



Research Publication Policy

Responsibility for Policy:	Pro Vice-Chancellor (Research & Knowledge Exchange)
Relevant to:	All LJMU Staff and Postgraduate Research Students Relevant to Academic Partnerships? N
Approved by:	ELT
Responsibility for Document Review:	Pro-Vice-Chancellor (Research & Knowledge Exchange) through Research & Innovation Services
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RELEVANT DOCUMENTS

- [LJMU Open Research Statement](#)
- [REF OA Policy](#)
- [UKRI OA Policy](#)

RELATED POLICIES & DOCUMENTS

- [Policy and Procedures for the Examination of Research Degrees](#)
- [Code of Practice for Research and Knowledge Exchange](#)
- [Research Data Management Policy](#)
- Intellectual Property Policy (forthcoming)

1 Purpose and Context

- 1.1 Liverpool John Moores University (LJMU) supports the principle that the outcomes of research should be made openly available. The Research Publications policy supports this principle and ensures authors meet Open Access (OA) requirements for applicable research outputs, whilst encouraging the advancement of a broader Open Research culture as reflected in the [LJMU Open Research Statement](#).
- 1.2 LJMU acknowledges the benefits of OA publication in terms of greater visibility for research outcomes, potential for more rapid dissemination and greater research impact. This policy enables compliance with prevailing funder OA and data citation policies.
- 1.3 LJMU is a signatory of the Declaration on Research Assessment (DORA). As part of its commitment to responsible research assessment, LJMU aims to implement policies and procedures which assess individual research outputs on their intrinsic merit and potential impact, rather than their venue of publication, or the impact factor associated with that venue. As such, authors should not feel constrained by the perceived status or reputation of specific publishers or journal titles.
- 1.4 In supporting OA and explicitly adopting an approach that retains key rights for both authors and LJMU, this policy seeks to enable authors to choose any reputable venue that is suited to best communicating and maximising the impact of their research.
- 1.5 Authors are expected to meet funder compliance where additional conditions apply that are not covered by this policy. Funder policies take precedence over this policy.

2 Scope

- 2.1 This policy applies to all authors of research outputs including academics, researchers, administrative staff and postgraduate research (PGR) students where outputs are accepted for publication on or after the date at which they joined LJMU.
- 2.2 This policy applies to all peer-reviewed journal articles and conference papers published with an ISSN (Scholarly Articles).
- 2.3 This policy applies to all Doctoral theses awarded by LJMU.
- 2.4 This policy encourages authors to consider Rights Retention (see section 4.5) and OA for other output types (including but not limited to book chapters, monographs, reports, artistic creations, compositions, exhibitions etc).

3 Intellectual property in research publications

- 3.1 The University position on Intellectual Property (IP) as it relates to scholarly works is set out in the IP policy, the Code of Practice for Research and Knowledge Exchange and reiterated below.
- 3.2 The University waives ownership of and acknowledges that members of staff and PGR students own the copyright to scholarly works they create, such as academic journal articles, textbooks, books, book chapter, monographs, conference papers and related presentations/aide memoires for personal use.
- 3.3 In exchange for waiving ownership of copyright, authors grant the University a non-exclusive, irrevocable, worldwide, royalty-free licence to make the Author Accepted Manuscript (AAM) of their Scholarly Articles publicly available. This licence comes into effect from the point of acceptance for publication by the publisher. The AAM will be made public at the point of publication, without embargo. A Creative Commons Attribution¹ (CC BY) licence or a more permissive licence, will be applied to the AAM. This is hereby referred to as Rights Retention.
- 3.4 This licence takes precedence over any later agreement a publisher may impose. In combination with prior notification of publishers this ensures that both authors and LJMU retain sufficient rights to continue to make use of research publications for research and teaching purposes, as well as for OA deposit in a repository.
- 3.5 The Library will provide written notice of this policy to the most used journal publishers. A full list of publishers contacted can be consulted via the Rights Retention web pages and any responses received are held by The Library.
- 3.6 Authors may request that a publisher missing from the list is formally provided with written notice of this policy by contacting The Library (lst_research_support@ljmu.ac.uk).

4 Policy requirements, procedures and Rights Retention

- 4.1 Authors of PhD and MPhil theses, awarded by LJMU, should deposit their final approved thesis in accordance with the [Policy and Procedures for the Examination of Research Degrees](#).
- 4.2 Authors of peer reviewed articles and conference papers with an ISSN must deposit the AAM of the research publications in the University's institutional repository, [LJMU Research Online](#) (via [Symplectic Elements](#)) within 3 months of acceptance.

¹Full details of the Creative Commons licences available are listed here:
<https://creativecommons.org/share-your-work/ccllicenses/>

4.3 When submitting a paper for publication, inclusion of the following rights retention statement is optional:

In compliance with the LJMU Research Publications Policy, the author(s) has granted a CC BY licence to the copyright and all other rights in the nature of copyright subsisting in any author accepted manuscript arising from this submission. The author accepted manuscript will become publicly accessible immediately from first online publication.

In accordance with the licence granted to LJMU (section 3) The Library will:

- Ensure metadata for the publication is made immediately publicly available.
- Make the AAM discoverable and openly accessible under a CC BY licence, within one month of the first online publication of the Version of Record (VoR).
- Replace the AAM with a VoR where the latter is published OA under a Creative Commons (or equally permissive) licence.
- Endeavour to ensure the long-term availability and integrity of research publications through the application of appropriate digital preservation techniques.

4.4 Authors of other types of research output (including but not limited to book chapters, monographs, reports, artistic creations, compositions, exhibitions etc), where copyright and publishing contracts allow, should deposit to LJMU Research Online (via Symplectic Elements).

4.5 In addition authors of long form outputs (e.g. monographs, books, book chapters and edited collections) are encouraged to apply Rights Retention to their post-peer reviewed manuscript. This should be discussed with prospective publishers. Opting into Rights Retention enables OA availability, subject to an embargo (as short as possible) and allows authors to apply a creative commons licence to the manuscript. As prior notification of longform publishers has not taken place authors wishing to opt into Rights Retention must include the following statement in the cover letter of any proposal or submission and in the acknowledgements section of any resulting manuscript submitted for publication:

In compliance with the LJMU Research Publications Policy, the author(s) has granted a CC BY licence to the copyright and all other rights in the nature of copyright subsisting in any post peer review manuscript arising from this submission. The post peer review manuscript will become publicly accessible 12 months from first online publication.

*Delete and/or include number of months of any embargo period as appropriate.

4.6 Authors opting in to Rights Retention must:

- Ensure a record of the long form output is created in Symplectic Elements.

- Deposit a copy of the post-review manuscript in the Institutional Repository (via Symplectic Elements) and identify any OA terms agreed with the publisher beyond their standard T&Cs.

4.7 Where a publisher declines to accommodate Rights Retention for long form outputs, authors can proceed with publication without asserting this right, providing this does not contravene a funder mandate.

5 Exceptions to Rights Retention requirements (opt out)

5.1 Under defined circumstances, authors may request to opt out from certain obligations outlined in this policy. It is the author's responsibility to ensure that opting out does not contravene the OA policy of any funder acknowledged in the research publication or make the research publication ineligible for submission to the Research Excellence Framework (REF).

5.2 Authors may request to opt out of:

- Immediate OA (zero embargo) on publication and instead comply with publisher defined embargo periods.
- Use of the CC BY licence and instead request a less permissive licence (e.g. a licence which excludes commercial use (CC BY-NC))

5.3 To request an opt out authors must submit a Rights Retention Opt Out Form to The Library with details of the publication. This form can be found on the University Rights Retention webpages. Completed forms will be reviewed and authors will receive a response within 10 working days. Any disputes arising from opt out requests will be referred to the relevant Associate Dean for Research and Knowledge Exchange.

5.4 In cases where an author wishes to use an opt out, this intention must be indicated when a research publication is deposited to the institutional repository via Symplectic Elements.

5.5 Where an exception is approved the publication should still be recorded in Symplectic Elements and deposited to the Institutional Repository.

6 Applicable exceptions within Rights Retention

6.1 Publishing with a new or specialist publisher

6.2 In instances where a research output is accepted for publication by a publisher which the University has not previously provided written notice, because the publisher is newly established or highly specialist, publisher restrictions will be applied as appropriate (for example use of an embargo). The Library will provide written notice to this publisher without delay to ensure any subsequent publications are encompassed within established policy.

6.3 Third Party Material

There may be circumstances where permission cannot be obtained to reuse third party material reproduced in a manuscript under the same Creative Commons licence as the original parts of the work. In such cases authors should consider the following solutions:

- Make a clear indication of the third-party material excluded from the overarching Creative Commons licence in the manuscript deposited in the repository; or where this is not feasible
 - Consider excluding the material from the manuscript deposited in the repository; or
 - Where either of the options above would adversely impact on understanding of the research, consider if a licence exception is applicable and request to opt out of applying the CC BY licence.

6.4 Publisher refusal to proceed with publication

There may be circumstances where a publisher refuses to accept a submission based on the public licence granted by the author to the University. If an author still wishes to proceed with publication, they should seek the advice from The Library before signing any publishing or licensing agreement. Advice may include guidance on negotiating with the publisher, or alternative options (if any).

6.5 Collaboration

Research publications may be the result of collaboration with authors who are not employed by, or studying at LJMU and copyright may be jointly held with external authors. Under these circumstances authors must still endeavour to meet the requirements of this policy in full, and this should be brought to the attention of co-authors as soon as possible. If compliance is not possible then an opt out exception may be appropriate.

7 Preprints

7.1 A preprint is the version of a research publication that exists before any formal peer review. A preprint may be posted on a public preprint platform which will often provide it with a DOI. If a peer reviewed version of a preprint is published, authors are encouraged to link the preprint record to the VoR. Making a preprint openly available via a dedicated preprint server or the Institutional Repository does not satisfy the OA requirements of this policy. However, where appropriate for the discipline, the University does encourage authors to share preprints.

7.2 Some funders may require the sharing of preprints, for example during a public health emergency. Authors must abide by such requirements when they apply.

8 Publishing the 'Version of Record' (VoR) Open Access

- 8.1 Multiple routes are available to LJMU authors to make the VoR of a research output OA. This includes Library managed publisher agreements; publishers and platforms which charge no fee for OA publication (Diamond OA); and Fully OA journals and platforms which charge authors a fee to publish (where payments may be supported directly by funders, or through The Library held funder block grants).
- 8.2 Authors are responsible for ensuring the integrity and credibility of publishers whether they offer OA or not. Due to the potential for unscrupulous practice, particular care and scrutiny is advised where an invitation to publish is unsolicited and requires payment of a fee. Further advice on this is available from The Library.

9 Challenges to the University Rights Retention approach

- 9.1 The University operates a takedown procedure across its repositories to manage legitimate concerns of third-party copyright holders. Under the Code of Practice for Research and Knowledge Exchange, the University has a legal licence to make copies of Research Publications openly available under the conditions described in this policy. The University will not, therefore, consider Research Publications under that takedown procedure where authors have properly followed this policy, unless such claims relate to third party material contained within those publications.
- 9.2 Where authors have followed the terms of this policy, the University will accept responsibility and liability for any claims brought by a third party against the University or an author following the application of this policy.

10 Data Access Statement

- 10.1 The LJMU Research Data Management Policy asserts that research data should be available for access and reuse under appropriate safeguards and where possible should be made openly available on completion of the research.
- 10.2 All Research Publications submitted for publication should include a data access statement. The data access statement should:
- Identify where data associated with the research publication is held and provide a link (ideally a DOI).
 - Where data is not openly available, state why that is the case and under what conditions the data can be accessed.
 - Where a study has not generated any new data, state this and identify any 3rd party data sets which may have been used, along with access conditions.
 - Where a study has not involved the analysis of data, make a statement to this effect.

Example statements:

- All data created during this research is openly available via LJMU Data Repository, at [DOI]
- Supporting data will be available from LJMU Data Repository, at [DOI] after a 12-month embargo period from the date of data collection to allow for the publication of research findings.
- Owing to ethical concerns/the sensitive nature of this research, the data underlying this publication cannot be made openly available. Further information, including conditions for access, can be found at LJMU Data Repository, at [DOI]
- No new data was created throughout this project.
- This study was a re-analysis of existing data that is publicly available from [REPOSITORY NAME] at [DOI]

10.3 LJMU Research Data Repository is available for sharing research data and will provide depositors with a DOI which can be cited in data access statements. If research data is held elsewhere, authors must ensure a metadata record is created in Symplectic Elements.

11 Reporting and review

11.1 Use of exceptions, longform opt in and publisher responses will be monitored alongside overall compliance to inform an ongoing annual report on this policy. The Library will provide reports to University Research and Knowledge Exchange Committee and to Associate Deans for Research and Knowledge Exchange as appropriate.

12 Help and Guidance

Symplectic Enquiries	SymplecticHelp@ljmu.ac.uk
LJMU Research Online Enquiries Open Access Publishing Advice	openresearch@ljmu.ac.uk