

## King's College London Research Publications Policy

### 1. Executive Summary

This policy requires that:

- **Researchers create bibliographic records within King's institutional repository Pure** for all research outputs they have authored, so there is a comprehensive institutional record of research activity. Within these records, where funding was received links should be made to the appropriate research project/grants that supported the research.
- **Researchers deposit into Pure the publisher accepted author final draft/author accepted manuscript version of the full-text**, attached to the appropriate bibliographic record, for all peer reviewed journal articles and conference papers. This should be done where permitted by the publisher's self-archiving policy - paying regard to any embargo period, as soon as possible after the date of publication or sooner if required to comply with timescales mandated by the policies of external funders or government.

### 2. Purpose/Goal

King's College London is dedicated to the advancement of knowledge, learning and understanding in the service of society. This Publications Policy formalises the institutions' commitment to the effective stewardship and dissemination of research publications by King's authors in pursuit of this goal, and articulates how it can be effected.

Policy drivers:

- **Open Access** - The principle of Open Access for the outputs of publicly funded research has influenced Government policy worldwide. Government and many funders - including Research Councils UK and the Wellcome Trust, are mandating OA for research they have funded.
- **HEFCE Policy** - In 2014 HEFCE announced a new policy for Open Access for the post-2014 REF. To be eligible for submission, journal articles and conference proceedings accepted for publication after 1st April 2016 must be made OA by depositing the full-text in an online repository.
- **Impact agenda** - HEI's are increasingly required to evidence the impact of publically funded research to demonstrate return on investment.
- **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.
- **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.

The policy aims to provide oversight of the publications process and how researchers can be supported from preparation, through publishing, to access. The goal is to enable researchers to meet funder requirements and to build support for the effective management and dissemination of research outputs via Open Access, as an academic and social good, into standard university practice.

The policy aims to clarify and provide the means by which the university:

- Shares its research with a global audience
- Assists researchers in disseminating their research to greatest impact
- Enables researchers to meet funders open access requirements
- Promotes the use of [Pure](#) as our CRIS (current research information system) and institutional repository, containing bibliographic records and full-text publications
- Raises the profile of [The Research Portal](#) as an authoritative source of quality-assured information about King's research, showcasing King's research to the world
- Effectively manages information about its publications
- Facilitates the preservation, curation and ongoing access to research outputs
- Aligns its approach to publications with its strategy on research data

### 3. Scope

#### People

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, or to King's Health Partner staff, but they are encouraged to follow the policy's principles.

#### Publications / 'Research Outputs'

This policy's requirements apply to research outputs that constitute journal articles and conference contributions. Its adoption is encouraged for other types of outputs, including books and book chapters, digital artefacts, and other types of publications.

### 4. Policy Requirements & Process

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

#### Preparing publications

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 open access and supplies an institutional block grant the researcher should

contact Library Services on [openaccess@kcl.ac.uk](mailto:openaccess@kcl.ac.uk) at point of article acceptance to obtain funds and ensure compliance.

- 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 [http://www.kcl.ac.uk/college/policyzone/assets/files/research/Citation\\_FundingAcknowledgment\\_Policy160712.pdf](http://www.kcl.ac.uk/college/policyzone/assets/files/research/Citation_FundingAcknowledgment_Policy160712.pdf) 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, where they have one and the publisher enables this.

Researchers are encouraged to retain the copyright and other re-use rights for their research outputs when signing contracts with publishers and funders. For advice on author copyright Library Services can be contacted at [openaccess@kcl.ac.uk](mailto:openaccess@kcl.ac.uk). It is up to researchers if they choose to share their research outputs through online platforms before their work has been accepted for publication.

#### Recording and providing access to publications

The policy requires that:

- Researchers create bibliographic records within King's institutional repository Pure for all research outputs they have authored, so there is a comprehensive institutional record of research activity.
- Within these records, where funding was received links should be made to the appropriate research project/grants that supported the research.
- Researchers deposit into Pure the publisher accepted author final draft/author accepted manuscript version of the full-text, attached to the appropriate bibliographic record, for all peer reviewed journal articles and conference papers. This should be done where permitted by the publisher's self-archiving policy - paying regard to any embargo period, as soon as possible after the date of publication or sooner if required to comply with timescales mandated by the policies of external funders or government. This will normally be undertaken by the corresponding author where they are a King's employee or student.

Deposit of full-text into Pure enables 'green' open access, and is encouraged for other types of research outputs to enable greater access and preservation. The publisher self-archiving database Sherpa Romeo <http://www.sherpa.ac.uk/romeo/> can be referred to for information on publisher's permissions and embargo periods. Where publishers' policies do not permit making the full-text of papers visible within an institutional repository, papers can be uploaded into Pure and embargoed so that King's has a copy of the work for posterity.

In addition to depositing full-text papers in Pure, researchers can opt to deposit their work in subject repositories such as EuropePubMed Central, ArXiv, and Social Science Research Network, pending publisher policy permissions.

## **5. Responsibilities**

### College Research Committee (CRC)

The CRC, chaired by the Vice-Principal for 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 and systems are in place to support the policy. The university is responsible for ensuring necessary funding is available to support researchers with OA publishing costs and staffing administration costs.

### Research Management & Innovation directorate (RM&I)

RM&I 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 Library Services 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
- Instigating periodic reviews of this policy

### Library Services

Library Services 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 Pure, including data quality checking bibliographic records and full-text, importing records, and helping researchers upload full-text papers
- Horizon scanning for technological, funder and sector developments that may impact on scholarly publishing

### The Pure Management Group (PMG)

PMG are responsible for:

- Agreeing strategy for the use of Pure at King's
- Planning the development of Pure and integrations with other systems and processes
- Reviewing how university or wider research policy changes impact on the information stored and shown in Pure and the Research Portal
- Enabling the use of Pure for research evaluation exercises, internally and externally

### Researchers

The choice of where to publish is an academic one. Research should be published in the outlet that is most appropriate for that piece of work. It is however important that researchers are aware of their responsibilities both as a result of funder requirements and under the HEFCE policy on open access when considering where to publish, in order that they make informed decisions throughout the publication process.

- Individual authors are responsible for meeting the requirements articulated in section 4 – i.e. ensuring that information about their publications is entered into King's institutional repository Pure and that the appropriate version of the full-text is deposited when required.
- It is the responsibility of the principle 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, for example EuropePubMedCentral.

## 6. Monitoring compliance with the policy

Library Services can provide periodic statements to CRC and Faculties on the volume of full-text deposits into Pure. This will indicate levels of academic engagement across the university, enabling targeted support and encouragement.

## 7. Links to related institutional policies and funder policies

- King's Strategic Plan 2006-2016 <http://www.kcl.ac.uk/aboutkings/strategy/PDFs--Resources/2006-16StrategicPlan.pdf> and Strategic Review 2011-2016 <http://www.kcl.ac.uk/aboutkings/strategy/PDFs--Resources/InvestinginStrength-StrategicReviewfor2011-2016.pdf>
- King's Code of Practice for Intellectual Property, Commercial Exploitation and Financial Benefits [http://www.kcl.ac.uk/college/policyzone/assets/files/students/Code\\_of\\_Practice\\_for\\_Intellectual\\_Property\\_Commercial\\_Exploitation\\_and\\_Financial\\_Benefit.pdf](http://www.kcl.ac.uk/college/policyzone/assets/files/students/Code_of_Practice_for_Intellectual_Property_Commercial_Exploitation_and_Financial_Benefit.pdf)
- King's Policy on Citation and Acknowledgment of Funders [http://www.kcl.ac.uk/college/policyzone/assets/files/research/Citation\\_FundingAcknowledgment\\_Policy160712.pdf](http://www.kcl.ac.uk/college/policyzone/assets/files/research/Citation_FundingAcknowledgment_Policy160712.pdf)
- King's Policy on Research Data Management [http://www.kcl.ac.uk/college/policyzone/assets/files/research/Research\\_Data\\_Management\\_Policy\\_v12\\_June\\_2013.pdf](http://www.kcl.ac.uk/college/policyzone/assets/files/research/Research_Data_Management_Policy_v12_June_2013.pdf)
- HEFCE OA Policy <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy/> applies to articles and conference papers published from 1<sup>st</sup> April 2016.
- RCUK OA Policy <http://www.rcuk.ac.uk/research/openaccess/> applies to all primary research papers funded by RCUK submitted for publication from 1st April 2013.
- Charities Open Access Fund (COAF) including the Wellcome Trust OA Policy <http://www.wellcome.ac.uk/about-us/policy/spotlight-issues/Open-access/index.htm> applies to research papers acknowledging at least one of the partner charities as a funder and accepted for publication after 1 October 2014.
- NIHR OA Policy <http://www.nihr.ac.uk/policy-and-standards/nihr-policy-on-open-access-for-its-funded-research.htm> applies to any peer-reviewed research articles supported by NIHR funding submitted for publication from 1st April 2014.

