

## University of Worcester Open Access Policy

### A supporting procedure for ensuring that the maximum number of UW Research outputs are eligible under HEFCE OA policies relating to REF2021

The HEFCE OA policy<sup>1</sup> states that for certain research outputs:

*“17. The output must have been deposited in an institutional repository, a repository service shared between multiple institutions, or a subject repository”*

*“18 The output must have been 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 e-mail from the publication to the author).”*

These requirements are embedded in the University of Worcester’s OA policy<sup>2</sup> which requires all staff to deposit their research outputs in WRaP within three months of the date of acceptance for publication. The policy also makes clear that it is:

*“It is the responsibility of the individual researcher to ensure they comply with the HEFCE policy and any funding requirements regarding Open Access” and that “The University will provide guidance and support with the above wherever possible.”*

In order for the WRaP team to provide guidance and support and facilitate the maximum number of UW research outputs being eligible for the 2021 REF it is essential that information passes between individual researchers, the WRaP team, and Institutes in an efficient and timely manner. To facilitate this is recommended that the procedure set out below is adopted as a related procedure to the OA policy.

- 1) While the University OA policy applies to all research outputs, this procedure applies specifically to those outputs which fall under the HEFCE open access requirements. These are:
  - i) Journal articles
  - ii) Conference papers that appear in a published proceeding (either print or electronic format)
- 2) All Research items in the categories above received by the WRaP team will be processed and made live on WRaP within 10 working days of their receipt.
- 3) On making a record live an appropriate email will be sent out to acknowledge this:
  - i) In the case of compliant items an email notifying the fact that the item has been made live will be sent to the depositor and all UW authors / contributors.

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<sup>1</sup> Policy for open access in the post-2014 Research Excellence Framework (Updated July 2015). [http://www.hefce.ac.uk/media/HEFCE,2014/Content/Pubs/2014/201407/HEFCE2014\\_07\\_updated%20July%202015.pdf](http://www.hefce.ac.uk/media/HEFCE,2014/Content/Pubs/2014/201407/HEFCE2014_07_updated%20July%202015.pdf) (accessed 19.01.2017)

<sup>2</sup> University of Worcester Open Access Publishing Policy <https://drive.google.com/file/d/0B2wGAYiHmOnAMDhBNmlyd1kOUFE/view> (accessed 19.01.2017)

ii) In the case of non-compliant items an email will be sent to the depositor and all UW authors / contributors containing:

- (a) a notification that the item has been made live,
- (b) details of what is required to make the item compliant (e.g. further information or an appropriate manuscript),
- (c) a deadline by which the information / appropriate manuscript is needed,
- (d) a request for a response within 10 working days either providing the required information / manuscript or to discuss any problems /issues associated with supplying the necessary information.

‡ The deadline will normally be set to allow 20 working days until the expiry of the three months from the date of acceptance for the item to allow for the possible necessity of contacting co-authors, publishers or funders.

- 4) If no response has been received by the WRaP team after 10 working days a follow up email will be sent to the depositor, all UW authors / contributors and an agreed contact in the relevant institute.
- 5) Once a dialog has been established around any issues concerning the compliance of an Item the WRaP team will provide support and guidance wherever possible to facilitate the item becoming compliant.
- 6) If for whatever reason the item is not compliant by the expiry of the three months from acceptance deadline an email will be sent explaining this to the depositor, all UW authors / contributors and an agreed contact in the relevant institute. All relevant information as to the reasons for non-compliance will be entered in a 'non-public field' of the WRaP record.