

HEFCE Open Access Policy – Exceptions and Out of Scope Outputs

Outputs within scope:

- Journal articles or conference proceedings with an International Standard Serial Number (ISSN)
- Outputs that are accepted for publication after 1 April 2016

Outputs that are out of scope:

- Monographs and other long-form publications
- Non-text, creative and practice-based research outputs
- Book chapters and working papers
- Research data
- Output types that are delivered confidentially for security or commercial reasons
- Conference proceedings published with an ISBN or that form part of a book series with an ISSN

However, where an institution can demonstrate that it has taken steps towards enabling open access for outputs outside the scope of this definition, credit will be given in the research environment component of the post-2014 REF.

There are a number of exceptions to the various requirements that will be allowed by the policy. These exceptions cover circumstances where deposit was not possible, or where open access to deposited material could not be achieved within the policy requirements. These are:

Deposit exceptions (these outputs are considered out of scope of the policy):

- Individual was not employed by a UK HEI at the time of submission for publication
- Individual was unable to secure the use of a repository
- Individual experienced a delay securing the final peer-reviewed text (e.g. for multi-authored papers)
- It would be unlawful, or present a security risk, to deposit the output
- The output was published as gold open access

Access exceptions (these outputs must still be deposited):

- Output depends on third party content for which open access rights could not be granted
- The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate for the output
- The publication concerned actively disallows open-access deposit, and was the most appropriate for the output

Technical exceptions (these outputs are considered out of scope of the policy):

- At acceptance, the individual was at a different UK HEI that failed to comply
- A short-term technical failure within the repository prevented compliance
- An external service provider failure prevented compliance (e.g. a subject repository ceased to operate)

Other exceptions:

There may be very unusual cases where an output could not meet the open access criteria for a reason not covered above. In these cases, a short written explanation will be required and HEFCE expects such cases to be extremely rare. A process for considering these 'other' exceptions will be established in due course.