

Joint Partnership Policy and Guidance on Pre-clinical and Clinical Research Publications

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Background

Research publications require full and accurate attribution to the organisations that fund and support the underpinning research so they can be reported to funders and beyond. Future funding, investment, and the academic and clinical reputation of individuals and their institutions, is heavily dependent on such reports, making accurate affiliations and acknowledgements critical.

This policy and guidance is provided to ensure authors identify the University of Southampton (UoS) and University Hospital Southampton NHS Foundation Trust (UHS) in a way that maximises the ability to identify publications from the Southampton Partnership and to report them to our funders (e.g. National Institute of Health Research [NIHR], CRUK, Wellcome Trust, Medical Research Council [MRC]) and beyond (e.g. Research England, UKRI and the REF exercises). Acknowledgments are critical in enabling the Southampton Partnership to fulfil the requirements of funders.

Citing both organisations on all papers covered by this policy acknowledges the success of each organisation resulting from working in partnership, and helps ensure continued recognition, reward and support of our Partnership.

Scope: who this policy applies to

The policy applies to all staff and students whose research outputs from pre-clinical and clinical research derive from their employment/education by the University and/or Trust, from research grants awarded to the University and/or Trust or otherwise from the use of University and/or Trust resources and facilities. The policy applies to all authors of publications, not only to principal authors.

Policy statement on affiliations and acknowledgments and funding

When submitting items for publication, the UHS and UoS require that affiliations and acknowledgments are included in the formats required by your funding body and including those provided in [Appendix 1](#).

In addition, all publications resulting from research carried out under **NIHR infrastructure** (NIHR Biomedical Research Centre, NIHR Clinical Research Facility, NIHR ARC Wessex, CRUK NIHR Experimental Cancer Medicine Centre, CRUK NIHR Clinical Trials Unit, NIHR Clinical Research Network) funding agreements **must** acknowledge NIHR infrastructure and funding, following NIHR's own publications guidance in [Appendix 1a](#).

Open Access for Outputs (including Rights Retention Statements) and underpinning Research Data

Authors are responsible for researching and complying with all relevant institutional, [funder](#) and assessor Open Access policies for both outputs and underpinning research data.

The UKRI (formerly RCUK) has a set of '[Common principles on research data](#)' requiring that papers include a *data access statement*, regardless of whether the data is openly available or not. Such statements can be very simple and should be included even if no new data have been created (see links that follow). Each funding council now has its own research data policy, links to which can be found on the [Making your research data open](#) UKRI page.

Rights Retention Strategy

To comply with funder Open Access requirements including NIHR, MRC, CRUK, Wellcome and UKRI, in-scope research outputs must have a [Creative Commons](#) attribution license (CC-BY) and be available to all, immediately on publication, without an embargo.

If your paper is published in a *fully Open Access journal* (such as the Biomed Central titles), with a CC-BY license, these funder requirements are satisfied and you retain full copyright; this usually involves payment of an Article Processing Charge (APC).

If you are publishing in a subscription title, that has an open access option (often referred to as a hybrid journal) then you should 'assign your rights' on the author accepted manuscript *at the point of submission*. This 'prior assignment of rights' ensures immediate open access in a repository, *even if* the final published version will be behind a paywall/subscription and does not have a Creative Commons attribution licence.

Prior assignment of rights is achieved by including a *Rights Retention Statement* (RRS) in the submitted manuscript and covering letter. The [library suggests](#) including the following statement, "For the purpose of open access, the author has applied a Creative Commons attribution license (CC-BY) to any Author Accepted Manuscript version arising from this submission" in the acknowledgement section or footer of your submitted manuscript. Once your paper is accepted, [create a record in Pure](#), upload the accepted manuscript, selecting the CC-BY option from the 'License to document' drop down menu.

There are funder-specific requirements which you must check. See <https://library.soton.ac.uk/openaccess/RRS> for more information.

More information on specific Open Research policies is available:

- University Open Access [guidance](#) and [policy](#)
- Research Data Management [guidance](#) and [policy](#)
- [UK Research and Innovation Open Access Research](#) (covering Research England, UK Research Councils).
- DH/[NIHR Open Access policy](#)
- [MRC Open Access policy](#)
- [Wellcome Open Access policy](#)
- [List of funder policies](#)
- [Data Access Statements: further information and suggested text](#)

Please be aware these policies may have stipulations regarding both your *manuscript* and the *underpinning research data*. These policies ensure the requirements of funders and assessors are met.

NB You may be required to deposit your work in more than one repository e.g. PubMed Central Europe *and* Pure.

Institutional Repository (ePrints/PURE) basics:

The Institutional Repository (IR) is where bibliographic records and manuscripts are stored and is the mechanism by which they are discovered and accessed globally. The IR at UoS is [ePrints](#), accessed internally via [Pure](#). IR supports the broad aims of Open Research and assists compliance with University and other Open Access policies. Pure and ePrints support Open Access for the research community across the Joint Partnership; those who regularly publish research findings are able to deposit their work, not only UoS staff. For those with 'visitor' contracts, there is a tick box on the visitor form to request Pure access. *This box must also be ticked on each contract renewal, or you will lose access.*

Access to [Pure](#) is via the single sign on. If you don't have access, contact FMedPureSupport@soton.ac.uk

For queries about creation of records and depositing manuscripts, contact ePrints@soton.ac.uk

PURE supports data exchange with some national and international systems, which can save time by reducing data entry. For example, once linked, it can populate ORCID profiles which can then (once linked) populate publications data in ResearchFish.

More information on the benefits of Open Research and how to use the repository can be found here: [Open Access and Institutional Respository](#)

ORCID IDs

Open Researcher and Contributor IDs (ORCID), are unique identifiers for individuals which can unambiguously link all research activities, affiliations, awards and other versions of an author's name

ORCID is the global standard in universal identifiers and are now frequently recommended or mandated by funders e.g. NIHR and Wellcome, publishers e.g. PLoS journals, Sage publications, Springer Nature and assessors e.g. UKRI and NIHR. We strongly encourage all authors to register for an ORCID ID, link it in Pure, and use it at every opportunity.

Whether you have an existing ORCID to link with other systems or want to create one [doing so via Pure](#) is the recommended route. You can also register independently.

Further info about ORCID:

from UoS: <https://library.soton.ac.uk/identifiers/orcid>

from ORCID <https://orcid.org/>

Addresses

Use full departmental postal addresses, including a Mailpoint. Examples are given in [Appendix 2](#).

Branding

Branding for outputs such as posters must comply with appropriate organisational and Partnership guidelines. Local templates for some types of outputs supported by NIHR facilities can be found [here](#)

NIHR issued updated Brand Guidelines in 2022. They can be found [here](#)

Further guidance can be obtained from the [University](#) and [Trust R&D communications](#) team

<https://www.southamptonbrc.nihr.ac.uk/documents-templates>

<https://clinicalresearch.uhs.nhs.uk/for-researchers/contacts-for-researchers>

Appendix 1: Affiliations and Acknowledgments

Joint affiliation

Where any author has a substantive or honorary contract with, or is an undergraduate or postgraduate, registered at the University of Southampton (or the UHS) **and** the University Hospital Southampton NHS Foundation Trust (or the Uos) **both** organisations must appear as affiliations in **ALL** submissions for publication.

Minimum required wording for joint affiliation:

In some circumstances (e.g. journals which have a restricted character count) detailed affiliations are impossible to include. In such circumstances, the top level institutions take priority and the minimum acceptable affiliation is:

- *University of Southampton and University Hospital Southampton NHS Foundation Trust*

Additional affiliations:

For University affiliations, the Institute/Centre/School etc. should be listed **after** the University and Faculty. Further affiliations of all authors should be listed using the appropriate form of words as given below:

- University of Southampton
 - Faculty of Medicine (or other, as appropriate)
 - Cancer Sciences / Clinical and Experimental Sciences / Healthcare Enterprise and Innovation / Human Development and Health / Primary Care, Population Sciences and Medical Education
 - Centre for Cancer Immunology
 - Centre for Developmental Origins of Health and Disease
 - Centre for Human Development, Stem Cells and Regenerative Medicine

- Institute for Life Sciences
- Medical Research Council Lifecourse Epidemiology Centre
- NIHR ARC Wessex
- NIHR CRUK Southampton Experimental Cancer Medicine Centre
- NIHR Southampton Biomedical Research Centre
- NIHR Southampton Clinical Research Facility
- Southampton Cancer Research UK Centre
- Southampton Clinical Trials Unit

Acknowledgments

Acknowledgments are vital in enabling the Southampton Partnership to fulfil the requirements of some funders e.g. NIHR. Particularly where it is impossible to include all the affiliations stipulated by this policy e.g. due to a restricted character count, this becomes critical. Without explicit mention of direct or indirect funding or support of particular organisations (e.g. NIHR) your papers cannot be reported and will not qualify for financial support with Article Processing Charges (APCs) for Open Access publication.

You must acknowledge:

- Any sponsorship you have received for the research you are publishing. For grants, include the grant number and source.
- In accordance with [NIHR publications guidance](#), where resources (staff, space or equipment) of a particular unit or department have been used e.g. NIHR Southampton Clinical Research Facility in the course of the project, the unit / department must appear in the acknowledgements section. For example:

*‘This study/Person XXX was supported by the NIHR Southampton Clinical Research Facility’
(or relevant infrastructure unit/s)*

- Names of individual staff who have supported the project that led to the publication as well as the relevant department, using an appropriate and accurate title
 - *University of Southampton Faculty of Medicine Bioimaging Unit*
 - *University Hospital Southampton NHS Foundation Trust, Department of Infection*
- NIHR academic training programmes.
 - *Supported AF2s, ACFs and CLs should have funding acknowledged as “PERSON X (or initials) was supported by the University of Southampton National Institute of Health Research Academic Foundation Programme/Academic Clinical Fellowship Scheme (delete as applicable) or NIHR Clinical Lectureship”*

Appendix 1a: NIHR specific acknowledgments and disclaimers

Publications resulting from research carried out under NIHR funding agreements **must** acknowledge NIHR funding, using the current terms and disclaimers. Current wording should be verified online. The italicised wording below is from Version: 3.3, November 2022 [NIHR research outputs and publications guidance](#) please check online for the most up to date wording

Acknowledging the NIHR in research outputs

All written and oral research outputs should acknowledge the NIHR funding in full, include the NIHR unique award identifier and include the NIHR disclaimer. For research papers, the acknowledgement, unique award identifier and disclaimer should be added to the funding or acknowledgments section of the manuscript and included in the funding information requested by the publication on submission.

The NIHR unique award identifier number should always be included in the acknowledgement. Inclusion of the unique award identifier is vital as it allows output information to be pulled from publishers into research organisations' and NIHR information systems automatically, reducing the need for manual data entry.

Please acknowledge all types of NIHR funding, support and affiliations, such as:

- *research programme funding*
- *whole or part funding or support by research centres or units*
- *use of clinical research facilities, centres or units*
- *fellowship awards*
- *professional training awards*
- *Senior Investigator awards*
- *Research Professorship awards.*

Studies supported by the Clinical Research Network should be encouraged to acknowledge the support provided by the Network.

Chief investigators/lead researchers should refer to their funding contract to ensure that they comply with the specific terms and conditions regarding naming and acknowledging the NIHR appropriately in research publications.

It is helpful if outputs, where possible, have a DOI and completed metadata and are deposited in an appropriate open access database.

Wording for researchers funded by NIHR research programmes

Please include the correct NIHR unique award identifier, because this greatly aids the automated identification of publications and contributes to NIHR's ability to report accurately on the outputs, outcomes and impact of the work we fund.

If your research has been co-funded by NIHR and a partner, for example NHSX or a charity, please include details of the partner in the acknowledgement and disclaimer.

All research programmes (except EME)

This study/project is funded by the NIHR [name of NIHR programme (NIHR unique award identifier)/name of part of the NIHR]. The views expressed are those of the author(s) and not necessarily those of the NIHR or the Department of Health and Social Care.

EME programme

This project (NIHR unique award identifier) is funded by the Efficacy and Mechanism Evaluation (EME) Programme, an MRC and NIHR partnership. The views expressed in this publication are those of the author(s) and not necessarily those of the MRC, NIHR or the Department of Health and Social Care.

Wording for researchers funded by the NIHR Global Health Research programme

This research was funded by the NIHR (project reference) using UK aid from the UK Government to support global health research. The views expressed in this publication are those of the author(s) and not necessarily those of the NIHR or the UK government

Wording for researchers who hold training or career development funding awards (except the Integrated Clinical Academic (ICA) Programme)

(Name of the researcher, Award name e.g. Doctoral Research Fellow, NIHR unique award identifier) is funded by the NIHR for this research project. The views expressed in this publication are those of the author(s) and not necessarily those of the NIHR, NHS or the UK Department of Health and Social Care.

Wording for researchers who hold ICA training or career development funding awards

(Name of the researcher, Award name e.g. Clinical Doctoral Research Fellow, NIHR unique award identifier) is funded by Health Education England (HEE) / NIHR for this research project. The views expressed in this publication are those of the author(s) and not necessarily those of the NIHR, (Partner Name), NHS or the UK Department of Health and Social Care.

Wording for researchers who hold an NIHR Academy partnership award, such as those with a research charity

(Name of the researcher, Award name e.g. Doctoral Fellow, NIHR unique award identifier) is funded in partnership by the NIHR and (Partner Name/Organisation names) for this research project. The views expressed in this publication are those of the author(s) and not necessarily those of the NIHR, (Partner Name), NHS or the UK Department of Health and Social Care.

Wording for researchers who hold an NIHR Health Determinants Research Collaboration award:**Descriptor**

NIHR Health Determinants Research Collaborations enable local authorities to become more research-active, embedding a culture of evidence-based decision making.

Acknowledgement

The name format for HDRCs is: "NIHR Health Determinants Research Collaboration [CONTRACTING ORGANISATION]."

Relationship statement

The NIHR Health Determinants Research Collaboration (HDRC) [NAME] is part of the NIHR and hosted by [CONTRACTING ORGANISATION]

Appendix 2: Addresses

Appropriate, full departmental postal address should be used where space allows, including a mailpoint (if applicable) for example:

Institute of Developmental Sciences
University of Southampton
Mailpoint 887
Southampton General Hospital
Tremona Road
Southampton
SO16 6YD
UK

NIHR Southampton Clinical Research Facility
Southampton Centre for Biomedical Research
Mailpoint 218, C Level West Wing
Southampton General Hospital
Tremona Road
Southampton
SO16 6YD
UK

NIHR ARC Wessex
Innovation Centre
Southampton Science Park
2 Venture Road
Chilworth
Southampton
SO16 7NP
UK

Signatories:

UoS, Associate Dean Research (Medicine)

UHS, Director of Research and Development

Joint Research Strategy Board, for the Joint Partnership

V2.6 (sixth version of second edition) approved by signatories above: 04 June 2019

V2.7 (seventh version of second edition with hyperlink and text updates): 05 May 2022

V2.8 (eighth version of second edition with hyperlink and text updates): 23 November 2023

Schedule for revision:

annually for minor revision (next=June 2024) or when required

every five years for major revision (next=June 2024) or when required