UKRI Open Access Policy

Information slide pack for research organisations

Version 1.3, November 2022

Purpose of this slide pack

- This pack provides an overview of the UKRI Open Access Policy.

- It is provided for research organisations to use to engage their researchers, alongside their own local guidance and information.

- Research organisations and authors should also refer to the full policy and guidance on UKRI's website available at **publishing your research findings**.

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UKRI Open Access Policy

- Ensures findings from research funded by the public through UKRI can be freely accessed, used and built on.

- Is part of UKRI's work to support an inclusive, open and trusted research and innovation culture and environment.

- Builds on UKRI's previous requirements for peer-reviewed research articles by requiring **immediate** open access.

- Introduces a **new open access requirement for monographs**, book chapters and edited collections from 2024.

- Applies to in-scope research articles and long-form publications that need to acknowledge funding from UKRI or any of its Councils (including those authored by staff based at UKRI institutes, facilities and units).

- Is a condition of UKRI funding. Grant holders and research organisations are responsible for ensuring publications comply with the policy.

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How UKRI decided its policy: shaping our open access policy
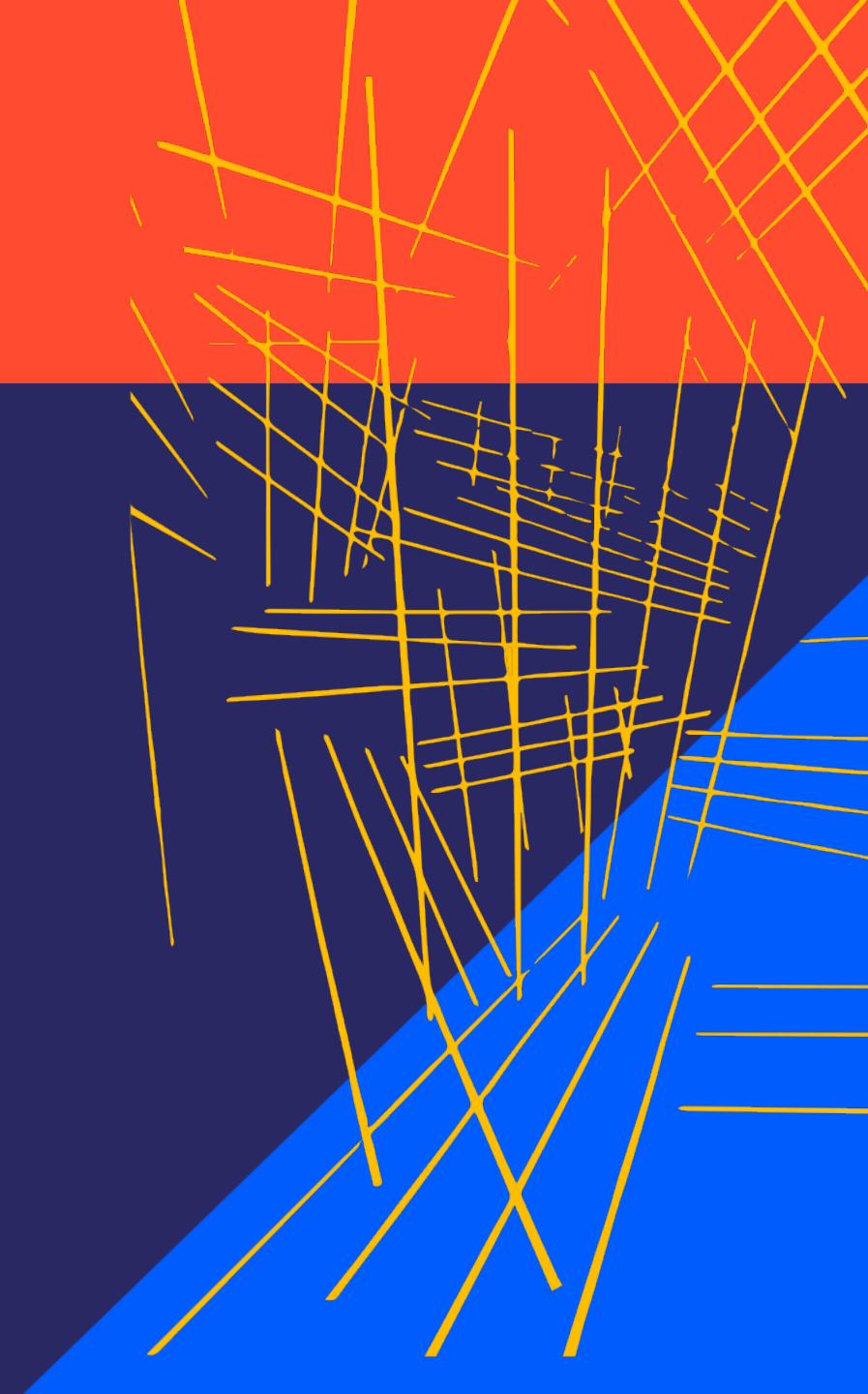
Benefits of open access

- Benefits the research and innovation ecosystem and wider society by increasing opportunity for researchers, practitioners and others to access, use and build on research funded by the public.

- Benefits authors by improving the reach and potential impact of their research findings

- Together with other open research practices, benefits research efficiency, quality, integrity and trust by facilitating collaborative, transparent and reproducible research practices.

- Through these benefits and ensuring access to publicly funded research the policy delivers value for money for taxpayers who have funded the research.

More on the benefits of open access: an introduction to open access | Jisc

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Policy scope

When you need to follow the
UKRI Open Access Policy

What the policy applies to

- Research publications, as defined below, that need to **acknowledge funding from UKRI** or any of its councils, including Innovate UK and Research England.

- Research publications, as defined below, authored by UKRI staff, including those based as UKRI's institutes, units and facilities.

- **Peer-reviewed research articles submitted from 1 April 2022**, including reviews and conference papers, that are accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or publishing platform.

- **Monographs, book chapters and edited collections published from 1 January 2024**

  - Unless a contract has been signed between the author and the publisher before this date that prevents adherence to the policy. However, UKRI strongly encourages authors and publishers to make publications open access.

  - In-scope long-form outputs are detailed at Annex 1 in the policy.

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How to acknowledge UKRI funding: acknowledging your funding
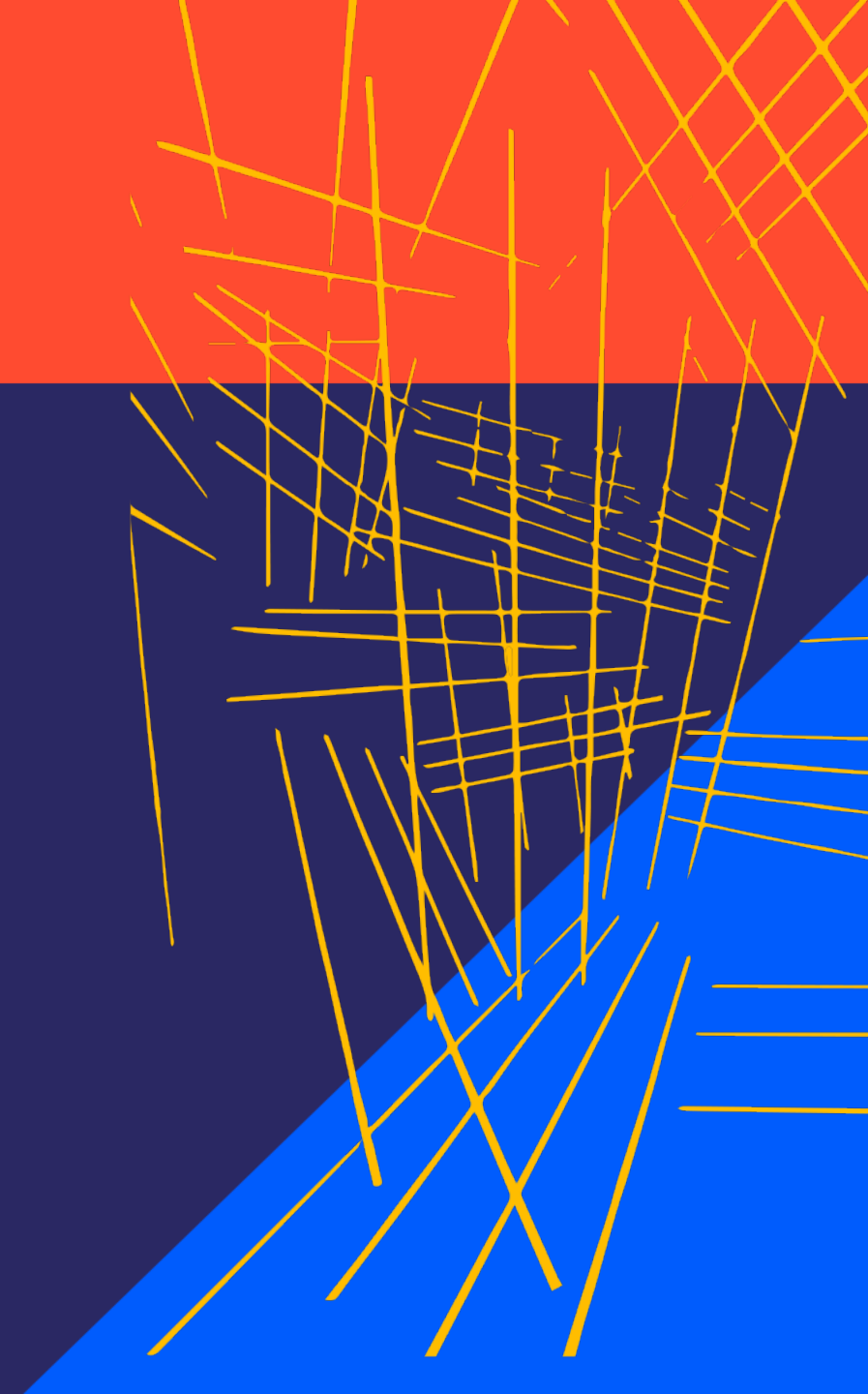
What the policy doesn't apply to

- Peer-reviewed articles submitted **before** 1 April 2022 need to comply with the Research Councils Open Access Policy.

- Monographs, book chapters and edited collections published **before** 1 January 2024.

- Outputs from UKRI funding that doesn't require acknowledgement such as most Research England funding (see Annex 1 in the policy).

- Outputs where award terms and conditions state the policy does not apply.

- Preprints and other types of research publications not defined in the policy.

- Outputs where an exemption is detailed in funding terms and conditions or the open access policy.

- Research not funded by UKRI, including where the researcher has used UKRI-funded infrastructure and equipment. (The open access policy of the infrastructure or equipment should be followed, where applicable).

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Immediate open access

The policy includes two routes to open access:

- **Route 1**: publish the article open access in a journal or publishing platform which makes the Version of Record immediately open access via its website with a CC BY or other permitted licence.

- **Route 2**: publish the article in a subscription journal and deposit your Author's Accepted Manuscript in an institutional or subject repository at the time of publication with a CC BY or other permitted licence. A publisher embargo period is not permitted.

Before you submit your article:
- Consult your organisation about open access publishing options and available funding
- Check your publisher offers a compliant open access route

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Use an open licence

- The open access version of your article must have a Creative Commons Attribution (**CC BY**) licence to maximise opportunity for sharing and reuse.

- The Open Government Licence is permitted.

- An exception to use a CC BY-ND (no derivatives) licence can be applied for by submitting a short form to UKRI.

- UKRI's requirements do not apply to third-party materials in an article, these can be included under a more restrictive licence.

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Notify your publisher about licensing

- If intending to publish open access via a repository (Route 2), include this statement in the acknowledgement section of your manuscript and any submission cover letter/note:

   'For the purpose of open access, the author(s) has applied a Creative Commons Attribution (CC BY) licence [where permitted by UKRI, 'Open Government Licence' or 'Creative Commons Attribution No-derivatives (CC BY-ND) licence' may be stated instead] to any Author Accepted Manuscript version arising'

- This ensures it is clear at the point of submission what licence you will apply to your author's accepted manuscript.

- If a publisher rejects your submission, advises you will need to pay for open access or changes terms of publication, contact your research organisation for advice. Options could include asking the publisher to accommodate compliance with the author's funding requirements, making the article open access via an alternative route, or identifying an alternative journal, for example.

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Remember to check your research organisation's own copyright and licensing policies and guidance.

Include a data access statement

- You **must** include a data access statement in your article, even where there is no data associated with the article or the data are inaccessible.

- This informs readers where the underlying research materials associated with a paper are available, and how the research materials can be accessed. The statement can include links to the dataset, where applicable and appropriate.

- Further guidance is available in Annex 1 in the policy and examples are provided in UKRI's good research resource hub.

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Where you can publish

- You can publish in the venue you consider most appropriate for your research, provided UKRI's open access requirements are met. This can include fully open access journals or publishing platforms, or 'hybrid' subscription journals that offer an open access option, and which offer a compliant route.

- Note that while you can publish in a hybrid journal that offers a compliant route, UKRI open access funding can only be used for hybrid journals that are part of an approved transitional open access agreement your research organisation is party to or that have approved transformative journal status.

- If you intend to publish in a hybrid journal that is not part of these arrangements, you will need to find an alternative source of funding to meet the publication costs.

- Approved transitional arrangements are those that meet Jisc requirements. These are agreed by the UK research sector and help to ensure value for money.

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More information on:
- Types of open access publication: an introduction to open access | Jisc
- Open access transitional arrangements: our role in open access | Jisc

Checking where you can publish

Whether publishing via Route 1 or 2, prior to submission, you should **check your preferred journal or publishing platform will provide a compliant publishing option** and is eligible to receive UKRI open access funds (if you expect to pay for open access). To find out you can:

▪ Speak to your research organisation about publishing options and available funding

▪ Use the **Journal Checker Tool**

▪ Use **Jisc's transitional agreement look-up tool** to see if your organisation participates in a transitional agreement

▪ Refer to **Jisc's approved transformative journal list**

▪ Check with the publisher if they offer a compliant route

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Funding for research articles

- Journals often charge for open access under Route 1 (usually an article processing charge or via a publishing agreement or membership arrangement with a research organisation).

- UKRI provides most research organisations with an open access block grant to contribute to these costs, alongside other funding they may use to support research publication.

- Research organisations have discretion on how their block grant is used to best support UKRI's policy, taking into account equality, diversity and inclusion.

- Open access and other publications costs (e.g. page charges) for research articles **can't** be included in research grants

- **Contact your research organisation as early as possible to find out what open access funding is available to you**.

More information on UKRI open access funding and eligible costs: open access funding and reporting

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Depositing your article in a repository

If publishing via Route 2 you will need to deposit your Author's Accepted Manuscript in a repository.

- Many research organisations have repositories you can use, there are also subject repositories that you can use.

- OpenDOAR has a list of repositories that are available.

Some Research Councils have additional deposit requirements regardless of whether you publish open access via Route 1 or Route 2.

- Biomedical research articles acknowledging MRC or BBSRC funding need to be archived in Europe PubMed Central.

Further information on deposit requirements: making your research publications open access

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Research articles checklist

- Prior to submission, check your preferred publication venue offers a compliant route and what open access funding is available to you.

- Make your article immediately open access either via a journal/publishing platform (Route 1) or a repository (Route 2).

- Ensure the open access version is published with a CC BY licence or other permitted licence.

- Include a licensing statement in your submission if intending to make your article open access via Route 2.

- Include a data access statement.

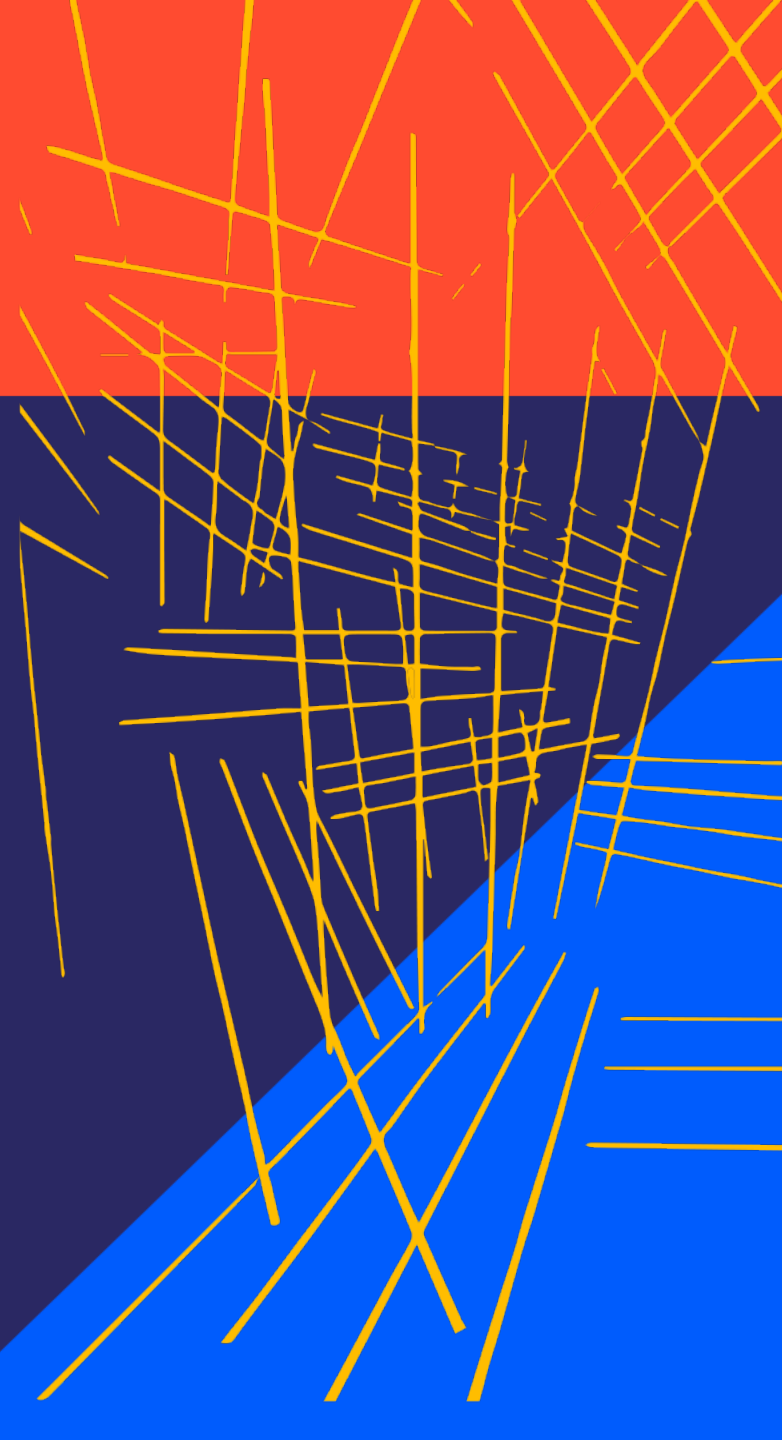- Comply with your research council's deposit requirements, where applicable.

- Read UKRI's full open access requirements and guidance
- Consult your research organisation for advice on complying with the policy, institutional guidance and open access funding.

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Open access within 12 months of publication

- The final Version of Record or the Author's Accepted Manuscript must be free to view and download via an online publication platform, publishers' website, or institutional or subject repository within a maximum of 12 months of publication.

- The open access version should include, where possible, any images, illustrations, tables and other supporting content.

- Where an Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.

See additional details on what constitutes the open access version in the UKRI Open Access Policy and annex

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Use an open licence

- A Creative Commons Attribution (CC BY) licence is preferred for the open access version to maximise opportunities for sharing and reuse.

- Any Creative Commons licence is permitted.

- The Open Government Licence is permitted.

- UKRI's requirements do not apply to third-party materials such as images, which can be included under a more restrictive licence.

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Exemptions

Exemptions to the policy may apply where:

- the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy.

- reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication.

- a contract was signed prior to 1 January 2024 that prevents compliance with the policy.

Long-form outputs arising from UKRI Training Grants are exempt from the requirements, recognising publication may occur sometime beyond the lifetime of a training grant.

- UKRI expects research organisations to support early career researchers to make long-form outputs open access, where possible.

- UKRI's open access requirements for theses still apply, as outlined in Training Grant terms and conditions.

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UKRI is developing further guidance. An update will be published later in 2022 and final guidance early 2023. See Implementing our open access policy.
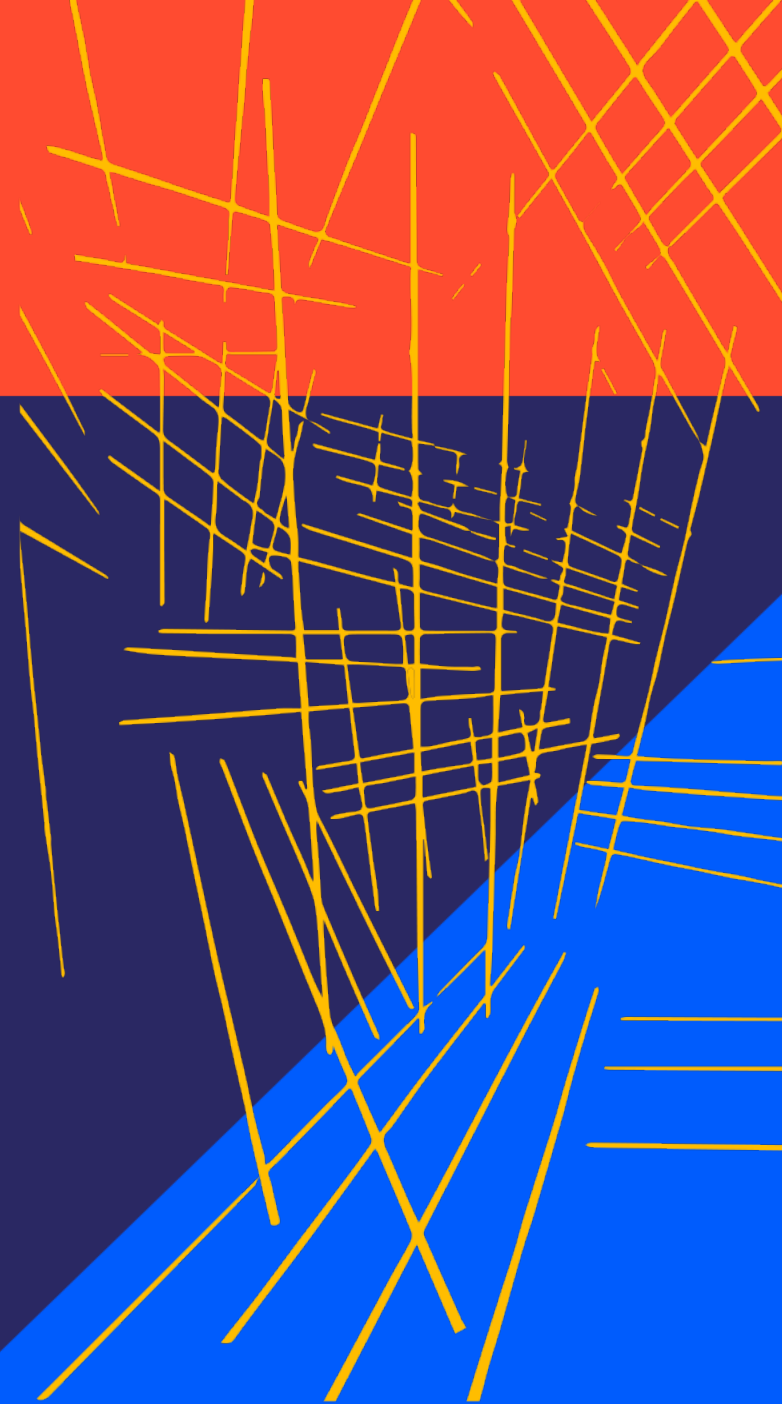
Funding for long-form publications

- UKRI will be providing dedicated funding to support open access monographs, book chapters and edited collections.

- Funding will be a centralised fund held by UKRI that research organisations will apply for.

- Publication costs for monographs, book chapters and edited collections can continue to be included in research grant applications. UKRI will provide updated guidance in due course.

- UKRI will provide further details on funding later in 2022.

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More information about implementing our policy and funding for long-form publications: Implementing our open access policy.

Monitoring, implementation and further information

Monitoring and compliance

- There will be monitoring and evaluation of the new policy. This will enable UKRI to assess progress towards open access and compliance with the policy, as well as the effectiveness of the policy.

- Our approach to monitoring compliance will be pragmatic and proportionate, recognising there will be a bedding in period for the research articles policy.

- It will only be where there is a pattern of repeated non-compliance or a pattern of evidence that raises a concern that would mean UKRI may take this up with the research organisation.

- UKRI will no longer require research organisations to submit the annual open access compliance returns form. Wherever possible, we intend to use existing data sources to minimise the reporting burden.

- We have commissioned a project to support the development of a monitoring and evaluation framework, with input from stakeholders in the research and publishing sectors. This project will complete by early 2023.

More information: shaping our open access policy and FAQ

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Supporting open access

UKRI is supporting a range of activities to help researchers publish open access.

- Increasing funding to support open access from £24M to £46.7M per year. This includes allocations to the research articles block grant, a dedicated fund for monographs and the policy supporting actions.

- Developing with Jisc a guide for researchers on licencing and copyright.

- Supporting Jisc to enable more research organisations, publishers and learned societies to provide open access arrangements. Jisc is also working with the sector to identify requirements for open access monographs and will negotiate agreements to enable open access for long-form publications.

- Engaging with stakeholders to support implementation, including establishing a stakeholder forum.

- Research England Development (RED) Fund support for the UK Reproducibility Network to promote uptake of open research practices.

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More information: shaping our open access policy

Information and support

Before publishing your findings, check UKRI's full requirements and guidance

- **Publishing your research findings**

- Your research organisation will be able to provide advice on complying with UKRI's policy, funding for open access and any institutional policies and guidance.

Information on how we are implementing the policy

- **Shaping our open access policy**

UKRI's open research activities and resources

- **Supporting a healthy research and innovation culture - open research**

- **Good research resource hub**
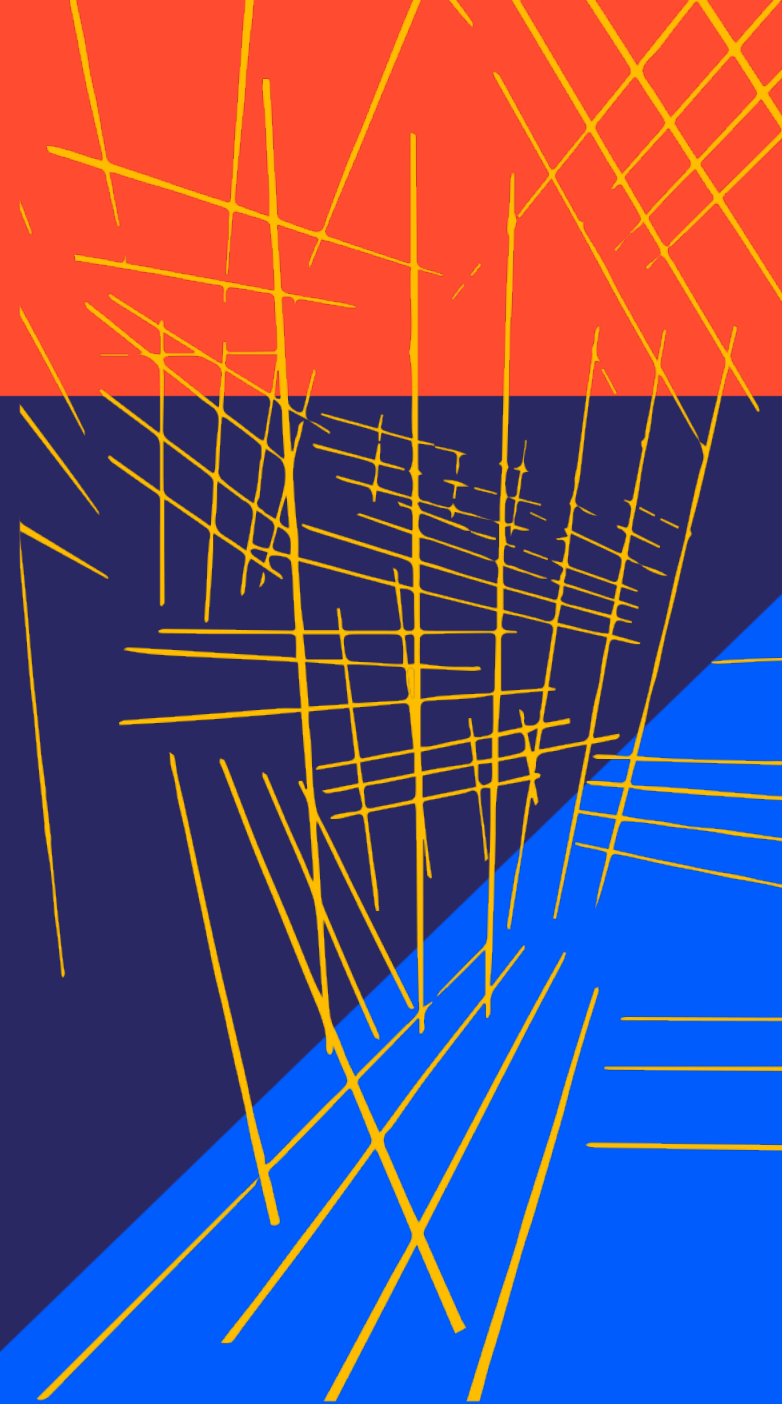
If you have a question

- Read our open access policy **frequently asked questions**
- Contact **openresearch@ukri.org** about the open access policy or open research
- Contact: **openaccess@funding.ukri.org** about open access funding

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Annex

Additional resources

Applying for a CC BY-ND exception

- UKRI's objectives for managing the exception are to:
  - ensure the justification for restricting opportunities for sharing & reusing publicly-funded research
  - gather evidence to demonstrate issues arising from a CC BY policy requirement
  - inform future review of our policy

- Applying for an exception:

| Author/research organisation completes exception form available on UKRI's website and submits to UKRI via email | UKRI reviews request for exception | UKRI communicates decision to author/research organisation within 10 working days of receipt | Author/research organisation applies correct licence to research publication |

- Exceptions will generally be granted if a clear research-related case is made. A publisher requiring CC BY-ND is not a valid reason.

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Form and guidance: Apply for a no-derivatives exception

Using the Journal Checker Tool

You can use the Journal Checker Tool (JCT) to see whether journals offer publishing options that enable compliance with the UKRI open access policy, to help inform your decisions on where and how to publish open access.

To use the JCT you will need to:

- enter the name or International Standard Serial Number (ISSN) of the journal

- enter UKRI in the funder field (or one of the UKRI councils)

- enter your organisation's name

The UKRI instance of the JCT has recently been updated in response to user feedback. Users can continue to share feedback via the "Send Us Feedback" button on the JCT website.

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Version Control

Version Number	Revision Date	Author(s)	Summary of Changes
1.0	February 2022	UKRI Open Research Team	New document created
1.1	March 2022	UKRI Open Research Team	New: Slide 29 Updated: Slides 3, 8, 9, 11, 12, 14, 17, 24 and 26 Revised section headings and minor edits for clarity and style
1.2	July 2022	UKRI Open Research Team	Slide 7 updated to reiterate also applies to UKRI staff. Slide 8 updated to note to follow facility's open access policy, where applicable. Slides 14 updated & slide 15 new. Updated to clarify advice on checking publishing options. Slide 20 notes additional details provided in the policy document and annex. Slide 22 updates when additional exemptions guidance will be made available. Slide 26 Jisc work on monographs noted. Slide 27 links and contact details updated. Slide 29 adds clarification on when exceptions will be granted. Slide 30 screenshot added and updates to JCT noted. Above slides and 4, 10, 23, 16, 17, 18, 21, 23, 25. Updated links and minor edits to wording and format for clarity.
1.3	November 2022	UKRI Open Research Team	Slide 22 updated to clarify exemptions Slide 23 link updated Slide 25 updates on monitoring and evaluation and links added to policy FAQs