

# Open Access Publishing Policy

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The Institute for Fiscal Studies is Britain's leading independent microeconomic research institute. Our aim is to promote effective economic and social policies by analysing their impact on individuals, families, businesses and the government's finances. Successful communication to a wide range of audiences is of central importance to the impact of our research. We fully support Open Access as a means of enabling policy makers, the media, charities, academics and the wider public to stay informed about the economic significance of public policy. This document outlines our commitment to providing unrestricted access to our research wherever possible.

## 1 Self-Published Work

We are committed to providing free access to all material published by the IFS through our website. Around 80% of our research is published by us and made available freely online. Access to printed copies of our online reports may incur a charge to cover printing costs.

## 2 Academic Journals

Where publications are required to acknowledge funding from UKRI or any of its constituent councils, the following requirements under UKRI Open Access policy must be complied with, with effect from 1 April 2022. UKRI's Open Access policy states that all research council funded research published in academic journals must be made freely available to the public using Open Access schemes. The UKRI has supplied some funding to research institutions, including the IFS, to enable the implementation of this policy.

Authors must ensure that either:

1. The final version of the article (Version of Record) is published in a journal where all articles are Open Access or where articles can be made Open Access, as soon as published, on payment of a fee. In this case, IFS will cover any costs. The article should have a Creative Commons Attribution (CC-BY) licence, or other licence permitted by UKRI (see 'licensing requirements' below).
2. The Author's Accepted Manuscript (or Version of Record) is made available on the IFS website as a working paper, or made available free of charge, as soon as published in the journal, in a publicly accessible institutional repository (for example at a university where a co-author is based).

### 2.1 Fiscal Studies

The IFS' academic journal, *Fiscal Studies*, published by *Wiley*, promotes Open Access. *Fiscal Studies* will continue to make articles of topical interest, special issues and virtual issues free of charge wherever possible; some of these may not be written by IFS authors.

## 3 Monographs, book chapters and edited collections

Where possible, and in all cases where UKRI funding has been used, monographs, book chapters and edited collections must comply with UKRI requirements for Open Access, which are similar to those for journal articles. See Annex C for full details.

There is a new requirement from UKRI that monographs, book chapters and edited collections published from 1 January 2024 be made open access within 12 months of publication.

## 4 Notes for authors

1. 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.
2. 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.
3. UKRI provides an Open Access Block Grant to support implementation of this policy.
4. **Data access statement:** 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 (see Annex A).

In the event that a shortfall in funding prevents us from making all academic articles freely available, Centre Directors will select which articles are suitable for immediate unrestricted release. Selection will be made based on the significance of the research and time sensitivity, specifically whether or not immediate free availability will significantly improve the impact of the research. The quality of the journal in which the article is to be published will not be a criterion for selection.

Where research is not funded by UKRI or any of its constituent councils, IFS researchers will, where possible, negotiate funding for immediate open access with their funding body to ensure the widespread and timely dissemination of research in Academic Journals.

## 5 Annex A: UKRI requirement for Data access statement

This informs 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. 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.

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.

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. Further information on access to underlying research materials is available in the Concordat on Open Research Data.

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.

UKRI encourages the use of standard-format machine-readable data availability statements encoded in openly accessible publication metadata to maximise discovery and interoperability.

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.

## 6 Annex B: UKRI licensing requirements

UKRI requires the open access version of a research article to be published under a Creative Commons Attribution (CC BY) licence.

There are two exceptions to this requirement:

- An Open Government Licence (OGL) can be used when a research article is subject to Crown Copyright.
- 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. Further guidance will be provided in due course, as outlined on our website at [Shaping Our Open Access Policy](#).

Where the article is not Open Access in the journal, but available as a working paper or on the author's website, 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 CC BY public copyright licence (where permitted by UKRI, 'Open Government Licence' or 'CC BY-ND public copyright licence' may be stated instead) to any Author Accepted Manuscript version arising'

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),

## 7 Annex C: Monographs, book chapters and edited volumes

For in-scope monographs, book chapters and edited collections:

- 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
- 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
- the open access version should include, where possible, any images, illustrations, tables and other supporting content (see 'licensing requirements')
- where an Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.

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:

where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy. Further guidance will be provided in due course, as outlined on our website at [Shaping Our Open Access Policy](#).

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.

### 7.1 Licensing requirements

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.

UKRI's licensing requirements do not apply to any materials included within a long-form output that are provided by third-party copyright holders. Academic books published under a CC BY, or other creative commons licence may include third-party materials (such as images, photographs, diagrams or maps) which are subject to a more restrictive licence. UKRI considers this approach compliant with its policy.

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:

- reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication. Further guidance will be provided in due course, as outlined on our website at [Shaping Our Open Access Policy](#).
- photographs or maps) that are subject to a more restrictive licence. UKRI considers this approach compliant with its policy.

## 8 Policy review

### 8.1 Summary of reviews

Date	Reviewed by	Issues found	Action taken	Notes
18/10/2022	EH	N/A	N/A	Reviewed policy but no changes needed.
5/7/2023	EH	UKRI has updated their requirements for monographs, book chapters etc	N/A	Added to section 3

### 8.2 Log of changes made

Date	Changes made	Changes made by	Major or minor change?	Approved by (major changes only)
5/7/2023	Added UKRI monograph requirement in section 3, which applies from January 2024.	EH	Minor	N/A