

## **Library Services process framework for open access**

### **1. Summary**

The intention of this document is to set out the University's framework for ensuring that publications authored by University researchers are made Open Access (OA), where applicable.

#### **a. Open Access mandate**

University of Staffordshire is committed to the principles of open access to research outputs. The University's Open Access Mandate can be read here:

[University of Staffordshire Open Access Mandate](#)

#### **b. Responsibilities of the Library Services STORE Team**

- To provide a service where researchers can be helped to comply with applicable OA requirements
- To assist researchers with the deposit of their research outputs within the institutional repository [STORE](#) both respecting the licensing terms and conditions of the publishers and in accordance with the Research Excellence Framework (REF) 2021 Open Access requirements
- To review and update the records held in [STORE](#), including the management of embargo periods where appropriate
- To record compliance of deposits where appropriate in accordance with the REF 2021 OA policy and disseminate this to relevant parties
- To apply exceptions where appropriate in accordance with the REF 2021 policy
- To maintain [STORE](#) to facilitate the preservation of University of Staffordshire research outputs
- To promote OA to researchers, students, and the university as a whole

#### **c. Responsibilities of University of Staffordshire Researchers**

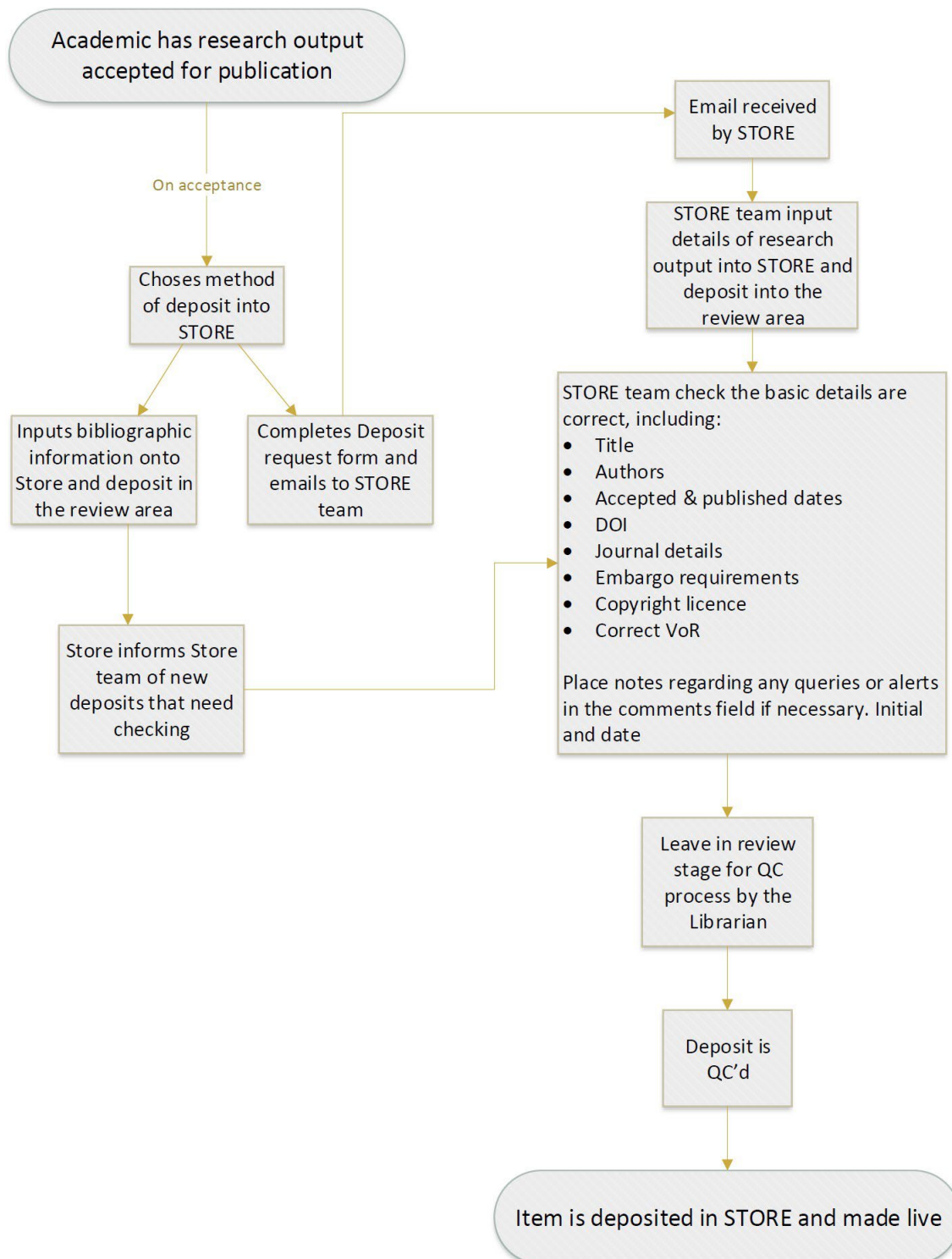
- To upload all their research outputs to [STORE](#) in a timely manner in accordance with both the Universities OA mandate and the REF 2021 OA policy
- To ensure that the correct version of a manuscript is uploaded with the research output in accordance with the REF 2021 OA policy (This should be the Author Accepted Manuscript (AAM))
- To engage with the information offered by the University on OA matters and to attend training sessions and workshops as appropriate
- To engage with the wider academic community with regards to the current policies on OA and REF 2021
- To make every effort to respond to requests for their embargoed work via the request a copy function within [STORE](#)
- To contact the relevant teams with any queries relating to OA or REF 2021

## 2. Process for managing compliance with the REF open access policy

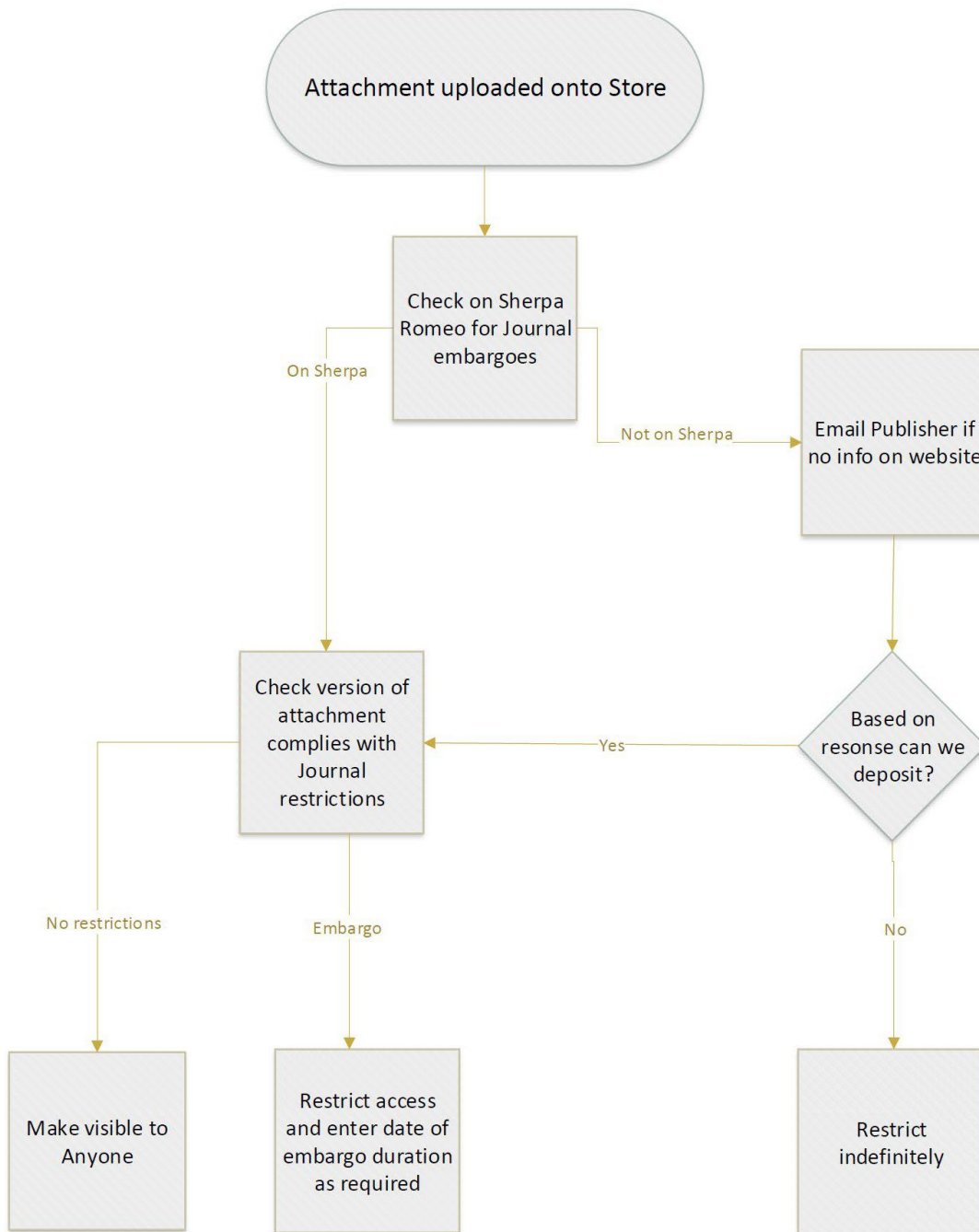
### Process of deposit

#### a. A description of the deposit process

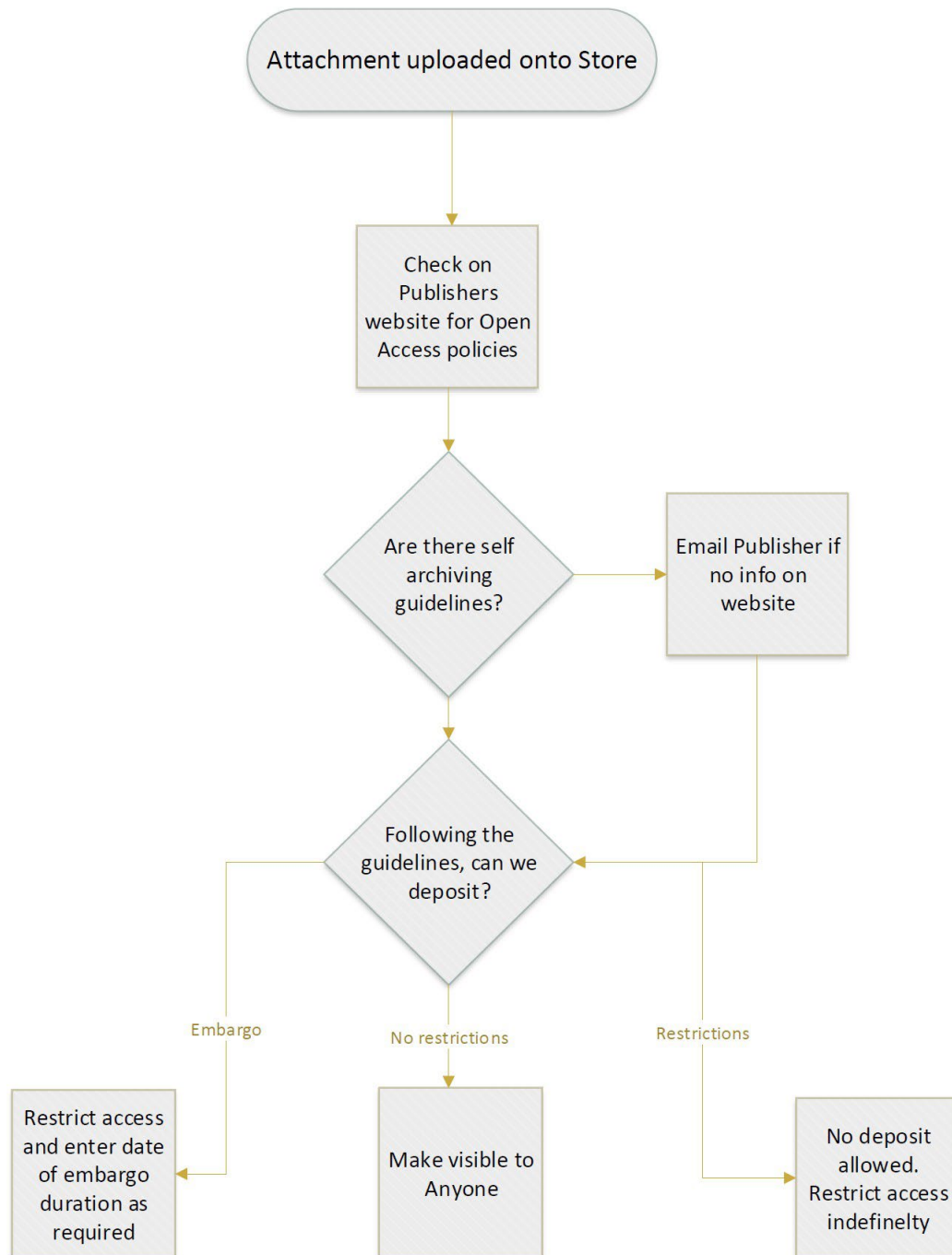
##### i. Research output deposit



ii. Process of application of an embargo for articles



iii. Process of application of an embargo for books and book chapters



## Data sources used

b. A description of the sources of data that are used in the process	Possible risks	How validated / risk minimised
Acceptance date.	Incorrect dates added into initial STORE deposit	Deposits are checked and then QC'd date is verified if available on journal site
Date of first availability (usually online publication date).	Missing or incorrect dates added into initial STORE deposit	Deposits are checked and then QC'd date is verified if available on journal site
Date of first (repository) open access.		Use Repository REF CC checker
Repository embargo length		Use information provided by Sherpa Romeo / publisher sites / email communication with publisher
Date of first (repository) compliant deposit		Use Repository REF CC checker
REF panel		Provided by RIIS
REF "Gold" open access status.		Decision based on the REF definition and the University of Staffordshire interpretation of this. This status is verified by checking the status of the original article via either the journal site, SCOPUS. Where necessary we will contact the publisher for advice.

## REF elements

c. How the REF-specific elements of the process handle decisions about outputs	Possible risks	How validated / risk minimised
<b>i. In or out of scope.</b>		
<b>In scope of REF OA policy:</b> Journal article with an ISSN or conference contribution with an ISSN Accepted on or after 01 April 2016. <b>Out of scope of REF OA policy:</b> Accepted on or before 31 March 2016. Research outputs format other than above (such as artefacts, book chapters etc) Journal article <i>without</i> an ISSN or conference contribution <i>without</i> an ISSN Published as REF "Gold" open access.		ISSN is a valid ISSN
<b>ii. Compliant or not compliant with the policy.</b>	<b>Possible risks</b>	<b>How validated / risk minimised</b>
<b>Compliant with policy</b> An <i>in-scope</i> author's accepted manuscript (or any later peer-reviewed changes incorporated version <i>permitted by publisher for open access purposes in line with REF OA policy</i> ).		

<p>Deposited to institutional repository within 3-months of acceptance, or 3-months of first availability (usually online publication) for publications accepted on or before 31 March 2018 back to 01 April 2016 (relaxation of compliance period).</p> <p>Repository open access granted (download, read, search) to compliant manuscript with 1 month of any publisher embargo period ending.</p> <p>REF OA policy publisher compliant embargo period is a maximum of 12 months for REF Panels A and B, 24 months for Panels C and D, and 24 months for interdisciplinary research</p> <p><b>Not compliant with policy</b></p> <p>Any <i>in scope</i> research outputs not meeting above criteria are classed as <i>not compliant</i>.</p> <p>Any research output with a valid REF Open Access policy exception is classed as eligible via a formal policy exception.</p>		
<p><b>iii. Using a valid exception. In particular, how the process ensures that the appropriate exception is used, and avoids overly broad interpretations of exceptions, especially the ‘other’ exception.</b></p>	<p><b>Possible risks</b></p>	<p><b>How validated / risk minimised</b></p>
<p>Any in scope research outputs that are deemed non-compliant are flagged in the monthly STORE deposit report which is sent to RIIS and the UoA leads.</p> <p>Guidance based on the REF exceptions criteria is provided to relevant parties to choose an exception if relevant (see appendix i. or the <a href="#">research publishing guide</a>)</p>	<p>Researchers may be unaware that their item is non-compliant</p> <p>Researchers asking for an exception to be applied on their behalf.</p> <p>Researchers may be reluctant to provide evidence to the STORE team regarding personal circumstances.</p>	<p>A monthly report is pulled from STORE, which is then run through our compliance checking spreadsheet. Each deposit is individually checked for compliance (using the compliance checker as best we can) Non-compliant deposits are flagged and a reason given. The report is sent to the REF task and finish group / the UoA leads who should contact the researcher and advise them</p>

<p>Researchers are advised to contact a member of the STORE team for further advice if necessary.</p> <p>Where an exception is to be applied the STORE team require the exception type and a statement in email form from the researcher and if available, evidence backing up the choice of exception(the researcher is made aware that they may need to provide further evidence backing up their exception.</p>		<p>that an exception needs to be applied</p> <p>The STORE team can only advise on the most appropriate exception where they are told the reason for non-compliance. The researcher is advised to use the information made available in appendix 1. talk to the UoA lead or RIIS for additional support if the STORE team cannot advise any further.</p> <p>Researchers are not expected to provide specific evidence regarding personal matters to the STORE team, it is expected that this will be collected via the UoA / RIIS team where appropriate.</p>
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#### d. GOLD Open Access

How the HEI addresses 'Gold' open access.	Possible risks	How validated / risk minimised
<p><b>REF policy definition of GOLD open Access:</b></p> <p>Some UK funders have a preference for gold open access. 'Gold' open access usually means the immediate, permanent, and free to access availability of the published version of record on the publisher's website and with a licence that permits copying and reuse. Outputs that are made open access through the 'gold' route, at the point of first publication, in accordance with other funder's requirements and definitions, meet the requirement of the REF 2021 open access policy. HEIs will need to confirm that outputs were available immediately after publication via the gold route.</p> <p><b>University of Staffordshire interprets GOLD open access as a research output where either:</b></p> <p>a GOLD OA fee has been paid</p> <p>Or</p> <p>The publication makes the research available freely and permanently to the public with waived OA fees, no subscription wall and is free to access on publication.</p>		<p>This status is verified by checking the status of the original article via either the journal site, SCOPUS. Where necessary we will contact the publisher for advice.</p>

## Staff training

e. Measures to train staff on the process, and the monitoring of the operation of the process.	Possible risks	How validated / risk minimised
<p>STORE staff are have a monthly meeting to disseminate information to the team regarding Research within the University, STORE, OA and REF requirements.</p> <p>The STORE team have a dedicated email account to discuss issues and solutions.</p> <p>Training is offered where appropriate on the STORE process and updates are disseminated when necessary</p>		
<p>Research and Digital resources Librarian attends the REF Task and Finish group meeting and regularly meets with relevant staff in RIIS</p> <p>Updates skills and knowledge by undertaking professional development by attending external meetings / workshops and training sessions and is a member of relevant special interest groups, such as:</p> <ul style="list-style-type: none"> <li>o UK-CORR</li> <li>o JISC-Repositories</li> <li>o LIS-ResearchSupport</li> <li>o OA Goodpractice</li> </ul> <p>Also presents at conferences and workshops regarding research related subjects:</p> <ul style="list-style-type: none"> <li>o UKSG</li> <li>o LibTeachmeets</li> </ul>		
<p>Learning and information manager training attends the Research and Innovation Committee meeting to keep up to date with University policy</p> <p>Updates skills and knowledge by undertaking professional development by attending external meetings / workshops and training sessions and is a member of relevant special interest groups, such as:</p> <ul style="list-style-type: none"> <li>o UK-CORR</li> <li>o JISC-Repositories</li> <li>o LIS-ResearchSupport</li> </ul>		



o OA Goodpractice		
Internal staff training (Library staff)		
Internal staff training – Sessions are regularly offered on STORE, Metrics, Open access		
Research staff are encouraged to have one-one meetings with the Research and Digital Resources Librarian to get an overview of the process of deposit in STORE and the OA landscape of the university and the wider academic community		
Research staff are encouraged to email or phone the Research and Digital Resources Librarian when they have queries relating to OA, STORE deposit.		
School research meetings: The Research and Digital Resources Librarian attends these where appropriate to disseminate and promote information about the importance of OA, STORE deposit, the REF 2021 and to create an awareness of the context of their research		
<b>Monitoring the process</b>	<b>Possible risks</b>	<b>How validated / risk minimised</b>
The Research and Digital Resources Librarian oversees the process of deposit into STORE		
A monthly report is compiled of the previous months deposits to ensure RIIS, UoA leads and the researchers themselves are aware of any issues and these can be dealt with in a timely manner		
Any issues (such as spikes in lack of compliance) are reported at the REF task and Finish group and to RIIS so that a plan of action can be taken		
STORE staff are encouraged to alert the Research and Digital Resources Librarian to any issues with deposits in the review area of STORE so they can be dealt with in a timely manner		

## Communication with Researchers

<b>f. Communication strategies with authors regarding policy requirements.</b>	<b>Possible risks</b>	<b>How validated / risk minimised</b>
Internal Social media (Workvivo) is used to promote the deposit of research outputs into STORE and to advocate the importance of deposit of research, OA REF 2021 and beyond		
Desktop tile adverts		
The STORE team has a dedicated Lib guide for Research Publishing, STORE and OA which contains useful information regarding STORE deposit, REF 2021.		
Communication about deposit requirements		
Communication about exceptions		
Communication to School Academic committees		
External social media platforms (Facebook / Twitter)		

## Risk assessment

<b>g. An assessment of risks in the management of open access (for example poor data collection, and inconsistent application of exceptions), and appropriate mitigations that the HEI has put in place.</b>	<b>How validated / risk minimised</b>
Incorrect data entry in research outputs deposited in STORE	<ul style="list-style-type: none"> <li>• STORE Team check each deposit following procedure</li> <li>• Deposits are then QC'd</li> <li>• Deposit is returned to depositor where applicable to amend</li> </ul>
Compliance and Exceptions	<ul style="list-style-type: none"> <li>• Monthly report run and sent to RIIS / UoA leads to disseminate and pick up on any queries / trends regarding compliance</li> <li>• Desktop advertising image used on a regular basis to promote Timely STORE deposit for REF</li> <li>• Where an item is non-compliant the STORE team will work with the authors to resolve the issue if possible.</li> </ul>

## Reporting

<b>h. Processes for producing management information and/or reporting.</b>	<b>Possible risks</b>	<b>How validated / risk minimised</b>
A monthly compliance report is disseminated to RIIS		
Reporting is completed for RIIS for outputs potentially to be included in the REF submission		
Reporting is compiled on request for individuals and departments		
Dashboard		

## Appendix

### i. Exceptions guidance for University of Staffordshire Researchers

#### Overview of compliance

To be compliant with the REF OA policy outputs will need to be deposited as soon after the point of acceptance as possible, and no later than three months after this date (as given in the acceptance letter or email from the publication to the author) from 1 April 2018.

Authors should ensure that their outputs which fall within the scope of the REF Open Access policy meet the requirements of the policy if they are to be eligible for REF submission. In certain circumstances it is understood that it is has not been possible to meet the compliance requirements of the policy. The policy does in these circumstances allow for a number of exceptions to be applied where relevant.

#### How to apply an exception

These exceptions are listed within this guide.

If possible authors should indicate a possible exception when they add their publication to STORE - please email the STORE team with the relevant evidence / supporting statement. For publications already added to STORE please also contact the STORE team with the information. Email: [store@staffs.ac.uk](mailto:store@staffs.ac.uk)

#### Overview of the exceptions (see individual sections for more details)

##### Deposit exceptions

The following exceptions deal with cases where the output is unable to meet the deposit requirements. In the cases listed, the output will not be required to meet any of the open access criteria (deposit, discovery or access requirements). However, University of Staffordshire authors are expected to ensure their article is made open access wherever possible, in line with both the REF the university's open access policy.

##### Access exceptions

The following exceptions deal with cases where deposit of the output is possible, but there are issues to do with meeting the access requirements. In the following cases, the output will still be required to meet the deposit and discovery requirements, but not the access requirements. A closed-access deposit, where allowed, will be required.

##### Technical and other exceptions

The following exceptions deal with cases where an output is unable to meet the criteria due to a technical issue. In the following cases, the output will not be required to meet the open access criteria (deposit, discovery or access requirements).

Two further exceptions to the policy are outlined under this section.

EXCEPTION	EVIDENCE REQUIRED FOR AUDIT	EXAMPLE TEXT WHICH COULD BE PROVIDED AS SUPPORTING EVIDENCE BY AUTHOR / UoAs	Notes re: evidence required	WHO IS RESPONSIBLE FOR IDENTIFYING IF APPLICABLE
<b>252.a.</b> At the point of acceptance, it was not possible to secure the use of a repository	Descriptive explanation of situation and difficulties encountered required, and where applicable data held as evidencing use of this exception must respect individual's privacy.		We cannot foresee circumstances in which a University of Staffordshire author would apply this exception.  See also exceptions 38c (not employed at a UK HEI at time of submission), 40a (not employed at University of Staffordshire at time of acceptance) or 40b (technical failure prevented deposit)	University of Staffordshire author of output
<b>252.b.</b> There was a delay in securing the final peer-reviewed text (for instance, where a paper has multiple authors).	Descriptive explanation of difficulties encountered required, and where applicable data held as evidencing use of this exception must respect individual's privacy.	<i>The corresponding author ([insert author name], [insert author ORCID if known]), of the article ([insert DOI]) did not provide me with a copy of the accepted manuscript to deposit in STORE within the required deposit timeframe.</i>  <i>[If applicable:] The corresponding author has ensured that this met the REF OA requirements and the output is available from repository [insert repository name], and was deposited there on [insert date].</i>		University of Staffordshire author of output
<b>252.c.</b> The staff member to whom the output is attributed was not employed on a Category A eligible contract by a UK HEI (defined in paragraphs 52 to 63) at the time of submission for publication.	Evidence of submission date if available (e.g. from publisher website).  Evidence that author was not employed by submitting HEI at that point.	<i>This article was originally submitted to the journal on [insert date here]. I was not employed by University of Staffordshire at that time, and I confirm I was employed by [insert employer and country] at this time.</i>		University of author of output  Employment dates at University of Staffordshire will be determined within the REF database.
<b>252. d.</b> It would be unlawful to deposit, or request the deposit of, the output.	Reasonable and descriptive explanation of difficulties encountered (where lawful to collect and record).  Note, that this exception cannot be used where a journal's open access policy prohibits the article from meeting the REF requirements, or where the inclusion of third party copyright prevents access to an output. These are covered by other exceptions.	<i>It would be unlawful to deposit this output because... [insert reasons here]</i>	<i>NOTE: It is unlikely that this exception will apply to the vast majority of journal articles and conference papers, which will be published and in the public domain in any case.</i>  <i>See also exceptions 39b and 39c, where the self-archiving permissions granted to an author by a journal do not meet the requirements of REF OA policy, but this was the most appropriate journal for the article to have been published in.</i>	University of Staffordshire author of output & the submitting UoA
<b>252.e.</b> Depositing the output would present a security risk.	Reasonable and descriptive explanation of difficulties encountered (where lawful to collect and record).	<i>Depositing this output would constitute a security risk because... [insert reasons here]</i>	<i>NOTE: It is unlikely that this exception will apply to the vast majority of journal articles and conference papers, which will be published and in the public domain in any case.</i>  <i>See also exceptions 39b and 39c, where the self-archiving permissions granted to an author do not meet the requirements of REF OA policy but this was the most appropriate journal for the article to have been published in.</i>	University of Staffordshire author of output & the submitting UoA

EXCEPTION	EVIDENCE REQUIRED FOR AUDIT	EXAMPLE TEXT WHICH COULD BE PROVIDED AS SUPPORTING EVIDENCE BY AUTHOR / UoAs	Notes re: evidence required	WHO IS RESPONSIBLE FOR IDENTIFYING IF APPLICABLE
<b>253. a.</b> 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)	Descriptive explanation of situation and difficulties encountered, where it is not obvious that the output depends on third-party material.	<i>This output contains third party copyright material. Whilst permission was granted to include this within the published version of the article accessible by subscribers only, permission was not granted for deposit in an open access repository. The inclusion of this third party copyrighted material is fundamental to the understanding of the output, and so provision of access to the article as a whole has not been possible.</i>		University of Staffordshire author of output  Authors are advised to contact the STORE team if they believe this exception may apply.
<b>253.b.</b> The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate publication for the output.	<p>Short explanation confirming that as the author, this journal was the most appropriate venue for publishing your research.</p> <p>Author's are expected to be aware of the requirements of their funder's and the REF Open Access policy, and to take these into account alongside other factors in deciding where is the most appropriate venue to publish their research.</p> <p>The choice of where to publish research outputs remains the choice of the author.</p> <p>Guidance on selecting a journal in your subject area, and information on the open access permissions individual journals might offer, can be sought from your School.</p>	<i>As the author, I confirm this was the most appropriate journal in which to publish this article. Other options which do meet the REF Open Access policy requirements were considered, but were deemed not to be the most appropriate venue to reach the most appropriate audience for this research.</i>		University of Staffordshire author of output  Authors are advised to contact the STORE team if they are unsure if this exception may apply.
<b>253.c.</b> The publication concerned actively disallows open-access deposit in a repository, and was the most appropriate publication for the output.	<p>Short explanation confirming that as the author, this journal was the most appropriate venue for publishing your research.</p> <p>Author's are expected to be aware of the requirements of their funder's and the REF Open Access policy, and to take these into account alongside other factors in deciding where is the most appropriate venue to publish their research.</p> <p>The choice of where to publish research outputs remains the choice of the author.</p>	<i>As the author, I confirm this was the most appropriate journal in which to publish this article. Other options which do meet the REF Open Access policy requirements were considered, but were deemed not to be the most appropriate venue to reach the most appropriate audience for this research.</i>		University of Staffordshire author of output  Authors are advised to contact the STORE team if they are unsure if this exception may apply.

EXCEPTION	EVIDENCE REQUIRED FOR AUDIT	EXAMPLE TEXT WHICH COULD BE PROVIDED AS SUPPORTING EVIDENCE BY AUTHOR / UoAs	Notes re: evidence required	WHO IS RESPONSIBLE FOR IDENTIFYING IF APPLICABLE
<b>254. a.</b> 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.	Evidence that author was not employed by submitting HEI on the date of acceptance.	<i>This article was originally accepted by the journal on [insert date here]. I was not employed by University of Staffordshire at that time. I was employed at [INSERT INSTITUTION NAME HERE]</i>		University of Staffordshire author of output  Employment dates will be determined within the REF database.
<b>254. b.</b> The repository experienced a short-term or transient technical failure that prevented compliance with the criteria (this should not apply to systemic issues).	Reasonable and descriptive explanation of technical failure.		N/A - If this exception is selected by an author, this will be confirmed against system logs to confirm it matches a period where access was lost for an extended period which prevented meeting the REF OA requirements.	Library/Digital Services to evidence
<b>254.c.</b> 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).	Reasonable and descriptive explanation of external service failure.		Please detail what the external service provider is, and why you believe they failed to meet the requirements.  Please contact the library for advice if required.	University of Staffordshire author of output

**255. Two further exceptions to the policy are outlined below:**

EXCEPTION	EVIDENCE REQUIRED FOR AUDIT	EXAMPLE TEXT WHICH COULD BE PROVIDED AS SUPPORTING EVIDENCE BY AUTHOR / UoAs		WHO IS RESPONSIBLE FOR IDENTIFYING IF APPLICABLE
<b>255. a.</b> 'Other exception' should be used where 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. If 'other' exception is selected, the output will not need to meet the open access criteria (deposit, discovery or access requirements).	A short written explanation for why the output could not meet the open access requirements at the point of submission to the REF		Please provide details to explain why this output did not meet the requirements. If these are related to any personal or private circumstances, please discuss with the REF Team or your assigned Unit of Assessment.	University of Staffordshire author of output