

Version control

Ver	Date	Changes	Name	Author
1.0	Jan 2022	First version – (circulated to DoR and other relevant parties)		
1.1	7 March 2022	Second version to incorporate comments and updated with new UKRI related		
1.2	16 March 2022	Third version – incorporate comments from IS and Planning		
2.0	10 Jan 2024	4 th version – updated to amend policy to support rights retention for research articles. Appendix added: FAQ. Minor updates to update links and numbering.		Linda Kerr
2.1	9 April 2025	5 th version – minor updates to terminology and updated links. Workflow added to FAQ. Start date for policy updated to 1 st July 2025		Linda Kerr
2.2	7 th August 2025	6 th version – updated to change start date of Policy to 1 st Nov 2025. FAQ updated.		Linda Kerr

Approving authority:	Senate/SCIBE
Consultation via:	UCRI
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Review period:	August 2026 and then August 2029
Responsible Executive:	Global Director of IS
Responsible Office:	Information Services

1. Introduction

Heriot-Watt University recognises the open and wide publication of research outputs and outcomes is an essential part of the research process. It plays a crucial role in the dissemination of knowledge and in the promotion of individual researchers and the institution.

An important development has been the increased drive towards Open Access publication as part of a wider Open Research agenda. Plan S is an initiative for open access publishing, created by a coalition of international research funding organisations, which aims to accelerate the transition to full open access. Plan S requires that, from 2021, scientific publications that result from research funded by public grants must be published in compliant Open Access journals or platforms. UKRI and other major research funders such as Wellcome and the EU are Plan S signatories.

The increased emphasis within the UK higher education sector on public accountability and impact assessment has made it critical that the University manages information about, and access to, research outputs and outcomes.

2. Purpose

The Research Publications and Outcomes Policy will assist in raising the profile of Heriot-Watt University's research, and in calculating bibliographic measures such as citation counts. The University risks losing research funding if it fails to meet funders' expectations. The following policy outlines the University's expectations. It underpins the University's commitment to Open Research and promotes the use of Pure in gathering information about research outputs and outcomes, both for internal management and external research assessment. It takes effect from November 2025.

3. Updated Policy (January 2024)

The updated Policy (draft January 2024, takes effect July 2025) supersedes and updates the previous Research Publications and Outcomes Policy passed in 2022.

The updated Research Publications and Outcomes Policy (RPOP) builds on Heriot-Watt University's [Intellectual Property Policy](#) relating to Scholarly Works, to enable researchers to assert their rights to use and reuse their Scholarly Works and retain the right to deposit their accepted manuscript in Pure with no embargo and a CC-BY or similar licence..

Under the IP Policy, staff members, visiting scholars and students grant to the University "a perpetual licence to use his or her Scholarly Work for the University's own Research, academic and teaching purposes". (IPP [Clause 5.6](#)).

Under the updated RPOP, the University asserts the right of the author to retain copyright of the accepted version of their articles and conference proceedings (AAM) by prior notification to publishers by letter that this Policy is in place, and this prior policy takes precedence of any subsequent assignments or licences of copyright in the AAM.

Authors therefore do not need to request permission from the publisher to deposit their accepted manuscript in Pure with no embargo and a CC-BY licence.

Longform publications are not subject to the new Research Publications and Outputs Policy but authors should follow funders' requirements on Open Access for longform publications.

The updated Policy updates Objective 4.3 below to include the requirements on the researcher to deposit their research articles and conference proceedings in Pure with no embargo and apply a CC-BY licence to the deposited paper.

If the author is unable to obtain agreement from a publisher, who after correspondence does not acknowledge the prior licence, then authors can, after consultation with Research Support and if required the Director of Research, opt out all or part of rights retention providing funders' policy requirements are met (see section 4.1 below).

4. Objectives

4.1. Researchers should choose the most appropriate place to publish their research output and are encouraged to ensure the quality and impact of their output when selecting

where to publish. It is the responsibility of the researcher to comply with funders' open access policies and to meet any other contractual requirements. Sanctions could be applied by the funder if the paper does not meet their open access requirements.

- 4.2. All research publications/outputs must be recorded in the Pure current research information system.
- 4.3. Researchers must deposit in Pure the author's accepted manuscript (AAM) or Version of Record (VoR), as appropriate, of journal articles or conference proceedings with an ISSN prior to, or immediately on, online publication and within 3 months of the acceptance date. **AAMs should be deposited with no embargo period and a CC-BY, or equivalent, licence.** If there are any reason why either the licence or the embargo period is not appropriate, contact open.access@hw.ac.uk prior to acceptance to discuss your options.
- 4.4. Researchers are encouraged to deposit in Pure, where copyright allows, the full-text of all published research outputs. This includes monographs, edited chapters, working papers, conference papers and preprints. Where there is a funder requirement to make an output open access, this must be followed.
- 4.5. The University supports both green and gold open access publishing with a preference for green publishing i.e. the deposit of the author accepted manuscript (AAM) or version of record (VoR) in Pure with no embargo period and a CC-BY, or equivalent, licence.
- 4.6. Where green open access is not available, the University will pay open access fees for UKRI-funded research papers and conference proceedings published in UKRI-compliant Gold Open Access journals or open access publishing platforms, subject to the availability of funds. UKRI Open Access for Longform Publications book processing charges (BPC) are administered via the Research Support Team, IS.
- 4.7. In addition, the University has signed Open Access Agreements with a number of publishers to make all Heriot-Watt University-affiliated corresponding authors' paper published in the included journals open access on publication.
- 4.8. Researchers should consult the relevant guidance on the Information Services Research Support SharePoint for more information on Open Access Agreements and on complying with UKRI and other funders' open access policies and requirements.
- 4.9. Researchers must obtain clearance for the rights that any third parties may hold in a research output before it is deposited in Pure.
- 4.10. Researchers should deposit any supporting files that relate to research outputs with the paper. For datasets please refer to refer to the [Research Data Management Policy](#).
- 4.11. Where stipulated by the Funder, an appropriate version of the research paper must be deposited in Pure and in the specified third-party repository – for example PubMed or NERC repository.
- 4.12. All publications submitted to a publisher must include Heriot-Watt University as the author affiliation and use the Heriot-Watt University standard address convention (see

Appendix 1). Other institutions can be recognised where the author holds an Honorary position or has been on a secondment or sabbatical during the period of research.

- 4.13. Publications must include a funder statement (see Appendix 2).
- 4.14. Research articles must include a Data Access statement, even where there are no data associated with the article or the data are inaccessible. Please refer to the [Research Data Management Policy](#) for further details.
- 4.15. Researchers are required to sign up for an ORCID ID¹ and use this in grant applications and manuscript submissions. This can be done via Pure or directly via ORCID. ORCID IDs must be added to Pure profiles.
- 4.16. Other research outcomes should be added to Pure at the earliest opportunity. In this instance Impact, Activities (such as conference attendance) and Media representation should be considered as an outcome.

5. Scope

This policy applies to all research outputs and outcomes created by employees of Heriot-Watt University on a research contract or where publication of research is an expectation of their employment. It is highly recommended that Emeritus and Honorary Members of staff follow this Policy.

6. Lines of Responsibilities

The Assistant Vice Principal - Research and Impact is responsible for overseeing institutional compliance with this Policy.

Information Services provides supporting data and management information, guidance and advice in support of the Policy.

Planning Directorate – monitoring compliance.

7. Monitoring and Evaluation

The policy will be reviewed after one year to ensure compliance with current legislation, codes of practice and regulatory standards, to take account of infrastructure developments and the needs of the research community.

Compliance with an Open Access Policy is also a condition of grant by Funders. The University reports annually on compliance to UKRI and the British Heart Foundation.

8. Related Policies and Guidance

¹ <https://www.hw.ac.uk/uk/services/is/research-support.htm>

[Research Data Management Policy](#)

[University Research Ethics Policy](#)

[Intellectual Property Policy](#)

[Heriot-Watt Open Access Publishing and Rights Retention](#)

9. External Policies

[UKRI Open Access Policy](#)

[UKRI Open Access Policy: frequently asked questions](#)

[SCURL Rights Retention Statement](#)

[REF 2029 Open Access Policy](#)

Appendix 1 Recording Affiliations

As a minimum the affiliation should include one of the following:

Heriot-Watt University

Heriot-Watt University Malaysia

Heriot-Watt University Dubai

with a comma separating the address fields

External associations can be included but must follow after Heriot-Watt, with each association separated by a semi-colon.

Appendix 2 Funder Acknowledgement

We recommend that when funders next amend their terms and conditions of grant they specify that all published research articles should have a funding acknowledgement in the form of a sentence as follows, with the funding agency written out in full, followed by the grant number in square brackets.

Multiple grant numbers should be separated by comma and space. Where the research was supported by more than one agency, the different agencies should be separated by semi-colon, with “and” before the final funder.

Appendix 3 Frequently Asked Questions – Rights Retention

Does Rights Retention apply to co-authors?

Yes, but it is recognised that co-authors may need to inform their co-authors of the Policy and request that the Rights Retention Statement is included in any submission. As more UK institutions implement rights retention, this will become standard practice.

What are my responsibilities as corresponding author?

All authors must agree to apply the CC-BY licence to the submitted manuscript, and this should be agreed before submission as part of the agreement between authors. Email correspondence is acceptable, for example:

Dear Co-author(s)

Heriot-Watt University's Research Output and Publications Policy incorporates rights retention. This means that I automatically provide the University with the rights to make the author accepted manuscript (AAM) of my journal articles and conference proceedings available under a Creative Commons (CC BY) 4.0 Licence without embargo.

Please let me know if you think there is any reason why we cannot make the AAM of our work available on this basis.

Why does the Policy require a CC-BY licence?

The CC-BY licence is the most open licence and is required by UKRI for research articles resulting from research it funds. However, there may be occasions where another licence is appropriate, for example an Open Government Licence or a non-commercial licence. This Policy does not change when an author chooses to publish research outputs as a paper or dataset; results may be embargoed to allow commercial exploitation.

Does Rights Retention apply to other members of the University community – professional services staff, teaching staff or post-graduate researchers?

It does not apply but Emeritus academic staff, professional services staff and research students are encouraged to retain their rights under the Research Publications and Outputs Policy and deposit the AAM in Pure with no embargo and a CC-BY licence.

What happens if a publisher does not agree to rights retention on an AAM?

The University supports the researchers right to publish where most appropriate. If a publisher does not agree to rights retention on the AAM, the author should contact open.access@hw.ac.uk to discuss options.

AAMs published via the Research Portal are published with a "Take down Policy" and a publisher can contact open.access@hw.ac.uk, and the claim will be investigated.

Does this Policy apply to longform publications?

Not currently. Longform publications include monographs, edited collections, book chapters, conference proceedings with an ISBN. Authors are encouraged to retain their rights and deposit the AAM where possible. UKRI Open Access Policy now extends to longform publications and grant-holders should comply with this policy.

See: [UKRI Requirements for long-form publications](#)

How is third party content in research articles affected by this Policy?

Third-party material is not required to be included under a Creative Commons, or other open licence. It should be included within your publication subject to the licence or terms under which its use was permitted by the rightsholder, for example on an 'all rights reserved' basis.

See: [Good practice guidance for managing third party copyright](#) (12 October 2023, UKRI, Clare Painter Associates.)

Can I opt out of the Policy?

Yes, if this is agreed as the best option with the Open Access team, and the appropriate academic authority in your School or Institute. Contact open.access@hw.ac.uk.

What do I need to do to comply with Rights Retention?

Before submitting:

1. Check your publisher is on the list of publishers* contacted by the University
2. If they are not, contact open.access@hw.ac.uk
3. Discuss rights retention with your co-authors
4. Submit your manuscript
5. Read your author agreement to check it complies with the Research Publications and Outcomes Policy

Heriot-Watt co-authors should ensure that the corresponding author is aware of the Rights Retention policy and requirements on Heriot-Watt authors and if appropriate include a rights retentions statement in the submitting letter and manuscript. Many UK institutions now have [Rights Retention policies](#)

Rights retention statement:

"This research was funded in whole or in part by [Funder] [Grant number]. For the purpose of Open Access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript (AAM) version arising from this submission."

On acceptance

6. Deposit your Accepted Manuscript in Pure. Apply a CC-BY licence. Your record will be checked and validated by the Research Support team.

*For a list of publishers and for updated information, please see [Open Access Hub](#) or contact: open.access@hw.ac.uk