# RCM OPEN ACCESS POLICY

ROYAL
COLLEGE
OF MUSIC
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Contents

## Introduction

The Royal College of Music London is committed to disseminating its research and scholarship as widely as possible to academic and non-academic audiences. RCM authors can make the results of their research freely available to the public (if their publisher allows this) via the RCM Research Online repository: https://researchonline.rcm.ac.uk/.

Open access publication for certain output types was a requirement for REF 2021 and will also be a requirement for REF 2028. A consultation on the REF 2028 open access policy is due to take place in autumn 2023, and it has been stated that until new policies come into force, institutions should continue to follow REF 2021 open access policies (see page 22 of the REF 2028 Initial Decisions and Issues for Further Consultation Report).

Some funders also now require open access publication of research they have funded, and this document covers the REF 2021 (ongoing) open access policy and the requirements for outputs of research funded by UK Research and Innovation (UKRI), for which the new open access policy applies from April 2022 for research articles and from January 2024 for long-form publications.

The new UKRI open access policy is more complex and more stringent than the REF 2021 policy and requires authors to check before they submit that their chosen journal/publisher provides a publishing option which complies with UKRI requirements.

To summarise:

- If your publication is likely to be an output for the next REF, follow the **REF Open Access Policy** which is to deposit your author accepted manuscript within 3 months of acceptance (see pages 2-3).
- If your publication is from a UKRI funded research project, deposit according to the new **UKRI Open Access Policy** (see pages 4-12).

If your research is funded by another organisation(s) you will need to check their requirements for open access publication of your outputs.

# 1. REF Open Access Policy

## 1.1 Output types and timescale

This policy applies to journal articles published in journals with an ISSN or conference contributions in conference proceedings with an ISSN. These output types must be deposited in RCM Research Online as soon after the point of acceptance as possible, **and no later than three months after this date**. For full details of the policy see the [REF 2021: Overview of open access policy and guidance](#).

## 1.2 Version of the output to be deposited

The version to be deposited will normally be the author accepted manuscript. This is the version of the article which has been accepted for publication after the peer review process but has not yet been typeset by the publisher. It is therefore essentially identical in terms of content to the version that will appear in the journal, but without the publisher's layout, formatting, logo, and so on. It may otherwise be known as the 'accepted manuscript,' 'final accepted version', 'final author version' or 'post-print'. **Please note that proofs cannot be used as author accepted manuscripts as they include the journal's typesetting and logo.** Deposit of the author accepted manuscript in an institutional repository is known as 'green open access.'

Where the publisher permits, the published 'version of record' may be deposited instead of the author accepted manuscript as long as it is available for deposit within the required timeframe. This is usually only possible where the article has been published as 'gold open access' (open access on the publisher's website) for which an article processing charge (APC) is usually paid.

## 1.3 Publisher embargoes for green open access

Most (although not all) publishers will require an embargo whereby the author accepted manuscript is not made open access for a period of time. This can be anywhere between 6 and 24 months after the date of publication. The article must nevertheless be deposited in RCM Research Online within 3 months of the date of acceptance. Repository staff will set up the system so that the article will only become open access at the end of the embargo period required by the publisher.

The maximum embargo period allowed for REF compliance is 24 months (for Main Panel D, Arts and Humanities).

## 1.4 Licensing of the author accepted manuscript

An author accepted manuscript made available on an institutional repository under a Creative Commons Attribution Non-Commercial Non-Derivative (CC BY-NC-ND) licence meets the minimum requirement for open access. Accepted manuscripts are usually given CC BY-NC licences on RCM Research Online, with CC BY NC-ND given only where a publisher requires it.

## 1.5 What the REF open access policy does not apply to

The policy does not require open access for the following output types:

- Monographs and other long-form publications
- Non-text outputs (including composers' scores and recordings)
- Working papers or outputs submitted to pre-print systems that are not the version 'as accepted for publication'
- The data which underpins some research
- Confidential reports that are not published because of commercial or other sensitivity

For items in this category such as books and book chapters, a metadata record of the output will be created which includes the main details of the item. This will produce a citation on the repository and where possible a link to the publisher's website will be added to it.

## 1.6 How to deposit

The best way to ensure compliance is to deposit articles in the repository as soon as they are accepted for publication. You can upload the author accepted manuscript to the repository yourself, or send a copy to Kate Liley (katharine.liley@rcm.ac.uk) for uploading.

If you wish to deposit items yourself, please use the repository search function (or 'Browse By Author') to check if a metadata record for the item already exists. If there is already a record on the repository, please send the item to Kate rather than creating a duplicate record.

When uploading your article (or if you send a copy to Kate) you will need to provide the date on which it was accepted for publication. This is defined as the date on which the author is notified that the item has been reviewed, that (if applicable) all necessary changes have been made in response to that review, and that the item is ready for the final process of copy-editing and typesetting.

## 2. <u>UKRI Open Access Policy (for research outputs from funded projects)</u>

UKRI is part of cOAlition S, a group of research funders who have developed [Plan S](#), an initiative for open access publishing. UKRI's new open access policy aligns with Plan S principles and is effective from April 2022 for research articles, and from January 2024 for monographs, book chapters, and edited collections. The full policy document and an FAQs document are available [here](#).

Please note that this policy applies to publications arising from pre-existing and closed awards if they are in-scope research articles submitted for publication on or after 1 April 2022, or in-scope long-form publications published on or after 1 January 2024.

It has been confirmed that research outputs that comply with UKRI's open access policy will be considered to comply with any future REF open access requirements.

## 2.1 Research articles

To summarise, peer reviewed research articles that need to acknowledge funding from UKRI (or any of its councils) and which are **submitted for publication on or after 1 April 2022 must be made open access immediately upon publication**.

This means that authors will need to:

a) Check before they submit that the journal they are intending to publish in provides a publishing option which complies with UKRI requirements.
b) Consider where applicable how publication of their article will be funded.
c) Include a data access statement on all research articles which indicates where the data supporting the research can be found and under what conditions it can be accessed.
d) Include a Rights Retention Strategy statement (see below) for articles being made open access via Route 2 ('green' open access). This is also recommended for Route 1 'gold' open access articles.

Research articles submitted before 1 April 2022 need to comply with the previous [Research Councils Open Access Policy](#) which requires either immediate open access of the published version on the publisher's website with a CC BY licence (gold open access) or deposit of the author accepted manuscript in a repository with a maximum embargo period of 6 months for STEM subjects and 12 months for arts, humanities and social sciences (green open access). The accepted manuscript should be made available without restrictions on non-commercial use: Ideally this should be with a CC BY licence, but a CC BY NC licence would be sufficient to meet the requirements of the policy. For more details see the policy and FAQ documents available [here,](#) particularly pages 7-8 of the document titled '*Research councils' policy on open access and supporting guidance.*'

### 2.1.1 Definition of research article

The UKRI definition of 'research article' includes review articles (such as evidence syntheses, systematic reviews, systematic-literature reviews, analyses, meta-analyses and meta-syntheses; including commissioned

and invited reviews that acknowledge UKRI funding) as well as conference papers accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or on a publishing platform. Book reviews and narrative reviews are not in scope of the UKRI open access requirements, although open access is encouraged for these.

### 2.1.2 UKRI's councils

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

### 2.1.3 Routes to open access

Immediate open access can be achieved via the following two routes:

Route 1 (gold open access): publish the article in a journal or on a publishing platform which makes the published version freely available to the public immediately via its website, with a CC BY licence or other licence permitted by UKRI. This route may incur an article processing charge (APC).

OR

Route 2 (green open access): publish the article in a subscription journal (where the article is behind a paywall/subscription barrier) and deposit the author accepted manuscript in an institutional or subject repository. The author accepted manuscript must be made open access immediately, with no embargo, at the time of final publication, which is taken to be the date the final published version is made publicly available (this will usually be the early online date rather than the print publication date if there is one). The author accepted manuscript must have a CC BY licence or other licence permitted by UKRI. This route will not incur an APC.

Note: some funders may also require deposit in a specific subject repository such as Europe PMC – please check your funder requirements.

Route 2 articles must also include a rights retention statement (see section 2.1.9) and all articles (whether Route 1 or Route 2) must include a data access statement (see section 2.1.8).

### 2.1.4 Author accepted manuscript

The author accepted manuscript is the version of the article which has been accepted for publication after the peer review process but has not yet been typeset by the publisher. It is therefore essentially identical in terms of content to the version that will appear in the journal, but without the publisher's layout, formatting, logo, and so on. It may otherwise be known as the 'accepted manuscript,' 'final accepted version', 'final author version' or 'post-print'. **Please note that proofs cannot be used as author accepted manuscripts as they include the journal's typesetting and logo.**

### 2.1.5 Creative Commons licences

Type of CC licence: A Creative Commons Attribution (CC BY) licence is the standard expectation for the open access version of a research article, whether it is to be made open access via Route 1 or Route 2. However UKRI may permit, on application, the use of a more restrictive Creative Commons Attribution No-derivatives (CC BY-ND) licence. Information on how to apply and the application form are available here, and more information on Creative Commons licences can be found here. An open government licence may also be used where authors need to comply with Crown Copyright.

Third-party copyright: UKRI's licensing requirements do not apply to any third-party copyright materials included within a research article such as images and photographs. Research articles published under a CC BY or CC BY-ND licence can therefore include third-party materials that are subject to a more restrictive licence.

### 2.1.6 Choosing a journal

Whether publishing open access via Route 1 or Route 2, authors must check before submission that the journal will provide a publishing option which complies with UKRI requirements. Where the aim is to achieve open access via Route 1, authors will also need to ascertain how any APC will be paid, as UKRI block grant funding cannot be used to pay APCs for some types of journals.

In addition, some publishers do not currently provide a compliant green open access route with no embargo on the author accepted manuscript. The Rights Retention Strategy (see sections 2.1.9 and 2.1.10 below) has been devised with the aim of allowing immediate open access without publisher-imposed embargoes, but some publishers have opposed this and at the time of writing (December 2023) it remains unclear how this situation will develop.

Journal Checker Tool

The Journal Checker Tool (JCT) allows authors to check if the journal in which they wish to publish is compliant with UKRI open access policies. To use this you will need to put the journal ISSN or title into the 'JOURNAL' field, UKRI (or the name of the research council) into the 'MY FUNDER' field, and Royal College of Music into the 'MY INSTITUTION' field. If the journal is listed its name should come up and you will need to click on this to confirm the selection – you will also need to do this for the funder and institution fields.

The JCT will tell you that you can submit if the journal is/does any of the following:

- Is a fully open access journal - it will say '*go ahead and submit*'
- Is a hybrid journal (a subscription journal in which some of the articles are open access). It will say '*you can submit*' but the article would need to be published open access and you would not be able to use UKRI block grant funding to pay the APC (see section 2.1.7 below)

- Allows self-archiving of the author accepted manuscript with no embargo – it will say '*Upon acceptance, you can deposit your Author Accepted Manuscript in a repository without embargo and with a CC BY licence*'
- Is a 'transformative journal' which is a hybrid journal which has committed to transitioning into a fully open access journal. It will say '*go ahead and submit*' and remind you to select the open access publishing option.

The JCT will also tell you whether or not UKRI funds can be used to pay any APCs associated with publishing via Route 1 in the journal selected (for more on this see section 2.1.7 below).

A negative response from the JCT will say '*Check with an alternative journal.*' A negative response, or a response stating the journal is hybrid, may also include a statement on '*Compliance through self-archiving*' and this refers to the Rights Retention Strategy – please see more details on this in section 2.1.9 below.

If you get a negative response it is worth checking the journal/publisher website as some publishers may be willing to make special arrangements in order to comply with funder requirements ([Intellect](#) is one example of this). If the journal is not listed in the JCT check the journal's website or contact the publisher. The JCT is a recently developed tool which will continue to be improved/updated.

## 2.1.7 Funding for article processing charges

The RCM holds limited funding to pay authors' APCs. Where URKI block grant funding for research articles is used for this purpose, UKRI stipulate that it can only be used to pay APCs for publication in journals that are either fully open access or are Jisc-approved 'transformative journals.' For more information see the Journal Checker Tool and also the [list of Jisc-approved transformative journals on the SHERPA Romeo website](#). UKRI block grant funding cannot be used to pay APCs for standard hybrid journals which charge both subscription fees for pay-walled content and APCs.

IMPORTANT NOTE: cOAlition S has stated that it will [no longer support 'transformative' arrangements after 2024](#) and with regards to transformative journals UKRI will align with this timetable. This means that open access costs for publishing in transformative journals cannot be charged to the UKRI open access block grant after 31 December 2024 (see page 11, point H6, of the [UKRI Open Access Policy FAQs,](#) PDF version).

In addition, UKRI block grant funding cannot be used to pay other non-open access charges associated with publication, such as page and colour charges, (see pages 12-13, point H11, of the [UKRI Open Access Policy FAQs,](#) PDF version).

## 2.1.8 Publisher-institution agreements covering APCs

The RCM also does not have any open access agreements/deals with publishers. However if your co-authors are employed at larger institutions they may have access to institutional publisher agreements which cover APCs. CPS researchers are also affiliated to Imperial College and may be able to access Imperial agreements.

### 2.1.9 Journals which do not charge an APC

Some journals do not charge an APC and this is sometimes known as 'diamond' open access. When considering publishing UKRI-funded work in one of these journals, you must make certain that they offer the option to publish the article with a CC BY licence. An example in the musicology field is [Anuario Musical](#), and others can be found on the website of musicologist Matthew Franke, who maintains a [list of open access music journals](#) which includes information about APCs and licencing.

### 2.1.10 Data access statement

All articles must include a data access statement, even where there are no data associated with the article or the data are inaccessible. This informs readers where the underlying research materials associated with the article are available, and how they can be accessed. The statement can include links to the dataset where appropriate.

UKRI does not have any specific requirements for the format/wording of the data access statement at present, and this will depend on the type of data involved. Some possible examples (depending on circumstances) are:

> *The data supporting the findings reported in this paper are openly available from [insert repository name] at [insert DOI].*

> *Due to ethical concerns, supporting data cannot be made openly available. Further information about the data and conditions for access are available from [insert repository name] at [insert DOI].*

For more information see pages 10 and 11 of the [UKRI Open Access Policy,](#) PDF version. Taylor & Francis publishers also offer some [guidance](#) on writing data access statements.

### 2.1.11 Route 2 (green open access) and the Rights Retention Strategy

The Rights Retention Strategy (RRS) aims to allow authors to retain sufficient rights in the author accepted manuscript to be able to make it open access immediately in an institutional repository without a publisher-imposed embargo.

If intending to achieve open access via Route 2, authors are required by UKRI to notify a publisher at the point of submission that a CC BY licence (or other licence permitted by UKRI) is applied to any resulting author accepted manuscript. The following text (the rights retention statement) must be included in the funding acknowledgement section of the manuscript and in any covering letter/note accompanying the submission:

> *For the purpose of open access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript version arising.*

Where permitted by UKRI, '*CC BY public copyright licence*' may be substituted with '*CC BY-ND public copyright licence*' (or '*Open Government Licence*' where applicable).

It is recommended that the rights retention statement is added to UKRI funded submissions even where the intention is to publish the article gold open access (Route 1). If for some reason you are ultimately unable to publish via the gold route you will have retained the right to make the author accepted manuscript open access without embargo and can therefore still comply with UKRI requirements.

## 2.1.12 Publisher responses to the Rights Retention Strategy

Many publishers have expressed opposition to the RRS, indicating that they do not allow green open access without embargoes. Some, such as Wiley and Springer Nature, require authors to sign agreements to abide by embargo periods, stating that such agreements supersede rights retention statements. At the time of writing (December 2023) it remains somewhat unclear how publishers will respond if authors ignore their embargoes and make their author accepted manuscripts open access immediately. cOAlition S advises authors that if a publisher demands the removal of an author accepted manuscript from an institutional repository they are to contact their funder for further instructions, adding:

> *The basic principle of the cOAlition S Rights Retention strategy is that a prior CC BY licence cannot be defeated by a later publishing contract. You should be able to retain your work OA in the repository if the publisher was notified at submission.*

Authors should also contact their funder if a journal rejects their article due to the presence of a rights retention statement, or asks the author to sign a publishing contract which conflicts with funder requirements, e.g. by mandating an embargo.

Some publishers may be attempting to circumvent immediate green open access by re-routing articles to fully open access journals which require an APC, or by modifying submissions systems so authors are required to agree to pay an APC at the point of submission. In these cases authors are advised to request a fee waiver from the journal or consider publishing elsewhere.

More resources and news about publisher reactions to the RRS are available on the cOAlition S website and blog.

## 2.2 Long-form outputs: monographs, book chapters and edited collections

The new UKRI open access policy applies to academic monographs, book chapters, and edited collections published on or after 1 January 2024, unless a contract has been signed between the publisher and author(s) before this date which prevents compliance with the policy. In summary, it requires long-form outputs to be made open access within 12 months of publication and with a Creative Commons licence.

UKRI have stated that the first nine months of the policy (from January to the end of September 2024) will be a 'bedding in' period and they will not be monitoring for compliance during this period, although they will be looking at how the policy and processes are working.

Further information about UKRI's policy for long-form outputs is available on pages 4-6 of their [Open Access Policy](#) (PDF version), and on their [website](#).

If you are considering publishing a long-form output based on UKRI-funded research please contact the Research Office ([research@rcm.ac.uk](mailto:research@rcm.ac.uk)) at the earliest opportunity to discuss open access compliance and funding for publication fees (see section 2.2.4 below).

### 2.2.1 Definitions and out-of-scope output types

More detail on how URKI defines academic monographs, book chapters and edited collections is available in the [UKRI Open Access Policy](#).

Scholarly editions, exhibition catalogues, scholarly illustrated catalogues, textbooks, fictional works and creative writing are not in scope of the UKRI open access policy. A trade book, defined as '*an academic monograph rooted in original scholarship that has a broad public audience*' (see p.9 of the [UKRI Open Access Policy,](#) PDF version) is only in scope of the policy if it is the only output from research funded by UKRI. Whether a monograph is considered to be a trade book or an academic book is at the discretion of the author and publisher.

A scholarly edition is '*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*' (see pp.9-10 of the [UKRI Open Access Policy,](#) PDF version).

For further information on outputs that the UKRI Open Access Policy does not apply to see section 2.4 below.

### 2.2.2 Open access requirements

For long-form outputs which are in scope, the open access requirements are as follows:

Open access within 12 months of publication: Within 12 months of the date of publication either the final published version ('version of record') or the author accepted manuscript must be made open access (i.e.

free to view and download) via a publishers' website, an online publication platform, or an institutional or subject repository.

Creative Commons licence: The open access version must have a Creative Commons licence. CC BY is preferred but any Creative Commons licence is allowed, and the Open Government Licence is also permitted when authors are subject to Crown Copyright.

Illustrations/tables/images: Where possible the open access version should include any illustrations, tables, images and other supporting content.

Licencing of third-party material: UKRI licencing requirements do not apply to third-party materials, for example images. These can therefore be included in the output under more restrictive licences (including 'all rights reserved') as permitted by the copyright holders.

Author accepted manuscript: Author and publisher have discretion to determine what constitutes the AAM, and where an AAM is used as the open access version, it should be made clear that this is not the final published version of the work.

For further details see the [URKI Open Access Policy](#), and the UKRI webpage [Making your monograph, book chapter or edited collection open access](#).

There is no requirement to make monographs, book chapters and edited collections published before 1 January 2024 open access, and as stated above, this also applies if the publishing contract has been signed before 1 January 2024 and does not allow open access in compliance with UKRI's policy.

### 2.2.3 Choosing and liaising with publishers

Authors should inform potential publishers that their work is in scope of the UKRI open access policy and check whether they offer a compliant publishing option.

Publishers may offer open access for the final published version ('version of record'), and this may incur a fee, usually called a book processing charge (BPC). Alternatively they may not offer open access of the final published version but may allow the author accepted manuscript (a version of your accepted manuscript agreed between you and the publisher) to be deposited in an institutional or subject repository.

Jisc intend to create a tool which will allow authors to see which publishers offer compliant routes for UKRI-funded authors, and details of this will be added to this document when available.

### 2.2.4 Funding for book processing charges

#### 2.2.4.1 UKRI open access fund for long-form publications

UKRI is providing dedicated funding for these charges in the form of a centrally-held fund, which research organisations will apply to on behalf of authors.

This fund can only be used to make the final published version open access immediately. It cannot be used for delayed open access of the version of record or self-archiving of the AAM, although both these routes are still compliant with UKRI policy if the output is made open access within 12 months of publication.

The following limits apply to what UKRI will pay towards each output:

- £10,000 (including VAT) for a monograph or edited collection
- £1,000 (including VAT) for a book chapter
- £6,000 contribution towards a non-BPC open access scheme where one eligible UKRI monograph/edited collection is published under the scheme, or £9,000 if two or more eligible publications are published under the scheme.

Funding will only be provided if a long-form output is published within seven years of the formal end of a UKRI-funded project. If the output is published later than this it will not be eligible for UKRI open access funding and is therefore not expected to be made open access. However UKRI have stated that there will be flexibility to accommodate extenuating circumstances.

From 31 October 2023, it is no longer possible to include publication costs for long-form publications in-scope of the open access policy in research funding applications. An exception to this is anticipated costs for obtaining permissions for third-party content (e.g. images) and these should continue to be included in research funding applications. Additional funding for these costs may be available from the open access fund: up to £2,000 within the maximum amounts of funding given above can be applied for to cover costs associated with clearing rights for third-party materials to be included in the open access version of the output. However, where possible these costs should be accounted for in grant applications.

Institutions are required to pay publisher fees upfront, and UKRI will reimburse these costs after publication. Please contact the Research Office (research@rcm.ac.uk) as soon as possible if you are considering publishing a long-form output as the publication fees will need to be paid from internal funds initially.

### 2.2.4.2. The funding application process

Applications to the UKRI open access fund must be made by research organisations and not by authors.

The application process has two stages: the first involves registering the output and receiving confirmation from UKRI that it is eligible for funding; the second involves confirmation of publication which will enable the release of funds to reimburse the research organisation for publication costs paid.

UKRI recommend that authors consult with their intended publisher before asking their research organisation to make a Stage 1 application, both to confirm that they offer a compliant publication route and to ascertain the publication costs. However, a publishing contract does not need to be signed before a Stage 1 application is made.

When you have consulted with your publisher, please contact the Research Office (research@rcm.ac.uk) who will make the Stage 1 application. You will need to provide the following:

- The type of publication: monograph, book chapter or edited collection.
- Your UKRI funding reference: in most cases this will be a grant reference which is typically written in the format XX/X000000/1.
- The end date of this funding. If it has not yet ended please give the current planned end date of the award.
- The author(s) of the output and their ORCID IDs.
- The title of the output (this can be a working title).
- If the output is a book chapter, the names of the editors of the collection where it will be published and the title (or working title) of the collection.
- Name of the publisher.
- The estimated open access costs to be claimed from UKRI in £ Sterling and inclusive of VAT. Where possible this should be based on a quote/cost information from your intended publisher.
- Anticipated date of publication. This only needs to be an estimate and will not create a deadline or due date for the publication.
- The grant-holding organisation for the UKRI grant that the publication acknowledges. In most cases this will be the RCM but may be your previous institution if you have recently joined us.

UKRI will aim to respond to the application within 10 working days.

Stage 2 applications are projected to open in mid-January 2024 and this document will be updated with further details about the Stage 2 process then.

### 2.2.5 Guidance on using third-party copyright materials in UKRI-funded publications

UKRI have published a guide to managing third-party materials in open access publications, and Jisc have also developed a guide on copyright and creative commons licences.

### 2.2.6 Policy exemptions

Open access is a requirement for monographs, edited collections and book chapters that acknowledge UKRI funding, and authors should seek to publish open access wherever possible. However UKRI is aware that there may be rare instances where it is not possible for authors to meet the open access requirements for these output types.

Exemptions may apply where:

- the only appropriate publisher is not able to offer an open access option that complies with UKRI policy
- reuse permissions for third-party materials cannot be obtained and there is no suitable alternative to enable open access publication

- the author has signed a contract with a publisher before 1 January 2024 which doesn't enable open access in compliance with UKRI's policy
- the long-form output is the outcome of a UKRI training grant (open access is encouraged but not required). Please note however that open access requirements for theses still apply as outlined in the Training Grant terms and conditions.

Detailed guidance on when and how to use an exemption is provided in Annex 3 (pp.14-17) of the PDF version of the UKRI Open Access Policy.

There is no requirement to seek permission from UKRI for an exemption. However, UKRI intend to introduce a notification process so that authors/organisations can inform them when and why an exemption is being used. This will be available from January 2024 and will help UKRI understand how the policy is being implemented and ensure that exemptions are not counted as non-compliant outputs.

## 2.3 Research data

UKRI grant holders must follow UKRI research data policies, and each research council has its own set of data policies and guidance (see UKRI's Making your research data open webpage).

Research data is expected to be made as open as possible, although there may be reasons to restrict access, including security, confidentiality and commercial sensitivity.

Further guidance on managing research data is available in UKRI's Guidance on best practice in the management of research data.

## 2.4 Further outputs that the UKRI Open Access Policy does not apply to

The following output types are not in scope of the UKRI open access policy:

- Outputs from UKRI funding that doesn't require acknowledgement such as most Research England funding (see Annex 1 of the UKRI Open Access Policy).
- Outputs where award terms and conditions state the policy does not apply.
- Preprints and other types of research publications not defined in the policy.
- Outputs where an exemption is detailed in the funding terms and conditions or the open access policy.
- Research not funded by UKRI, including where the researcher has used UKRI-funded infrastructure and equipment.

## 2.5 Further information

[UKRI open access policy and frequently asked questions](#)

[UKRI open access policy information pack for research organisations](#)

[UKRI website guidance on making research articles open access](#)

[UKRI website guidance on making long-form publications open access](#)

[UKRI website guidance on making research data open access](#)

[UKRI guidance on best practice in the management of research data](#)

[UKRI's 'Shaping our open access policy' webpage](#)

[cOAlition S website](#)