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# Open Access policy and process



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## **SPCR Open Access policy and process**

Open Access (OA) is a publishing model in which peer-reviewed articles are made freely available online providing the work is properly attributed to the author and the author's control over the integrity of their work is preserved. Researchers must seek to publish their research outputs in a peer reviewed journal that is compliant with the OA policy.

### **What does the NIHR policy say?**

Open access is required on all NIHR-funded publications. The main publication that is funded (in-part or in-whole) is processed according to the Creative Commons Attribution (CC-BY) Licence. If this is not possible then the authors must reconsider the appropriateness of the original publication as well as how to comply with the point above. If a project is co-funded by the NIHR SPCR and another funder/s, the majority funder is expected to pay the Article Processing Charge (APC).

### **What are the two basic types of Open Access?**

- Gold OA - authors publish in an OA journal (i.e. one which provides immediate open access on the publisher's website)
- Green OA - authors publish in any journal and then self-archive the post prints in their institutional repository (IR) or another OA website.

### **Which articles does the policy apply to?**

Articles from research and capacity awards made since 1.10.2015.

The principal research article generated from the award must be published under Gold OA unless, under exceptional circumstances, permission is granted by the SPCR directorate to publish elsewhere.

### **How to comply**

Articles must carry the standard NIHR disclaimer and acknowledgement of funding.

All manuscripts must be submitted to, and approved by, the SPCR Communications Officer prior to submission for publication, or at the very latest, after acceptance by a journal.

### **Where else should a copy of the manuscript be submitted?**

A copy of the final manuscript from research supported by the NIHR must be deposited with Europe PMC upon acceptance for publication, to be made freely available as soon as possible and in any event within six months of the journal publisher's official date of final publication to meet the NIHR's open access commitment.

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# Funding

## Article Processing Charges

The School will fund the primary/principal paper from a research award. To comply for the funding the output must accurately acknowledge the SPCR as funder and must carry the correct disclaimer.

## Tranche II Research Projects (2009 - 2015)

- Any uncommitted or underspend in the partner administration fund should be prioritised on OA costs
- The possibility of obtaining institutional OA funds should be investigated
- The School may provide additional funding once the points listed above have been exhausted.

## What should researchers do with data and research material?

All NIHR researchers should prepare and submit a statement on how underlying research materials, such as data, samples or models, can be accessed. The policy does not require that the data must be made open. Material must be sent to the SPCR Communications Officer.

## Tranche III Research Projects

### Funding Rounds 9 and 10

Applications for research awards submitted under these rounds were allowed to include an OA fee in their application costs. If PIs chose not to include OA fees in their application, or have used their OA budget on other expenditure then the PI's institution is expected to fund the OA fee.

### Funding Round 11

An Open Access fee budget of £1,500 was added to each research award. If a PI has used their OA budget on other expenditure, then the PI's institution is expected to fund the OA fee.

### All Other Funding Rounds

Funding for OA fees for projects awarded under Funding Rounds 12, 13, 14, 15, 16 and 17 will be as follows:

- Any underspend on the project must be used in the first instance
- Any uncommitted or underspend in the partner's administration fund should be prioritised on OA costs
- The possibility of obtaining institutional OA funds should be investigated
- The School will provide additional funding once the points listed above have been exhausted.

## Funding of subsequent papers

The School will fund a second paper when (the prerequisite of the correct acknowledgment and disclaimer still applies):

- It is a collaborative project
- There is unused budget on a project after funding the principal paper
- Additional funding can be applied for by contacting the SPCR Senior Scientific Officer. Each paper will be judged on a case-by-case basis with regard to impact of subject matter, calibre of journal, and budget available.

## Capacity and Seedcorn Awards

The School will fund the primary/principal paper from a capacity award. To comply for the funding the output must accurately acknowledge the SPCR as funder and must carry the correct disclaimer.

- Any underspend on the award must be used in the first instance.
- Any uncommitted or underspend in the partner administration fund should be prioritised on OA costs.
- The possibility of obtaining institutional OA funds should be investigated.
- The School will provide additional funding once the points listed above have been exhausted.

People funded by Seedcorn will only have OA costs paid for if there are sufficient funds left in the award and the person has been supported for a full year.

**If clarification is needed on any of the above points please contact the SPCR Finance Officer.**

# Publication process flow chart

