REF2021 OPEN ACCESS GUIDANCE FOR RESEARCH STAFF

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ROYAL

COLLEGE

OF MUSIC

London

Open access means making research outputs openly available online, ensuring that RCM research reaches the widest possible audience.

REF 2021 Open Access Requirements

Journal Articles and Published Conference Papers

To be eligible for REF 2021 all journal articles and published conference proceedings (in publications with an ISSN) accepted for publication after 1 April 2016 need to be deposited in a compliant open access repository. This is most likely to be an institutional repository: uploading to commercial research-sharing websites such as Academia.edu and ResearchGate does not satisfy REF open access requirements.

Output types and timescales

REF 2021 requires research outputs to be made open access via an institutional research repository if they are:

•   Journal articles published in journals with an ISSN or conference contributions in conference proceedings with an ISSN

and

•   Have been accepted for publication after 1st April 2016

Outputs which fit the above two categories must be deposited in the repository within a specified time frame, determined by the date of acceptance:

•   Outputs accepted for publication from the 1 April 2016 to 31 March 2018: The output must have been deposited as soon after the point of acceptance as possible, and no later than three months after the date of publication.

•   Outputs accepted for publication from the 1 April 2018 to 31 December 2020: The output must have been deposited as soon after the point of acceptance as possible, and no later than three months after this date.

Version of the output to be deposited

In most cases the published version of an article will not be able to be made open access on the repository, and what will need to be uploaded is the final accepted version (also sometimes called the 'accepted manuscript,' 'author accepted manuscript,' or 'post-print').

The final accepted version is the version of the article which has been accepted for publication after the peer review process but has not yet been typeset by the publisher. It is therefore identical in terms of content to the version that will appear in the journal, but without the publisher's layout, formatting, logo, copyright statements, and so on.

Most publishers will only allow this version of an article to be made open access on an institutional repository, so it is important that authors retain the final accepted version of their paper. Some publishers can provide a copy of this to authors on request. Depositing of the final accepted version of an article in an institutional repository is known as 'green open access.'

The final published version that appears on the publisher's website cannot normally be uploaded to an institutional repository unless the article is 'gold open access,' for which an article processing charge (APC) is usually paid.

The best way to ensure compliance with this requirement is to deposit articles in the repository as soon as they are accepted for publication. You can upload a copy of the final accepted version to the repository yourself, or send a copy to Kate Liley (katharine.liley@rcm.ac.uk) and Emma Hewett (emma.hewett@rcm.ac.uk) for uploading.

If you wish to deposit items yourself please use the repository search function (or 'Browse By Author') to check if a metadata record for the item already exists. If there is already a record on the repository, please send the item to Emma and Kate rather than creating a duplicate record.

Date of acceptance

When uploading your article (or if you send a copy to Emma and Kate) you will need to provide the date on which it was accepted for publication. This is defined as the date on which the author is notified that the item has been reviewed, that (if applicable) all necessary changes have been made in response to that review, and that the item is ready for the final process of copy-editing and typesetting.

Embargoes and other terms and conditions

Publisher requirements regarding embargoes and any other terms and conditions will be checked by Kate/Emma before your article is released into the live repository.

Other Research Outputs in the Current REF Period (1 January 2014–31 December 2020)

The REF 2021 guidelines clarify that open access requirements do not apply to output types such as:

- Monographs and other long-form publications

- Non-text outputs [including composers' scores and recordings]

- Working papers or outputs submitted to pre-print systems that are not the version 'as accepted for publication'

- The data which underpins some research

- Confidential reports that are not published because of commercial or other sensitivity

For items in this category such as books and book chapters, a metadata record of the output will be created which includes the main details of the item. This will produce a citation on the repository and where possible a link to the publisher's website will be added to it. If a book, book chapter, or other item from this category is to be submitted to REF 2021, a digital copy of the published version will be uploaded to the repository but restricted to repository staff only (i.e. not made open access to the general public). This will also apply to music scores (compositions and editions) and recordings (CDs, DVDs). Compositions will be deposited with a sample cover page and the full score available to repository staff only.

Pre-Ref 2021 Research Outputs

Metadata entries are also being created for research outputs published before the current REF period, in order to showcase RCM research and to create a full picture of the College's research portfolio. Research outputs from before a researcher commenced employment at the RCM are also being included. Where possible a link to the published version of the item is added to the entry.

If you would like final accepted versions of your older journal articles to be made available to the public on the repository, you are welcome to deposit them or to send them to Emma and Kate for uploading.