UKRI – OA policy briefing

April 25th 2022 – 11:00-12:00

Sarah Humphreys
Open Scholarship Librarian

This session will be recorded

Slides and handouts will be distributed after the session
For more information on the decision making process/reasoning see:
1: https://www.ukri.org/publications/ukri-open-access-policy-explanation-of-policy-changes

“The UKRI open access policy will replace the Research Councils’ (RCUK) policy on open access and also apply to certain funding provided by Innovate UK (building on current guidance) and Research England (excl. un-hypothecated block grant funding provided to HE institutions)”

Timeline of events

Autumn 2018 to summer 2021
The UKRI Open Access Policy was determined by the UKRI Open Access Review

August 2021
UKRI announced its new policy

1st April 2022
The policy now applies!
“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.”

What does it apply to?

**Submitted** from 1st April 2022

Short-form publications including:
- Research articles
- Reviews (incl. commissioned/invited reviews)
- Conference papers

Accepted for final publication in either a journal, conference proceeding with an ISSN, or publishing platform*

**Published** on or after 1st January 2024

Long-form publications including:
- Academic monographs
- Book chapters
- Edited collections
- Trade books (where they are the sole output of UKRI funded research)

*"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"
Short Form Publication Requirements

Published under a CC BY (Creative Commons Attribution) licence
Two exceptions on request (Open Government Licence / CC BY-ND)
Go to: https://www.ukri.org/publications/no-derivatives-licence-exception

Include a data accessibility statement signposting where/how a researcher can access the underlying data (templates here: https://openaccess.ox.ac.uk/templates)

No embargo period is permitted for ‘green route OA’ where the accepted manuscript is deposited into a repository by the author

UKRI have indicated they won’t support OA publication costs in hybrid journals unless subject to a Transformative Arrangement (please use green OA)
Routes to compliance

1. Publish in a fully open access journal/platform that makes the article immediately open access (the ‘gold route’).

2. Publish in a journal covered by a Transitional Agreement (also sometimes known as a Read & Publish deal).

Publish in a subscription journal and make the Author Accepted Manuscript (AAM) openly available on publication with no embargo (the ‘green route’).

The University recommends that all UKRI-funded researchers use rights retention at the point of submission to a journal. (more later)
Route 1 – Fully Gold OA / Transformative

Publish in a fully open access journal/platform that makes the article immediately open access. Pay any APC’s using the UKRI Oxford-held block grant (see here for criteria: https://openaccess.ox.ac.uk/oxford-apc-application

Brief how to:

1. Search for an applicable title in your subject area using:
   • Journal checker
   OR
   • Directly searching the Directory of Open Access Journals (DOAJ)
2. Email apc@bodleian.ox.ac.uk to confirm funds are available
3. Submit paper (after April 1st 2022) using @ox.ac.uk email
4. APC payments will be processed by the Oxford APC team (application required on acceptance)
5. Article is made Open Access by the journal on publication with a CC BY licence
6. Deposit into the Oxford University Research Archive (ORA) as standard

This route is also applicable for Journals considered ‘Transformative journals’ you can find a list here: https://v2.sherpa.ac.uk/romeo/tjlists.html
Route 1 – Transitional Agreement

Publish in a journal covered by a Transitional Agreement (also sometimes known as a Read & Publish deal)
Fees are managed by the APC team – no application required!

Brief how to:

1. Search for an applicable title in your subject area using Journal checker
2. It signposts that there is an agreement
3. Email apc@bodleian.ox.ac.uk to confirm applicability for the agreement
4. Submit paper (after April 1st 2022) using your @ox.ac.uk email address
5. All charges are managed by the Oxford APC team
6. Article is made Open Access by the journal on publication with a CC BY licence (select this licence when prompted)
7. Deposit into the Oxford University Research Archive (ORA) as standard

Go here for a list of current deals: http://openaccess.ox.ac.uk/publisher-deals
The Elsevier deal is now live you can check journals here: https://agreements.journals.elsevier.com/jisc
Route 2 – Green OA & Rights Retention

Publish in a subscription journal and make the Author Accepted Manuscript (AAM) openly available on publication with no embargo. Deposit must be done by the author (Recommended ORA for deposit as we have control over this repository)

Brief how to:

1. Search for an applicable title in your subject area using Journal checker
2. It signposts that you can be compliant:
   1. Via a deposit
   2. Using Rights Retention (next slide)
3. Include the Rights Retention text in all submissions
4. Submit paper (after April 1st 2022) using your @ox.ac.uk email address
5. Deposit the accepted manuscript – preferably into the Oxford University Research Archive (Act on Acceptance)

Author Accepted Manuscript:
The version of your research after peer review, when changes have been accepted by the publisher but before article formatting is applied.
Rights Retention

Rights Retention is used by researchers publishing in subscription or hybrid journals where the gold and green routes are not compliant with UKRI policy.

This below text is added during the application process to apply a Creative Commons (CC BY) licence to any resulting AAM to allow for deposit via the green route.

The University advises researchers to include this text on ALL of their UKRI funded submissions to ensure coverage.

‘This research was funded in whole, or in part, by UKRI [Grant number]. For the purpose of Open Access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript version arising from this submission.’

https://openaccess.ox.ac.uk/rights-retention
Deposit research outputs at the earliest opportunity, in **Europe PubMed Central** - preferably the Version of Record (VoR) but accepted manuscript (AAM) if necessary. Green route compliance for UKRI requires deposit available **ON PUBLICATION**. If you have complied using the gold route the journal should deposit on your behalf (but it pays to check!).

Deposit ‘how to’ can be found here: [https://plus.europepmc.org/home](https://plus.europepmc.org/home)

Note: While journals may automatically deposit into EPMC remember to check it is EPMC and not just PubMed Central!
## Long Form Publications Requirements

**Published** on or after 1\(^{st}\) January 2024

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| A CC BY (preferred) licence is applied to the open version – Which can be the AAM or VoR (OGL/and other CC licences permitted) | Academic monographs\*\*  
Book chapters  
Edited collections  
Trade books (sole output) |
| An embargo period of 12 months (or less) is permitted                                                             |                                                                                                      |
| The open access version should include, where possible, any images, illustrations, tables and other supporting content | Not required for:                                                                                   |
| Where an AAM is deposited, it should be clear that this is not the final published version                          | Trade books  
Scholarly editions\*  
Exhibition catalogues  
Scholarly illustrated catalogues  
Textbooks  
All types of fictional works and creative writing |

\*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.
UKRI’s licensing requirements do not apply to any materials included within a long-form output that are provided by third-party copyright holders.

Where the publication is a result from a UKRI training grant, “[UKRI] recognises that publication may occur sometime beyond the lifetime of a training grant” (note: the policy on theses still applies).

“where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI’s policy”

“UKRI’s licensing requirements do not apply to any materials included within a long-form output that are provided by third-party copyright holders”
Diamond/Platinum journal – No APC
*Body, Space and Technology*
ISSN: 1470-9120

Gold journal - £3,000 APC
*eLife*
ISSN: 2050-084X

Transitional Journal
*Eighteenth Century Music*
ISSN: 1478-5706

Hybrid journal with publisher agreement
*Notes and Queries*
ISSN: 0029-3970

https://journalcheckertool.org
“It is a guarantee that is totally unlinked to the inclusion or non-inclusion of RRS type language. The option will be there for UKRI-funded corresponding authors who submitted post April 1st to select the subscription route at acceptance and sign a modified license waiving the standard embargo conditions such that it would allow them to make the AM available at the point of publication, while leaving the VoR behind the paywall. We’re working through how that request for an alternative licence will happen in practice, but in the interim, if any post April 1st submission is accepted for publication in a Nature or Palgrave journal in 2022 and a UKRI corresponding author wishes to make use of the accepted manuscript (AM) archiving route to comply with UKRI requirements, they can contact Springer Nature’s author support team”

See: https://www.springernature.com/gp/open-research/plan-s-compliance
## Any questions?

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