Open Research – a checklist for grant applicants

Research funders are increasingly wanting the researchers and institutions they support to engage with open research practices. Funds will often come with specific requirements concerning open access to resulting publications and data.

This checklist provides questions for you to consider when applying both to maximise chances of application success, and to ensure you meet the requirements that come with the successful award of grants.

Research integrity and responsibility
1. Does your funder require you to pre-register your study online?
2. Is your funder a signatory to the Declaration On Research Assessment (DORA)? If so, you should avoid highlighting any Journal Impact Factors or references to publishing in “high impact journals” in your application.

Open Access to publications
Many funders require you to ensure that any publications arising from the work they have funded are available on an open access basis. The specifics of these requirements will vary. Here are some of the things you need to know:

3. Does your funder allow any kind of delay to open access?
   a. Some funders may allow you to comply by making an Author Accepted Manuscript version of your work available after the end of an embargo period starting from first online publication. This may vary from 6 months (mainly in the case of STEM funders), through to as much as possibly 24 months (some humanities funders).
   b. If funding for immediate open access (called “gold open access”) is not available, you must ensure you do not submit any articles arising from the research to journals with a longer embargo period than that allowed by your funder. An example: if a medical funder allows no more than a 6 month embargo, and does not provide funding for immediate open access, you must not submit any resulting articles to journals with embargo periods longer than 6 months, such as most Elsevier journals.
   c. You can find out the embargo period of a journal by looking up the journal at Sherpa Romeo.
4. Does your funder provide funding for paying immediate open access charges?
   a. The Research Councils, Wellcome Trust, and Cancer Research UK provide the university with central funds to pay for immediate open access. These funds are administered by the library, and you can use their Open Access request form to request payment. You can apply for these payments even if the relevant research grant has been closed. There may be restrictions on what types of journals can be funded – check the Open Access web pages for more details.
   b. Some funders will allow you to use funds from the grant itself to pay immediate open access fees. If they do, you may wish to build in potential publication costs into the grant (though these could only be used for publications occurring during the grant’s active period). We recommend you work with an average cost of £1,900 per potential publication.
   c. Some funders will require you to apply to them directly for payment of open access fees.
   d. If your funder does not provide any funds for immediate open access, you can use the Open Access request form to request payment from the university’s own internal open access fund. However, payments from this fund are restricted to fully gold journals only, i.e. those that do
not charge any subscription for readers to access any content, and can’t be used for other, non-Open Access related publishing charges.
e. Note that funders specifically require publications to have a Creative Commons – Attribution licence (CC-BY licence) to be applied to your paper – more restrictive licences, such as CC-BY-NC, are not acceptable.

5. Does the university already have a publishing agreement with the publisher of your target journals?
   a. The library has entered into agreements with a growing number of publishers whereby your work can be made immediately openly accessible without requesting any further payments. These range from large, major publishers Springer and Wiley, through to university presses like Cambridge University Press, and smaller society publishers such as Company of Biologists.
   b. You can access a list of publishers with whom we have publishing agreements from the [Open Access web page](https://www.liverpool.ac.uk/open-access/).
   c. In order to qualify for these agreements, it is very important you use your University of Liverpool email address in all correspondence with the publisher.

**Research Data Management requirements**

The University and many research funders have RDM policies requiring you to ensure the data from your research are appropriately stored and made openly available as possible. You should plan for your research data to be available on the principle of being “as open as possible, as closed as necessary”.

6. Does your funder have a research data policy?
   a. You can help show how your potential project will adhere to this policy by completing a skeleton Data Management Plan as part of your application – you can use the [DMPOnline tool](https://dmponline.org/) to help you with this (further information on this tool is available from our [Research Data Management pages](https://www.liverpool.ac.uk/research/data-management/)).
   b. If you are required to make your data openly available, what resources will you use? Will you deposit your data in the [University’s Research Data Catalogue](https://www.liverpool.ac.uk/research/data-catalogue/) or an external discipline-specific repository?

7. For how long must your research data be preserved after the end of your project?
   a. Many funders require that data should be preserved and kept accessible for a minimum of ten years after a project’s completion, and may require much longer periods – does your application address how this will be achieved? The [Research Data Management team](https://www.liverpool.ac.uk/research/data-management/) can provide assistance.

8. If you are collaborating with researchers in other institutions, who will be responsible for managing and storing that data? Have issues over the ownership of the data been addressed?