

# St Mary's University Process Framework for Open Access

## Preamble

St Mary's University is committed to maximising the visibility, citation, usage and impact of research by ensuring that the outputs of its researchers are available openly, wherever possible, supporting the University's corporate objective to enhance the quality and quantity of its research, knowledge exchange and enterprise.

The University also supports the principle that the findings of publicly-funded research should be made available as widely as possible in line with Open Access policies as stipulated by the government and research funding bodies.

## University Research Publications and Open Access Policy

The St Mary's University Research Publications and Open Access Policy, implemented in 2016, lays out the requirements for Open Access to research publications. This policy covers all published research outputs produced by St Mary's researchers which includes, but is not limited to, journal articles, conference proceedings, monographs and book chapters. The policy mandates deposit, to the Open Research Archive, of all journal articles and conference contributions published with an International Standard Serial Number (ISSN). Researchers are however encouraged to deposit all research outputs publications relating to research done at the University if this is permissible within copyright law and/or the publisher's licence.

The University supports Open Access through self-archiving in the University's Open Research Archive Repository – the so-called 'Green' route to Open Access.

The University Research Committee has overall responsibility for overseeing open access including authorising any policy changes.

## St Mary's Open Research Archive

The Open Research Archive (<https://research.stmarys.ac.uk/>) serves as the Institutional Repository for making all research and other scholarly outputs, including research data, openly available. The repository is managed in accordance with recognised standards to meet high expectations and fulfil legal and ethical obligations. This also enables interoperability between systems and platforms and facilitates harvesting metadata for the University Library's resource and content discovery system; linking with the ORCID iD platform; British Library's EthOS service for digital theses and dissertations; IRUS-UK aggregation service for repositories and others.

Library Services is responsible for managing the Open Research Archive repository on behalf of the University, ensuring that the service meets the requirements of both researchers and external bodies, such as funders and publishers. The Library Service liaises with internal and external infrastructure suppliers as required to ensure the appropriate technology is in place to support this framework. Library Services is also responsible for quality assurance of metadata in the Open Research Archive. All metadata records and deposits by researchers into the repository are reviewed for accuracy and completeness before being published live. Metadata imported into the Repository from Jisc Publications Router is similarly reviewed.

## Process for managing Open Access

This document outlines the processes in place to ensure good practice and compliance with Open Access (OA) policies. It aims to ensure a consistent and unambiguous approach to managing Open Access. Information and signposting is available on the University's website (<https://www.stmarys.ac.uk/home.aspx>) and the University's intranet.

Although Library Services takes the lead for matters relating to Open Access, it works closely with the Research Office, Unit Leads and academic departments to explore options for extending Open Access, promote and communicate Open Access within the University and inform strategic decisions relating to Open Access.

## What is open access?

Open access to research publications means these are freely available to be viewed and downloaded from the Internet, without having to login in or pay. These publications are also free from most copyright and licencing restrictions.

## Routes to Open Access

- **Self-archiving**

Self-archiving refers to researcher's depositing their own research outputs, in an institutional or subject repository, without the need to pay open access charges to the publisher of their work. This is also referred to as 'green' open access.

Many publishers allow accepted manuscripts to be deposited in a repository, although they may place restrictions on access (an "embargo") and restrictions on how much you can archive e.g. only one chapter of a monograph.

- **Paid immediate open access**

Many publishers offer the option to publish open access on the publisher website. The published version (this includes publisher's logo, typesetting, page numbers, and layout) is openly accessible immediately when published online and a licence guiding reuse is applied. The most commonly used are [Creative Commons licences](#), of which the most liberal is [CC BY](#). This licence allows re-use provided the authors are attributed. This process often involves payment of a one-off fee to the publisher, known as an Article Processing Charge (APC) or Book Processing Charge (BPC) and is sometimes referred to as "[gold](#)" or [paid immediate open access](#).

## Depositing to the Open Research Archive to comply with REF 2021 Open Access (OA) Policy

Authors are required to deposit a copy of the Author Accepted Manuscript (also known as 'post-print') of all journal articles or conference contribution (with an ISSN) immediately on acceptance for publication. The publisher may specify a period of time, known as a publisher's embargo, before the article can be made openly available from the repository. Library Services will check that all deposits comply with publishers' embargo requirements and apply an embargo within the Archive for the specified period. Embargo periods for compliance with the REF should not exceed:

12 months for Main Panels A and B

24 months for Main Panels C and D.

During the embargo period the metadata (item record), including the abstract, will be publicly available but the full text will not be viewable or downloadable until the embargo has lifted. This is done

automatically at the end of the required period. Copies of the Manuscript may however, be requested via the 'Request a copy' button.

The validity, authenticity and legality of all deposits remain the sole responsibility of the author.

### **Scope of REF OA policy:**

#### In-scope:

- journal article with an ISSN or conference contribution in conference proceedings with an ISSN  
**and**
- the date of acceptance of the output for publication is after 1 April 2016.

These outputs must comply with the OA requirements

#### Out-of-scope:

- monographs and other long-form publications
- non-text outputs
- working papers or outputs submitted to pre-print systems that are not the version 'as accepted for publication'
- the data which underpins some research
- confidential reports that are not published because of commercial or other sensitivity

These outputs do not need to comply with OA requirements but can be submitted as part of the impact assessment and the environment statement

#### Not eligible for submission:

- theses, dissertations or other items submitted for a research degree including doctoral theses

### **Important dates:**

Period of outputs for REF submission: 1 January 2014 - 31 December 2020

No open access requirements: 1 January 2014 – 31 March 2016

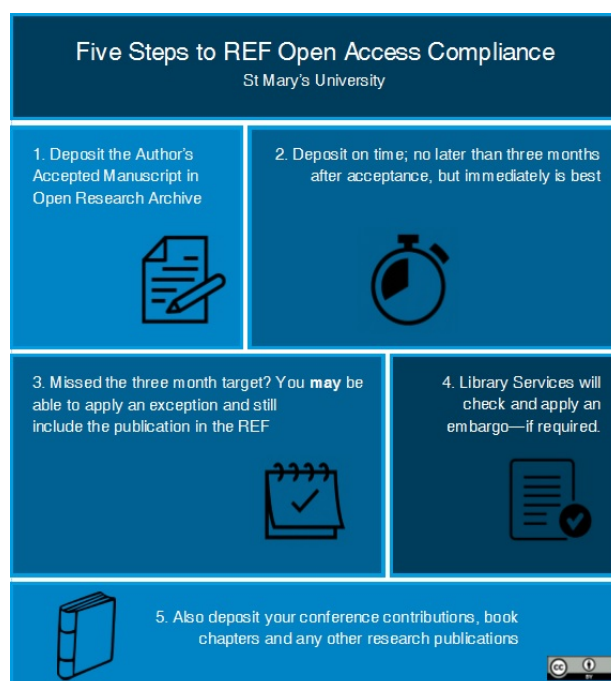
Open Access requirements: 1 April 2016 – 31 December 2020

Six month window of deposit: 1 April 2016 – 31 March 2018

Three month window of deposit: 1 April 2018 – 31 December 2020

## Guidance for authors to make journal articles and conference contributions compliant with REF

### Five steps to REF 2021 compliance



1. **Deposit the correct version:** The author's accepted manuscript (AAM) should be deposited with the metadata record. This version, often a Word document, is the final version, after any peer review and edits, that is agreed to be published. It is not the published version which would normally contain the publisher's typesetting, logo and page numbers.
2. **Deposit on time:** Publications should be deposited in the Open Research Archive immediately on acceptance for publication and no later than three months (92 days) after the acceptance date. An email from the publisher is required to verify acceptance for publication and the date thereof.
3. **Apply for an exception:** If the publication was not able to be deposited within the 3 month period it may be possible to apply an exception to enable compliance with the REF and enable it to be included in the REF submission. Library Services in conjunction with Unit Leads will apply exceptions. The REF Strategy Group will review all exceptions.
4. **Embargoes:** The REF Open Access requirements allow authors (and repositories) to respect embargo periods set by publishers up to a maximum of 12 months for Main Panels A and B and a maximum of 24 months for Main Panels C and D. Publications must be deposited in the Open Research Archive within the 3 month period and Library Services check the journal and publisher's website and [SHERPA/RoMEO](#) to establish whether a publisher requires an embargo and if so, the period. The embargoes are applied within the Open Research Archive; the metadata is made publicly visible but the manuscript will not be made available until the end of the embargo period. An exception may be applied for a longer embargo if the journal is the most appropriate journal. Email verification is required from the author.
5. **Other research outputs:** All types of research output publications, including book chapters, should be deposited in the Open Research Archive. All research related publications produced since 2014, whilst employed at the University, can be deposited.

## **Exceptions to the REF Open Access Policy**

### **Deposit exceptions:**

**DEPOSIT 1** (252a) At the point of acceptance, it was not possible to secure the use of a repository.

**DEPOSIT 2** (252b) There was a delay in securing the final peer-reviewed text (for instance, where a paper has multiple authors).

**DEPOSIT 3** (252c) The staff member to whom the output is attributed was not employed on a Category A eligible contract by a UK HEI at the time of submission for publication.

**DEPOSIT 4** (252d) It would be unlawful to deposit, or request the deposit of, the output.

**DEPOSIT 5** (252e) Depositing the output would present a security risk.

### **Access exceptions:**

**ACCESS 1** (253a) The output depends on the reproduction of third party content for which open access rights could not be granted (either within the specified timescales, or at all).

**ACCESS 2** (253b) The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate publication for the output.

**ACCESS 3** (253c) The publication concerned actively disallows open-access deposit in a repository, and was the most appropriate publication for the output.

### **Technical exceptions:**

**TECH 1** (254a) At the point of acceptance, the staff member to whom the output is attributed was employed at a different UK HEI, and it has not been possible to determine compliance with the criteria.

**TECH 2** (254b) The repository experienced a short-term or transient technical failure that prevented compliance with the criteria (this should not apply to systemic issues).

**TECH 3** (254c) An external service provider failure prevented compliance (for instance, a subject repository did not enable open access at the end of the embargo period, or a subject repository ceased to operate).

### **Other exceptions:**

**OTHER 1** (255a) An output is unable to meet the criteria due to circumstances beyond the control of the HEI, including extenuating personal circumstances of the author (such as periods of extended leave), industrial action, closure days, and software problems beyond those listed in the technical exceptions.

**OTHER 2** (255b) Extended deposit deadline – The output was deposited within 3 months of publication not acceptance.

## Sources of data for verification purposes

Date of acceptance for publication:

Email correspondence supplied by the author/co-author

Journal and publisher copyright; self-archiving policies; embargoes:

[Sherpa/RoMEO](#)

Journal and publisher websites

Contact the journal editor by email

Journal compliance with REF Open Access Policy

[Sherpa REF](#)

Exceptions:

Email correspondence and a self declaration from author

Check whether discoverable and downloadable from the Internet:

[Unpaywall](#)

Google Scholar

Publisher's website

Co-authored papers in another repository:

Email confirmation from St Mary's author that the paper has been deposited in co-author's repository or in a subject repository. No further checks.

'Gold' open access:

St Mary's University is not paying for immediate 'gold' open access except for special case requests. These are considered on merit on an individual basis.

## Open access training and communication

Training for researchers and other staff on the Open Access publishing process is carried out jointly by the Library Liaison and Information Resources and Content teams within Library Services. The Head of Information Resources and Content serves as the University's expert on Open Access publishing.

Information is available on the external website and on the Intranet. Guidance, training and updates for using St Mary's Open Research Online is provided for Academics and Academic support staff in one-to-one meetings, drop-in sessions and staff development courses and workshops. Assessment Leads within the Faculties provide additional support and guidance

Enquiries can be sent to [openaccess@stmarys.ac.uk](mailto:openaccess@stmarys.ac.uk) for assistance at any point of the publication process. Support and advice is provided on: - publisher permissions for Open Access publication and approaching publishers about Open Access - selecting the appropriate version of journal articles for deposit in Open Research Archive - selecting the most appropriate Creative Commons licence for research deposited Open Research Archive

## Assessment of risks

Red – not discoverable/accessible/downloadable from the Internet

Amber – missing dates/incorrect version of manuscript/not deposited in required time frame

Green – fully compliant

### Management information and reporting

Reports will be provided to the University Academic Board, University Research Committee and Faculty Research Committees when required for monitoring Open Access publications at St Mary's University especially in relation to REF requirements.

The REF Strategy Group is expected to review this framework on a regular basis and to report to the University Research Committee as necessary.

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