

UKRI new open access policy



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UKRI's new open access policy

New open access policy for UKRI funded research

REF 2021 OA policy still applies – to be eligible for submission to REF



www.ukri.org/publications/ukri-open-access-policy/

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[UKRI – new open access policy](#) is the outcome of the UKRI OA review, which sought to review UKRI's existing OA policies and recommend an updated single OA policy for UKRI and all its councils. The new policy was launched in August 2021. UKRI are part of [cOAlition S](#), an international consortium of research funders who endorse the principles of Plan S including an aim to align open access policies and aid the process of compliance.

“As part of their Future Research Assessment Programme (FRAP), the four UK higher education funding bodies will develop the OA policy for any future national research assessment exercise. Decisions about a future REF OA policy will be made by the four UK higher education funding bodies based on consultation with the sector and evaluation of OA in REF 2021.

At the launch of the UKRI Open Access Review, **the UK higher education funding bodies agreed that any open access policy within a future research assessment exercise would seek commonality with the UKRI open access policy position.** It is the intention that the UK higher education funding bodies will consider a UKRI open access compliant publication to meet any future national research assessment open access policy without additional action from the author and/or institution. Both UKRI and the UK higher education funding bodies note that the scope of an open access policy for the future national research assessment exercise is much broader than the UKRI Open Access Policy. This will be considered when developing the future national research assessment position. “

[UKRI new OA policy FAQs linked from this page](#)

What does the policy apply to?

Publications that acknowledge funding from UKRI or any of its councils:

- research councils (AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC)
- Research England
- Innovate UK

- Peer-reviewed research articles submitted for publication on or after *1st April 2022*
- Monographs, book chapters, edited collections published on or after *1st January 2024*

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Includes in-scope outputs from staff at UKRI institutes, units and facilities.

It applies to UKRI-funded studentships and Training grants.

Includes in-scope outputs of UKRI grants that have now ended.

Policy does not apply to UKRI funding that doesn't require acknowledgement e.g. via Research England

“Most Research England funding is deployed by universities at their discretion and is not intended to lead to specified outputs. In such cases, outputs cannot be attributed directly to Research England funding and no acknowledgement of Research England funding is expected or necessary. Such outputs are therefore out of scope of the UKRI Open Access policy.”

Research articles – scope & requirements

In scope¹: Peer-reviewed research articles, including review articles & conference papers published in journal, conference proceeding [with ISSN] or publishing platform

Date: submitted for publication on or after 1st April 2022

Policy: must be OA immediately upon online publication with CC BY (or other licence permitted by UKRI)

¹ See Annex 1 of UKRI new OA policy for clarifications of in-scope output types

Are data articles or articles that are focused on describing a protocol or method in scope of the UKRI Open Access Policy?

No. The scope of the policy applies to: *“Peer-reviewed research articles, 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.”* Whilst they are not in scope UKRI recognises that research data, research methods and protocols are important elements of research.

The “peer-reviewed research articles” that the policy applies to, however, discuss the outcomes of a research project.

Research articles – routes to compliance

1. Publish Version of Record (VoR) open access (OA) on publisher website - OA immediate+ CC BY
2. Publish not-OA and deposit the Author Accepted Manuscript or VoR in institutional / subject repository – OA immediate+ CC BY

Check compliance - [Journalcheckertool.org](https://journalcheckertool.org)*

*after 1st April

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“Researchers can publish in the journal of platform they consider most appropriate for their research providing the OA requirements are met via either route”:

1. Publish OA with CC BY in Full OA journals or OA publishing platforms or hybrid journals in [Transformative Agreements](#) that we have signed up to with publishers
2. Publish not OA in Hybrid journals

Check compliance: [Journalcheckertool.org](https://journalcheckertool.org)

Paying to publish OA – UKRI OA funds

We can pay APCs in full OA journals or platforms

We already paid for OA publishing in Transformative Agreements

From April, UKRI won't pay

- APCs in hybrid journals that are not in a transformative arrangement
- Non-OA publication charges e.g. page charges

*after 1st April check compliance using journalcheckertool.org

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Open Research team administer the UKRI OA block grant to pay OA publishing fees for UKRI funded research outputs.

Check compliance: [Journalcheckertool.org](https://journalcheckertool.org)

Publish OA without APCs - Transformative Agreements



exeter.ac.uk/research/openresearch/oa/discounts/#transformativeagreements

Visit the website for [Transformative Agreements](#) that we have signed up to with publishers.

Publish OA without paying APCs in journals included in these agreements – OA publishing has already been paid for through an annual fee to the publisher that combines “read” access to non-OA content + OA publishing for UOE researchers.

Most of these agreements are available to all researchers, regardless of how the research was funded (only BMJ is restricted to funded papers)

Act as corresponding author to apply; CA must have current UOE affiliation and an active Symplectic account. When publishing with Wiley, Responsible Corresponding Author must meet affiliation criteria.

Identify funding on publisher forms to help them offer a compliant licence. Ideally, use institutional email address on publisher forms as this helps them identify your affiliation (and helps us verify your affiliation when we are notified to approve the OA publication request)

OA compliance 'repository route'

Repository route: Publish not-OA and deposit the Accepted Manuscript in a repository – OA immediate+ CC BY

Some publishers already have a compliant self-archiving option.

Other publishers have a compliant option – if funder requires it (ensure you list your funding on the publisher forms)

To comply by 'repository route' ensure you include SET TEXT in all submissions

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Check compliance: [Journalcheckertool.org](https://www.journalcheckertool.org)

OA compliance 'repository route' - CC BY on AAM

Submitted articles must include the following text in the funding acknowledgement section and in any covering letter:

'For the purpose of open access, the author 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'

Publications must acknowledge UKRI funding - funder name & grant number

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Submitted articles must include the following text in acknowledgements section and in any covering letter: *'For the purpose of open access, the author 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'*

Applying a CC BY on AAM allows you to comply with UKRI policy by depositing in ORE (no embargo). Including this text in the covering letter lets the publisher know that you've already applied the CC BY to the AAM so you can comply with UKRI policy.

Publishers that accept submissions with this text in should not ask you to sign a publishing contract that conflicts with the CC BY already on the AAM, but - **check publishing contracts to ensure they do not conflict with requirement for immediate OA to AAM in a repository with CC BY by restricting what you can do with your AAM e.g. imposing an embargo or not allowing CC BY.**

If the publishing contract conflicts with UKRI requirements, ask for it to be amended to enable you to comply or ask them to publish the paper OA and waive the APC.

If publishing contract conflicts and cannot be amended, or publisher does not accept submission with this statement in, consider publishing elsewhere.

[UKRI Acknowledgement of funding](#)

Research articles - Licensing

Research articles must be published with CC BY (only) licence

Exceptions:

- Open Government Licence (OGL) when subject to Crown Copyright
- Case-by-case exceptional use of CC BY-ND (No Derivatives)

UKRI licensing requirements do not apply to third-party copyrighted materials; articles published with CC BY (or CC BY-ND) may include third-party materials that are subject to a more restrictive licence

www.ukri.org/publications/no-derivatives-licence-exception/

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CC BY-ND exception request process will involve submitting a request for an exception to UKRI via email.

Exceptions should be sought prior to publication.

10 working days

UKRI will require details of publication and explanation why you are applying for this exception for this article.

[No-derivatives licence exception form](#) – UKRI website

No-derivatives licence exception

- Complete the form on UKRI website
- Email to: openaccess@funding.ukri.org
- UKRI aim to respond within 10 working days
- Form must be completed prior to publication

www.ukri.org/publications/no-derivatives-licence-exception/

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We will be monitoring compliance.

Please cc openaccess@exeter.ac.uk in your ND exception request

Otherwise, we may contact you to double check an exception has been granted if we come across your article with CC BY-ND

Data Access Statement + deposit to PMC

In-scope research articles must include a **Data Access Statement**

– this applies even when there are no data associated with the article, or the data are inaccessible¹

BBSRC/ MRC funded biomedical research must be deposited to **Europe PubMed Central (PMC)** – this applies regardless of OA publication status

¹ See Annex 1 of UKRI OA policy for more details about data access statement requirements

Read more about the data access statement requirement in Annex 1 of the policy -

[UKRI - open access policy](#)

Find more info on the UKRI [Open research resource hub](#)

“Data” are defined in the [Concordat on Open Research Data](#)

Queries about data and data access statement, email Research Data Officer at:

rdm@exeter.ac.uk

Preprints

- Pre-printing is not mandated by the new UKRI policy
- UKRI encourages the use of preprints across all disciplines
- UKRI reserve the right to mandate pre-printing in emergencies
- [MRC policy on preprints](#) & [BBSRC policy on preprints](#) actively encourage researchers to share preprints; allow citing of preprints in grant & fellowship applications

Longer form outputs – scope & requirements

In scope¹: monographs, book chapters and edited collections

Out of scope: trade books (unless it's the only output from UKRI funded research), scholarly editions, exhibition catalogues, scholarly illustrated catalogues, textbooks, fictional works and creative writing

Date: published on or after 1st January 2024

Policy: must be open access within 12 months of publication

¹ See Annex 1 of UKRI new OA policy for clarifications of in-scope output types

For definitions of in-scope and out-of-scope outputs, see Annex 1 of [UKRI - open access policy](#)

Longer-form outputs – routes to compliance

1. **Publish Version of Record (VoR) OA with CC licence on publisher website or publication platform** – UKRI expect OA to VoR will typically be immediate where costs have been paid – but maximum 12 months embargo is allowed
1. **Provide OA with a CC licence to Author Accepted Manuscript or VoR via an [institutional or subject] repository** – immediate OA is preferred but maximum 12 month embargo is allowed

Longer form outputs - licensing

OA versions must be published with a Creative Commons licence.

CC BY (only) is preferred but other CC BY licences are permitted e.g. CC BY-ND

Open Government Licence (OGL) permitted in case of Crown Copyright.

Where possible, OA version should include any images, illustrations, tables and other supporting content.

UKRI licensing requirements do not apply to third-party copyrighted materials; outputs published with CC BY licences may include third-party materials that are subject to a more restrictive licence.

Long form outputs – acknowledging UKRI

All publications must acknowledge support received from UKRI as set out in T&Cs i.e. funder name and grant number

No requirement to include set text “CC BY on AAM” in long form outputs

Long form outputs funding

UKRI will provide a dedicated fund to support OA to long form outputs via a centralised UKRI fund that will be applied for, available from 2024

We can't pay long form output publishing fees from UKRI OA block grant. Publication costs for long form outputs can continue to be included in grant applications and continue to be eligible costs against UKRI grants.

*UKRI T&C for funding monographs will be made available in 2022

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Long form outputs policy exemptions*

1. Where the only appropriate publisher (after liaison and consideration) is unable to offer an OA option compliant with UKRI OA policy
2. Where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable OA publication.
3. 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.
 - Organisations should support ECRs to make such outputs OA where possible
 - OA requirements for these still apply

*Guidance and processes to support management of exceptions due 2022

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Journal articles and conference papers arising from UKRI Training grants are within scope of the policy – only long form outputs arising from Training grants are exempt.

Main points

Research articles submitted from 1st April 2022 must be immediately OA with CC BY [or other allowed licence] - no embargo. 1) publish in full OA journal 2) publish OA in journal in TA or 3) publish not-OA and upload to repository

Include set text in all article submissions, advising of CC BY on AAM – this ensures you can publish in any journal and still comply with the policy by depositing in repository - *check publisher contracts to ensure they don't conflict with UKRI OA policy*

Long form outputs published from 2024 must be OA within maximum 12 months of publication. 1) OA on publisher website or 2) OA in repository

Further information expected from UKRI

- Long form output exemptions – Q2 2022
- T&C for funding monographs – Q3 2022

Further information

[UKRI - open access policy](#)

[UKRI – shaping our open access policy](#)

[UKRI Open Access Policy – explanation of policy changes](#)



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Until the new policy comes into effect, the previous OA policy applies

[UKRI - open access policy](#)

[UKRI – shaping our open access policy](#)

[UKRI Open Access Policy – explanation of policy changes](#)



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