

Area of policy	Field	Sub Field	Format	Rioxx Term	Expected	Audit Level	Notes	Metadata Field in DSpace	Dropdown Option
Definition 1/2	Output Type		List Item	rioxterms:type	Yes	output	look at rioxx drop-down list	rioxterms:type	
Definition 2/2	Acceptance Date		Date	dcterms:dateAccepted	Yes	Institution	Only required for Journal Article and Conference Proceedings	dcterms:dateAccepted	
	Technical Exception	Output is a conference proceeding, but not within definition (i.e., it does not have an ISSN, or the proceedings are published as part of book series)	T/F		optional	output		refterms:technicalException	conferenceOutsideDefinition
		At the point of acceptance, the individual whose output is being submitted to the REF was at a different UK HEI which failed to comply with the criteria.	T/F		optional	output		refterms:technicalException	differentUKHEI
		The repository experienced a short term or transient technical failure that prevented compliance with the criteria (this should not apply to systemic issues)	T/F		optional	output		refterms:technicalException	technicalFailure
		An external service provider failure prevented compliance (for instance, a subject repository did not enable open access at the end of the embargo period, or a subject repository ceased to operate).	T/F		optional	output		refterms:technicalException	externalServiceProvider
			Free text		optional	output		refterms:technicalExceptionExplanation	
	REF Panel	copied from Eprints implementation	Panel					refterms:panel	Unspecified, A, B, C, D
Deposit requirements	Version of deposited file		List item	rioxterms:version	Yes	Institution	Store as refterms:version so rioxterms:version can be updated	refterms:version	
	Deposit date		Date		Yes	Institution		refterms:dateDeposit	
	Date of first compliant deposit	First compliant deposit, in case of file updated	Date					refterms:dateFCD	
	Deposit exception	The individual whose output is being submitted to the REF was unable to secure the use of a repository at the point of acceptance.	T/F		optional	output		refterms:depositException	noRepositoryAtAcceptance
		The individual whose output is being submitted to the REF experienced a delay in securing the final peer-reviewed text (for instance, where a paper has multiple authors).	T/F		optional	output		refterms:depositException	delaySecuringText
		The individual whose output is being submitted to the REF was not employed by a UK HEI at the time of submission for publication.	T/F		optional	output		refterms:depositException	notEmployedAtUKHEI
		It would be unlawful to deposit, or request the deposit of, the output.	T/F		optional	output		refterms:depositException	unlawfulDeposit
		Depositing the output would present a security risk.	T/F		optional	output		refterms:depositException	securityRisk
		The output was published as 'gold' open access (e.g. RCUK-funded projects where an open access article processing charge has been paid)	T/F		optional	output		refterms:depositException	publishedGoldOA
			Free text		optional	output		refterms:depositExceptionExplanation	
Discovery Requirements	None		None		No	output	Check discoverable by web search	N/A	
Access Requirements	Publication Date		Date	Rioxterms:publication_date or license_ref	yes	output		rioxterms:publicationdate	
	Date of first compliant access	Maintaining the access date, in case of uploading new file version	Date					refterms:dateFCA	
	Embargo End Date	Record if different to publication date	Date	license_ref or free_to_read	yes	output	riox = rioxterms.licenseref.startref	refterms:dateEmbargoEnd	

	Free to read	Record if different to publication date	Date	license_ref or free_to_read	optional	output		refterms:dateFreeToRead	
	Free to download	Record if different to publication date	Date	license_ref	optional	output		refterms:dateFreeToDownload	
	in-text search	Ability tosearch within a downloaded version, record if different to publication date	Date		optional	output		refterms:dateToSearch	
	embargoPeriod	The output depends on the reproduction of third party content for which open access rights could not be granted (either within the specified timescales, or at all)	T/F		optional	output		refterms:accessException	thirdPartyRights
		The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate publication for the output	T/F		optional	institution		refterms:accessException	publicationExceedsMaxEmbargo
		The publication concerned actively disallows open-access deposit in a repository, and was the most appropriate publication for the output.	T/F		optional	institution		refterms:accessException	publicationDisallowsOA
Other exception	Other exception		Free text		optional	output		refterms:accessExceptionExplanation	
			Free text		optional	output		refterms:exceptionFreeText	
RIOXX terms: The RIOXX application profile is not yet formally launched, and detailed guidance notes have therefore not yet been published. The terms and controlled lists provided by RIOXX are therefore advised to be optional for institutions and repositories to adopt, with alternatives provided in the above table where data might be collected and provided in an alternative form. Once launched, we expect RIOXX to make open-access metadata collection and verification simpler and more unified between research funders, and we therefore encourage its adoption in repository systems.									
Output type: there is a controlled list for these types provided by RIOXX, but this doesn't capture the greater variety of outputs admissible to the REF. We would advise recording metadata in line with the RIOXX controlled list for items covered by this policy, and we will advise REF data collection requirements for the wider set of outputs at a later point.									
Date fields must always include the day, month and year. Publication date should be taken to mean the embargo start date, as defined by the journal. Ideally this would be provided via the license_ref metadata. This may or may not be the same as the date of 'early online publication', depending on the publisher; please note that we assume that the post-2014 REF will, like the 2014 REF, accept outputs published 'early online' within the REF publications period.									
Free_to_read and license_ref tags: These terms are not yet available as they have not been signed off by NISO, but they have achieved wide support and are being adopted by publishers now. We recommend license_ref as the ideal mechanism for recording and gathering embargo start and end dates. If institutions wish to use the NISO free_to_read tag to record this information instead of implementing a 'free to read' field in their repositories, we recommend exercising caution. This field can also be used for free access promotional periods (and would therefore have an end_date attribute), and may conflict with license_ref tags if present. We provide it here as an alternative should institutions see benefit in collecting and implementing it.									
Free to read, download, and in-text search: These fields are optional for collection and submission to the REF, but institutions might wish to gather them for their own monitoring and assurance purposes. As stated, if these fields are not collected or submitted, we assume that all items that have met the deposit and discovery requirements and whose embargo has ended are free to anyone to read, download and perform in- text search within the expected period.									
Version: We advise adopting the controlled list provided by RIOXX, as follows. The items Am, P, VoR, CVoR and EVoR are the versions that will satisfy the deposit requirements. AO = Author's Original SMUR = Submitted Manuscript Under Review AM = Accepted Manuscript P = Proof VoR = Version of Record CVoR = Corrected Version of Record EVoR = Enhanced Version of Record NA = Not Applicable (or Unknown)									
Fields in red are in addition to those in the HEFCE guidelines, these have been added through review of the Eprints and PURE REF plugins									
Please pass any comments to claire.knowles@ed.ac.uk , dominic.tate@ed.ac.uk , Bram@mire.com and sbrown@keyperspectives.co.uk									