# I want to apply an exception to the HEFCE policy for open access

Please submit this form to your Unit of Assessment Coordinator.

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| Applicant name |  |
| ORCID iD (you can create an ORCID iD at <http://orcid.org>) |  |
| Department or Research Centre |  |
| REF Unit of Assessment |  |
| Unit of Assessment Coordinator name |  |
| Date |  |
| Title of paper |  |
| Title of journal or conference proceedings with an ISSN number |  |
| Please indicate which exception may apply | **Deposit exceptions**  1. The individual whose output is being submitted to the REF was unable to secure the use of a repository at the point of acceptance — this may include equality and diversity issues, and difficulties arising from complex staff circumstances  2. The individual whose output is being submitted to the REF experienced a delay in securing the final peer reviewed text — according to HEFCE this is "only likely where the paper has more than one author and the individual being submitted to the REF was not responsible for corresponding with the publisher, and HEFCE thinks it is reasonable to expect that authors make their Open Access responsibilities known to other authors at an early stage  3. The individual whose output is being submitted to the REF was not employed by a UK HEI at the time of submission for publication  4. It would be unlawful to deposit, or request the deposit of, the output  5. Depositing the output would present a security risk — according to HEFCE, this may occur when "aspects of an author's identity — particular their institution — are not made public because their research area is sensitive or controversial". in which case the Institution may decide that depositing the work would put the author or institution at risk  6. The output was not deposited within three months of acceptance date, but was deposited within three months of the earliest date of publication.  **Access exceptions**  1. The output depends on the reproduction of third party content for which open access rights could not be granted (either within the specified timescales, or at all)  2. The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate publication for the output — HEFCE wants to see "limited uptake" of this exception  3. The publication concerned actively disallows open access deposit in a repository, and was the most appropriate publication for the output — HEFCE wants to see "limited uptake" of this exception |
| Please provide an explanation why the exception applies.  In the case of **deposit exceptions 1 and 2**, please only provide an *indication* of any circumstances relating to equality and diversity issues or complex staff circumstances. In order to guarantee your privacy, please do not disclose unnecessary detail.  In the case of **access exceptions 2 and 3**, where possible please provide *a list of at least two alternative publications (such as journals) and a justification for your choice of publication*. |  |
| Unit of Assessment Coordinator support for applying this exception (to be completed by the relevant Unit of Assessment Coordinator only) | Yes  No |

Please send this form to [library-research-support@shu.ac.uk](mailto:library-research-support@shu.ac.uk) to record the exception.