

## **Overview showing comparison of key policy points from the UKRI 2013 and 2022 open access policies**

### **Types of Publication in Scope of the Policy**

#### **2013 Policy**

The policy applies to peer-reviewed research articles (including review articles not commissioned by publishers), which acknowledge Research Council funding, that are submitted for publication from 1st April 2013, and which are published in journals or conference proceedings.

#### **2022 Policy**

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

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.

Monographs, book chapters and edited collections, in-scope from 1/1/2024

### **Changes**

- **Commissioned and invited reviews are now in scope of the policy.**
- **Monographs, book chapters and edited collections, in-scope from 1/1/2024**

### **Publishing Requirements**

#### **Gold Open Access**

##### **2013 Policy**

Publish in a journal that provides immediate and unrestricted access to the final published version of the paper, which should be made available using the CC BY licence, and allows immediate deposit of the final published version in other repositories without restriction on re-use.

##### **2022 Policy**

Publish the research article open access in a journal or publishing platform 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
- 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.

### **Changes**

- **The UKRI block grant for open access can only be used to cover the cost of publishing if the journal is a fully open access title or in a hybrid title where the title is part of a publisher “Transformative Agreement” that meets the criteria defined by Jisc and QMUL is participating in. Journal titles outside of a publisher transformative agreement can still receive support from the block grant if the individual journal meets the criteria for a “Transformative Journal”.**

- The online Journal Checker Tool (<https://journalcheckertool.org/>) is being updated to provide compliance advice for the new UKRI policy on the 1<sup>st</sup> April 2022. This will allow authors to check what compliance options exist for their chosen journal.

## **Green Open Access**

### **2013 Policy**

The journal consents to deposit of the final Accepted Manuscript in any repository, without restriction on non-commercial re-use (CC BY-ND) and within a defined period.

If a journal does not offer Gold open access, UKRI require deposit of the final accepted manuscript in a repository such as QMRO.

If deposited manuscripts are subject to a publisher embargo before they can be made open access, UKRI require that any embargo does not exceed the period acceptable to your funder:

BBSRC, EPSRC, MRC, NERC, STFC = 6 months

AHRC, ESRC = 12 months

If no UKRI funds are available, the UKRI allows the Green route to open access publishing with longer embargo periods:

BBSRC, EPSRC, MRC, NERC, STFC = 12 months

AHRC, ESRC = 24 months

For Green route papers the UKRI preference is still for a CC BY, however, the formal requirement is that the licence places no restriction on non-commercial reuse, including non-commercial text and data-mining. The licence should also allow for the sharing of adaptations of the material. This means a CC BY-NC licence, or equivalent is acceptable. A CC BY-NC-ND licence is not compliant.

### **2022 Policy (referred to as '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.

- 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.
- 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.

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'.

## **Changes**

- **Self-deposited manuscripts can no longer be placed under a publisher embargo, they must be made publically available immediately on publication of the original article and under a CC BY licence, authors can request from UKRI permission to use a CC BY-ND licence instead.**

- **Authors following the self-deposit route are required to include the stated funding statement as part of their article submission to the publisher. Authors are in fact being encouraged to include the UKRI statement for all submitted articles regardless of intended route to publishing.**

## **Deposit Requirements**

### **2013 Policy**

MRC-funded papers must be deposited in Europe PubMed Central within six months of publication.

### **2022 Policy**

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

### **Changes**

- **BBSRC is now directly mentioned but the BBSRC guidelines on deposit of funded publications to Europe PubMed Central does not have a specific timeframe.**

## **Data Access Statement**

### **2013 Policy**

All papers must include details of the funding that supported the research and, if applicable, a statement on how the underlying research materials – such as data, samples or models – can be accessed.

### **2022 Policy**

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.

### **Changes**

- **Greater detail given in how access to data should be made stating in the guidelines: *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.***

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