

[ This document is based on advice given to University of Nottingham staff. The text of the document has been generalised to allow easy modification or re-use by other institutions. ]

[ It makes reference to the institution having an institutional repository set up to allow open access to its content and a user-guide for that repository. The document also makes reference to a centralised body within the institution holding funds for use by authors in fulfilling funding bodies requirements. ]

[ This document also makes reference to a service whereby an eprint that is deposited in the institutional repository will be archived in the particular funding body's repository of behalf of the author by the institutional repository administrators. This requires that this service should be offered by the repository administrators and that there should be some process by which the repository administrators are alerted to the deposit of a paper which has archiving requirements attached. ]

## Research Outputs and Funder Policies:

### [*institutional name*] Procedures

#### 1 Introduction

This document provides guidance to academic staff at the [*institutional name*] on how to comply with policies on research outputs (published papers etc) recently adopted by the Wellcome Trust, BBSRC, ESRC, MRC, NERC and PPARC.

#### 2 Funder policies

In the autumn of 2006, RCUK (Research Councils UK) and the Wellcome Trust introduced new policies relating to research outputs. In both cases, the funders have specified ways in which publications arising from research they fund can be made more widely available. These policies apply to all for grant holders from the **Wellcome Trust**, **BBSRC**, **ESRC**, **MRC**, **NERC**, and **PPARC**. Further details of the policies can be obtained from:

<http://www.wellcome.ac.uk/node3302.html>  
and

<http://www.rcuk.ac.uk/access/>  
(following links to individual Research Council policies)

Summaries of the policies can be found at:

<http://www.sherpa.ac.uk/juliet/>

The *[institutional name]* has adopted the procedures laid out in this document for complying with these policies.

**AHRC** and **EPSRC** are currently reviewing their policies but as yet have no formal requirements in relation to research outputs.

### **3 *[institutional name]* procedures**

#### **3.1 Wellcome Trust**

##### **3.1.1 Requirements**

Authors should as a condition of grant ensure that outputs arising from Wellcome funding are deposited in UK PubMed Central (UKPMC). This can be achieved in a number of ways. Since deposit in UKPMC is required of all Wellcome grant holders, one of the following should always be carried out:

1. Publication in an open-access journal (such as a BioMed Central or Public Library of Science journal), followed by the author depositing a copy of the published paper (as formatted by the publisher for formal publication) in UKPMC as soon as possible or in any event within six months of publication.
2. Publication in a journal with an open-access option (sometimes called a 'hybrid' journal), making payment for the open-access option, followed by deposit of the published paper (as formatted by the publisher for formal publication) in UKPMC as soon as possible or in any event within six months of publication. Where agreements exist with the Wellcome Trust, publishers have agreed to carry out this deposit themselves and it is therefore not necessary for the author to do so.
3. Publication in a journal which allows the final version of the author's manuscript (incorporating changes made as result of receiving referees comments) to be deposited in UKPMC, followed by author deposit in PMC as soon as possible or in any event within six months of formal publication. This is the least preferred option.

##### **3.1.2 Payment of publication charges/OA fees**

Options 1 and 2 above usually require payment to be made by the author on a per-article basis before publication. The Wellcome Trust allows its grant holders to pay such publication charges or open-access (OA) fees in a number of ways:

1. By calling on funds held centrally on behalf of the Wellcome Trust by the *[institution's centralised fund-holder for this purpose]*. To apply for funds contact *[contact name, email address, telephone]*.
2. By using funds from the Wellcome Trust direct grant.
3. By applying directly to the Wellcome Trust for support.

##### **3.1.3 Copyright**

Since deposit in UKPubMed Central is not optional for Wellcome grant recipients, they should not sign publisher copyright agreements which prevent them from depositing items within six months of publication in the ways described above. To do

so would breach the conditions of grant of the Wellcome Trust and may jeopardise future funding applications.

#### **3.1.4 Timing**

These requirements apply to all grant holders from October 2006 onwards. All deposits should be made as soon as possible or in any event within six months of formal publications of the work.

### **3.2 Biotechnology and Biological Sciences Research Council (BBSRC)**

#### **3.2.1 Requirements**

As a condition of grant, authors should ensure, where possible, that published items arising from BBSRC grants are deposited in a suitable open-access repository. Such repositories include:

1. [*institutional repository*] (*URL of institutional repository*)
2. Any other suitable subject repository.

Authors may self-deposit any items in most repositories. A guide is provided on depositing in [*institutional repository*] at [*URL of institutional repository users' guide*].

#### **3.2.2 Version to deposit**

Where copyright allows, author should deposit the final formally-published version of the output as formatted by the publisher. If payment is required for this, funds may be obtained from the [*institution's centralised fund-holder for this purpose*] as described below.

Where the final formally-published version of the article cannot be deposited in an open-access repository for copyright reasons, authors should where possible deposit a copy of the final version of the author manuscript as submitted by the author to the publisher.

#### **3.2.3 Payment of publication charges/OA fees**

An author may choose to publish in an open-access (OA) journal which charges author fees or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately (sometimes called a 'hybrid' journal). In most cases, once payment of publication charges or OA fees has been made, the final formally-published version of the paper may be deposited in an open-access repository such as [*institutional repository*].

Funds for paying such charges may be obtained as follows:

1. From BBSRC direct grants (during the lifetime of the funded project)
2. From the [*institution's centralised fund-holder for this purpose*] To apply for funds contact [*contact name, email address, telephone*]. This fund can be used when the BBSRC grant has ended.

#### **3.2.4 Copyright**

Authors should abide by conditions in the copyright agreements they sign with publishers, including any embargo period on depositing the work in an open-access repository. More details of publishers' policies in relation to deposit of items can be

found on the RoMEO database at <http://www.sherpa.ac.uk/romeo> Authors may sometimes be able to negotiate alternative terms with publishers by, for example, using the JISC-SURF Licence to Publish (<http://copyrighttoolbox.surf.nl/copyrighttoolbox/authors/licence/>).

### **3.2.5 Timing**

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by BBSRC to abide by this policy for grant applications before this time.

## **3.3 Economic and Social Research Council (ESRC)**

### **3.3.1 Requirements**

As a condition of grant, authors should ensure, where possible, that published items arising from ESRC grants are deposited in the ESRC Awards and Outputs Repository at the earliest opportunity. Authors at the [*institutional name*] can either:

1. Deposit the material directly in the ESRC Awards and Outputs Repository (<http://www.esrcsocietytoday.ac.uk/ESRCInfoCentre/AdvancedSearchPage2.aspx>), or
2. Deposit the material in the [*institutional repository*] repository (*URL of institutional repository*) and it will then be forwarded to the ESRC on the author's behalf.

Authors may self-deposit any items in most repositories. A guide is provided on depositing in [*institutional repository*] at [*URL of institutional repository users' guide*].

### **3.3.2 Version to deposit**

Where copyright allows, authors should deposit the final formally-published version of the output as formatted by the publisher. If payment is required for this, funds may be obtained from the [*institution's centralised fund-holder for this purpose*] as described below.

Where the final formally-published version of the article cannot be deposited in an open-access repository for copyright reasons, authors should where possible deposit a copy of the final version of the author manuscript as submitted by the author to the publisher. This version should include changes made following peer review.

### **3.3.3 Payment of publication charges/OA fees**

An author may choose to publish in an open-access (OA) journal which charges author fees or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately (sometimes called a 'hybrid' journal). In most cases, once payment of publication charges or OA fees has been made, the final formally-published version of the paper may be deposited in an open-access repository such as the ESRC Awards and Outputs Repository or [*institutional repository*].

Funds for paying such charges may be obtained as follows:

1. From ESRC direct grants (during the lifetime of the funded project)

2. From the [*institution's centralised fund-holder for this purpose*]. To apply for funds contact [*contact name, email address, telephone*]. This fund can be used when the ESRC grant has ended.

### **3.3.4 Copyright**

Authors should abide by conditions in the copyright agreements they sign with publishers, including any embargo period on depositing the work in an open-access repository. More details of publishers' policies in relation to deposit of items can be found on the RoMEO database at <http://www.sherpa.ac.uk/romeo> Authors may sometimes be able to negotiate alternative terms with publishers by, for example, using the JISC-SURF Licence to Publish (<http://copyrighttoolbox.surf.nl/copyrighttoolbox/authors/licence/>).

### **3.3.5 Timing**

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by ESRC to abide by this policy for grant applications before this time. All deposits should be made "at the earliest opportunity".

## **3.4 Medical Research Council (MRC)**

### **3.4.1 Requirements**

As a condition of grant, authors should ensure, where possible, peer-reviewed outputs arising from MRC funding are deposited in UKPubMed Central (UKPMC). This can be achieved in a number of ways. Since deposit in UKPMC is required of all MRC grant holders, one of the following should be carried out except in "very exceptional cases":

1. Publication in an open-access journal (such as a BioMed Central or Public Library of Science journal), followed by the author depositing a copy of the published paper (as formatted by the publisher for formal publication) in UKPMC within six months of publication.
2. Publication in a journal with an open-access option (sometimes called a 'hybrid' journal), making payment for the open-access option, followed by author deposit of the published paper (as formatted by the publisher for formal publication) in UKPMC within six months of publication. In some cases, publishers have agreed to carry out this deposit themselves and it is not necessary for the author to do so.
3. Publication in a journal which allows the final version of the author's manuscript (incorporating changes made as result of receiving referees comments) to be deposited in UKPMC, followed by author deposit in UKPMC within six months of formal publication. This is the least preferred option.

### **3.4.2 Payment of publication charges/OA fees**

The MRC allows payment to be made by its grant holders of journal publication charges or open-access (OA) fees in a number of ways:

Funds for paying such charges may be obtained as follows:

1. From MRC direct grants (during the lifetime of the funded project) where included in the grant application

2. From the [*institution's centralised fund-holder for this purpose*]. To apply for funds contact [*contact name, email address, telephone*]. This fund can be used when the MRC grant has ended.

### **3.4.3 Copyright**

Since deposit in UKPubMed Central is not optional for MRC grant recipients, they should not sign publisher copyright agreements which prevent them from depositing items within six months of publication in the ways described above. The MRC policy states: "If a researcher wishes to publish a paper in a journal that is unwilling to agree either to author/institution ownership of copyright, or to allow the article to be made freely available from the PMC and PMCI repositories within six months, the MRC may, in very exceptional cases, grant permission for authors to submit the paper for publication in such a journal. This position will be reviewed in 2008."

Authors or their institutions are encouraged to retain copyright where possible. One way in which this can be achieved is by using the JISC-SURF Licence to Publish (<http://copyrighttoolbox.surf.nl/copyrighttoolbox/authors/licence/>).

### **3.4.4 Timing**

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged to abide by this policy for grant applications before this time.

## **3.5 Natural Environment Research Council (NERC)**

### **3.5.1 Requirements**

Is a condition of grant, authors should ensure, where possible, where possible that peer-reviewed published items arising from NERC grants are deposited in a suitable open-access repository. Such repositories include:

1. [*institutional repository*] (*URL of institutional repository*)
2. Any other suitable subject repository.

Authors may self-deposit any items in most repositories. A guide is provided on depositing in [*institutional repository*] at [*URL of institutional repository users' guide*].

### **3.5.2 Version to deposit**

Where copyright allows, authors should deposit the final formally-published version of the output as formatted by the publisher. If payment is required for this, funds may be obtained from the [*institution's centralised fund-holder for this purpose*] as described below.

Where the final formally-published version of the article cannot be deposited in an open-access repository for copyright reasons, authors should where possible deposit a copy of the final version of the author manuscript as submitted by the author to the publisher. This version should include changes made following peer review.

### **3.5.3 Payment of publication charges/OA fees**

An author may choose to publish in an open-access (OA) journal which charges author fees or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately (sometimes called a 'hybrid' journal). In

most cases, once payment of publication charges or OA fees has been made, the final formally-published version of the paper may be deposited in an open-access repository such as [*institutional repository*].

Funds for paying such charges may be obtained as follows:

1. From NERC direct grants (during the lifetime of the funded project)
2. From the [*institution's centralised fund-holder for this purpose*]. To apply for funds contact [*contact name, email address, telephone*]. This fund can be used when the NERC grant has ended.

#### **3.5.4 Copyright**

Authors should abide by conditions in the copyright agreements they sign with publishers, including any embargo period on depositing the work in an open-access repository. More details of publishers' policies in relation to deposit of items can be found on the RoMEO database at <http://www.sherpa.ac.uk/romeo> Authors may sometimes be able to negotiate alternative terms with publishers by, for example, using the JISC-SURF Licence to Publish (<http://copyrighttoolbox.surf.nl/copyrighttoolbox/authors/licence/>).

#### **3.5.5 Timing**

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by NERC to abide by this policy for grant applications before this time. Published items should be deposited at the earliest opportunity.

### **3.6 Particle Physics and Astronomy Research Council (PPARC)**

#### **3.6.1 Requirements**

Authors should as a condition of grant ensure where possible that published items arising from PPARC grants are deposited in a suitable open-access repository. Such repositories include:

1. [*institutional repository*] (*URL of institutional repository*)
2. Any other suitable subject repository.

Authors may self-deposit any items in most repositories. A guide is provided on depositing in [*institutional repository*] at [*URL of institutional repository users' guide*].

#### **3.6.2 Version to deposit**

Where copyright allows, authors should deposit the final formally-published version of the output as formatted by the publisher. If payment is required for this, funds may be obtained from the [*institution's centralised fund-holder for this purpose*] as described below.

Where the final formally-published version of the article cannot be deposited in an open-access repository for copyright reasons, authors should where possible deposit a copy of the final version of the author manuscript as submitted by the author to the publisher. This version should include changes made following peer review.

### **3.6.3 Payment of publication charges/OA fees**

An author may choose to publish in an open-access (OA) journal which charges author fees or in a conventional journal which gives an option to pay a fee in order to make the article freely available immediately (sometimes called a 'hybrid' journal). In most cases, once payment of publication charges or OA fees has been made, the final formally-published version of the paper may be deposited in an open-access repository such as [*institutional repository*].

Funds for paying such charges may be obtained as follows:

1. From PPARC direct grants (during the lifetime of the funded project)
2. From the [*institution's centralised fund-holder for this purpose*]. To apply for funds contact [[*contact name, email address, telephone*]]. This fund can be used when the PPARC grant has ended.

### **3.6.4 Copyright**

Authors should abide by conditions in the copyright agreements they sign with publishers, including any embargo period on depositing the work in an open-access repository. More details of publishers' policies in relation to deposit of items can be found at on the RoMEO database at <http://www.sherpa.ac.uk/romeo> Authors may sometimes be able to negotiate alternative terms with publishers by, for example, using the JISC-SURF Licence to Publish (<http://copyrighttoolbox.surf.nl/copyrighttoolbox/authors/licence/>).

### **3.6.5 Timing**

These requirements apply to awards from grant applications submitted from 1 October 2006. Authors are also encouraged by PPARC to abide by this policy for grant applications before this time.

## **4 Other funders**

A number of other funders, including charities, may have policies in this area. Grant recipients are advised to check the terms of the grant conditions.

[date]