Royal Holloway, University of London
University Research Publications Policy

1. Introduction and Purpose

1.1. Royal Holloway has publicly endorsed the principle of open research, including that publicly funded research outputs should be widely accessible because of the significant benefits this brings for the public good and the University's civic mission. Open research also underpins a vibrant research culture and environment and it facilitates the transparency and reproducibility of research conducted using public funds.
1.2. The University has an obligation to demonstrate compliance with funder policies on open access, with reputational and financial risks posed by non-compliance. The University receives external funding for open access publishing either directly, or within grant awards.
1.3. The University seeks to ensure sustainable and equitable allocation of University funds for open access in line with broader principles of equality, diversity and inclusion.

Summary of key terms used

AAM – Author Accepted Manuscript
APC – Article Processing Charge
OA – open access
ORCID - Open Researcher and Contributor ID
PGR – Postgraduate researchers
REF – Research Excellence Framework
RKE Committee – Research and Knowledge Exchange Committee
UKRI – UK Research & Innovation

2. Scope

2.1. This policy will apply to:
The publishing of all peer-reviewed journal articles and conference papers by staff and postgraduate researchers affiliated to the University, produced in the course of their employment or postgraduate studies

3. Policy Statement

3.1. Underpinning principles, values and expectations

The University's stated principle is to support an open research culture and environment. This commitment includes the objective of encouraging research outputs to be made available as open access by default wherever legally possible, and by whichever model is most financially sustainable, as outlined in the university's Library Services Content Strategy ratified by Academic Board (February 2022).

The University wishes to support its authors to disseminate their research outputs as widely as possible and to retain their copyright and moral rights over their work.

The University will actively support changes in scholarly communication business models and infrastructure to further its objective of sustainable, ethical Open Access publishing for both research content and education resources.

Staff and PGRs are asked to work towards achieving this objective by attending optional training and following guidance offered by the University throughout the research output lifecycle, and meeting the specific obligations outlined in this Policy.

3.2. Financial sustainability and deployment of budgets

The University will engage with funders and publishers to achieve financially sustainable routes to open access publishing, including consideration of the total cost paid for agreements that include access to both content to read and OA publication ('read and publish agreements'), transparency of publishing costs, and the methodology of calculating the total cost. The preferred mechanism for achieving this is to support national negotiations conducted at sector level.
All staff and PGRs should comply with the terms and conditions of their funding body regarding open access to avoid risk to their own grant, wider grant capture activity, and reputational damage to the institution.
Where a funding body provides a financial mechanism to support publisher open access charges, the University will not meet such charges from its own funds (School or Professional Services budgets).
The University will provide an internal open access fund mainly to support researchers with article eligibility for research assessment exercises (REF). Use of this fund will be restricted to publishing in fully open access journals. The University will not fund APC charges for publishing in subscription journals which offer a REF OA compliant option to deposit the author's manuscript in Pure.

3.3 *Retention of Rights and Licencing ("Rights Retention")*

3.3.1. The Copyright, Designs and Patents Act 1988 (CDPA 1988) states that: "Where a literary, dramatic, musical or artistic work or film is made by an employee in the course of his employment, his employer is the first owner of any copyright in the work subject to any agreement to the contrary". In the case of the University, the agreed and established position is that academics retain the copyright in scholarly outputs produced in the course of research.
3.3.2 To enable University staff and PGRs to comply more easily with funder open access requirements and deliver the wider benefits of open research, staff and PGRs (irrespective of research funding status) agree upon acceptance of publication to grant the University a non-exclusive, irrevocable, worldwide *licence* to make accepted manuscripts of their scholarly journal articles publicly available under the terms of a Creative Commons Attribution (CC BY) licence .This enables the University to i) support authors with asserting

their rights with publishers; and ii) assert the rights licenced by authors to the university solely in order to facilitate routes to open access for its staff and PGRs.
3.3.3. Authors are required to include the following wording in the submission of their final draft manuscript and submission cover letter/note: "For the purpose of open access, the author has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission".
3.3.4. Authors should deposit the Author Accepted Manuscripts into Pure within 3 months of the date of acceptance. Article metadata will usually be available immediately on deposit unless there are specific reasons why this is not possible. The AAM will be made accessible to the public soon after the date of first online publication (or the conference end date for conference proceedings) under a Creative Commons Attribution (CC BY) licence.
3.3.5. The University recognises that there may occasionally be exceptional, and specific situations where the implementation of this Policy is problematic. In these cases, staff and PGRs will be able to voluntarily opt out of the requirement for immediate open access upon publication, or the application of a CC BY licence, but it should be noted that this may lead to the risk of a research output being non-compliant with funder policies and grant terms and conditions.

3.4 Additional provisions

In implementing the Policy outlined above, the following additional provisions are set out:
3.4.1 All other intellectual property rights remain unaffected, including the moral rights of researchers to be identified as the author of a copyright work.
3.4.2 This policy outlined above will only be applied to all peer-reviewed research articles, published in either a journal, conference proceeding or publishing platform, authored or co-authored while the author is a staff or a PGR member of the University.
3.4.3 Any articles submitted, or accepted, for publication before the adoption of this policy are exempt.
3.4.4 Where University staff and PGRs are not the corresponding author, authors will need to contact the corresponding author to establish if there is a RRS strategy in place at the corresponding author's institution.
3.4.5 To apply this Policy effectively, the University requires all research outputs to be easily and clearly identified by publishers as being from the University. Authors should use their official Royal Holloway email address where possible when submitting an item for publication, and must provide their affiliation as Royal Holloway, University of London to the publisher.
3.4.6 ORCID provides researchers with a unique and persistent identifier that can be kept throughout their career. It distinguishes between researchers with similar names and helps ensure that publications are attributed and recorded correctly. Publishers are increasingly adopting ORCIDs in their journal submission systems. Major research funders, such as the UK Research Councils, now require, or recommend the use of ORCID.
3.4.7 The University strongly encourages researchers, if they have not already done so, to create and populate their ORCID record. The University then asks researchers to use their ORCID in research outputs and to add it to relevant university systems.
3.4.8 Whilst the rights retention provision of this Policy set out above applies only to scholarly journal articles and conference papers, the University strongly encourages

researchers to make other formats (eg monographs, scholarly editions, text books, book chapters, collections of essays, datasets, software) as openly available as possible where not constrained by confidentiality or third party contractual obligations.
3.4.9 This Policy may be revised, if appropriate and after consultation, to ensure continued funder compliance and REF eligibility.

4. Roles and Responsibilities

Academic Board will be responsible for ratifying any alterations to this Policy.

Research and Knowledge Exchange Committee, chaired by the Associate Pro-Vice-Chancellor (Research & Innovation) will be responsible for overseeing the implementation, monitoring and review of the Policy.

School Vice-Deans for Research and Knowledge Exchange will be responsible for ensuring the communication of the strategic objectives and key policy points, endorsing this Policy to all staff and PGRs within their academic areas. Vice-Deans and / or REF Unit of Assessment leads will also make decisions relating to the use of University funds in support of the Research Excellence Framework, and for ensuring adequate awareness of the support and advice services provided by the University to facilitate implementation of this Policy.

Library Services will be responsible for:

i. providing expert advice and guidance to individual researchers, academic schools and departments and University governance on implementing the Policy, including copyright matters.
ii. the operational management of external and internal funds which support open access publishing under the terms of this Policy.
iii. acting as Business owner of the Pure research information system and institutional repository.
iv. management of outputs and associated metadata within the Pure system in line with individual funder and publisher policies.
v. monitoring the external open research Policy landscape for changes which may impact on the delivery of this Policy, and advising Research & Knowledge Exchange Committee accordingly.
vi. supporting both unilateral and national publisher negotiations which seek to achieve financial sustainability of open scholarly publishing.

Contact: openaccess@rhul.ac.uk

Legal Services will support Library Services with advice on legal matters arising from this Policy, including suppression or removal of items within the Pure repository.

Research and Innovation Services will advise on any Intellectual Property matters arising from this Policy.

Principal Investigators will be responsible for ensuring compliance with the terms and conditions of their grant in relation to open access publishing. Contact

openaccess@rhul.ac.uk in Library Services regarding open access or the relevant research support officer in Research and Innovation for advice on grant conditions.

All staff and PGRs will be individually responsible for ensuring they deposit their author accepted manuscripts in Pure, complying with author requirements in any funder OA policies, providing publishers with correct funder details and using the correct University affiliation details.

5. Related Documents

Related policies:

- RDM (Research Data Management) Policy
- Intellectual Property and Commercial Partnering Policy
- Library Services Content Strategy and Information Resources Policy

Related procedures / guidance:

- Institutional Repository Framework [in development]

6. Monitoring and Compliance

All staff and PGRs in receipt of research funding must comply with any OA policies that their funder has in place. Non-compliance with funder requirements may result in the withholding of research grant funds, potentially affecting future grant application processes and other sanctions against the University as outlined by the funders. All staff potentially being submitted to the next REF must comply with the REF OA policies in place at the time of the article or conference paper acceptance date. Outputs that are REF OA non-compliant may not be eligible for submission to the REF.

The Research Support Team in Library Services will monitor UKRI and REF OA compliance and will communicate OA non-compliance to authors, Vice-Deans (Research and Knowledge Exchange), and REF Unit of Assessment leads.

7. Document Control Information

Policy Owner *(usually Director-level)*	Director of Library, Learning Support, & Culture
Operational Owner *(where different to policy owner)*	Head of Library Research Support
Approving Body	Academic Board
Approved on	5 June 2024
To be reviewed before	31st December 2030

Version History		
Version (newest to oldest)	Date of approval	Summary of changes

2	August 2026	Approved by Policy Review Committee. No changes required or made following review after introductory year.
1	5 June 2024	Completely rewritten Open Access Policy (last Policy review was 2010), incorporating new Rights Retention Strategy clauses.