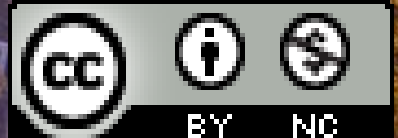




# REF Open Access

[Research-openaccess@glasgow.ac.uk](mailto:Research-openaccess@glasgow.ac.uk)

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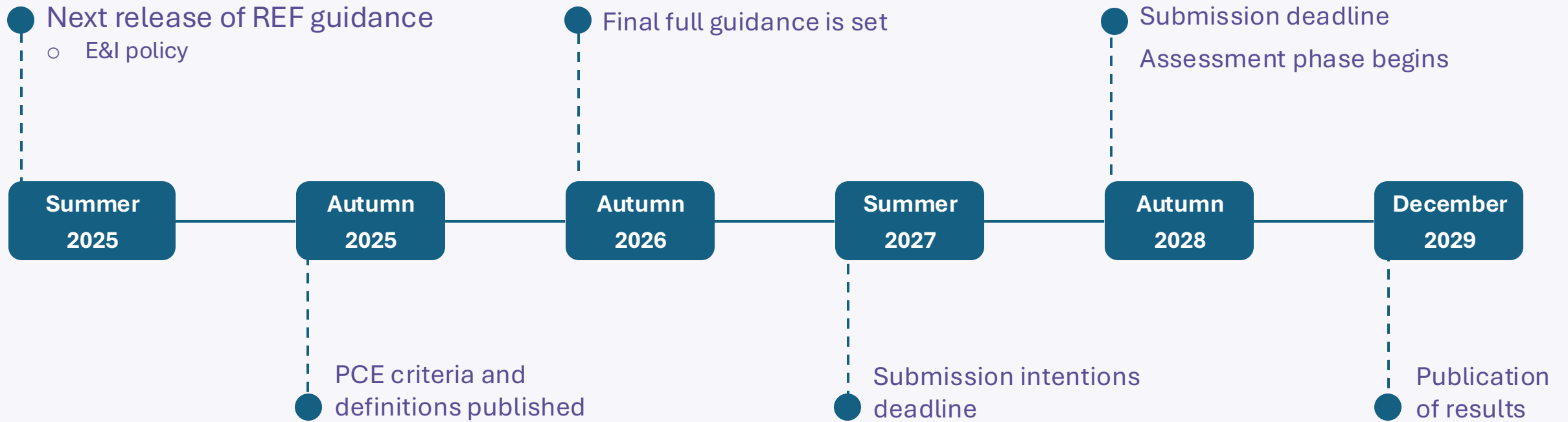


# Topics Today



- REF2029 output **eligibility** criteria
- REF open access compliance checking **process** and priorities
- Demonstration of the REF open access **dashboard**
- REF open access **guidance** and classifications
- Some things to know
- How to arrange UoA-level sessions with the REF open access team

# REF2029 Timeline



**Key takeaway: Final REF2029 guidance not yet released; we are working on institutional policies, structures and systems that will support the delivery of our submission.**

# Contribution to Knowledge and Understanding (50%)



## Research Outputs

REF2029 aims to break the link between individual staff members and submitted outputs

A diverse list of output types can be submitted.  
All types assessed on originality, significance and rigour

No. of outputs =  
2.5 x the UoA's  
volume measure

We may submit any  
output where there  
is a demonstrable  
and substantive link  
to UofG in the REF  
period

No min./max.  
output  
requirements for  
individual staff  
members

Outputs may be  
submitted to  
multiple UoAs

(Except for those  
sole-authored by  
PGRs or staff on  
Teaching-only  
contracts)

= a focus on the assessment of the disciplinary area,  
not individual authors

## Disciplinary-Level CKU Statement

- Each UoA will submit a single disciplinary-level statement (DLS) which will include sections on CKU, PCE and E&I.
- an **evidenced-based** description of the wider contribution to knowledge and understanding in the disciplinary area
- an explanation of how the submitted outputs are representative of the research activity of the submitting unit
- **representativeness** will be assessed on the extent that the outputs are reflective of research strategies, structures and the diversity of subject areas, research practices and outputs produced within the disciplinary area.

Guidance around the DLS will be developed by the REF Panels and published in 2026.

[UofG summary of the recently published CKU guidance](#)

# Research Excellence Framework



- **Original research**
- **First made publicly available between 1 Jan 2021-31 Dec 2028**
- **Has a substantive link to UofG, evidenced through an author's 'eligible employment relationship':**
  - Minimum 0.2 FTE continuous employment for at least 12 months
  - A role descriptor that included explicit expectation of research
- **Eligible employment relationship occurred either:**
  - At the point at which the submitted output was first made publicly available **OR**
  - Before the submitted output was made publicly available (ie. When the underpinning research was carried out at UofG; typically between Jan 2021-Dec2028 but may be extended 1 years' prior for most outputs and by 5 years' prior for longform/diverse outputs; tbc by REF panels)
- **Exclusions**
  - Sole authored papers where only substantive link is postgraduate research studentship, visiting/honorary staff post, teaching only contract (AEF1), or staff on contracts with no explicit expectation of research
- **Exception**
  - If a case can be made that the University supported research underpinning the output

# REF Open Access Policy



REF Open Access (OA) requirements apply for journal articles and conference proceedings (but no requirements for longform outputs for REF2029).

Requirement	Article or conference proceeding published <u>on or before 31 Dec 2025</u>	Article or conference proceeding published <u>on or after 01 Jan 2026</u>
Deposit author's accepted manuscript (AAM) in a repository:	As soon as possible after <b>acceptance</b> , and no later than <b>3 months</b> after this date.	As soon as possible after <b>acceptance</b> , and no later than <b>3 months</b> after publication date.
Maximum allowable embargo periods	<ul style="list-style-type: none"><li>• <b>12 months</b> for Science, Technology &amp; Medicine (Panel A/B)</li><li>• <b>24 months</b> for Arts &amp; Social Sciences (Panel C/D)</li></ul>	<ul style="list-style-type: none"><li>• <b>6 months</b> for Science, Technology &amp; Medicine (Panel A/B)</li><li>• <b>12 months</b> for Arts &amp; Social Sciences (Panel C/D)</li></ul>
Open access requirement	Must be openly available.	<b>Open licence</b> e.g. from Creative Commons suite . Where the route is sharing the AAM <b>and</b> the publisher does not allow an open licence, that is permitted.

- Follow the established [open access process at UofG](#). There are limited exceptions. If the AAM is supplied, the Library can release it after any publisher embargo.
- Consider requirements pre-submission; adding a rights retention statement at first submission can reduce risk of non-compliance.
- Act upon acceptance by sending the acceptance email and AAM to [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk)

# Open Access Licencing Requirements



‘Outputs should be shared as openly as possible; the funding bodies’ strong preference is for licensing **as CC-BY** or other license formats meeting this standard of openness. However, licensing outputs at **CC-BY-NC or CC-BY-ND** (including **CC-BY-NC-ND**) or licenses meeting an equivalent standard of openness are also permitted.

For the period 1 January 2026 to 31 December 2028 outputs shared by deposit (AAM), where subject to terms of a publication agreement limiting sharing and/or use of downloaded materials will not need to fully meet these licensing standards. They will however need to meet all other conditions for deposit, discovery and access. Application of an exception will not be required. From 1 January 2029 all future in-scope outputs will need to fully meet open licensing standards, subject to any permissible exceptions’



# Exceptions



Until 31 <sup>st</sup> December 2025	From 1 <sup>st</sup> January 2026
Unlawful to deposit	Unlawful to deposit
Publication actively disallows OA deposit*	Publication actively disallows OA deposit*
Delay in securing final peer-reviewed text	Delay in securing final peer-reviewed text
Embargo period exceeds stated maxima*	Embargo period exceeds stated maxima*
Third-party content OA rights could not be granted	Third-party content licence could not be obtained at reasonable cost
	Output published after author left - not able to determine compliance
The repository experienced a failure that prevented compliance with the criteria	Other – for example personal circumstances, software issue
An external service provider failure	
It was not possible to secure use of a repository	
Staff member not employed on a volume contributing eligible contract by UK HEI at submission	
Depositing the output would present a security risk	
Staff member employed at different UK HEI, and not possible to determine compliance	
Output not deposited within three months of acceptance date but within three months of earliest date of publication.	
*and was the most appropriate publication for the output	Outputs by one or more staff ineligible for volume measure.



# Some Things to Know



As well as the changes in policy:

We have both new staff, and more experienced staff who can share knowledge.

If [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk) are not told that publications are accepted, we may not discover them to check and add to your list.

We do some checks on databases and receive some automatic notification.

# Contribution to Knowledge and Understanding (50%)



## What is UofG doing to prepare?

	2024	2025	2026	2027	2028
Outputs/ Contribution to Knowledge & Understanding	Outputs scoring and preparation for calibration exercises	Outputs Calibration	Ongoing scoring and draft CKU statement	CKU Review	REF2029

The processes for outputs selection are now being formalised, including:

- UoA's convening formal **Output Scoring Committees (OSC)**
- OSC's developing an **output scoring methodology** that details how they will approach output selection fairly and equitably.
- Launch of the **institutional outputs tool (PROMPT)** in May 2025, to track scoring and selection of outputs – further training sessions scheduled for Sept 2025
- **UoA outputs calibration exercises with external reviewers** to ensure OSC's are confident in understanding what constitutes a high-quality output for REF.

## What do you need to do/consider?

- **Keep publishing your best work** - aim for quality over quantity
- **Consider the REF open access requirements and act on acceptance** - send author accepted manuscript to [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk).
- **Ensure your outputs are in Enlighten** – this will make sure your outputs are pulled into PROMPT and be visible to the OSC for review.
- **Look out for CKU resources available on our [UofG REF2029 intranet](#).**


# Open Access Compliance Checking Process



- The open access team add relevant exceptions and codes to records as received
- UoA's responsible for some checks e.g. staff contract status
- UoA's should check they are content with the robustness of any codes suggested
- PROMPT selections tool for those who are making selections
- Open Access dashboard for those who are checking open access compliance
- Sensitive data training prerequisite <https://moodle.gla.ac.uk/course/view.php?id=47719>
- Drop-in sessions available to those managing Open Access compliance
- UoA's contact Open Access team to arrange a session to look at priority examples
- [Compliance Checking Guide](#) available within the tool and on the web
- Prioritise potential items published a month to 4 months ago
- Contact [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk) for help and local presentation on open access


# Demonstration of Open Access Dashboard




**University of Glasgow**

## REF Outputs Reporting

Planning, Insight & Analytics (PIA)

 **Insight Hub**


 **New to Power BI?**  
Take the tour.


### Welcome to the REF Outputs Reporting Dashboard


This dashboard is for the reporting of outputs by REF2029 UOA and REF Open Access. All data presented here is available for export.


#### Data control and security


Due to potential sensitivities in the underlying data and/or evaluations expressed in the resultant analysis, the contents in this dashboard should be considered as for INTERNAL USE only (unless approved by PIA as appropriate to share externally).


 **Report Purpose**

 **Data Sources**

 **Report Definitions**


 **Help & Guidance**

**Report Builder**  
Build your own report.

**Open Access Compliance**  
Statistics and data on REF open access compliance.

For reporting on the progress of REF2029 output scoring and selection, please visit the PROMPT Reporting Dashboard.

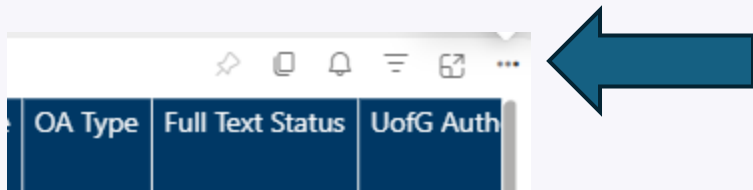
Access is given to Deans of Research, College REF contacts, UOA/CKU Leads and UOA Output Scoring Committee Chairs. If you think you should have access, please contact [ref@glasgow.ac.uk](mailto:ref@glasgow.ac.uk).

 **PROMPT Reporting Dashboard**

# How to find OA records for your unit



- From My Glasgow Staff choose PROMPT
- Choose Open Access Compliance
- Choose your filters
- Find the ellipsis on the right hand of the table that is produced



- Export data if you wish to export the table to work in excel
- Remember DO NOT share the information as email attachments or with anyone who does not need to see it.

# Guidance and Classifications



## OPEN RESEARCH

Open Access

Open Access Process at Glasgow

- Preprints
- ➔ Information for Managers and Administrators
- Europe PMC
- Acknowledgement of funder
- Availability of Materials
- Licensing and Copyright
- DOIs

## INFORMATION FOR MANAGERS AND ADMINISTRATORS

### Open Access Reports

The Open Access team supports colleges and schools in monitoring their open access publishing.

The Research Outputs reporting tool that includes Open Access status is now available. If you have questions about the tool or require access to it please contact: [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk).

### PROMPT: REF Open Access Compliance

A user guide outlining the REF Open Access Status values for outputs listed in PROMPT is available to view [here](#) (UofG staff only).

# Don't Panic – Non-compliant cases often fixed



Not deposited

Late deposit

Not released on time (e.g. long embargo, manual checking process)

May be found in other repositories where co-authors have made them compliant.

We can check this when items look possible for inclusion in REF.

There are exceptions available.

Not in policy but there is a REF FAQ that says that if the publisher embargoes until publication date. Now enshrined in 2029 policy. Manual checking.



## REF FAQ 2021

— I have an output that is under embargo until its publication date. What is the access requirement under the open access policy?

Where an output is under embargo until its date of publication, the embargo period is considered to both begin and end on the publication date. The output should therefore meet the access requirements of the open access policy under route 2 (see paragraph 249b of the Guidance on submissions), and no later than one month after the date of publication.

# Ways to engage and where to find support



Research England  
REF Townhalls and  
Forums

UofG REF events  
calendar

## Key contacts

- **REF leads:** contacts, roles and responsibilities
- **College support:** key contact and college impact teams
- **Open access team:** research-openaccess@glasgow.ac.uk
- **General REF queries:** ref@glasgow.ac.uk