



Open access flags in the REF Assessment module in RPS

Open access flags appear alongside your publications in the REF Assessment Module in RPS. These flags show whether any open access requirements apply, and whether they have been met. This guide explains what they mean.

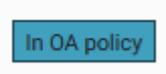
Not in OA policy

A rectangular button with a light grey border and a light grey background, containing the text "Not in OA policy" in a dark grey font.

The REF open access policy does not apply to these outputs.

The REF open access policy applies to research articles and conference proceedings accepted for publication after 1st April 2016. Research articles and conference proceedings accepted for publication before that date, and other outputs, do not have to comply with the REF open access policy. They are eligible to be submitted to the REF even if a file has not been uploaded.

In OA policy

A rectangular button with a blue border and a blue background, containing the text "In OA policy" in a white font.

The output needs to comply with the REF open access policy to be eligible to be submitted to the REF.

This flag is accompanied by another one that shows whether the paper complies with the policy.

OA compliant

In OA policy OA compliant

The output can be submitted to the REF, because it complies with the REF open access policy. The final accepted manuscript was uploaded to RPS within the required period.

The REF open access policy requires that papers accepted after 1 April 2016 and before 1 April 2018 are uploaded within three months of first online publication; papers accepted after 1 April 2018 must be uploaded within three months of acceptance, but an exception is permitted where they are uploaded within three months of first online publication (see Deposit 7, below).

Not OA compliant

In OA policy Not OA compliant

Unless an exception applies, or the paper is selected as one of a small number of permitted non-compliant outputs, the output cannot be submitted to the REF. This is either because the manuscript hasn't been uploaded to RPS or because it was uploaded more than three months after first online publication.

If you have uploaded your manuscript to RPS very recently, your publication will show as non-compliant until the Open Access Team has processed it. This will be done shortly after the file has been uploaded.

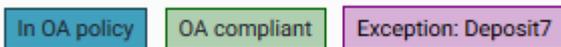
When the Open Access Team has applied an exception, you will see an exception flag.

Deposit 6



The Open Access Team applies this exception to papers that are Gold open access. The publication complies with the REF open access policy and can be submitted to the REF.

Deposit 7



The Open Access Team applies this exception to research articles and conference proceedings that were accepted for publication from 1 April 2018 and uploaded to RPS more than three months from acceptance but within three months of first online publication. The publication complies with the REF open access policy and can be submitted to the REF.

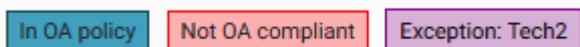
Deposit 3



The Open Access Team can apply this exception to papers submitted for publication when the author was employed by a non-UK HEI institution. They are eligible for submission to the REF even if a file has not been uploaded to RPS or to the previous institution's repository.

If you joined UCL from a non-UK HEI institution, and there are no other authors with UCL affiliation on your papers, but they are not flagged with this exception, please contact UCL's Open Access Team.

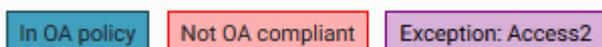
Tech 2



The Open Access Team can apply this exception to papers accepted for publication when the author was employed at another UK HEI institution. They are eligible for submission to the REF even if a file has not been uploaded to RPS or to the previous institution's repository.

If you joined UCL from a non-UK HEI institution, and there are no other authors with UCL affiliation on your papers, but they are not flagged with this exception, please contact UCL's Open Access Team.

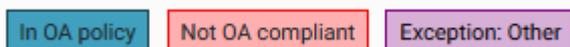
Access 2



The maximum embargo (delay on open access) that the REF policy allows is 12 months for papers submitted to panels A and B, and 24 months for panels C and D. Where a journal's embargo period is too long, or it doesn't allow open access in a repository at all, the author is encouraged to consider publishing in an alternative journal. If the author still wishes to publish in the chosen journal, and considers that it is the most appropriate publication for the work, an exception is available.

This exception is applied when the journal's embargo exceeds the maximum embargo permitted by the REF policy. However, the paper can only be submitted to the REF if the authors confirm to the Open Access Team that they considered the journal the most appropriate publication for the output.

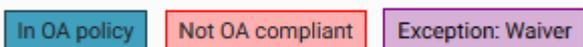
Other



This exception is used in specific extenuating circumstances, for instance in cases of extended leave.

Exception flags are also used for publications that wouldn't normally be submitted to the REF:

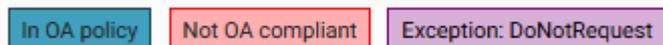
Waiver



This flag means that the publication has been checked by the Open Access Team and identified as a non-research output that wouldn't normally be submitted to the REF (eg. book reviews, errata, and correspondence pieces).

If you would like to select this type of publication for the REF, please contact the REF Team for advice.

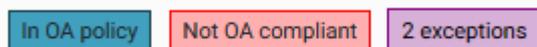
Do not request



Publications with this flag have been checked by the Open Access Team and identified as unlikely to be submitted to the REF (eg. unpublished pre-prints, or older publications without dates).

If you would like to select this type of publication for the REF, please contact the REF Team for advice.

On occasion, there may be more than one exception applied:



The publication can be submitted to the REF.

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open-access@ucl.ac.uk

<https://ucl.ac.uk/library/open-access>