UKRI Open Access Policy

Contents:

Version 1.1

Date: December 2021

UK Research and Innovation

Policy scope

Implementation dates

1. The UKRI Open Access Policy applies from the following dates:

    a. In-scope research articles submitted for publication on or after 1 April 2022

    b. In-scope monographs, book chapters and edited collections published on or after 1 January 2024.[1]

Types of publication in scope of the policy

2. The policy applies to the following types of publication, when they are required to acknowledge funding from UKRI or any of its constituent councils.

    a. 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.

    b. Monographs, book chapters and edited collections, as defined at Annex 1.

3. Preprints are not in-scope of the UKRI Open Access Policy. However, to facilitate open research practices, UKRI encourages the use of preprints across the research disciplines that we support. UKRI also reserves the right to ensure the use of preprints in the context of emergencies. Also see the [MRC policy on preprints](#) and the [BBSRC policy on preprints](#).

Requirements for research articles

4. This section sets out the UKRI Open Access Policy requirements for in-scope research articles, as defined at paragraph 2a.

Compliant open access routes

5. Route 1: Publish the research article open access in a journal or publishing platform[2] which makes the Version of Record immediately open access via its website.

    a. The Version of Record must be free and unrestricted to view and download. It must have a Creative Commons Attribution (CC BY) licence, or other licence permitted by UKRI (see 'licensing requirements').

    b. The research article must be made open access in a journal or publishing platform that meets the minimum technical standards that facilitate access, discovery and reuse, as defined at Annex 2.

6. Route 2: Publish the research article in a subscription journal and deposit the Author's Accepted Manuscript (or Version of Record, where the publisher permits) in an institutional or subject repository at the time of final publication. Further guidance is provided at Annex 1.

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[1] 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.
[2] This includes fully open access journals or platforms and 'hybrid' journals or platforms.

Version 1.1

a. The deposited version must be free and unrestricted to view and download. It must have a CC BY licence, or other licence permitted by UKRI (see 'licensing requirements').

b. A publisher-requested delay or 'embargo period' between publication of the Version of Record and open access of the deposited version is not permitted.

c. The research article must be made open access in a repository that meets the minimum technical standards that facilitate access, discovery and reuse, as defined at Annex 2.

7. Authors can publish their research article in the journal or platform they consider most appropriate for their research, provided UKRI's open access requirements are met via either open access route.

8. UKRI is providing an Open Access Block Grant to support implementation of this policy (see 'Funding and Policy Implementation').

Deposit requirements

9. For either open access route, biomedical research articles that acknowledge MRC or BBSRC funding are required to be archived in Europe PubMed Central, in accordance with MRC's Additional Terms and Conditions and BBSRC's Safeguarding Good Research Policy.

Licensing requirements

10. UKRI requires the open access version of a research article to be published under a Creative Commons Attribution (CC BY) licence.[3]

11. There are two exceptions to this requirement:

a. An Open Government Licence (OGL) can be used when a research article is subject to Crown Copyright.

b. While a CC BY licence is appropriate in most cases, UKRI may permit, on a case-by-case basis, the use of a more restrictive Creative Commons Attribution No-derivatives (CC BY-ND) licence for the open access version of a research article. Further guidance will be provided in due course, as outlined on our website at Shaping Our Open Access Policy.

12. For the article to be published under Route 2, submissions must include the following text in the funding acknowledgement section of the manuscript and any cover letter/note accompanying the submission:

'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'

13. UKRI's licensing requirements do not apply to any materials included within a research article that are provided by third-party copyright holders. Research articles published under a CC BY or CC BY-ND licence can include third-party materials (such as images,

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[3] This means the Version of Record where open access is achieved via a journal or OA publishing platform, or the Author's Accepted Manuscript where open access is achieved via a repository.

Version 1.1

photographs or maps) that are subject to a more restrictive licence. UKRI considers this approach compliant with its policy.

Data access statement

14. UKRI requires in-scope research articles to include a Data Access Statement, even where there are no data associated with the article or the data are inaccessible. Further guidance is provided at Annex 1.

Requirements for long-form publications

15. This section sets out the UKRI Open Access Policy requirements for monographs, book chapters and edited collections, as defined at paragraph 2b.

Compliant open access routes

16. For in-scope monographs, book chapters and edited collections:

    a. 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

    b. the open access version has a Creative Commons Attribution (CC BY) Licence or other licence permitted by UKRI (see 'licensing requirements') and allows the reader to search for and reuse content, subject to proper attribution

    c. the open access version should include, where possible, any images, illustrations, tables and other supporting content (see 'licensing requirements')

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

17. UKRI recognises there may be rare instances where meeting open access requirements for long-form publications may not be possible. Therefore, the following exemptions may apply:

    a. where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy. Further guidance will be provided in due course, as outlined on our website at Shaping Our Open Access Policy.

    b. where a monograph, book chapter or edited collection is the outcome of a UKRI Training Grant. Where possible, UKRI expects Research Organisations to support researchers to make such outputs open access; however, it recognises that publication may occur sometime beyond the lifetime of a training grant.[4]

18. UKRI encourages the adoption of metadata standards and persistent identifiers for long-form research outputs, but they are not currently a requirement of this policy.

Licensing requirements

19. UKRI requires the open access version of long-form outputs to be published under a Creative Commons licence. A Creative Commons Attribution (CC BY) licence is preferred to

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[4] Requirements for the publication of theses in the UKRI Standard Terms and Conditions of Training Grants still apply.

Version 1.1

maximise opportunity for sharing and reuse but other Creative Commons licences are permitted. An Open Government Licence is also permitted when authors are subject to Crown Copyright.

20. UKRI's licensing requirements do not apply to any materials included within a long-form output that are provided by third-party copyright holders. Academic books published under a CC BY, or other creative commons licence may include third-party materials (such as images, photographs, diagrams or maps) which are subject to a more restrictive licence. UKRI considers this approach compliant with its policy.

21. UKRI recognises that there may be some instances where permissions for reuse in an open access book cannot be obtained for all third-party images or other materials. Therefore, an exception to the policy may be applied when:

    a. reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication. Further guidance will be provided in due course, as outlined on our website at Shaping Our Open Access Policy.

Monitoring and compliance

UKRI will monitor the implementation of this policy to assess compliance of research organisations and to evaluate the efficiency and effectiveness of the policy and progress towards open access.

UKRI will publish further information on monitoring and compliance in due course, as outlined on our website at Shaping Our Open Access Policy.

Funding and policy implementation

UKRI will provide an Open Access Block Grant to support compliance with this policy for both research articles and in-scope longform publications. For research articles the use of UKRI funding is permitted for a wide range of costs, however the use of UKRI funds for publishing in an 'hybrid' journal that is not part of a transitional agreement will not be permitted.

UKRI will publish further information on funding in due course, as outlined on our website at Shaping Our Open Access Policy.

Further information

22. Supporting information about the UKRI Open Access Policy can be found on UKRI's website:

    a. additional information about UKRI's open access requirements is available at Making Your Research Publications Open Access

    b. information about the implementation of the UKRI Open Access Policy and how the policy was developed is available at Shaping Our Open Access Policy.

23. Enquiries regarding the UKRI Open Access Policy should be directed to: openresearch@ukri.org.

Annex 1: Additional information on policy definitions and scope

1. Information provided in this Annex is intended to complement the scope and requirements set out in the UKRI Open Access Policy.

Acknowledgement of UKRI funding

2. The UKRI Open Access Policy applies to peer-reviewed research articles, and monographs, book chapters and edited collections that acknowledge funding from UKRI or any of its councils.[5] As detailed in relevant UKRI funding terms and conditions, UKRI requires publications to acknowledge support received from UKRI.

3. Monographs, book chapters and edited collections arising from UKRI training grants are considered exempt from the UKRI open access requirements where the training grant is the only UKRI source acknowledged. Where possible, UKRI expects research organisations to support researchers to make such outputs open access.

4. 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.

5. Where Research England funding is given for particular purposes, and that funding leads directly to particular research outputs, those outputs are subject to the UKRI Open Access policy and providers are required to include acknowledgement of Research England's funding. This is specified in the terms and conditions of each competitive scheme.

Policy scope – additional definitions

6. Clarifications are provided below to complement the core scope and requirements set out in the UKRI Open Access Policy document. A glossary of terms is also available at the end of this document.

Conference papers and proceedings	UKRI's open access requirements for research articles apply to peer-reviewed conference papers that are accepted for final publication in a journal, conference proceeding with an ISSN number, or a publishing platform.
	Conference abstracts are out of scope of the policy.
	If there is ambiguity as to whether a published conference paper will constitute a research article or book chapter, the Author(s) in consultation with their Research Organisation can apply discretion as to which set of requirements to follow.

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[5] UKRI's nine councils are: Arts and Humanities Research Council (AHRC), Biotechnology and Biological Sciences Research Council (BBSRC), Engineering and Physical Sciences Research Council (EPSRC), Economic and Social Research Council (ESRC), Innovate UK (IUK), Medical Research Council (MRC), Natural Environment Research Council (NERC), Research England (RE), Science and Technology Facilities Council (STFC).

Version 1.0

Review articles	Examples of review articles include evidence syntheses, systematic reviews, systematic-literature reviews, analyses, meta-analyses and meta-syntheses.
	UKRI's open access requirements for research articles apply to peer-reviewed review articles that are accepted for final publication in a journal, conference proceeding with an ISSN number, or a publishing platform.
	Commissioned and invited reviews, that acknowledge UKRI funding, are in-scope of the policy.
Time of final publication	This is the date when the first online version is published

Academic monograph	Defined as a long-form publication which communicates an original contribution to academic scholarship on one topic or theme and is designed for a primarily academic audience; an academic monograph may be written by one or more authors.
Book chapter	Defined as a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a permanently identifiable set of contributions on a common theme, bearing an International Standard Book Number (ISBN). This includes chapters in academic books arising from conferences.
Edited collection	Defined as a written scholarly output in which individual chapters or contributions have been written by different authors, and whereby the contributions from each author are intellectually distinct. This includes edited book collections arising from conferences.
	An edited book collection may arise from a conference, but it is constructed as a publication in its own right rather than reproducing the proceedings of the conference. See Conference papers and proceedings.
	Edited collections in scope of the UKRI Open Access Policy are those which are required to acknowledge UKRI funding and where the editor(s) satisfy at least one of the following conditions:
	a) the editor(s) of the collection has sole responsibility for curating the publication b) the editor(s) of the collection has made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation in the publication
	The complete edited collection must be made available open access, regardless as to whether the authors of chapters comprising a collection were/are supported by UKRI.

Trade book	Defined as an academic monograph rooted in original scholarship that has a broad public audience, a trade book is only in scope of the policy where it is the only output from UKRI-funded research.
Out of scope long-form publications	UKRI's open access policy does not apply to the following long-form outputs: • Trade books: The decision of whether a book should be considered a trade book or an academic monograph, is at the discretion of the author and publisher. • Scholarly editions. Defined as an edition of another author's original work or body of works informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. • Exhibition catalogues. • Scholarly illustrated catalogues. • Textbooks. • All types of fictional works and creative writing.

Version of Record	For research articles: defined as the final peer-reviewed, typeset and edited version of a research output that is published. For long-form outputs: defined as the final reviewed, typeset and edited version of a research output that is published.
Author's accepted manuscript	For research articles: defined as the author's version of a research article that has been peer-reviewed and is accepted for publication, prior to typesetting by the publisher. It may otherwise be known as the 'author manuscript' or 'final author version' or 'post-print'. For long-form outputs: defined as the final author-created version of the manuscript, as agreed with the editor, which has been accepted for publication, prior to typesetting by the publisher.

Publishing platform	Publishing platforms for the original publication of research outputs. Platforms that merely serve to aggregate or re-publish content that has already been published elsewhere are not considered as such.

Data access statement

7. To meet the commitments set out in the Concordat on Open Research Data it is a requirement for in-scope research articles to contain a Data Access Statement. 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.

Version 1.0

8. Underlying research materials are research data as defined in the Concordat on Open Research Data and can include code, software, numerical scores, textual records, images, sounds, objects and manuscripts.

9. Publicly funded research data should be made openly available with as few restrictions as possible. Where there are reasons to protect access to the data, for example commercial confidentiality or sensitivities around data derived from potentially identifiable human participants, these should be included in the statement. Further information on access to underlying research materials is available in the Concordat on Open Research Data.

10. Ownership of the data generated from the research that UKRI funds resides with the researchers or their institutions. Researchers and/or their institutions should maintain and manage copyright and intellectual property ownership of data so that underlying research materials remain as open as possible, and as closed as necessary. Researchers and their institutions should apply appropriate licences to clarify ownership and use of data.

11. UKRI encourages the use of standard-format machine-readable data availability statements encoded in openly accessible publication metadata to maximise discovery and interoperability.

12. We understand that some journals may not have established practises on Data Access Statements, UKRI grant holders or their institutions are encouraged to contact us to discuss difficulties in complying with this requirement of the UKRI Open Access Policy.

Annex 2: Technical requirements for research articles

1. Technical standards and protocols support full and immediate open access by ensuring research outputs are findable, accessible, interoperable and reusable (such as for text and data mining). They can also reduce the burden associated with monitoring compliance and managing research.

2. UKRI requires in-scope research articles to be published or deposited in publication venues and in repositories that enable the standards for research articles to be met as set out below.

3. A glossary of terms is also available to clarify the technical requirements.

Technical requirements for journals and publishing platforms

4. To be considered compliant with UKRI's open access requirements, research articles and conference proceedings with an ISSN made available via journals and publishing platforms are required to meet the following technical requirements:

    a. Persistent Identifiers (PIDs) for articles must be implemented according to international recognised standards, examples of international standards include Digital Object Identifiers (DOI), Uniform Resource Name (URN) or Handle

    b. article-level metadata must be used according to a defined application profile that supports the UKRI Open Access Policy and is available, if possible, via a Creative Commons public domain dedication (CC0); the metadata standard must adhere to international best practice such as the Crossref schema and OpenAIRE guidelines

    c. machine-readable information on the open access status and the licence must be embedded in the article metadata in a standard non-proprietary format

    d. long-term preservation must be supported via a robust preservation programme such as CLOCKSS, Portico or an equivalent

    e. openly accessible data on citations must be made available according to the standards set out by the Initiative for Open Citations (I4OC)

    f. self-archiving policies must be registered in the SHERPA RoMEO database

    g. common unique PIDs for research management information (for example identifiers for funders and/or organisations) are strongly encouraged; ORCID, the researcher identifier must be supported to identify all authors and contributors.

Technical requirements for institutional and subject repositories:

5. To be considered compliant with UKRI's open access requirements research articles made available via repositories must meet the following technical requirements:

    a. PIDs for research outputs must be implemented according to international recognised standards, examples of international standards include DOI, URN or Handle

    b. article-level metadata must be implemented according to a defined application profile that supports the UKRI Open Access Policy and if possible is available via a CC0 public domain dedication; this must include the persistent identifier to both the Author's

Accepted Manuscript and the Version of Record; the metadata standard must adhere to international best practice such as the OpenAIRE guidelines

c. machine-readable information on the open access status and the licence must be embedded in the metadata in a standard non-proprietary format

d. common unique PIDs for research management information (for example identifiers for funders and /or organisations) are strongly encouraged; ORCID, the researcher identifier, must be supported to identify all authors and contributors

e. the repository must be registered in the Directory of Open Access Repositories (OpenDOAR)

Glossary

APC	Article Processing Charge. A publishing fee paid to journals to publish a research output immediately open access.
Author's accepted manuscript	See Annex 1.
CC BY	Creative Commons attribution licence. Further information: [Creative Commons — CC BY](#)
CC BY-NC	Creative Commons attribution non-commercial licence. Further information: [Creative Commons - CC BY-NC](#)
CC BY-ND	Creative Commons attribution no-derivatives licence. Further information: [Creative Commons - CC BY-ND](#)
CC0	Creative Commons 'No rights reserved' licence. Further information: [CC0 - Creative Commons](#)
CLOCKSS	Further information: [CLOCKSS](#)
OpenDOAR	Directory of Open Access Repositories. Further information: [OpenDOAR |Jisc](#)
Crossref	Further information: [Crossref](#)
DOI	Digital Object Identifier. Further information: [Digital Object Identifier System (doi.org)](#)
Handle	Further information: [Handle.Net Registry](#)
Hybrid Subscription Journal	A type of subscription journal where some articles are available open access.
I4OC	Initiative for Open Citations. Further information: [I4OC: Initiative for Open Citations](#)
ISBN	International Standard Book Number. Further information: [The International ISBN Agency](#)
ISSN	International Standard Serial Number. Further information: [ISSN](#)
Metadata	Summarises basic information about data (for example, author, date created, date modified, file size).
National research assessment exercises	The UK's system for assessing the excellence of research in UK higher education providers, delivered jointly by the UK HE funding bodies. Further information: [About - REF 2021](#)

OA	Open Access.
OA Publishing Platforms	See Annex 1.
OGL	Open Government Licence.
	Work created by officers or servants of the Crown in the course of their duties is Crown copyright or Crown database right, and cannot usually be assigned away from the Crown. Collaborations between Crown officers or servants and others will also be Crown copyright in respect of the Crown contributions. The default licence which must be used for most Crown copyright and Crown database right information is the Open Government Licence.
	Further information: Open Government Licence – The National Archives and Re-using public sector information - The National Archives
ORCID	Further information: ORCID
PID	Persistent Identifiers.
	Further information: Persistent Identifiers	Openaire.eu and Persistent Identifiers	ORCID and PID Roadmap for Open access
Portico	Further information: Portico
Preprints	A complete scientific manuscript (often one also being submitted to a peer-reviewed journal) that is uploaded by the authors to a preprint repository or service (for example, arXiv, bioRxiv, PeerJ Preprints, PsyArXiv or SocArXiv), typically without formal peer review of that version, such as would be undertaken by a publisher for a scholarly journal.
RCUK	Research Councils UK.
SHERPA RoMEO	A tool that provides a database of journal and publisher policies on copyright and self-archiving.
	Further information: Sherpa services	Jisc and Sherpa Romeo
Time of final publication	See Annex 1
Transitional arrangement	Further information: Transitional agreements	Jisc
UK HE funding bodies	UK higher education funding bodies, comprising Research England, the Scottish Funding Council, the Higher Education Funding Council for Wales and the Department for the Economy Northern Ireland. (Research England is part of UKRI.)
UKRI	UK Research and Innovation.

URN	Uniform Resource Name.
	Further information: Uniform Resource Names
Version of Record	See Annex 1.

Version Control

Version Control				
Version Number	**Status**	**Revision Date**	**Author(s)**	**Summary of Changes**
1.0	Complete	August 2021	UKRI Open Research Team	New policy created
1.1	Complete	December 2021	UKRI Open Research Team	Version control added Para 6, Annex 1 and glossary updated.