



Nottingham Trent  
University

# Open Access and REF

Library Academic Engagement Team:  
Open Research

# OPEN Research

Unlocking the power of research for real-world change

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## REF policy on open access

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The REF2021 publication period closed on 31 December 2020 and the current REF cycle began on 1 January 2021. Research England have advised that the REF2021 open access policy and guidance remains in effect until further notice. This guide will be updated when details of the revised policy are available.

### Scope

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To ensure eligibility for the next Research Excellence Framework (REF) all **journal articles** and **conference contributions with an ISSN** must be:

- Deposited in an institutional repository (or appropriate open access subject repository) within **3 months of acceptance**.
- Made discoverable, free to read, download and search within the stated maximum embargo period (12 months for REF panels A and B, 24 months for REF panels C and D).

The [Author's Accepted Manuscript \(AAM\)](#) must be deposited unless the item is [Gold](#) open access, or the journal allows deposit of the [Version of Record](#).

Articles still under embargo are eligible for REF submission, provided they meet the requirements of the policy.

**Monograph and other long-form publications** are not within scope of the current policy but Research England have signalled their intent to include them in the revised policy for the current REF cycle.

## How to comply

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### On submission

- Decide if you are going to publish via the [Gold](#) or [Green](#) open access route.
  - Gold: Check to see if you can benefit from a [NTU publisher deal](#). UKRI-funded authors can apply to have the APC paid from the NTU open access fund where they are the corresponding author.
  - Green: Check that the journal's green open access policy meets the REF requirements using [Sherpa Services](#) .

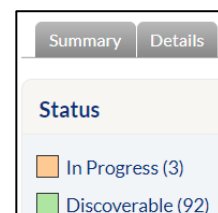
### On acceptance

- Green OA: Deposit your accepted manuscript in [Worktribe](#) as soon after the [date of acceptance](#) as possible and no later than 3 months after this date. The Library will make the citation details available in [IRep](#), our institutional repository, and ensure the accepted manuscript is processed in line with the journal's self-archiving policy.
- It is important you deposit your accepted manuscript even if it is not permitted by the publisher in order to qualify for a REF exception.

### On publication

- Green OA: Notify the library of online publication ASAP and **no later than one month after the [first date of publication](#)** via the submit amendment link in [IRep](#). The Library will make your manuscript discoverable or set an embargo expiry date as appropriate. This ensures your output is fully compliant with all aspects of the REF open access policy and you have safeguarded your REF eligibility.
- Gold OA: Deposit your output in [Worktribe](#) as soon as possible after publication.

It is recommended that authors check their [Worktribe](#) profiles on a regular basis to ensure that records have been deposited successfully and do not remain 'in progress'. Incomplete deposits cannot be made discoverable and therefore will not be deposit compliant.



Summary	Details
<b>Status</b>	
<span style="color: orange;">■</span> In Progress (3)	
<span style="color: green;">■</span> Discoverable (92)	

## Exceptions to the policy

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In certain circumstances, a paper can be submitted to the REF even though it does not comply with the REF Open Access Policy. Exceptions to the policy include:

Deposit exceptions (these outputs are considered out of scope of the policy)	Access exceptions (these outputs must still be deposited)
<ul style="list-style-type: none"> <li>Individual was not employed on a Category A eligible contract by a UK HE at the point of acceptance</li> <li>Individual was unable to secure the use of a repository</li> <li>Individual experienced a delay securing the final peer-reviewed text (e.g. for multi-authored papers)</li> <li>It would be unlawful, or present a security risk, to deposit the output</li> </ul>	<ul style="list-style-type: none"> <li>Output depends on third party content for which open access rights could not be granted</li> <li>The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate for the output</li> <li>The publication concerned actively disallows open-access deposit, and was the most appropriate for the output</li> </ul>
Technical exceptions (these outputs are considered out of scope of the policy)	Further exceptions (there may be very unusual cases where an output could not meet the criteria for a reason not covered in the other sections)
<ul style="list-style-type: none"> <li>At acceptance, the individual was at a different UK HEI and it has not been possible to determine compliance with the criteria.</li> <li>A short-term technical failure within the repository prevented compliance (this should not apply to systemic issues).</li> <li>An external service provider failure prevented compliance (e.g. a subject repository ceased to operate)</li> </ul>	<ul style="list-style-type: none"> <li>'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, industrial action, closure days, and software problems beyond those listed in the technical exceptions.</li> <li>The output was not deposited within three months of acceptance date, but was deposited within three months of the earliest date of publication. In this instance, the output will need to meet all other policy requirements.</li> </ul>

## Glossary

<b>Gold open access</b>	An output is made immediately and permanently available online and is free of charge to the reader. An article processing charge (APC) is often, but not always, paid to the journal. Gold open access publication is available from subscription journals as well as pure open journals. Gold OA outputs must include a <a href="#">Creative Commons</a> licence statement on the downloadable article. Those simply labelled 'free' or with an open padlock symbol are not gold OA.
<b>Green open access</b>	This is achieved by depositing the publisher-approved version of your manuscript, with no payment required, in an online

	repository. Embargo periods may apply when publishing via this route and can be checked via <a href="#">Sherpa Services</a> .
<b>Accepted author manuscript (also known as the AAM and post-print)</b>	The version of an article after peer-review and final corrections but prior to publisher typesetting or copy-editing. It will often be a Word document and the pagination will start from page 1 rather than reflect the final published version.
<b>Version of record (also known as published version)</b>	The final version of the article that is published on the journal website.
<b>Date of acceptance</b>	REF regards the date of acceptance as the point at which the author is notified that: their output has been reviewed by the journal or conference; all academically necessary changes have been made in response to that review; and the article is ready to be taken through the final steps toward publication (normally copy-editing and typesetting).
<b>Date of first publication</b>	REF considers this the earliest date that the version of record is made available on the publisher's website. This will generally mean the 'early online' date, rather than the date the article is assigned to a volume/issue online or the print publication date, should be taken as the date of publication.