



OPEN PUBLICATION AND DISSEMINATION POLICY

1. Prepared by (lead responsibility)	(Steve Williams, University Librarian; Laurian Williamson, Associate Director Research, LLS)
2. Approved by	Research and Enterprise Committee (01/02/2024) Executive Board (05/02/2024) Senate 14/02/2024 (FINAL APPROVAL)

Policy development steps

3. Legal implications of this policy area.	This policy implements Author and Institutional Rights Retention in line with funder and sector best practice.
4. Consultation for this policy	After widespread consultation through 2023, two all staff sessions were held in January 2024 to consult on these proposals (52 participants). LLS have held sessions for staff on updated funder OA policies around Monographs.
5. Related procedures/guidance	<i>IP and Spin Out Policy</i> as approved at Senate 14/02/2024 is aligned
6. Values Statement	This policy supports inclusive, inspiring and impactful research activities through the open sharing of research outcomes and practice across disciplines in line with funder and government policy and expectation.
7. Version history	This policy replaces the previous Open Access Policy 2016
8. Monitoring	RED/Research Support Team (LLS)
9. Date of issue	14/02/2024
10. Review date	01/03/2026



- 1) The University of Leicester wishes to protect employees and academic works ensuring appropriate rights are retained. The University of Leicester IP and Spin Out Policy 2024 is the authority on IP and related rights as applied to any form of research products.¹

Through that Policy, Section 5, the University generally waives its rights to ownership of copyright in Scholarly Works (except in specific circumstances) while retaining the rights necessary to enable the University to fulfil its academic, research and charitable objectives:

- a. The University retains the following rights to use Scholarly Work on the following terms
 - i. The University may use, adapt and reproduce any Scholarly Works for the following purposes
 1. academic and research purposes; and/or
 2. any other purpose relating to the University's charitable activities, including for the purpose of Open Access publishing.
 - b. These retained rights shall, for the avoidance of doubt:
 - i. Permit use and reproduction of the relevant works (or part of the works) worldwide, in all formats (now known or yet to be devised);
 - ii. Be royalty-free (except in cases where the agreed revenue sharing arrangements under the IP & Spin Out Policy apply);
 - iii. Be non-exclusive;
 - iv. and apply in perpetuity, on an irrevocable basis.
- 2) All peer reviewed research outputs published in journals (venues with an ISSN) must be deposited in the University's Research Information System²:
 - i. Metadata will be deposited immediately on acceptance for publication
 - ii. The full-text Author Accepted Manuscript (AAM), or the Version of Record (VoR) if this is permitted by the publisher, must be deposited, immediately or as soon as possible after the date of acceptance, with a CC-BY³ licence.
- 3) The publisher must be notified at the point of submission⁴ of the retained rights, and licensing conditions, by including the following, or an equivalent, statement:
 - a. *"For the purpose of open access, the author has applied a Creative Commons Attribution (CC BY) licence to the Author Accepted Manuscript version arising from this submission."*⁵
- 4) A Data Access Statement (DAS) or equivalent, outlining access to any data underpinning the research must be included within publications and in the Research Information System.
- 5) Data underpinning research should be made available whenever possible.
- 6) Research datasets, code, figures, podcasts, etc. can also be made available through the Research Information System.
- 7) Any longform research output⁶ with a publishing contract signed after 1 January 2024 must be deposited in the Research Information System:
 - a. Metadata will be deposited immediately on acceptance for publication

¹ Any commercialisation matters must, in line with the IP & Spin Out Policy, be dealt with pre-publication

² Limited exceptions are available for e.g., sensitive, commercial or security-related research.

³ There are some exceptions to allow CC-BY-ND.

⁴ This is achieved through the covering letter and within the acknowledgments.

⁵ Some research funders may require or allow other forms of licence e.g., OGL or CC BY-ND.

⁶ Such as monographs, book chapters and edited collections.



- b. the full text Author Accepted Manuscript (AAM), or the Version of Record (VoR) if this is permitted by the publisher, must be deposited. A CC BY licence should normally be applied, but alternative licences are sometimes permitted by funders.
- 8) Research outputs must appropriately acknowledge all research funding and support received as required by any and all relevant research funders
- 9) In the occasional situation where it is not possible to follow this policy in relation to a publication, in full or in part, it will be possible for authors to opt out of any or all specific requirements of this Policy in consultation with the School Director of Research & Enterprise, ensuring that any impact on funder and REF compliance or wider Open Access performance and environment has been considered.

Opt-out might be used, for example, where:

- i. The journal refuses to publish the output with rights retention
 - ii. An author does not have co-author permission
 - iii. The output contains a substantial amount of third-party materials which cannot be licensed openly
 - iv. A funder or REF exception is valid.
- 10) This Policy applies to all employees of the University of Leicester.
- 11) The University address format must be used for all research outputs as defined in the *Institutional Affiliation Policy*.
- 12) It is strongly recommended that all authors register and use their ORCID with the University and for all outputs. ORCIDs enable author disambiguation and help more accurate author, publication and citation tracking.