

UKRI Open Access Policy

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Glossary

Version Control

Policy scope

Implementation dates

1. The UKRI Open Access Policy applies from the following dates:
 - a. In-scope research articles submitted for publication on or after 1 April 2022
 - b. In-scope monographs, book chapters and edited collections published on or after 1 January 2024.¹

Types of publication in scope of the policy

2. The policy applies to the following types of publication, when they are required to acknowledge funding from UKRI or any of its constituent councils.
 - a. 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. Additional information is provided at Annex 1.
 - b. Monographs, book chapters and edited collections, as defined at Annex 1.
3. Preprints are not in-scope of the UKRI Open Access Policy. However, to facilitate open research practices, UKRI encourages the use of preprints across the research disciplines that we support. UKRI also reserves the right to ensure the use of preprints in the context of emergencies. Also see the [MRC policy on preprints](#) and the [BBSRC policy on preprints](#).

Requirements for research articles

4. This section sets out the UKRI Open Access Policy requirements for in-scope research articles, as defined at paragraph 2a.

Compliant open access routes

5. Route 1: Publish the research article open access in a journal or publishing platform² 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 (see 'licensing requirements').
 - 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, as defined at Annex 2.

¹ 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. If a monograph, book chapter or edited collection is published seven or more years after the formal end of a UKRI-funded project, it will no longer be eligible for financial support, and therefore UKRI do not expect the publication to be made open access.

² This includes fully open access journals or platforms and 'hybrid' journals or platforms.

6. 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, as defined at Annex 1.
 - 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 (see 'licensing requirements').
 - 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, as defined at Annex 2.
7. Authors can publish their research article in the journal or platform they consider most appropriate for their research, provided UKRI's open access requirements are met via either open access route.
8. UKRI is providing an Open Access Block Grant to support implementation of this policy (see 'Funding and Policy Implementation').

Research council deposit requirements

9. 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](#).
10. [NERC Open Research Archive](#) (NORA) is the joint repository of outputs produced by researchers at the British Antarctic Survey, British Geological Survey, UK Centre for Ecology and Hydrology and the National Oceanography Centre. For either open access route, researchers based at these institutions should deposit a copy of their publication in NORA.

Licensing requirements

11. UKRI requires the open access version of a research article to be published under a Creative Commons Attribution (CC BY) licence.³
12. There are two exceptions to this requirement:
 - a. An Open Government Licence (OGL) can be used when a research article is subject to Crown Copyright.
 - b. While a CC BY licence is appropriate in most cases, UKRI may permit, on a case-by-case basis, the use of a more restrictive Creative Commons Attribution No-derivatives (CC BY-ND) licence for the open access version of a research article. [Apply for an exception using the No-derivatives licence exception form](#).
13. 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:

³ This means the Version of Record where open access is achieved via a journal or open access publishing platform, or the Author's Accepted Manuscript where open access is achieved via a repository.

'For the purpose of open access, the author(s) 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'

14. UKRI's licensing requirements do not apply to any materials included within a research article that are provided by third-party copyright holders. Research articles published under a CC BY or CC BY-ND licence can include third-party materials (such as images, photographs or maps) that are subject to a more restrictive licence or on an 'All Rights Reserved' basis. UKRI considers this approach compliant with its policy.

Data access statement

15. 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. Further guidance is provided at Annex 1.

Requirements for long-form publications

16. This section sets out the UKRI Open Access Policy requirements for monographs, book chapters and edited collections, as defined at paragraph 2b.

Compliant open access routes

17. For in-scope monographs, book chapters and edited collections:
- a. 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
 - b. the open access version has a Creative Commons Attribution (CC BY) Licence or other licence permitted by UKRI (see 'licensing requirements') and allows the reader to search for and reuse content, subject to proper attribution
 - c. the open access version should include, where possible, any images, illustrations, tables and other supporting content (see 'licensing requirements')
 - d. where an Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.
18. UKRI recognises there may be rare instances where meeting open access requirements for long-form publications may not be possible. Therefore, the following exemptions may apply:
- a. where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy. Guidance on using this exemption is provided at Annex 3.
 - b. where a monograph, book chapter or edited collection is the outcome of a UKRI Training Grant. Where possible, UKRI expects Research Organisations to support researchers to make such outputs open access; however, it recognises that publication may occur sometime beyond the lifetime of a training grant.⁴

⁴ Requirements for the publication of theses in the [UKRI Standard Terms and Conditions of Training Grants](#) still apply.

19. UKRI encourages the adoption of metadata standards and persistent identifiers for long-form research outputs, but they are not currently a requirement of this policy.

Licensing requirements

20. UKRI requires the open access version of long-form outputs to be published under a Creative Commons licence. A Creative Commons Attribution (CC BY) licence is preferred to maximise opportunity for sharing and reuse but other Creative Commons licences are permitted. An Open Government Licence is also permitted when authors are subject to Crown Copyright.
21. 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 or on an 'All Rights Reserved' basis. UKRI considers this approach compliant with its policy.
22. UKRI recognises that there may be some instances where permissions for reuse in an open access book cannot be obtained for all third-party images or other materials. Therefore, an exception to the policy may be applied when:
23. reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication. Guidance on using this exemption is provided at Annex 3..

Monitoring and compliance

24. UKRI will monitor the implementation of this policy to assess compliance of research organisations, and to evaluate the efficiency and effectiveness of the policy and progress towards open access.
25. Further information on monitoring and compliance is available on our website at [Shaping Our Open Access Policy](#) and [UKRI Open Access Policy Frequently Asked Questions](#).

Open access funding

26. UKRI provides an open access block grant to eligible research organisations to support compliance with this policy for research articles. The use of UKRI open access funds is permitted for a wide range of costs, however the use of UKRI funds for publishing in a 'hybrid' journal that is not part of a transitional arrangement that meets the [research sector's requirements as set out by Jisc](#), is not permitted.
27. UKRI's dedicated open access funding for monographs, book chapters and edited collections is available from application from November 2023.
28. Further information is available on our website at [Open Access Funding](#) and [UKRI Open Access Policy Frequently Asked Questions](#).

Further information

29. Supporting information about the UKRI Open Access Policy can be found on UKRI's website:



- a. Additional information and guidance about UKRI's open access requirements is available at [Making Your Research Publications Open Access](#).
 - b. Information about the implementation of the UKRI Open Access Policy, open access funding, and how the policy was developed is available at [Shaping Our Open Access Policy](#).
 - c. [UKRI Open Access Policy Frequently Asked Questions](#)
30. Enquiries regarding the UKRI Open Access Policy should be directed to: openresearch@ukri.org.

Additional information on policy definitions and scope – Annex 1

1. Information provided in this Annex is intended to complement the scope and requirements set out in the UKRI Open Access Policy. Additional information may also be found in the UKRI Open Access Policy [frequently asked questions](#).

Acknowledgement of UKRI funding

2. The UKRI Open Access Policy applies to peer-reviewed research articles, and monographs, book chapters and edited collections that acknowledge funding from UKRI or any of its councils.⁵ As detailed in relevant UKRI funding terms and conditions, UKRI requires publications to acknowledge support received from UKRI; guidance is available at [acknowledging your funding](#).

Long-form publications from training grants

3. Monographs, book chapters and edited collections arising from UKRI training grants are exempt from UKRI's open access requirements where the training grant is the only UKRI funding source acknowledged. Where possible, UKRI expects research organisations to support researchers to make such outputs open access.

Research England

4. Most Research England funding is deployed by universities at their discretion and is not intended to lead to specified outputs. In such cases, outputs cannot be attributed directly to Research England funding and no acknowledgement of Research England funding is expected or necessary. Such outputs are therefore out of scope of the UKRI Open Access policy.
5. Where Research England funding is given for particular purposes, and that funding leads directly to particular research outputs, those outputs are subject to the UKRI Open Access policy and providers are required to include acknowledgement of Research England's funding. This is specified in the terms and conditions of each competitive scheme.

Innovate UK

6. If a business and academic partner agree to publish a peer-reviewed research article, monograph, book chapter or edited collection that needs to acknowledge Innovate UK funding, it must be made open access in accordance with the UKRI Open Access Policy. The policy only applies if, and when, the project partners decide to publish a research publication.

Publications authored by UKRI staff

7. The policy applies to in-scope types of output that are published by UKRI staff, including those based at UKRI's institutes, units and facilities.

⁵ UKRI's nine councils are: Arts and Humanities Research Council (AHRC), Biotechnology and Biological Sciences Research Council (BBSRC), Engineering and Physical Sciences Research Council (EPSRC), Economic and Social Research Council (ESRC), Innovate UK (IUK), Medical Research Council (MRC), Natural Environment Research Council (NERC), Research England (RE), Science and Technology Facilities Council (STFC).

Policy scope and compliance routes – additional definitions

8. Clarifications are provided below to complement the core scope and requirements set out in the UKRI Open Access Policy document. A glossary of terms is also available at the end of this document.

Conference papers and proceedings	<p>UKRI's open access requirements for research articles apply to peer-reviewed conference papers that are accepted for final publication in a journal, conference proceeding with an ISSN number, or a publishing platform.</p> <p>Conference abstracts are out of scope of the policy.</p> <p>If there is ambiguity as to whether a published conference paper will constitute a research article or book chapter, the Author(s) in consultation with their Research Organisation can apply discretion as to which set of requirements to follow.</p>
Review articles	<p>UKRI's open access requirements for research articles apply to peer-reviewed review articles that are accepted for final publication in a journal, conference proceeding with an ISSN number, or a publishing platform, and that need to acknowledge our funding.</p> <p>Examples of review articles include evidence syntheses, systematic reviews, systematic-literature reviews, analyses, meta-analyses and meta-syntheses.</p> <p>The policy does not apply to book reviews or narrative reviews, although open access is encouraged.</p> <p>The policy applies to in-scope reviews that are commissioned or invited.</p>

Academic monograph	<p>Defined as a long-form publication which communicates an original contribution to academic scholarship on one topic or theme and is designed for a primarily academic audience; an academic monograph may be written by one or more authors.</p>
Book chapter	<p>Defined as a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a permanently identifiable set of contributions on a common theme, bearing an International Standard Book Number (ISBN). This includes chapters in academic books arising from conferences.</p>
Edited collection	<p>Defined as a written scholarly output in which individual chapters or contributions have been written by different authors, and whereby the contributions from each author are intellectually distinct. This includes edited book collections arising from conferences.</p>

	<p>An edited book collection may arise from a conference, but it is constructed as a publication in its own right rather than reproducing the proceedings of the conference. See Conference papers and proceedings.</p> <p>Edited collections in scope of the UKRI Open Access Policy are those which are required to acknowledge UKRI funding and where the editor(s) satisfy at least one of the following conditions:</p> <ol style="list-style-type: none"> a) the editor(s) of the collection has sole responsibility for curating the publication b) the editor(s) of the collection has made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation in the publication <p>The complete edited collection must be made available open access, regardless as to whether the authors of chapters comprising a collection were/are supported by UKRI.</p>
Trade book	<p>Defined as an academic monograph or edited collection rooted in original scholarship that has a broad public audience, a trade book is only in scope of the policy where it is the only output from UKRI-funded research.</p> <p>The decision of whether a book should be considered a trade book or an academic monograph, is at the discretion of the author and publisher. Decision-making should be informed by:</p> <ul style="list-style-type: none"> • the intended audience for the publication is the broader public and not primarily an academic audience • marketing activities that seek to reach a broad public readership • sales and pricing models which may include large discounts to retailers • breadth of distribution channels and networks to reach a broad public audience and not primarily via scholarly channels • inclusion of additional scholarly materials such as appendices, citations, and footnotes • inclusion of materials for marketability <p>A book chapter may be exempt from the policy if the edited collection within which it is published is a trade book.</p> <p>There is no requirement to seek UKRI’s approval on the use of this exemption, however authors should seek advice from their library, research office, or equivalent as their organisation may have local policies and guidance on complying with UKRI’s policy.</p>
Out of scope long-form publications	<p>UKRI’s open access policy does not apply to the following long-form outputs:</p> <ul style="list-style-type: none"> • Trade books, as defined above, unless they are the only output from UKRI-funded research. • Scholarly editions. 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

	<p>letters), often with a scholarly introduction and explanatory notes or analysis on the text and/or original author.</p> <ul style="list-style-type: none"> • Exhibition catalogues. • Scholarly illustrated catalogues. • Textbooks. • All types of fictional works and creative writing.
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Version of Record	<p>For research articles: defined as the final peer-reviewed, typeset and edited version of a research output that is published.</p> <p>For long-form outputs: defined as the final reviewed, typeset and edited version of a research output that is published.</p>
Author's accepted manuscript	<p>For research articles: defined as the author's version of a research article that has been peer-reviewed and is accepted for publication, prior to typesetting by the publisher. It may otherwise be known as the 'author manuscript' or 'final author version' or 'post-print'.</p> <p>For long-form outputs: defined as the final author-created version of the manuscript, as agreed with the editor, which has been accepted for publication, prior to typesetting by the publisher.</p>

Publishing platform	<p>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.</p>
Time of final publication	<p>This is the date the final Version of Record is first made publicly available (such as on a publisher's website). This will usually mean that the 'early online' date, rather than the print publication date, should be taken as the date of publication.</p> <p>Authors and their organisations are encouraged to facilitate deposit as soon as possible on acceptance or on first online publication. This can be automated, and some publishers and repositories automate this process using Jisc Publications Router.</p> <p>If necessary, a maximum 1-month delay is permissible for administering deposit of the Author's Accepted Manuscript.</p>

Data access statement

- 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.



10. UKRI does not currently have requirements for the format of data access statements. However, it encourages the use of standard-format machine-readable data availability statements encoded in openly accessible publication metadata to maximise discovery and interoperability.
11. We understand that some journals may not have established practises on data access statements, UKRI grant holders, or their institutions are encouraged to contact us to discuss difficulties in complying with this requirement of the UKRI Open Access Policy.
12. Resources about writing a data access statement are provided on the UKRI [Good Research Resource Hub](#).
13. Underlying research materials are research data, as defined in the Concordat on Open Research Data, and can include code, software, numerical scores, textual records, images, sounds, objects and manuscripts.
14. Publicly funded research data should be made openly available with as few restrictions as possible. Where there are reasons to protect access to the data, for example commercial confidentiality or sensitivities around data derived from potentially identifiable human participants, these should be included in the statement.
15. Further information on access to underlying research materials is available in the Concordat on Open Research Data and UKRI's policies and guidance on research data, which are available at [Making Your Research Data Open](#).
16. Ownership of the data generated from the research that UKRI funds resides with the researchers or their institutions. Researchers and/or their institutions should maintain and manage copyright and intellectual property ownership of data so that underlying research materials remain as open as possible, and as closed as necessary. Researchers and their institutions should apply appropriate licences to clarify ownership and use of data.

Technical requirements for research articles – Annex 2

1. Technical standards and protocols support full and immediate open access by ensuring research outputs are findable, accessible, interoperable and reusable (such as for text and data mining). They can also reduce the burden associated with monitoring compliance and managing research.
2. UKRI requires in-scope research articles to be published or deposited in publication venues and in repositories that enable the standards for research articles to be met as set out below. UKRI recognises that a phased approach to full adoption of the technical requirements is necessary, and our policy monitoring will take this into account. Further information is available at [implementing our open access policy](#).
3. A glossary of terms is also available to clarify the technical requirements.

Technical requirements for journals and publishing platforms

4. To be considered compliant with UKRI's open access requirements, research articles and conference proceedings with an ISSN made available via journals and publishing platforms are required to meet the following technical requirements:
 - a. Persistent Identifiers (PIDs) for articles must be implemented according to international recognised standards, examples of international standards include Digital Object Identifiers (DOI), Uniform Resource Name (URN) or Handle
 - b. article-level metadata must be used according to a defined application profile that supports the UKRI Open Access Policy and is available, if possible, via a Creative Commons public domain dedication (CC0); the metadata standard must adhere to international best practice such as the Crossref schema and OpenAIRE guidelines
 - c. machine-readable information on the open access status and the licence must be embedded in the article metadata in a standard non-proprietary format
 - d. long-term preservation must be supported via a robust preservation programme such as CLOCKSS, Portico or an equivalent
 - e. openly accessible data on citations must be made available according to the standards set out by the Initiative for Open Citations (I4OC)
 - f. self-archiving policies must be registered in the SHERPA RoMEO database
 - g. common unique PIDs for research management information (for example identifiers for funders and/or organisations) are strongly encouraged; ORCID, the researcher identifier must be supported.

Technical requirements for institutional and subject repositories:

5. To be considered compliant with UKRI's open access requirements research articles made available via repositories are required to meet the following technical requirements:
 - a. PIDs for research outputs must be implemented according to international recognised standards, examples of international standards include DOI, URN or Handle
 - b. article-level metadata must be implemented according to a defined application profile that supports the UKRI Open Access Policy and if possible is available via a CC0

public domain dedication; this must include a persistent identifier that resolves to the item landing page displaying metadata and link(s) to the full text of the Author's Accepted Manuscript (where available) and/or the Version of Record. The metadata standard must adhere to international best practice such as the OpenAIRE guidelines.

- c. machine-readable information on the open access status and the licence must be embedded in the metadata in a standard non-proprietary format
- d. common unique PIDs for research management information (for example identifiers for funders and /or organisations) are strongly encouraged; ORCID, the researcher identifier, must be supported.
- e. the repository must be registered in the Directory of Open Access Repositories (OpenDOAR)

Guidance for authors on using policy exemptions for long-form monographs, book chapters and edited collections – Annex 3

1. You should make the decision to rely on an exemption for your publication following advice, as appropriate, with your library, research office, or equivalent that is responsible for your research organisation's implementation of the UKRI open access policy. There is no requirement to seek UKRI's approval on the use of exemptions.
2. While authors will not need to seek approval from UKRI to use one of these exemptions, we ask authors or their research organisations to notify us. This will be via a simple process available from January 2024.
3. Open access is a requirement for monographs, edited collections and book chapters that acknowledge our funding, therefore you should seek to publish open access wherever possible, prior to using an exemption.

Applying an exemption where the only appropriate publisher for the publication, after liaison and consideration is unable to offer open access option (Annex 3A)

4. You should take into account UKRI's open access requirement when identifying potential publishers.
5. You should only consider applying this exemption if both of the following apply:
 - a. your preferred publisher has no open access programme or capability. This includes no self-archiving policy for monographs, book chapters, or edited collections, and self-archiving of either the version of record or the author's accepted manuscript is not possible,
 - b. you have determined there is no appropriate alternative publisher, after considering your publishing options and having consulted with your library, research office, or equivalent that is responsible for your research organisation's implementation of the UKRI open access policy.
6. In rare cases a publisher may be the only appropriate publisher for an output. This may be where a publisher is the only one:
 - a. with the editorial expertise, appropriate peer review and disciplinary expertise in your field;
 - b. with the distribution channels to reach the target academic audience for the output. This consideration should be balanced by the fact that if the digital version of your publication is open access it will be available globally;
 - c. who is the publishing partner, sponsor, or host of a conference and the output is a planned outcome of that conference;
 - d. able to publish your output where it is written in a language other than English, and no appropriate publisher with an open access programme is available.
7. Where there is no alternative, and the above scenarios apply authors should liaise with the publisher to seek an open access option before relying on the exemption.

Contact your publisher before using an exemption

8. Before applying an exemption, you should contact your preferred publisher to discuss if they offer, or could offer by exception, the option to make your publication open access in line with UKRI's requirements. This could include asking the publisher to allow you to deposit the final version of record, or an agreed version of your accepted manuscript in an institutional or subject repository within 12 months of publication.
9. Whether applying this exemption or not, you should make your publisher aware of UKRI's open access requirement at the earliest opportunity. We recommend you do this when you submit your proposal to the publisher, and prior to entering into any contractual agreement.
10. If contributing a book chapter, we recommend you inform the editor of the collection and the publisher at the start of the collaboration discussions and before entering into any contractual agreement for the publication.
11. Your library, research office, or equivalent that is responsible for your research organisation's implementation of the UKRI open access policy may also offer guidance and advice on making your publication open access.

Applying an exemption where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication (Annex 3B)

12. Wherever possible authors should publish open access. This includes where some third-party material is not available in the open access version. There are mechanisms that allow the inclusion of third-party material in open access publications.
13. The exemption must only be used where exclusion of third-party material severely compromises the presentation of the arguments or discussions in your publication.
14. As noted in the UKRI open access policy, third-party material is not required to be included under a Creative Commons, or other open licence. It should be included within your publication subject to the licence or terms under which its use was permitted by the rightsholder, for example on an 'all rights reserved' basis.
15. You need to manage third-party copyright regardless of whether you are publishing open access, however the digital format and open availability can, in some cases, introduce a wider set of considerations.
16. The exemption is available where, after due consideration, the exclusion of third-party material in the body of your publication means that the remaining content would not make sense to the reader. This may be because:
 - a. a large amount of material needs to be redacted and this impacts significantly on the meaning of the publication
 - b. one or a small number of third-party materials that are crucial to the arguments or discussions in your publication need to be redacted
 - c. the author(s) of one book chapter in an edited collection cannot obtain reuse permissions for third-party material, where such permission is required, and exclusion

of that chapter in the open access version impacts significantly on the meaning of the publication whole collection and/or

- d. you cannot obtain rights to include third-party material in the author's accepted manuscript of your publication and this is the only version you can make open access and exclusion of the third-party material in the open access version impacts significantly on the meaning of the publication. Also see our [good practice guidance for managing third party copyright](#) and [Jisc's guide on copyright and creative commons licences](#).

17. You should only use this exemption after due consideration has been given to the below:

- a. You have considered legal mechanisms that can enable inclusion of that third-party material in your publication and have concluded that none are available. These mechanisms include:
 1. obtaining permission from the copyright owner of the material. Your publication may be exempt from UKRI's open access requirement if the rightsholder has granted permission subject to terms that are incompatible with a digital open access version, for example limits on the number of permitted downloads or extra technical protections that the publisher cannot provide. You should consider alternative options outlined in sub-paragraph c before relying on an exemption.
 2. including a proportion of the material that is not a substantial part of the source work. UKRI will provide additional guidance on this later in 2023.
 3. where material has been made available under an open licence, acting within the terms of that open licence; and
 4. relying on a copyright exception, such as quotation, criticism and review, which may require fair dealing. See: [Exceptions to copyright - GOV.UK](#).

Permissions are not needed for materials that are in the public domain where copyright has expired. See further information on [managing third-party materials and copyright](#) and [Jisc's guide on copyright and creative commons licences](#). b. You have completed a risk assessment, as appropriate, that concludes that the third-party materials cannot be included. Whether a risk assessment is needed depends on the third-party materials you include in your publication. You should work with your publisher to understand their approach to risk management and copyright management for the inclusion of third-party material in your publication. You should consult your research office, library or equivalent, during your risk assessment as your organisation may have advice or guidance. This could include liaising with legal departments, as appropriate.⁶

- b. c. You have considered alternative options for publishing your output open access and none of these are suitable because exclusion of the third-party material in the body of

⁶ If you are including third-party material based on the conclusion of a risk assessment, the risk assessment will not affect your liability for infringement action by a rightsholder, should they choose to take action.

your publication impacts significantly on the meaning of the publication as the remaining content would not make sense to the reader. Alternative options include:

1. replacing the third-party material with other suitable material that does not present copyright issues;
2. removing the third-party material altogether from your publication;
3. providing a link to an online copy of the third-party material. Linking may sometimes require permission;
4. tombstoning the third-party material for the open access version and providing a citation for the material, as appropriate. The content can be included in the version for which the rightsholder has granted permission, for example the print version. Where appropriate, you can signpost to the version of your publication for which the rightsholder has granted permission in the open access version.

Glossary

All Rights Reserved	A statement that indicates that the material is protected by copyright and cannot be copied, modified, distributed, or performed.
APC	Article Processing Charge. A publishing fee paid to journals to publish a research output immediately open access.
Author's accepted manuscript	See Annex 1.
CC BY	Creative Commons attribution licence. Further information: Creative Commons — CC BY
CC BY-NC	Creative Commons attribution non-commercial licence. Further information: Creative Commons – CC BY-NC
CC BY-ND	Creative Commons attribution no-derivatives licence. Further information: Creative Commons – CC BY-ND
CC0	Creative Commons 'No rights reserved' licence. Further information: CC0 – Creative Commons
CLOCKSS	Further information: CLOCKSS
OpenDOAR	Directory of Open Access Repositories. Further information: OpenDOAR Jisc
Crossref	Further information: Crossref
DOI	Digital Object Identifier. Further information: Digital Object Identifier System (doi.org)
Handle	Further information: Handle.Net Registry
Hybrid Subscription Journal	A type of subscription journal where some articles are available open access.
I4OC	Initiative for Open Citations. Further information: I4OC: Initiative for Open Citations
ISBN	International Standard Book Number. Further information: The International ISBN Agency
ISSN	International Standard Serial Number. Further information: ISSN
Metadata	Summarises basic information about data (for example, author, date created, date modified, file size).

National research assessment exercises	The UK's system for assessing the excellence of research in UK higher education providers, delivered jointly by the UK HE funding bodies. Further information: About – REF 2021
OA	Open Access.
OA Publishing Platforms	See Annex 1.
OGL	Open Government Licence. Work created by officers or servants of the Crown in the course of their duties is Crown copyright or Crown database right, and cannot usually be assigned away from the Crown. Collaborations between Crown officers or servants and others will also be Crown copyright in respect of the Crown contributions. The default licence which must be used for most Crown copyright and Crown database right information is the Open Government Licence. Further information: Open Government Licence – The National Archives and Re-using public sector information – The National Archives
ORCID	Further information: ORCID
PID	Persistent Identifiers. Further information: Persistent Identifiers Openaire.eu and Persistent Identifiers ORCID and PID Roadmap for Open access
Portico	Further information: Portico
Preprints	A complete scientific manuscript (often one also being submitted to a peer-reviewed journal) that is uploaded by the authors to a preprint repository or service (for example, arXiv , bioRxiv , PeerJ Preprints , PsyArXiv or SocArXiv), typically without formal peer review of that version, such as would be undertaken by a publisher for a scholarly journal.
RCUK	Research Councils UK.
SHERPA RoMEO	A tool that provides a database of journal and publisher policies on copyright and self-archiving. Further information: Sherpa services Jisc and Sherpa Romeo
Time of final publication	See Annex 1
Transitional arrangement	Further information: Transitional agreements Jisc
UK HE funding bodies	UK higher education funding bodies, comprising Research England, the Scottish Funding Council, the Higher Education

	Funding Council for Wales and the Department for the Economy Northern Ireland. (Research England is part of UKRI.)
UKRI	UK Research and Innovation.
URN	Uniform Resource Name. Further information: Uniform Resource Names
Version of Record	See Annex 1.

Version Control

<u>Version Number</u>	<u>Revision Date</u>	<u>Author(s)</u>	<u>Summary of Changes</u>
1.0	August 2021	UKRI Open Research Team	New policy created
1.1	December 2021	UKRI Open Research Team	Version control added Para 6, Annex 1 and glossary updated.
1.2	February 2022	UKRI Open Research Team	Depositing at time of final publication further defined in Annex 1 definitions table. Link to CC BY-ND exception form added at Para 11 Funding information updated at Paras 24-26. Link to additional data access statement guidance added at Annex 1, Para 12. Information on technical requirements approach updated at Annex 2, Para 2. Orcid technical requirements updated at Annex 2, Paras 4g and 5d. Other minor wording amendments.
1.3	March 2022	UKRI Open Research Team	Funding and further information links updated. Innovate UK information added at Annex 1. Review articles definition updated at Annex 1. Data access statement guidance updated at Annex 1. Other minor wording amendments.
1.4	March 2022	UKRI Open Research Team	Monitoring information updated at Para 22. Statement updated at Para 12.
1.5	July 2022	UKRI Open Research Team	Paragraph 7 added to Annex 1 to clarify the policy does apply to outputs authored by UKRI staff. Book reviews noted as out of scope under Annex 1, additional definitions table. Minor updates to further information links and/or text at 2a, 21, 17a, 'monitoring and evaluation',

			'open access funding', Annex 1 (paragraph 15) and, Annex 2 (paragraph 2).
1.5.1	February 2023	UKRI Web Team	Updated PDF accessibility.
<u>1.6</u>	<u>May 2023</u>	<u>UKRI Open Research Team</u>	<p>Paragraphs 9 and 10: Update to Research Council deposit requirements</p> <p>Paragraphs 14 and 21: Clarification on licences for third-party materials</p> <p>Update to trade books section at Annex 1.</p> <p>Guidance on applying exemptions to the policy requirements for longform publications published at Annex 3.</p> <p>Minor updates to further information links and for clarity and style.</p>
<u>1.7</u>	<u>October 2023</u>	<u>UKRI Open Research Team</u>	<p><u>Clarified position for article-level metadata at Annex 2, paragraph 5b</u></p> <p>Annex 3: Link for guidance on third party materials and copyright added</p>
1.8	November 2023	UKRI Open Research Team	<p><u>Paragraph 1: additional footnote added to clarify the seven-year threshold for longform publication funding</u></p> <p>Paragraph 10: link added to the NERC Open Research Archive (NORA)</p> <p>Paragraph 26: Additional information added about UKRI's dedicated open access fund for longform publications</p> <p>Annex 3: Additional information added about the process to inform UKRI where an exemption has been applied</p> <p>Annex 3 paragraphs 16 and 17: Links to UKRI and Jisc guidance on third party materials and copyright</p>