University of the Highlands and Islands

Research Publishing: Open Access Policy 2025

POL101

Lead Officer (Post):	Dean of Research and Knowledge Exchange
Responsible Office/ Department:	Research Office
Responsible Committee:	Research and Knowledge Exchange Committee, Partnership Council
Review Officer (Post):	Research Information Systems Officer
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Date of Privacy Impact Assessment:	n/a

Accessible versions of this policy are available. Please contact the University Governance team.

Policy Summary

Overview	UK researchers are required by many agencies to ensure any funded research is openly available to anyone with an internet connection without any paywall or restriction. Different agencies have varying requirements, this policy distils the main points of the policies most relevant to our work into a framework UHI researchers can use to ensure compliance, and provides links to agency websites. Due to the changing landscape of OA this policy now includes references to 'Rights Retention Policy' with links to further guidance on how to implement a 'Rights Retention Statement' on publications and UHI policy on using the statement. All references to RRP and RRS in this policy are coloured purple.
Purpose	This policy sets out the steps required to ensure published research results comply with the various mandates from key funding bodies. It is intended to ensure university staff and students are acting within sector 'best practice' frameworks, and to make sure university research results are both openly available wherever possible, and available in the correct way on the correct platforms. The policy sets out university requirements based upon internal requirements and those of some key funders and frameworks. This policy updates and supersedes all previous University of the Highlands and Islands 'Research Publishing: Open Access Policy'.
Scope	This policy applies to all employed staff of, and enrolled students of, the University of the Highlands and Islands and all Academic Partners, who publish research results in any form on any public platform, be it digital or paper, or another appropriate medium or format. The policy applies to print and digital materials uploaded to internal technologies and external technologies used by university and Academic Partner staff to record and make available the results of research conducted at the university or academic partner.
Consultation	Interested parties across UHI Libraries, Research Office, partner research departments, Research and Knowledge Exchange Committee (RKEC), Legal Services have been invited to contribute to this policy revision.

Implementation and Monitoring	The UHI Research Office, Legal Services, members of RKEC and Academic Partner Research Committees are responsible for ensuring this policy is visible and known to all research staff.
Risk Implications	Not complying with the principals presented in this policy could result in research funding being re-claimed, the university not being eligible for certain funding, or could leave the university vulnerable to legal action, fines and reputational damage. For individuals, not implementing the various guidelines outlined could result in irrevocable plagiarism or misuse of research work.
Link with Strategy	Compliance, increasing research income and growing our research base.
Impact Assessment	Equality Impact Assessment: The policy applies equally to every member of staff or publishing research student without exception.
	Privacy Impact Assessment: The policy does not require the storage or use of personal information – PIA's are in place for internal systems used to record the subjects of this policy.

Every section of text in purple is related the UHI rights retention strategy

1. Policy Statement

The university is committed to ensuring the widest possible access to the outputs of its research activities to encourage community engagement, reuse and societal impact. This combined OA policy and Rights Retention policy aligns with sector, national and international mandates supporting open research and the open sharing of research results.

The concept of Open Access publication for research outputs from publicly funded research is not new, but it has been growing in significance in recent years. As a result of the publication in 2012 of the report from the National Working Group on Expanding Access to Published Research Findings, and the UK Government's subsequent acceptance of the report's recommendations, many national governments, funding councils and agencies across the globe now require research findings to be published on an open access basis; OA has become the expected best practice.

Advocates of OA stress public funds pay for most of the research and publishing costs via various funding models. Moving research findings onto open platforms is intended to ensure that the public and fellow researchers across the globe have unhindered, free access to the results of that investment as soon as possible once the research finding has been published. This open access will in turn, it is argued, encourage greater understanding of research activity, ensure broader and faster dissemination of research findings, encourage collaborative working methods and the sharing of ideas across academic and business sectors, and secure significantly increased public engagement with research at all levels.

2. Definitions

AAM	Author Accepted Manuscript; the final peer-reviewed version of a research output, prior to publisher formatting
APC	Article Processing Charges
Funder Mandates	Requirements set by research funding bodies (e.g., UKRI, BBSRC, Wellcome, EU) to ensure Open Access compliance.
Embargo	A period imposed by publishers during which full-text access to a research output is restricted.
OA	Open Access - Free, immediate online access to research outputs, enabling reuse with proper attribution.
RRP	Rights Retention Policy - An institutional framework that secures the university's right to distribute research outputs openly.
RRS	Rights Retention Statement - Rights retention allows authors to retain key rights over the author accepted manuscript, rather than signing them away to your publisher.
UKRI	United Kingdom Research and Innovation

3. Purpose

This policy sets out the steps required to ensure published research results are published openly and comply with the various mandates from key funding bodies. It is intended to ensure university staff and students are acting within sector 'best practice' frameworks to ensure the research outcomes of UHI researchers are both openly available wherever possible, and available in the correct way on the correct platforms. The policy balances university requirements and those of some key funders and frameworks, as outlined next.

The use of Rights Retention Statements (RRS) for authors emphasises the University of the Highlands and Islands is committed to making the outputs of our research freely and openly accessible. RRS allows to make research outputs openly accessible in alignment with funder requirements, institutional goals, and best practices in Open Access. Or to put it another way, a publisher should not be able to bar authors from sharing their work outside of that publisher's platform, using RRS and reflecting this in other exploitation routes ensures the authors remain in control of the work. By securing rights at the point of acceptance, this policy means that authors can share their research without publisher-imposed restrictions or embargoes, and:

1. Ensures researchers retain necessary rights to share their work openly.
2. Facilitates compliance with funder Open Access requirements.
3. Reduces reliance on costly publisher agreements and embargo periods.
4. Promotes the visibility, accessibility, and impact of institutional research outputs.

3.1 Issues to consider when developing a project or publication

Establishing OA as the default publishing method has meant the requirements placed upon university staff and the mechanisms of publishing have changed markedly. For research staff and students at UHI, the following factors must be considered as part of project development and during preparations to publish research results on any platform.

a) **Government, Funding Councils and Research Councils Policy** – The Funding Councils and the Research Councils all have their own OA policies with varying requirements. Types of publishing agreement vary but mostly fall into four groups; Gold access, Green access, Journal free access or Diamond access. However, there are many similarities in these requirements. The guidelines set out in this policy adopt the main elements of most of the Open Access policies that UHI researchers might expect to be involved with but researchers must always check the policy of their particular research funders.

b) **Research Assessment Framework (REF)** – The REF assessment exercise has a requirement for outputs submitted to be openly accessible. Due to the relatively high percentage of funding UHI achieves from the REF, UHI Must continue to ensure **all** our research outputs comply with the REF OA mandate, wherever possible.

c) **Global publishing trends** – Consideration that higher education operates in a world market, and UHI must ensure it is part of that the drive towards Open Access globally, and UHI researchers have the best opportunity possible for collaboration.

d) **APC Costs** – The way UHI pay for publishing research and reading the outcomes of research has also changed markedly over recent years. APC costs are more often being included in publishing and subscription fees in what was initially termed 'Read and Publish agreements' but now more often referred to as 'Transformational Agreements'. There are various webpages within UHI libraries and the UHI Research Office to help steer researchers through

the wider terms and agreements in use and in place for UHI; these are mentioned fully in section 8.

e) **Embargo periods** – Embargo periods for Green Open Access (see section 3.2 for definition) are becoming less common but can still range from 6 – 24 months with the UK Funding Councils working hard to try to ensure that this comes down to a maximum of 6 or 12 months. REF criteria requires a maximum embargo period of 6 months from first publication (online or in print) of the final version of record, therefore 6 months must be adopted by authors as the benchmark maximum embargo with any longer period being used only in special circumstances and subject to the approval of the Dean for Research & Innovation.

f) **Strategic Planning** – Appropriate strategic management of UHI research publications, their visibility, and the overall cost, to facilitate the longer-term aims and objectives of the University including building-up its world class level research activity in several discrete areas, is a major driver of our OA policy. This requires clear, deliberate and considered publishing plans across all locations, all disciplines, and all REF units, which will involve detailed processes of mentoring, coaching, training, and review.

g) **Intellectual Property (IP) considerations**– Section 6 of the UHI IP policy states that "IP created through your normal work at your employer is owned by your employer". With this basis in mind the university is able to assert its rights to any work by applying the Rights Retention Statement to all published work. By implication this gives every author employed by the university the right to retain control of any work produced while employed by the university, notwithstanding the IP to the work being owned by the university. IP must be considered fully and appropriately, to secure for UHI potential income streams from research discoveries that UHI might wish to be able to exploit fully as a university.

h) **Copyright –** UHI IP Policy reserves copyright to UHI/ Academic Partners. Researchers must ensure you, the university or an Academic Partner own the copyright to all aspects of your published work, or have explicit written permission from the copyright owner, where aspects of the publication are not owned by them. Researchers must continue to comply with the UHI Intellectual Property Policy.

i) **Retaining the rights to your work –** The use of a Rights Retention Statement should be applied to all new publications – see section 8.6 of this policy

j) **Licence to choose –** It is expected most publications will apply a CC BY licence and use of any other form of licence should be reviewed by UHI Legal Services.

k) **Affordability** – Resources to facilitate progress towards UHI's research ambitions and continued payment of subscription fees/publishing deals is always balanced very carefully to allow our researchers the best global visibility, while being carefully managed. UHI does not receive any 'Block Grant' for OA publishing from UKRI, so our OA funds need to be sourced from elsewhere.

REF compliance for outputs [Researcher Resources on SharePoint](#)

APC   [Researcher Resources on SharePoint](#)

IP guidance and policy   [Researcher Resources on SharePoint](#)

Read more on [Copyright: UHI Libguide](#)

Read more on [Open Access Licences: UHI Libguide](#)

4. Scope

All research staff and students of all levels who are publishing research findings in any medium or platform, be it journal articles, books/book chapters, monographs*, exhibited work, project finding, blogs, journal letters, software, datasets are expected to be aware of and comply with the principals within this policy.

This policy applies to all researchers which includes anyone publishing the outputs of their academic research activity at the University of the Highlands and Islands.

Please note: this policy only applies to first copyright in authored research publications. It does not extend to other Intellectual Property that may be created during the course of research. For more detail please refer to the UHI Intellectual Property policy.

Authors of monograph style long-form outputs should note that from 1 January 2026 UKRI funded monographs (and possibly other funders yet to confirm) must also be published with an open access licence on an open access platform.

5. Exceptions

It is recognised there may be extremely limited exceptions where compliance is not possible for a variety of reasons (for example, when a journal policy is at odds with UHI policy, but the journal has been decided as absolutely the correct place to publish a specific article). There must be clear reason for any exception, and consultation with the university Dean of Research and Innovation should always precede any decision that would not be in compliance with the principals set out in this policy.

Exceptions to using a RRS (also termed opt-out) may be granted on a case-by-case basis in exceptional circumstances which may include the following:

- When the research output is subject to a third-party contractual restriction.
- When a copyright, confidentiality or security issue prevents public sharing. The work might contain a substantial amount of 3rd party materials which cannot be licensed CC-BY and the redaction of 3rd party materials will compromise the reading of the article.
- Co-authors cannot agree to use CC BY licence.
- A publisher will not publish the output with the Rights Retention Statement intact, but it is deemed necessary to use that publisher.
- When an alternative Open Access route is mandated by the funder.

Requests for exceptions must be submitted to the Dean of Research and Innovation via the Research Office, who will consult with the Library and Governance teams for review and decision. Please email openaccess@uhi.ac.uk at the earliest possible point to alert the Dean of Research and Innovation giving your reasons for deviating from standard university policy.

Authors cannot opt out of the requirement for depositing the accepted manuscript in Pure.

6. Notification

Researchers will be made aware of the policy, principles and guidance via information sessions and details being cascaded by senior management teams. Guidance materials are available in SharePoint and Libguides.

Publishers and content suppliers will be notified about the policy and intention to make all AAM's openly accessible on the PURE institutional repository.

To ensure authors retain the rights to share their own work, authors must include the following statement in all manuscript submissions to publishers:

"This research output is subject to UHI's Open Access and Rights Retention Policy, which grants the institution a non-exclusive right to make the Author Accepted Manuscript openly available upon acceptance."

Or

"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"

No Researcher or employees shall enter into any contract with publishers which contradicts the above or which restricts publication, transfers or exclusively licences the rights in a work.

7. Roles and Responsibilities

This policy is primarily reviewed and revised by the UHI Research Office, in consultation with Libraries, partner research departments and Research and Knowledge Exchange Committee (RKEC). Academic Council is the approving committee.

Authors/researchers

- Must follow the process set out in the UHI Intellectual Property Policy for identifying any Intellectual Property which is: (i) capable of intellectual property protection; and/or (ii) commercially valuable; and/or (iii) subject to confidentiality or additional requirements as part of a third party agreement prior to entering into any publication arrangements or submitting any manuscripts.
- Must, without exception, create a record of every publication in Pure and deposit their Author Accepted Manuscript (AAM) in the PURE institutional repository immediately upon acceptance.
- Must include the institutional rights retention statement when submitting manuscripts to publishers.
- Must ensure they have cleared the rights that any third parties may hold in a work before they deposit the work in the repository.
- Ensure compliance with any funder Open Access requirements.
- Must not enter into any contracts individually with publishers (unless they have otherwise received approval from the UHI Research Office) which restrict publication, transfers or exclusively licences the rights in a work.

Library Service and OA Officer

- Provides guidance and training on the policy.
- Advises researchers on funder Open Access policies and licensing options.
- Supports advocacy efforts for Open Access and rights retention.
- Liaise with publishers when required.
- Review exceptions and publisher negotiations

Research Office

- Manages the institutional repository and ensures compliance tracking.
- Ensures alignment with institutional research policies and funding requirements.
- Supports advocacy efforts for Open Access and rights retention.
- Provide reports of deposited and published outputs to assist in monitoring compliance of this policy.

Governance and Legal Services

- Provides legal oversight on copyright, licensing, and contractual matters.
- Review exceptions and publisher negotiations
- Provide guidance on curation, archiving and storage to preserve outputs in the long term.

8. Procedures

8.1 UHI Policy

This policy supersedes and updates the previous University of the Highlands and Islands 'Research Publishing: Open Access Policy' originally passed by University Court in August 2014.

The university is committed to ensuring the widest possible access to the outputs of its research activities to encourage community engagement, reuse and societal impact. This combined OA policy and Rights Retention policy aligns with sector, national and international mandates supporting open research and the open sharing of research results, and requires authors to adopt the following approach:

1. **Create a record of every publication in Pure**. Where immediate open access is not available (i.e. an embargo is applied by a publisher) authors must deposit their Author Accepted Manuscript (AAM) in the PURE institutional repository immediately upon acceptance under a CC BY licence.
2. It is expected that all authors adopt use of a Rights Retention Statement (RRS) on every publication while ensuring the publisher is aware the RRS is being applied at the point of manuscript submission.
3. If an embargo must be applied, it should be no longer than 6 months.
4. Use the Green Open Access publication route as UHI's default preferred approach to publication of journal-based and monograph research outputs, with a short or zero embargo; but

5. with provision to enable/facilitate Gold Open Access publication where either of the following apply:
    a. Gold Open Access publication is a stated requirement of the research grant funding body and funding is available from the grant funding body, or
    b. UHI has a negotiated deal (Read and Publish, Transformational) in place with the publisher concerned, thereby enabling the author to publish the article as a Gold open access article without incurring additional costs to the university, or
    c. The preferred academic journal for publication of particularly (strategically) important output is available only through the Gold Open Access route, and where the output is intended for inclusion in UHI's next REF submission.

It should be noted that in the case of publications that are understood to be derived from scholarship and advanced scholarship, normally 'only' the Green Open Access route for publication will be supported.

8.2 Practical actions

> **Practical and more detailed guides to all aspects of this policy can be found on the UHI Library guide:** Research Publishing (Open Access)

8.2.1 Secure a funding route before you submit your manuscript - For Article Processing Charges (APCs) or Book Publishing Charges (BPCs), payment should be funded using options in the order outlined below, while remembering there are now many ways to avoid paying additional charges yet still publishing your article openly. **The key thing to note is the need for prospective authors to think about and plan in advance for publication of the outcomes of their research way before initial submission of any manuscript.**

There is a flowchart outlining all steps of the process, please refer to it before deciding on a particular journal or submitting any manuscript to ensure you have thought about all angles of your publishing choices: LibGuides-publishing flowchart

8.2.2 Publishing your article in a fully open access journal - Authors can avoid APC's altogether by depositing their article in a repository or finding an open access journal that does not charge APCs and offers open access to articles to all readers – sometimes referred to as Diamond Open Access. Use the database of open access journals to find a suitable journal for your article: https://doaj.org/

8.2.3 Using project funds - many funders will reimburse publishing charges during the duration of a funded project. Applicants should always include provision for open access publishing costs in the budget of their project proposal. However, reimbursement must usually happen while a project is live so if publications happen following a project those will not normally be covered by the original project funder.

8.2.4 Publishers with an agreed 'Transformative' deal - There are now many opportunities to publish using existing agreements with publishers using what are termed 'Read and Publish' or 'Transformative' agreements. UHI has many such deals in place through our library subscriptions and authors must ensure they take advantage of these deals to publish openly wherever possible. Details

of the current deals available to UHI authors can be found at:
https://libguides.uhi.ac.uk/openaccess/publisherpolicies

8.2.5 Local or Research Office APC funds - If funding from your project is not available (for example if the project has now finished), and you have decided the best journal for your article does not have an agreements or discount with UHI, you must then attempt to cover your APC cost from local funds. If you find local funds have been exhausted, you can apply to the Research Office fund. This fund is very limited in total value and is therefore focussed on high-scoring REF outputs that cannot achieve APC funding by any other means. Details of how to do so at:
https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/APC-Payments.aspx

8.2.6 UKRI OA Block Grant

Universities are allocated a proportion of the total UKRI block grant fund based on their percentage of the total labour costs on Research Council grants over a three-year period. UHI has received a small block grant in recent years, but it is not guaranteed. Annual detail of OA block grant at:

https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/APC-Payments.aspx

8.3 Agreement to publish your article or monograph

8.3.1 Staff across the UHI Academic Partnership may proceed to secure publication arrangements for their research outputs through the Green Open Access publication route without further reference in advance to the UHI Research Office. However, all research publications should be discussed and agreed with relevant line managers and mentors in APs and discipline area leads, as appropriate, before being submitted to any publisher.

8.3.2 For articles published within journals that UHI has Read and Publish or Transformational deals, again staff across the UHI Academic Partnership may proceed to secure publication arrangements for their research outputs without further reference in advance to the UHI Research Office. However, all research publications should be discussed and agreed with relevant line managers and mentors in APs and discipline area leads, as appropriate, before being submitted to any publisher. Again, a copy of the article should be deposited in the UHI Research Information Management System (Pure), at the earliest possible stage and not exceeding 3 months from acceptance of the article by the chosen publisher. It is recommended that before submitting to a publisher authors should check on the UHI Libraries OA information page if their chosen publisher fund for OA is still open and for available alternatives:

 https://libguides.uhi.ac.uk/openaccess/publisherpolicies

8.3.3 In cases where Gold Publication is required or preferred, and where the cost of Gold Open Access publication is not covered within the underpinning grant funding (see section 8.2.3 above), or a previously agreed UHI deal (see section 8.2.4) the following will need to take place:

a. **Own resources** - If the employing Academic Partner wishes to cover the cost of Gold Open Access publication from its own resources, no further reference to the UHI Research Office needs to be made; but,
b. Use the database of open access journals to find a suitable journal for the article: https://doaj.org/

    c.   **UHI Research Office APC fund** - If the employing Academic Partner does not agree to cover the cost of Gold Open Access publication from its own resources, but it is felt by the author to be strategically important (primarily for REF-related purposes) for Gold Open Access publication in a particular high quality journal (that is not covered by Green Open Access provisions), then the case for the cost of Gold Open Access publication will need to be considered in advance. Application can be made to the Dean of Research and Knowledge Exchange on completion of an online form available on SharePoint. If approved, the cost of Gold Open Access publication will either be covered in full by a central UHI resource, or through sharing the cost in an appropriate way with the employing AP. Submitting an **application** does not mean the APC will be covered. Read full details of this scheme at: https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/APC-Payments.aspx

Note: When an embargo is applied by a publisher they will always advise the lead author directly which version is allowed to be made public and the length of embargo periods they wish applied. There is a validation step within the PURE process where a Pure editor will check the output metadata and links for integrity but, embargo periods or special instructions from the publisher will not be known by the Pure editor. Therefore, for all articles it is the responsibility of each researcher to ensure embargo periods or any special instructions for every output are adhered to when the author uploads output records to Pure. Any output with an embargo period must still be recorded within PURE, the embargo period should also be recorded, with the visibility set to 'Public – no restriction'. Pure will not publish the record to the Research Database until the embargo has ended – public visibility of the record at the end of the embargo period will be automatic.

8.4 Consideration of research project funder OA policies

This document outlines the over-arching framework to guide research staff on how to make authors research open, and extensive consideration of funder and UKRI/individual Research Council policies has been carried out before arriving at this UHI OA policy. However, there are specific OA publishing requirements attached to publications that arise from projects funded by certain agencies, that may over-ride the preferred UHI route. In all cases the specific requirements of those funding agencies must be understood and followed. Not following the specific guidance could mean the publication(s) cannot be funded by that agency, or funders could claw-back project funding used to pay for publications that do not meet their requirements (see also section 3.2.2). Details of the main agencies (but not all) that have specific requirements are in the following section (section 9).

Jisc have two tools to help researchers check on funder policies and journals that might match those policies:

UK Funders OA policies are indexed by the Sherpa Juliet service from Jisc, see:

https://v2.sherpa.ac.uk/juliet/

Check if a particular journal complies with the policy of the agency funding the article:

https://v2.sherpa.ac.uk/fact/

8.5 Intellectual Property

IP is beyond the scope of this policy but you can read about IP considerations and UHI IP policy at:

 IP on UHI SharePoint

8.6 Copyright

To re-use or deposit any item a person must own the rights to the item, or have a licence agreement with the copyright owner allowing you to re-post, re-use or re-publish any item. Library and Open Access staff can help research staff work through the process, or if you are unsure at any point. A flowchart graphic of the decision process has been created, and should be used as a point of reference for establishing if you are able to display or record an item on the UHI repository. It is included on the Libguide link below, and in Appendix 2 of this policy.

Refer to Copyright Information for Staff - LibGuides .

8.7 Retaining the rights to your work – How to apply RRS

Add the following Rights Retention Statement (RRS) in the funding acknowledgement section, and any cover letter/note accompanying the submission, **in all manuscript submissions to publishers:**

"This research output is subject to UHI's Open Access and Rights Retention Policy, which grants the institution a non-exclusive right to make the Author Accepted Manuscript openly available upon acceptance."

Or

"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"

Inform co-authors about the UHI requirement to share the manuscript upon publication with a CC-BY license. If a UHI researcher is not the corresponding author please request the lead author include the RRS with the manuscript. If for any reason, one of the co-authors raises this as an issue, then please contact the Open Access team on openaccess@uhi.ac.uk. In summary:

1. Manuscript Submission: Authors include the rights retention statement in their manuscript submission.
2. Deposit in Repository: Upon acceptance, authors upload the AAM to the institutional repository.
3. Immediate Open Access: The repository team ensures the AAM is publicly available in accordance with funder or legal requirements.
4. Monitoring & Compliance: The institution tracks compliance and addresses potential infringements.

8.8 Licensing of the re-use of your work

UHI partnership default licence is a Creative Commons 'CC BY'. It is expected this type of licence will be applied in all but exceptional circumstances.

Read more on publishing methods on UHI Library Guide: Open Access Licences

9. Risk Assessment

Potential Risks & Mitigation Strategies

a) **Publisher Resistance**: Some publishers may reject the rights retention statement. Mitigation: Help authors negotiate with the publisher to arrive at a mutual agreement, but authors should note the publisher decision is out of the control of the institution and the only alternative may be to seek an alternative journal, if at all possible. Once all avenues are explored, it is recognised that in a very small number of cases non-compliance with OA policy may be the only way forward.

b) **Non-Compliance by Authors**: Some researchers may forget or fail to deposit their AAMs. Mitigation: Automate deposit reminders and provide training.

c) **Legal Challenges**: Risk of disputes over copyright ownership. Mitigation: Ensure the policy is reviewed by legal counsel and aligns with UK copyright law.

d) **Funder requirements**: Non-compliance with funder policies risking partial claw-back of funding.

e) **REF compliance:** Not publishing work OA renders an item ineligible for submission to REF, and potentially reducing funding derived from REF results. Mitigation: all published outputs must comply with this policy to ensure UHI is able to maximise REF results and resultant funding.

10.   Legislative Framework

In developing the UHI OA policy, the policies of following agencies, who fund research and/or have direct influence on OA policy, were referred to and have principles from their policies referenced to ensure UHI researchers can be compliant across as many funding bodies as possible.

10.1 Key funders/agencies with specific OA policies for publications they fund:

✚   UKRI: https://www.ukri.org/publications/ukri-open-access-policy/

✚   SFC: Open research - Scottish Funding Council

✚   CSO: https://www.cso.scot.nhs.uk/outputs/cso-open-access-policy/

✚   NIHR: https://www.nihr.ac.uk/documents/nihr-open-access-policy/28999

✚   Wellcome: https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy

✚   The British Academy: https://www.thebritishacademy.ac.uk/publishing/

✚   Horizon2020 standards/openAIRE compliance: https://www.openaire.eu/how-to-comply-to-h2020-mandates-for-publications

For summary requirements for each of these policies see appendices 1-5.

For monographs authors the following agencies have confirmed their intention to mandate open access, with others expected to follow during the life of this policy revision:

+ UKRI: https://www.ukri.org/publications/ukri-open-access-policy/
+ British Academy: https://www.thebritishacademy.ac.uk/policy-and-research/

UK Funders OA policies are indexed by the Sherpa Juliet service from Jisc, see:

https://v2.sherpa.ac.uk/juliet/

10.2 Frameworks:

In addition to the above policies, the following sector frameworks are referenced in this UHI OA policy.

+ FAIR principles: https://www.openaire.eu/how-to-make-your-data-fair
+ Plan S/cOAlition S: https://www.coalition-s.org/plan_s_principles/
+ Plan S/cOAlition S: Rights Retention Strategy | Plan S
+ The League of European Research Universities (LERU) principles: https://www.leru.org/publications/implementing-open-science
+ REF policies and requirements : https://www.ref.ac.uk/
+ UKRI open research and Open Access policies: https://www.ukri.org/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/

For Rights retention this policy aligns with the following UK and international regulations in effect as at the date of adoption:

+ UK Copyright, Designs and Patents Act 1988 : Copyright, Designs and Patents Act 1988
+ UKRI Open Access Policy (2022) : UKRI open access policy – UKRI
+ Plan S/cOAlition S: Rights Retention Strategy | Plan S

11.   Related Procedures, Guidelines and Other Resources

+ Open access licencing; use of creative commons: https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/Open-Research.aspx
+ LibGuide (UHI) to OA publishing & publisher policies: https://libguides.uhi.ac.uk/openaccess
+ APC payment for research publishing: https://myuhi.sharepoint.com/sites/eo-ro/resources/SitePages/APC-Payments.aspx
+ Transformative agreements in place at UHI for research publishing: Research Publishing (Open Access) - LibGuides at University of the Highlands and Islands
+ Intellectual Property Policy: IP and commercialisation Guides

Jisc have two tools to help check on funder policies and journals that might match those policies:

+ UK Funders OA policies are indexed by the Sherpa Juliet service from Jisc, see: https://v2.sherpa.ac.uk/juliet/
+ Check if a particular journal complies with the policy of the agency funding the article: https://v2.sherpa.ac.uk/fact/
+ Further open research tools available from Jisc at: https://www.jisc.ac.uk/open-research#

12.   Version Control and Change History

Version	Date	Approved by	Amendment(s)	Author
0	19/6/2014	Academic Board	Original policy	Michael Rayner, Stuart Knight
1	25/08/2022	RKEC	Review of UK OA environment, UHI policy refresh; Inclusion of diamond access procedure, links to funder/agency policies, update to UHI policy template	Stuart Knight
2	21/09/2022	Academic Council	As above plus minor amendments from RKEC	Stuart Knight
3	11/9/2025	RKEC	Review of UK OA environment, UHI policy refresh, refresh links, addition of Rights Retention Policy sections, removal of some detail from the policy to online staff guides.	Stuart Knight, Richard Hughes, Alan Kerr
4	17/9/2025	Academic Council	As above plus minor amendments from RKEC	Stuart Knight

Appendix 1

Guides/policies/tools referenced in refreshing this policy

External

https://www.ukri.org/wp-content/uploads/2021/08/FOR-PUBLICATION_UKRI-Open-Access-Policy_Version-1.4_29-Mar-2022.pdf

https://www.cso.scot.nhs.uk/outputs/cso-open-access-policy/

https://www.nihr.ac.uk/documents/nihr-open-access-policy/28999

https://wellcome.org/grant-funding/guidance/open-access-guidance/open-access-policy

https://www.openaire.eu/how-to-comply-to-h2020-mandates-for-publications

https://www.leru.org/publications/implementing-open-science

https://www.coalition-s.org/why-plan-s/

Internal

https://www.uhi.ac.uk/en/t4-media/one-web/university/about-uhi/strategy-and-planning/strategic-plan-2021-25.pdf

https://www.uhi.ac.uk/en/t4-media/one-web/university/about-uhi/governance/policies-and-regulations/policies/copyright-policy.pdf
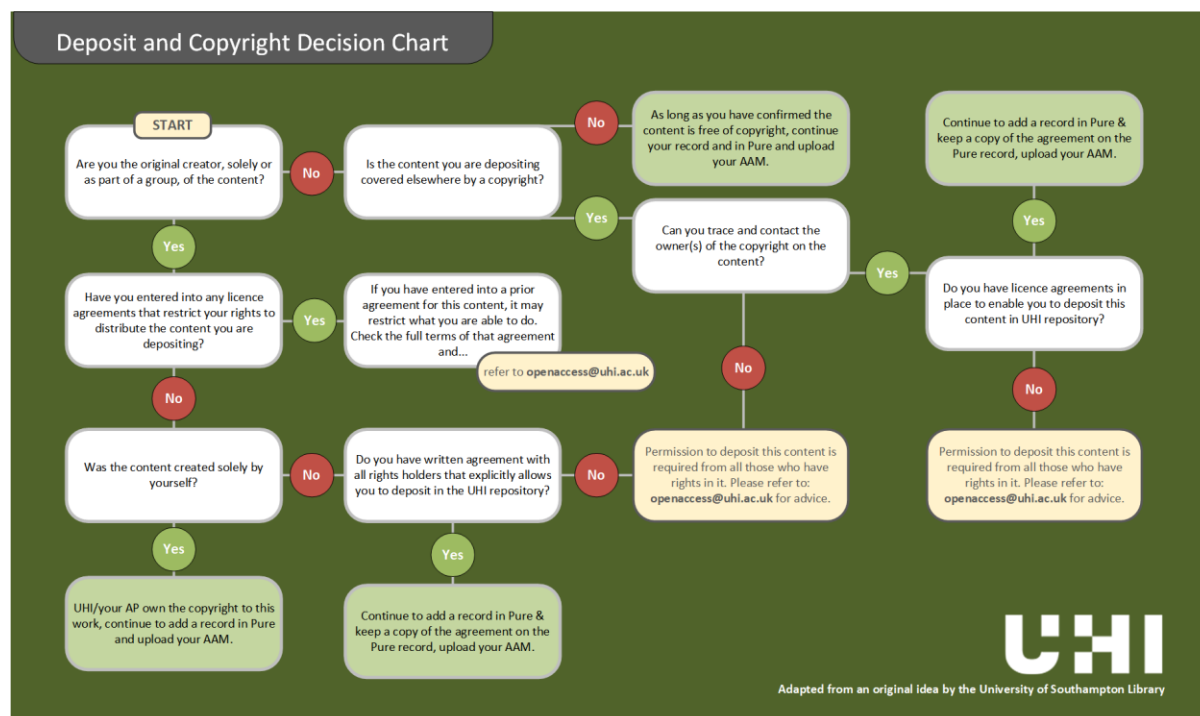
https://www.uhi.ac.uk/en/t4-media/one-web/university/about-uhi/governance/policies-and-regulations/policies/Equality,-Diversity,-and-Inclusiveness-Policy.pdf

Introduction - Research Publishing (Open Access) - LibGuides at University of the Highlands and Islands

Research and Graduate School SharePoint Hub

Appendix 2

Copyright decision flow chart

This flow chart adapted from an original idea by the [University of Southampton.](#)