

# REF Open Access Compliance for Units of Assessment

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

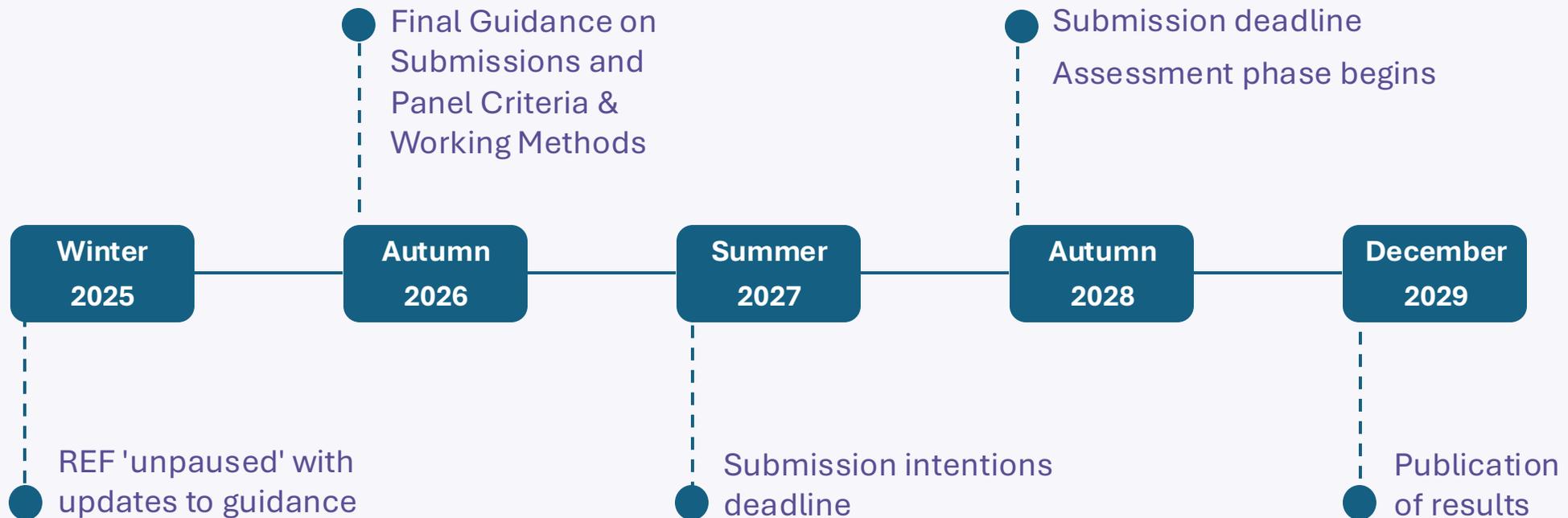
Unless otherwise specified content of these slides is by University of Glasgow and can be reused under a CC-BY-NC licence.

# Topics Today



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

# REF2029 Timeline



# REF2029 output eligibility



The REF2029 Contribution to Knowledge & Understanding (CKU) element (55%) is based entirely on the submitted outputs.

Number of outputs required = **2.5 x UoA volume measure**

Outputs may be submitted to multiple UoAs, providing they align with the UoA descriptors

## Each output must:

- be the product of original research
- have been first made publicly available during the current REF period (01 Jan 21 - 31 Dec 28)
- have a substantive link to the submitting HEI
- meet the requirements of the OA policy (for journal articles and conference proceedings only)

# Substantive link – eligible contracts



**A substantive link must be evidenced through an ‘eligible employment relationship’ with an author (or equivalent) who has made a significant research contribution to the output:**

- a minimum of **0.2 FTE** for at least **12 months** continuous employment

and

- the role descriptor includes an **explicit expectation of research activity**

*(at UofG these are all R&T and R-only contracts, plus G6 (Research Pathway), G7 and G8 Technical and Specialist contracts)*

## **Exclusions/exceptions**

- Outputs are not eligible where the **only substantive link** is through: teaching-only contract (AEF1), PGR, visiting/honorary staff, or other non-research contract (unless in exceptional, pre-cleared cases).
- If an output is published during an ineligible staff contract, it may be submitted if the **author subsequently moves to an eligible contract** at UofG (must be continuous employment)

# Substantive link – timing of contract



## The eligible employment relationship must have occurred:

- **At the point** the output was first made publicly available  
or
- **Before** the output was first made publicly available, when the underpinning research was carried out (*within 2 years for most outputs, 5 years for long-form/extended process outputs*)

Eligible employment relationships that occur **after** the output was first made publicly available **cannot constitute a substantive link**.

## Exception

- **Limited portability for longform/extended process outputs** – where the individual has an eligible contract at the time of the REF submission and their output was published no more than 5 years before the contract start (requires 100-word justification for longform/extended process designation).

**Maximum 5 outputs  
within a UoA  
submission may be  
attributed to a single  
substantive link**  
(there is no minimum  
requirement)

# REF Open Access Policy



REF Open Access (OA) requirements apply for journal articles and conference proceedings (but no requirements for longform or other 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](#).
- If the AAM is supplied, the Library can release it after any publisher embargo. There are limited exceptions.
- **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)

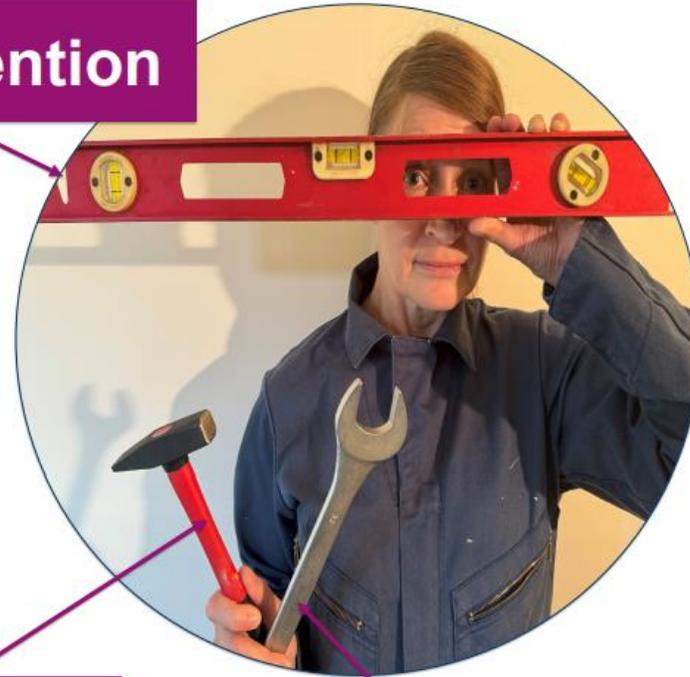
# Most papers ARE compliant by existing tools

## Rights Retention

### What are the benefits?

Making research outputs Open increases potential for:

- Worldwide exposure for your work
- Worldwide reuse of your work
- Inclusive availability of your work
- Citation
- Research impact
- Policy influence
- Community engagement
- Compliance with:
  - Funder terms
  - Research assessment exercises



Published version freely available (at cost)

Accepted version freely available under publisher terms

# 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 not obtained at reasonable cost !
The repository experienced a failure that prevented compliance with the criteria	Output published after author left - not able to determine compliance
An external service provider failure	Other – for example personal circumstances, software issue
It was not possible to secure use of a repository	Outputs authored in whole by one or more staff ineligible for volume measure.
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	! Research Excellence Framework deposit requirement still needs to be met

# Some Things to Know



- There is a 5% tolerance for non-compliant items which should be used with care.
- We have both new to REF OA 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.

# Open Access Compliance Checking Process



- Library open access team liaise with authors and add initial exception information to records
- UoA's should check they are content with the robustness of any codes suggested
- UoA's responsible for some checks e.g. staff contract status
- 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 meetings to look at priority examples
- [Compliance Checking Guide](#) available within the tool and on the web
- Prioritise potential items that are selected and have been accepted or published very recently
- Contact [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk) for help and local presentation on open access

# Introduction to the Open Access Dashboard



## REF Outputs Reporting Planning, Insight & Analytics (PIA)



### 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).



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

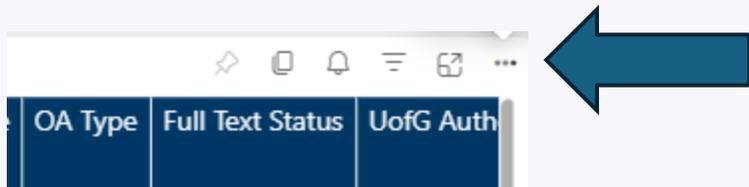
Access is given to Deans of Research, College REF contacts, UOA/CKU Leads and UOA Output Scoring Committee Chairs. If you think you should have access, please contact [ref@glasgow.ac.uk](mailto:ref@glasgow.ac.uk).



# 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-compliant – under embargo – should become compliant

Not deposited

Late deposit

Not released on time (e.g. long embargo, niche publisher policy unclear, 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.

Clear in 2029 policy - publisher embargo can be one month from acceptance or publication date as per publisher policy.

## 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.

# Resources and support



## Key contacts

- **Open access queries:** [research-openaccess@glasgow.ac.uk](mailto:research-openaccess@glasgow.ac.uk)
- **General REF queries (incl. output eligibility):** [ref@glasgow.ac.uk](mailto:ref@glasgow.ac.uk)

## PROMPT help menu:

- **Data dictionary** (for OA compliance field definitions)
- **Links to team emails**

## [UofG REF events calendar](#)

## [UK REF Townhalls and Forums](#)

### Get help with Prompt ✕

If you have any queries or comments about data within Prompt, or would like to log an issue with the Prompt system itself, please select one of the options from list below.

- Prompt User Guide
- Data Dictionary
- Score/star mapping
- I have a technical problem, query or suggestion for Prompt
- I have a question or issue regarding reporting or dashboards
- I have a question about outputs in Enlighten (send email)
- I have a question about REF open access (send email)
- I have a question about REF processes (send email)
- Read Prompt guidance on the REF sharepoint site