Nottingham Trent University

Open access and UKRI funded research

OPEN Research

Unlocking the power of research for real-world change

UKRI Open Access Policy

UKRI has updated its policy on open access for publications resulting from UK Research Councils, Research England, or Innovate UK funding. Grant-holders will need to ensure they are aware of the latest policy requirements to ensure that their publication decisions allow them to meet the funding conditions/achieve policy compliance. UKRI has confirmed that outputs that satisfy the new UKRI OA policy (which applies only to publications that acknowledge UKRI funding) will also satisfy any future REF policy.

Policy scope

The updated policy applies to the following output types:

- Peer-reviewed research articles, including reviews and conference papers, that are accepted for publication in either a journal, conference proceeding with an ISSN, or publishing platform, which are **submitted for publication after 1 April 2022.**
- Long-form publications (monographs, book chapters and edited collections) **published from 1 January 2024.**

Journal articles

Routes to open access

Research articles must be made openly available immediately on publication by one of the following routes:

Gold open access

- Publish in a fully open access journal or,
- A subscription-based journal that offers open access via the payment of an article processing charge or via a transitional deal.

Green open access

- A subscription-based journal (no payment required) with the author's accepted manuscript made immediately available on publication in a free-to-read repository (NTU authors should use IRep). Embargoes are not permitted.

Open access funding

Gold open access can be funded by:
- Publishing in a journal with a transitional deal where NTU has signed up to the publisher's agreement. This incurs no cost to the author or institution.
- Utilising the UKRI block grant for fully OA journals that are not covered by a transitional deal. This is achieved by applying to the NTU Open Access Fund via NTU open access fund application form.

The use of UKRI block grant fund for publishing in hybrid[1] journals that are not part of a transitional[2] agreement is not permitted. The author will have to either seek funding from alternative sources to pay for the article processing charge, or publish via green open access and negotiate a zero embargo.

Licences

Gold open access

- The primary requirement for a [Creative Commons](#) Attribution (CC BY) licence[3] is retained, but two exceptions have been introduced:
    - a CC BY-ND (no derivatives) licence, subject to UKRI approval,
    - an Open Government Licence (OGL) can be used when a research article is subject to Crown Copyright.

Green open access

- Authors will be required to notify the publisher **at the point of submission** that a CC BY (or other licence permitted by UKRI) is being applied to any resulting AAM;
- Submissions must include a set statement in the funding acknowledgement section of the **submitted** manuscript and any cover letter/note.

Data Access Statement

In-scope research articles require a Data Access Statement, even when there are no data associated with the article or the data are inaccessible.

Long-form publications

Routes to Open Access

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.

There are exemptions:

- "where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy".
- where the publication is the result of a training grant;
- or where permission for the reuse of third-party materials cannot be obtained.
- Trade books are also exempt, and the decision about whether a title falls into this category "is at the discretion of the author and publisher".

Funding for open access

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[1] Subscription-based journals which offer OA publication on payment of an article processing charge.
[2] This is where a title is committed to moving from subscription journal to a fully OA, for both reading and publishing.
[3] Applied to the Version of Record where open access is achieved via a journal or OA publishing platform (route 1), or the author's accepted manuscript where open access is achieved via a repository (route 2).

Funding for monographs will be provided by a centralised fund held by UKRI and organisations will need to apply to access the fund. Open access costs for monographs, book chapters and edited collections **cannot** be included in research grant applications.

Licence requirements

They must be available under a Creative Commons attribution licence (CC BY), or other licence permitted by UKRI.

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.

How to comply

Journal articles

Prior to submission

Decide if you are going to publish via the gold or green open access route. UKRI-funded authors are strongly encouraged to choose a compliant gold route, where possible.

- Check Open Policy Finder to see if your target journal complies with your funder's open access policy.
- Payment required? Check to see if the journal is included in one of NTU's transitional agreements or if you need to apply to the NTU open access fund to cover an APC. The Open Research Team can advise if your target journal is eligible to use the fund.
- Need to go green? Check Open Policy Finder for embargo compliance. Please notify the Open Research Team if you are choosing this route so we can advise on all the necessary steps to achieve compliance.

Do you need to apply for a licence exemption so you can publish using a CC-BY-ND licence? This requires prior approval from UKRI.

On submission

Green OA: You will need to include the **rights retention text** prescribed by UKRI in the funding acknowledgement section of the manuscript and any cover letter/note accompanying the submission if the journal does not offer a zero embargo:

'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.'

All OA routes: You should include **a Data Access Statement** with your manuscript even if the persistent identifiers to your dataset have not yet been issued. Some journals provide a data access or data availability section. Where no section is specified, we suggest that you provide the data access statement in the acknowledgements section. Check your journal's data sharing policy or follow NTU Library's guidance in the absence of journal-specific information.

On acceptance

Green OA: It is important that you do not sign a contract with the publisher that contradicts the terms of the rights retention text (e.g. agreeing to an embargo or a more restrictive licence).
Deposit your accepted manuscript in Worktribe as soon after the date of acceptance as possible and no later than 3 months after this date. The Library will make the citation details available in IRep, our institutional repository.

Gold OA: Select open access publication and choose the appropriate licence. If you are going gold via an APC, and have secured agreement to use the NTU open access fund, then you should raise an invoice and send it to LIBResearchTeam@ntu.ac.uk for payment.
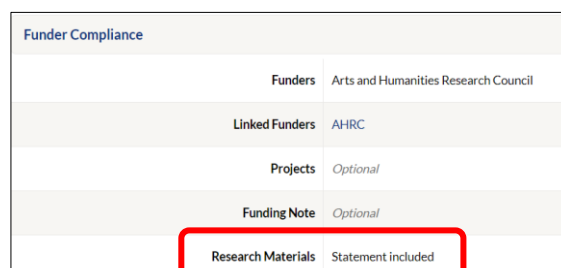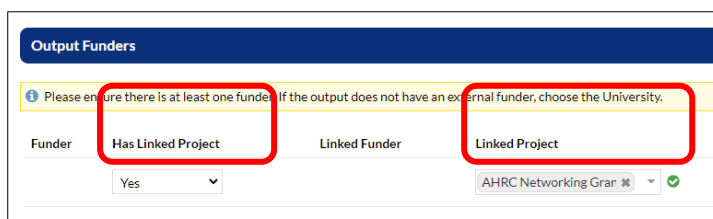
On publication

Gold OA: Deposit your output in Worktribe as soon as possible after publication.

Green OA: Notify the library of online publication ASAP and **no later than one month after the first date of publication** via the submit amendment link in IRep. The Library will make your manuscript immediately discoverable.

Worktribe records

Please ensure that you have linked your funding to the output by selecting the appropriate linked project and indicate that you have included a data access statement in the research materials field.

Long-form publications

Preparing a bid

You can Include the following costs in your grant:

- o Third-party rights clearance.
- o Colour/image reproduction charges
- o Anything else related to out-of-scope publication charges

Open Access costs for publishing a long-form output (book/chapter processing charges) are covered by UKRI and administered by the organisation employing you at the time of submission and publication. Do **not** write into your grant.

Choosing a publisher

Publishing a monograph/edited collection: Familiarise yourself with UKRI's OA requirement prior to submitting your book proposal.

Contributing a book chapter in an edited collection: inform both the editor(s) and publisher that you need to comply with UKRI's OA requirement before agreeing to contribute to the collection. The majority of publishers are keen to support their authors to comply with funder requirements and will be able to discuss if their gold or green open access business model meets your need. Let your editor know as soon as possible, and prior to signing a contract, that you will be acknowledging UKRI funding and will be eligible to apply to the UKRI centralised fund to cover any book processing charges.

- Route 1 - gold open access
    - o Obtain a quote and make the publisher aware of the UKRI funding limit. Is there room to negotiate if it exceeds the limit? If no, contact the Open Research Team asap.
    - o Check the licence options – CC BY is preferred but UKRI will accept any creative commons licence.

Costs supported by the UKRI fund	Maximum funding available (inc. VAT)
Book processing charges (BPCs)	£10,000
Chapter processing charges	£1,000
Authors can claim up to £2,000 from the above limits to clear third-party rights. However, authors should include these costs in research grants.	

- Route 2 – self-archiving option
    - o Will they permit a 12 month embargo? If no, contact the Open Research Team
    - o Check the licence options – CC BY is preferred but UKRI will accept any creative commons licence.

Other routes? Does your publisher offer a collaboration with an open access books consortium or publishing agreement?

Exemption required? Discuss with Library Research Team who need to inform UKRI on your behalf.

Inform the Open Research Team which route you will be following **in advance of** signing your contract. They will submit a Stage 1 application to UKRI to secure approval for funding to cover gold OA costs. UKRI will provide confirmation of eligibility within 10 working days.

A contract and/or publication agreement **should only be signed once UKRI funding approval has been secured** or the Library Research Team is satisfied that the publisher's self-archiving policy allows you to comply with the UKRI OA requirement.

Output in development

- Third-party rights clearance
    - o See UKRI guidance and contact the Open Research Team for support.
    - o You don't have to apply the same licence as your overall book to your third-party materials. You can negotiate more restrictive agreements for individual materials.
    - o Funding – you can apply for additional funding to cover rights clearance where this cost was not included in your original grant but this will be taken

out of the UKRI funding limits for outputs. Contact the Open Research Team who will apply to UKRI on your behalf.

- Payment required for route 1 gold open access
    - o This will usually occur at the point your output goes into production.
    - o Notify the library that payment is required by forwarding the invoice or other payment information.

Output is published

- Notify the Open Research Team immediately on publication
    - o Route 1 gold open access – the Library will apply to UKRI for Stage 2 publication funds to be released to cover our payment in arrears.
    - o Route 2 self-archiving – you will need to provide your author accepted manuscript
- Deposit your output in Worktribe and include a full bibliographic record, licence information and the appropriate version of your manuscript.

Further Information

UKRI have produced a list of frequently asked questions and guidance on publishing your research findings to sit alongside the policy document.

For further advice and support please contact the Open Research Team