



**UNIVERSITY  
OF LONDON**

# Open Access Policy

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# Open Access Policy

## 1. Position Statement

- 1.1 The University of London is committed to promoting the highest standard of academic research and to disseminating its research as widely as possible. Research that is openly accessible supports the visibility of researchers and their work across all career stages, fosters collaboration and maximizes the intellectual, social, cultural and economic impact.
- 1.2 The University of London is committed to advocating Open Access across its operations and activities, as the right choice for a fair, sustainable and open future, advancing open knowledge as a design principle beyond data.
- 1.3 The University supports the principle that the outcomes of research generated under its aegis should be freely available and accessible to all, while acknowledging its commitment to the academic freedom of choice and supporting its research community to publish in the form and format they consider most appropriate for their research.
- 1.4 The University recognises the different disciplinary research cultures and acknowledges that Open Access may look different across the University.
- 1.5 This Policy aims to be closely aligned with the expectations of the University's funders and in particular UKRI.
- 1.6 This Policy is part of the University Code of Good Conduct in Research<sup>1</sup> and is to be read in conjunction with the University research policies and guidance, in particular the Open Access Guidance<sup>2</sup>, the Intellectual Property Policy<sup>3</sup> and the Research Data Management Policy and Guidance.<sup>4</sup>

## 2. Definitions:

### 2.1 Open Access:

2.1.1. Open access (OA) is a publishing model for scholarly communication through which research outputs are distributed online, free of access charges or other technical barriers. It provides the unrestricted right or opportunity to use or benefit from academic writing and research, allowing anyone to read, download, copy, distribute, print, search for and search within the information, or use it in education or in any other way within the legal agreements.

2.1.2. Open access can be achieved in many ways:

- 2.1.2.1 Green OA route (also referred as self-archiving): all outputs are freely available, deposited in a repository (either an institutional or subject repository).
- 2.1.2.2 Gold OA Route: the final published version of the work is free to access immediately upon publication. It will often have clear re-use rights (for example: through a Creative Commons licence) which go beyond what is permitted by copyright legislation. A publisher may charge a fee for this route by applying an Article Processing Charge (APC) or Book Processing Charge (BPC) to the individual work.

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<sup>1</sup> <https://www.london.ac.uk/research/code-good-practice-research-university-london>

<sup>2</sup> <https://www.london.ac.uk/research/open-access-policy>

<sup>3</sup> <https://www.london.ac.uk/about-us/how-university-run/policies>

<sup>4</sup> <https://www.london.ac.uk/research/research-data-management-policy>

- 2.1.2.3 Diamond OA: Outputs published via a Diamond model are Open Access but do not require the author or reader to pay a fee.
- 2.1.2.4 Through Read and Publish agreements: The agreements are ways for publishers to move from traditional subscription journals to an open access model. These agreements exist between institutions and publishers whereby open access costs are covered by the Institutional subscriptions. APCs are therefore not charged to publish in these journals:
  - 2.1.2.4.1 A hybrid open-access journal is a subscription journal in which some of the articles are open access. This status typically requires the payment of a publication fee to the publisher in order to publish an article open access, in addition to the continued payment of subscriptions to access all other content.
  - 2.1.2.4.2 Transformative journal: a journal that has committed to transitioning to fully open access within a specified timeframe.

## 2.2 Research outputs:

2.2.1 Research outputs mean all forms of scholarly publications: from peer-reviewed publications to scholarly editions (defined as an edition of another author's original work or body of works informed by critical evaluation of the sources, such as earlier manuscripts, texts, documents and letters), often with a scholarly introduction and explanatory notes or analysis on the text and/or original author, as well as exhibition catalogues, scholarly illustrated catalogues, or even software or datasets.

2.2.2 In the context of peer reviewed publications, this Policy follows the UKRI OA Policy's definition:

- 2.2.2.1 peer-reviewed articles, including reviews and conference papers, that are accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or a publishing platform<sup>5</sup>.
- 2.2.2.2 Long-form publications include monographs, book chapters and edited collections.

2.2.3 To note:

### 2.2.3.1 Author's Accepted Manuscript (AAM):

The 'agreed version' is the final peer-reviewed full-text version of the research output without the publisher formatting (i.e.: prior to typesetting by the publisher); (also known as author manuscript or final author version)

### 2.2.3.2 Version of Record (VoR):

The version of a journal article or long-form publication that has been reviewed, typeset and edited and then made available by a publisher by formally and exclusively declaring the article "published".

2.2.3.3 Creative Commons Attribution (CC) licence allows users to distribute, remix, adapt, and build upon the material in any medium or format, even for commercial use, as long as attribution is given to the creator and any changes are indicated.

## 2.3 Research Data:

2.3.1 Data that are collected, observed, generated, created, or obtained from commercial, government or other sources, for subsequent analysis and synthesis to produce original research results.

2.3.2 Data access statements, also known as data availability statements, are expected to be included with publications to describe where the data associated with the peer reviewed output is available, and under what conditions the data can be accessed.

## 2.4 Educational Resources:

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<sup>5</sup> UKRI policy, <https://www.ukri.org/publications/ukri-open-access-policy/> Page 8 – see also guidance for details.

2.4.1 Educational Resources are learning, teaching and research materials in any format, alongside other materials to facilitate a high quality, inclusive, diverse and sustainable educational experience. They may be created in a wide range of formats including, but not limited to, textbooks, videos, podcasts and multimedia resources.

2.5 Rights Retention Strategy (and the Rights Retention Statement) (RRS):

- 2.5.1 A new funder-led initiative that supports the self-archiving route to open access. It aims to allow researchers to publish in a subscription journal (and hybrid journals) and also to make their manuscript available open access through self-deposit.
- 2.5.2 The “rights” under consideration here are those rights that an author has in their work as the author of the work, typically referred to collectively as “copyright,” expected to encompass both economic rights and moral rights. The University considers their researchers as the copyright owners of works they create.<sup>6</sup> As such, the RRS applies to the author and/or their employer regardless of who owns the copyright given that both individuals and institutions have obligations to a funder’s grant policies.
- 2.5.3 The author (or their institution) through RRS can keep or ‘retain’ their copyright, rather than transferring it to the publisher or to some other entity, by adding a statement (a Right Retention Statement) to their manuscript upon submission of their outputs.

2.6 Repository:

2.6.1 A place where scholarly work, including research outputs and data, may be stored and made available. This includes but is not limited to the University Repository (<https://sas-space.sas.ac.uk>), a discipline-specific repository, or a funder repository.

2.7 Funder:

2.7.1 An organisation that provides a financial contribution to support a research project.

2.8 Researcher:

2.8.1 The person ultimately responsible for their scholarly work.

2.9 Open Researcher and Contributor ID (ORCID):

2.9.1 It provides a persistent digital identifier that researchers own and control, and that distinguishes them from every other researcher. The ID is connected to professional information and ensures researchers get credited for their work with the correct institutional affiliation.

2.10 Digital Object Identifier (DOI):

2.10.1 DOIs provide a persistent digital identifier to any research output. It aims to allow through a minimum metadata set for the publication record to be recognised and located from reliable web sources.

### 3. Scope

3.1 This Policy applies to all staff, research students and fellows of the University engaged in research solely or in collaboration with others. It also applies to individuals, contractors and collaborators conducting research on behalf of the University, regardless of location. Persons meeting this specification shall be referred to as ‘Researchers’.

3.2 This Policy aims to aid the University academic and research community as well as support services to adhere to the rules and mandates of its funding and regulatory bodies.

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<sup>6</sup> Intellectual Property Policy: <https://www.london.ac.uk/about-us/how-university-run/policies>

- 3.3 This Policy aims to ensure that all University scholarly work is maintained and preserved as identifiable, retrievable and accessible assets.
- 3.4 This Policy applies to all scholarly work or outputs generated as a result of research undertaken under the University's aegis, as well as any data that is to be published as part of the research output. This Policy includes, but is not limited to, research sponsored by grants or contracts awarded to the University and where the University is a partner on awards held by other institutions.
- 3.5 This Policy does not apply to educational resources, but where appropriate, researchers are encouraged to follow similar practices to support the University's Open Access agenda and the UNESCO Recommendation on OER, 2019<sup>7</sup>.
- 3.6 This Policy is to be reviewed every three years by the University Research Committee, which may decide to develop additional policies or guidance as codes of practice across the UK and worldwide evolve.

#### 4. University's Position

- 4.1 All University Researchers are asked to make, where possible, their scholarly work publicly available by depositing it as soon as possible after it has been accepted in the institutional repository, within any applicable constraints of confidentiality or obligations to third parties including commercial research partners.
- 4.2 Each researcher agrees to grant the University of London a non-exclusive, irrevocable, worldwide, royalty-free licence to make the accepted manuscripts of their outputs publicly available under the terms of a Creative Commons Attribution (CC BY) licence or alternative licence where necessary.
- 4.3 The University's principal route to Open Access for peer-reviewed articles and long-form publications is to be undertaken by self-archiving in the institutional repository - the so-called 'green' route – and it strongly encourages the use of Rights Retention Statements where needed to achieve this type of open access.
- 4.3.1 **Peer-reviewed articles** must be made open access (i.e. free to view and download via an online publication platform, publishers' website, or institutional repository) through a publication record along with the Author Accepted Manuscript, or the Version of Record (where a publisher allows), as soon as possible upon publication. The University strongly encourages authors to use journal or publishing platforms which makes the Version of Record immediately open via its website and/or allows publication of the Author Accepted Manuscript without embargo in an institutional repository.
- 4.3.1.1 Researchers who wish to publish in their journal of choice, including subscription journals (and hybrid journals) can also make their manuscript available open access through self-deposit, by adding a **Rights Retention Statement (RSS)** to the manuscript upon submission. The OA version of a research article is expected to be published under a **Creative Commons Attribution (CC BY) licence**. A **data statement** is expected, even where there is no data associated with the article or the data are inaccessible.

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<sup>7</sup> <https://www.unesco.org/en/open-educational-resources?hub=785>

- 4.3.2 **Long form publications** to be available (i.e., free to view and download via an online publication platform, publishers' website, or institutional repository) within a maximum of 12 months of publication. The OA version should have a **Creative Commons Attribution licence**, with CC-BY recommended as the most compatible with the principles of Open Access. However, other Creative Commons licences, such as CC-BY-ND, are permitted. **The OA version may include where possible third-party materials** (such as images, illustrations, tables, and other supporting content). Where the Author's Accepted Manuscript is deposited, it should be clear that this is **not** the final published version.
- 4.3.3 The OA version must be deposited in a form that makes the full text accessible.
- 4.4 In the case of multiple authors, research outputs are to be deposited by one of the authors and if possible, in the University's repository.
- 4.5 All research outputs should have a unique identifying marker such as a DOI when deposited in the institutional repository. University affiliation and source of funding should be clearly acknowledged on all research outputs.

## 5. Exceptions

The University acknowledges that there are exceptions to this Policy. They are:

- 5.1 Deposit exception:
- 5.1.1 the researcher has experienced difficulties in securing the final peer-reviewed text (which may happen with multiple authors).
  - 5.1.2 it would be unlawful to deposit the output.
  - 5.1.3 the output would represent a security or personal risk.
- 5.2 Access exception:
- 5.2.1 The publishers, particularly those based outside the UK, do not offer an OA option.
  - 5.2.2 The output depends on the reproduction of a third-party content for which the open access rights cannot be granted.
  - 5.2.3 The publication concerned requires embargo period that exceeds the stated maxima and was the most appropriate publication for the output.
  - 5.2.4 The publication concerned actively disallows open access deposit in a repository and was the most appropriate publication for the output.
- 5.3 Technical exceptions:
- 5.3.1 System failures in circumstance beyond those covered by backup and recovery provisions.
- 5.4 Scholarly work can be submitted to the institutional repository as 'closed deposits', but must meet the discovery requirements, unless the output represents a security or personal risk.
- 5.5 Particular exemptions for long-form publications include:
- 5.5.1 where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with this policy.
  - 5.5.2 where the output is the outcome of a UKRI Training Grant and publication occurs beyond the lifetime of the grant.
- 5.6 This Policy does not apply to the following long-form outputs:

- 5.6.1 Trade books: The decision of whether a book should be considered a trade book or an academic monograph, is at the discretion of the author and publisher.
- 5.6.2 All types of fictional works and creative writing.
- 5.7 Particular exemptions in relation to licencing requirements include:
  - 5.7.1 an Open Government Licence is permitted when authors are subject to Crown Copyright.
  - 5.7.2 the use of a more restrictive Creative Commons Attribution No-derivatives (CC BY-ND) licence for the open access version of a research article is possible but requires formal approval.<sup>8</sup>
  - 5.7.3 licensing requirements do not apply to any materials included within a research output that are provided by third-party copyright holders.
- 5.8 The University recognises that there may be situations outside a researcher's control where it is difficult to follow this Policy exactly. In this case it may be permissible for researchers to opt out of the requirement for open access upon publication, or the assignment of a CC BY licence. However, as this may cause the research output not to be non-compliant with funder policies, any decision to opt out should be discussed with the research services and accompanied by a clear rationale. The implementation of the Policy will be reviewed regularly.

## **6. E-thesis deposit**

- 6.1 Under the University regulations,<sup>9</sup> after the examination has been completed and before the degree is awarded, successful candidates must upload the final examined version of their thesis, including corrections, to the institutional repository. The electronic copy is expected to exclude all relevant copyrighted images or other material when made available online, with a note directing interested researchers to the paper copies retained in the relevant institutional library/depository.
- 6.2 Any embargo request, including requests permanent embargo made by Postgraduate research students, require formal approval.<sup>10</sup>

## **7. Roles and Responsibilities**

- 7.1 This Policy relies on a collaborative share of responsibilities to ensure research outputs are widely shared and that funder requirements are met.
- 7.2 The University will:
  - 7.2.1 build a cohesive and expert support service that puts researchers at its centre and engage its stakeholders to encourage continuous development of this Policy to foster best practice in scholarly publication.
  - 7.2.2 meet legislative and funder requirements.
  - 7.2.3 provide training, guidance and tools to support to researchers and support staff with their task.
  - 7.2.4 provide an institutional repository through which researchers can meet relevant OA requirements and maintain records of all scholarly work published under the University's aegis.
  - 7.2.5 make available innovative modes for publishing including transformative agreements.

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<sup>8</sup> See guidance for details

<sup>9</sup> <https://www.london.ac.uk/sites/default/files/governance/regulation-1-uol-awards-governance.pdf>

<sup>10</sup> See guidance for details

- 7.2.6 communicate its standards, policies, and procedures to all its members through education and training, publication of this and related policies and procedures.
- 7.2.7 monitor and review the implementation of this Policy.

7.3 The Researcher will ensure their research output is published using the most appropriate route, with the aim to facilitate open access, by

- 7.3.1 considering where their output is to be published **before** approaching publisher or journal, including checking journals' and publishers' policies are compliant with this policy, meet their funder's policy, or whether any exceptions apply.
- 7.3.2 deposit outputs and/or a metadata record of the research output in the institutional repository when accepted for publication.
- 7.3.3 ensure outputs are linked to their ORCID.
- 7.3.4 ensure research data, if applicable, are appropriately linked to the publication records, as stated in the Research Data Management Policy.
  - 7.3.4.1 endorse and integrate the University's policies and guidance within the management of their research outputs, and take part in provided training.
  - 7.3.4.2 Seek the University's support throughout the process to ensure research outputs are managed appropriately and help maintain the institutional publication record.

#### **Alternative format**

If you require this document in an alternative format, please contact the Research Services [research@london.ac.uk](mailto:research@london.ac.uk)

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