University of Lancashire Open Access and Publications Policy

Effective from: [09/12/2025]

Document type	Policy
Document owner	Research and Knowledge Exchange Service
Approved by	Open Research Steering Group – 19th January 2025 University Research, Knowledge Exchange and Ethics Committee - 5th February 2025 Academic Board – 5th March 2025 Updates approved by Chairs Action - 9th December 2025
Review dates	Summer 2026
Version	Version 2
Variation	
Summary of changes	• This supersedes the institutional Open Access Policy and introduces a rights retention requirement to ensure our Researchers retain copyright for their Author Accepted Manuscripts. • University and Institutional Repository names have been updated.

Open Access and Publications Policy

1. Introduction

As illustrated by the University of Lancashire's Strategic Plan 2021-2028, the University is committed to delivering an environment which supports the production of accessible knowledge and information to realise impacts of relevance to society. The University supports the principles of Open Access and is committed to increasing the visibility, use and impact of its research as rapidly and effectively as practicable.

The University acknowledges that the current period is one of considerable debate and change in Open Access publishing. It will therefore adopt a flexible, pragmatic, and where possible, sustainable approach to the implementation of this Open Access and Publications Policy. Researchers are advised to contact the Open Research Team for advice before publishing.

2. Benefits to Researchers of Open Access

Open Access publishing allows the University, and its Researchers:

- To share the results of research as widely and quickly as possible
- To give access to research without restrictions of price or permissions
- To assist multi-disciplinary research
- To create new opportunities for both inter-institutional and inter-sectoral collaboration
- To increase international visibility and impact
- To meet the grant conditions of funding bodies
- To align with government policy and enhance preparation for Research Outputs for submission to Research Excellence Framework exercises and similar initiatives.

3. Definitions

3.1. The following definitions apply to this Policy:

AAM: the author accepted manuscript accepted for publication prior to any input from the publisher.

CC-BY Licence: Creative Commons is an international nonprofit organisation that provides standardised copyright licences that can be applied to Research Outputs to determine what the user is permitted to do with the Output. A CC BY licence enables reusers to distribute, remix, adapt, and build upon the material in any medium or format, so long as attribution is given to the author. The licence allows for commercial use.

Lancashire Online Knowledge: The University's Institutional Repository (Lancashire Online Knowledge), hosted by E-prints Services Southampton.

Corresponding Author: The Researcher who takes responsibility for the manuscript during the submission, peer review and production process.

ISSN: International Standard Serial Number, an internationally recognised identifier for serial academic publications.

Longform Publications: comprise monographs, books, book chapters, edited collections and Trade books (see below).

ORCiD: Open Researcher and Contributor ID. ORCiD is an open, non-profit, community-driven initiative providing Researchers a unique persistent identifier which can be added to a wide range of research material including grants, Research Outputs and datasets. It provides a means to distinguish Researchers from other authors with identical or similar names and can be used throughout a research career. It ensures that work is clearly attributed and improves recognition and discoverability for Researchers and Research Outputs. See https://orcid.org/.

Researchers: all employees and students of the University carrying out research during their employment or engagement with the University, including but not limited to academic members of staff, professional services staff, and postgraduate research students.

Research Output(s): authored or co-authored research outputs such as journal articles, conference papers and conference proceeding outputs and other research outputs where the funder requires Open Access, or which derive from research grants awarded to the University or from other University resources.

Trade book: An academic monograph or edited collection rooted in original scholarship that has a broad public audience. These are out of scope of this Policy and are unlikely to have an Open Access compliance requirement in future.

Transformative or Transitional Agreements (TA): contracts which gradually shift the basis of payments from an institution to a publisher from subscription-based reading to Open Access publishing services. Through these publisher deals Research Outputs can be published Open Access with zero Article Processing Charges (APC) incurred.

4. Scope of policy

4.1.   This Policy applies to all Researchers and their Research Outputs.

4.2.   The Policy applies to all journal articles and to conference proceedings that are published with an ISSN, and other Research Outputs (e.g. books) where the funder has stipulated an Open Access requirement.

4.3.   However, the principle of Open Research applies to all research output types, and consideration on how Open Access can reasonably be achieved should be given for all Research Outputs.

4.4.   This Policy applies to any third -party content (Research Outputs content that has been created by, and copyright is owned by another person or persons) where rights for that content to be included within the University's author Research Output have been secured. Researchers should read and follow the University's Copyright Guidance before they incorporate third party content in Research Outputs. If unclear, Researchers should contact the Open Research Team.

4.5.   For the avoidance of any doubt, Research Outputs submitted, or accepted, for publication before the effective date of this Policy as set out at the introductory page are exempt.

4.6.   Whilst the Policy does not apply to monographs, scholarly editions, textbooks, book chapters, collections of essays, datasets, the University strongly encourages Researchers to make out of scope Research Outputs as openly available as possible.

4.7.   This Policy only applies to copyright in and to the AAM. It does not extend to other intellectual property rights in research, which is already covered in the University's IP Policy, which can be found [here](#).

4.8.   Each Researcher will provide an electronic copy of the AAM of Research Outputs at no charge to the Open Research team in an appropriate electronic format (such as PDF).

4.9.   The Open Research team will deposit the AAM into Lancashire Online Knowledge with metadata usually available immediately upon deposit and the AAM being made accessible to the public on the date of first publication.

4.10.   Researchers are responsible for providing and maintaining details of their publications in Lancashire Online Knowledge to support their own compliance with the University Open Access and Publications Policy.

4.11.   This Policy does not apply to Open Data. Please refer to the University of Lancashire's Research Data Management Policy.

5. Policy

5.1. General Policy requirements

5.1.1.   All Research Outputs accepted for publication must be recorded on Lancashire Online Knowledge. In all cases, this must include bibliographic information. For all textual outputs, an appropriate version of the full-text (as determined by publisher/funder policies), usually the AAM, must be deposited on Lancashire Online Knowledge within the designated time-parameters of government, funder and publisher requirements.

5.1.2.   All Research Outputs should be made available in an Open Access format upon acceptance where practicable, taking into consideration publishing restrictions, protection of intellectual property rights (for a definition of such rights please refer to the University's [Intellectual Property (IP) Policy](#) and confidentiality.

5.1.3.   Open Access compliance is mainly applicable to journal articles, and conference proceedings with an ISSN, and Research Outputs of this type must be deposited into Lancashire Online Knowledge within **3 months of acceptance** by publisher, or earlier if funder stipulates an earlier date. With some disciplines there may be uncertainty in relation to an acceptance date. In these instances, the Research Output must be deposited no later than 3 months of publication.

5.1.4.   Researchers are encouraged to deposit copies of earlier research outputs produced before employment at the University on Lancashire Online Knowledge as this will assist the establishment of impact.

5.2. Use of Open Researcher and Contributor ID (ORCiD)

5.2.1.   ORCiDs are frequently collected as part of the output submission process and can assist in the automated institutional discovery of Research Outputs required to support and monitor Open Access compliance.

5.2.2.   Researchers at the University should register for an ORCiD number and link this to their Lancashire Online Knowledge record/provide to publishers when submitting Research Outputs.

5.3. Recognising diverse contributions to Research Outputs

5.3.1. There is increasing global recognition of the importance of research culture and Open Research practices in underpinning excellent research, reflected in Research England and other research funder policies. As part of the University's commitment to Open Research, we believe that **appropriate recognition should be given to diverse contributions to the University's research**.

5.3.2. Researchers should identify and acknowledge all contributions to the production and publication of Research Outputs, including those made by academic, technical and professional services staff, and students. Increasingly publishers are providing the workflow processes to achieve this objective through the usage of Contributor Role Taxonomy (CRediT) whereby any contributor can be assigned specific role(s).

5.4. Open Access for Longform Publications

5.4.1. Funder policies for Longform Publications for some funders are now in place and should be adhered to. The Open Research Team should be advised of any anticipated Longform Publications arising from research grants as soon as possible and will be able to advise on available options.

5.4.2. A policy for Open Access Longform Publications is anticipated for the REF following REF2029, excluding Trade Books. This is likely to apply to publication contracts agreed between Researchers and Publishers dated from 1st January 2029. Ahead of this period, authors are encouraged to explore Open Access options for Longform Publications outside the scope of this Policy. The Open Research Team will be able to advise on available options.

5.5. Rights Retention

5.5.1. For the purposes of clarity, the application of a Rights Retention approach as set out in this Policy applies only to journal articles, and conference proceedings published with an ISSN.

5.5.2. The University confirms the current practice that Researchers own the copyright to their Research Outputs as stated in the University's IP Policy.

5.5.3. Researchers, as part of their agreement to the University policy, hereby grant the University a non-exclusive, irrevocable, worldwide, sub-licensable and free of charge licence to make their Research Outputs publicly available on Lancashire Online Knowledge under a CC-BY licence. The IP of the Research Output remains with the Researcher.

5.5.4. The Publisher should be notified of the Policy by the Researcher submitting the Research Output through the insertion of a Rights Retention statement into the AAM submitted and/or in a covering letter. The following text should be used:

For the purpose of Open Access, a [Creative Commons Attribution (CC BY)] licence has been applied to any Author Accepted Manuscript version arising from this submission.

5.5.5. Where the Corresponding Author is not a Researcher at the University of Lancashire, Researchers should request insertion of this statement on their behalf.

5.5.6. The University will inform major publishers of its Rights Retention requirement. The Open Research Team will maintain and update a list of Publishers who have been notified. Any objections raised by individual publishers will be dealt with on a case-by-case basis.

5.5.7.   Each Researcher will provide an electronic copy of the AAM of each Research Output at no charge to the Open Research team in an appropriate electronic format (such as PDF) in accordance with the Policy.

5.5.8.   The Open Research team will deposit the AAM into Lancashire Online Knowledge with article metadata usually available immediately upon deposit and the AAM being made accessible to the public on the date of first online publication.

5.6.   Policy exceptions

5.6.1.   The University recognises that there may be situations outside a staff member's control where it is difficult to adhere to this Policy in part or in whole, such as due to funder or sponsor conflicting or overriding rights and Researcher contract terms. In this case it will be permissible for staff to apply for an exemption to the requirement for immediate Open Access upon publication. To opt-out we ask authors to seek advice from the Open Research team with details of the publication.

6. Compliance

6.1.   The University recognises that there are different forms of Open Access available and promotes compliance with this Policy through different routes such as:

- Increased and expanded use of Lancashire Online Knowledge

- Publishing in a free Open Access journal or equivalent entity

- Increased use of Open Access Subject Repositories

- Publishing within an Open Access or "hybrid" subscription journal and paying where possible the "Article Processing Charge" (APC) to ensure that the article is available on an Open Access basis providing that this does not breach Funding Body policies, Research England (REF) Open Access policies, any agreements with other partners, any other legal agreements, or are contrary to the University's IP Policy.

6.2.   Where the publication is in a journal or conference paper published with an ISSN number, Researchers who are Corresponding Authors are encouraged to take advantage of any publisher or journal Transformative Arrangements that the University has entered into and that permit Open Access publishing at no APC cost, providing that this does not breach the funder's Open Access policies in respect of compliant journals.

6.3.   With journal articles, and conference papers published with an ISSN, a CC-BY licence should be applied. Many funders have specific licensing requirements, and these **must be adhered to** when selecting the licence, unless an exception has been applied for and permitted by the relevant funder.

6.4.   In cases where a Research Output will be published via the green Open Access route (depositing the AAM with a CC-BY licence into Lancashire Online Knowledge immediately upon acceptance for publication), the Researcher should submit the article with the appropriate Rights Retention statement to notify the publisher of this intention. If the publisher refuses or will not permit this without an APC being paid, then a waiver must be sought, or the article withdrawn and submitted elsewhere.

6.5.   In reflection of sector movements, where the cost of the Open Access publication of a Research Output has been met by internal University funding or indirect funding through a Transformative or Transitional Agreement, then the default selection must be a CC-BY licence, unless there are legitimate concerns about this route. Advice should be sought

before publication from the Open Research Team before signing any contractual agreement. Other CC licences will be accepted by exception.

6.6.   Within the sector, some funders now include Longform Publications within their Open Access policy requirements. Given the protracted length of contracts, where appropriate authors are encouraged to explore avenues to achieve compliant Open Access for these formats.

6.7.   In all publication formats created by Researchers, consideration must be given where an underlying resource that may be novel, copyrightable or have potential for commercialisation and therefore more appropriate to be licensed via the University's IP Policy or, whether the output discloses confidential information that may belong to another party may be included in the publication. This should be discussed with the Open Research Team and the IP and Commercialisation Team before submission for publication.

6.8.   The Research and Knowledge Exchange Service will monitor compliance with this Policy and report to Heads of Schools, Associate Deans for Research & Knowledge Exchange (or equivalent), University Research, Knowledge Exchange and Ethics Committee (URKEEC) and any other relevant committee as requested.

7. Roles and Responsibilities

7.1.   Authors of Research Outputs

Authors of Research Outputs (Researchers) are:

- Required to familiarise themselves and comply with copyright, publisher, UK General Data Protection Regulation (UK GDPR), intellectual property rights, confidentiality and Freedom of Information requirements.

- Required to familiarise themselves and comply with current funder publishing requirements to ensure compliance.

- Expected to request APC funding in grants wherever possible.

- Required to consider publisher Open Access policies in determining where to publish to ensure that their Research Output is made available in an Open Access format as soon as practicably possible.

- Expected to take advantage of opportunities to publish their work with immediate Open Access upon publication where external funding is available to meet the costs of Open Access article processing charges.

- Expected to acknowledge diverse contributors to their Research Outputs, using the CRediT or other available taxonomies where available.

- Encouraged to retain ownership of the copyright of published papers wherever possible.

- Expected to notify publishers of the Policy when submitting Research Outputs through the insertion of a Rights Retention statement into the submitted AAM and/or covering letter.

- Expected to apply a permissive licence (Creative Commons: CC-BY) with articles and conference papers with an ISSN number to ensure it aligns with the requirements of

funding bodies/Plan S requirements and the Research Excellence Framework unless there is a legitimate reason for not doing so. This should be discussed with the Open Research Team before publication.

- Expected to provide an electronic copy of the AAM of Research Outputs at no charge to the Open Research team in an appropriate electronic format (such as PDF).

- Responsible for ensuring their own compliance with this Policy.

7.2. Appraisers

- Appraisers of Researchers are responsible for monitoring compliance of this Policy through the University appraisal process.

7.3. Doctoral Supervisors

- Where a Researcher supervises doctoral students, he/she should be aware of supervisor responsibilities with regard to ensuring compliance with this Policy.

7.4. Postgraduate Research Students

- Primary responsibility for ensuring compliance with this Policy lies with the student, overseen by the Director of Studies/Supervisory Team.

7.5. The University

- Will promote the use of Lancashire Online Knowledge.

- Will promote awareness of the Open Access agenda, requirements and this Policy.

- Subject to funding availability, establish a budget for payment of Article Processing Charges (or equivalent Open Access costs) and provide clear guidelines in respect of how this funding will be allocated.

- Will develop a long-term sustainable storage policy for Open Access items within the repository.

- Will support an institutional Open Access Journals System, to enable Researchers to create and curate Open Access journals.

7.6. Research, Knowledge and Enterprise Service

- The Director of the Research and Knowledge Exchange Service or nominee is responsible for the development and updating of the Policy.

- The Research and Knowledge Exchange Service is responsible for the development and maintenance of procedures to operate this Policy which will be ratified by the Open Research Steering Group.

- The Open Research Team (part of the Impact and Outputs Unit) is responsible for providing advice on publisher, funding body and copyright requirements.

- The Intellectual Property & Commercialisation Unit are responsible for providing guidance relating to commercial or exploitable resources.

- Eprints Services and the Open Research Team are responsible for maintenance and promotion of Lancashire Online Knowledge.

8. Policy Review

8.1.   The University Research, Knowledge Exchange and Ethics Committee (URKEEC) has approved this Policy as recommended by the Open Research Steering Group. The Policy will be reviewed at least annually by the Open Research Steering Group and updated as deemed necessary.

8.2.   The next Policy review date is Summer 2026.