



UK Research
and Innovation

UKRI Open Access Policy

Information slide pack for research organisations

Version 1.1, March 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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The 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 existing 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 our funding. UKRI grant holders and research organisations are responsible for ensuring publications comply with the policy.

Benefits of open access

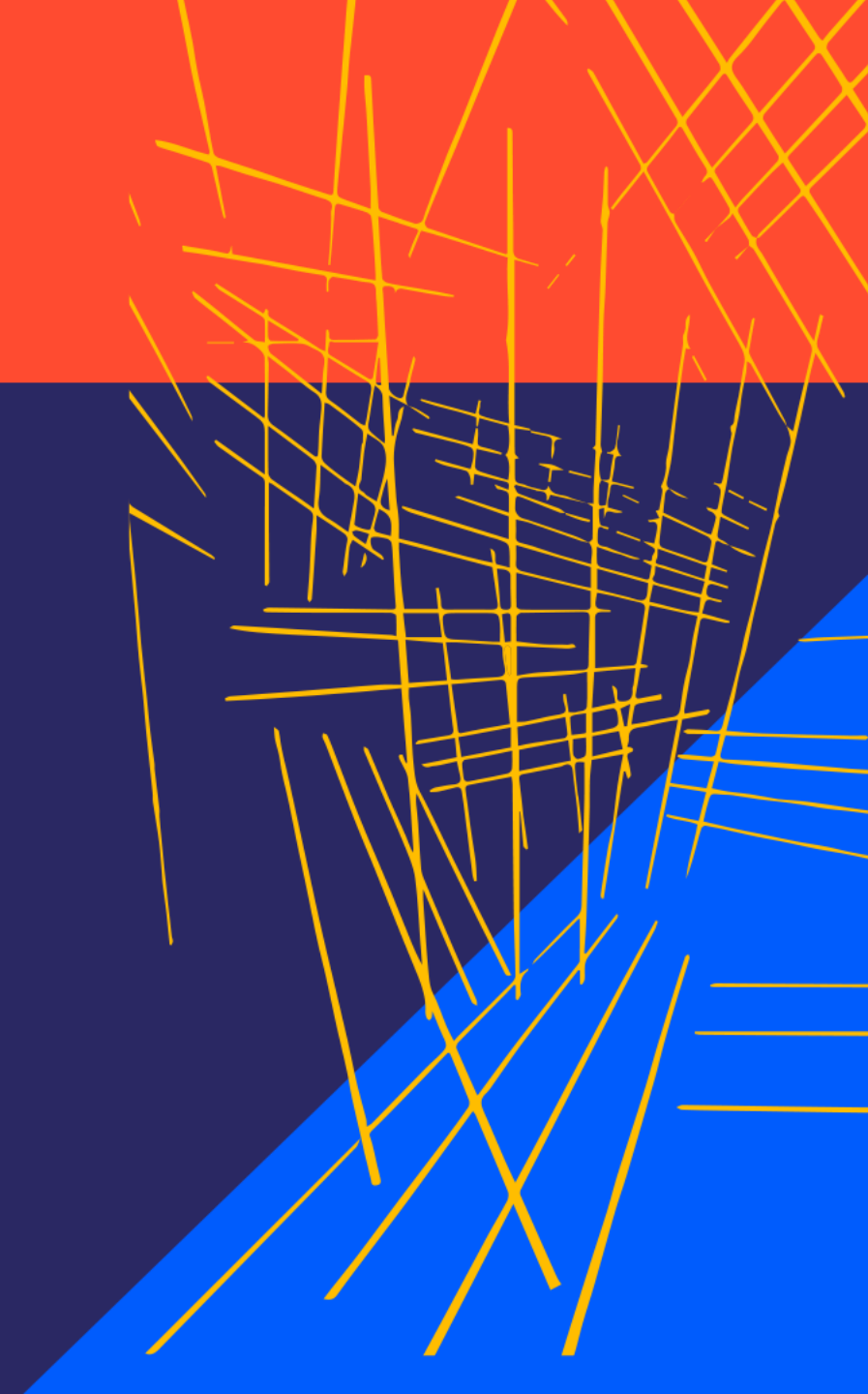
- Benefits the research and innovation ecosystem and wider society by increasing opportunity for researchers, practitioners and others to access, use and build on research funded by the public.
- Benefits authors by improving the reach and potential impact of their research findings
- Together with other 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.



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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.
- **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 further at [Annex 1 in the policy](#).

What the policy doesn't apply to

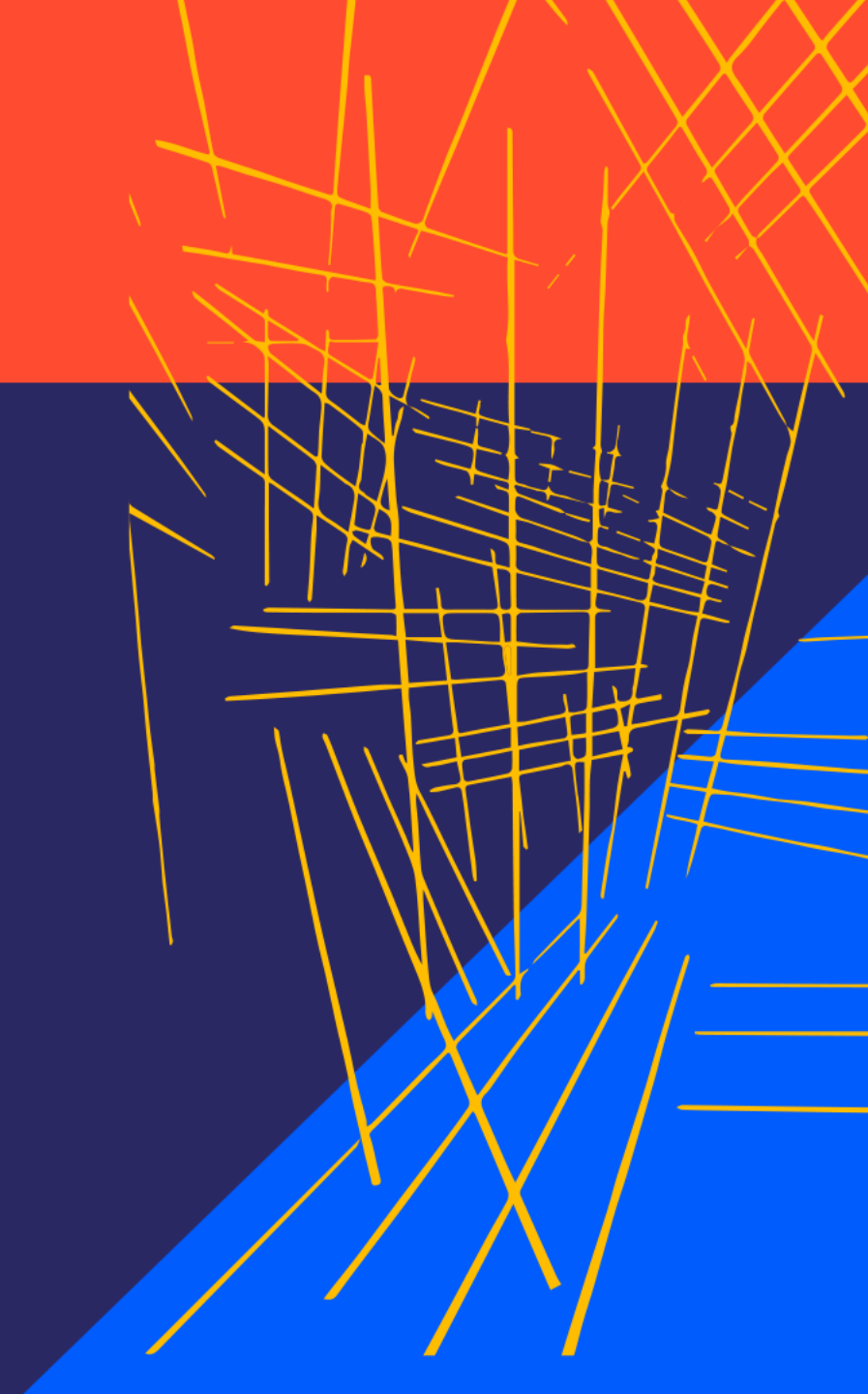
- Peer-reviewed articles submitted **before** 1 April 2022 need to comply with the Research Councils Open Access Policy.
- Monographs, book chapters and edited collections published **before** 1 January 2024.
- Outputs from UKRI funding that doesn't require acknowledgement such as most Research England 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



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Research articles

How to make your peer-reviewed
research articles open access



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.

- Consult your organisation about open access publishing options
- Check with your publisher that they offer publication that is compliant before you submit your article

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.

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.

Include a data access statement

- You **must** include a data access statement in your article, even where there is not 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](#).

Where you can publish

- Researchers can publish in the journal or platform they consider most appropriate for their 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.
- Whether publishing via Route 1 or 2, authors must check that the publisher will provide a compliant publishing option prior to submission.
- Hybrid journals that are included in transitional open access arrangements (i.e. transformative journals or transitional agreements that your organisation is party to) that meet the requirements of the research sector, as set out in the Jisc requirements, are eligible to receive UKRI open access funding. If you intend to publish in a hybrid journal that does not meet these requirements, you will need to find an alternative source of funding to meet the publication costs.
- The [Jisc requirements](#) have been set by the research sector and help to ensure value for money.
- The [Journal Checker Tool](#) (JCT) can help you find out whether journals offer a compliant publishing option that is eligible for UKRI funding.
- You can also seek advice from your research organisation on publishing options.

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.

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 a repositories you can use, there are also subject repositories that you can use.
 - OpenDOAR has a list of repositories that are available.
- Some councils have additional deposit requirements regardless of whether you publish open access in a journal or a repository.
 - Biomedical research articles acknowledging MRC or BBSRC funding need to be archived in Europe PubMed Central (see MRC Additional Terms and Conditions or BBSRC Safeguarding Good Research Policy).

Research articles checklist

- Check your preferred publication venue offers a complaint route
- 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 Council's deposit requirements, where applicable.

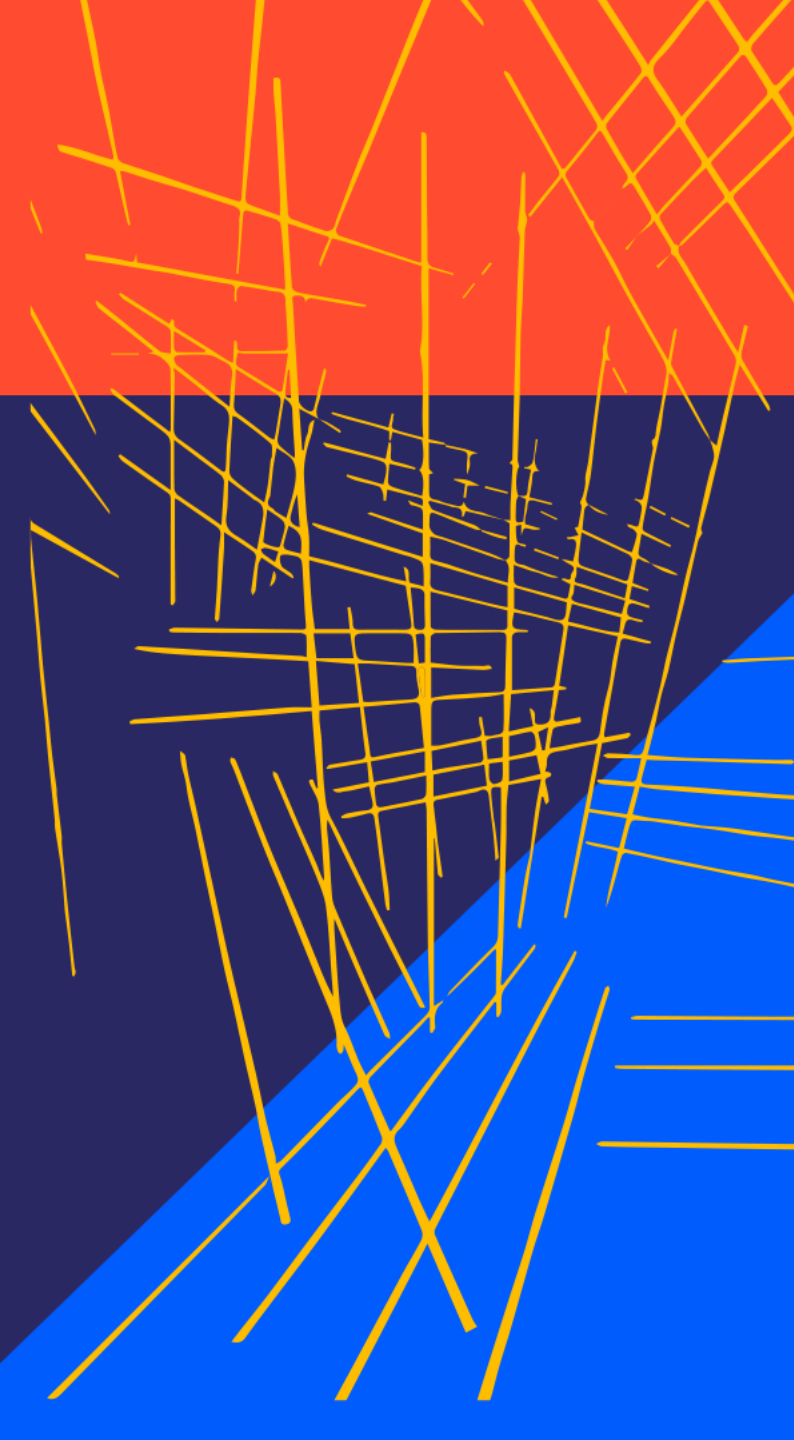
- Before publishing your findings, check UKRI's full [requirements and guidance](#)
- Check that your preferred journal or platform offers a compliant route and find out about funding eligibility
- Consult your research organisation for advice on complying with the policy, institutional guidance and open access funding.



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Monographs, book chapters and edited collections

New open access requirements from 1 January 2024



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.
- Author and publisher have discretion to determine what constitutes the 'Author's Accepted Manuscript'.

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.
- Other Creative Commons licence types are 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.

Exemptions

- The following exemptions 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.
 - Where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication.
- 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](#).

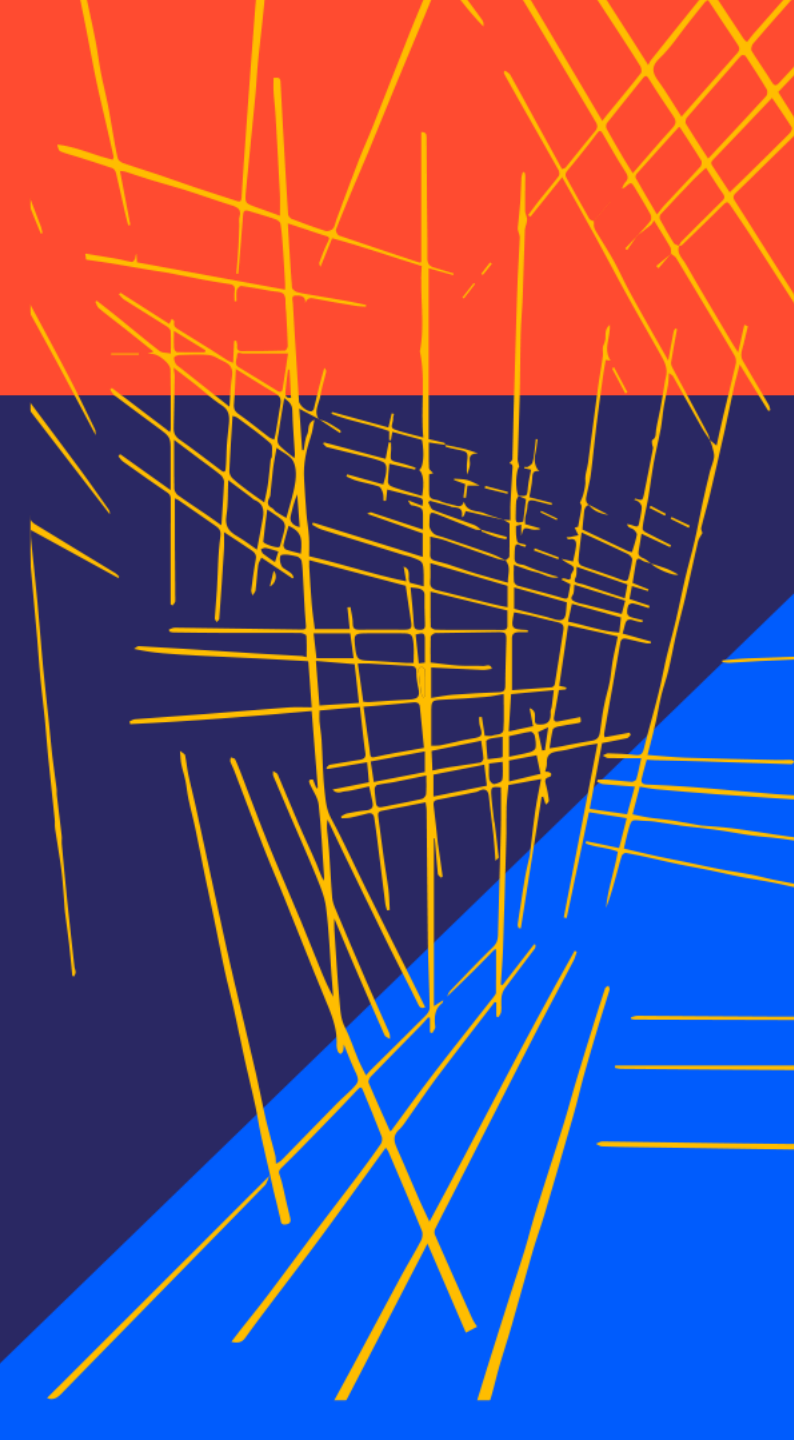
Funding for long-form publications

- 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 will be applied 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.



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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 will further develop the detail of this approach with input from stakeholders in the research and publishing sectors.

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.
- Ensuring open access options for authors, by supporting Jisc to enable more research organisations, publishers and learned societies to participate in transitional open access arrangements.
- 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.

Information and support

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

- [Publishing your research findings](#)
- Additional open research resources can be found on the [good research resource hub](#)
- Information about compliant journal routes to publish open access in can be found via the [Journal Checker Tool](#)
- 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.

How the policy was decided and UKRI's implementation activities

- [Shaping our open access policy](#)

Find out about UKRI's other open research activities

- [Supporting a healthy research and innovation culture - open research](#)

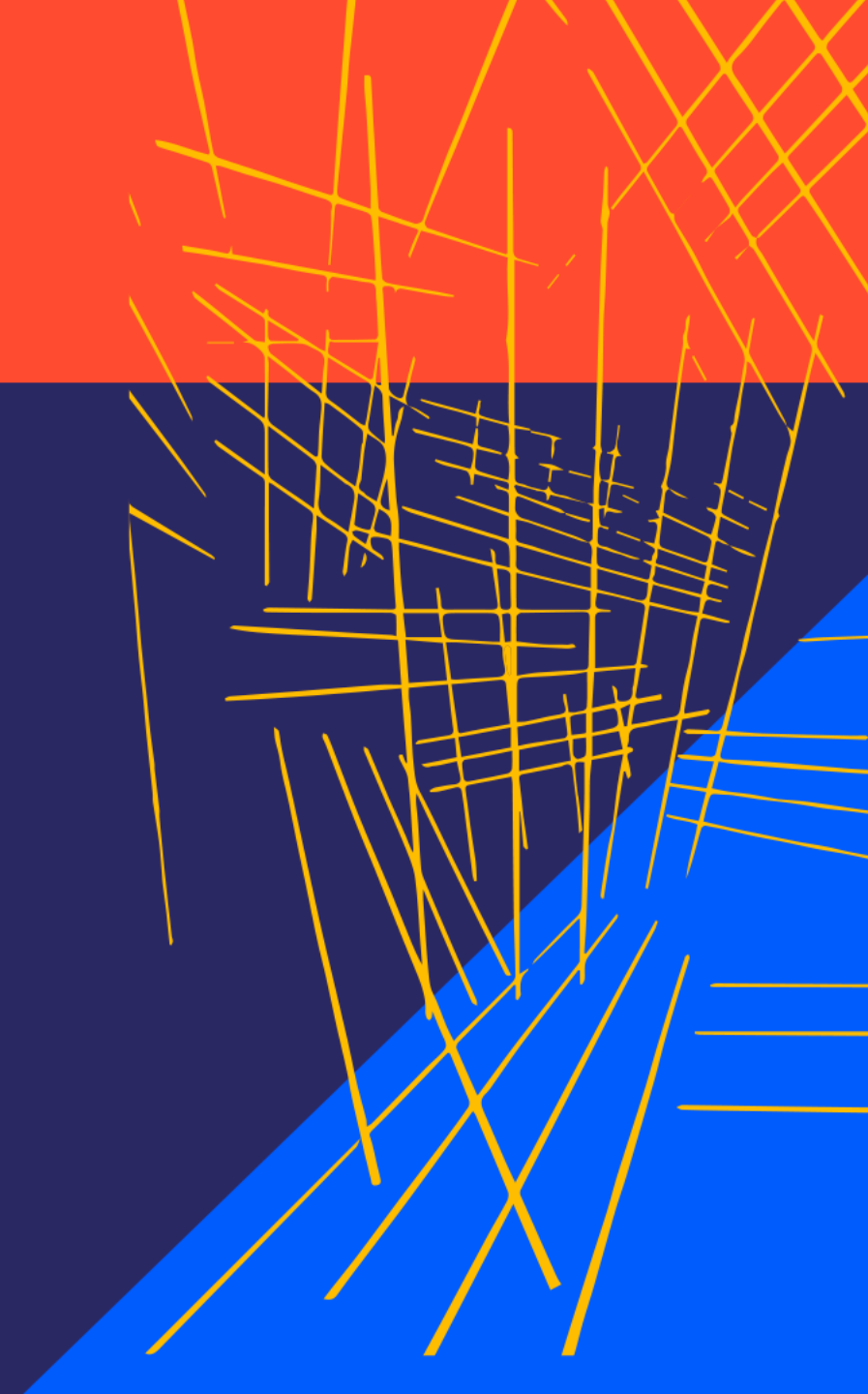
If you have a question for UKRI about the policy or our other open research activities

- Contact: openresearch@ukri.org



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Annex



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:



- The decision to grant an exception will be dependent on the reasons articulated to UKRI within the context of research and will be assessed on a case-by-case basis.

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 publishing
- 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

- Consult your organisation about open access publishing options
- Check with your publisher that they offer publication that is compliant before you submit your article

Version Control

<u>Version Control</u>				
<u>Version Number</u>	<u>Status</u>	<u>Revision Date</u>	<u>Author(s)</u>	<u>Summary of Changes</u>
1.0	Complete	February 2022	UKRI Open Research Team	New document created
1.1	Complete	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