

## Research Publications Policy

<b>Brief Description &amp; Purpose:</b>	<p>This policy provides the institutional framework for managing and supporting research publications at the University. It outlines the University approach to open access publishing, Rights Retention and compliance with external open access requirements and mandates.</p> <p>The policy enables authors to retain key rights in their scholarly works, achieve compliance with funder and REF open access mandates while protecting author choice and freedom in publication venue. The policy encourages good practice in academic publishing across all disciplines and ensures the University's outputs are disseminated as widely and openly as possible, for the benefit of society.</p>		
<b>Applicable to (list cohorts):</b>	<b>Staff:</b> All University staff	<b>Students:</b> All students	<b>Third Parties:</b> External coauthors of research publications.
<b>Effective From:</b>	September 2025	<b>Last Review Date:</b>	N/A
<b>Approval Authority:</b>	Academic Board	<b>Approved:</b>	July 2025
<b>Executive Owner:</b>	Prof Louise Bracken, Pro Vice-Chancellor (Research and Knowledge Exchange)	<b>Business Owner:</b>	Leah Maughan, Senior Librarian Open Research
<b>Next Review Date:</b>	August 2027	<b>Publication External Y/N</b>	Y

### 1 Introduction

The University is committed to the aims and principles of open research. The University promotes and supports the openness of all research findings to enhance accessibility, public benefit and transparency. This policy applies the principles of open research to Scholarly Works, as defined in the [University's Policy for managing Intellectual Property](#), produced by staff, students, and other researchers at the University.

The policy enables authors to maximise the reach and impact of their work and to comply with the expectations and requirements of research funders, including [UK Research and Innovation](#) (UKRI), and the [Research Excellence Framework](#) (REF). It specifically supports compliance with open access and Rights Retention requirements for journal articles and conference proceedings.

Scholarly Works in scope of this policy are journal articles and conference papers published in serial publications with an ISSN. The authors of other types of Scholarly Works such as monographs, book chapters, scholarly editions, creative outputs, and research data are encouraged to make them as open as possible and to follow the wider principles of this policy, including accurate attribution, licencing best practice, data sharing and timely deposit of outputs in the institutional repository (Pure). The University supports all authors of Scholarly Works in adopting open access practices appropriate to their output type, in line with the principles of this policy.

This policy should be read in conjunction with the University's Policy for managing Intellectual Property, which establishes ownership of Scholarly Works. Support and guidance about the Research Publications Policy are available [from the University Library](#).

### 2 Policy Detail

## 2.1 Rights Retention

- 2.1.1 This policy is necessary to enable the dissemination of the University's research as widely as possible and to ensure Authors can comply with funder expectations on open access, including those for REF2029.
- 2.1.2 In accordance with the University's Policy for managing Intellectual Property, the University waives ownership of copyright in relation to Scholarly Works and confirms that ownership of such works will be with the Author.
- 2.1.3 For journal articles and conference papers published in serial publications with an ISSN:**
  - 2.1.3.1 In return for the University waiving ownership of copyright Authors grant the University a non-exclusive, irrevocable, worldwide licence to make the Author Accepted Manuscript (AAM) of their work publicly available under a Creative Commons Attribution (CC BY) licence upon acceptance for publication.
  - 2.1.3.2 When submitting Scholarly Works to a journal for publication Authors should alert their publisher to the University position by adding a Rights Retention Statement (RRS) to the acknowledgements or funding section of the manuscript at the point of submission.
  - 2.1.3.3 The University advises Authors to use or adapt the following statement. Authors are advised to contact the University Library at [openaccess@northumbria.ac.uk](mailto:openaccess@northumbria.ac.uk) if they are unsure of the wording they should use.
  - 2.1.3.4 "For the purposes of open access, the author(s) has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission."**
  - 2.1.3.5 To further ensure compliance, if an Author is not the corresponding author, they must inform their co-authors about the University's Rights Retention requirements as early as possible. Authors are still required to deposit the AAM in Pure upon acceptance, regardless of the corresponding author's affiliation.

## 2.2 Open Access Deposit and Licensing

- 2.2.1 Regardless of the route chosen to achieve open access, all **Author Accepted Manuscripts (AAMs)** of **Scholarly Works** within the scope of this policy must be deposited in the institutional repository (Pure) **as soon as possible after acceptance for publication, and no later than three months from the date of acceptance.**
- 2.2.2 This requirement applies to **all works authored or co-authored**, including those where a Northumbria Author is not the corresponding author. Authors are responsible for ensuring that a copy of the AAM is deposited in Pure, even where the corresponding author is based at another institution.
- 2.3 Rights Retention waiver:** The University recognises that in exceptional circumstances a researcher may need to opt out of the requirement of immediate access, the assignment of a CC BY licence or a publisher or co-author may ask for the RRS to be removed. In this event the author should request a [Rights Retention waiver](#) prior to submission of their work for publication. Requests will be considered by the Library in consultation with institutional research leads.

- 2.3.1 Applying for an exception/request may cause the research output to be non-compliant with research funder policies and may be declined should it place the University, or Author, in breach of funder requirements or if it is anticipated that the publication may be returned as an output in REF2029.

## **2.4 Additional requirements**

- 2.4.1 **Affiliation:** To improve discovery and ensure access to services provided by the institution outputs produced while employed by or in receipt of support from the University must acknowledge affiliation to the University in a standard way as specified below:

### 2.4.1.1 Name

School / Research Group  
Faculty  
Northumbria University  
NE1 8ST

- 2.4.1.2 Where a publisher limits the space available for an address, priority should be given to the phrase 'Northumbria University'.

- 2.4.2 **ORCID:** Researchers must register for and use an [ORCID identifier](#), linking it to their staff profile in Pure and using it in their publication activities.

- 2.4.3 **Data Access Statements:** Researchers must include a data access statement on all research outputs in scope of the policy, even where there are no data associated, or the data are not publicly available. The statement informs readers where the associated underlying data are available and how and whether they can be accessed. Further guidance on data sharing including writing a data access statement is available from the University Library.

## **2.5 Applicable to**

This policy is applicable to all Authors of research publications. All Authors are entitled to use Rights Retention to enable open access to their work in accordance with this policy. For staff and funded postgraduate research students, compliance with this policy is a requirement for participation in the University's research environment, including eligibility to access University-provided research services, open access support, and inclusion in research assessment exercises such as REF.

## **2.6 Outputs within the scope of this Research Publications Policy**

This policy applies to Scholarly Works authored or co-authored by University staff and funded postgraduate research students, subject to the provisions within employee Terms and Conditions of Employment.

In relation to cases where copyright in research outputs belongs to the University, the University will retain the right to make those works openly available, and authors should include the Rights Retention Statement at submission to notify publishers of this position. Outputs arising from third-party contracts or research funded by external organisations may be subject to different or additional open access and Rights Retention requirements, which must be observed alongside this policy.

The policy does not apply to work accepted before the policy adoption date: 1st September 2025. For work accepted prior to this date the [University Open Access Policy](#) applies.

## **2.7 Other publications**

The University Research Publications Policy does not apply to monographs, scholarly editions, textbooks, book chapters, essays, research data, creative outputs or other articles which are not scholarly articles or conference proceedings. Other funders may have different expectations on Rights Retention which Authors should address on an individual basis.

While the policy does not apply to other forms of research outputs, as set out above, the University strongly encourages Authors to make them as openly available as possible and apply other aspects of this policy including accurate attribution, open licensing with a Creative Commons licence and timely deposit of outputs in the institutional repository.

### 3 Key Roles and Responsibilities

Role	Responsibility
<b>All University staff, students and researchers</b>	<ul style="list-style-type: none"> <li>• Authors are responsible for ensuring their work is made available open access according to the terms of the policy.</li> <li>• It is the responsibility of all Authors to check, at an early stage, the requirements of their research funder or of the University regarding publications and ensure these are met.</li> <li>• Authors must ensure their outputs are deposited in the institutional repository <b>upon acceptance</b>.</li> <li>• Authors must register for an ORCID and link it to their staff profile in Pure.</li> <li>• Authors are required to ensure the correct institutional affiliation, grant information and data access statements are used in all their research outputs.</li> <li>• Authors are required to ensure inclusion of the RRS as outlined above at point of submission.</li> </ul>
<b>The University Library</b>	<ul style="list-style-type: none"> <li>• Manages University services for open access, providing information, advice and guidance.</li> <li>• Facilitates the addition of publication information to Pure.</li> <li>• Brokers and manages open access agreements with publishers on behalf of the University and supports researchers with payments for open access charges through advice and fund management.</li> <li>• Manages institutional support for ORCID and provides institutional systems and support for research data management, including the institutional research data repository (<a href="#">Northumbria Figshare</a>).</li> </ul>
<b>Research leaders, line managers and PhD supervisors</b>	<ul style="list-style-type: none"> <li>• Have a responsibility to ensure that Authors in their area are aware of and comply with University policy and procedures for supporting open access and related compliance requirements.</li> </ul>
<b>Research and Innovation Services</b>	<ul style="list-style-type: none"> <li>• Prepares the University REF submission and Code of Practice including monitoring University compliance with REF open access policy.</li> <li>• Provides and maintains the Pure platform, which includes the University research repository.</li> </ul>

## 4 Definitions

- **Scholarly Works:** As defined in the University's Policy for managing Intellectual Property, including but not limited to scholarly articles, conference proceedings, monographs, and book chapters. *Items in scope of this policy are scholarly articles and conference proceedings published in journal-type publications (those with an ISSN).*
- **Author Accepted Manuscript (AAM):** refers to the final peer-reviewed text which may otherwise be known as the 'author manuscript', which may also be called 'final author version' or 'post-print'.
- **Rights Retention Statement (RRS):** A standard declaration applied at submission to notify publishers of the author's rights and licence terms.
- **Author(s):** University staff, students, and affiliated researchers.
- **Open access:** Immediate, unrestricted, permanent online access to research outputs.
- **Data Access Statement:** A statement added to a research publication indicating how and whether the underlying research data can be accessed.
- **Creative Commons Licence:** An [open online licence](#) which details how the work can be reused by the end user without seeking permission from the copyright holder.
- **ORCID:** [Non-proprietary researcher identifier](#) that helps to correctly attribute Authors across platforms and publications.
- **Institutional repository:** A document server at a university or a research institution on which scholarly materials are archived and made publicly available worldwide on a long-term basis. Pure is the institutional repository at the University.
- **REF:** Research Excellence Framework, being the system for assessing the excellence of research in UK higher education institutions.

## 5 Related Policies, Procedures and Other Resources

[Research Data Management Policy](#)  
[Policy for Managing Intellectual Property](#)  
[Academic Regulations for Research Awards](#)  
[Library guidance and support on research.](#)

## 6. Version

Version No.	Reviewer	Date	Changes
1.0			<i>Pre-2022 guidance version</i>
1.1			<i>Minor design changes, updating links/names etc</i>
2.0			<i>Major policy changes, substantial change to content</i>