Kingston University Open Access Policy

Introduction

1) Kingston University is committed to ensuring that the outputs of our research are freely accessible. Making our research outputs widely available reflects our commitment to producing research with the potential to make a significant economic, social and cultural impact. We believe that adopting an open access mandate will achieve maximum visibility and accessibility for our research. The University's Research Outputs Repository will enable us to implement this policy and achieve a green open access environment, by providing the mechanism for recording the details of all types of research outputs and as a means for self-archiving full texts or other digital representations online.

Rationale

2) Adopting an open access policy will enable the University to achieve compliance with funding body requirements as well as to enhance the profile and reputation of our research:

a) Compliance:
   i. Ensuring that Kingston University researchers meet the requirements of Research Councils and other research funders to make publicly funded research outputs available freely over the internet.
   ii. Ensuring that research conducted at Kingston University is compliant with Research England's Open Access Policy and is eligible to be submitted to Research Excellence Framework (REF) exercises.

b) Reputation and visibility:
   i. Raising the profile of Kingston University research.
   ii. Increasing the potential for research collaborations.
   iii. Making the results of our research more accessible to the public.

Benefits

3) Open Access publication will benefit authors by:

a) Showcasing their research and enhancing its visibility to potential collaborators and prospective postgraduate students, both nationally and internationally.

b) Broadening the potential international audience for the research, making it available to internet search engines and maximising the potential for increased citations and knowledge transfer.

c) Ensuring the long term preservation and storage of research outputs in the Research Outputs Repository[1].

d) Helping them to comply with research funder open access policies (check individual policies for detailed requirements).

[1] https://eprints.kingston.ac.uk/

The Policy

4) Kingston University has implemented a green approach to open access. This means that researchers self-archive their research outputs in the Research Outputs Repository. The outputs become openly accessible and searchable online either immediately or after an agreed embargo period.

5) The policy applies in principle to all forms of research output produced by Kingston University staff and research students.

6) The policy applies to research outputs that were solely or collaboratively authored, created or produced by a Kingston University staff member or research student.

7) Since 2008 the University has required that authors record descriptions of their research outputs in the Research Outputs Repository, for example the bibliographic details or other equivalent reference information. The Open Access Policy requires that:

a) For journal articles and conference contributions with an ISSN:

i. Authors are required to deposit a machine-readable electronic copy of their final peer-reviewed manuscript (also called the post-print or author's accepted manuscript) in the Research Outputs Repository no later than the date of acceptance. Please note that publisher policies for this use are checked for every output by the Repository team.

ii. Authors of journal articles should also ensure that their publications make reference to the research data used during a project (if any), including a statement describing how and on what terms the supporting data may be accessed (see 8).

iii. Authors must use the standard institutional affiliation "Kingston University, London" in all research outputs to ensure clear affiliation with the University.[2]

b) For all other research outputs:

i. Researchers are required to record descriptions of their research outputs, for example the bibliographic details or other equivalent reference information, on the Research Outputs Repository no later than three months from the date of publication or first appearance in the public domain. In addition, they are encouraged to upload final copies or other digital representations of the research output in the Research Outputs Repository as soon as is possible after this date.

ii. Many publishers permit the final peer-reviewed manuscript of book chapters to be deposited in a repository. Examples of those that do include Bloomsbury, Routledge, Palgrave, Cambridge University Press, Springer and Sage. In all cases authors are encouraged to do so, following the process outlined at 7.b) i.

iii. Authors of text-based outputs such as books and book chapters must use the standard institutional affiliation "Kingston University, London" in all research outputs to ensure clear affiliation with the University.

c) For all research outputs arising from external funding:

i. Research outputs and associated Research Outputs Repository records must include a reference to the source of funding, using the wording provided by the funder if applicable.

[2] For studies historically hosted by the former Faculty of Health, Social Care and Education: where appropriate, the partnership with St George's, University of London" should continue to be recognised.

    ii. Authors/creators are responsible for ensuring that their actions are compliant with the funder's publication policy and their award terms and conditions (see paragraphs 9-11).

8) This policy complements the University Research Data Management Policy, which supports staff and research students to make their completed research data openly available for reuse, unless protected by appropriate exemption or exception. We can define research data as any material (digital or physical) collected, observed or created for the purpose of analysis to produce original research results. Types of research data vary between disciplines, but may include laboratory notebooks, images, sound or video recordings, raw data captured from instruments, observational data, experimental data, project documents, spreadsheets, databases, data visualisations, data models, software and measurements.

Publications from funded research

9) Many research funding bodies are supportive of, or mandate, open access publication of funded research outputs, including research data. Grant holders are responsible for ensuring compliance with their funder's specific requirements about how research outputs arising from their funded programmes should be published or otherwise made available. Funder Open Access policies are usually referred to in grant Terms and Conditions and made available on their websites. Some common examples are listed below:
    a) UKRI Research Councils: UKRI open access policy – UKRI
    b) Horizon Europe: open-science-in-horizon-europe-proposal (openaire.eu)
    c) Association of Medical Research Charities: https://amrcopenresearch.org/
    d) NIHR: https://www.journalslibrary.nihr.ac.uk/information-for-authors/open-access/

10) Grant holders are also responsible for complying with funder's specific requirements on reporting outputs and outcomes.

11) Please note that failure to comply with funder open access policies, including any mandated reporting, may result in sanctions including ineligibility to apply to future funding schemes, and withholding of outstanding research funds.

12) The University fully supports and is working towards the ideals of Plan S. From 1 January 2020 all scholarly publications resulting from public research funding must be published in Open Access journals or on Open Access platforms.

Research Excellence Framework (REF)

13) Research England's REF Open Access Policy applies to journal articles and conference contributions (with an ISSN) which are accepted for publication from 1 April 2016 and published on or before 31 December 2020. To be eligible for submission to REF2021 the policy required that in-scope outputs accepted between 01 April 2016 and 31 March 2018 were deposited in a repository within three months of the date of publication. Those accepted after 1 April 2018 are still required to be deposited within three months of the date of acceptance. Once deposited, outputs should be discoverable and openly accessible.

14) Until further information is available on REF2028, outputs should be made available on the repository at least in line with REF2021 guidelines above. Current UKRI policy requires immediate open access for research articles submitted for publication on or after 1 April 2022.

Open research and contributor ID (ORCID)

15) ORCID is a persistent digital identifier that uniquely identifies and connects researchers and their research, scholarship and innovation contributions and affiliations across disciplines and world-wide. Kingston University is encouraging all staff to register with ORCID and make their profiles public. The ORCID service also offers the facility to export a list of publications from the Research Repository, which can be imported into the ORCID profile.

Advice and guidance

16) The University's Library and Learning Services (LLS) in the Students directorate provides advice and assistance to researchers in using the Research Outputs Repository. Queries can be sent to the eprints@kingston.ac.uk noticeboard where they may be forwarded to a Faculty Information Specialist for subject specific advice.

17) LLS also advise on compliance with copyright and embargo periods. The SHERPA Romeo website http://www.sherpa.ac.uk/romeo provides a searchable database of publishers' copyright and self-archiving policies. SHERPA FACT at http://www.sherpa.ac.uk/fact is a tool to help authors establish whether a journal is compliant with RCUK, Wellcome Trust, Arthritis Research UK, Breast Cancer Campaign, British Heart Foundation, Cancer Research UK and Leukaemia and Lymphoma Research open access policies. Also, Sherpa Juliet at http://v2.sherpa.ac.uk/juliet provides details of other research funders' open access policies.

18) Research & Impact (R&I) within the Academic Services directorate can provide guidance on individual funder policies including grant terms and conditions, as can each Faculty Research Operations Manager. R&I also provides guidance on REF Open Access Policy.

19) Further information can be found on the RVI Open Access staffspace page, at Open Access at Kingston University (sharepoint.com).

Approval and review procedure

20) This Policy will be reviewed on a biannual basis, or when necessitated by external policy changes, by LLS and R&I. Recommendations for amendments to be submitted for consideration and approval by the Research, Business and Innovation Committee.

Document History and Review Period

Author	Research & Impact, Academic Services
Authorised	Sent to RBIC for review 07/06/2023 Revised 09/11/2022 Revised 10/10/2018 Revised 02/12/2016 Agreed by Research, Business and Innovation Committee 19/11/2014
Dissemination routes	Publicised to all staff via Staffspace, Associate Dean for Research, Faculty RBI Committees, R&I Briefing events
Review date	Biannual, or at need
Review Committee	Research, Business and Innovation Committee

Appendix A University Open Access Policy

Monitoring eligibility of Journal Articles for REF

Record completion

1) Journal articles should be sent to the eprints@kingston.ac.uk noticeboard by the author on acceptance. The Repository team in Library and Learning Services (LLS) monitors the noticeboard, manages the Research Outputs Repository and tracks compliance with the REF Open Access Policy in collaboration with the Research, Business and Innovation (RBI) directorate.

2) When an article has been received on the noticeboard the Repository team creates the Repository record for it and checks that the following items have been received:
   - bibliographic details and link
   - acceptance email
   - date of acceptance
   - attached author's accepted manuscript (AAM)

3) In some cases further email correspondence with the submitting author is required, e.g.:
   - acceptance email not forwarded
   - date of acceptance not provided
   - manuscript is not the authors' accepted manuscript

4) Authors are requested to send updated details of their journal articles, when they first appear online and when fully published to the noticeboard.

Compliance monitoring

5) All records and deposited manuscripts are logged in compliance checking software on the Repository itself and separately on a spreadsheet tracker managed by the Repository team. Record creation and completion is prioritised according to the compliance window and updates are checked for every two weeks.

6) REF eligibility of in-scope outputs depends on the compliance windows as follows:
   - Accepted 1 April 2016 – 31 March 2018: 3 months from the date of first publication
   - Accepted 1 April 2018 – 31 December 2020: 3 months from the date of acceptance

7) The Kingston University Open Access Policy is to aim for compliance within 3 months of the date of acceptance for all journal articles. A two-month deadline from the date of acceptance is applied to all logged cases on the Repository team's tracker. When this deadline has passed and the Repository team's initial requests for the requisite information have not been answered or resolved the case should be escalated by the Repository team to senior colleagues with responsibility for REF management.

Escalation

8) Once the two month deadline has elapsed the Repository team will re-contact the author stating:
    - What is needed – the AAM, date of acceptance email or both
    - The compliance window expiration date (if known)
    - Requesting the reason(s) why they have not been able to provide the requisite information

9) The School Director of Research and/or REF Unit Coordinator and Research Operations Manager should be copied-in at this point and the date of this escalation recorded by the Repository team on the tracker. Action should be taken by the copied-to recipients to ensure the required information is communicated back to the repository team. Up to date contact lists should be provided to the Repository team by R&I as necessary.

10) In cases where the date of acceptance or first publication, and therefore the compliance window, is unknown the Repository team should follow the escalation process above within reasonable timescales, e.g. if no response is received after initial requests, re-contact and escalate after one month has passed.

11) In cases where the initial details of the output were received by the Repository team too late, and therefore the compliance window has already elapsed, the Repository team should follow the escalation process above immediately on receipt, stating that the output may still be eligible for REF if further information can be uncovered, in particular if there were any exceptional circumstances for the delay.

Exceptions

12) There may be understandable and entirely legitimate factors as to why compliance is not able to be met in all cases. Research England recognises this and as such provided a list of permitted exceptions to the REF2021 Open Access Policy (**see Table 1 below**).

13) The thirteen permitted exceptions fall into five categories: deposit, access, technical, further and other.

14) The Repository team investigate and record details of exceptions as they arise through correspondence with the author and with scrutiny of publisher policies, in regard to deposit, access, technical and further exceptions.

15) 'Other' exceptions deal mainly with cases where the author may have experienced extenuating personal circumstances (such as periods of extended leave). In these cases, when the reason(s) why they have not been able to provide the requisite information is requested, the author should disclose the details in email correspondence to the Repository team if they are comfortable to do so. If not, for instance if the details include sensitive information, the author should simply state that extenuating circumstances apply. No further detail is required or should be requested at this stage.

16) If in cases where the author is not in contact with the Repository team, but at a later date extenuating personal circumstances are discovered or disclosed and are found to apply, the ‘other’ exception can be applied retrospectively.

17) All ‘other’ exceptions will be flagged on the Repository team’s tracker and will be referred at the appropriate time to the Individual Staff Circumstances Board for further investigation of the details by way of a confidential and independent process according to the University’s REF Code of Practice.

Potential non-compliance

18) If the case is unable to be resolved or excepted, the reason for potential non-compliance or inability to determine compliance is recorded by the Repository team under the following categories:

   a) Date of acceptance not known
   b) Date of acceptance received too late
   c) AAM requested but not received
   d) AAM not received in time
   e) No response to email requests
   f) Record made live too late
   g) Details received too late
   h) Other

Reporting

19) Potentially non-compliant outputs remain tracked rather than removed from the output pool so that they may still be considered for REF submission.

20) Analysis of potentially non-compliant articles are reported on a Faculty-basis to the Research and Knowledge Exchange Committee four times per year. Details of potentially non-compliant articles and compliance statistics for each REF Unit of Assessment are reported to REF Unit Coordinators and Associate Deans for Research following Mock-REF exercises.

Non-Journal Outputs

21) Many text-based non-journal outputs, such as certain conference proceedings, monographs, book chapters etc. can be made open access, and the repository team can advise on this. New UKRI Open Access policy does relate to these items. Please refer to your REF Unit Coordinator, School Director of Research or Associate Dean (Research & Business) if you are uncertain whether a particular output is eligible for REF submission.

Table 1. Exceptions quick reference chart for REF

Exception code	Exception type	Exception
242.a.	Deposit	At the point of acceptance, it was not possible to secure the use of a repository
242.b.	Deposit	There was a delay in securing the final peer-reviewed text (for instance, where a paper has multiple authors)
242.c.	Deposit	The staff member to whom the output is attributed was not employed on a Category A eligible contract by a UK HEI at the time of submission for publication
242.d.	Deposit	It would be unlawful to deposit, or request the deposit of, the output
242.e.	Deposit	Depositing the output would present a security risk
243.a.	Access	The output depends on the reproduction of third party content for which open access rights could not be granted (either within the specified timescales, or at all)
243.b.	Access	The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate publication for the output
243.c.	Access	The publication concerned actively disallows open-access deposit in a repository, and was the most appropriate publication for the output
244.a.	Technical	At the point of acceptance, the staff member to whom the output is attributed was employed at a different UK HEI, and it has not been possible to determine compliance with the criteria
244.b.	Technical	The repository experienced a short-term or transient technical failure that prevented compliance with the criteria (this should not apply to systemic issues)
244.c.	Technical	An external service provider failure prevented compliance (for instance, a subject repository did not enable open access at the end of the embargo period, or a subject repository ceased to operate)
245.a.	Further (Other)	Other exception. Other exception should be used where an output is unable to meet the criteria due to circumstances beyond the control of the HEI, including extenuating personal circumstances of the author (such as periods of extended leave), industrial action, closure days, and software problems beyond those listed in the technical exceptions. If 'other' exception is selected, the output will not need to meet the open access criteria (deposit, discovery or access requirements)
245.b.	Further	**(only to be used if accepted after 1 April 2018)** The output was not deposited within three months of acceptance date, but was deposited within three months of the earliest date of publication. In this instance, the output will need to meet all other policy requirements. This exception does not need to be applied retrospectively to outputs compliant with the policy from 1 April 2016 to 1 April 2018 which fulfilled the policy requirements within three months of publication