

Open Access Policy

UPR IM18 version 02.0

Policies superseded by this document

This document replaces version 01.1 of UPR IM18, with effect from 1 September 2026.

Please note the Rights Retention aspects of the University Open Access Policy will be implemented from 1st October 2026.

Summary of significant changes to the previous version

Amendments to reflect the current models, mechanisms and funding of open access have been made. Links and references have been updated. Rights Retention aspects applicable to journal articles and conference contributions that have an International Standard Serial Number (ISSN) have been embedded.

Glossary

A glossary of approved University terminology can be found in [UPR GV08](#).

Table of contents

1	Introduction	2
2	Scope	3
3	Policy	4
4	Principles and Practice	4
4.1	Prior to Submission	4
4.2	Mandatory 'green' open access deposit of all research outputs in the UHRA	4
4.3	Mandatory 'green' open access deposit of all doctoral theses in the UHRA	5
4.4	Multiple models of publication and dissemination	5
4.5	Research publication and dissemination plans	6
4.6	Academic decision	6
4.7	University Open Access Fund	6
4.8	Advice, guidance and support	6
5	Review arrangements	6
6	Appendix 1 - Rights Retention	8
7	Policy requirements	8

Abbreviations

The following abbreviations are used in this document:

APC	Article Processing Charge
AAM	<i>Author's Accepted Manuscript: The version of a paper that has been accepted for publication after peer review and corrections, before typesetting by the publisher</i>
UKRI	UK Research and Innovation
REF	Research Excellence Framework
RIS	University Research Information System
UHRA	University of Hertfordshire Research Archive

1 Introduction

- 1.1 The concept of freely available public access (Open Access) to the outputs from publicly funded research is now widely and internationally established. This is reflected in UK Government Policy, research funding body requirements, and *Research England* requirements for research assessment.

- 1.2 The University has recognised the Budapest Open Access Initiative (BOAI) definition of Open Access to identify its scope and potential impact:

‘By “open access” to [peer-reviewed research literature], we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.’

- 1.3 With this changing academic publishing landscape, Open Access models for the publication of peer-reviewed research outputs have developed over the past decade or more in tandem with the continuing traditional academic publishing model. The main Open Access models are:

- 1.3.1 **‘Green’ Open Access** (also known as self-archiving):

a version of a research output/publication is made available online through an institutional repository, such as the University of Hertfordshire Research Archive (UHRA), or a subject repository, such as *ArXiv*, *PubMed Central*. *Typically, this is the author's accepted manuscript (AAM) rather than the final published version. It may be subject to an embargo period before becoming freely available.*

1.3.2 ‘Gold’ Open Access:

publication in a *fully* Open Access journal for which an author, or their institution, may pay an Article Processing Charge (APC) to the publisher; publications are made available immediately and free of charge to readers *and with an appropriate open licence e.g. Creative Commons*¹. *This model may also include books and individual book chapters via book/book chapter processing charges.*

1.3.3 ‘Hybrid’ Open Access’:

publishing in a subscription journal but with the possibility of an APC payment for the specific item to also be made available online immediately and free of charge. This model is sometimes associated with ‘double-dipping’ *where institutions pay both subscription fees and open access fees. It may be supported by an agreement with a publisher wherein open access for all items published in titles within an agreed portfolio is paid for by a single pre-paid annual fee.*

1.3.4 ‘Diamond’ Open Access’:

provides immediate open access without charging authors any fees. It is often supported by institutions, societies or non-commercial publishers.

1.4 Licensing

Open Access seeks to make research outputs both available and re-useable. The latter characteristic is achieved by applying an open license. For the Gold, Hybrid and Diamond models the license is typically Creative Commons Attribution (CC-BY).² The license position of ‘Green’ Open Access has most often been indeterminate. Under direction from research funders, the UK Higher Education sector is addressing this lack of specificity by introducing Rights Retention policies that allow the application of open licences to the accepted version of research outputs.

1.5 The University recognises the potential for taking advantage of Open Access for the promotion and enhancement of the University’s research profile and reputation; for sustaining a vibrant research community; for maximising citations and research impact; for supporting research opportunities and growth; *and* for compliance with funding body requirements-

1.6 This policy, which has been endorsed by the Academic Board, sets out the approach and arrangements for the University to take advantage of Open Access practice in light of the scope and potential impact for change in academic publishing and scholarly dissemination; for reviewing and adapting arrangements as Open Access scholarly publishing develops; and for supporting the University’s research community in engaging effectively with this changing landscape.

2 Scope

This Policy applies to:

¹ <https://creativecommons.org/share-your-work/cclicenses/>

² <https://creativecommons.org/licenses/by/4.0/>

- i all research outputs regardless of format or content produced by or in collaboration with Member(s) of the University (see UPR GV06³);
- ii other publications related to the work of the University and its Members where the original copyright is owned by the University or where the University has agreed Open Access publication with the copyright owner.

3 Policy

- 3.1 The University is committed to the immediate, unrestricted, online public availability of its peer-reviewed research outputs free-of charge, to enhance intellectual inquiry, support new research, enrich education and maximise the impact and value of its research for wider economic and social good.
- 3.2 The University will normally make its research outputs available in electronic formats that support searching, downloading, text and data-mining, and re-use of their content, providing that any such re-use is subject to full and proper attribution.
- 3.3 The University expects its research community in turn to benefit from the widespread national and international adoption of similar policies that increase access to others' research outputs; and from increased exposure of its research outputs leading to increased citations, recognition and impact, and an enhanced research profile.
- 3.4 The University will ensure that the implementation of this policy supports compliance with national and international research funding and assessment policies and requirements as appropriate and takes full account of any bona fide exceptions to open access publication for specific content and materials 'on the grounds of personal privacy, legal requirements, commercial confidentiality or other good reason' as set out in UPR IM02⁴.

4 Principles and Practice

4.1 Prior to Submission

- 4.1.1 For the Purposes of Rights Retention, and in alignment with the expectations of research funders, for journal articles and conference contributions with an ISSN, authors are recommended to include the rights retention statement below in all manuscripts submitted for publication: "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." This should be acknowledged in the submitted manuscript, and any cover letter/note accompanying the submission. If required by specific funders, an alternative statement with the same intention should be used instead. Please read this in conjunction with Appendix 1 - Rights Retention.

4.2 Mandatory 'green' open access deposit of all research outputs in the UHRA

- 4.2.1 The 'green' open access deposit of all research outputs in the UH Research Archive is mandatory.

³ [UPR GV06 'Membership of the University'](#)

⁴ [UPR IM02 'Information Management Principles'](#)

- 4.2.2 Deposit is carried out by the author or the relevant Principal Investigator/*Project Lead* uploading the research output to the University's Research Information System (RIS).
- 4.2.3 Deposit must be made at the time the research output is accepted for publication.
- 4.2.4 *The deposited copy of the research output should usually be the author's accepted manuscript (AAM) and not the publisher's final published PDF.*
- 4.2.5 *For journal articles and conference contributions with an ISSN, the Rights Retention principles in Appendix 1 are effective from 1st October 2026. The deposited copy of journal articles and conference contributions with an ISSN covered by the rights retention principles, will be made available immediately following the day of first publication via UHRA, and with an appropriate open licence. The deposited copy of journal articles and conference contributions with an ISSN prior to the implementation of the rights retention principles will be made publicly available via UHRA in accordance with the author's agreement with the publisher and with the publisher's Open Access policy. Please read this in conjunction with Appendix 1 - Rights Retention.*
- 4.2.6 *For research outputs other than journal articles and conference contributions with an ISSN, the deposited copy will be made publicly available via UHRA in accordance with the author's agreement with the publisher and with the publisher's Open Access policy.*
- 4.2.7 'Metadata Only' records in RIS/UHRA are required for item types where open access policies are not yet fully developed.
- 4.2.8 A rapid take-down process authorised by the Chief Information and Digital Officer will apply in the event of any posting errors.

4.3 Mandatory 'green' open access deposit of all doctoral theses in the UHRA

- 4.3.1 The 'green' open access deposit of all doctoral theses in the UHRA following award is mandatory.
- 4.3.2 Deposit is carried out directly into the UHRA by the research degrees administration team.
- 4.3.3 The British Library harvests University of Hertfordshire theses directly from the UHRA for the EThOS⁵ service.

4.4 Multiple models of publication and dissemination

- 4.4.1 The University will continue to promote and support the use of multiple models of publication and dissemination of research outputs (in addition to 'green' open access deposit) to take account of the diversity of formats, of practice in different subject disciplines, and of funding body grant conditions. The University acknowledges the specific challenges relating to non-journal-article open access and supports academics during this period of transition.
- 4.4.2 Funding body grant conditions relating to research output publication requirements will be *noted* at the time of award.

⁵ <http://www.ethos.ac.uk/>

4.5 Research publication and dissemination plans

4.5.1 Research publication and dissemination plans will form an integral part of the University research strategy and those of individual Research Centres, including:

- i the implementation of this University policy and its principles and practices;
- ii compliance with funding body requirements;
- iii compliance with *Research England's* Research Excellence Framework (REF) requirements⁶,
- iv the diversity of formats and publication practices for different subject disciplines;
- v the identification of relevant 'green' open access subject repositories (for example, 'ArXiv', 'PubMed Central') for use in addition to the UHRA.

4.6 Academic decision

The University respects informed academic choice about the most appropriate publication and dissemination options for specific research outputs for maximum advantage, in addition to required 'green' open access deposits in the UHRA.

4.7 University Open Access Fund

4.7.1 The University will provide a limited annual Open Access Fund to support appropriate 'gold' open access publication of research outputs, in addition to the required 'green' open access via the UHRA, where the APCs are not eligible research project costs or covered by the *UKRI Open Access Fund allocated* to the University.

4.7.2 Subject to the availability of moneys within the Fund, APCs for 'gold' open access will be released on the basis of *meeting* agreed criteria *set by the Pro Vice-Chancellor (Research and Enterprise)* and administered centrally by a nominee of the Chief Information and Digital Officer. *The criteria will be reviewed and agreed periodically by the Pro Vice-Chancellor (Research and Enterprise) and the Chief Information and Digital Officer.*

4.8 Advice, guidance and support

The University will provide advice, guidance and support for its research community in implementing this policy, its principles and practice, including the provision of training programmes and assistance with complying with funding body requirements and with licensing arrangements.

5 Review arrangements

The Chief Information and Digital Officer is responsible for monitoring open access developments and the changing academic publishing landscape. The Chief Information and Digital Officer will review the policy set out in this document and its

⁶ <https://2029.ref.ac.uk/guidance/ref-2029-open-access-policy/>

supporting principles and practice (UPR IM18) periodically and will advise the Vice-Chancellor and the Pro Vice-Chancellor (Research and *Enterprise*) concerning any recommended changes required to enable the University to continue to take advantage of Open Access.

Dr Matthew Andrews
Secretary and Registrar
Signed: **1 September 2026**

Alternative format

If you need this document in an alternative format, please email us at governanceservices@herts.ac.uk.

6 Appendix 1 - Rights Retention

This section covering the Rights Retention principles of the University Open Access Policy will be implemented from 1st October 2026.

- 6.1 *The following rights retention principles apply to journal articles and conference contributions that have an International Standard Serial Number (ISSN), authored or co-authored by or in collaboration with Member(s) of the University (see UPR GV06³), and includes any third-party content where rights in that content have been secured. The rights retention principles apply to these output types regardless of how the output was funded or if it is being considered for inclusion in the REF. Any articles submitted, or accepted, for publication before the adoption of this policy are exempt.*
- 6.2 *Whilst the rights retention principles of the policy do not currently apply to monographs, scholarly editions, textbooks, book chapters, collections of essays, datasets, or other outputs that are not journal articles or conference proceedings, the University strongly encourages researchers to make them as openly available as possible, except where the University has identified potential for commercial exploitation, as set out in UPR CA04⁷.*
- 6.3 *Where a funder or research assessment exercise (e.g. REF) requires the retention of rights for long-form publications, this must be strictly adhered to.*
- 6.4 *The rights retention principles empower researchers to retain the rights to their work. They allow the University and its researchers to comply with funder and REF requirements, and enable research and scholarship to be disseminated as widely as possible, whilst allowing researchers to publish their work in a journal of their choice.*

6.5 Policy requirements

- 6.5.1 *Under its Intellectual Property Policy, UPR CA04⁷, the University confirms that copyright ownership of Scholarly Works (as defined in paragraph 11.1 of CA04) not identified by the University as having commercial potential, shall be retained by the author.*
- 6.5.2 *Section 11.4 of the Intellectual Property Policy, UPR CA04⁷, establishes that:*
- “In return for the University agreeing that the author of the Scholarly Work retains the copyright vesting in such works, each Member of the University hereby grant to the University automatically on creation of such Scholarly Work (or transfer of the copyright to the Member) a non-exclusive, irrevocable, perpetual, royalty free, worldwide, transferable, sub-licensable licence to use and modify the copyright vesting in such Scholarly Works;*
- i for educational, research, teaching and administrative purposes; and*
- ii to make any author accepted manuscripts of journal articles and*

⁷

[UPR CA04 'Intellectual Property'](#)

conference contributions that have an International Standard Serial Number (ISSN) publicly available under the terms of the Creative Commons Attribution CC BY Licence², as can be found here: <https://creativecommons.org/licenses/by/4.0/>, or other equivalent open access licence.”

- 6.5.3 For the Purposes of Rights Retention, and in alignment with the expectations of research funders, for journal articles and conference contributions with an ISSN, authors are recommended to include the rights retention statement below in all manuscripts submitted for publication: “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.” This should be acknowledged in the submitted manuscript, and any cover letter/note accompanying the submission. If required by specific funders, an alternative statement with the same intention should be used instead.*
- 6.5.4 Upon acceptance for publication, authors will upload an electronic copy of the AAM of each article/conference proceeding via the Research Information System (RIS).*
- 6.5.5 The University will make the full text of the AAM publicly available via the UHRA (institutional repository) immediately following the date of first online publication (or the conference end date for conference proceedings) under a Creative Commons Attribution (CC BY) licence.*
- 6.5.6 The University recognises that there may be cases, outside of author’s control, where it is not possible to follow this policy exactly. In exceptional cases, it may be permissible for the author to opt out of the requirement for immediate open access upon publication, or the assignation of a CC BY licence. Opting out may cause the University and/or the author to be non-compliant with funder policies and the output to be ineligible for the REF. To opt out, authors therefore need to contact the Research and Scholarly Communications team at rsc@herts.ac.uk with details of the publication and the reason for requesting the opt out. Permission to opt out will be at the University’s discretion.*
- 6.5.7 Where articles are co-authored with authors at another institution, University authors must still endeavour to meet the requirements of this policy in full, and this should be brought to the attention of co-authors when initiating collaborations.*