



**UK Research
and Innovation**

UKRI Open Access Policy

Oxford Festival of Open Scholarship 2022

9 March 2022

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UKRI**





Open Access Review 2018 - 2021

- In 2018, UKRI launched its Open Access (OA) Review
- Aims of the review: immediate Open Access – moving from a missed target of 75% in 2016; affordability/vfm; alignment across UKRI, UK and internationally.
- The Review process included:
 - Extensive engagement with stakeholders via roundtables and workshops
 - Evidence-gathering and analysis
 - Public consultation
 - Independent economic assessment
- Further information: [Shaping our open access policy – UKRI](#)

Government commitment, 2020

*“Crucially, we must embrace the potential of open research practices. **First, we will require that research outputs funded by the UK government are freely available to the taxpayer who funds research. Such open publication will also ensure that UK research is cited and built on all over the world.** We will mandate open publication and strongly incentivise open data sharing where appropriate, so that reproducibility is enabled, and knowledge is shared and spread collaboratively.”*

[UK Research and Development Roadmap - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/432222/uk_research_and_development_roadmap.pdf)



The policy applies to

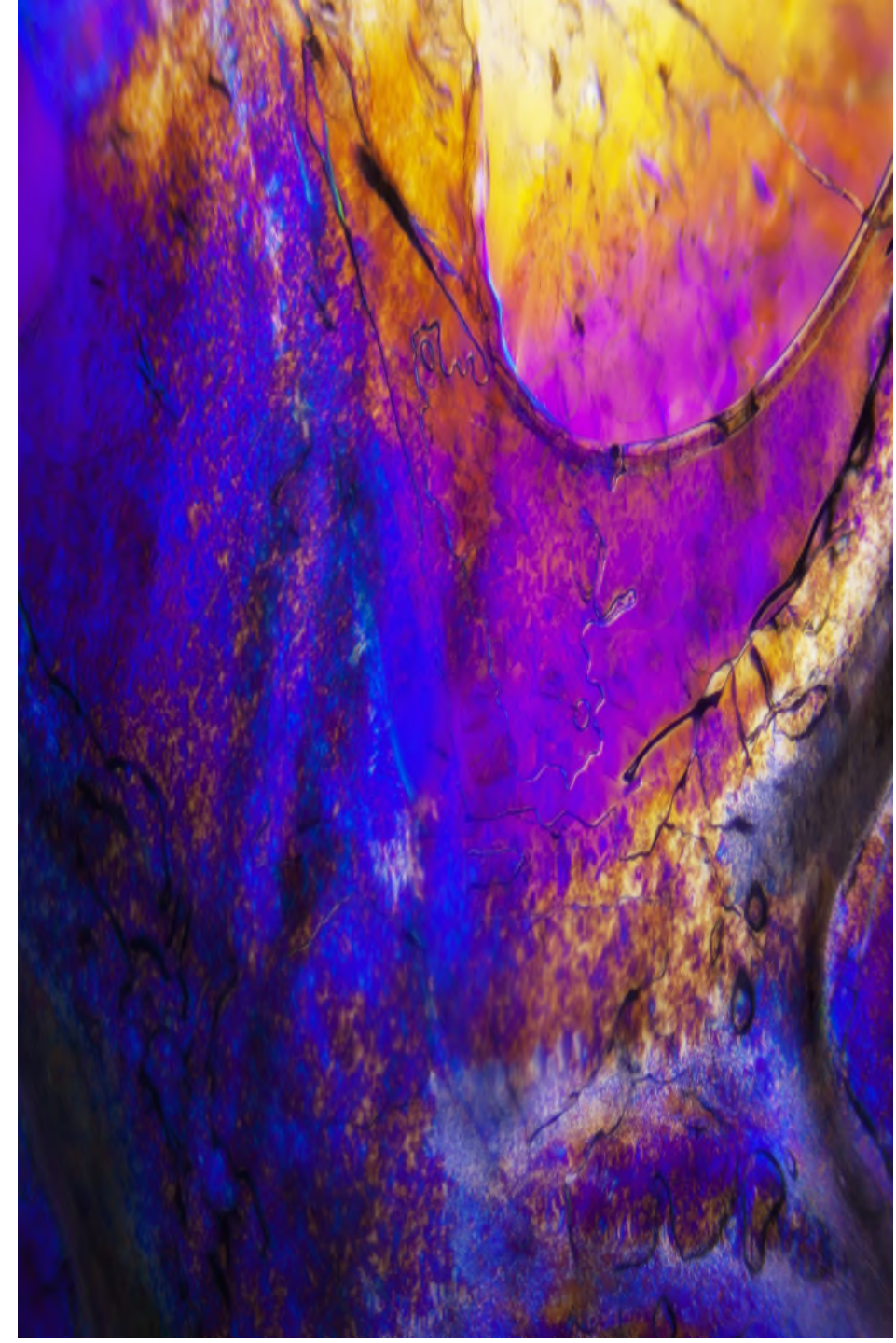
Research publications, as defined below, that need to acknowledge funding from UKRI or any of its councils, including Innovate UK and Research England.

- **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](#).

Requirement for research articles

*Immediate open access for in-scope publication types that acknowledge UKRI funding with a **CC BY** licence*

The policy requirement is permissive and agnostic to the route by which open access is achieved.



Routes to compliance

- **Route 1:** Publish the research 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 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.
 - 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'

Requirements for long-form publications

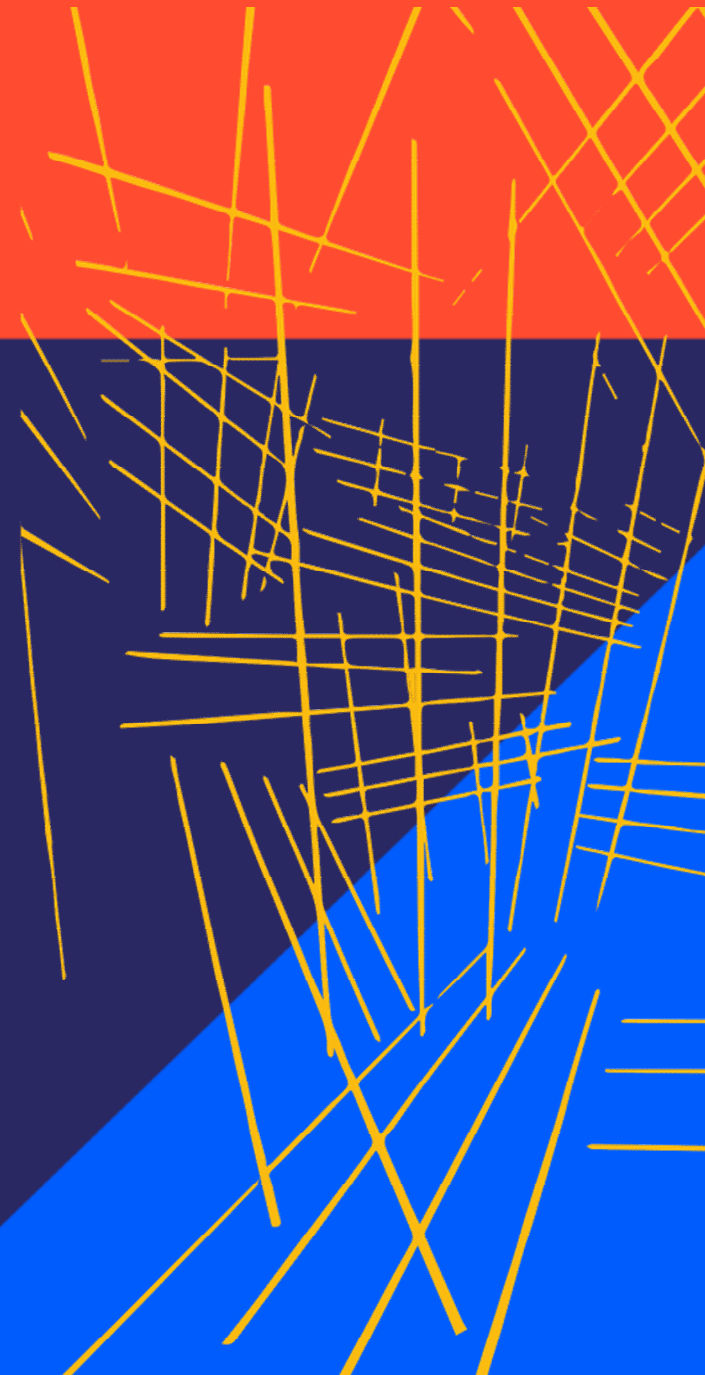
- From 1 January 2024, the policy extends to in-scope monographs, book chapters and edited collections.
- Permissive approach via **Version of Record** or the **Author's Accepted Manuscript** to be open access under a **Creative Commons licence**, within **12 months of publication**.
- Where the Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.





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Supporting the sector to implement the policy



Supporting 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.
- 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.

Eligible costs for UKRI funds: research articles

THE BLOCK GRANT CAN BE USED TO COVER COSTS THAT ENABLE RESEARCH ORGANISATIONS TO MEET THE AIMS OF OUR OPEN ACCESS POLICY

- article processing charges (APCs) and charges through other types of funding models (for example, membership fees) that support publication in fully open access journals and platforms
- publish elements of Jisc-approved transitional agreements
- open access fees in journals approved by Jisc as meeting the research sectors requirements for transition to open access
- costs associated with open access through 'route two' of the policy, for example making the author's accepted manuscript available in an institutional or subject repository at the time of final publication
- Associated staff costs

UKRI funds cannot be used for:

- the cost of hybrid open access publishing in subscription journals, **unless** part of Jisc-approved transitional agreement or meeting Jisc's requirements for transformative journals. (These are agreed with the research sector and via the UUK Jisc content negotiations group)

Guidance and resources



- [Updated policy document and a supplementary FAQ](#)
- [Guidance for authors](#)
- [No-derivatives licence exception process and guidance](#)
- [Information pack for research organisations to use to engage researchers](#)

Contact

For any queries about UKRI's work on open access and open research please contact the team at openresearch@ukri.org

Thank you



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