

City University London: Policy on Open Access Publishing

Approved by Senate on 4th March 2015

Background

HEFCE have published the Policy for open access in the post-2014 Research Excellence Framework (March 2014/07)¹. Non-compliance by academics and research staff with this policy will preclude them from being submitted for the next REF. The key points for City are:

- a) To be eligible for submission to the post-2014 REF, authors' final peer-reviewed manuscripts must have been deposited in a recognised open-access repository.
- b) The output must have been deposited as soon after the date of acceptance for publication as possible, and no later than three months after this date (as given in the acceptance letter or e-mail from the publication to the author). It should be noted that even where the publication provides gold open access to the article, it is still necessary for the article to be deposited in a recognised open-access repository.
- c) The requirement applies only to journal articles and conference proceedings with an International Standard Serial Number. It will not apply to monographs, book chapters, other long-form publications, working papers, creative or practice-based research outputs, or data. However credit will be given in the next REF for enabling open access for outputs outside this scope of definition.
- d) The policy applies to research outputs accepted for publication after 1 April 2016, but HEFCE strongly advise implementation as soon as possible. Again, credit in the next REF is likely to be made for earlier adoption of this policy.
- e) The policy allows repositories to respect embargo periods set by publications. Where a publication specifies an embargo period, authors can comply with the policy by making a 'closed' deposit on acceptance. Closed deposits must be discoverable to anyone with an internet connection before the full text becomes available for read and download (which will occur after the embargo period has elapsed).
- f) There are a number of exceptions to the various requirements that will be automatically allowed by the policy. These exceptions cover circumstances where deposit was not possible, or where open access to deposited material could not be achieved within the policy requirements. These exceptions will allow institutions to achieve near-total compliance, but the post-2014 REF will also include a mechanism for considering any other "extremely rare" "exceptional" cases where an output could not otherwise meet the requirements. HEFCE expect that 96% of publications will be deposited.

¹ The full policy can be found at: <http://www.hefce.ac.uk/pubs/year/2014/201407/> with FAQs at: <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/faq/>

Policy

- a) Bibliographic data for all publications should be included on the CRIS section of CRO. Note: This will also ensure that they are listed on academics' webpages.
- b) All outputs within the scope of the "HEFCE Policy for open access in the post-2014 Research Excellence Framework" should be included in the CRO in full text form in conformance with the HEFCE Policy, i.e. as soon after the point of acceptance as possible, and no later than three months after this date. The output must be deposited as the author's accepted and final peer-reviewed text (the 'accepted author manuscript'). Exceptions to this must either be according to the HEFCE Policy or sanctioned by the Dean or his/her delegate.
- c) All outputs that are outside the scope of the HEFCE Policy that have been published on/after 1 January 2013 should also be deposited in the CRO in full text form unless this is impossible to do so for technical, practical or legal reasons. Such exceptions to this must be sanctioned by the Dean or his/her delegate.
- d) Authors may request an embargo period provided this is consistent with the HEFCE policy. In this case publications should still be submitted to the CRO; they will be made visible automatically after the embargo period. (This is known as a "closed deposit".)
- e) All PhD theses will be made available in full text format in the CRO repository; they may be subject to an embargo period (see 3(a)) or a waiver at the discretion of the Graduate Dean.
- f) Publication lists that are used for cases for promotion and progression will only be considered on the basis of the bibliographic data published on the CRIS section of CRO. Deans will be asked to declare this to HR before such promotion or progression is considered.
- g) In order to ensure that this policy is being conformed to by 1 April 2016 (the HEFCE deadline), the University Policy will come into operation on the 1 April 2015.
- h) All journal articles and conference proceedings with an ISSN that are to be included in the ARQM from 2015 will only be considered if the accepted author manuscript is available on the CRO. In the ARQM submission from Schools, there will be a field corresponding to the web link to the CRO. For those publications that are not able to be on the CRO, there will be a field with a drop-down list of exceptions corresponding to those in the HEFCE Policy. If there are other reasons why a publication is not available on the CRO, then this will need signing off by the Dean or their delegate.

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