

Research Publications Policy

Classification – *Public*

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1. Introduction

This mandatory policy sets out the framework for the management, production, publication and dissemination of research outputs at Arden University. It reflects Arden University's commitment to Open Research,¹ and to the dissemination of knowledge to the widest possible global audience, while supporting academic freedom, research integrity, and the integration of applied research into teaching and professional practice.

In managing the publication of research outputs, Arden University acts in accordance with the Seven Principles of Public Life (the Nolan Principles). These principles underpin expectations of transparency, honesty, accountability and leadership in authorship, publication decisions, open access, and stewardship of research outputs.

This policy also supports compliance with external requirements, including those of the Research Excellence Framework ("REF"), UK Research and Innovation (UKRI), other research funders, and relevant legal and regulatory frameworks.

This policy forms part of Arden University's Research Governance Framework and should be read in conjunction with the Research Integrity Policy and Research Ethics Policy. Together, these policies provide a coherent framework governing the conduct, approval, safeguarding and dissemination of research undertaken in the University's name.

2. Aims

The aims of this policy are to:

- Ensure that all research outputs produced by Arden University researchers meet the highest standards of academic, ethical and professional integrity, and comply with legal, regulatory and contractual requirements.
- Maximise the visibility, accessibility and impact of Arden University research outputs, raising the profile of both individual researchers and Arden University.
- Promote a culture of Open Research, supporting the timely and appropriate open access dissemination of research outputs.
- Ensure the creation, preservation and discoverability of a comprehensive institutional record of Arden University research outputs.

¹ Open research, also widely referred to as open science, relates to how research is performed and how knowledge is shared based on the principle that research should be as open as possible. It also enables research to take advantage of digital technology. [Ensuring open research – UKRI](#)

- Support Arden's applied teaching strategy through the sharing and curation of research-informed teaching outputs and expertise.
- Ensure that research outputs are eligible for submission to the REF.
- Support compliance with funder requirements for open access and research dissemination.
- Enable researchers to share their work openly without infringing copyright.
- Protect and maximise the value of intellectual property by enabling assessment of commercial potential prior to publication.
- Support Arden University researchers to develop their research profiles and produce high-quality research outputs.

3. Scope

3.1. Applicability

- This policy applies to all Arden University researchers, meaning any individual undertaking research under the University's name, affiliation or authority, including employed staff, visiting researchers, honorary appointees, emeritus staff, adjunct staff and individuals granted formal research affiliation by Arden University.
- Student-authored and alumni publications are also addressed separately within this policy where outputs derive from research undertaken during study at Arden University.
- This policy applies to both funded and non-funded research outputs produced during the period of employment.

3.2. Exclusions

This policy does not apply to:

- Contractors, consultants, visiting staff, or staff on associate or honorary contracts, unless explicitly covered by contractual agreement.

3.3. Collaborations

- Where research outputs are co-authored by staff and students, authorship order and roles must reflect substantive intellectual contribution and responsibility, in line with recognised authorship guidance.
- Research outputs produced in collaboration with external organisations, institutions or commercial partners are governed by the terms of the relevant contract or agreement, in conjunction with this policy and the Staff IP Policy.

3.4. Covered Research Outputs

- This policy covers all scholarly research outputs, including but not limited to:
- Research outputs produced in collaboration with external organisations, institutions or commercial partners are governed by the terms of the relevant contract or agreement, in conjunction with this policy and the Staff IP Policy.

4. Principles and Responsibilities for Arden Researchers

Publication and dissemination of research outputs at Arden University are guided by the following principles, consistent with the Research Governance Framework:

- Integrity and honesty in reporting, authorship and attribution
- Ethical responsibility and respect for participants and communities
- Safeguarding and wellbeing, including avoidance of harm through dissemination
- Objectivity and fairness in authorship and publication decisions
- Accountability for published outputs and associated risks
- Openness and transparency, including open access and disclosure
- Freedom of speech and academic freedom, in accordance with Arden University's Freedom of Speech Code of Practice.
- Leadership and stewardship in responsible dissemination
- Public interest and trust in the communication of research Institutional

4.1. Affiliation and Researcher Identification

- All research outputs must list the standard institutional affiliation: "Arden University".
- Arden University researchers are strongly encouraged to obtain and maintain an ORCID iD,² to support discoverability, attribution and integration with external research systems.
- Researchers should use their ORCID iD consistently throughout the research lifecycle, including funding applications, publication submissions, repository deposit and researcher profiles.

4.2. Approvals and Governance

² [ORCID](#) is a free, unique, persistent identifier (PID) for individuals to use as they engage in research, scholarship, and innovation activities.

- All research projects and outputs must comply with Arden University's Research Ethics Policy and receive appropriate ethical approval prior to commencement.
- All funded and unfunded research must receive approval from Arden University Research Ethics Committee before being conducted.
- Where research outputs may disclose potentially protectable institutional IP, approval must be obtained from the Research, Knowledge Exchange and Enterprise (RKE) Sub-committee prior to publication.
- All bids and applications to external research funders must be reviewed and approved by the Research Committee prior to submission.

4.3. Academic Integrity

- Researchers must comply with Arden University's Research Integrity and Ethics Policies at all stages of the research lifecycle, including publication.
- Research outputs must be accurate, transparent and honestly reported, with appropriate acknowledgement of all contributors and sources.
- Plagiarism and other forms of academic misconduct are strictly prohibited.

This includes ensuring that published outputs do not compromise safeguarding obligations, confidentiality, or the wellbeing of participants, particularly where research involves vulnerable groups or sensitive subject matter.

4.4. Dissemination of Research

- Arden University supports researchers' freedom to choose where to publish, subject to compliance with REF, funder and contractual requirements.
- Researchers must avoid predatory or disreputable publishers and are encouraged to use tools such as the [Directory of open access Journals](#) and [Think Check Submit](#) to identify high quality open access peer reviewed journals.
- Researchers may consult the Library Team for advice on journal selection and publishing routes.

5. Student and Alumni Publishing

5.1. Purpose and principles

Arden University recognises that students and recent alumni may wish to publish research outputs arising from work undertaken during their period of study, including undergraduate and postgraduate dissertations. Arden

supports such dissemination where it is undertaken responsibly, ethically, and in line with sector standards of research integrity.

Student and alumni publishing is developmental in nature and distinct from staff research. The University's role is to provide clear guidance and proportionate oversight, not to guarantee publication or funding.

5.2. Eligibility to publish

Students and alumni may publish research outputs where:

- The research was undertaken as part of an Arden University programme of study; and
- The work meets appropriate standards of academic quality, integrity and ethical compliance.

Students are not required to publish their work, and publication is not an expectation or requirement of assessment.

5.3. Institutional Affiliation

Where a publication arises wholly or substantially from research undertaken during study at Arden University:

- Students and alumni must list "Arden University" as their institutional affiliation, even where publication occurs after completion of studies.
- Where the individual holds a new institutional or professional affiliation at the point of publication, this may be listed as a current address or secondary affiliation, in accordance with publisher requirements.

Affiliation must accurately reflect where the research was conducted and must not imply an ongoing contractual relationship where none exists.

5.4. Ethics approval and post-completion publication

Research outputs derived from projects that received ethical approval under Arden University's Research Ethics Policy may be published after completion of studies, provided that:

- No material changes have been made to the research design, data collection, participant population, or risk profile; and

- The publication reflects the approved scope of the original study.

Where material changes are proposed, or where new data collection is undertaken after completion of studies, further ethical review is required through an appropriate route, which may include staff-led or independent researcher approval processes.

5.5. Open access and publication funding

Students and alumni are not expected to personally fund publication costs, including article processing charges (APCs).

Where institutional open-access funding or read-and-publish agreements are not available, publication via subscription journals or no-fee publication routes is appropriate and supported.

Open access publication is encouraged where funding routes permit, but lack of funding must not be treated as a barrier to publication.

5.6. Support and supervision

Supervisors may provide advice and guidance to students and alumni regarding publication routes, journal selection, and research integrity considerations. Such support does not in itself create authorship entitlement or responsibility for publication costs.

6. Authorship

6.1. General principles

- Authorship must accurately reflect substantive intellectual contribution and responsibility for the research output, in line with recognised sector guidance and journal requirements.
- The order of authorship should be determined by substantial contributions made, in line with guidelines provided by the journal selected for publication.
- All authors must provide consent for publication and agree to the final version of the manuscript prior to publication.
- Authorship decisions must not be based solely on role, status, seniority, or access to institutional funding or infrastructure.

6.2. Student dissertations and sole authorship

Where a publication is derived primarily from a student's dissertation or assessed research project:

- The student would normally be the sole author, where the work reflects their independent research.
- Supervisory input that is limited to academic guidance, feedback, mentoring, or editorial suggestion does not in itself justify co-authorship, but does justify acknowledgement.

6.3. Group and Collaborative Student Research

Where research is undertaken as part of a group project or collaborative dissertation model, authorship must reflect the nature and extent of individual contributions to both the research and the published output.

A student may be named as lead or sole author of a publication derived from group research where they have taken primary responsibility for the development of the manuscript, including analysis and writing, and where this accurately reflects their contribution.

Other contributors, including supervisors and student collaborators, should be acknowledged or included as co-authors where they meet the authorship criteria set out in this policy.

Authorship arrangements should be discussed and agreed in advance of submission, and may include acknowledgement of group members or a clear statement of individual contributions where appropriate.

6.4. Supervisor co-authorship

Supervisors may be included as co-authors only where they have made a clear and substantive intellectual contribution to the publication, such as:

- Significant contribution to research design or analytical framework beyond normal supervision;
- Substantive contribution to data analysis or interpretation;

- Major involvement in drafting or revising the manuscript for important intellectual content; and
- Willingness to take public responsibility for the integrity of the published work.

6.5. Author order and corresponding author

Author order and corresponding author designation must reflect contribution and responsibility.

The corresponding author must meet authorship criteria and must not be appointed solely for administrative convenience or to meet open-access funding eligibility requirements.

6.6. Transparency and agreement

Authorship arrangements should be discussed openly and, where appropriate, documented prior to submission. All authors must approve the final manuscript and agree to its submission for publication.

7. Open Access

7.1. Policy Statement

- All research outputs in scope of the REF open access policy must be made open access via either the Gold or Green route, in accordance with REF, UKRI and other applicable funder requirements.
- Until the Arden University Research Repository is operational, researchers should retain copies of eligible outputs and provide them to the designated institutional contact upon request. Repository deposit requirements outlined in this section will apply when the repository becomes available.

7.2. Open Access Principles

- Arden University is committed to the principles of open access and open research, in order to maximise the reach, impact and value of its research outputs.
- Researchers should make outputs openly available as early as possible via either gold or green open access publishing routes.
- Arden University also recognises and supports diamond open access publishing models, where research outputs are made openly available

without article processing charges (APCs) to authors or readers, as a sustainable and equitable route for the dissemination of research.

- Where research is externally funded, researchers must comply with the open access requirements of the relevant funder.

7.3. Gold Open Access

- Gold open access publishing should be used where feasible.
- APCs (article processing fees) for Gold open access may be supported through Library read and publish agreements or Arden University research publications fund, subject to eligibility criteria. The read and publish publishing agreements should be used in the first instance.
- Where APC funding is provided by Arden University, Arden University must be listed as the primary affiliation and the corresponding author must be a current employed member of staff.
- When publishing in an open access journal, a CC-BY Creative Commons licence should be selected wherever possible.
- Research outputs published via Gold open access routes must also be deposited on the Arden University Research Repository to ensure a full record of Arden's research activity is maintained.

7.4. Green Open Access

- Where Gold open access is not feasible, and research is published in a subscription journal, researchers must deposit their work in Arden University Research Repository.
- The Arden University Research repository is the primary means for making green open access full-text versions available online.
- Journal articles and conference proceedings in scope of the REF must be deposited as soon as possible after acceptance and no later than three months from the acceptance date.
- The Author Accepted Manuscript (AAM) is the minimum required version for deposit. If it is possible to share the publisher version, the Library Team will check and add this on the author's behalf.
- Publisher embargoes will be applied by the Library Team, but outputs must still be deposited within the required timeframe.
- Deposit of other research output types is strongly encouraged where publisher permissions allow. The Library team can support with queries on deposits.

7.5. Licensing of Repository Outputs

- Repository outputs will normally be made available under a CC BY-NC-ND licence.
- More permissive licences, including CC BY, will be applied where required by funders or rights retention obligations.

7.6. Exceptions

- Exceptions to open access requirements may be permitted where:
- open access would compromise commercialisation or IP protection;
 - Confidentiality or contractual obligations apply; or
- Publisher restrictions prevent compliance within required timeframes.
- Researchers must consult the Research, Knowledge Exchange and Enterprise Hub and must not assume that an exception applies.

7.7. Pre-print Sharing

- Arden University supports the responsible sharing of pre-prints (versions of scholarly works shared prior to peer review) as a means of accelerating scholarly communication and increasing research visibility.
- Researchers may share pre-prints where this is permitted by the intended journal or publisher and does not conflict with funder, contractual or IP protection requirements.
- Pre-prints must be clearly labelled as not peer reviewed and should include a statement indicating that the work is under review or forthcoming.
- Where a pre-print is shared, researchers must ensure that subsequent publication complies with REF and funder open access requirements, including timely deposit of the author accepted manuscript in Arden University Research Repository.
- Pre-prints must not be shared where doing so would jeopardise the protection of potentially commercial or patentable IP. In such cases, advice must be sought from the Research, Knowledge Exchange and Enterprise Hub prior to dissemination.

7.8. Sharing on Scholarly and Social Networking Platforms

- Researchers may share links, citations and metadata relating to their research outputs on scholarly and academic social networking platforms (e.g. ResearchGate, Academia.edu, LinkedIn, X/Twitter), subject to copyright and licence conditions.

- Full-text versions of research outputs must not be uploaded to commercial or social networking platforms unless the publisher's terms and the applicable licence explicitly permit this.
- Where full-text sharing is restricted, researchers should share a link to the openly available version of the output in Arden University Research Repository or on the publisher's website.
- Arden University Research Repository is the authoritative source for open access versions of Arden University research outputs and should be used in preference to third-party platforms.
- Researchers are responsible for ensuring that any content shared on third-party platforms complies with copyright, publisher policies, funder requirements and this policy. Guidance and support are available from the Library Team.

8. Arden University Published Journals

- Arden University Open Journals platform must be used to host all Arden managed Gold and Diamond open access journals, conference proceedings and other output types where appropriate.
- Approval must be obtained from the Research Committee before establishing any publication using the Arden University name or brand.
- The Library Team will provide technical support to set up journals on the platform but editorial responsibility and administration rests with academic leads.

9. Copyright, Intellectual Property and Rights Retention

9.1. Copyright and IP

- The Arden University Staff IP Policy governs ownership and use of intellectual property created by Arden University staff. In relation to research publications:
- Staff normally retain copyright in scholarly works intended for external publication.
 - Arden University supports academic freedom and the right to publish, subject to limited delays for IP protection if applicable.
- Potentially protectable IP must be disclosed to the RKE Sub-committee prior to public disclosure.

- Ownership and publication rights for research conducted under external research contracts are governed by the contract terms, subject to law and University policy.
- Authors retain moral rights, including attribution and integrity.

9.2. Rights Retention

- Arden University supports rights retention where researchers retain the rights to their work when published, rather than transferring intellectual property rights to the publisher.
- Researchers are encouraged to retain the copyright to their works wherever possible, granting publishers only the necessary license for publication. This enables easier distribution of research outputs under open access terms.
- Authors grant Arden University a non-exclusive, royalty-free, worldwide licence to make AAMs publicly available via Arden University Research Repository and to use scholarly works for teaching and applied research purposes.
- Authors must not assign or exclusively license copyright in a way that prevents exercise of retained rights without prior University approval.

10. Responsibilities of Arden University and Support

Arden University retains oversight responsibility for research publications where safeguarding, ethical, legal or reputational risks are identified, and may require amendment, delay or restriction of dissemination where necessary.

Team	Contact for support with	Email address to contact
Learning Success Hub Team	Open access guidance, repository deposit, publishing support.	Library@arden.ac.uk
Research, Knowledge Exchange and Enterprise Hub	IP clearance, funder compliance, research contracts, funding for APCs and financial support.	rkeh@arden.ac.uk
Centre for Excellence in Learning & Teaching (CELT)	Applied teaching integration and training.	TeachingExcellenceAcademyTeam@arden.ac.uk

Legal team	Copyright, IP and contractual advice	legal@arden.ac.uk
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11. Related Policies

As well as the Research Integrity and Ethics policies, this policy should be read in conjunction with the following policies and guidance:

- Arden IP Policies
- Open Research Statement
- [UKRI open access Policy](#)

12. Glossary of terms

- [Arden University's Research Glossary](#) is a comprehensive resource that defines key terms for Applied Research at Arden, research concepts and processes to support all research, knowledge exchange, and publishing activities.

13. Review and Updates

- This policy will be reviewed annually to ensure continued alignment with national and international best practice, policies, developments and funder requirements.

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