

Permitted Exceptions to the HEFCE [Policy for open access in the post-2014 Research Excellence Framework](#):

Deposit Exceptions:

Paragraph 36: These apply where deposit is either not possible for not possible in the time frame allowed. “In the following cases, the output will not be required to meet any of the open access criteria, and should be considered beyond the scope of this policy, though we recognise that in some cases open access to the output may be achievable at a later date or by another route.

Exception Name	Detail and Notes
Repository Issue	This applies to researchers without the use of a repository at the point of acceptance. I.e. independent researchers, postdoctoral researchers between institutions etc.
Version Delay	Researcher experienced a delay in acquiring a copy of the post print. I.e. where a researcher is part of a collaborative group they may not be able to get a copy of the accepted version in time to meet the ‘three months after acceptance’ requirement.
Non-UK HEI	Individual was not employed by a UK HEI at the time of submission for publication.
Legal/Ethical	It would be unlawful to deposit or request the deposit of the output.
Security	Or depositing the output would present a security risk.

Access Exceptions:

Paragraph 37: These apply where deposit is possible but access to the full text of the deposit is not possible. “In the following cases, the output will still be required to meet the deposit and discovery requirements, but not the access requirements. A closed-access deposit will be required, and the open access requirements should be met as soon as possible.”

Exception Name	Detail and Notes
Third Party Content	This applies to researchers who cannot make the output available in line with the policy because rights to third party content could not be acquired (either in the timescale or at all).
Long Embargo	Publisher requires an embargo period longer than the maximum allowed for the main panel of submission, and the publication was the most appropriate for the output.
Self-Archiving Prohibition	The publication concerned actively disallows open access deposit to a repository but is the most appropriate venue of publication for the output.

Technical Exceptions:

Paragraph 38: This applies where there is a technical issue that prevents any of the requirements being met. “In the following cases, the output will not be required to meet the open access criteria. We would strongly urge HEIs to ensure the criteria are met retroactively, as soon as possible and no later than the REF submission point.”

Exception Name	Detail and Notes
Different UK HEI	This applies if at the point of acceptance the individual was employed by a different UK HEI that failed to comply with the criteria.
Technical Glitch	The repository chosen experienced a short-term or transitory technical failure that prevent compliance with the criteria. This exception would not apply in the instance of systematic issues.
External Service Provider	This exception applies in the case of an external service provider preventing compliance. For example if a subject repository did not enable open access at the end of the embargo period, or a subject repository ceases to operate.

Other Exceptions:

Paragraph 39: “In very exceptional cases, it may not be possible for an output to meet the open access requirements set out by this policy for a reason not covered by the exceptions listed above. We will require a short written explanation for why the output could not meet the open access requirements at the point of submission to the REF. We expect that such cases should be extremely rare. We will establish the process for considering them as part of our more detailed work to develop the post-2014 REF.”