

DBT/DST Open Access Policy

Policy on open and unrestricted access to DBT/DST funded research

The Department of Biotechnology (DBT) and the Department of Science and Technology (DST) are constituent Departments within the Ministry of Science and Technology, Government of India.

An important function of DBT/DST is to support basic, translational and applied scientific research through the creation of suitable infrastructure, by providing funding to individual scientists, institutions and start-ups, and through any other means deemed necessary.

Since all funds disbursed by DBT/DST are public funds, it is important that the information and knowledge generated through the use of these funds are made publicly available as soon as possible.¹

Research funded by DBT/DST results in new ideas and knowledge. The DBT/DST expects that the recipients of its funding will publish their research in high quality, peer-reviewed journals. However, DBT/DST will not underwrite article processing charges levied by some journals.

The DBT/DST affirms the principle that the intrinsic merit of the work, and not the title of the journal in which an author's work is published, should be considered in making future funding decisions. DBT/DST does not recommend the use of journal impact factors, as a surrogate measure of the quality of individual research articles, to assess an individual scientist's contributions, or in hiring, promotion, or funding decisions.

The DBT/DST believe/s that maximizing the distribution of these publications by providing free online access by depositing them in a gratis open access repository is the most effective way of ensuring that the research it funds can be accessed, read and built upon. This, in turn, will foster a richer research culture.

Grantees can make their papers open-access by publishing in an open-access journal or, if they choose to publish in a subscription journal, by posting the final accepted manuscript to an online repository.

Posting to an online repository:

What should be deposited?

The final accepted manuscript (after refereeing, revision, etc.) resulting from research projects fully or partially funded by DBT/DST or performed using infrastructure built with the support of DBT/DST and to appear in peer-reviewed professional journals. This also includes review articles, both invited and author initiated, for those who received funding from DBT/DST during that period. The full-text of the paper and metadata should be deposited. Supplementary materials should be made available along with the publication. At the end of the full-text the acknowledgement should carry the grant number.

Papers resulting from funds received from the fiscal year 2012-13 onwards are required to be deposited. Authors are recommended to also deposit final accepted manuscripts from funding received in earlier years.

Where to deposit?

The manuscript should be deposited in the grantee's own institution's interoperable institutional repository (IR). If the institution does not yet have an IR of its own, then the paper should be deposited in the central repository, which will be created by *DBT/DST*.

When to deposit?

Deposits should be made within one week of acceptance by the journal. However, if the journal insists on an embargo, **the material should still be deposited, but the repository will keep the deposited papers non-OA and only make it fully OA at the end of the embargo period.**² Suggest that the period of embargo not be greater than one year.

Who should deposit?

This policy applies to individual scientists/institutions who have directly received ad-hoc funding or other support/benefits/infrastructure from DBT/DST as well as to scientists working at DBT/DST-aided autonomous institutions who benefit directly or indirectly from the infrastructure and core funding provided by DBT/DST.

The principal investigator (PI) or someone authorized by the PI, or anyone authorized by the head of the institution where the work is carried out (such as the librarian), can deposit the papers. Both the PI and the head of the institution will be responsible for timely deposit of the paper.

Depositing in a repository is mandatory

Unless the deposit ID is quoted in the project report as well as in future proposals for funding, the proposals will not be considered.

In the rare case where the PI or head of the institution has some valid reasons for not complying with these requirements they should give a suitable explanation in the final report.

For research carried out in institutions under the administrative control of DBT/DST:

Authors of papers that will have no such deposit ID shall not be considered for promotion/appointment/ award/Fellowship/Research Grant.

How to deposit?

In case of IRs, the IR administrator (and his/her team) will deposit the material on behalf of the authors. If one wants to deposit the material in the central repository, the author (or one of the

authors in case of many) should forward the material to the administrator of the central repository. Those who want to self-archive in an IR may obtain the credentials from the administrators.

Copyright

In case the scientist produces research as part of her employment with a government body, the copyright vests in the government body, unless otherwise agreed upon to the contrary. Therefore, if the copyright continues to vest in the Government, transfer of rights would have to be by the Government, or by the scientist after prior permission from the Government. If the research has been produced by the scientist in the course of her employment with any institution, copyrights vests in the institution concerned, unless otherwise agreed upon to the contrary. The institution should retain the right to make the articles freely available *gratis*, whether the journal is open- access or subscription-based.

The DBT/DST recommend/s that all authors receiving funds from DBT/DST should, at the time of returning the copyright transfer form, inform the publisher that they would retain the right to place the full-text of the final author version in the institution's IR and *DBT/DST Central*. This can be achieved by attaching to the copyright transfer agreement the *DBT/DST author addendum*.

¹ The digital context of the production and dissemination of knowledge makes it especially easy to make all knowledge publicly available. Further, free and open access of scientific research could ensure percolation of cutting edge research at a rapid pace into higher education curriculum, thereby raising the standard of technical and scientific education.

² *Articles under an embargo can still be made available to individuals by use of the Request Button available with the IR software. By use of the Request Button, a reader may automatically send a request for a copy to the author, as is commonly done by other communication means. [This need not form part of the policy; it is only for guidance]*

Proposed DBT/DST Copyright Addendum

ADDENDUM TO PUBLICATION AGREEMENT

1. THIS ADDENDUM hereby modifies and supplements the attached Publication Agreement concerning the following

Article:

_____ in
(manuscript title)

_____ in
(journal name)

2. The parties to the Publication Agreement as modified and supplemented by this Addendum are:

_____ (corresponding author)

_____ (Individually or, if more than one author, collectively, Author)

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AUTHOR

PUBLISHER

(corresponding author on behalf of all authors)
_____(Date)

_____(Date)

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