

REF2020 Open Access Status Flag

Released : 5.4.0

Updated : 5.6.0

The logic for determining the REF2020 Open Access Status Flag has been updated to capture the introduction of the new Document version type 'Proof'¹.

The following describes the logic implemented to determine the REF2020 Open Access Status Flag for Research Outputs.

Note that Pure is continuing to monitor compliance against acceptance date, as per the originally published policy. This will need to be revised in light of the policy adjustments published in July 2015. Further discussion with the User Group and with HEFCE is required.

Definitions

Term	Logic
Eligible version	Document version = Author final version (postprint) OR Proof OR Publisher version
Earliest deposit date (this is a new, derived field, that will be displayed in the 'Assessment' section for relevant Research outputs)	Earliest of: <ul style="list-style-type: none"> • author postprint, OR • proof, OR • publisher PDF • from either document OR link
Earliest access date (this is a new, derived field, that will be displayed in the 'Assessment' section for relevant Research outputs)	Earliest of: <ul style="list-style-type: none"> • author postprint, OR • proof, OR • publisher PDF • from document OR link OR DOI
Date output first became available in the public domain (this is a new, derived field, that will be displayed in the 'Assessment' section for relevant Research outputs)	Earliest of: <ul style="list-style-type: none"> • publication date • Publisher's early online date • Eligible document version earliest access date (i.e. Author Accepted Manuscript, Proof, or Publisher's version) (via document / link)

¹ We have confirmed with HEFCE that while para 20 of the REF OA policy states “the output must have been deposited as the author’s accepted and final peer-reviewed text ... though this may be replaced or augmented with an updated peer-reviewed manuscript or the final published version of record at a later date”, initial deposit of a Proof or the Final published version is also acceptable; i.e. the policy text can be interpreted to say ‘the output must have been deposited as the author’s accepted and final peer-reviewed text or any later version’.

Application

The REF OA status flag only applies to the following outputs, and therefore only appears for these outputs:

Output type	<ul style="list-style-type: none"> • Contribution to journal • Contribution to specialist publication • Chapter in Book / Report / Conference proceeding > Conference contribution²
Acceptance date	On or after 1 April 2016 ³ (therefore, an output must have at least the 'Accepted / In press' date provided) NOTE that a full Acceptance date must be input – if only a year or year+month is input, REF OA compliance will not be monitored

Notes

- This status is shown on (and calculated against) the Research Output record (eventually, this will also feature in REF2 functionality in the REF module)
- The status is 'dynamic' – if the underlying content changes, the status updates automatically (but note that the record must be saved before the REF OA Status is determined / updated)
- This content is displayed in the 'Assessment' section in the Research Output editor
- The REF OA Status flag follows the same visibility rules as the 'Selected for REF2014' field (i.e. not visible to Personal Users)
- In consultation with HEFCE, we have interpreted 1 month = 31 days
- This functionality is only available to those UK customers who have purchased and installed the REF2020 module

REF OA Compliance Status and Logic

There are four separate REF OA Compliance Statuses, defined below:

Indeterminate	No deposit or access yet, but still within eligibility window (i.e. within 3 months of acceptance date and/or within 1 month of deposit date / embargo end date) AND REF exception is 'Not set'
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No deposit yet made, but still within 3 months of Acceptance date	OR	No access yet made, but still within 1 month of Earliest deposit date / Embargo end date
AND		
REF exception is EQUAL TO 'Not set'		

Compliant	OA status ok (as per REF OA policy) OR REF exception has been input (i.e. any value other than 'Not set' or 'No exception')
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Earliest deposit date of eligible version is within 3 months of Acceptance date	AND	Earliest access date to eligible version is within 1 month of Deposit date OR within 1 month of Embargo end date
OR		
REF exception is NOT EQUAL TO 'Not set' or 'No exception'		

² Note that compliance is monitored for ALL Conference contributions, regardless of whether there is an ISSN. It is felt that at the time of acceptance, it may not be known whether there is an ISSN.

³ The acceptance date from which the REF OA status is calculated is configurable in order to enable institutions to start monitoring compliance as soon (or as late) as is desired.

NOT compliant - Confirm exception applicability

OA status not ok (as per REF OA policy) AND REF exception is 'Not set'

Earliest deposit date of eligible version is NOT within 3 months of Acceptance date	OR	Earliest access date to eligible version is NOT within 1 month of Deposit date OR NOT within 1 month of Embargo end date
AND		
REF exception is EQUAL TO 'Not set'		

Not REF eligible

OA status not ok (as per REF OA policy) AND REF exception is 'No exception'

Earliest deposit date of eligible version is NOT within 3 months of Acceptance date	OR	Earliest access date to eligible version is NOT within 1 month of Deposit date OR NOT within 1 month of Embargo end date
AND		
REF exception is EQUAL TO 'No exception'		