

Statement on DH / NIHR-funded research and UK PubMed Central

In association with the other main UK biomedical research funders, the Department of Health (DH) is a partner in an initiative led by the Wellcome Trust to establish a UK version of PubMedCentral (UKPMC) <http://ukpmc.ac.uk/> .

Launched in January 2007, the aim of this initiative is to create a stable, permanent and free-to-access digital archive of the full text, peer-reviewed research publications (and datasets) that arise from research funded by the DH through the National Institute for Health Research (NIHR), by the Wellcome Trust and by other members of the **UKPMC Funders Group**.

UKPMC comprises three key systems:

- A mirror of the data held in PMC, subject to permission from those publishers that participate in PMC.
- An author manuscript submission and tracking system, with supporting document conversion services.
- A system to provide authenticated login services to the submission system.

In common with the other members of the UKPMC Funders Group, the DH takes the following approach to Open Access to research it funds through the NIHR. This approach is consistent with the long-standing policy set out in the **Research Governance Framework**, section 2.4 – Information.

Like the other members of the Funders Group, the DH seeks to encourage initiatives that increase the potential for quality research to be widely disseminated and freely accessed. The DH supports the principles that:

- Ideas and knowledge derived from publicly funded research must be made available and accessible for public use, interrogation and scrutiny as widely, rapidly and effectively as possible
- Published research outputs must be subject to rigorous quality assurance through effective peer review mechanisms
- The models and mechanisms for publication and access to research results must be both efficient and cost effective in the use of public funds
- The outputs from current and future research should be preserved and remain accessible for future generations.

The following approach is consistent with the requirements adopted by other members of the UKPMC Funders Group.

1. The DH requires that, for applications submitted from 1st April 2007, electronic copies of any research papers that have been accepted for publication in a peer-reviewed journal (or final reports and / or executive summaries) which are supported in whole or in part by DH funding, are deposited at the earliest opportunity – and in any case within six months - in UK PubMed Central (UKPMC) <http://ukpmc.ac.uk/> .
2. Deposition of a research paper, final report or executive summary into UKPMC does not prevent authors from also depositing a copy in their own institutional or another subject-based repository should they choose to do so or be required to do so by their employing institution.
3. The DH also strongly encourages, but does not formally oblige, all grant recipients to deposit articles arising from grants awarded as a result of applications submitted before 1st April 2007.

4. The DH strongly encourages authors to publish in journals that allow them (or their institutions) to retain ownership of the copyright.
5. If author/institution-ownership of copyright is not permitted by the publisher, authors should publish in journals that permit deposition of; the published paper in UKPMC within six months of publication.
6. The DH will work with publishers to put in place mechanisms for publishers to deposit publications directly, on behalf of authors, where this is possible.
7. The DH's grant conditions are consistent with this approach and do not require amendment. The relevant section of the DH contract is section 16 – "Publication", and in particular paragraph 16.2.

Exemptions

8. When a researcher informs the NIHR of the wish to publish a paper in a journal that is unwilling to agree either to author/institution-ownership of copyright, or to deposition in UKPMC within six months, the NIHR may grant permission for the author to submit the paper for publication in such a journal.

Benefits to authors of Open Access

9. Authors will benefit in two ways. Firstly, their research papers will be given a much wider form of dissemination and will be able to be read without restriction by anyone with internet access. Secondly, as researchers they will increasingly be able to search the full text of all the research published in their area, not just the research available to them via the subscriptions their institution offers.

Open Access Publishing Costs

10. For any research supported by DH funds, the DH expects all research costs (including publishing costs) to be budgeted for when the research is commissioned. Therefore, DH will not routinely fund additional publishing costs separately; however, if a researcher can demonstrate that the whole of the DH award has been used for the purposes of the intended research and that the budget was correctly managed, the NIHR may consider additional support on a limited ad hoc basis.

If you require further assistance to meet the cost of publishing your research, please in the first instance, contact the primary funder of your research. If this is the NIHR or DH, please send your request to enquiries@nihr.ac.uk, stating:

- a) the cost of any processing charge
- b) what the charge covers (i.e. open access deposition, additional publication costs or other)
- c) details of the original Grant received for this research; Including:
 - i) when it was awarded
 - ii) the name of the project
 - iii) the name of the Programme awarding the grant
 - iv) The grant reference no. (if known)
- d) confirmation of whether this is the original paper or a subsequent follow-up
- e) The reasons why these costs were not budgeted for when the research was commissioned, in line with DH policy.