Open by Default
Electronic Theses at LSHTM

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Introduction

- LSHTM Open Access Policy and E-Thesis Policy
- Theses made available under CC BY-NC-ND License
- All theses assigned a DOI
- A range of support provided to serve the policies
- Concerns from students with open by default
Institutional profile

- London School of Hygiene and Tropical Medicine (LSHTM)
- Research intensive based on Keppel St, building at Tavistock Place, two MRC Research Units (Gambia and Uganda)
- Institutional income 2017-18: £180m – including EU, Wellcome, RCUK, BMGF
- Specialist health institution
- c.900 academic staff
- Postgraduate teaching only: c.3300 distance learners, c.760 master’s
- c.440 doctoral students (PhD and DrPH)
Open access policies

2013 – Electronic Doctoral Degree Thesis Submission Policy
2017 – Open Access Publishing Policy

• Requirement to submit electronic copy of thesis
• Asked to give LSHTM a non-exclusive license (CC BY-NC-ND)
• Re-use allowed for non-commercial purposes, no derivatives, as long as the author is acknowledged
• Students’ responsibility to clear third-party material and ensure sensitive data is anonymized/removed, and data is managed
• Provision for restriction of access
  • Confidential material
  • Sensitive/commercial information
  • Uncleared copyright material
  • Research Paper Style Thesis
• Embargo max. two years in most cases
• Takedown policy
• Library & Archives Service should provide support
Why did we introduce the policy?

- PhDs contain a wealth of information, but traditionally inaccessible
- Promote work produced by the School, a kind of prospectus
- Most downloaded items from repositories (but not sure why!)
- Various audiences are served: researchers, students, health professionals, policy makers, journalists
- Public demonstration of commitment to open research
- Funder requirements for open access, e.g. RCUK and Wellcome
Procedures

• Prior to submission: intention to submit form, reproduction of thesis form
• Students retain copyright but permit distribution via CC BY-NC-ND license
• Restriction of access permitted for limited reasons as long as evidence provided
• Notification and files provided from Registry to Library
• Record created on Research Online, even for embargoed theses
• DOI created via DataCite EPrints plugin
  • Easier to cite the thesis, track with Altmetric
  • Permanent, stable link
  • Quality resource
  • Commitment to and investment in doctoral research
• One week grace period before file is made live
Training and advice

- Copyright training necessary to mitigate risk
- ‘Submitting your thesis’ session: open access, copyright, RDM, registry – general sounding session gets more interest

Content:
- Basics of open access – green vs. gold
- Copyright and licensing: SHERPA, Creative Commons
- Re-use: exception, licensed for re-use, or seek permission
- Interactive examples
- FAQs
  - Pre-publication
  - Plagiarism
  - Breaching copyright regulations

![Diagram with nodes: 3rd party copyright material, 1. 'Fair dealing' for 'criticism and review', 2. Licensed for re-use, 3. Seeking permission]
Lancet (ISSN: 0140-6736, ESSN: 1474-547X)
RoMEO: This is a RoMEO green journal
Paid OA: A paid open access option is available for this journal.

Author's Pre-print: **✓** author can archive pre-print (ie pre-refereeing)
Author's Post-print: **✓** author can archive post-print (ie final draft post-refereeing)
Publisher's Version/PDF: **✗** author cannot archive publisher's version/PDF

General Conditions:
- Pre-print on author's personal website or pre-print server
- Post-print on author's personal website or institutional website
- Publisher copyright and source must be acknowledged
- Must link to publisher version
- Publisher's version/PDF cannot be used
- If required by funding agency, authors may deposit in any repository after 6 months embargo
- NIH funded authors may deposit in any repository after 12 months embargo
- Author's post-print must be released with a Creative Commons Attribution Non-Commercial No Derivatives License

Mandated OA: **(Awaiting information)**
Paid Open Access: Open Access

Notes:
- Publisher last reviewed on 01/07/2016

Copyright: Guidelines for Authors (pdf) - Disclosure of results before publication - The Lancet journals welcome a new open access policy - What happens after publication

Updated: 06-Mar-2017 - [Suggest an update for this record](http://www.sherpa.ac.uk/romeo/issn/0140-6736/)

Link to this page: [http://www.sherpa.ac.uk/romeo/issn/0140-6736/](http://www.sherpa.ac.uk/romeo/issn/0140-6736/)

Published by: Elsevier: Lancet - Green Policies in RoMEO

This summary is for the journal's default policies, and changes or exceptions can often be negotiated by authors.

All information is correct to the best of our knowledge but should not be relied upon for legal advice.
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- ‘Submitting your thesis’ session: open access, copyright, RDM, registry – general sounding session gets more interest

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Training and advice

• Research data management support
  • Data management plan
  • Storing data securely
  • Anonymising data
  • Keep data for 10 years

• Registry support
  • How to actually submit the thesis
  • What documents to provide and when
  • Questions
Other support

- One-to-one support
  - In-depth sessions if requested
  - copyright@lshtm.ac.uk
- Helpdesk portal
- Extensive, accessible guide for students/researchers/lecturers
- Twitter, Facebook, mailing lists, ‘pop-up’ tables
- Doctoral College endorsement

Future provision
- Mandatory training via Doctoral College
- Live-streaming
- Moodle
- ‘Starting your thesis’
Successes

• Most on board with the idea of open research
• Since 2014:
  - UK, US
  - Germany (75k)
  - China (19k)
  - India (14.5k)
  - France (13.5k)
Successes

• Who’s using the work? Copy request button
• 777 DOIs: 40% of total as of 2018
• Added value for DataCite subscription

Download

Accepted Version

**Embargo Date:** 27 February 2020

**Restricted to:** Repository staff only

Request a copy

**Filename:** Sera_lJE_20181122.pdf

**Licence:** Creative Commons:
Attribution-Noncommercial-No
Derivative Works 3.0

DataCite
FIND, ACCESS, AND REUSE DATA
Concerns and tips

• Still have c.700 undigitised theses
• Pre-publication of material
  • Monograph policies slightly more restrictive but still acceptable
  • UKCORR Knowledgebase
• Third-party material risk
  • Heightened risk for non-STEM subjects?
  • Mitigated with wide advertising of support
  • Few issues in practice
• Control over versioning
• Broaden the scope of the open access agenda
• Get better value out of the DataCite subscription
• Staffing: may require additional FTE, possibly roll into existing duties (open access staff know about Creative Commons)