

# OPEN ACCESS AND INSTITUTIONAL RIGHTS RETENTION POLICY

September 2025

# Contents

|   |   |
|---|---|
| Summary.....  | 4 |
| What is this document about? .....                                    | 4 |
| Who is this for?.....   | 4 |
| How does the University check this is followed? .....                 | 4 |
| Who can you contact if you have any queries about this document?..... | 4 |
| Executive summary .....   | 4 |
| 1. Background.....  | 5 |
| 2. Routes to Publication and Copyright Licensing.....                 | 6 |
| 3. Open Access and Institutional Rights Retention Policy.....         | 7 |
| 4. Definitions.....   | 9 |

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The latest version of this document is always to be found at:

<https://policies.docstore.port.ac.uk/policy-066.pdf>

# Summary

## What is this document about?

- The funder and REF requirement for Open Access for certain publication types (journal articles and conference papers) authored by academic staff.
- The University's support for its authors opting for the Green Open Access route, by enabling Rights Retention of their author accepted manuscripts.

## Who is this for?

University of Portsmouth authors.

## How does the University check this is followed?

The validation process for research outputs in PURE (the University's research repository), compliance with Open Access mandates, and Open Access publishing processes, are managed by the Senior Research Outputs Officer in the Department of Research and Innovation.

## Who can you contact if you have any queries about this document?

Jo Corbett (Head of Research) or Andrew Clark (Senior Research Outputs Officer): [openaccess@port.ac.uk](mailto:openaccess@port.ac.uk)

## Executive summary

The University of Portsmouth Open Access and Institutional Rights Retention Policy describes the appropriate publication routes for compliance with Open Access mandates. This policy also demonstrates the University's wider commitment to Open Research, by outlining the conditions in which the University's authors can retain copyright to their author accepted manuscripts. This can be achieved by authors adding Rights Retention text in the Acknowledgements section of the manuscript they have submitted for publication (3.4). This enables University authors to self-archive author accepted manuscripts in PURE, with no embargo, and with a Creative Commons Attribution (CC-BY) license applied.

## 1. Background

- 1.1. The University of Portsmouth is committed to the principles and objectives of Open Research. We believe that maximum visibility, accessibility and impact can be achieved through unrestricted online Outputs access, and we support the ambition of [REF](#) and various major research [funders](#), many of whom mandate open access, to allow access to the widest possible community.
- 1.2. Our Open Access and Institutional Rights Retention Policy (“Policy”) is part of this commitment and supports University of Portsmouth staff to ensure that, where possible, research Outputs produced at the University of Portsmouth are freely available to be used by anyone, anywhere in the world, without restrictions. This Policy sits alongside the University’s Management of Staff and Student Intellectual Property Policy, which already grants licences to the University for the use of scholarly works for specified purposes (including promotional, research and innovation purposes).
- 1.3. Definitions used in this Policy are set out in Section 4 of the Policy.
- 1.4. The University’s preferred choice of route to Open Access is by making the Author Accepted Manuscript of a published Output accessible through the University’s Institutional Research Repository (currently PURE). The University will continue to support and enhance its Institutional Research Repository as a mechanism for recording details of all Outputs published by Authors, and a means for making Author Accepted Manuscript openly available online. The University recognises the importance of subject repositories, and encourages Authors to use them when appropriate. However, Authors must also deposit their Outputs in the Institutional Research Repository in accordance with this Policy, as this allows the University to promote and manage Outputs, including monitoring the REF submission and other funder reporting requirements.
- 1.5. Traditionally, Authors have transferred copyright in Outputs to publishers, limiting Authors’ ability to share and reuse their work (unless their work is published by the ‘Diamond’ or ‘Gold’ Open Access routes; See section 2). Rights retention asserts the legal rights of the Author, as the original copyright holder of their scholarly work (as outlined in the University’s IP Policy), and grants the University the license to distribute the peer-reviewed Author Accepted Manuscript on the Institutional Research Repository, without embargo and with a Creative Commons license (e.g. CC-BY). Our Policy empowers researchers by giving them control over their intellectual property and enabling them to distribute their work more widely, increasing its visibility and impact. It also supports researchers to comply with funder and REF requirements without compromising their ability to publish in prestigious journals. This Policy is, therefore, a key component of the University’s support for Open Research.

## 2. Routes to Publication and Copyright Licensing

There are three main routes to ensure that research is made Open Access:

- 2.1. **Diamond Open access:** is a scholarly publishing model where neither the Authors nor readers are charged fees. This means that articles are freely accessible online without subscription fees for readers or article processing charges (APCs) for authors. This is rare in traditional journals and these journals are typically community-driven, academic-led, and often supported by institutions, funders, or other organizations. Outputs in these journals are typically published with a Creative Commons CC-BY licence (or similar) which enables the most open reuse of research.

- 2.2. **Gold Open Access:** involves the Author publishing their research in an open access journal, which typically requires an APC paid by the author or their institution, but the article is freely available to everyone immediately upon publication. Gold Open Access is also an available option in subscription-based hybrid open access journals. The University has a [fund for paying APCs](#), but this is not sufficient to cover all publications by University of Portsmouth staff. The University also signs up to a number of [read and publish deals](#) where the APCs for articles accepted in these journals are covered by the deal; **this option should be the first port of call for researchers who want their work to be Gold Open Access.** Outputs published as Gold Open Access are typically published with a Creative Commons CC-BY licence (or similar).
- 2.3. **Green Open Access:** the Author publishes in a subscription-based hybrid open access journal that restricts access to published content behind a paywall, and the Author has neither paid the APC for Gold Open Access, nor is the APC covered by a read and publish deal. Typically, once an article has been accepted for publication, the corresponding Author is asked to sign a publishing agreement which may transfer copyright to the publisher and the Author will upload the Author Accepted Manuscript version of their manuscript into the Institutional Research Repository. However, after signing the publishing agreement, article sharing and reuse options are typically imposed by the publisher, who may not use a CC-BY licence (or similar), and may include embargo periods. This restricts access, reuse and sharing options for these articles, and may result in non-compliance with funder requirements or the article becoming ineligible for REF. However, by following the steps detailed in this Policy (see Section 3) Authors will retain the right to deposit their Output in the Institutional Research Repository without embargo and for subsequent reuse under a CC-BY licence.

### 3. Open Access and Institutional Rights Retention Policy

- 3.1. This Policy applies to all Authors who are employed by the University of Portsmouth (including employment by University of Portsmouth subsidiaries or affiliations) at the time when their Output is accepted for publication.
- 3.2. The Policy applies to Outputs published by or on behalf of University of Portsmouth staff on or after 1st September 2025. Other types of publication are not in-scope of this Policy. However, where possible, Authors should try to follow this guidance for other forms of research output (e.g. long form outputs).
- 3.3. Authors must use the following standardised institutional affiliation in all Outputs: University of Portsmouth (plus School/ Departmental affiliation, etc). Where research is funded through an external grant, Authors must acknowledge the source of grant funding associated with a research Output and comply with the funders' policies relating to Open Access and research data management (see Section 3.7 for further details).
- 3.4. Authors are strongly encouraged (but not required) to add the following text in the acknowledgements of their manuscript Output submitted for publication: "For the purpose 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."

A core list of publishers has already been contacted by the Open Access Team in DRI to inform them about this Policy, and the Open Access Team may continue to contact additional publishers and inform them about this Policy from time to time. When submitting an Output for publication, Authors should consult the up-to-date version of [this list of contacted publishers](#). If an Author wishes to submit an Output to a publisher who is not included in this list, in advance of submitting the Output to that publisher they should contact [openaccess@port.ac.uk](mailto:openaccess@port.ac.uk) to inform the Open Access Team about the publisher they wish to use, so that they can be contacted and added to this list.

- 3.5. Irrespective of the pathway that the Author has used to make the research Output Open Access (e.g., 'Diamond', 'Gold', 'Green'), **as soon as the Output is accepted for publication (and no more than one month after first publication)** Authors must add the following to the Institutional Research Repository:
  - 3.5.1. bibliographic information (metadata) describing the Output (including, for example: Authors, title, journal, abstract and full acceptance date); and
  - 3.5.2. the Author Accepted Manuscript version of the Output.
- 3.6. When an Output is first published, the Open Access Team will be responsible for making the deposited Author Accepted Manuscript version of the Output Open Access on the Portsmouth Research Portal without embargo and with a CC-BY license.
- 3.7. The only situations where this policy does not apply are where there are legal, commercial, ethical, or practical reasons that prevent compliance (e.g., the publisher / a co-author will not accept the conditions of this policy; third-party materials are unable to comply with the policy). In such situations the Author must liaise with the Open Access Team ([openaccess@port.ac.uk](mailto:openaccess@port.ac.uk)) to ensure they are supported. Please note that opting-out could result in the research Output being ineligible for submission to the REF.

## 4. Definitions

- 4.1 Open Access: the free, immediate, online availability of Outputs, combined with the rights to use these outputs fully in the digital environment.
- 4.2 Rights retention: allows authors to retain certain rights in and to their own work (for example a journal article).
- 4.3 Output: A peer-reviewed paper published in a journal or conference proceedings with an ISSN.
- 4.4 Author Accepted Manuscript: The 'full-text' version of the Output that has been accepted for publication after the peer-review changes have been incorporated (sometimes referred to as the 'post-print' or 'final author' version). It should not include the publisher's own formatting, and the file type must allow electronic searching within the text.
- 4.5 Author: A person who has contributed to the research and writing of the paper, and therefore whose name is listed as an 'author' on the Output.
- 4.6 Institutional Research Repository: The University's online archive of academic output, which is currently provided through the PURE system.

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