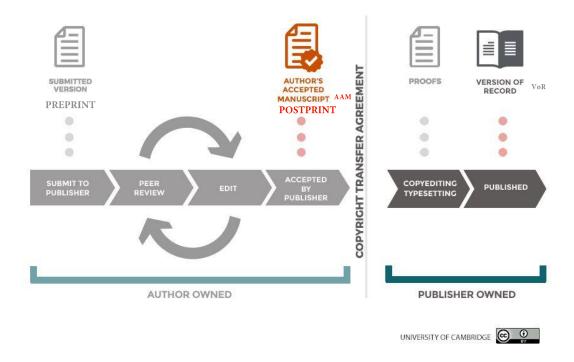
Bronze open access: in this model, articles are made available to read free of charge on
publisher platforms after a specific deadline (or embargo*) that may last up to two years. The
publisher retains copyright and authors must ask permission to post their articles on another
site than that of the publisher. Bronze open access is therefore not "full open access" (see the
definition of open access at the start of the document).

WHAT ARE THE DIFFERENT BUSINESS MODELS USED BY ACADEMIC JOURNALS?

- **Subscription journals**: this is the traditional model, also known as the "reader pays" model. Libraries, laboratories and individuals can subscribe to receive the journal in print form or online. In this type of journal, authors often pay publication fees (for color photos, for example).
- Fully open access journals: this journal model was created in the early 2000s so that the
 content would be freely accessible without the barrier of payment represented by often
 expensive subscription fees. The first publisher to adopt this model was the Public Library of
 Science, with the PLOS journal series. In the field of biomedical science, these journals are
 often funded by authors, who pay an article processing charge (APC) to publish their articles.
 This is known as the "author pays" model. Most publish under Creative Commons licenses.
- Hybrid journals: this is the name given to subscription journals in which authors can pay an APC to have their article published as open access. In this "double-dipping" model, the institution pays twice: once to read (subscription) and once to publish (APC). We would therefore advise against paying open access fees in hybrid journals, bearing in mind that once articles have been submitted to HAL-Pasteur they are already available as open access.
 - → Note: some publishers of hybrid journals offer to publish articles under a specific OA license (e.g. the Elsevier user license), which makes them free to read but does not allow reuse, even though the author has paid an APC.*

THE SCIENTIFIC PUBLICATION CIRCUIT

The first version of a scientific article is known as a **preprint**,* submitted version or **prepublication**. The text of the article is sent to the publisher of the chosen journal. If accepted, peer reviewers are selected by the editorial board to review the article. Authors are frequently asked to incorporate additions or amendments to the original text. The final version, which includes all the requested changes, is known as the **author accepted manuscript (AAM)** or **postprint**.*



WHAT RIGHTS DO AUTHORS HAVE OVER THE VARIOUS VERSIONS OF THEIR ARTICLES?

Authors retain ownership of all author versions of their article. This means that the author must always be cited.

By signing a copyright transfer agreement, authors transfer exploitation rights for the article to a publisher. The subsequent versions, which have undergone copy-editing and typesetting, belong to the publisher. This applies to the **proof** (final version for proofreading) and the version published on the publisher's website (known as the **version of record**, or **VoR***).

Publishers have traditionally always imposed their own self-archiving policy for the various versions of an article. These policies can be consulted on the SHERPA/RoMEO website. Three version types are identified – published version, accepted version and submitted version –, and the rights transferred to the publisher differ depending on the version and the journal. In France, the French Act for a Digital Republic recognizes the right for researchers to submit their author accepted manuscripts* to an open archive. The act reduces the embargo* after which the publication can be made available to six months for the field of science and technology. It takes precedence over contracts signed with publishers.

To help speed up the transition to open access, some research funding bodies (<u>cOAlition S</u>) recommend the application of a Creative Commons CC BY* license to author manuscripts, thereby enabling authors to retain all the rights to their publications.

More details can be found below in the sections:

What are the requirements of funding bodies in the area of open access?

What can I do to make sure I am in line with cOAlition S?

HOW TO CHOOSE A JOURNAL

Scientists are free to choose the journal in which they wish to publish their article. If it is a hybrid
journal,* they are encouraged, where possible, not to pay an APC but to submit their author
accepted manuscript to HAL-Pasteur, which meets open access conditions.

 Authors wishing to publish a scientific article in a fully open access journal should always make sure the journal is listed in the Directory of Open Access Journals (<u>DOAJ</u>*), to avoid **predatory** journals.*

WHAT IS A CREATIVE COMMONS LICENSE?

• Creative Commons (CC) offers standard contracts or licenses governing the online availability of publications. These licenses are based on copyright but they encourage authors to retain some of their rights, which are subject to their prior permission. With CC licenses, authors can make their publications available to the public but they can set conditions to be applied for their reuse, reproduction and/or adaptation, and users must accept these conditions before using the article. Authors do not surrender or transfer their rights; with a CC license, they choose how they want to exercise these rights. CC licenses are used by open access journals as well as open archives and OA platforms.

There are six licenses, each of which is a specific combination of the following four conditions:

Pictogram	Abbreviation	Meaning
•	BY	Attribution: the initial author must be cited (mandatory in French law)
(S)	NC	Non-commercial: no commercial benefit can be derived from the work without the author's permission
⊜	ND	No derivative works: the work may not be integrated (in part or in whole) into a composite work without the author's permission
0	SA	Share alike: the work may be shared but only under the same or a similar license

Find out more

FRENCH ACT FOR A DIGITAL REPUBLIC

This French act dates from 2016. Article 30 supplements the French Research Code as follows:

Art. L. 533-4.-I.- If a scholarly paper based on research at least half funded by government grants, [...], by grants from national funding agencies or by European Union funding is published in a journal with at least one issue a year, its author, even after granting exclusive rights to a publisher, is entitled to make freely available in an open digital format, subject to the agreement of any co-authors, the final version of the manuscript accepted for publication, as soon as the publisher itself makes it freely available online or, failing that, after the end of a period beginning from the first publication date. This period shall be no more than six months for a publication in the field of science, technology and medicine and no more than twelve months in the field of humanities and social sciences.[...]

Comments on the act2:

- This act recognizes an inalienable right to self-archive publications in open archives.
- It concerns publications produced using at least 50% public funding.³
- It covers all academic publications published in periodicals with at least one issue a year (this excludes books).
- The act provides for the version including peer corrections to be submitted, but not the version published by the publisher on its website (known as the version of record (VoR)*).
- The embargo* after which the publication can be made available is six months from the online publication date (in the field of science and medicine).

WHAT ARE THE REQUIREMENTS OF FUNDING BODIES IN THE AREA OF OPEN ACCESS?

European Commission

• FP8 - H2020 (2014-2020)

Publications have to be submitted to an open archive within six months. Publication in an open access journal meets the open access conditions but does not exempt authors from submitting publications to an open archive. The Commission covers open access charges.

• FP9 – Horizon Europe (2021-2027)

Horizon Europe marks a significant change compared with the previous H2020 program.

- The obligation to submit articles to an open archive now comes with two additional requirements:
 - articles must be published under a CC BY license.
 - articles must be available without an embargo.*
- Article processing charges (APCs)* in hybrid journals* will only continue to be covered if the journal has signed a "transformative agreement."* This refers to an agreement negotiated between a publisher and a consortium of libraries during the current transitional phase.⁴ Publishers have also created the **transformative journal** model: when their journals reach 75% of OA articles, they will become entirely OA (or by the end of 2024 at the latest).⁵
 - The European Commission, which supports cOAlition S, has decided that it will no longer fund publications in hybrid journals that have not concluded transformative agreements and are not transformative journals. The **ERC** (European Research Council) covers publication costs for all hybrid journals, even those without this type of agreement.
- Publication costs must be transparent and reasonable and must reflect the services proposed by the publisher.
- New publication platform: <u>Open Research Europe</u>
 Following on from the Wellcome Trust and the Bill & Melinda Gates Foundation, the European Commission has set up its own publication submission platform. The aim is

² Calimaq. *Open Access: quelles incidences de la loi "République numérique"?* [French][Internet]. - S.I.Lex -. 2016 [consulted on Feb. 26, 2020]. Available <u>here</u>

³ This refers to budgets allocated by funding bodies (ANR, European Commission, etc.) and also operating budgets and salaries.

⁴ These license agreements cover both free access to the publisher's journals and APCs for researchers at the signatory institutions. At the Institut Pasteur, just one transformative agreement was signed in 2021 with Portland Press and Biochemical Society

⁵ In the current transitional period, libraries continue to pay subscriptions.

to enable researchers to publish as open access for a "reasonable" cost, thereby ensuring the reproducibility and integrity of research. Researchers who publish on this platform are in full compliance with European policy. Articles are accessible online from the preprint stage and there is an open peer review process; articles that have been reviewed by peers are made available in databases and open archives.⁶

French National Research Agency (ANR)

Since 2019, it has been compulsory to submit articles to HAL. Publication in open access journals or books is recommended. ANR set up a HAL portal at the end of 2020, HAL-ANR, for funded publications.

ANR has announced that for its 2022 Work Program, "all calls for proposals issued in the context of the Work Program and later will be covered by the <u>Rights Retention Strategy*</u> [pursued by cOAlition S]. With this strategy, all publications resulting from projects funded by ANR (at least the versions accepted for publication) must be submitted with the CC BY license or equivalent to the national open archive HAL, immediately after publication in accordance with Plan S."

Wellcome Trust

Publications must be submitted to the <u>EuropePMC</u> open archive, the European equivalent of <u>PubMed Central</u>.* Articles must be published in an open access journal or on <u>Wellcome Open Research</u>, an open access publishing platform for research funded by the Wellcome Trust. Publications submitted to HAL (and all its portals) are automatically imported into EuropePMC.

cOAlition S

The funding bodies listed above belong to <u>coAlition S</u>, a consortium set up in September 2018. coAlition S was initially composed of a dozen European funding bodies but now also includes the Gates Foundation and WHO. Its aim, summarized in <u>10 points</u> in Plan S, is to accelerate open access to the publications it funds, through submissions to open archives and/or publication in open access journals and books or on open access platforms.

It reached a new milestone in summer 2020 with the publication of a new policy laid down in the <u>Rights</u> <u>Retention Strategy</u>: from 2021 onwards, a CC BY license must be applied to all publications, and no embargo* may be imposed.

Authors will be encouraged to retain the rights to their articles.

To find out how to retain your rights, read on:

What can I do to make sure I am in line with cOAlition S? (below)

What can I do in practice to retain the rights to my article?

WHAT CAN I DO TO MAKE SURE I AM IN LINE WITH COALITION S?

From 2021, researchers funded by <u>organizations endorsing Plan S</u> will have to **apply a CC BY* license** to their articles and publish them without an embargo.*

Possible options are:

- To publish in a fully open access journal with a CC BY license or on an open access platform.
- To publish in a subscription journal and apply the #RightsRetentionStrategy,* illustrated below. Authors retain their rights by applying a CC BY license to the author accepted manuscript (AAM). This enables them to submit the article to an open archive without an embargo.*

⁶ See the <u>article</u> published on this topic in the CeRIS OpenScience blog (in French).



WHAT CAN I DO IN PRACTICE TO RETAIN THE RIGHTS TO MY ARTICLE?

cOAlition S asks funding bodies to ensure that funding agreements include an obligation for researchers submitting articles to mention:

- 1. who funded the research
- 2. what public copyright license the researcher wishes to apply to the article

cOAlition S asks publishers to allow the version of record (VoR or publisher PDF) of research articles to be submitted to an open archive without an embargo, or if not to provide broad authorization for authors to make a copy of their author accepted manuscript freely available, with no embargo, under a CC BY public copyright license or equivalent.

To inform the publisher that you wish to retain your rights by applying a CC BY license to your manuscript, you can add the following paragraph to the covering letter of your submission, in the "Acknowledgments" section of your article:

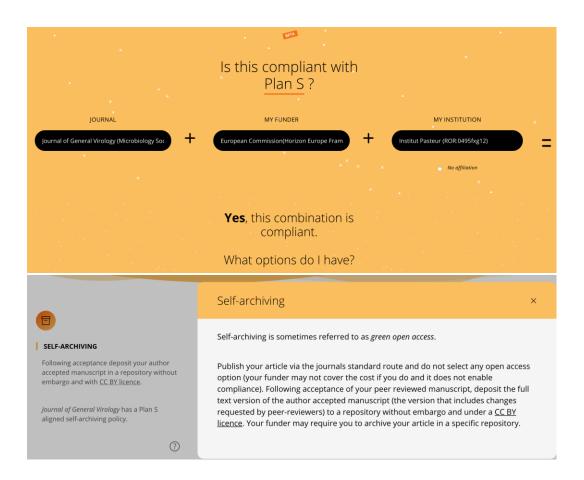
"This research was funded, in whole or in part, by [organization name, grant number]. For the purpose of open access, the author has applied a CC BY public copyright license to any author accepted manuscript version arising from this submission."

Useful information: The CC BY license required by the research funding contract concluded with the funding body takes precedence over any subsequent publishing contract that may be concluded with the publisher.

IS THE JOURNAL I WANT TO PUBLISH IN COMPLIANT WITH PLAN S PRINCIPLES?

cOAlition S has developed a **Journal Checker Tool** (JCT).

Researchers can enter the name of the journal they want to publish in, the funding body of their project and their institution, and the tool will tell them whether the journal complies with the principles of Plan S and what open access road it applies.





Science (AAAS) and The New England Journal of Medicine have chosen the Rights Retention Strategy to ensure compliance with the cOAlition S policy.

This means that you can submit your author accepted manuscript directly to HAL-Pasteur under a CC BY license. Several publishers also allow this.



Summary of the Plan S Rights Retention Strategy

3. THE ADVANTAGES OF HAL

VISIBILITY IN PUBMED FOR ARTICLES SUBMITTED TO HAL

Submissions with a PubMed identifier (PMID), for which an **author file** is accessible, are indicated in PubMed with this logo:

Review > Arthritis Rheumatol. 2021 Nov;73(11):1954-1965. doi: 10.1002/art.41812. Epub 2021 Sep 22.

Is There a Place for Chimeric Antigen Receptor-T Cells in the Treatment of Chronic Autoimmune Rheumatic Diseases?



COMPLIANCE WITH EUROPEAN COMMISSION POLICY

OpenAIRE, the platform that helps researchers comply with the European Commission's requirement to submit publications to an open archive, imports all HAL submissions. The "European project(s)" field, available when submitting publications to HAL, can be used to link the publication with the project page in OpenAIRE (see screenshot below), so that it can be mentioned in the list of project publications. These submissions are then duplicated in the **EU Funding & Tenders Portal** (Actions > Manage Project > Continuous reporting data > Publications tab).



INFRAVFC2

Research Infrastructures for the control of vector-borne diseases (731060)

PROJECT (EC) (OPEN ACCESS MANDATE FOR PUBLICATIONS AND RESEARCH DATA)

Funding: H2020 | RIA Start Date: 2017-02-01 End Date: 2021-01-31

Organization: LIVERPOOL SCHOOL OF TROPICAL MEDICINEFondation Health Sciencese-TrainingCAAINSTITUTE FOR FOOD AND AGRICULTURE RESEARCH AND TECHNOLOGYImperialImperialFOUNDATION FOR RESEARCH AND TECHNOLOGYHELLASUniversity ofGlasgowMPGUZHEMBLLSMSInstitut Pasteur de DakarIPNCMinistère De LaSantéPOLOGGBPOLOGGBCharles UniversityUSTTBWUCIRADTPI

Detailed project information (CORDIS) →

Publications (26)

VIEW ALL 26 RESULTS →

Infravec2: expanding researcher access to insect vector tools and resources

ARTICLE, OTHER LITERATURE TYPE ENGLISH OPEN

COMPLIANCE WITH ANR POLICY

Since 2022, it has become compulsory:

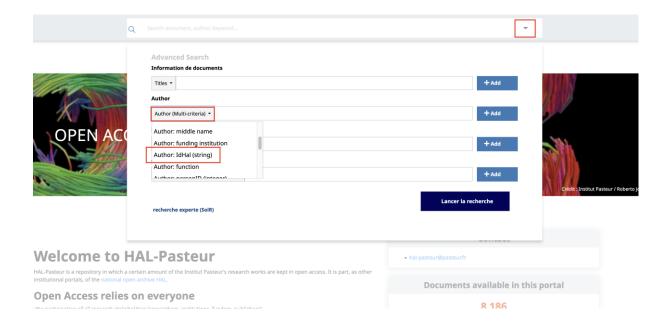
- 1. To provide in open access any scientific publication resulting from an ANR-funded project. You must use a Creative Commons CC-BY license and follow one of these publication models:
 - · Publish in a fully open access journal,
 - Publish in a subscription journal with a transformative model (transformative agreement* or transformative journal*)
 - Publish in a subscription journal and submit your manuscript accepted for publication to HAL-PASTEUR with a CC- BY license by applying the Rights Retention strategy (consult the guide here).
- 2. At the time of the publication, to submit the full text in the open archive HAL indicating the ANR-funded project reference (e.g. ANR-22-CE64-0001).

UPDATING YOUR ORCID WITH YOUR HAL SUBMISSIONS

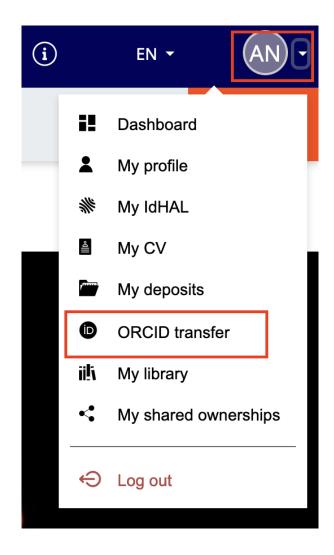
It is now possible to update your ORCID profile with your HAL submissions.

• See the HAL documentation page

Please note that the HAL results page obtained from ORCID is based on a "first name last name" AUTHOR query. You can replace it with a query using your IdHAL for a better result by using the advanced search feature as shown below:



- Or in your personal HAL menu in the top right-hand corner > "ORCID transfer":
 - Create or authenticate with your ORCID
 - o In ORCID, authorize transfers from HAL. You only have to do this once. If necessary, re-enter the query using your IdHAL.



THE BENEFITS OF OPEN ARCHIVES

Submission to open archives guarantees the **accessibility** and **long-term preservation** of the Institut Pasteur's publications and helps build a **corpus of knowledge** on a single platform which is independent from commercial solutions and policies in force in other countries. It is also a way of **reducing publication costs** by avoiding paying APCs* to hybrid journals.*

GUARANTEED LONG-TERM PRESERVATION FOR PUBLICATIONS SUBMITTED TO HAL

All files submitted to HAL are **archived on a long-term basis at CINES**, the French National Computing Center for Higher Education, based in Montpellier. CINES carries out format and storage media migration as needed to keep in step with technological developments.

A DIGITAL IDENTITY FOR RESEARCHERS

HAL enables researchers to create an unambiguous digital identity with the IdHAL identifier system.

See the section on IdHAL below. You can also use your IdHAL to produce a CV. IdHAL and CV information

Customize the appearance of your CV [in french]

4. SUBMITTING PUBLICATIONS TO HAL-PASTEUR

DO PUBLISHERS ALLOW ARTICLES TO BE SUBMITTED?

The vast majority of publishers allow articles to be submitted to an open archive. The various publisher policies on self-archiving can be consulted on the SHERPA/RoMEO website.

In France, researchers also benefit from the provisions of the 2016 Act for a Digital Republic, which recognizes the **right to submit** an author manuscript to an open archive, **even after transferring exclusive copyright to a publisher**.

WHAT TYPES OF DOCUMENT DO I HAVE TO SUBMIT?

The COMESP, the Institut Pasteur's committee for the assessment of scientific staff, requires scientists to submit any research articles, reviews, papers, editorials, letters and comments published in **peer-reviewed journals** to HAL-Pasteur. It also takes preprints* into consideration.⁷

Referencing **books and book chapters** in HAL-Pasteur is strongly recommended to increase the visibility of documents that may not be widely indexed in databases.

I PUBLISHED MY ARTICLE AS OPEN ACCESS. DO I STILL NEED TO SUBMIT IT TO HAL-PASTEUR?

Publishing an article in an open access journal does not exempt you from the requirement to submit it to HAL-Pasteur. In this case, you can submit the **publisher's PDF version** (the version of record or VoR*).

HOW CAN I CHECK WHETHER MY ARTICLE HAS ALREADY BEEN SUBMITTED TO HAL?

Why is it important to check?

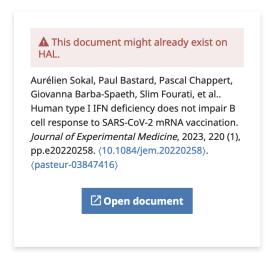
Before submitting an article, it is important to check whether it has already been submitted by a co-author or his/her institution.

<u>HAL</u> is a national collaborative platform for universities, French research institutes and top-ranking higher education institutions. HAL groups together all publications submitted to all portals.

HAL-Pasteur is the HAL portal and subset containing the Institut Pasteur's publications (publications for which at least one author is affiliated with the Institut Pasteur). If co-authors submit the article to another HAL portal (HAL, HAL-CNRS, HAL-Inserm, etc.) without mentioning your Institut Pasteur laboratory, the publication will not appear in HAL-Pasteur.

If this is the case, please do not submit the article again; instead, report it to hal-pasteur@pasteur.fr

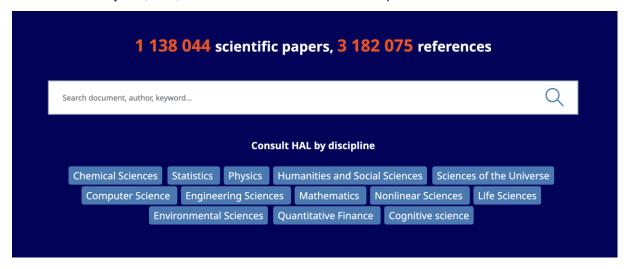
⁷ The COMESP points out that although submitting your research to these sites makes it rapidly available to the scientific community, **it prevents the subsequent filing of a patent**, as with any oral or written disclosure of results. You should therefore make sure that you protect all or part of your results beforehand by contacting the DARRI before any disclosure.



When you submit an article, a message is displayed alerting you if there is a possibility that the publication which you are submitting is already in HAL.

How to perform a search in HAL?

1. Search by title, DOI, etc. in the search bar below the "Upload" button.



If your article is referenced but the full text is not attached, you can add it to the entry. See How can I added the full text or update an existing entry?

If your search does not retrieve any results, **you should submit your article to HAL-Pasteur** (not the generic HAL) so that it can be moderated by the CeRIS team and become visible in HAL-Pasteur as soon as possible.

HOW TO SUBMIT DOCUMENTS IN HAL-PASTEUR

You need to log onto **HAL-Pasteur** and click the "**Upload**" button.



The submission process has been simplified. There are three basic steps:

- Select your document type
- Upload your file(s)
 - The full text, figures, appendices, etc.
- Add the metadata for the document
 - Retrieve the metadata using the DOI and/or PubMed number (PMID)
 - o Add the author data
 - Check at the very least that your affiliation is correct;
 - To be automatically affiliated to your unit, see <u>How to pre-enter my unit in HAL-</u> Pasteur for my submissions
 - The menu in the left column helps you to navigate between the metadata fields to be filled in

File(s)

Metadata

Automatic extraction

Authors and affiliations

Main informations

Identifiers

Funding

Other Informations

Validation

The CeRIS is then responsible for checking and completing the process.

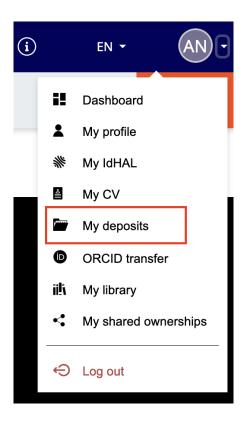
If you submit your articles regularly, it will take no more than five minutes per article.

WHERE SHOULD I SUBMIT THE ARTICLES I PUBLISHED BEFORE JOINING THE INSTITUT PASTEUR?

It is a good idea to submit any publications written before you joined the Institut Pasteur to <u>HAL</u>. HAL serves as a central platform for all submissions, regardless of the portal via which they were submitted and the affiliated institutions (including laboratories based outside France).

I HAVE JUST SUBMITTED AN ARTICLE. WHY CAN'T I SEE IT IN HAL-PASTEUR?

When you submit an article, it arrives in the moderation area. The CeRIS completes the metadata and author affiliations, checks the file, applies an embargo* if necessary, then makes it available online. During this period, you can view your submission in your personal HAL menu > "My deposits".



The **Dashboard** shows you the statistics of your submissions (whether you uploaded a publication yourself or the submission ownership was shared with you. See "shared ownership").



Four boxes are displayed:

- The first 3-figure box indicates the number of full text items (file type submissions), bibliographic records (reference type submissions) and open access links linked to your account.
- The second box shows, for all the publications linked to your account, the number of record consultations and file downloads.
- The third box contains a diagram showing the number of submissions you made, as well as their types (submissions with fulltext files, bibliographic records and open access links; as well as a line representing the total). This diagram can be displayed by month or year.
- The fourth box shows the evolution of the record consultations and file downloads for all the submissions linked to your account. It can also be displayed by month or year.

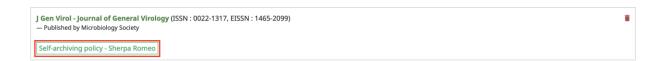
WHICH VERSION OF MY ARTICLE SHOULD I SUBMIT?

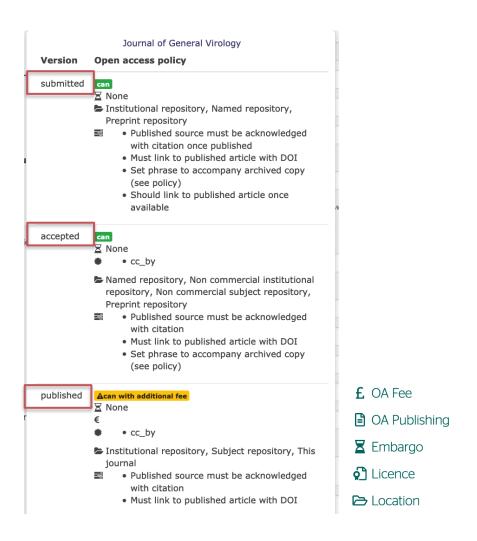
The version you need to submit is the **author accepted manuscript*** (AAM) or postprint,* which incorporates any changes resulting from the peer review process but has not been formatted by the publisher and is not subject to publisher copyright.

If the article is published as open access with a Creative Commons license, the publisher's version can be used (a PDF downloaded from the publisher's website).

Some publishers (e.g. The Company of Biologists) allow the PDF under publisher copyright to be submitted to an open archive.

If you enter the name of the journal when you submit a publication, you can access the publisher's self-archiving policy by clicking on "self-archiving policy," which redirects you to the SHERPA/RoMEO** website. This provides information about copyright for submitted versions (= preprints), accepted versions (= author accepted manuscript (AAM) or postprint) and published versions (= publisher's version or VoR*).





WHICH DOCUMENT TYPE SHOULD I CHOOSE FOR MY SUBMISSION?

Under the broad document type "journal article," you can submit "research articles," "letters," "editorials," "comments," etc. A sub-type is available for "review articles".

The other most frequently used document types are "preprint, working papers", "book sections", "conference papers," "theses," etc. The list is not exhaustive.

HOW CAN I ADD THE FULL TEXT OR UPDATE AN EXISTING ENTRY?

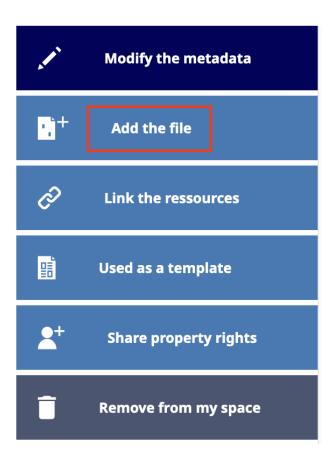
To add the full text to an existing HAL entry, you need to be an owner of the submission. This is the case if:

- You submitted the article yourself
- You are referenced as an author of the article with your IdHAL
- The author last name, first name and email are presented in exactly the same way as those registered in your HAL profile

Otherwise you will first need to share the **property rights** of the submission (see the next question).

When you are an owner of the submission, you will see the "Add an annex file" to the right of the entry.

Once you have added the file, the submission must once again be moderated but the entry remains visible.



HOW CAN I SHARE THE PROPERTY RIGHTS OF A SUBMISSION?

Search for the entry in HAL, then at the bottom of the screen click on "Ask for the property rights."

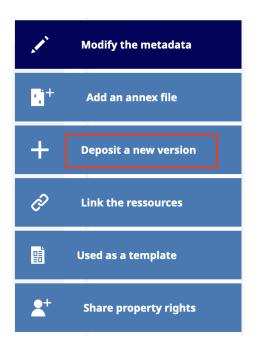


- Complete the request. The owner will receive an email with a clickable link to accept your request. You will then receive an acceptance email.
- Subject: [PASTEUR] pasteur-xxxxxxxx: Ownership sharing request accepted

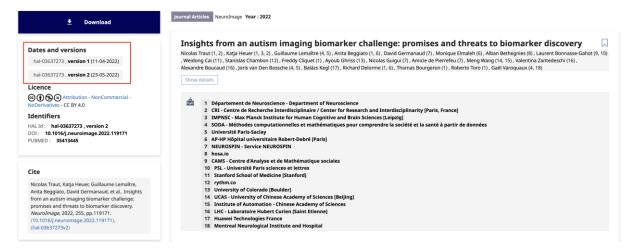
HOW CAN I SUBMIT A NEW VERSION?

You may have submitted a preprint and wish to add the published version.

To the right of the submission, choose the function "+ Deposit a new version".



All the metadata will be carried over. Correct and complete the metadata, then upload the new file. Once the new document has been made available online by the moderators, the two versions are linked as follows:



The most recent version (version 2) is displayed by default.

HOW CAN I OBTAIN THE AUTHOR ACCEPTED MANUSCRIPT FROM THE PUBLISHER?

The **corresponding author** can obtain the author accepted manuscript on the publisher platform where it was submitted. See the <u>Direct2AAM</u> website for help on how to retrieve your manuscript from the publisher. If the publisher makes you incorporate the corrections in a file that has already been formatted, ask for permission to use the formatted file.

If you are not the corresponding author, you can contact the corresponding author and ask him/her to send you the article.

WHICH CREATIVE COMMONS LICENSE SHOULD I USE IN HAL-PASTEUR?

Beside the downloaded file, in the metadata section of HAL, you can select the license you wish to associate with your author file in the "License" field. Under the French Act for a Digital Republic, you can currently add a non-commercial license (with the NC option).

From 2021 onwards, a CC BY license is requested by funding bodies.

See What can I do in practice to retain the rights to my article?

For publisher PDF versions, you need to keep the license mentioned for the article.



```
✓ Licence
CC BY - Attribution
CC BY NC - Attribution - NonCommercial
CC BY ND - Attribution - NoDerivatives
CC BY ND - Attribution - ShareAlike
CC BY SA - Attribution - ShareAlike
CC BY NC ND - Attribution - NonCommercial - NoDerivatives
CC BY NC SA - Attribution - NonCommercial - ShareAlike
NC - Public Domain Mark
CC0 - Public Domain Dedication
ETALAB - Open licence
Copyright
Public Domain
```

WHAT IS AN EMBARGO AND HOW IS IT MANAGED?

The embargo is the period just after publication online during which the publisher reserves exclusive distribution rights for your article, if it is subject to copyright. Publishers often impose an embargo of a year before articles can be made visible in open archives. With the French Act for a Digital Republic*, this embargo is reduced to six months for science and medicine.

Embargoes for each submission are managed by the HAL team in the CeRIS.

You can submit your article to HAL-Pasteur as soon as it is published and the file will be made invisible for the duration of the embargo. During this period, anyone can request access to the file by logging into HAL-Pasteur.

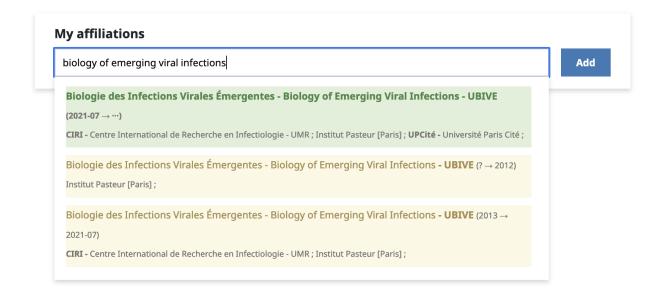


HOW TO PRE-ENTER MY UNIT IN HAL-PASTEUR FOR MY SUBMISSIONS

You must indicate your unit (or laboratory) in your HAL profile.

In "My profile" (from your personal HAL menu, in the top right-hand corner), you can enter your laboratory (known as your "affiliation" in HAL) from the list in HAL:

- 1. Enter the name of your unit/laboratory (starting directly with the name, without writing "unit") and select it from the list.
- Select a green entry, which corresponds to the current form of each unit; units displayed in yellow no longer exist (this may be because of a change in supervisory authority (CNRS or Inserm), for example, or the addition of *Université Paris Cité* in July 2021).
- 3. You can select several affiliations. Save the changes.
- 4. Don't forget to update your affiliation if you move to a different laboratory.
- 5. If you have been a member of several laboratories in succession, you will need to change the affiliation for your past submissions.
- 6. Email hal-pasteur@pasteur.fr if you can't find your laboratory.



7. At the bottom of the page, in the "Submissions preferences" section, select "Yes" for "Automatically add me as author at each new submission".



CAN I DELEGATE THE TASK OF SUBMITTING MY PUBLICATIONS?

Unit assistants can submit the publications for their unit. Scientists will need to **provide the assistant** with the author accepted manuscript (AAM)* so that the full text can be added to the submission. The CeRIS runs training courses for scientists and assistants.

HOW DO I INDICATE MY FUNDING WHEN SUBMITTING AN ARTICLE?

Copy and paste the "Funding" paragraph from your article into the "**Contract, financing**" field in HAL. Then indicate any ANR- or EU-funded projects in the relevant fields. You can select funded projects by searching using the acronym or CORDIS number for EU funding and the acronym or project name for ANR funding. If the project is not yet in the HAL list, the CeRIS can create it.



HOW DO I LINK THE DATA USED IN MY ARTICLE WITH MY SUBMISSION?

Currently only datasets identified by a **DOI*** can be added in the field "Related data." Other identifiers or URLs can be inserted into the "Comment" field.

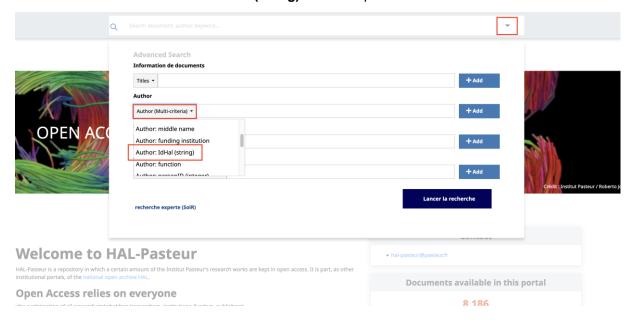


HOW CAN I GENERATE A LIST OF MY PUBLICATIONS?

The list of your publications could be extracted from **HAL-Pasteur**.

However, if you have publications for which you are not affiliated with the Institut Pasteur, you will have to extract your list from the generic HAL repository.

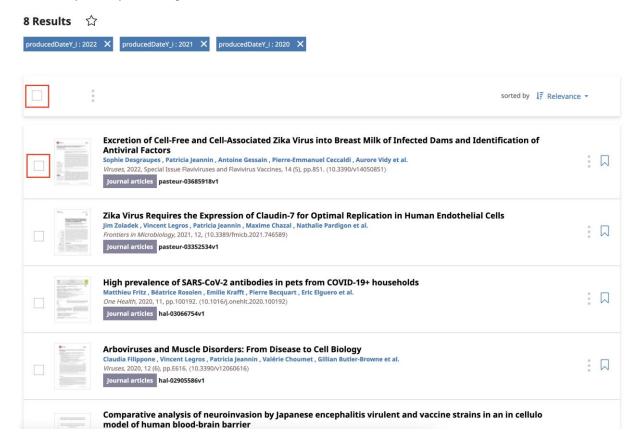
- 1. Search with your IdHAL* (see Creating an IdHAL and I've forgotten my IdHAL)
 - a. Click on the arrow in the search box
 - b. Choose "Author: IdHal (string)" in the drop-down list of search fields



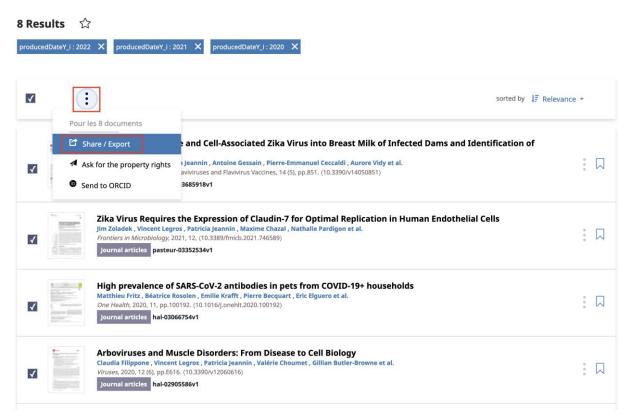
2. In the list of results obtained, go down to "Year" at the bottom left and select the years evaluated:



3. Select all the publications at once by checking the box at the top or select the publications one by one by checking each box on the left



4. Click on the three-dot icon (Actions button) and select "Share/Export" > PDF:



In the exported PDF, submissions are automatically sorted by document type (articles, books and book chapters, conferences, preprints), then by reverse chronological order of publication for each type of document (although the document types are not explicitly displayed).

I'VE FORGOTTEN MY IDHAL. WHERE CAN I FIND IT?

Go to your personal HAL menu in the top right-hand corner \rightarrow "My IdHAL"

5. CREATING AN IDHAL

WHAT IS AN IDHAL?

An IdHAL is a unique identifier for an author in the HAL open archive.

It is not created automatically; each author is responsible for creating his/her own IdHAL.

NB: Your IdHAL, which identifies you as the author of an article, is not the same as the login for your HAL user account, which you use to log into HAL.

WHY CREATE AN IDHAL?

When you create an IdHAL, a preferred author form will be associated with it and automatically added to any new publications submitted.

An IdHAL also allows you to:

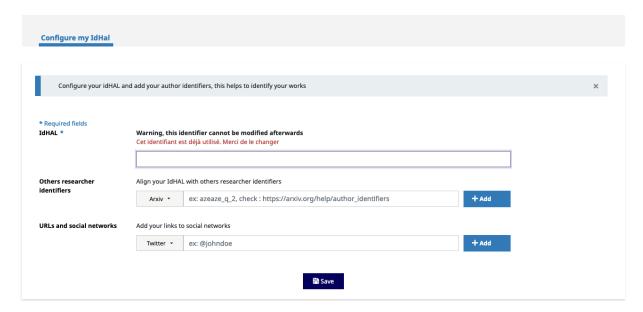
- avoid any ambiguity over your name
- be recognized as the owner of a submission made by someone else for which you are the coauthor
- · extract your bibliography from HAL
- generate a HAL CV
- synchronize your IdHAL with other identifiers (ORCID, ResearcherID, Scopus Author ID, etc.)

Your IdHAL groups together any variants in the way your name is presented in different publications, so that you can manage problems such as:

- homonyms
- name changes during your career
- use of an initial instead of a first name
- mistakes of various sorts (typos, absence of special characters, use of hyphens in double-barreled names, etc.)

HOW TO CREATE AN IDHAL

In your personal HAL menu in the top right-hand corner, click on My IdHAL.



By default, your IdHAL will take the form "first name-last name." You can keep this form or change it. It should contain no special characters, spaces or capital letters. Your IdHAL needs to be clear as it will be used to generate a URL that will link directly to your list of publications (or to your CV if you have one). Please note that once saved, your IdHAL can no longer be changed.

- 1. Click on Save
- 2. Then follow > Next step

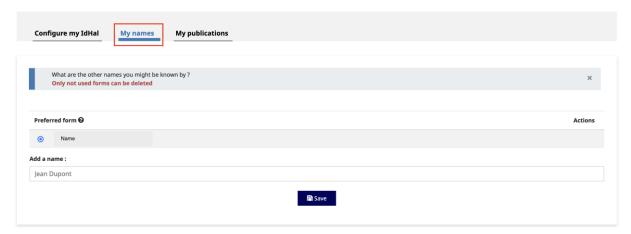
WHAT IS THE PREFERRED AUTHOR FORM?

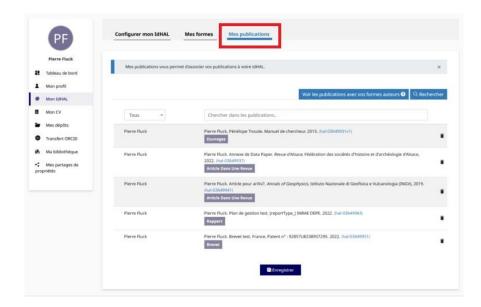
When you create your IdHAL, you choose your **preferred author form**, in other words the variant of your name that will appear in future submissions.

HOW CAN I GROUP TOGETHER MY PUBLICATIONS UNDER MY IDHAL?

It is important to associate all your author forms and publications already submitted with your IdHAL, so that a search by IdHAL will find all your publications.

- 1. In the tab "My names", search for your different author forms, and add them
- 2. In the tab "My publications" deselect any articles associated with your author form that are not yours
- 3. It is a good idea to check your IdHAL once a year to see whether any new author forms have been created (repeat steps 1-2)





You can also consult the HAL documentation

I AM AN ASSISTANT. HOW CAN I FIND THE IDHAL OF ONE OF THE SCIENTISTS IN MY UNIT?

You can perform a search in AuréHAL [in French] (HAL list)

In the "Auteurs" field, search for an author name



The idHAL column displays the idHAL of the authors who have one.



6. GLOSSARY

ARTICLE PROCESSING CHARGE (APC) OR PUBLICATION FEE

The APC is a fee charged to authors to make a publication available on an open access basis in a journal. The APC may be paid by the author's institution or funding body. Note that payment of the fee does not guarantee that the author will retain all of his/her rights, or that the publication will be made available under a Creative Commons license. For example, with an Elsevier user license, the article can be read free of charge but not submitted to an open archive.

AUTHOR ACCEPTED MANUSCRIPT (AAM)

This is the final version of an article that incorporates the corrections requested during the peer review process but has not yet been formatted by the publisher and is not subject to publisher copyright.

CREATIVE COMMONS LICENSE

See the section: What is a Creative Commons license?

DIGITAL OBJECT IDENTIFIER (DOI)

The DOI is a unique, permanent, standardized identifier for a digital object. It is used in particular for academic articles. It is a way of identifying publications on a publisher's website.

DIRECTORY OF OPEN ACCESS JOURNALS (DOAJ)

The <u>DOAJ</u> is a database which lists online academic periodicals that meet quality and open access criteria. The quality of the journals is assessed by more than 50 criteria. It is vital to refer to the DOAJ to avoid **predatory journals**.*

EMBARGO

The embargo is the period during which the publisher holds exclusive rights for the distribution of a document; during this period the document is not openly accessible, even if it has been submitted to an open archive. In HAL, documents under embargo can be consulted by logging in.

GOLD ROAD AND GREEN ROAD

See What are the different types of open access? at the beginning of this guide.

HYBRID JOURNAL

A hybrid journal is a subscription journal in which it is possible to publish articles as open access subject to the payment of an APC (see definition).

This business model is very profitable for publishers and consequently onerous for research organizations because the institution pays twice: once for the subscription and once for the open access publication fee.

IDHAL

An IdHAL is a researcher's identifier in HAL. It associates all the various author name variants under one main author form and distinguishes an author from any homonyms.

To find out how to create an IdHAL, go to section 5. Creating an IdHAL

METADATA

The term metadata (literally "data about data") refers to all the data that are used to describe a document (title, authors, journal, year, keywords, etc.).

OPEN ACCESS INFRASTRUCTURE FOR RESEARCH IN EUROPE (OPENAIRE)

OpenAIRE is an EU project designed to help researchers comply with the obligation to submit publications as open access imposed by the European Commission and the European Research Council (ERC). It is also the name of the leading open archive for publications funded by European projects.

OPEN ARCHIVE

An open archive is a digital repository containing documents derived from academic research and offering free access to all without any restrictions. Submitting material to an open archive is one of the ways of implementing the principle of open access to scientific publications; it is often referred to as the "green road."

Publications are generally submitted by the authors themselves or by people they ask to do so (this practice is known as **self-archiving**), but some open archives also allow publishers to add publications directly. This is the case with PubMed Central. The content of open archives is searchable and can be aggregated by specialist search engines and imported from one archive into another (e.g. HAL is imported into EuropePMC and OpenAIRE).

POSTPRINT

See Author accepted manuscript

PREDATORY JOURNAL

Predatory journals claim to be academic publications, but in reality they are scams, encouraging researchers to pay publication fees without providing the editorial services associated with journals. A list of these journals can be found at predatoryjournals.

PREPRINT, PREPUBLICATION OR SUBMITTED VERSION

A preprint (also known as an **author manuscript**) is the version of an academic article that precedes its acceptance by the peer review committee of an academic journal. On the preprint platforms <u>bioRxiv</u> and <u>medRxiv</u>, authors can publish their manuscripts immediately, without waiting for what can be a lengthy review process. Some publishers use these two sites to allow authors to submit their articles directly for publication.

PUBLICATION FEE

See APC

PUBMED CENTRAL

<u>PubMed Central</u> is an archive of scientific articles available on an open access basis. It is the leading repository for biomedical research developed by the NCBI and hosted by the US National Institutes of Health's National Library of Medicine (NIH/NLM). The archive is composed of articles submitted by authors or publishers. In 2008, the NIH open access policy introduced an obligation to submit publications from all its research programs with a one-year embargo.

RIGHTS RETENTION STRATEGY

With its <u>Rights Retention Strategy</u>, cOAlition S provides authors with recommendations to help them retain their rights to their publications. The basis of the strategy is publication with a CC BY license and without an embargo. For more details, see the section from p. 10 onwards in this guide.

SHERPA/ROMEO

<u>SHERPA/RoMEO</u> is an online resource that aggregates and analyzes publisher open access policies from around the world and provides summaries of self-archiving permissions and conditions of rights given to authors.

These policies can be consulted via HAL when submitting a publication. See Which version of my article should I submit?

SUBMITTED VERSION

See Preprint or Prepublication

TRANSFORMATIVE AGREEMENT

The aim of these agreements is to enable journals to transition to full open access. Transformative agreements are license agreements negotiated between libraries (or national consortia) and publishers. They allow signatory institutions to reallocate the subscription costs they would previously have paid to cover open access publication fees. Under these agreements, all the researchers at these institutions can publish in open access without fees and consult any of the articles published by the publisher. Transformative agreements must be negotiated on a transitional basis. See also "Transformative journal."

TRANSFORMATIVE JOURNAL

To comply with the demands of cOAlition S, some publishers of subscription journals (Elsevier, Springer Nature and others) have pledged to make their journals fully open access by the end of 2024 at the latest, or when the journal, currently in hybrid* mode, reaches 75% of open access articles. See also "Transformative agreement."

VERSION OF RECORD (VOR) OR PUBLISHER'S VERSION

The version of record is the final version of an academic article as published on the publisher's website.

CeRIS

Contact: hal-pasteur@pasteur.fr



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