



UK Research
and Innovation

UKRI Open Access Policy

Information slide pack for research organisations

Version 1.6, November 2023



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](#)**.

Contents

- [UKRI Open Access Policy](#) (slide 4)
- [Benefits of open access](#) (slide 5)
- [Policy scope](#) (slides 6-8)
- [Peer-reviewed research articles](#) (slides 9-18)
- [Monographs, book chapters & edited collections](#) (slides 19-26)
- [Monitoring, implementation & further information](#) (slides 27-30)
- [Annex 1: additional resources for research articles](#) (slides 31-33)
- [Annex 2: additional resources for longform publications](#) (slides 33-37)
- [Version control](#) (slides 38-39)



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

Benefits of open access

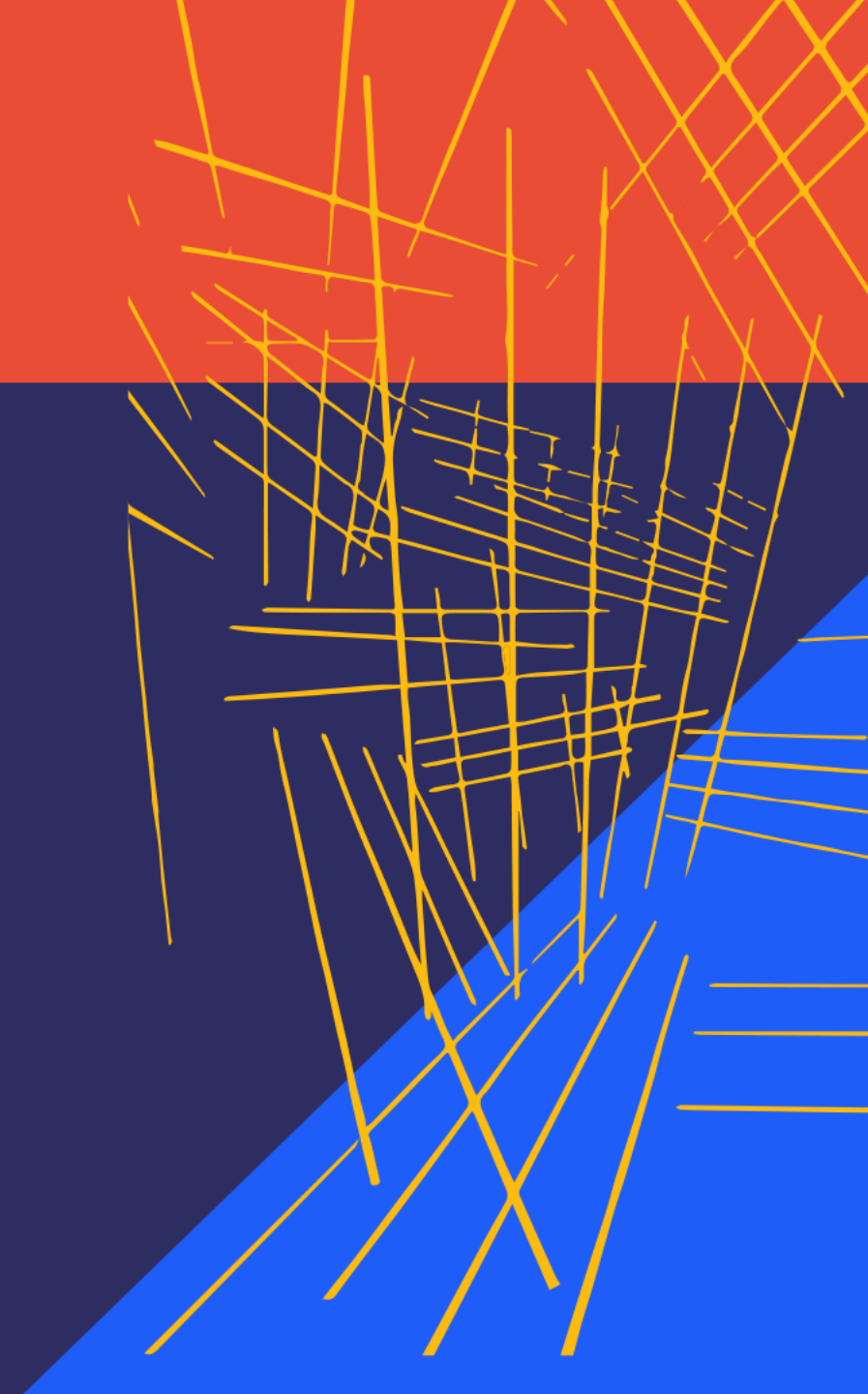
- Benefits the research and innovation ecosystem and wider society by increasing opportunity for researchers, practitioners and others to access, use and build on research funded by the public.
- Benefits authors by improving the reach and potential impact of their research findings
- Together with other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



UK Research
and Innovation

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](#).

What the policy doesn't apply to

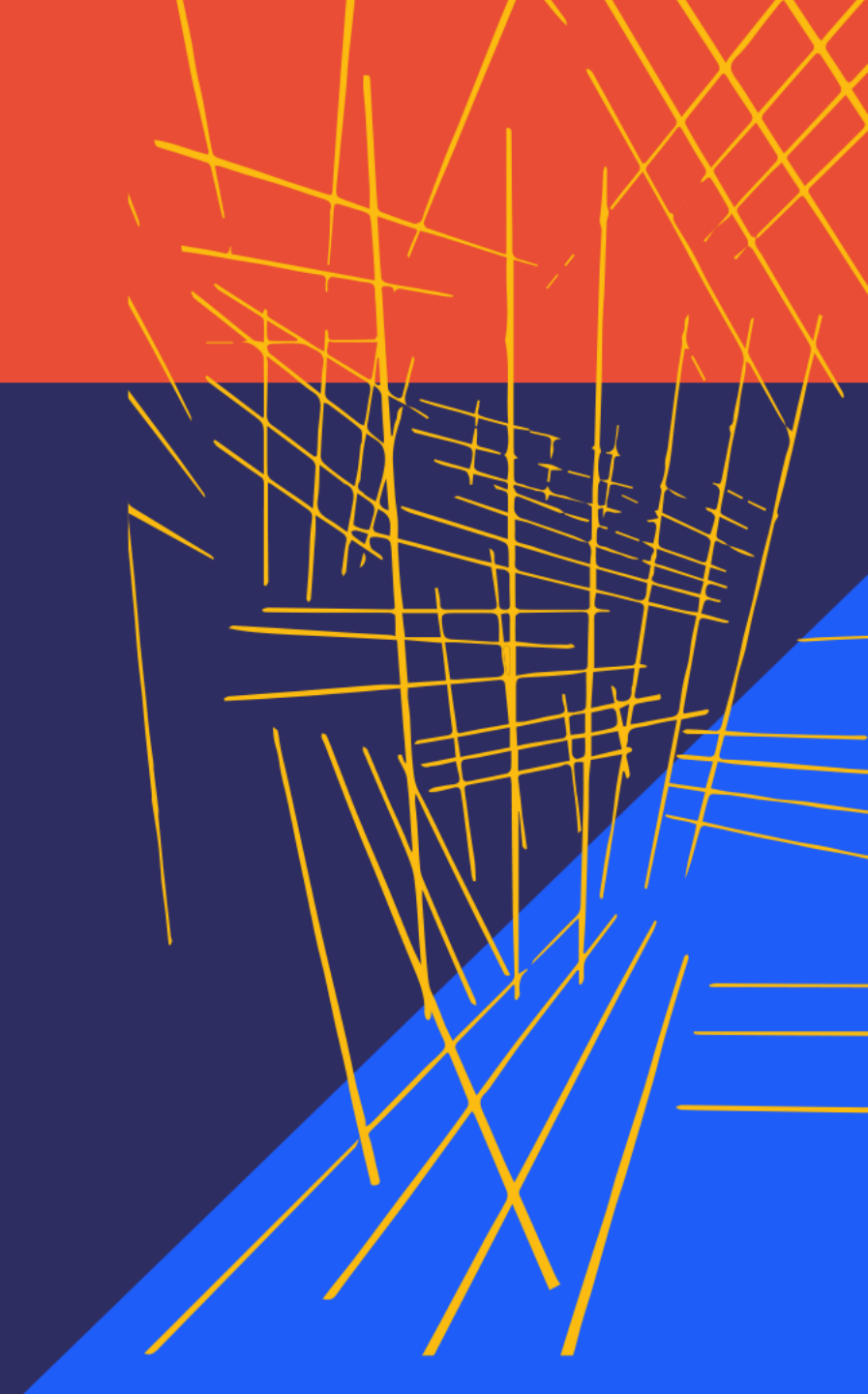
- Research not funded by UKRI, including where the researcher has used UKRI-funded infrastructure and equipment. (The open access policy of the infrastructure or equipment should be followed, where applicable).
- Outputs from UKRI funding that doesn't require acknowledgement such as most Research England 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.
- 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 where an exemption is detailed in funding terms and conditions or Annex 1 the open access policy, for example, longform publications published more than 7 years after the end of the UKRI funded project.



UK Research
and Innovation

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.

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

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.

See more information on:

- [Publishing under the UKRI open access policy: copyright and Creative Commons licences – Jisc](#)
- [Guidance on managing third-party copyright under UKRI open access policy](#)

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.

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

See more information on [Publishing under the UKRI open access policy: copyright and Creative Commons licences - Jisc](#)

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](#).

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.

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

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 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.
- Researchers at NERC centres should deposit a copy of their publication in NORA

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.

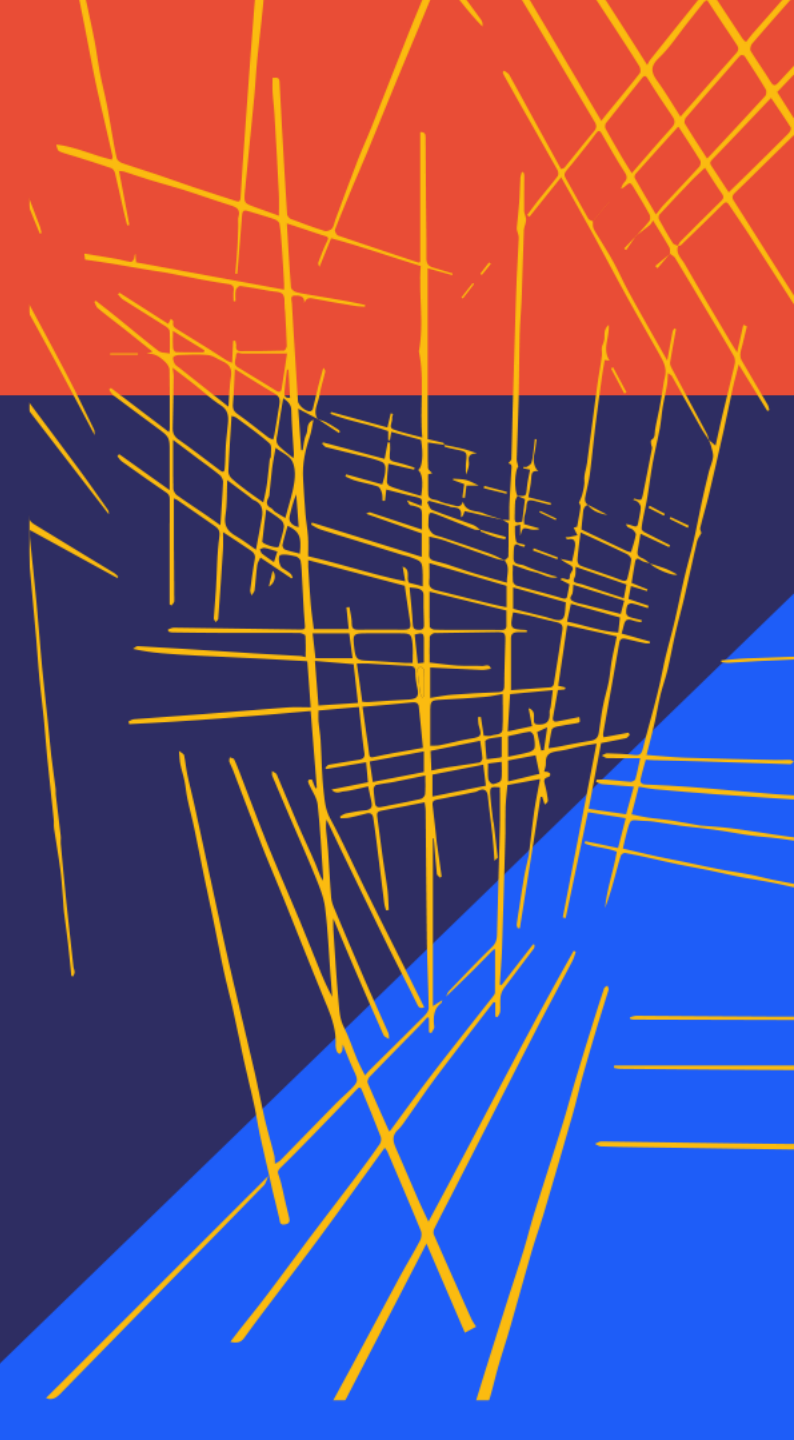
- Read UKRI's full open access [requirements and guidance](#)
- Consult your research organisation for advice on complying with the policy, institutional guidance and open access funding.



UK Research
and Innovation

Monographs, book chapters and edited collections

New open access requirements for longform outputs
published 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, with a Creative Commons licence.
- 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.

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, if your organisation requires this.
- UKRI's requirements do not apply to third-party materials such as images, which can be included under a more restrictive licence or terms under which its use is permitted by the rightsholder, for example on an 'all rights reserved' basis.

See more information on

- [Publishing under the UKRI open access policy: copyright and Creative Commons licences – Jisc](#)
- [Guidance on managing third-party copyright under UKRI open access policy](#)

Self-archiving

- If complying with the policy by depositing a version of your publication in a repository, you can use your institution's repository, if they have one, or an appropriate subject repository. **Find available repositories using OpenDOAR.**
- If you are depositing an Author's Accepted Manuscript, this should be marked as not the final published version, which you may also choose to link to.
- Your research organisation may have a self-archiving policy or arrangement. You should check with your library, research office, or equivalent to find out more. You should check your publisher's self-archiving policy

Policy 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.
 - The above exemptions should only be used if absolutely necessary since open access is a research funding requirement and therefore is the preference.

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 is providing dedicated funding to support immediate open access of monographs, book chapters and edited collections via a centralised fund held by UKRI that research organisations will apply for.
- Funding applications are in two stages.
 - At Stage 1 the research organisation registers the output(s) with UKRI. A publishing contract does not need to be signed for a Stage 1 application. Stage 1 is open for applications from November 2023.
 - At Stage 2 the research organisation provides final confirmation of publication to allow UKRI to release funds. Stage 2 is open for applications from January 2024.
- If you requested publication costs for monographs, book chapters and edited collections in your grant application you should use the grant funds in the first instance.
- If your output will be published 7 or more years after the end of a UKRI funded project, it will no longer be eligible for support via UKRI's fund. UKRI will be flexible in the event of extenuating circumstances and where equality, diversity, and inclusion issues result in delays to a publication.

Applying for open access funding

A research organisation must make the application to UKRI on behalf of the author(s) via the library or research office, or equivalent.

- At Stage 1 this will be via a webform on the Citizen Space
 - This will be open this month. We have opted for Citizen Space as it is the most user-friendly option.
- At Stage 2 this will be via the Funding Service.
 - This will open in January. This system ensures a link to the payment system, which is the key purpose at this stage.

In extenuating circumstances where there isn't a UK based research organisation, the author should contact UKRI via email and we will advise you of the process.

You should liaise with your publisher and your research organisation, so the relevant information is provided to the appropriate department in your organisation. Often this will be your Research Office or your Library.

Long-form publications checklist

- **If you are publishing a monograph or edited collection**, you should consider UKRI's open access requirement prior to submission of your book proposal.
- **If you are contributing a book chapter in an edited collection**, you should inform both the editor of the collection you are contributing to and the publisher of UKRI's open access requirement prior to agreeing to contribute.
- In all cases, you should check that the publisher offers a compliant route and what open access funding is available to you.
 - If your preferred publisher does not have an open access programme, check for other open access options, for example you might be able to deposit your authors accepted manuscript in a repository and fulfil the policy requirement, or there may be other suitable publishers, you should do this before considering an exemption.
 - Your library may have advice and could have agreements with publishers that will provide open access options.
 - If you are opting to publish immediately open access via the version of record, you should liaise with your library, research office, or equivalent about funding and if you need to claim funding from UKRI they can submit a Stage 1 application to UKRI to confirm eligibility for UKRI funding.

Long-form publications checklist cont...

- Inform your publisher, and any collaborators about UKRI's open access requirements
- Make your version of record or accepted manuscript open access within 12 months of publication and with Creative Commons licence. For any third-party content within copyright, only include the content under the licence or terms under which the rightsholder has released it, you should have planned and managed any third -party content throughout the creation of your work and when finalising your publication.
 - If applicable, your research organisation should submit a Stage 2 application for funding; Stage 2 applications are open from January 2024.
- Comply with your research council's deposit requirements, where applicable.



UK Research
and Innovation

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.

- To support the open access policy, we increased funding 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.
- Developed good practice guidance on copyright and licensing for open access publication and managing third-party 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 through our stakeholder forum and other forums.
- 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 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

- [Implementing our open access policy](#)

UKRI's open research activities and resources

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

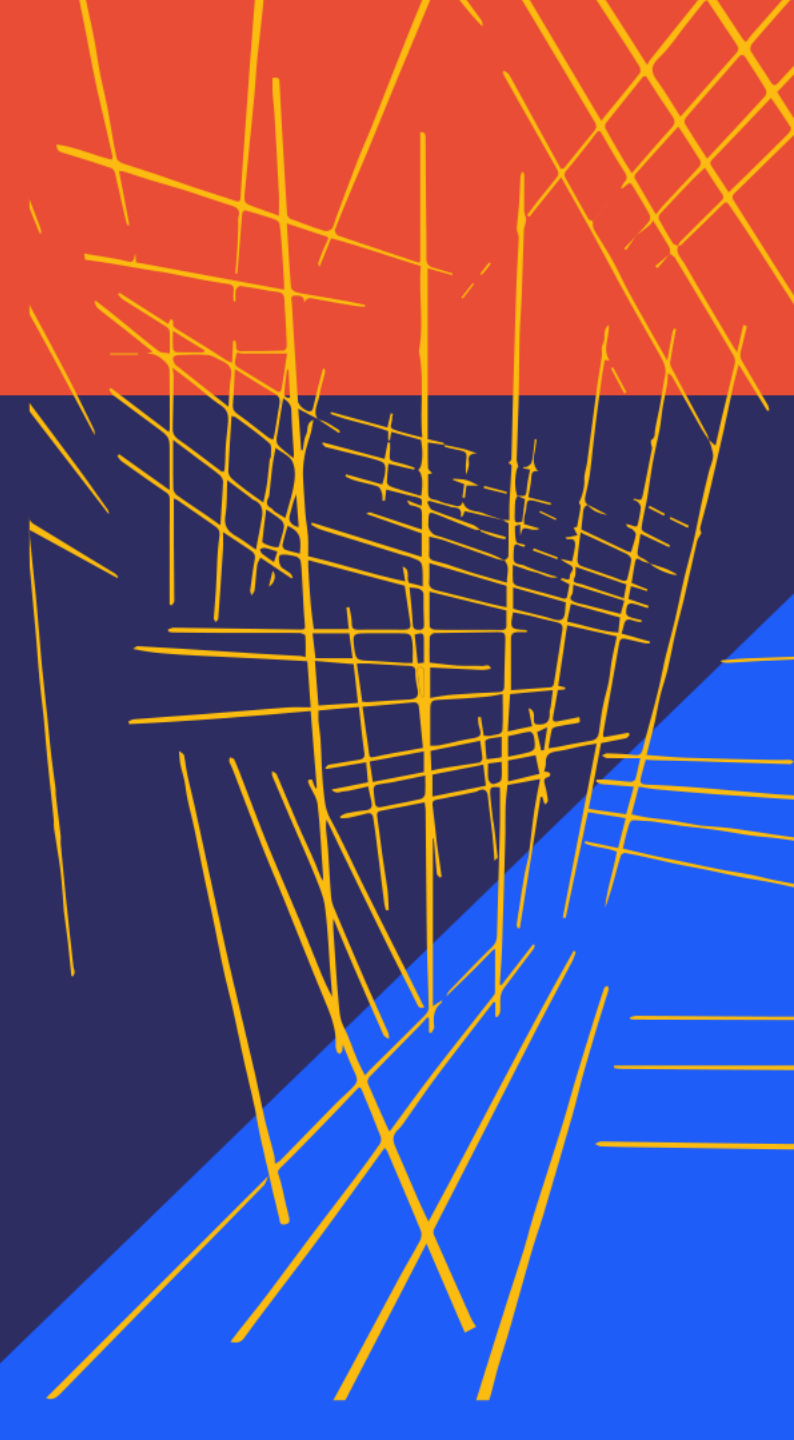
If you have a question

- 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



UK Research
and Innovation

Annex 1 – Additional resources for research articles



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:



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

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

JOURNAL CHECKER TOOL

Which publishing options are supported by your funder's OA policy?

JOURNAL + MY FUNDER + MY INSTITUTION =

By ISSN or title By funder name By ROR or name

No affiliation

Plan S Making full & immediate Open Access a reality

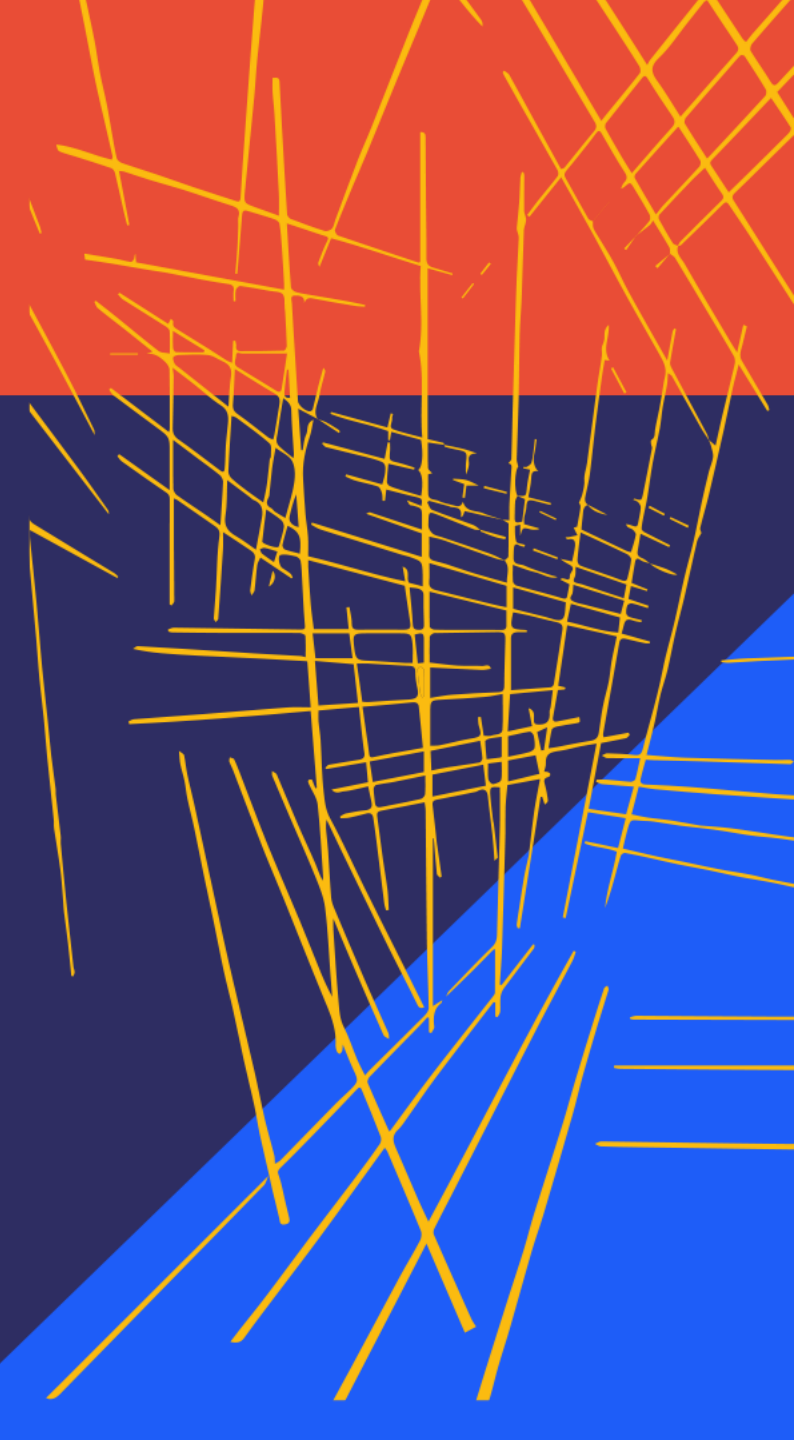
SEND US FEEDBACK

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.



UK Research
and Innovation

Annex 2 – Additional resources for longform publications



Using exemptions

- UKRI expects open access publication in most cases.
- The process for applying exemptions is **self-managed** and **trust-based**.
- You should consider the guidance provided and work with your organisation to decide if your publication is exempt.
- You do not need to seek approval from UKRI when making a decision and may exercise discretion.
- You should notify UKRI that you are using an exemption. This process will be live from January 2024.

Using an exemption because...	Authors and their organisations should...
...the only appropriate publisher for the publication, after liaison and consideration, is unable to offer an open access option	<ul style="list-style-type: none"> consider the guidance at Annex 3 of UKRI's policy document seek open access options from the publisher before relying on an exemption apply the exemption as a last resort report use of the exemption to UKRI
...reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication	<ul style="list-style-type: none"> consider the guidance at Annex 3 of UKRI's policy document apply the exemption as a last resort report use of the exemption to UKRI
...the publication is a trade book	<ul style="list-style-type: none"> consider the guidance at Annex 1 of UKRI's policy document <p>Authors should tell their organisation if their publisher is treating their monograph or edited collection as a trade book.</p>
...the output arises from UKRI Training Grants	...note that this is a blanket exemption in the policy. Open access is encouraged.
...a contract was signed before 1 January 2024 that prevents compliance with the policy	...note that this is a blanket exemption in the policy. Open access is encouraged.

UKRI open access fund for long-form publications: guidance about diamond and non-BPC open access models

This guidance outlines different types of diamond and non-book processing charge (BPC) models and how the UKRI open access fund of long-form publications can be used to support publication using these. See [open access funding and reporting](#) for full information about the fund.

Model	Description	How UKRI's fund can support these models
Freemium / Library Membership	A version of the e-book is made open access or freely available at no charge to the author; the free access is subsidised by other revenue sources, such as sales of other e-formats, print sales, and/or library membership fees	The organisation can claim from UKRI for the cost of library membership or acquisition, up to the maximum permitted limit for non-BPC models
Institutional subsidy / New University Presses (NUP)	An institution subsidises publication at an open access press based at, or associated with, the institution. Fees may not apply (diamond), or a reduced publication fee (BPC) is charged.	<p>If published under a diamond model, the organisation can apply up to the maximum permitted limit for non-BPC models.</p> <p>If published through payment of a BPC, including where reduced, the organisation can apply up to the maximum permitted for a BPC.</p>
Library consortium ("Institutional crowdfunding")	Libraries pledge a fee towards making a collection of books open access, covering some or all of the costs between them. Once enough libraries have confirmed participation and the target amount is achieved, the collection is made open access.	The organisation can claim from UKRI for the cost of participating in the consortium, up to the maximum permitted limit for non-BPC models.
Subscribe to Open	Libraries subscribe to or purchase specified collections of closed-access books, which may include backlist titles. The subscription fees are used to fund open access for newly published books.	The organisation claim from UKRI for the cost of subscription, up to the maximum permitted limit for non-BPC models.

Version Control - 1

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 to clarify exemptions Slide 23 link updated Slide 25 updates on monitoring and evaluation and links added to policy FAQs
1.4	May 2023	UKRI Open Research Team	Slide 17 updated deposit requirements Slide 21 update on Open Government Licence and licensing third-party material Slides 22, 23 and 25 added for information on complying with policy requirements for longform publications Slides 27, 28, and 29 links updated Minor edits for clarity and style.

Version Control - 2

Version Number	Revision Date	Author(s)	Summary of Changes
1.5	November 2023	UKRI Open Research Team	Slide 8 updated to clarify UKRI's 7-year threshold for longform publications Slide 11 links added to guidance on copyright and licensing Slide 15 clarified that support for transformative journals will cease in December 2024. Slide 17 links added to repositories Slide 21 links added to guidance on copyright and licensing Slide 23 clarified UKRI's position on use of permitted exemptions to the policy Slide 24 adds further clarification on UKRI's dedicated fund for longform publications Slides 25 slide created Slides 26 updated for clarity Slide 28 link to interim report removed Slide 29 links added to guidance on copyright and licensing Slides 34-37: new section created
1.6	November 2023	UKRI Open Research Team	Slides 36 & 26/27 updated for clarity. Outdated fund process map removed. Annex 2 slides updated.