

# Open Access Monitoring

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# Things we'll cover

1. REF and the new open access policy
2. Exceptions
3. Compliance monitoring checklist
4. Routes to open access and what this means for compliance monitoring
5. The OA Monitor module
6. Time for questions

REF Open Access Policy

# REF open access policy

Came into force on 1<sup>st</sup> April 2016

Applies to Journal articles and conference papers (in proceedings with an ISSN) only

You must upload the accepted manuscript to a repository:

Within 3 months of publication (1<sup>st</sup> April 2016 – 31<sup>st</sup> March 2017)

Within 3 months of acceptance from 1<sup>st</sup> April 2017

# REF open access policy – embargoes on access

The uploaded accepted manuscript:

Units of Assessment (STM) - Must be publicly accessible within **12 months** of first online publication

Units of Assessment (HSS) - Must be publicly accessible within 24 months of first online publication

# REF open access policy – Queen Mary approach

Start depositing

Upload within 3 months of acceptance immediately – don't wait for publication

Deposit to:

*Queen Mary Research Online*

*Europe PubMed Central*

*ArXiv*

# REF open access policy – how?

Create a bibliographic record for every eligible paper/output in Elements (PubLists)

<https://elements.qmul.ac.uk>

Then, either:

*Upload the accepted manuscript to QMRO*

*Supply the URL to the record where it has been deposited in an external repository*

*Choose the Gold OA exception*

# Exceptions



# Exceptions

4 Groups of exceptions to the open access policy:

Access – research must still deposit, but there may be a delay on releasing the manuscript exceeding the maximum embargo requirement

Deposit – deposit either not within the timeframe required, or at all

Technical – deposit as soon as possible

Other – may fall outside the policy, issues with the publication information (for humans to decide how to respond)

# Exceptions on access

Access 1 – 3<sup>rd</sup> party copyright content within the paper, permissions not granted (in time, or at all)

Access 2 – Publisher has an embargo that exceeds the maximum allowed for the discipline; researcher must be able to justify if challenged, why they used this journal

Access 3 – Publisher does not support deposit to a repository; researcher must be able to justify if challenged, why they used this journal

# Exceptions on deposit

Deposit 1 – No repository available at the time of acceptance

Deposit 2 – Delay in securing the full text of the accepted manuscript in time

Deposit 3 – Employed outside the UK when the paper was submitted

Deposit 4 – It would be unlawful to deposit

Deposit 5 – Deposit would represent a security risk

Deposit 6 – The paper was published via the gold route

# Exceptions – technical

Technical 1 – Conference proceeding without an ISSN

Technical 2 – Other UK HEI failed to comply

Technical 3 – Repository technical failure

Technical 4 – External provide failure

# Exceptions – ‘Other’

Publication records where we cannot find more information about the paper therefore cannot exclude from the OA reports

Publications that are not REF eligible but cannot be removed from OA reports through other means

# Compliance monitoring checklist

# Compliance checklist

1. Does the paper need to comply?
  - a) Journal article/conference paper with ISSN
  - b) Accepted for publication on/after 1<sup>st</sup> April 2016
  - c) Is this paper considered REF eligible

# Compliance checklist

## 2. Does the paper comply?

- a) Has a record of the publication been created in Elements and uploaded to QMRO
- b) Has the accepted manuscript been uploaded to QMRO/location of the uploaded manuscript recorded in Elements
- c) Has this been done within 3 months of acceptance (within 3 months of publication for 2016-17)
- d) Does the manuscript meet the requirements of embargo length
- e) Does the paper fall within one of the allowable exceptions



Routes to open access

Paying for publication (gold)

# Things to keep in mind

Hybrid versus fully open access journals

Creative Commons licence – which one is required, does the publisher offer this?

Not all subscription journals are hybrid (for example: Nature, Nature Reviews)

Self-archiving (green)

# Self-archiving – what is this?

Uploading of research outputs to a digital repository

Queen Mary Research Online

Europe PubMed Central/PubMed Central

For a repository to be open access, it must NOT require you to register, login, or pay a membership fee in order to access its content...

# Self-archiving – versions?

Applies to publications (journal articles, conference papers, chapters)

Accepted manuscript (author accepted manuscript, final accepted version, etc.)

Published version (final published version, version of record)

Your right to upload, and the version, is dependent on publisher and copyright transfer agreement/license to publish you signed (if you signed one)

# Self-archiving - embargoes

Publishers will often require an embargo on the release of the full text from a repository for a period after publication (0 – 60 months from the date of publication)

Embargoes vary by publisher (and by journal)

Funders usually ask for this to be as short as possible (RCUK 6 months – 12 months maximum; AMRC partners 6 months)

OA Monitor



# REF open access policy - monitoring

Research/Institute Managers and Research Administrators in centres

OA Monitor reporting in Elements (PubLists)

*Shows papers that fall within the policy start date*

*Whether they have/have not been uploaded*

*Whether an exception to the policy has been indicated*

*Whether the publication meets the REF policy*

# OA Monitor

<https://elements.qmul.ac.uk>