



## Open Access Publishing Policy

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<b>Version</b>	1.4
<b>Amendments</b>	<p>2022 V1.4 Simplification of terminology and updates to reflect changes to funder policies and Read &amp; Publish deals, and the inclusion of Preprints as an item type.</p> <p>2020 V1.3 Updates to reflect implementation of Plan S, the end of the Charities Open Access Fund (COAF), and the submission of the Research Excellence Framework 2021.</p> <p>2019 V1.2 Minor amendments to terminology and revision of 3.3 to reflect deposit via Elements.</p>
<b>Related Policies &amp; Procedures</b>	<ul style="list-style-type: none"> <li>• <i>LSHTM Good Research Practice Policy</i> <a href="https://www.lshtm.ac.uk/sites/default/files/good-research-practice-policy.pdf">https://www.lshtm.ac.uk/sites/default/files/good-research-practice-policy.pdf</a></li> <li>• <i>LSHTM-SOP-040: Good Publication Practice SOP</i> <a href="https://lshtm.sharepoint.com/Research/Research-Governance/PublishingImages/Pages/standard-operating-procedures-%28sops%29/LSHTM-SOP-040-02_Good%20Publication%20Practice_v2.0_Final_02.01.20.pdf">https://lshtm.sharepoint.com/Research/Research-Governance/PublishingImages/Pages/standard-operating-procedures-%28sops%29/LSHTM-SOP-040-02_Good%20Publication%20Practice_v2.0_Final_02.01.20.pdf</a></li> <li>• <i>LSHTM Electronic Research Degree Theses Submission Policy</i> <a href="https://www.lshtm.ac.uk/sites/default/files/academic-manual-chapter-09.pdf">https://www.lshtm.ac.uk/sites/default/files/academic-manual-chapter-09.pdf</a></li> <li>• <i>LSHTM Research Data Management Policy</i> <a href="https://www.lshtm.ac.uk/sites/default/files/research_data_management_policy.pdf">https://www.lshtm.ac.uk/sites/default/files/research_data_management_policy.pdf</a></li> </ul>

### 1. SCOPE

**1.1** This policy applies to all individuals conducting research or carrying out related duties on behalf of LSHTM, including those based at the MRC Unit The Gambia at LSHTM and the MRC/UVRU and LSHTM Uganda Research Unit. 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 LSHTM, the first named LSHTM author should make collaborators aware of the policy to facilitate compliance.
- 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 LSHTM 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 Manager within Library, Archive & Open Research Services (LAORS) in the first instance.

## **2. PURPOSE AND OVERVIEW**

- 2.1 The London School of Hygiene & Tropical Medicine (LSHTM) 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.
- 2.2 LSHTM regards Open Science/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, supports equitable partnerships 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.
- 2.3 This Open Access Publishing Policy (henceforth OA Policy) outlines a set of expectations for how research publications and outputs produced by LSHTM should be managed and disseminated.
- 2.4 The OA Policy forms a component of LSHTM'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.
- 2.5 Nothing in this policy is intended to limit academic freedom with regard to publication of research. However, due diligence with regard to the open access requirements of funders and compliance with regulatory frameworks (such as REF) is expected.



### 3. POLICY

The London School of Hygiene & Tropical Medicine 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 LSHTM, external funders, and other relevant bodies that apply to their research and adopt practices that fulfil these obligations. The Open Research Services Team within Library, Archive & Open Research Services will maintain pages via Service Desk to support this.

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

#### 3.2 All research outputs must be made Open Access

Researchers are responsible for ensuring that their research outputs are made available in open access form and all research articles should be deposited in LSHTM Research Online.

##### **Green Open Access Route**

Research outputs published in hybrid journals must be deposited to the LSHTM institutional repository, LSHTM Research Online, upon acceptance for publication. The version to be deposited in most cases is the Author Accepted Manuscript (AAM).

No fee is associated with making an AAM available via an institutional repository and most publishers permit open access via this route. If a publisher does not permit open access, or requires an embargo, this will be checked and applied by the Open Research Services Team before the article is made available.

To ensure compliance with the next Research Excellence Framework (REF), the AAM must be deposited no later than 3 months after acceptance for publication. Researchers should continue to comply with the policy for REF 2021 until information regarding the next framework is available.

##### **Rights retention and removal of embargo periods**

Researchers funded by any of the Research Councils under UKRI, the Wellcome Trust, Bill & Melinda Gates Foundation, National Institute for Health and Care Research (NIHR), or others aligned with 'Plan S', must include a statement in their article submission retaining the right to deposit their AAM in a repository with a CC BY licence (wording available at <https://www.coalition-s.org/rights-retention-strategy/>). This ensures the AAM arising from submissions to hybrid journals can be made publicly available without embargo, and without paying for open access. It is no longer possible for researchers with funding from these agencies to access funding to pay for gold open access in hybrid journals.



Researchers who have included the rights retention language in their submission must make this known to the Open Research Services Team upon deposit of their AAM to LSHTM Research Online (via Elements) to ensure an embargo is not applied.

The Open Research Services Team will provide guidance on common funder policies via Service Desk. However, it is the responsibility of the funded researcher to ensure they are compliant with their funder's requirements.

### **Gold Open Access Route**

Research outputs published open access on the publisher's website should also be deposited to LSHTM Research Online. In this case the publisher's PDF can be deposited in accordance with the Creative Commons licence applied to the final version. This is known as the gold open access route and usually incurs a fee.

If publishing via the gold route researchers should ensure *before submission* that funds are available to pay the open access fee (Article Processing Charge or APC), or that the journal is included within one of the agreements (known as Read & Publish deals) between the publisher and LSHTM, offering gold open access publishing at no additional cost to the researcher.

Open Access Block Grant Funding is available via Library, Archive & Open Research Services and can be used to pay for open access in fully open access journals, or journals considered 'transformative', where the article acknowledges funding from any of the UK Research Councils under UKRI or the Wellcome Trust. To be eligible for funding, the grant or funded author must be based at LSHTM.

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. This is a requirement for research publications acknowledging funding from the Wellcome Trust and any of the UK Research Councils under UKRI.

Retrospective deposit of Author Accepted Manuscripts and/or publisher PDFs published in open access or hybrid journals is encouraged. Assistance is available from the Open Research Services Team.

### **Scholarly monographs, book chapters and edited collections**

Researchers should seek to retain the right to deposit an Author Accepted Manuscript version of all their research outputs, not just research articles, when entering into a publishing contract. This may be done by inclusion of wording such as the rights retention language into the submission.

Scholarly monographs and book chapters acknowledging funding from the Wellcome Trust must be made available via NCBI Bookshelf (<https://www.ncbi.nlm.nih.gov/books/>) and Europe PMC within 6 months of the date of publication. Funding is available from the Wellcome Trust to cover publishers' open access monograph and book chapter processing charges.



Monographs, book chapters and edited collections published from 1 January 2024 and acknowledging funding from any of the UK Research Councils under UKRI will need to be made open access within 12 months of publication.

Deposit of scholarly monographs and book chapters in LSHTM Research Online is strongly encouraged.

### **Preprints**

LSHTM recognises that the publication of preprints (research findings published prior to peer-review) via established preprint servers enhances openness and the rapid dissemination of research.

Preprints on established servers are already open access, therefore are not required to be deposited in LSHTM Research Online. However, the version arising following peer-review should be deposited upon acceptance for publication in a journal.

### **3.3 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 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.

As noted in 3.2 above, the Open Research Services Team manages block grants from the Wellcome Trust and UKRI on behalf of LSHTM to facilitate the payment of article processing charges for research they fund. Researchers wishing to utilise block grant funding must complete the '*Request Open Access funding*' form via Service Desk upon submission of their article, to ensure funds are available.

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

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

Researchers must use the correct institutional affiliation when publishing research to which they have contributed so that it may be identified as an institutional output. This will be either 'London School of Hygiene & Tropical Medicine'; 'Medical Research Council Unit The Gambia at the London School of Hygiene & Tropical Medicine'; or 'Medical Research Council/Uganda Virus Research Institute and London School of Hygiene & Tropical Medicine Uganda Research Unit'.

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.



Researchers should have an ORCID identifier to enable robust linking between research outputs and their creators.

### **3.5 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 where one is available.

Research data can be signposted and/or stored in LSHTM Data Compass, LSHTM's Data Repository. Advice is available from the Research Data Manager within Library, Archive & Open Research Services.

## **4. CONTACTS**

Questions related to the Open Access Publishing Policy should be directed to the Research Publications Manager within Library, Archive & Open Research Services.

## **5. DEFINITIONS**

- *Research Outputs*: Books, book chapters, journal articles and/or conference publications which are the result of research activity and subject to peer review.
- *Open Science/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, such as LSHTM Research Online.
- *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.
- *Preprint*: A version of a scientific manuscript posted on a public server prior to formal peer-review.
- *PubMed Central (PMC)*: A free digital repository that archives publicly accessible full-text scholarly articles.
- *Read & Publish Deal*: A deal between a library and a publisher covering the cost of both subscription access to a publisher's journals and open access publishing in those journals. Also known as transformative agreements.
- *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.
- *Transformative Journal*: A subscription/hybrid journal that is actively committed to transitioning to a fully Open Access journal. This status must be approved by Jisc/Plan S.
- *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

- Wellcome Trust Policy for Open Access  
<https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy> and  
<https://wellcome.org/grant-funding/guidance/open-access-guidance/complying-with-our-open-access-policy>



- UKRI Open Access Policy  
<https://www.ukri.org/publications/ukri-open-access-policy/>
- Europe PMC Guidelines for Principal Investigators  
<https://plus.europepmc.org/user-guide>
- Rights Retention Strategy  
<https://www.coalition-s.org/rights-retention-strategy/>
- Plan S Principles  
[https://www.coalition-s.org/plan\\_s\\_principles/](https://www.coalition-s.org/plan_s_principles/)
- Gold/Green Open Access  
<https://www.jisc.ac.uk/guides/an-introduction-to-open-access>
- List of LSHTM Read & Publish Agreements  
<https://lshtm.sharepoint.com/sites/intranet-library-archive-and-open-research-services/SitePages/Publisher-deals.aspx>