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Open access and UKRI funded research



www.ntu.ac.uk/library

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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. All submissions to the NTU Open Access Fund require approval by the relevant Associate Dean for Research following the completion of the [NTU open access fund application form](#).

The use of UKRI block grant fund for publishing in hybrid¹ journals that are not part of a transitional² agreement is not permitted. The author will have to either seek funding

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.

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. See '[how to comply](#)' section for details.

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

Funding for monographs⁴ will be provided by a centralised fund held by UKRI and organisations will need to apply to access the fund. Publication costs for monographs, book chapters and edited collections can continue to be included in research grant applications until UKRI provide further guidance.

Licence requirements

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

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).

⁴ The terms and conditions for funding monographs will be made available in 2022.

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 [Sherpa Fact](#) 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 Library Research Team can advise if your target journal is eligible to use the fund.
- Need to go green? [Check Sherpa Romeo](#) for embargo compliance. Please notify LIBResearchTeam@ntu.ac.uk 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.

Funder	Has Linked Project	Linked Funder	Linked Project
	Yes		AHRC Networking Grant

Funder Compliance	
Funders	Arts and Humanities Research Council
Linked Funders	AHRC
Projects	Optional
Funding Note	Optional
Research Materials	Statement included

Long-form publications

Planning for open access

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.

You will need to decide which licence you are going to apply to your publication before you secure the re-use rights for third party materials. You should try to secure permission for them to be released under the same CC licence as the rest of your book. UKRI will permit a more restrictive licence for third-party materials if this proves impossible.

On publication

Gold: Deposit your output in Worktribe as soon as possible after publication. Please ensure that you have linked your funding to the output by selecting the appropriate linked project.

Green: Deposit your output in Worktribe and upload your accepted manuscript and include details of the embargo period.

Further Information

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

Guidance on depositing your outputs in Worktribe and submitting amendments to IRep is available from the Research Operations SharePoint Site.

For further advice and support please contact the [Library Research Team](#).