

# Open Access requirements for REF

This document is a brief guide for researchers regarding compliance with the REF Open Access requirements.

## Which outputs does the policy apply to?

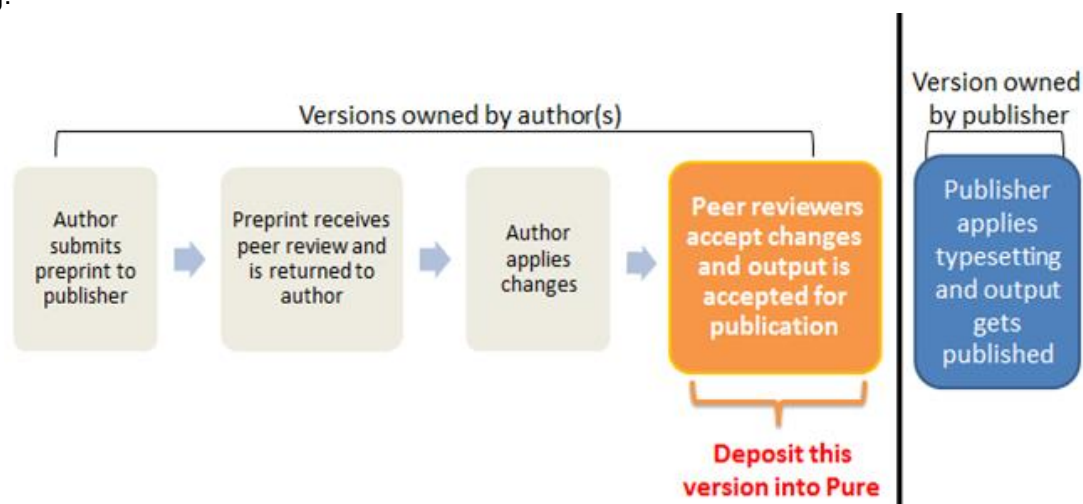
The REF Open Access requirements apply **only** to journal articles and conference proceedings with an ISSN.

## What needs to be done?

When a journal article or conference proceeding paper is accepted for publication, deposit the manuscript immediately into Pure. The deadline for depositing into Pure is three months from the date of acceptance for publication. **Outputs deposited after this deadline will not be eligible for the REF.** Along with the output, the evidence of the date of acceptance (such as a publisher's email of acceptance or the DOI / URL to the article page on the journal website showing the full acceptance date) also needs to be added to Pure.

## Which version needs to be uploaded?

The author's final peer-reviewed version of the output, which is also called 'Author's Accepted Manuscript' needs to be deposited. Do not deposit the publisher's PDF - the version in which the publisher has applied typesetting and copy-editing.



## Embargo periods

Maximum permitted embargo periods are 12 months for Panels A and B and 24 months for Panels C and D. Outputs still under embargo will be accepted for REF, provided that the first publication date is within the REF publication period. Once the manuscript has been added into Pure, the Library staff will check the record and apply any embargo if required by the publisher. Irrespective of the embargo period, the output must still be uploaded into Pure within 3 months of acceptance for publication, but it will be made openly accessible by the Library only after the embargo period has passed.

## Publisher policies on OA

The SHERPA/ROMEIO <http://www.sherpa.ac.uk/romeo/> service provides information about 1000 publishers.

## Help and support

Email [openaccess@royalholloway.ac.uk](mailto:openaccess@royalholloway.ac.uk) with any questions about the OA requirements for REF. The Research Support section within the Library Services intranet pages has full information about the REF and Open Access.

# Uploading the full text documents to Pure

This is a brief guide on uploading the full text documents to Pure.

## 1. Create a publication record in Pure

Log into Pure using your normal College's username and password. Click on the green button 'Add new'.



Click on the heading 'Research Output' and select the appropriate publication type. Enter as many publication details as known at the time of manuscript acceptance.

## 2. Add the documents to the publication record

The output manuscript needs to be uploaded to Pure. If an output contains any tables or figures, please combine these in one file with the manuscript (where possible).

The documents should be in a PDF file format. If supplementary materials were submitted with an output, these files should also be added to Pure.

To add a file to the publication record, scroll down to the section "Electronic version(s), and related files and links" and click on "Add electronic version (file, DOI or link)"

### Electronic version(s), and related files and links

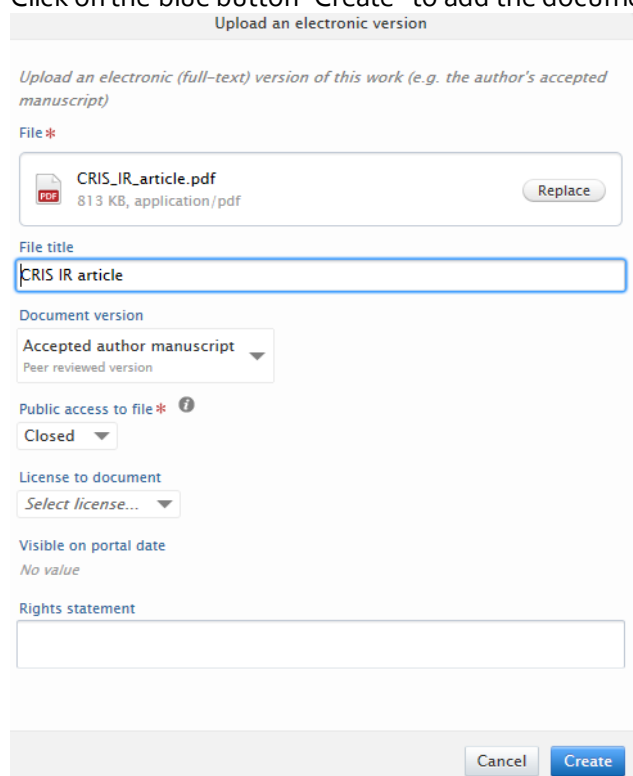
#### Electronic version(s) of this work

Add electronic version (file, DOI, or link)...

In the section "Document version", select "Accepted author manuscript" when uploading the output file(s).

In the section "Public access to file", select "Closed" for all documents. Articles added to Pure will be checked by the OA Team in the Library and kept closed until the file can be made OA depending on the publisher's policy. This might be at publication or it may be after any embargo period has ended. The OA Team will set embargoes on behalf of authors.

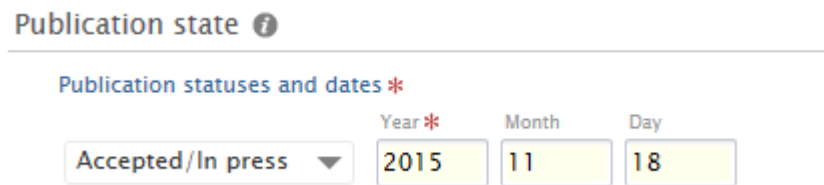
Click on the blue button "Create" to add the document.

A screenshot of the 'Upload an electronic version' form in the Pure system. The form is titled 'Upload an electronic version' and has a subtitle 'Upload an electronic (full-text) version of this work (e.g. the author's accepted manuscript)'. It contains several fields: 'File \*' with a file named 'CRIS\_IR\_article.pdf' (813 KB, application/pdf) and a 'Replace' button; 'File title' with the text 'CRIS IR article'; 'Document version' with a dropdown menu set to 'Accepted author manuscript' (Peer reviewed version); 'Public access to file \*' with a dropdown menu set to 'Closed'; 'License to document' with a dropdown menu set to 'Select license...'; 'Visible on portal date' with the text 'No value'; and 'Rights statement' with an empty text box. At the bottom, there are 'Cancel' and 'Create' buttons.

### 3. Add the evidence of the date of acceptance

This can be provided by either adding the DOI and / or URL to the article record at the publisher's website if the acceptance date is shown on this page or by adding the acceptance email from the publisher:

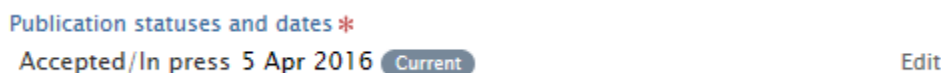
- Staff should type in the full acceptance date in to the "Acceptance/In press" field in the Publication status section



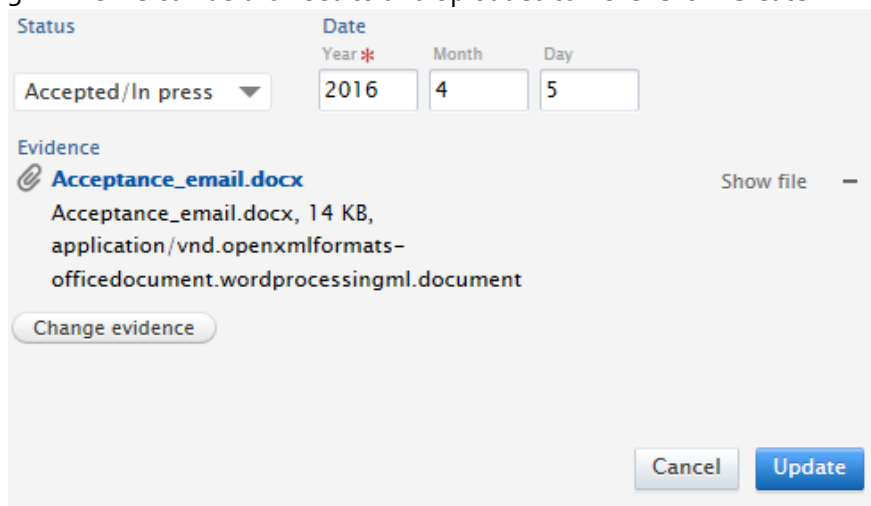
- If the full acceptance date is displayed on the article record at the publisher's website via the DOI / URL which has been added to Pure, then no further action is required. DOIs and URLs are added via the "Electronic version(s), and related files and links" section and clicking on "Add electronic version (file, DOI or Link)" and selecting the DOI and / or URL option.
- If the full acceptance date is not displayed via the article page on the publisher's website or DOI, then please add the acceptance email, saved as a screenshot in in a document:

To add the acceptance email to Pure:

1. Type the full acceptance date into the "Accepted/In press" field in the Publication status section.
2. Complete the details of the article and then Save the record.
3. Go back to the Publication state section and click "Edit" to the right of the Acceptance date:



4. The button to then add the evidence will appear.
5. The file can be browsed to and uploaded to Pure. Click "Create"



### 4. Save the record

To complete the process, click on the blue 'Save' button. Please update the publication record once the output has been published and the full bibliographic details are known.

#### Articles that are published as OA articles

Articles that are published as OA articles are considered out of scope of the policy and do not need to meet the Deposit requirement of depositing the accepted manuscript into Pure.

The advice for authors publishing an article as OA:

1. Add the article record to Pure as normal including the date of acceptance
2. Add the DOI and select "Final published version" for "Document version" and "Open" for "Public access to file"

3. The author's accepted manuscript can still be added to Pure. This would be an advisable option if there is any doubt in the article being ultimately published OA as if this did not happen, the accepted manuscript would have to have been deposited into Pure within 3 months of acceptance in order for the article to be REF OA eligible.

The OA Team in the Library will check the records and ensure that the DOI and URL to the OA article have been added and that the article has been published OA.

## Help and support

Email [openaccess@royalholloway.ac.uk](mailto:openaccess@royalholloway.ac.uk) with any questions about the OA requirements for REF.

# How to check if a journal meets the REF OA requirements

Before a manuscript is submitted for publication, **it is essential that authors check if the journal meets the REF OA requirements**. A journal will meet the requirements if a publisher:

1. Allows the deposit of the author's accepted manuscript in a repository (i.e. Pure)
2. Restricts access to the output with an embargo period for no more than 12 months for REF Panels A & B and 24 months for Panels C & D.

To check if a journal meets these requirements, please use the SHERPA RoMEO <http://www.sherpa.ac.uk/romeo/> service - an international service that works in close cooperation with publishers to collect information regarding their terms and agreements on depositing manuscripts. Romeo information is also integrated into Pure.

If there are any further questions on how to use the service or would like any help with checking the journal's terms and conditions, please contact [openaccess@royalholloway.ac.uk](mailto:openaccess@royalholloway.ac.uk)

## Using the SHERPA RoMEO service

1. Go to <http://www.sherpa.ac.uk/romeo/>
2. Enter the journal's title or the journal's ISSN in the search box
3. Click on the 'Search' button

Romeo will display the publisher's OA policy as a number of pathways for each version (Published, Accepted and Submitted).

The REF requires deposit of the accepted manuscript so it is the information within the Accepted version section that is essential to read.

Accepted Version

  None  CC BY  PMC 

 Any Website, Journal Website, +3

+

The + icon should be clicked to expand the information.





Some publishers have different pathways for the accepted version, these can relate to funder requirements and / or to different locations eg one pathway for an author's homepage and another for the institutional repository. It is essential to check if there is a pathway for Institutional repository or Any website and then read the information under that pathway.

Accepted Version  
[pathway a]

 None  CC BY-NC-ND   
 Author's Homepage

+

Accepted Version  
[pathway b]

 12m  CC BY-NC-ND   
 Institutional Repository, Subject Repository

+

#### Key information:

1. Embargo – this will indicate if any embargo is required eg:


 Embargo No Embargo


 Embargo 6 Months

 Embargo 12 Months

2. Location – this needs to indicate that it is permitted to deposit the accepted version in to an institutional repository, which is what Pure is. Romeo may explicitly include “Institutional repository / website” or implicitly include it by stating “Any website” eg

 Location Any Website  
Institutional Repository  
Named Repository (PubMed Central)  
Subject Repository  
Journal Website

 Location Institutional Repository

 Location Institutional Repository  
Subject Repository

Authors should check Romeo so that they understand the OA policy of the publisher. The Research Support Team will check Romeo and will apply the publisher’s OA policy to the author’s accepted manuscripts. If the journal does not provide REF compliant OA either by not allowing OA or by requiring a longer than permitted embargo, authors should consider publishing in a REF OA compliant journal instead.

If this is not possible, then the article will only be eligible for submission to the REF if an exception is applied to the article. Authors will need to be able to provide a short statement explaining why the journal title is the most appropriate for their article.