

Research Publications Policy

Policy Category:	Academic/Research
Subject:	Research Publications Policy
Approving Authority:	Principals Executive Team OR College Council
Responsible Officer:	President & Principal/designate OR Chair of Council
Responsible Office:	Libraries & Collections
Related Procedures:	None
Related College Policies:	-Research Data Management Policy -Institutional Affiliation & Acknowledgement of Funders Policy -Code of Practice for Intellectual Property, Commercial Exploitation and Financial Benefits
Effective Date:	1 st March 2023
Supersedes:	Previous Research Publications Policy, Oct 2015
Next Review:	2024-25

I. Purpose & Scope

1.I. What the policy is intended to do

King's College London is dedicated to the advancement of knowledge, learning, and understanding in the service of society. This policy formalizes the institutions' commitment to the effective stewardship and dissemination of research publications by King's authors in pursuit of this goal – including the drive towards open research, and commitment to complying with research funder mandates regarding open access publishing.

1.II Scope

This policy applies to employees of King's College London where publication is an expectation of their employment, and to postgraduate research students. Persons meeting this specification shall be referred to as 'Researchers'. The policy does not apply to undergraduate and master's students, but they are encouraged to follow the policy's principles.

This policy covers research outputs that constitute journal articles and conference contributions, as well as books, monographs, and book chapters. Unless stated otherwise, the policy focuses on journal contributions – the Rights Retention element of the policy applies to journal contributions only (and conference contributions where the venue of publishing has an ISSN).

1.III Context

The policy takes into account the requirements of researchers at King's College London; evolving policy and practice in scholarly communications; funder policies; relevant legislation; the ethical conduct of research; and institutional strategies for research and innovation. This policy sits alongside and should be read in conjunction with King's [Code of Practice for Intellectual Property, Commercial Exploitation and Financial Benefits](#).

1.IV Policy drivers:

- Open Access Publishing Policies - The principle of Open Access for the outputs of publicly funded research is now firmly embedded in Government and Funder Policies. Most notably:
 - *Research England* – Mandated open access for journal articles and conference proceedings to be submitted for REF2021, where accepted for publication after 1st April 2016. They have given strong indications that they will mandate books and book chapters to be OA for the next [REF](#).

- *UKRI* – An OA Policy since 2012. Tightened their requirements for journal articles in a new [UKRI OA policy](#) that came into effect in 2022, and have mandated OA for books and chapters published from January 2024.
- *The Wellcome Trust* – An OA Policy since 2005. Tightened their requirements for journal articles in a new [Wellcome Trust OA policy](#) that came into effect in 2022, which also mandated OA for books and book chapters.
- *Plan S* - UKRI and WT are signatories of [Plan S](#), an initiative for Open Access publishing supported by cOAlition S, an international consortium of research funding and performing organizations. Plan S requires that *“With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”*
- Financial sustainability – Paying Article Processing Charges (APCs) to make individual papers openly accessible within online journals is simply not financially viable. There is a c90% shortfall between OA funds provided by funders to institutions and what it would cost to pay individual APCs for every paper to be made OA via this means.
- The scholarly publishing industry – Some publishers, especially larger commercial ones, are resisting the demand from funders to supply their publishing services at more reasonable rates and support the move to OA on a financially affordable basis.
- Research intelligence – Greater use of our CRIS and institutional repository Pure supports the effective management of research information, enabling King’s to collect, evaluate, and return data to national assessment exercises such as the REF, monitor research performance by a range of indicators, make forecasts and calculate benchmarks.
- King’s ambition - Open Access provides greater visibility worldwide to the breadth and diversity of King’s research, with the potential for increased citations and research collaborations. As King’s builds on its achievements and consolidates its place as a world-leading university it needs to ensure its research reaches the widest possible audience.

II. Definitions

Article/ Paper	A short form contribution to a scholarly journal
APC	Article Processing Charge
Author Accepted Manuscript	The version of a paper after peer review and corrections, before typesetting by the publisher
Creative Commons Licences	Creative Commons copyright licenses provide a simple standardized way for the creators of works – such as academic authors writing journal articles and books, to grant copyright permissions to their outputs, clarifying the terms of use so that there is no uncertainty about what is permitted. They operate within the framework of the traditional “all rights reserved” usage that copyright law creates, enabling some rights to be reserved e.g attribution (acknowledgement of authorship), and some rights waved – e.g., the necessity to seek permission from the author to use the work (in some cases). There are several Creative Commons Licences that can be utilized.
Open Access	Where a scholarly publication is available to read online without payment being made, with limited restrictions on re-use

III. Policy

Policy requirements Summary

This policy requires that:

- **Researchers are aware of their responsibilities as a result of any Funder requirements**, and the Research England (REF) policy on open access, when considering where to publish, in order that they make informed decisions throughout the publication process.
- **Researchers are aware that upon acceptance of publication King's College London asserts a non-exclusive, irrevocable, worldwide licence** to make manuscripts of authors scholarly articles publicly available under the terms of a [Creative Commons Attribution \(CC BY\) licence](#) - known as 'Rights Retention'. By exception, a more restrictive CC licence (e.g., CC BY NC ND) may be applied, provided that funder requirements are still met.
- **Researchers take responsibility for the creation of bibliographic records within King's institutional repository and CRIS system Pure for all research outputs they have authored**, so that there is a comprehensive institutional record of research activity. Upon acceptance by a publisher, researchers must deposit into King's repository the Author Accepted Manuscript (AAM) version of the full-text - attached to the appropriate bibliographic record, without embargo - for all peer reviewed journal articles and conference papers.

Where researchers do not comply with this policy, they should be aware that they are risking future grant applications not being approved by research funders who are increasingly monitoring OA compliance. They are also risking their research outputs not being eligible for submission to research assessment exercises such as the REF.

Policy requirements Detail

When preparing to Publish – applies to all scholarly outputs

The choice of where to publish is an academic one. It is however very important that researchers are aware of their responsibilities as a result of any Funder requirements and the Research England (REF) policy on open access when considering where to publish, in order that they make informed decisions throughout the publication process.

The policy requires that:

- Researchers ensure their chosen publication route meets any mandated funder requirements and external research assessment requirements. Where a researcher receives external funding from a funder which mandates OA and supplies an institutional block grant, the researcher should contact Libraries & Collections via openaccess@kcl.ac.uk to check if funds are available. Please note that funds are very limited, L&C may place a cap on the maximum APC payable from block grants.
- Researchers acknowledge all funding sources, including relevant external grant numbers, within the text of their research outputs.
- Researchers acknowledge King's College London on all their research outputs. See [King's Policy on Citation and Acknowledgment of Funders](#) for guidance on the correct format to employ.
- Researchers use a persistent author identifier – such as an [ORCID ID](#), when submitting author details for a publication.
- Researchers add a data accessibility statement (see the Citation tab of this webpage <https://www.kcl.ac.uk/researchsupport/managing/share>)

When publishing, Retaining Rights in Research Publications – applies to journal articles and conference proceedings

Researchers at King's College London and other universities have traditionally signed publishing agreements resulting in the majority of journal articles and scholarly works being under partial or complete ownership by academic publishers.

In order for the University and its researchers to comply with funder requirements and REF, and to enable King's to disseminate its research and scholarship as widely as possible whilst enabling its researchers to publish their work in a journal of their choice, King's College London is adopting the following:

1. King's College London confirms the current practice that the University waives certain of its rights and the assignment of certain of its rights to enable researchers to publish the scholarly works they have created.
2. Upon submission to a publisher researchers should insert a rights retention statement into the acknowledgement section of their article – see [this Library webpage](#) for wording (this is a recommended step, but is not essential. Authors can still deposit under Rights Retention if the statement is not included).
3. Upon acceptance of publication, King's College London asserts a non-exclusive, irrevocable, worldwide licence to make the Author Accepted Manuscript of the scholarly article publicly available under the terms of a [Creative Commons Attribution \(CC BY\) licence](#) (or a more restrictive licence by exception).
4. Each researcher will deposit into King's CRIS and repository system (Pure) the author accepted manuscript (AAM) version of the full text, attached to an appropriate bibliographic record, without embargo, applying a Creative Commons Attribution (CC BY) licence.
5. This requirement applies to all scholarly articles, including conference proceedings (published with an ISSN), authored or co-authored while the person is a researcher of King's College London, and includes any third-party content where rights in that content have been secured. Any articles submitted or accepted for publication before the adoption of this policy are exempt.
6. Whilst the Rights Retention requirement of the policy does not apply to monographs, scholarly editions, textbooks, book chapters, collections of essays, datasets, or other outputs that are not scholarly articles, the University strongly encourages researchers to make them as openly available as possible. Note: this policy only relates to copyright in authored research publications. It does not extend to other Intellectual Property Rights (IPR) in research, which are covered in the University's [IP Code](#)
7. The University recognises that there may be situations where it is difficult to follow this policy exactly. In this case it will be permissible for researchers to make alternative arrangements to ensure they meet funder requirements for open access, e.g., by applying a more restrictive Creative Commons licence such as CC-BY-ND, with funder approval.

IV. Responsibilities

College Research Committee (CRC)

The CRC, chaired by the Vice-Principal (Research & Innovation), is the owner of this policy.

Faculty Research Committees (FRC)

FRC's and Faculty Deans/Heads of Research are responsible for promoting awareness and compliance with this policy in their Faculty.

The University

The University is responsible for ensuring that the infrastructure, systems, and staffing are in place to support the policy.

Research Management & Innovation Directorate (RMID)

RMID are responsible for:

- Securing high level buy-in of the policy

- Raising awareness at all levels of the university, from senior management through to faculty academics and administrators
- Collaborating with Libraries & Collections on advocacy and communications
- Overseeing university level assessment exercises in relation to research outputs
- Horizon scanning for technological, funder and sector developments that may impact on scholarly publishing

Libraries & Collections (L&C)

L&C are responsible for:

- Providing advice and guidance on all aspects of this policy, funder open access policies, publisher policies, and the use of Pure as an institutional repository
- Leading on advocacy, training and promotional activity around open access publishing
- Administering Open Access funding streams to pay for 'gold' OA, including record keeping, funder and publisher liaison
- Ongoing Library support for King's CRIS 'Pure', including data quality checking bibliographic records and full-text, importing records, and helping researchers upload full-text papers

Researchers

- Individual authors are responsible for meeting the requirements articulated in the policy
- It is the responsibility of the principal investigator (PI) to ensure that any funder requirements are complied with, including making papers gold open access and depositing copies in an appropriate subject repository