

## OPEN PUBLICATION AND DISSEMINATION POLICY 2025 v1.2

<b>1. Proposed by (lead responsibility)</b>	Steve Williams, University Librarian
<b>2. Approved by</b>	<ul style="list-style-type: none"> <li>Research and Enterprise Committee <ul style="list-style-type: none"> <li>Pilot start: 01/02/2024</li> <li>Full approval: 21/5/25</li> </ul> </li> <li>Senate <ul style="list-style-type: none"> <li>Pilot start: 14/02/2024</li> <li>Full approval: 11/06/25</li> </ul> </li> </ul>

### Policy development steps

<b>3. Legal implications of this policy area</b>	This policy implements Author and Institutional Rights Retention in line with funder and sector best practice.
<b>4. Consultation for this policy</b>	After widespread consultation through 2023, two all staff sessions were held in January 2024. Library and Learning Services (LLS) held sessions for staff on updated funder open access (OA) policies around monographs. The Pilot held further consultation and feedback sessions in 2024 and January 2025.
<b>5. Related procedures/guidance</b>	<i>IP and Spin Out Policy</i> as approved at Senate 14/02/2024 is aligned.
<b>6. Values Statement</b>	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.
<b>7. Version history</b>	<ul style="list-style-type: none"> <li>Previously the <i>Open Access Policy 2016</i></li> <li>This OP&amp;D Policy v1.0 entered a Pilot phase in 2024</li> <li>v1.1 as updated was submitted for approval to REC &amp; Senate in May and June 2025 respectively</li> <li>v1.2 is the final Senate amended and approved version for full service</li> </ul>
<b>8. Monitoring</b>	RED/Research Services Team (LLS)
<b>9. Date of issue</b>	11/06/2025
<b>10. Review date</b>	30/06/2028

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Definitions to the text within this policy:

- *must* indicates a mandatory requirement
- *should* indicates a strong recommendation

- 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.<sup>1</sup>

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 System<sup>2</sup>:
  - i. Metadata must 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-BY<sup>3</sup> licence.
- 3) The publisher must be notified at the point of submission<sup>4</sup> 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."*<sup>5</sup>

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

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

<sup>3</sup> There are some exceptions to allow CC-BY-ND and other licence variants.

<sup>4</sup> This is not required *if the publisher has already received a prior-notification letter from the University*. A list of publishers notified can be found in the [Open Research Toolkit](#). Notification is usually achieved through the covering letter or within the acknowledgments.

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

- 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 output<sup>6</sup> with a publishing contract signed after 1 January 2024 must be deposited in the Research Information System:
  - a. Metadata must be deposited immediately on acceptance for publication.
  - b. the full text Author Accepted Manuscript (AAM), or the Version of Record (VoR) if this is permitted by the publisher, should be deposited<sup>7</sup>. 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 in Publications 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.

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<sup>6</sup> Such as monographs, book chapters and edited collections.

<sup>7</sup> The Author must ensure that any funder requirements are met in full in relation to deposit and Open Access.