DPUK and Affiliated Hubs (DPUKAH)

Publications Policy

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1. DPUKAH PROGRAMME PUBLICATIONS – OVERVIEW.

1.1 Background

Funded by the MRC the DPUK Data Portal (DPUKDP) is a world-class repository and analysis environment for dementia-optimised cohort data. Free to use, it gives researchers anywhere in the world access to high-quality, multi-modal data from over 50 population and clinical cohort studies, comprising records for over 3.5 million people. The DPUKDP also provides infrastructure and data management support to affiliated hubs. Affiliated hubs are distinct data repositories that sit within DPUKDP that provide access to external researchers for analyses using the governance, processes and policies of DPUK and Associated Hubs (DPUKAH).

This document explains the expectations of DPUKAH with regards to the acknowledgment of DPUKAH funding associated with scientific and other outputs. Its aim is to facilitate access to scientific findings that have been obtained through DPUKAH, and to promote awareness of the scientific opportunities provided by DPUKAH

The policy is structured around four categories of support from DPUKAH:

1. DPUKAH projects: projects funded directly by DPUK and/or affiliated hubs including DPUK and affiliated hubs work packages and experimental medicine (EM) proof of concept studies;
2. DPUKAH affiliated projects: projects using DPUKAH resources to generate research income, including projects generated by DPUKAH EM groups and technology networks;
3. DPUKAH associated projects: projects using DPUKAH for data access, biosample access or participant recontact;
4. Other DPUKAH funded activities: projects connected with specific DPUKAH initiatives including Discovery Awards, Early Career Researcher grants or other prizes.

All of the above are considered to be DPUKAH-supported projects

1.2 Purpose and Scope

The policy is based on four principles:

1. Maximising awareness of and access to findings established by DPUKAH activity;
2. Promoting awareness of the scientific opportunities provided by DPUKAH;
3. Establishing the provenance of datasets and analyses conducted within DPUKAH;
4. Acknowledging the broad range of contributions that establish data provenance.

The policy has taken into account the requirements of UK Research and Innovation's open access policy https://www.ukri.org/publications/ukri-open-access-policy/uk-research-and-innovation-open-access-policy/ to ensure compliance with these mandates.

Other guiding principles, such as for publications, are as below:

- The author line should recognise responsibility for the scientific integrity of any publications

- Criteria for authorship should broadly follow the International Committee of Medical Journal Editors criteria. These criteria include data acquisition and it is anticipated that research cohorts providing the data for studies will have the option of being represented by a named individual in the author's list.

- Authorship roles should be identified using the categories of academic contribution proposed by the digital taxonomies project and available on the CRediT website (seehttps://credit.niso.org/)

- The contributors' line should recognise the role of supporting scientists including individuals involved in data acquisition, infrastructure build and maintenance and methods development

- Contributorship roles should be identified using the categories of academic contribution proposed by the digital taxonomies project. (CRediT website: seehttps://credit.niso.org/).

2. DPUKAH PROGRAMME PUBLICATIONS – POLICY.

For published manuscripts

The following will be included**:**

- **Author line recognition:** this must recognise the responsibility for the scientific integrity of the manuscript

- **Author line content**: If there is significant funding or involvement of DPUKAH, the authors list should be followed by 'on behalf of DPUK' or if associated with an affiliated hub then 'on behalf of 'insert affiliated hub name'. Please note that we are aware that not all journals will permit an acknowledgement in this format. However, authors should aim to incorporate 'on behalf of DPUK' or if associated with an affiliated hub then 'on behalf of 'insert affiliated hub name' in the initial submission and then discuss with editors.

- **Contributors line:** this must recognise the role of supporting scientists including those involved in data acquisition, infrastructure build and maintenance, and methods development

- **Acknowledgement section (to include one of the following, as appropriate):**

  For DPUK funded projects: '*DPUK funded this work through core grant support from the medical Research Council (MR/T033371/1). For DPUKAH funded projects: (Name of DPUK affiliated hub funded this work through 'insert funder name and grant reference'*

  For DPUKAH affiliated projects (networks and Experimental Medicine themes*): 'DPUK (or affiliated hub name) provided infrastructure for this project through 'insert funder name and grant reference'*

  For DPUKAH associated projects (Data Portal based studies*): DPUK (or affiliated hub) provided data/sample/ participant access for this project: doi.... through 'insert funder name and grant reference'*

- **Acknowledgement of data providers:** data providers should be acknowledged as participants in the work unless there has been a specific statement to the contrary that this is not necessary given by the data provider. It is anticipated that this would be recorded in the acknowledgements section as opposed to a formal authorship. The DOI for the datasets used should be referenced and can be found on the DPUK Cohort Directory page for DPUK or affiliated hub directory page (information in appendix 1) :

For conference poster presentations or grant applications utilising data obtained from the DPUK

Data Portal

For conference poster presentations, or grant applications utilising data obtained from the DPUK Data Portal or associated affiliated hub the following will be used: '*This work was undertaken using resources in the Dementias Platform UK (DPUK) Data Portal' or for affiliated hubs* : '*This work was undertaken using resources in*

the 'insert hub name' within the Dementias Platform UK (DPUK) Data Portal'. This work was supported by 'insert funder name and grant reference'

For published abstracts

Reference to DPUK/affiliated hub should be made in the text body.

For conference poster presentations

The acknowledgement section will include '*A DPUK-supported project'* or for an affiliated hub project *'A 'insert hub name and DPUK- supported project'.* Please add a copy of the DPUK logo/Affiliated hub logo to your poster. A high-quality logo can be obtained by contacting helpdesk@chi.swan.ac.uk

For conference oral presentations

The author line will end with *'on behalf of DPUK'* or for Affiliated hubs *'on behalf of 'insert affiliated hub name and DPUK-supported project'* . The acknowledgement section will include '*A DPUK-supported project'* or for an affiliated hub project *'A 'insert hub name and DPUK- supported project'* .

What else is required of DPUKAH-supported researchers?

Requirement to keep DPUKAH informed when submitting publications

DPUKAH-supported researchers should provide DPUKAH with details of all publications arising from their support, whether wholly or partly funded (helpdesk@chi.swan.ac.uk), and must supply a copy of such publications before submission. Researchers should update DPUKAH as soon as the paper is submitted, accepted and published so DPUKAH is aware of all results entering the public domain and there is sufficient notice to arrange any publicity of the findings.

If the work has involved the use of data governed by a DPUKAH Data Access Agreement, the publication procedure detailed in Appendix 1 of the Data Access Agreement should be followed. Briefly, this involves written notice to Swansea University 30 days prior to the submission of any publication. Swansea will liaise with the data providers who have 20 days to object to, or request a delay to, the publication for accuracy or patent reasons. If objections are made, the Swansea team will work with the objector and publishing team to facilitate discussions, with the aim of resolving any outstanding issues.

ResearchFish requirements

As an MRC-funded body, DPUK (grant code: (MR/T033371/1).) is required to declare all scientific outcomes using the https://researchfish.com/ website. If you are a past or present member of a DPUK research team (Work Package, Experimental Medicine project, Network or Award), you will need to associate your outcomes to the DPUK award on this site. Scientific outcomes are submitted annually to UKRI for review. This will also apply to any affiliated hubs that are MRC funded.

There is an online summary to the type of outcomes you must record. You will notice outcomes include: *awards and recognition, further funding, engagement activities, research tools and methods* and more – not solely publications.

For technical queries, such as how to associate an outcome to the DPUK award on the ResearchFish website, please see ResearchFish's support pages. For any non-technical queries, please contact helpdesk@chi.swan.ac.uk

Open access requirements

Overview

These Open Access requirements of DPUK (and any MRC funded affiliated Hub) are found below are based on the requirements of the Medical Research Council (MRC) and host organisations.

The MRC is overseen by UK Research and Innovation (UKRI). UKRI'sOpen Access policy has been instrumental in providing wording to this document – their full policy can be found at https://www.ukri.org/publications/ukri-open-access-policy/uk-research-and-innovation-open-access-policy/

DPUK (and any MRC funded affiliated Hub) researchers are expected to publish any reviewed research papers which acknowledge Research Council funding (for example, MRC funding) in journals that are compliant with the UKRI policy on Open Access. If applicable, a statement should also be included on how the underlying research materials - such as data, samples or models - can be accessed.

Compliant Journals

UKRI recognises a journal as being compliant with its policy if:

A) The journal provides, via its own website, immediate and unrestricted access to the final published version of the paper, which should be made available using the Creative Commons Attribution (CC BY) licence, and allows immediate deposit of the final published version in other repositories without restriction on re-use. This may involve payment of an 'Article Processing Charge' (APC) to the publisher. This is often called the 'Gold Route' of Open Access.

Or,

B) The journal consents to deposit of the final Accepted Manuscript (that is, the version of a journal article submitted by an author that has been accepted for publication in a journal and been through a peer-review process) in any repository, without restriction on non-commercial re-use and within a defined period. No APC will be payable to the publisher. This is often called the 'Green Route' of Open Access. *Please note, In STEM disciplines, UKRI will accept a delay of no more than six months between online publication and the final Accepted Manuscript becoming Open Access.*

To see which Open Access routes are available for your DPUKAH-supported Accepted Manuscript, please visit the Sherpa Fact database tool**.** This database, developed by the University of Nottingham, provides information – at the journal title level – as to whether or not a journal has a publication policy that is compliant with the UKRI open access policy, and if so, how you can meet the policy's expectations.

If possible, RCUK has a preference for the 'Gold Route' of open access. UKRI are supporting this preference with block grants to eligible research organisations in order to fund the associated article processing charges (APCs).

Article Processing Charges

From 1 April 2013, the payment of APCs and other publication charges related to Research Council-funded research are supported through UKRI OA block grants provided to eligible research organisations. Researchers should contact their own research organisation to see whether this option is available for their individual Accepted Manuscripts.

Licences

Where Research Council funds are used to pay the APC for an Open Access paper (submission via the 'Gold Route'), it is required that the publisher makes the paper freely available under a Creative Commons Attribution (CC BY) licence.

Where Open Access is achieved through deposit of the final Accepted Manuscript in a repository (the 'Green Route'), the Research Councils would like research papers to be made available using the most liberal and enabling licences, ideally CC BY. However, the UKRI policy requires only that the manuscript is made available without restriction on non-commercial re-use – that is, the policy does not specify a particular licence - so the requirement can alternatively be met by use of the Creative Commons Attribution-non- commercial licence (CC BY NC) or equivalent. CC BY NC ND is *not compliant* with the policy.

Embargo Periods

Ideally, a research paper should become Open Access as soon as it is published online. HoweverUKRI recognises that, in the 'Green Route' model of open access, embargo periods are currently used by some journals with business models that depend on generating revenue through journal subscriptions. As mentioned previously, where a journal does not offer an immediate Open Access option, UKRI will accept a delay between online publication and a paper becoming Open Access of *no more than six months* in STEM disciplines.

Deposition into a repository

If the Sherpa Database (see: *Compliant Journals*) suggests that you are able to undergo the 'Green Route' of Open Access for your Accepted Manuscript, you will need to deposit your manuscript into a repository (often without restriction on non-commercial re-use, and within a defined period).

For DPUKAH-supported, MRC-funded papers, researchers are advised to deposit their Accepted Manuscripts within the Europe PubMed Central repository, via the Europe PubMedCentral Plus website. As described in this https://www.ukri.org/councils/mrc/guidance-for-applicants/, Europe PubMedCentral (Europe PMC) is 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 MRC, the Wellcome Trust and other members of the Europe PMC Funders Group.

A Note on Institutional Open Access Procedures

DPUK's host research organisation, the University of Oxford, also has its own Open Access policies and procedures in place. Researchers employed by the University of Oxford are required to 'act-on-acceptance' – that is, deposit their Accepted Manuscripts into the University's repository, ORA, via Symplectic Elements within three months of acceptance for publication (where acceptance is often confirmed through an e-mail from the fjournal editor).

Researchers employed elsewhere are advised to contact their research organisation to find out about the Institutional Open Access procedure it is adopting.

3. DPUKAH PROGRAMME PUBLICATIONS – ROLES AND RESPONSIBILITIES.

ROLE	FUNCTIONAL RESPONSIBILITIES.
Document Owner	Responsible for the content of the policy and approving changes to content
Document Reviewer	Responsible for: i). Keeping document up to date ii). Raising issues within the document with the document owner iii). Approving changes to formatting of the document
Researchers	Responsible for: i). Referencing DPUK and/or its affiliated hubs in all publications using the standard wording provided in this policy ii). Including the disclaimer in **2.1.2** in all publications iii). Providing copies of publications to DPUK on acceptance

4. DPUKAH PROGRAMME PUBLICATIONS – COMPLIANCE.

Any DPUKAH staff subject to this policy who fail to comply with the provisions as set out above shall be subject to appropriate management response. This may include disciplinary action in accordance with the Swansea University and Medical School Disciplinary Code and Procedures.

A. DOCUMENT MANAGEMENT.

A.1 AUTHORISATION.

NAME	TITLE
Emma Squires	Head of Programme Delivery, DPUK

A.3 DOCUMENT HISTORY.

VERSION	DATE	AUTHOR	DESCRIPTION	APPROVED BY
1.0	26/10/2020	Chris Orton		John Gallacher
2.0	10/02/2025	Emma Squires	Combined policy and process information and changed logo	DPUK Data Portal Committee on 13/02/2025
3.0	29/03/2025	Emma Squires	Adapted policy to include affiliated hubs and added Appendix 1	

Appendix 1.

Hub name	DOI location	Funder	Grant number
DPUK	https://portal.dementiasplatform.uk/CohortDirectory	MRC	MR/L023784/2
BrainWaves		Philanthropic donations	HQD00190
TBI-REPORTER		MRC	MR/Y008502/1