



REF policy on Open Access

- **Articles and conference proceedings*** accepted for publication from 1st April 2016
 - Limited exceptions
 - **Credit in 'environmental component'** for making other outputs open access
- *not posters or abstract only items**



For REF

Output must be a new insight into research

Possible that a commentary, editorial, or review is a new insight into research

Non-Peer reviewed articles and conference proceedings must meet the Open Access requirements



REF Eligibility – Author responsibility

The output must have been deposited in a repository as soon after the point of **acceptance*** as possible, and no later than **three months** after this date.

- Author Accepted manuscript – **final agreed text** before publisher adds logos and mark-up
- We ***must*** evidence it is in our repository
- It ***may*** be a closed deposit

*final acceptance - all changes made and ready to typeset – not the date that the publisher says they will publish subject to amendments



REF Eligibility – The Library can help

AND

Made open-access.

REF accepts embargo periods:

- 12 months for Science, Technology and Medicine
- 24 months for Arts and Social Sciences

MYTH SPOILER - It is not necessary to pay an open access charge to comply with REF open access requirements.



Example Exceptions

Clause in Guidance on Submissions:

252b – There was a **delay** in securing the final peer-reviewed text

253a – The output depends on the **reproduction of third party content** for which open access rights could not be granted

255a – **Other** exception e.g. sole author, long term sick leave



Example Exceptions

Clause in Draft Guidance on Submissions:

253b – The publication concerned requires an **embargo period** that exceeds the stated maxima, and was the **most appropriate publication** for the output.

253c – The publication concerned actively **disallows open-access** deposit in a repository, and was the **most appropriate publication** for the output.



Example Exceptions

Clause in Draft Guidance on Submissions:

- 252c – The staff member to whom the output is attributed was **not employed on a Category A contract by a UK HEI** at the time of **submission** for publication.
- 254a - At the point of **acceptance**. The staff member to whom the output is attributed was **employed at a different UK HEI**, and it has not been possible to determine compliance with the criteria.



Exceptions

https://www.ref.ac.uk/media/1092/c-users-daislha-desktop-ref-documents-final-guidance-for-live-site-ref-2019_01-guidance-on-submissions.pdf

(see page 58-59 , clauses 252-255)

Reminder: REF Open Access Eligibility Rules

REF-submitted outputs must be OA compliant

- Aim for 100% compliance
- In each Unit of Assessment submission, a maximum of 5% of in-scope outputs (journal articles and conference proceedings available after 1 April 2016) that do not meet OA requirements can be submitted to REF2021.
- It is possible that after submission an item may be deemed not to meet the OA criteria
- Any non-OA compliant outputs submitted over the 5% tolerance will be marked as unclassified.
- **Use of predefined exceptions must be robust**