

NHMRC Open Access Policy: FAQ for Authors and Repository Managers

A: General Information / Policy background

A1 What is open access?

Open access (OA) is, simply, the idea that research articles should be freely, immediately and permanently available online to anyone, rather than locked away in subscription journals as many currently are.

There are primarily two ways in which OA can be achieved. Green Open Access is where a research article, which has been accepted for publication in a scholarly journal, is freely available online to readers because the author has uploaded a full-text version of the article to an institutional repository (e.g. QUT ePrints) or subject repository (e.g. PubMedCentral <http://www.ncbi.nlm.nih.gov/pmc/>) and this version can be accessed free of charge. Gold Open Access is where the publisher of a scholarly journal provides free online access to the full content of the journal (e.g. PLoS - <http://www.plos.org/>). Business models for this form of OA vary. In some cases, the publisher charges the author (or the author's institution) an article processing fee. In other cases, the publishing costs are covered by direct and indirect subsidies from institutions and scholarly societies. A version of Gold Open Access is 'Hybrid Open Access', where authors of articles published in subscription journals have the option of paying an article processing fee for the right to place their article in open access.

Further information is available at the following URLs:

http://www.openscholarship.org/jcms/c_6157/open-access

<http://www.caul.edu.au/caul-programs/open-scholarship/open-scholarship-resources/open-access-faq>

<http://www.earlham.edu/~peters/fos/brief.htm>

A2 What are the benefits of depositing an open access copy?

The NHMRC wants to ensure the widest possible dissemination of the research supported by NHMRC funding. When there is an open access copy of an article arising from an NHMRC-funded project, the research results are more visible and more accessible. This makes it easier for other researchers to advance areas of research which have been prioritised by the NHMRC. Clinicians, patients, educators and students can also access these papers. The availability of open access copies of articles arising from NHMRC research projects ensures the NHMRC will be able to access all publications listed in Final Report Publications Supplements and this will assist with the assessment of project outcomes. There is also evidence that open access increases the citation rate of good quality research articles: (see - doi:10.1371/journal.pone.0013636).

A3	<p>Is compliance with the NHMRC policy on the dissemination of research findings a condition of the NHMRC grant?</p> <p>Yes. With the exception of scholarship holders, all recipients of NHMRC grants must comply with NHMRC policy on the dissemination of research findings, which is available at http://www.nhmrc.gov.au/grants/policy/dissemination.htm. Compliance with the revised policy, which requires the full text of all peer reviewed journal publications arising from an NHMRC grant to be made publicly available via an institutional repository within 12 months of the date of publication, applies to all publications with a publication date on or after the 1st of July 2012, where that publication has been supported by an NHMRC grant.</p>
<p>B: Scope of the Policy</p>	
B1	<p>My journal article is based on research only partially funded by NHMRC. Is the paper required to be submitted?</p> <p>Yes. The NHMRC policy on the dissemination of research findings applies to all recipients of grants, including research partially funded by NHMRC.</p>
B2	<p>Does the NHMRC policy on the dissemination of research findings apply to all publications or only journal articles?</p> <p>The NHMRC policy only applies to peer-reviewed journal publications. However, the NHMRC encourages researchers to consider depositing their research data plus any other publications arising from a research grant into an appropriate subject and/or institutional repository.</p>
B3	<p>Does the NHMRC policy on the dissemination of research findings apply to dissertations, book chapters, conference proceedings or letters to the editor?</p> <p>No. The NHMRC policy only applies to peer-reviewed journal publications. However, the NHMRC encourages researchers to consider depositing their research data and any publications arising from a research grant into an appropriate subject and/or institutional repository.</p>
<p>C: How to comply with the policy</p>	
C1	<p>Which version of the article should I deposit to the institutional repository for open access?</p> <p>Grant recipients must deposit a version of the full-text article which has been peer-reviewed. If the article was published in an open access journal, then the 'Published Version' can be submitted. However, if the article was published in a subscription-based journal, it should be the author's 'Accepted Manuscript' version (sometimes referred to as the 'Postprint') that is submitted - unless the authors have paid the publisher for the right to use the 'Published Version'. While the 'Accepted Manuscript' version may lack the page formatting and reference-linking provided by the publisher, the content is substantially the same as the Published Version. It is not acceptable to submit an un-refereed version (sometimes referred to as the 'Submitted Manuscript' or 'Preprint') as significant changes may be introduced to an article as a result of the peer</p>

	review process. See Glossary for version definitions.
C2	<p>Who is responsible for depositing the file?</p> <p>The Chief Investigator A is responsible for ensuring that the terms and conditions of the NHMRC grant are met. A peer-reviewed full-text version need only be deposited to one open access institutional repository. Duplicate metadata (bibliographic details) may be deposited with additional repositories (with or without full-text) at the discretion of co-authors from other institutions.</p>
C3	<p>Whose approval do I need to deposit the article to an institutional repository?</p> <p>The Chief Investigator A should ensure that all co-authors are aware of the NHMRC's revised policy on the dissemination of research findings. . Publisher permission is not required for the deposit. However, permission may be required to make it openly available to the public if the publisher's standard agreement appears to preclude this. This information can generally be found on the journal's website. Alternatively, consult the free SHERPA/RoMEO database of publisher policies http://www.sherpa.ac.uk/romeo/ (for Australian journals, check OAKList http://www.oaklist.qut.edu.au/).</p> <p>If the journal is subscription-based, the publisher may refer authors to their paid open access option instead of granting permission. It should be noted that NHMRC does not require the author to use paid open access. See: http://www.sherpa.ac.uk/romeo/PaidOA.html</p>
C4	<p>I plan to publish in an open access journal. Must I deposit a full-text peer-reviewed version to my institutional repository?</p> <p>No. Articles made available via a publisher's web sites fulfil the authors' obligations under the NHMRC policy on the dissemination of research findings. In this case, you still need to deposit the information about the article to the repository and the institutional repository record should include a link to the journal website.</p>
C5	<p>If I publish in a subscription-based journal but pay to have an open access copy of the article available via the journal website, do I still need to deposit a full-text peer-reviewed version to my institutional repository?</p> <p>No. Articles made available via a publisher's web site fulfil the author's obligations under the NHMRC policy on the dissemination of research findings. In this case, the institutional repository record should include a link to the journal website.</p>
C6	<p>Some journals make articles available online before they are officially 'published' in a journal. What is considered to be the 'date of publication' when calculating the 12 month embargo period allowed for under the new NHMRC policy on the dissemination of research findings?</p>

	<p>A full-text peer-reviewed version of the article should be openly accessible online no later than 12 months after the official publication date. When a journal makes articles available online to subscribers ahead of the official date of publication, the 12 month embargo period commences from the official date of publication rather than the date the paper is first made available online.</p>
C7	<p>If an article has authors from multiple institutions, must every author deposit a copy to their institutional repository?</p> <p>No. The Chief Investigator A is responsible for ensuring that the terms and conditions of the NHMRC grant are met. To comply with the NHMRC’s policy on the dissemination of research findings, a final peer-reviewed manuscript need only be submitted to one institutional repository provided this is made openly accessible within 12 months of the official publication date. Co-authors from other institutions may also submit a copy of the manuscript to their own institutional repository. Alternatively, they may submit just the metadata (bibliographic details) to their institutional repository and link to the full-text manuscript in their co-author’s institutional repository.</p>
C8	<p>I am not based at a university, where should I deposit my articles arising from an NHMRC grant?</p> <p>Some non-university research institutes maintain an institutional repository. Your library will be able to advise you on this. If your organisation does not have its own institutional repository, then one of the following options may:</p> <ul style="list-style-type: none"> • If any of your co-authors are affiliated with an Australian institution that maintains a publicly accessible repository, deposit the article to that repository. • Some organisations have a memorandum of understanding with a university library and, under this arrangement, they will be allowed to submit works to their institutional repository. Your library will be able to advise you on this. • Other deposit options may become available over time – and these options will be listed here. <p>If you have explored all of these options and are still unable to submit your article to an institutional repository, then you should include this explanation in the NHMRC Final Report for the relevant grant.</p>
C9	<p>Can I deposit the publisher’s version of my article to an institutional repository?</p> <p>If the article was published in an open access journal or under a Creative Commons Licence then you can deposit the ‘Published Version’ in an institutional repository. However, if the article was published in a subscription-based journal then the publisher may charge a fee for the right to deposit a copy of the ‘Published Version’ in a repository.</p> <p>Rights information can be found in the journal’s publication agreement or on the journal’s website. Other useful sources include the SHERPA/RoMEO database of publisher policies on open access http://www.sherpa.ac.uk/romeo/ and, for Australian journals, the OAKList http://www.oaklist.qut.edu.au/). Your library will be able to help.</p>

C10	<p>If a full-text copy of my publication is open access via a subject/discipline-based repository (eg PubMedCentral), do I have to deposit another copy to my university's institutional repository?</p> <p>No. Articles made available via a subject/discipline-based repository fulfil the authors' obligations under the NHMRC policy on the dissemination of research findings. In this case, the institutional repository metadata (bibliographic record) should include a link to the journal website.</p>
C11	<p>Who can help me to deposit my publication to the university's institutional repository?</p> <p>Contact your library to seek advice on available assistance to submit publications to the university's institutional repository.</p>
C12	<p>How do I deposit my publication to the institutional repository?</p> <p>The deposit process differs between repositories. Refer to your institutional repository web pages or contact your library for advice about how to deposit work to the repository at your institution. Regardless of which repository the article is being submitted to, authors should be prepared to provide the full publication details plus a copy of the relevant peer-reviewed version of the work (or the web address for an open access copy available via a publisher website or central repository).</p>
C13	<p>When should I deposit my publication to the institutional repository?</p> <p>The publication should be deposited as soon as possible. This could be immediately upon it being accepted for publication but it must be no later than 12 months from the date of publication. For example, if published in July 2012 then the publication should be submitted to the open access repository no later than July 2013. Even if the publisher requests an embargo on open access, it is not necessary to wait until the end of the embargo period to deposit the publication as most institutional repositories have procedures for managing embargoes. Consult your library for more information.</p>
C14	<p>I don't have a final manuscript copy of my publication due to the automated online submission process used by the publisher. What can I do?</p> <p>Consult the journal's publishing agreement (or website) to determine whether or not authors have the right to deposit a copy of the 'Published Version' to their institutional repository. This could be the case if the article was published in an open access journal. Even if the article was published in a subscription journal you may discover that the published version will be openly available via the publisher's website within 12 months of the publication date. Where this is the case, you can include a link to the publisher's website in lieu of depositing an open access copy in an institutional repository. If you find that the 'Published Version' will not be publicly accessible within 12 months then one option is to submit the latest manuscript version held. If necessary, add a note describing substantial differences between this version and the 'Published Version' (the formatting does not matter).</p>

C15	<p>My publisher sent me a template to use to create the final version of my article. Can I submit that?</p> <p>If the publisher has specified that the author's final version (i.e the 'Accepted Manuscript') can be submitted to an institutional repository then submitting the version created using the publisher's template should not be a problem (as there is no other form of an 'Accepted Manuscript'). Generally an 'Accepted Manuscript' can be differentiated from a 'Published Version' by the absence of the publisher's pagination and branding.</p>
C16	<p>If I deposit my final manuscript version, will people be able to cite it?</p> <p>Yes. When the 'Accepted Manuscript' is available via a repository it allows researchers, who do not have subscription-access to the journal, to read it to determine if it is useful for their work. If they wish to cite the work they may choose to source a copy of the 'Published Version' via their library, or through other means. Alternatively, they may choose to cite the bibliographic details for the published article but include a link to the repository version to show that this is the version they read.</p>
C17	<p>What should I do if the journal publisher does not allow any version to be made open access via an institutional repository?</p> <p>It is sometimes possible to vary the terms of the publication agreement via direct negotiation with the publisher or by attaching an addendum (a legal instrument which modifies the terms of any agreement or contract to which it is attached). Alternatively, authors may wish to consider publishing in a journal of equal status and suitability which allows open access, if one exists. Consult the SHERPA/RoMEO database to check the publishing terms of different journals http://www.sherpa.ac.uk/romeo/ or, for Australian journals, check OAKList http://www.oaklist.qut.edu.au/. Your library may be able to provide or refer you to a suitable publication agreement addendum (to try to amend the terms of the agreement) or information about other journals in your discipline which allow open access.</p> <p>If you have explored all options and are still unable to disseminate an open access copy of the article within 12 months of the publication date, then an explanation can be included in the NHMRC Final Report for the relevant grant.</p>
C18	<p>What should I do if the journal publisher requires an embargo period longer than 12 months before the full-text can be made openly accessible?</p> <p>Deposit a copy of the 'Accepted Manuscript' in an institutional repository as soon as possible even if public access will be delayed by an embargo. The repository will check for such an agreement and set the appropriate embargo on access.</p> <p>In other cases, it may be possible to shorten the length of the embargo via direct negotiation with the publisher or by attaching an addendum (a legal instrument which modifies the terms of any agreement or contract to which it is attached). Note that the NHMRC does not require that any fees be paid by an author or an institution to reduce an existing embargo period.</p>

	<p>You could consider publishing in an alternative journal of equal status and suitability which allows open access, if one exists. Consult the SHERPA/RoMEO database to check the publishing terms of different journals http://www.sherpa.ac.uk/romeo/ or, for Australian journals, check OAKList http://www.oaklist.qut.edu.au/.</p> <p>Your library may be able to provide or refer you to a suitable publication agreement addendum (to request an amendment to the terms of the agreement) or information about other journals in your discipline which allow open access.</p> <p>If you have explored all options and are still unable to disseminate an open access copy of the article within 12 months, you can include an explanation in the NHMRC Final Report for the relevant grant.</p>
C19	<p>How will I report compliance with the policy to the NHMRC?</p> <p>Any publications that have been or will be made openly accessible should be identified in the NHMRC Final Report for the relevant grant. When listing publications arising from the NHMRC grant, include the links to the open access copy in each reference. The link can point to an open access copy in a repository, an open access journal or an open access copy on the website of a subscription-based journal.</p> <p>If you have explored all options and are still unable to disseminate an open access copy of the article within 12 months, you can include an explanation in the NHMRC Final Report for the relevant grant</p>
D: Copyright issues	
D1	<p>What are the copyright implications?</p> <p>Open access journals generally allow authors to retain copyright and, in many cases, the work is published under a Creative Commons Licence. Consequently, as copyright is owned by the authors, there is no problem complying with the NHMRC requirement that a peer-reviewed version of the work be deposited to an institutional repository.</p> <p>Subscription-based journals generally ask authors to sign a publication agreement which transfers the copyright in the work to the publisher or gives the publisher an 'exclusive' right to publish the work. The publication agreement will specify which (if any) rights are retained by authors. This may, or may not include the right to deposit a specific version of the paper to an institutional repository. This is usually not the published version. Subscription journal publishers generally charge a fee for the right to disseminate an open access copy of the published version.</p> <p>Before signing any publication agreement, authors should always read the document to check that they are happy with the terms. Ideally, the publishing terms should be checked before the article is submitted for peer review. This information is often available via the</p>

	<p>journal website. Alternatively, consult the free SHERPA/RoMEO database of publisher policies http://www.sherpa.ac.uk/romeo/ (for Australian journals, check OAKList http://www.oaklist.qut.edu.au/).</p> <p>Transferring copyright doesn't have to be all or nothing. The law allows authors to transfer copyright to a publisher while holding back some rights. Where a copyright transfer agreement does not specify that authors retain the rights needed to comply with the NHMRC Policy, it may be possible to amend the terms by attaching an addendum which stipulates the rights the authors wish to retain.</p> <p>If the publisher refuses to amend the terms, then the authors may wish to consider publishing in a journal of equal status and suitability which allows open access, if one exists. Consult the SHERPA/RoMEO database to check the publishing terms of different journals http://www.sherpa.ac.uk/romeo/ or, for Australian journals, check OAKList http://www.oaklist.qut.edu.au/.</p> <p>Your library may be able to provide or refer you to a suitable publication agreement addendum (a legal instrument which modifies the terms of any agreement or contract to which it is attached) or information about other journals in your discipline which allow open access.</p> <p>If you have explored all options and are still unable to disseminate an open access copy of the article within 12 months, include an explanation in the NHMRC Final Report for the relevant grant.</p>
D2	<p>Do I need to retain copyright?</p> <p>No, provided the journal's copyright transfer agreement specifies that authors may deposit a peer-reviewed version ('Published Version' or 'Accepted Manuscript') to a repository and make it openly accessible no later than 12 months after the official date of publication, then it will be possible to comply with the NHMRC policy on the dissemination of research findings without retaining copyright.</p> <p>It is important to read the publication agreement with great care. Ensure the agreement is balanced and has a clear statement about the rights retained by authors. An example of such a statement would be:</p> <p><i>As an author you (or your employer or institution) may do the following:</i></p> <ul style="list-style-type: none"> • <i>Make copies (print or electronic) of the article for your own personal use, including for your own classroom teaching use;</i> • <i>Make copies and distribute such copies (including through e-mail) of the article to known research colleagues, for the personal use by such colleagues (but not for commercial purposes as described below);</i> • <i>Post a revised personal version of the final text (including illustrations and tables) of the article (to reflect changes made in the peer review and editing process) on your personal or your institutional website or server, with a link (through the relevant DOI) to the</i>

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E: Help	
E1	<p>Who can I contact for more information?</p> <p>Your library will be able to help you or direct you to the people within your organization manage the institutional repository. For more information about the NHMRC decision to include an obligation to provide an open access copy of any articles emanating from research supported by NHMRC funding , please see: http://www.nhmrc.gov.au/grants/policy/dissemination.htm</p>

Glossary

Accepted Manuscript: The version of an article which has been revised by the author to incorporate peer review suggestions, and which has been accepted by the journal for publication. In terms of content, this version is the same as the published version. In terms of appearance, it may not be identical to the published version. This version is also known as the 'Accepted Version' or 'Postprint'.

Published Version: The reviewed and accepted manuscript with publisher contributed copy-editing, proof corrections, layout, and typesetting included. This version is also known as the 'Version of Record'.

Submitted Manuscript: The manuscript originally submitted by the author to a journal for peer review. This version does not include revisions made by the author as a result of peer review or the copy-editing, layout and typesetting contributed by the publisher. This version is also known as the 'Submitted Manuscript Under Review' or 'Preprint'.

Addendum: An addendum is a legal instrument which modifies the terms of any agreement or contract to which it is attached. For example, an addendum specifying that the authors is reserving certain rights (such as the right to place the Accepted Version of the work in a repository and make it open access 12 months after the publication date) could be attached to a publishing agreement which stated that the authors assigns all rights in the work to the publisher unconditionally.