



Open Access Policy—Further Guidance

November 2018



Frequently asked questions for research literature

NHMRC acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for publications arising from their research to maximise the impact of their work on users of research and further dissemination and production of knowledge. The decision to publish in particular formats and journal titles is therefore the decision of the authors.

1. Who is responsible for implementing the policy?

The NHMRC Funding Agreement and Deeds of Agreement with the Administering Institution outline the responsibilities of Administering Institutions which include complying with the NHMRC Open Access Policy. Chief Investigators A (hereafter referred to as CIA, and including Fellows) must work with the Administering Institution to ensure that the provision of publication metadata and an appropriate copy of the publication are submitted to the institutional repository.

2. Does the NHMRC Open Access Policy apply to Fellows?

Yes. This policy applies to all NHMRC Fellows. If a project is not fully funded by NHMRC but the researcher participating is currently an NHMRC Fellow, the work of the Fellow must comply with the NHMRC Open Access Policy.

3. Does the NHMRC Open Access Policy apply to Scholarship holders?

Scholarship holders are exempt due to the unique legal status of the award. However, as a matter of good research practice, NHMRC encourages all Scholars to follow the NHMRC Open Access Policy and make all their peer-reviewed publications, theses and associated metadata openly accessible.

4. If my publication is already openly accessible through a publisher or other repository (e.g. PubMed Central), will I need to deposit a copy in my institutional repository?

No. However, you must deposit the publication metadata, its URL/DOI and affiliated NHMRC Grant ID in your institutional repository as soon as possible but no later than 3 months from the date of publication.

5. Will depositing my publications in a Scholarly Communications network fulfil the requirements of the NHMRC Open Access Policy?

Scholarly communications networks (e.g. ResearchGate, Academia.edu) are social networking platforms and are not acceptable repositories for the purposes of this policy as they may not provide the appropriate support for long-term storage, curation and/or fulfilment of publisher copyright requirements.

6. How do I deposit my publications into an institutional repository?

The CIA should contact their institutional repository manager, library or research office to obtain instructions on how to deposit the publication and/or the publication metadata in the institutional repository, as institutional practices may vary from one institution to the next.

7. What if my institution does not have an institutional repository?

If your administering institution does not have an institutional repository, one of the other CIs may lodge in their institution's repository or your institution may negotiate with an affiliated institution for access on behalf of their researchers.

8. What manuscript versions are acceptable under the NHMRC Open Access Policy?

- The author's accepted manuscript version which is also referred to as 'postprint' that has been peer reviewed and accepted for publication is acceptable.
- The publisher's version or 'version of record' (VoR) with final pagination and formatting is only acceptable if it meets all legal copyright and licensing requirements relating to open access.
- 'Preprints' are not acceptable versions under this policy.

9. What is the definition of the date of publication?

The date of publication is the official date as supplied by the publisher/journal, not the 'Epub ahead of print' date.

10. What should be included in the publication metadata?

“Metadata is information about an object or resource that describes characteristics such as content, quality, format, location and contact information” (www.ands.org.au). They may include (but are not limited to) NHMRC grant IDs, other funding sources, Digital Object Identifiers (DOI), author(s), publisher(s), titles, volume numbers, issue, date of publication, page numbers, type of research output, ISBN/ISSN/other standard number, licence type and other relevant details. The publication metadata must also include the ORCID identifier of the author submitting the metadata. A checkbox is available in NHMRC’s grant management system to indicate if the research output is a publication that is openly accessible.

11. When do I deposit my publication metadata into an institutional repository?

The publication metadata must be deposited into an institutional repository as soon as possible but no later than 3 months from the date of publication.

12. When do I deposit my publication into an institutional repository?

The publication must be deposited into an institutional repository as soon as possible and made openly accessible within 12 months of publication.

13. My publication has an embargo beyond 12 months, or will never be made open access. How do I comply with the NHMRC Open Access Policy?

The CIA must provide a reason for non compliance with the NHMRC Open Access Policy in the NHMRC’s grant management system. The publication metadata must still be deposited into an institutional repository as soon as possible but no later than 3 months from the date of publication.

14. What kinds of licensing should I use for my publications?

NHMRC prefers that all publications resulting from NHMRC funded research be allocated a Creative Commons Attribution licence (CC-BY). If this is not possible, it must be indicated in NHMRC’s grant management system. However, other licences from the Creative Commons suite of licences may also be used.

15. What do I need to consider when entering into a contract with a publisher?

Authors should compare the terms of the publisher with the [F.A.I.R. principles](#) (Findable, Accessible, Interoperable, Reusable) and consider publishing their research with publishers that have policies that are aligned with these principles.

16. If an article is not able to be made openly accessible, will it affect the applicant's peer-review score or eligibility?

Current NHMRC peer-review scoring and eligibility criteria do not take open access levels into account.

17. How does the NHMRC Open Access Policy compare with the Australian Research Council's Policy?

NHMRC and ARC Open Access policies are substantially comparable. While the ARC Open Access Policy says it applies to all Research Outputs arising from ARC funded research and their metadata, it does not include research data and research data outputs. The NHMRC Open Access Policy applies to publications, research data and patents. However, for NHMRC, the open access mandate only applies to publications while open access to data is strongly encouraged.

18. Which Open Access Policy should be used for multi-funder projects?

The NHMRC Open Access Policy must be complied with by the Australian investigators. If the other funding bodies have stronger mandates, they must also be complied with.

Frequently asked questions for research data

1. What is research data in the context of the NHMRC Open Access Policy?

Research Data includes data and information generated by, collected or accessed for, or used in a research project by NHMRC funded researcher and/or as a result of NHMRC funded project. The OA policy is applicable to research data that is partially or entirely produced by NHMRC funded researcher or NHMRC funded projects.

2. Does NHMRC require a data management plan to be submitted with a grant application?

NHMRC does not currently require a data management plan. However, NHMRC does recommend that researchers should develop a data management plan for all research as a matter of best practice¹. A data management plan will ensure that the data generated from the research are well managed and able to be reused efficiently. Figure 1 provides an overview of data management and guides researchers in planning for collection, curation, quality assurance, storage, preservation and dissemination in an appropriate manner. Planning for well managed data collections prior to the project commencing will facilitate the data being findable, accessible, interoperable and reusable.

3. What is metadata and how do I ensure the metadata is useful?

“Metadata is information about an object or resource that describes characteristics such as content, quality, format, location and contact information” (www.ands.org.au). The metadata should include (but not be limited to) the NHMRC grant ID, access and rights information, the Digital Object Identifier (DOI), funding sources, author(s) and their contact details and ORCID identifiers, publication details, licence type and other details such as experimental conditions or project descriptions that will help the user.

4. What is a Digital Object Identifier (DOI)?

A Digital Object Identifier is a unique code that identifies the content and provides a persistent link to its location on the Internet. More information on how to obtain a DOI and how a DOI works can be found in the [Australian National Data Service website](#).

¹ [National Statement on Ethical Conduct in Human Research \(2007, updated 2018\)](#)

5. When is data sharing appropriate?

NHMRC strongly encourages researchers to consider the reuse value of their data and take reasonable steps to share research data and associated metadata arising from NHMRC supported research. This approach helps to ensure research investment by NHMRC is fully realised through the data potentially being reused for new purposes. This requires an overall strategy for managing data from the conception and planning stages of all projects. It is important to take into account ethical and legal aspects of the data before making a decision to share data. Administering institutions should have policies to guide research teams through this process.

6. NHMRC has a set of principles that are a guide for sharing and accessing data

The ‘NHMRC Principles for Accessing and Using Publicly Funded Data for Health Research’ provide a framework for researchers and data custodians to consider when requests or applications are made for access to existing publicly funded datasets for the purposes of research. A [summarised Principles document](#) is also available, along with a [Consumer’s Guide to the Principles](#). The Principles aim to:

- Ensure that all parties have a common set of priorities for the use of data.
- Encourage communication between researchers and data custodians so they can better understand each other’s roles and responsibilities.
- Ensure the use of data is optimised for the benefit of all Australians.

Additional recommendations on data management and use can also be found in Section 3.1 in the [National Statement on Ethical Conduct in Human Research \(2007, updated 2018\)](#).

7. Can I share data that are yet to be published?

Yes. However, the decision to share unpublished data can only be determined on a case-by-case basis by the researcher.

8. How do I share sensitive data?

Sensitive data can be shared if they are treated in the appropriate manner through de identification, licensing or gaining the necessary consent. In the event that these data treatments are not possible, most metadata of data can still be shared and made findable. The Australian Research Data Commons provides detailed [guidance for sharing sensitive data](#).

9. My data may be the subject of the Defence Trade Controls Act (2012). What do I do?

Researchers must adhere to the requirements relating to the sharing of data in the [Defence Trade Controls Act \(2012\)](#). Detailed requirements can be obtained from the [Defence Export Controls Office](#) and checked online using the Defence and Strategic Goods List online tool.

10. What kinds of data infrastructure and support can I use?

The data and metadata should be deposited in a well curated, openly accessible data repository. The repositories should facilitate access to the data holdings and manage any necessary approval processes that take into account any sensitivities associated with the data or metadata. The infrastructure and mechanisms for data sharing may be available through individual institutions (e.g. universities, medical research institutes), government repositories (e.g. www.data.gov.au), international repositories (e.g. Dryad), established networks (e.g. Population Health Research Network) or nationwide registry and data organisations which offer varying levels of support (e.g. Australian Research Data Commons).

11. Who is responsible for the cost of data sharing?

The cost of data sharing should be supported by the researchers' institutions. They may include training, technical support and/or infrastructure.

12. What level of consent should I aim to obtain for my research?

In order to maximise the usefulness of data and biospecimens collected for NHMRC funded research, NHMRC encourages researchers to use the broadest consent that appropriately considers the codes, laws, ethics and cultural sensitivities of the community in which the research is to be conducted. More information is available in the [*National Statement on Ethical Conduct in Human Research \(2007, updated 2018\)*](#).

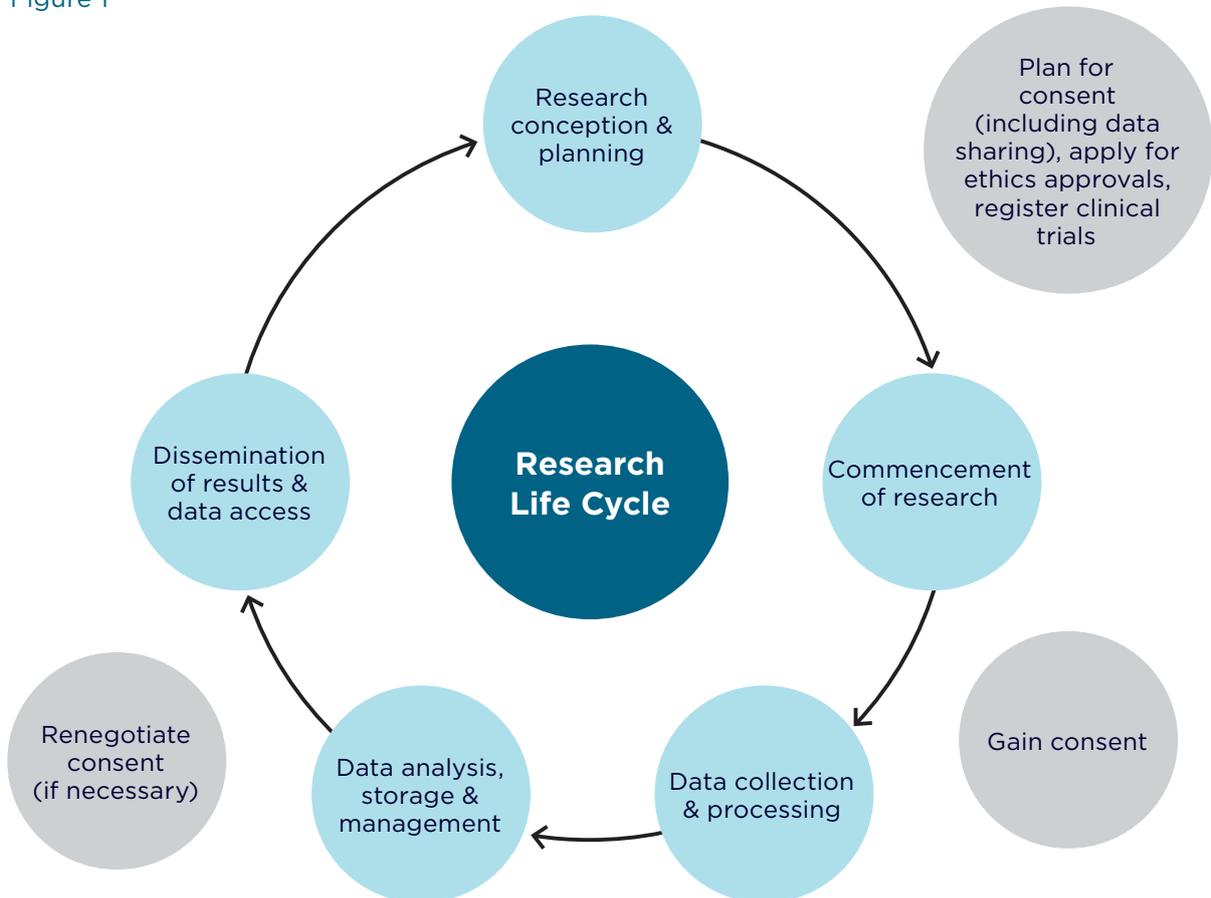
13. Where can I find out more about data management?

More information about data management can be found on the [Australian Research Data Commons](#) website, a collaborating organisation with NHMRC.

14. What do I include in data citations?

Citations should include the full set of metadata to ensure that the data source is fully acknowledged and accessible.

Figure 1



Frequently asked questions for patents

1. At what stage of the patent application process should patents be listed in Source IP?

Patents can be listed in [Source IP](#) when a full application has been filed. If international protection is sought, this would refer to the Patent Cooperation Treaty (PCT) application stage.

2. Should provisional patent applications be submitted to Source IP?

Source IP does not accept provisional patent applications.

3. When should the submission to Source IP be made?

Submissions can be made any time after the full application for the patent has been filed.

4. How do I list my patents on Source IP?

Administrating Institutions wanting to initiate a presence on Source IP will need to express their interest to do so to IP Australia via Source IP@ipaaustralia.gov.au.

To gain access to Source IP Rights Administrator Portal, your Administrating Institution must nominate an individual to be your Organisation's Administrator (a super-user role within the Rights Administrator Portal). The initial enrolment process requires you to provide the following details so that a Source IP site administrator can establish your account:

- Administrating institute name (to be displayed in the Source IP website)
- Administrating institute logo
- Full name of the nominated Organisation Administrator, their email address and contact phone number

The nominated person will then be sent an email with their username (their email address) and a link to access the Source IP Rights Administrator Portal and further information on how to populate their account.

The nominated Organisation Administrator has permission to add, modify or delete all information represented on your organisation's page within Source IP and will be responsible for facilitating access to the portal for other users.

If you require further information please email Source IP@ipaaustralia.gov.au.

