OPEN ACCESS PUBLISHING POLICY

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Related Policies & Procedures	Included in Section 6 of the Policy

1. SCOPE

1.1 This policy applies to all individuals conducting research or carrying out related duties on behalf of the School. This includes, but is not limited to, employed staff, research degree students, honorary staff, and visiting academics. This group will be collectively referred to as 'Researchers'.

1.2 Primary responsibility for ensuring compliance with this policy lies with the senior researcher associated with the project and resultant research publications, typically the Principal Investigator (henceforth PI). Responsibility for taking action may be delegated to a researcher named as the corresponding author on the research publication.

1.3 Where research is conducted with other institutions and/or external researchers, and the PI or corresponding author is not a member of the School, the first named School author will be responsible for ensuring compliance with this policy.

1.4 Taught programme students are strongly encouraged, but not obliged, to deposit peer-reviewed publications in LSHTM Research Online.

1.5 Research degree students are required to deposit their theses in LSHTM Research Online, in accordance with the School's Electronic Research Degree Theses Submission Policy. Research degree theses will be made available via a Creative Commons Attribution Non-Commercial No Derivatives Licence (CC-BY-NC-ND).

1.6 Exemption to specific principles will be granted in exceptional circumstances where

compliance will breach legislative, regulatory, contractual, ethical, and/or other obligations. Such cases should be discussed with the Research Publications Team within the Library & Archives Service in the first instance.

2. OVERVIEW AND PURPOSE

2.1 Overview

The London School of Hygiene & Tropical Medicine recognises that research publications are a valuable asset that may be used to communicate research findings and form the basis for new and innovative research. As recipients of public funding, we recognise our obligation to make our research as widely available as possible.

The School regards Open Research, including the responsible and ethical sharing of research publications and other outputs, to be an integral part of good research practice. It enables knowledge translation and innovation and lowers barriers to academic enquiry across the world. We are committed to and support open access to our research publications for the benefit of researchers and wider society.

The School's position on open access is consistent with the open access policies of major funders such as Research Councils UK, the Wellcome Trust, the Bill & Melinda Gates Foundation and Cancer Research UK, and with the requirements of HEFCE's Policy for Open Access in Research Excellence Framework 2021.

2.2 Purpose

This Open Access Publishing Policy (henceforth OA Policy) outlines a set of expectations for how research publications and outputs produced by the School should be managed and disseminated.

The OA Policy forms a component of the School's research governance strategy, and seeks to ensure that research publications and outputs are managed and shared in a responsible manner that complies with relevant obligations and commitments.

Nothing in this policy is intended to limit academic freedom to choose where and in what manner researchers publish their research. However, due diligence with regard to the open access requirements of funders and compliance with HEFCE's Policy for Open Access in Research Excellence Framework 2021 is expected.

3. POLICY

The School defines the following set of principles to be followed by researchers in order to ensure research publications are managed and disseminated in accordance with good research practice:

3.1 Research publications must be managed and disseminated in accordance with contractual, legislative, regulatory, ethical and other relevant requirements

Researchers are responsible for making themselves familiar with requirements set by the School, external funders, and other relevant bodies that apply to their research and adopt practices that fulfil these obligations.

In circumstances where requirements conflict or may have a potential detrimental effect, advice should be sought from the Research Publications Team within the Library & Archives Service in the first instance, with reference to the Research Governance & Integrity Office, Legal Office or other office as appropriate.

3.3 All research papers must be made Open Access

Researchers are responsible for ensuring that their research papers are made available in open access form. This can be achieved by:

- EITHER immediately forwarding the Author's Accepted Manuscript and Acceptance Email to the Research Publications Team, who will arrange for it to be deposited in LSHTM Research Online, the School's publication repository, to achieve Open Access via the Green Open Access route
- OR by selecting the publisher's Gold Open Access option in response to the Acceptance Email from a Hybrid Journal
- OR by submitting to a fully Open Access Journal

If choosing the Gold Open Access route researchers should check *before submission* that the journal selected has Open Access policies compatible with the requirements of their funders and HEFCE's Policy for Open Access in Research Excellence Framework 2021.

Author Accepted Manuscripts deposited in LSHTM Research Online will be made available via a Creative Commons Attribution Non-Commercial No Derivatives Licence (CC-BY-NC-ND). Publisher embargos will be respected, as will the confidentiality of commissioned reports where it has not been possible to negotiate permission to disseminate research findings.

Most journals allow open access via the Green Route via repositories such as LSHTM Research Online. This can be checked via the Sherpa RoMEO database of publishers' conditions and on the open access pages of journals' websites. For other types of publication, authors should seek to retain the right to deposit an Author Accepted Manuscript version when negotiating agreements with publishers and/or entering into a publishing contract.

If the article is not Gold Open Access and/or the Author's Accepted Manuscript has not been deposited in LSHTM Research Online via the Green Open Access route within 3 months of acceptance, the publication may not be eligible for submission to REF 2021.

Consideration should also be given to deposit of research papers in PubMed Central (PMC) and Europe PubMed Central as soon as possible, and within 6 months of publisher's official date of final publication. It should be noted that this is a funder requirement for Charities Open Access Fund (COAF) and Research Councils UK funded research publications.

COAF-funded scholarly monographs and book chapters must be made available through PMC Bookshelf. Deposit of scholarly monographs and book chapters in LSHTM Research Online is strongly encouraged.

Retrospective deposit of Author Accepted Manuscripts and/or versions of record published in Open Access or Hybrid journals is also encouraged. Assistance with this is available from the Research Publications Team within the Library & Archives Service.

3.4 Article Processing Charges and associated costs for making a research publication open access should be recovered from the funder, where permitted

Many activities associated with open access publishing via the Gold route carry a direct cost. These should be identified and addressed at the earliest opportunity. Open access publishing costs should be written into research grant applications, unless explicitly forbidden by the funder.

The Research Publications Team within the Library & Archives Service manages block grants from the Charities Open Access Fund (COAF) and Research Councils UK (RCUK) on behalf of the School to facilitate the payment of article processing charges for research they fund. Advice should be sought from the Research Publications Team within the Library & Archives Service in the first instance.

Where funds to cover open access publishing costs are not available, a waiver should be sought from the publisher.

3.5 Research publications must include details of institutional affiliation, funder, and author identifiers (ORCID)

All School researchers must identify the London School of Hygiene & Tropical Medicine as their affiliation address in any research publications they contribute to whilst at the School, in order to enable better bibliometric measurement and analysis of research outputs across the School.

Research publications must clearly acknowledge the funding source(s) and grant or programme number(s), in order to ensure that grant conditions are met and to enable research outputs to be clearly linked to funders.

All researchers at the School are strongly encouraged to create and use an ORCID identifier to enable more robust linking of research outputs and their creators. Increasingly, funders are requiring researchers to have an ORCID identifier before they are able to apply for funding. The School is an institutional member of ORCID.

3.6 Research data produced and/or used during research must be cited in research outputs

> Good research practice is built upon the recognition of all source material used in research. Researchers must ensure that data created and/or used in the research process is cited in conference papers, journal articles and other research outputs.

> An access statement should be included in publications that outlines how research data may be accessed and any associated conditions. A persistent identifier, such as a Digital Object Identifier (DOI), should be included when one is available.

> Research data can be signposted and/or stored in LSHTM Data Compass, the School's Data Repository. Advice is available from the Research Data Manager within the Library & Archives Service.

4. Contacts

Questions related to the Open Access Publishing Policy should be directed to the Research Publications Team within the Library & Archives Service (researchonline@lshtm.ac.uk).

5. Definitions

- *Research Publications:* Books, book chapters, journal articles and/or conference publications which are the result of research activity and subject to peer review.

- *Open Research:* A movement towards greater openness in scientific research.

- *Research Excellence Framework (REF) 2021:* An impact evaluation assessing the research of British HEIs.

- *Creative Commons (CC) Licences:* A suite of copyright licences enabling the free distribution of otherwise copyrighted work.

- *Author Accepted Manuscript (AAM):* The final author manuscript as accepted for publication, incorporating any peer review, prior to formatting by the publisher.

- *Publications Repository:* A system for storing, managing and, in most cases, sharing research publications and outputs.

- *Gold Route:* A model of open access publishing which enables immediate access for free public use via a publisher's website, often subject to payment of an article processing charge by the researcher or institution.

- *Green Route:* A model of open access publishing which enables researchers to publish in any journal and to self-archive the final author accepted manuscript version in a publications repository for free public use (subject to any publisher embargo).

- *Sherpa RoMEO:* A database of publishers' policies on copyright.

- *PubMed Central (PMC):* A free digital repository that archives publicly accessible full-text scholarly articles.

- *Open Access Journal:* A scholarly journal in which all articles are made freely available online to the reader.

- *Hybrid Journal:* A subscription journal in which some of the articles are made freely available online to the reader through payment of an article processing charge.

- *Article Processing Charge (APC):* A fee sometimes charged to make a work freely available online in either an open access journal or hybrid journal.

- *Bibliometrics:* A statistical analysis of written publications, such as books or articles.

- *Open Researcher & Contributor ID (ORCID):* A unique identifier used to identify academic authors.

- *Digital Object Identifier (DOI):* A unique identifier used to identify content and provide a persistent link to its location on the Internet.

- *Data Repository:* A system for storing, managing and, in some cases, sharing research data.

6. References

- *LSHTM Good Research Practice Policy*
  < https://www.lshtm.ac.uk/sites/default/files/Good_Research_Practice_Policy.pdf>

- *LSHTM-SOP-040: Good Publication Practice SOP*
  https://lshtm.sharepoint.com/Research/Research-Governance/Pages/standard-operating-procedures-(sops).aspx

- *LSHTM Electronic Research Degree Theses Submission Policy*
  https://lshtm.sharepoint.com/students/Documents/e_thesis_submission_policy.pdf

- *LSHTM Research Data Management Policy*
  https://www.lshtm.ac.uk/sites/default/files/RDM_Policy.pdf

- *COAF Policy for Open Access*
  https://wellcome.ac.uk/funding/managing-grant/open-access-policy

- *HEFCE Policy for Open Access in Research Excellence Framework 2021*
  http://www.hefce.ac.uk/pubs/year/2016/201635/

- *RCUK Policy for Open Access*

http://www.rcuk.ac.uk/documents/documents/rcukopenaccesspolicy-pdf/

- *Europe PMC Guidelines for Principal Investigators*
  https://plus.europepmc.org/emss/local/Help/pi.pdf