Publications Policy

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Contents

1. Introduction and Purpose

1.1. The University of Manchester (the "**University**") is committed to an open and responsible research environment that supports easy access to and re-use of data.

1.2. This Policy aims to help University staff, students and postgraduate researchers (PGR) disseminate their research as widely as possible, in keeping with funder expectations that **Relevant Works** (as defined in Section 2) are made freely available on publication.

The University also strongly encourages researchers to make outputs which fall outside the definition of **Relevant Works**, (e.g., books, chapters, analysis code, research methodology) as openly available as possible in line with our Position Statement on Open Research.

1.3. The University sets its standards and expectations of research integrity in its Code of Good Research Conduct. Openness is one of the core principles of good research conduct, whereby researchers must be open and transparent when conducting and communicating their research in terms of:

1.3.1. the disclosure of any conflicts of interest;

1.3.2. the reporting of research data collection methods;

1.3.3. the analysis and interpretation of data;

1.3.4. making all research findings widely available (including sharing negative results as appropriate);

1.3.5. disseminating research in a way that will maximise engagement and secondary use; and

1.3.6. promoting public engagement/involvement in research.

1.4. This Policy outlines the University's expectations regarding robust publication and fair authorship practices which are integral to a responsible and nurturing research culture. It conforms to guidance set out by (amongst other things), the International Committee of Medical Journal Editors (ICMJE), the British Sociological Association and the Committee on Publication Ethics. It is supported by authorship guidance.

1.5. This Policy is intended to ensure that all those to whom it applies (see Section 2 below) are aware of their rights and responsibilities when publishing research.

1.6. Failure to comply with these responsibilities may:

1.6.1. lead to ineligibility for REF submission;

1.6.2. impact the receipt of future funding;

1.6.3. breach the University's Code of Good Research Conduct; or

1.6.4. formal retraction of the publication.

2. Scope and definitions

This Policy applies to staff and students of the University and anyone publishing with an affiliation to the University (see Section 6 regarding when the University should be used as an affiliation).

Publication	The process of disseminating research outputs through various formats including, but not limited to, journal articles, theses, monographs, musical composition, video, data, conference papers, source code and software.

AAM	(Author Acceptance Manuscript) the final author-created version of the manuscript, which includes any changes made after peer-review and has been accepted for publication by the journal.
Relevant Works	Peer-reviewed journal articles and conference proceedings with an International Standard Serial Number.
Open Access	A set of principles and a range of practices through which research outputs are distributed online, free of access charge.

3. Roles and Responsibilities

3.1. It is the responsibility of all employees and students of the University to adhere to this Policy.

3.2. It is the responsibility of Deans, Heads of School and Directors (or their nominated representatives) to ensure compliance with this Policy.

3.3. Employees or students must not enter into any publishing or other agreement that is inconsistent with, or contradicts, this Policy.

4. The Open Access requirement

The general rule:

4.1. All Relevant Works published after 1st January 2023 must be Open Access.

4.2. Making a Relevant Work Open Access can be achieved by undertaking one of the following, for example:

4.2.1. publishing as open access under a Creative Commons Attribution (CC BY) license;

4.2.2. depositing the AAM in the University's repository (or facilitating deposit via the Library's Open Access Gateway);

4.2.3. depositing the AAM in a subject repository; or

4.2.4. submitting a Relevant Work to a publisher, who provides the AAM to an appropriate third party or the University.

Further guidance on other methods of making a Relevant Work Open Access can be found on the Office for Open Research website;[1]

Practical arrangements:

4.3. For AAMs deposited in its repository, the University will make:

4.3.1. article metadata available immediately upon deposit; and

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[1] https://www.openresearch.manchester.ac.uk/

4.3.2.   the AAM accessible to the public on the date of first online publication (or the conference end date for conference proceedings), under a Creative Commons Attribution (CC BY) license.

4.4.   All staff and students of the University should obtain an Open Researcher and Contributor ID (ORCID) in accordance with the ORCID SOP.

Exceptions to the general rule:

4.5.   The University recognises that there are circumstances in which it may not be appropriate to deposit and share a work in accordance with the normal position set out at paragraph 4.2. For example, where:

4.5.1.   a publisher refuses to proceed with publication under the terms set out in this Policy; or

4.5.2.   it is otherwise unsuitable or unfeasible to do so.

4.6.   Where a student or employee considers that the circumstances detailed at paragraph 4.5 apply, they may submit to openresearch@manchester.ac.uk a request that the work need not be deposited and shared in accordance with this Policy, detailing their reasons.

4.7.   Any request under paragraph 4.6 will be determined within 10 working days. Any decision will be final.

5.   IP Rights

5.1.   Ownership of, and any associated rights in relation to, IP shall be determined in accordance with the University's IP Policy.

5.2.   Where IP belongs to a student or an employee, the University may perform any act consistent with any license granted to it by the creator (as set out at section 3 of the IP Policy). This includes (but is not limited to) making a Relevant Work available in accordance with this Policy.

6. When the University should be cited as your affiliated institution

6.1.   Authors must state their affiliation to the University if they are a substantive or honorary member of staff or student of the University **and** the research was conducted as part of their employment/honorary contract/studies at the University.

6.2.   Staff and students should only use the University as their affiliation if the research was conducted in their capacity as a member of the University.

6.3.   Students may only use the University as their affiliation for research conducted under the supervision of a University member of staff.

6.4.   If the research in a paper is published after employment/study at the University has terminated, it should be made clear the research was conducted at the University, but also providing the author's current affiliation for correspondence.

6.5.   Similarly, if research was conducted at another institution prior to employment/study at the University, the work should be affiliated in such a way that it is clear under which organisation the work was conducted, but providing details of the University as current affiliation for correspondence purposes.

6.6.   Where an author has undertaken research whilst a member of the University and also another organisation, joint affiliation should be cited.

6.7.   Authors should ensure that all necessary affiliations are included, such as Manchester Academic Health Sciences Centre and the appropriate research centre, in accordance with the University's guidelines on affiliation.

7.   Publication Permissions

7.1.   All research should have a publication plan that is discussed and agreed with all those involved. It is the responsibility of the lead and corresponding authors to ensure this is in place.

7.2.   Students must:

7.2.1.   agree their publication plan for their thesis work with their supervisor; and

7.2.2.   obtain the permission of their supervisor before publishing any work from their thesis.

7.3.   Lead and corresponding authors, as well as the student's supervisor if they are not corresponding author, must ensure that appropriate acknowledgement is given to collaborators and the appropriate affiliations recorded. They should also decide whether consent needs to be obtained from collaborators, sponsors, funders, or other parties involved in the research.

7.4.   Only staff can apply for open access funding. When submitting an application, they are confirming that the research was conducted in the University's name and that they have checked the veracity of the research. If they are submitting on behalf of their student, they do not have to be a co-author on the work but must take responsibility for checking these aspects and submitting the application.

7.5.   Similarly, a supervisor cannot publish work from their student's thesis without the student's permission.

7.6.   Permission will need to factor in compliance with IP protection, such as patent filing and respecting Material Transfer Agreements or Industry Collaboration Agreements.

7.7.   Sufficient time should be allowed for a supervisor or student to consider a proposed publication, especially when concerning IP issues. However, permission to publish cannot unreasonably be withheld. To do so may constitute research misconduct and should be reported to the Head of Research Governance, Ethics and Integrity so that the situation can be resolved.

8.   Confidentiality and Data Protection

8.1   Information must not be included in a publication that identifies a research participant unless informed consent has been given and ethical approval is in place permitting it.

9. Authorship

9.1. Only those who have made a significant direct intellectual contribution to the research may (and should) be listed as authors on the resulting paper. An author should have participated sufficiently in the work to take public responsibility for appropriate portions of its content and be able to defend the paper as a whole.

9.2. Authorship, including order of authorship, should be discussed between researchers at an early stage in any project and renegotiated as necessary. A record should be made of these discussions. Early drafts of papers should include authorship and other credits to help resolve any future disputes.

9.3. Authors should refer to the authorship rules of the specific journal/publisher. However, the University would expect an author to have made a significant contribution to at least one of 9.3.1-9.3.4:

9.3.1. The conception or design of the project;

9.3.2. acquisition and/or processing of data/material;

9.3.3. analysis and interpretation of data/material;

9.3.4. writing substantial sections of the paper (e.g. synthesising findings in the literature review or the findings/results section);

and

9.3.5. involvement in drafting the article or revising it critically for important intellectual content;

and

9.3.6. approved the final version to be published.

9.4. Where an individual has made a significant contribution in accordance with paragraphs 9.3.1 to 9.3.3 above, they should be given the opportunity to be involved in the activities listed at paragraphs 9.3.4 and 9.3.6 (and therefore, to be an author). This is particularly important for students, research assistants and technicians, where the University expects more senior staff to encourage their intellectual input and inclusion as authors on research outputs.

9.5. Editing a paper alone does not constitute a significant contribution meriting authorship. See Section 10 below – Acknowledging Contribution.

9.6. Including as author someone on the paper who has not fulfilled the criteria set out in 9.3 may constitute "guest authorship" and potential research misconduct.

9.7. No person who fulfils the criteria for authorship should be excluded as an author. To deliberately exclude such a person may constitute research misconduct (see Section 15).

9.8. In circumstances where someone who has contributed to a paper is uncontactable and every effort has been made to contact them, they cannot be included as an author, but their contribution should be acknowledged, together with an explanation.

9.9. The order of authorship should align to the disciplinary norm but generally should reflect the relative contributions of the authors and be decided by agreement between the authors before submission. The 'corresponding author' should be the one who takes primary responsibility for communication with the journal and managing the publication process, and who acts as a point of contact for queries about the work.

9.10. The corresponding author is responsible for ensuring that all authors have approved the final version of the paper.

9.11. More information about who can/cannot be an author on a paper and on the determination of the ordering of authors is provided in the University's authorship guidance.

10. Acknowledging Contribution

10.1. Some individuals may have contributed to research, but not sufficiently to meet the criteria for authorship set out in paragraph 9.3. Examples of such contributions include, where these are the sole contribution to the paper and have not had material influence on the published work (e.g. conceptualisation of ideas or influencing scientific interpretation):

10.1.1. providing technical, administrative, or material support;

10.1.2. collecting or providing data;

10.1.3. advising on methodology, analysis, or interpretation;

10.1.4. reviewing or editing the manuscript;

10.1.5. securing funding or resources; and

10.1.6. supervising or mentoring the authors.

These individuals should be acknowledged in the publication and their role and affiliation should be specified.

10.2. Some organisations may also have contributed by providing data or funding, for example. These should also be included in the acknowledgements.

11. Authorship Disputes and Issues

11.1. Authorship disputes may arise from time to time, for example due to disagreements or misunderstandings about the criteria, order, or inclusion/exclusion of authors.

Disputes arising prior to publication

11.2. Such disputes should be resolved by the authors themselves before submission.

11.3.   If the dispute cannot be resolved, the authors should seek the advice of their supervisor, head of department, or the Head of Research Governance, Ethics and Integrity (as appropriate).

11.4.   The University may intervene to mediate or arbitrate the dispute, if necessary.

Disputes arising post-publication

11.5.   Authorship disputes arising post-publication should be referred to the University's Research Misconduct Procedures.

12. Use of AI

Authors must refer to the University's Guidance for Staff and Students Using or Developing AI before publishing work derived utilising AI.

13.   Preprints

13.1.   Preprints are versions of a manuscript that are posted online before peer review and formal publication. Preprints can help to disseminate research findings faster, solicit feedback, and establish priority.

13.2.   The University expects the same standards of integrity for preprints as for formal publications. In addition, when posting a preprint, researchers should:

13.2.1.   ensure it complies with the policies of the funder, journal, and publisher;

13.2.2.   update their preprints with any changes or corrections that are made during the peer review and publication process and provide a link to the final published version; and

13.2.3.   not cite or refer to preprints as if they were published or peer-reviewed articles and acknowledge the limitations and uncertainties of preprints.

14.   Integrity

14.1.   Authors must be transparent when reporting their research and do so in accordance with the University's Code of Good Research Conduct.

14.2.   Authors must be careful to follow the conventions of the journal and ensure that figures and images are clearly labelled, especially where figures or images have been repeated.

14.3.   Images must not be manipulated in any way without complete transparency about what has been done to the image. If an image has been enhanced or spliced, for example, this must be clearly stated with an explanation given for the manipulation.

14.4.   Clear records must be kept for all research findings reported within a publication following discipline norms, but including, for example, all underlying raw data, details or statistical analyses (approach and outcome), and research study metadata.

15. Unacceptable Practices

Staff and students must not take part in unacceptable publication practices that fall outside of the University's Code of Good Research Conduct and this Policy, regardless of whether the University is affiliated to such publications. Notably, members of staff and students should not put their name to papers for which they have made insufficient contribution (as outlined in section 9 above), as this would constitute deception under the University's research misconduct procedures, regardless of whether the University is named as the affiliated institution.

16. Corrections and Retractions

16.1. Authors are responsible for maintaining the integrity of the academic record by ensuring the accuracy and validity of their research and publications. This includes promptly reporting to the journal editor any errors/inaccuracies in their published work and cooperating with editors and reviewers during the correction or retraction process.

16.2. Authors are responsible for notifying the University by emailing research-governance@manchester.ac.uk when they have a publication retracted.

17. General

Any question regarding the interpretation or application of this Policy, and/or any dispute arising under this Policy, shall be referred to the Lead Contact.

Version amendment history		
Version	Date	Reason for change
1.0	01 April 2016	Clarification of how to request exceptions added in Section 4
1.1	19 June 2019	Update funder names
1.2	01 January 2023	Updated to support N8 Research Partnership – Statement on Rights Retention
1.3	4 September 2024	Major review

Document control box	
Policy / Procedure title:	Publications Policy
Lead contact email	April.lockyer@manchester.ac.uk
Date updated:	4 September 2024
Approving body:	Senate
Version:	1.3
Supersedes:	1.2
Previous review dates:	24 November 2019
Next review date:	September 2026
Equality impact outcome:	Medium

Related Statutes, Ordinances, General Regulations:	N/A
Related policies/procedures/guidance etc	University of Manchester Position Statement on Open Research University's IP Policy Research Data Management Policy
Policy owner:	April Lockyer, Head of Research Governance, Ethics and Integrity Scott Taylor, Office for Open Research
Lead contact:	April Lockyer, Head of Research Governance, Ethics and Integrity