

Approved at Senate 23 May 2023 (paper 29/23)

Publications Policy

1.0 INTRODUCTION

This policy sets out requirements to cover all research outputs produced at the University of Northampton (UON) to ensure that they have maximum reach, follow best practice and comply with funder requirements, whilst enabling staff to publish their research outputs with a publisher of their choice.

Funders such as UKRI whose policies align with Plan S, the European-wide initiative for full and immediate open access to research outputs require authors to assert their right to retain copyright and make their accepted manuscripts open access immediately on publication under a Creative Commons licence. This policy not only ensures that these requirements are met, but goes further to ensure best practice is followed, ensuring maximum reach for research that is produced at the University of Northampton.

This policy will be reviewed by the Research Impact and Innovation Committee on a 2-year basis or amended in response to changes in future legislation and/or case law/scholarly landscape.

Note – this policy does not apply to staff/students who have left UON or to student thesis (covered by the [PGR Thesis and Examination Policy](#)).

2.0 OWNERSHIP

The Head of REF and Research Support owns and manages this policy on behalf of The University of Northampton.

3.0 ORGANISATIONAL SCOPE

This policy replaces the previous University of Northampton (UON) Open Access policy of August 2015. This policy applies to all published research outputs created by employees of the University of Northampton, where publication is an expectation of their employment, and by Postgraduate Researchers during their studies.

4.0 POLICY STATEMENT

4.1 Institutional Affiliation

Authors must use a standardised institutional affiliation “University of Northampton” in all research outputs to ensure clear affiliation with the University of Northampton.

4.2 Researcher ID (ORCID)

ORCID provides researchers/authors with a unique identifier that can be kept throughout their career, regardless of place of employment. Most funders and publishers now require authors to submit their ORCID id at the point of submission. External grant application and reporting systems also require ORCID identifiers.

Researchers must add their ORCID ID to their Pure profile, Pure profiles will not be made publicly available on the Pure portal without this.

Researchers must include their ORCID ID in all submitted manuscripts of scholarly research outputs (even if publisher does not require).

4.3 Publication

The University of Northampton expects anyone listed as an author on a research output to accept personal responsibility for ensuring that they are familiar with the contents of the output; be able to justify the research outlined in the output; and be able to identify their contribution.

An author of a research output should have made a significant contribution to the output and shares responsibility and accountability for the results reported. Lesser contributions by others should be listed in the acknowledgment section, if applicable. UON treats unfair or exploitative practices in relation to academic collaboration, co-authorship or recognising contributions as a matter of research misconduct, to be investigated and handled as per the institutional Research Ethics Code & Procedures.

Note - an administrative relationship to a study or a relationship as supervisor or being responsible for the funding does not necessarily qualify a person for authorship. If a Supervisor has contributed to the research output, then they should be credited appropriately for their contribution.

The submitting author should always send all co-authors the final draft of the output and receive their approval before submission and publication of the output.

If the research has been funded, then this must be acknowledged including the grant number – e.g., "This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Arts and Humanities Research Council [grant number zzzz]". Grant number format must exactly match that used by the funder, including the correct punctuation.

4.4 Choice of Publisher

The University of Northampton respects that the choice of where to publish rests with the researcher/s. However, there are a growing number of predatory publishers and researcher/s who would like to have a publisher/journal checked, can do so through the Research Support team prior to submission in relation to the quality/suitability of a publisher. In the first instance researcher/s are advised to speak with their research centre leads/research leads/peers.

The University of Northampton will not make publicly available through the Pure portal any research outputs that it deems to be published with predatory/vanity publishers.

The University of Northampton has a small fund for the payment of APC/BPCs (Article Processing Charges/Book Processing Charges) for fully open access publishers, where there is no green route to open access. Researchers must apply for approval of the payment of any APC/BPC prior to submission of the research output.

Wherever possible research should be communicated beyond academia, in order to engage with all relevant stakeholders including the government, industry, and non-academic partner organisations. The University expects staff to be proactive in ensuring that the cultural, societal, and economic benefits of their research are fully realised, recognising that the work to achieve this may go beyond the traditional definitions of research.

4.5 Licencing/Copyright

Upon acceptance of publication all staff with a responsibility for research agree to grant the University of Northampton a non-exclusive, irrevocable, worldwide licence to make accepted manuscripts of their scholarly articles publicly available under the terms of a Creative Commons Attribution (CC-BY) licence, or a more permissive licence of choice. More restrictive licences like (CC-BY-NC, CC-BY-SA and CC-BY-NC-ND can also be used, but the preference is for CC-BY). Please note that some funders require CC-BY.

4.6 All submitted manuscripts for journal articles (and is encouraged to be used in all chapters) must include the following retention rights statement 'For the purpose of open access, the author has applied a Creative Commons Attribution (CC-BY) licence to any Author Accepted Manuscript version arising from this submission.' (CC-BY-NC, CC-BY-SA and CC-BY-NC-ND licences can also be used, but the preference is for CC-BY) – this should be placed at the end of the output being submitted.

4.7 Researchers must create bibliographic records within the University of Northampton's research institutional repository (Pure) for all research outputs they have authored/co-authored. Where appropriate, these records should be linked to relevant projects/datasets/impacts/research activities within Pure (whilst this process can begin when an output is in preparation, it must be done no later than on acceptance for publication and be updated when published).

4.8 Researchers must deposit into Pure the accepted manuscript (sometimes referred to as the post-print, or final author version of the full text), attached to the appropriate bibliographic record, for all text-based research outputs immediately on acceptance, and no later than one month after acceptance. All non-textual research outputs where possible should be integrated into a non-textual template that can then have a doi (digital object identifier) created and published under a [Creative Commons Attribution](#) CC-BY licence (CC-BY-NC (Non-Commercial) and ND (Non-Derivatives) can be used with prior approval from the Head of REF and Research Support.

4.9 The accepted manuscript will be made accessible to the public (through the [Pure portal](#)) on the date of first online publication (or the conference end date for conference proceedings) under a Creative Commons Attribution (CC BY) licence.

4.10 Data (availability) Statement

All submitted manuscripts for journal articles must include a data statement, even when no new data has been generated or the data is inaccessible. The statement informs readers where the associated underlying research data is available and how they can be accessed (usually through creation of a dataset, that is accessed via a doi).

- 4.11 Datasets that are stored in Pure will receive a doi after the dataset has satisfactorily passed validation standards (see UON [Data Management Policy](#) for further information) for both usability and digital preservation. Where outputs refer to datasets outside of Pure, a link to the dataset must be included in the Pure record.

4.12 Exceptions

The University of Northampton recognises that there will be situations where scholarly outputs are the result of a collaboration of researchers who are not employed by the University of Northampton. In working in collaboration University of Northampton researchers are expected to communicate the publication policy requirements to their collaborators on commencement of work, and where the policy cannot be followed, permission needs to be obtained from the Head of REF and Research Support prior to outputs being submitted for publication (even in instances where the lead author is out-with the University of Northampton).

Whilst this policy does not apply to monographs, scholarly editions, textbooks, collections of essays or other outputs that are not scholarly articles, the University strongly encourages researchers to make them as openly available as possible.

- 4.13 In the absence of the Head of REF and Research Support, final decisions can be taken by the Dean of Research, Impact and Innovation.

5.0 DEFINITIONS

TERM	DEFINITION
Open access (OA)	Open access (OA) refers to research outputs that can be freely accessed by anyone in the world via the internet so that they can be used without licensing restrictions for research, teaching, or any other purposes.
Green OA	'Green' OA means a version of the output is made available through a public/institutional repository
Gold OA	'Gold' OA means the final version of the output (publisher's PDF) is immediately open upon publication via the publisher's website.
Hybrid journals	Hybrid journals operate a mixed model, with some content only available to subscribers or via a paywall, and some articles available as open access. The OA content requires payment of article processing charges.
APC / BPC	Some publishers operate models that require payment of publication fees to achieve 'Gold' OA, called Article Processing Charge (APC) or Book Processing Charge (BPC). APCs tend to range anywhere from £100 - £10,000 with the current average APC costing £1750. The University has "read and publish" deals with many large publishers that absorb the cost of APCs into the journal subscription cost. BPCs tend to range in price from £3,000 - £40,000 not including additional charges for third party copyright images.
REF	Research Excellence Framework (REF) is a UK Research assessment exercise that assesses the quality of research in UK Higher Education Institutions.
DORA	San Francisco Declaration on Research Assessment (DORA) is a set of recommendations to improve the ways in which research outputs are assessed (UON is a signatory).

Institutional Repository	An institutional repository is a web-based platform provided by an institution to manage and disseminate research outputs and activities, showcasing the research of the institute.
Pure	Pure is the Universities current research information system. All researchers have a Pure researcher profile , that includes their research interests, biography and research activity.
Embargo	This is a delay to open access of a version of a publication (usually the accepted manuscript (sometimes referred to as the post-print or author's final version), to be made available through an institutional repository (these tend to range from 6 months to 36 months).
Articles and conference proceedings	Short form types of research outputs that are peer reviewed and published in journals, on formal publishing platforms and in conference proceedings. The distinguishing feature is the presence of an ISSN (International Standard Serial Number) on the publication. (This does not include edited collections with an International Standard Book Number (ISBN)).
Books and chapters	Scholarly works that are formally published with an ISBN
Creative Commons Licences	Creative Commons Licences are a series of licences used in the publication of outputs to determine what can be done with the output by others. The licence required by most funders (including UKRI) has a basic 'Attribution' requirement (CC BY) and other licences introduce restrictions such as 'non-commercial' (CC BY-NC).
Data Statement	Data statements allow users to discover, access and cite the data that underpins a research output. A data statement should be included in all articles, even if no new data has been generated. This should include any valid reasons for any restrictions to accessing the data.
Third-party material	The copyright in content such as images or figures contained within a publication may be owned by others. Inclusion of this material may be covered by 'fair use' under copyright law or may require additional permissions. Third-party material may be subject to different licences for reuse from the licence of the publication it is published in.
Persistent identifiers	A persistent identifier is a way to identify a digital item permanently and uniquely. The most widely used identifier is a 'Digital Object Identifier' (DOI) commonly assigned to articles and datasets.
ORCID	Open Researcher and Contributor ID (ORCID) provides a persistent digital identifier that distinguishes researchers. ORCIDs are often required by funders and publishers and are used in other systems to uniquely identify authors.
First online publication	This refers to the date the final, publisher's 'version of record' is first made available, such as on a publisher's website. This usually means an 'early online' date rather than date of a print publication.
Predatory Publisher	These publishers often set up websites that closely resemble legitimate online publishers, and often send out spam emails requesting authors to submit articles, many times with hidden article processing charges that are invoiced to the author on acceptance of their manuscript.
Vanity Publisher	Vanity publishers are publishers that will charge the author a fee for publication but have no interest in promoting/selling the research output, with no peer-review, and often no, or limited proofing. Many vanity publishers will have advertising throughout the final product, or have no checks in place, it is similar to self-publishing.

6.0 KEY PRINCIPLES

The University of Northampton is committed to making a difference and undertaking research that has wide-ranging and significant impact within and beyond academia. This policy ensures that the visibility and reach of our research is maximised, enabling those beyond academia to access and benefit from

scholarly content.

We recognise that the publication of research outputs is an essential part of the research process, having a vital role in the dissemination and generation of scholarly knowledge and in the promotion of individual researchers.

7.0 ASSOCIATED DOCUMENTS

- [Intellectual Property Policy](#)
- [University Strategic Plan](#)
- [Research Data Management Policy](#)
- Letter to Publishers (Appendix One)

8.0 VERSION CONTROL

Version Control	V1	Approval record	Approved at Senate 23 May 2023
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Record of Amendments

Date	Version number	Details of Change	Approval