

**Approved at Senate 6 May 2026 (paper 48b-26)**

## **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 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 compliance with funder requirements but promotes best practice to maximise the reach of research that is produced at UON.

This policy will be reviewed by the Research and Knowledge Exchange 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 UON during their employment with UON 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 are required to 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

UON 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. Appropriate authorship or acknowledgement must be afforded to all individuals who have made a significant intellectual, practical, or creative contribution to the output. This includes, but is not limited to, academic staff, early career researchers (ECRs), postgraduate researchers (PGRs), technical staff, and professional services staff. Contributions from non-staff, including students, external collaborators, industry or clinical partners, and patients or public contributors (e.g. through Patient and Public Involvement or Engagement, PPI/PPIE), must also be appropriately recognised.

Decisions regarding authorship and acknowledgement should be made transparently and in line with disciplinary norms. Any additional requirements by a publisher or funder must be adhered to. The use of contribution frameworks such as the CRediT taxonomy are strongly encouraged, alongside open discussions early on and throughout a project to agree and assign roles. All contributors should be recognised. 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 lead 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

UON respects that the choice of where to publish rests with the researcher/s. However, there are a growing number of poor quality/predatory publishers that are pro-active in seeking publications from researchers, often very convincingly. The Research Support team can provide a check prior to submission for all researchers. Researchers that require the payment of an article processing charge, must obtain approval from the Research Support Team prior to submission (email [openaccess@northampton.ac.uk](mailto:openaccess@northampton.ac.uk)). Researchers seeking advice on where to publish in the first instance are advised to speak with their research centre leads/research leads/peers.

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

Where practicable, research should be communicated beyond academia to engage relevant stakeholders, including government, industry, and non-academic partner organisations. The University expects staff to take a proactive approach to ensuring the cultural, societal, and economic benefits of their research are fully realised, recognising that achieving this may involve activities beyond traditional definitions of research.

#### 4.5 Article/Book Processing Charges (APC/BPCs)

UON has a small fund for the payment of APC/BPCs (for fully open access publishers, where there is no green route to open access and there are no alternative publishers that would be suitable. Researchers must apply for approval of the payment of any APC/BPC prior to submission of any research output.

APC/BPCs will not be paid if the output was not primarily authored by a current UON staff member.

To qualify for APC/BPC payment the output must:

- Have the lead/primary affiliation listed as University of Northampton
- Contain an appropriate data availability statement – (data being available on request is not appropriate)
- Contain the ORCID ID of all UON authors
- Author contribution statement (describing who did what – example – study design, data collection, analysis, writing and revision)
- Funding Information (if applicable)
- Acknowledgements section

Where an APC/BPC is included in funded research costings, the same UON requirements apply, with funding for the APC/BPC to be transferred to the Directorate of Research and Knowledge Exchange after payment has been made (Project Lead/Principal Investigator to inform Research Support at time of submission that payments for APCs/BPCs are included in the funding awarded).

#### 4.6 Licencing/Copyright

Upon acceptance of publication all staff 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 many funders and a growing number of publishers require CC-BY.

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. This should be done as soon as possible, and no later than one month from the date of acceptance of the output and then 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). Data availability statements must not state that data can be made available on request.

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 Use of Artificial Intelligence in Publications

The use of AI in scholarly research publications should be guided by principles of transparency, accountability, and academic integrity. Researchers may employ AI tools to support tasks such as data analysis, language editing, or literature discovery, but they must clearly disclose how these tools were used within the research and writing process, and such use must be explicitly acknowledged within the publication. AI systems should not be credited as authors, as they cannot take responsibility for the work, and all outputs generated with their assistance must be

critically reviewed and verified by the researcher/s. Authors should ensure that the use of AI complies with ethical standards, including data privacy, avoidance of bias, and proper attribution of sources.

#### 4.13 Exceptions

UON recognises that there will be situations where scholarly outputs are the result of a collaboration of researchers who are not employed by UON. In working in collaboration UON 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 UON).

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 all outputs as openly available as possible.

- 4.14 In the absence of the Head of REF and Research Support, final decisions can be taken by the Dean of Research & Knowledge Exchange.

## 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 ( <a href="#">DORA</a> ) 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 <a href="#">Pure</a> researcher profile, that includes their research interests, biography and research activity.                                                                                                                                                                                                                                                                                                                         |

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|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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           | <a href="#">Creative Commons Licences</a> 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

UON 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 & Commercialisation Policy](#)
- [University Strategic Plan](#)
- [Research Data Management Policy](#)

## 8.0 VERSION CONTROL

|                 |               |                      |                                   |
|-----------------|---------------|----------------------|-----------------------------------|
| Version Control | Version 2     | Approval record      | Approved at Senate<br>23 May 2023 |
| Author:         | Dawn Hibbert  | Approval:            | Senate                            |
| Date written:   | February 2023 | Updates:             | April – May 2026                  |
| Current status: | Approved      | Approval of revision | 23 May 2026                       |

### Record of Amendments

| Date       | Version number | Details of Change                                                                                       | Approval    |
|------------|----------------|---------------------------------------------------------------------------------------------------------|-------------|
| 01/02/2023 | 1              | Policy created                                                                                          | 23 May 2023 |
| 21/04/2026 | 2              | Changes to include more detailed authorship requirements, use of AI and clarity around APC/BPC process. | 23 May 2026 |