Open Access Publishing Policy

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Version	1.5
Amendments	2024 V1.5 Introduction of a strategy for immediate open access. The approach enables authors to retain the right to make the accepted manuscript version of their research outputs available on publication.
	2022 V1.4 Simplification of terminology and updates to reflect changes to funder policies and Read & Publish deals, inclusion of Preprints as an item type.
	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.
	2019 V1.2 Minor amendments to terminology and revision of 3.3 to reflect deposit via Elements.
Related Policies & Procedures	• *LSHTM Good Research Practice Policy* https://www.lshtm.ac.uk/sites/default/files/good-research-practice-policy.pdf
	• *LSHTM Electronic Research Degree Theses Submission Policy* https://www.lshtm.ac.uk/sites/default/files/academic-manual-chapter-09.pdf
	• *Intellectual Property Policy* *https://www.lshtm.ac.uk/sites/default/files/School_Intellectual_Property_Policy.pdf*
	• *LSHTM Research Data Management Policy* https://www.lshtm.ac.uk/sites/default/files/research_data_management_policy.pdf

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/UVRI 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 All LSHTM researchers are responsible for ensuring their research outputs comply with the policy. Where research outputs arise from a project, responsibility for compliance lies with the Principal Investigator (henceforth PI), however this may be delegated to the corresponding author if appropriate.

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 by default via a Creative Commons Attribution Non-Commercial No Derivatives Licence (CC BY-NC-ND). More permissive licences can be selected on request.

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 Open Research Services Team within Library, Archive & Open Research Services in the first instance.

2. PURPOSE AND OVERVIEW

The London School of Hygiene & Tropical Medicine (LSHTM) recognises that research publications are a valuable asset 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.

LSHTM regards the sharing of research to be an integral part of good research practice. It enables knowledge translation and innovation and lowers barriers to academic enquiry across the world.

This policy allows researchers to make the accepted manuscript version of their published work available open access, without embargo. It contributes to financial sustainability, ensures obligations can be met in relation to funder open access requirements, and that research outputs are eligible for submission to the next Research Excellence Framework (REF).

Nothing in this policy is intended to limit academic freedom with regard to publication of research.

3. POLICY

Policy summary

This policy requires that:
- **Researchers are aware of their responsibilities in relation to funder requirements** and REF guidance, and use this to inform their decisions on where to publish.
- **Researchers are aware that LSHTM will assert a non-exclusive, irrevocable, worldwide licence to make the accepted manuscript version of scholarly works publicly available under the terms of a Creative Commons Attribution (CC BY) licence**, known as 'Rights Retention'.
- **Researchers take responsibility for depositing the accepted mansucript version of their research publications to LSHTM Research Online**, via Elements, within three months of acceptance for publication.

The London School of Hygiene & Tropical Medicine defines the following set of principles to be followed by researchers:

3.1 Research outputs 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 to adopt practices that fulfil these obligations. The Open Research Services Team, within Library, Archive & Open Research Services will maintain intranet pages to support this.

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

3.2 All research articles, conference proceedings and book chapters must be made Open Access

In keeping with academic custom, LSHTM waives its claim to copyright in research publications produced by LSHTM researchers and confirms that members of staff own the copyright in their scholarly works.

Each author agrees to grant LSHTM a non-exclusive, irrevocable, worldwide licence to make the accepted manuscript version of their scholarly works publicly available under the terms of a Creative Commons Attribution (CC BY) licence, or a more permissive licence upon request.

All articles in journals and conference proceedings, as well as chapters in edited collections — authored or co-authored while a person is affiliated with LSHTM, must be made Open Access under a Creative Commons Attribution (CC BY) licence from the day of publication.

Upon submission to a publisher, researchers should include the statement below in any cover letters and insert it into the acknowledgement section of the publication. This is a recommended step, but is not essential.

> *"For the purpose of open access, the author has applied a 'Creative Commons Attribution' (CC BY) licence to any Author Accepted Manuscript version arising"*

Authors must deposit their accepted manuscript to Elements (to be made available via LSHTM Research Online) within three months of the date of acceptance and before the date of first publication.

The Open Research Services Team will check the accepted manuscript in LSHTM Research Online, and make the article metadata available immediately upon deposit. The accepted manuscript will be made open access on the date of first online publication under a Creative Commons Attribution (CC BY) licence (unless otherwise specified).

If the accepted manuscript includes third party rights in, for example, images, maps or diagrams (Third Party Rights), these can be made available on a more restricted basis than the rest of the accepted manuscript. The Author will, however, ensure that including the Third Party Rights in the accepted manuscript is not an infringement.

LSHTM recognises that there may be situations beyond an author's control where it is difficult to follow this policy exactly. In this case it will be permissible for staff to voluntarily opt out of the requirement for immediate open access upon publication, or the assignation of a CC BY licence. However this may cause the research output to be non-compliant with funder policies. To opt-out, authors should contact the Open Research Services Team with details of the publication.

3.3 Other types of research output

Outputs such as monographs, complete edited collections, textbooks, datasets and other works are not covered by the mandate for immediate open access from the date of publication, however researchers are strongly encouraged to make these works as open as possible, as soon as possible.

LSHTM recognises that the publication of preprints (research findings published prior to peer-review) enhances openness and the rapid dissemination of research. Preprints on established servers are already open access, and are therefore 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.

3.4 Article Processing Charges (APC) 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.

The Open Research Services Team manages block grants from the Wellcome Trust and UK Research & Innovation (UKRI) on behalf of LSHTM to facilitate the payment of article processing charges for research they fund. These funds are finite and unlikely to be available in the longer term. 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. Researchers are expected to make themselves aware of the conditions of the funding.

Where funds are unavailable to cover open access costs, researchers should follow the guidance provided on the intranet pages maintained by the Open Research Services Team.

3.5 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.

3.6 Authorship
The attribution of authorship has important academic, social, and financial implications. Everyone who makes a significant contribution to LSHTM research should have the chance to be an author; and any contributors who don't meet the authorship criteria should be listed in the acknowledgements, with their permission. The use of the Contributor Role Taxonomy (CRediT https://credit.niso.org/) is recommended.

3.7 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.

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 the Open Research Services Team.

4. CONTACTS

Questions related to the Open Access Publishing Policy should be directed to the Open Research Services Team within Library, Archive & Open Research Services via ServiceDesk.

5. DEFINITIONS

Accepted Manuscript (AM)	The final author manuscript as accepted for publication, incorporating any peer review, prior to formatting by the publisher.
Creative Commons Licences	A standardised way for the creators of works to grant copyright permissions to their outputs, clarifying the terms of use so that there is no uncertainty about what is permitted. https://creativecommons.org/licenses/
Data Compass	A curated digital repository of data outputs produced by, or with involvement of, staff and students at LSHTM.
Data repository	A system for storing, managing and, in some cases, sharing research data.
Elements	A Current Research Information System (CRIS) bringing together data on people, projects, and publications in the LSHTM research environment.
LSHTM Research Online	An open access, online repository of work produced by researchers affiliated to LSHTM, or published by LSHTM.
Preprint	A version of a scientific manuscript posted on a public server prior to formal peer-review.
Research publications	Books, book chapters, journal articles and/or conference publications which are the result of research activity and subject to peer review.

6. REFERENCES

- Wellcome Trust Policy for Open Access https://wellcome.org/grant-funding/guidance/open-access-guidance/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/