

UKRI Open Access Policy from 1 April 2022

The new UK Research and Innovation (UKRI) [Open Access policy](#) comes into effect on 1 April 2022. The policy applies to:

- peer-reviewed research articles submitted for publication from **1 April 2022**
- monographs, book chapters and edited collections published from **1 January 2024** (unless a contract has been signed between the author and the publisher before this date that prevents adherence to the policy).

Outputs funded in whole or in part by the UK Research Councils must meet the UKRI Open Access requirements.

Prior to selecting venues for publication UKRI funded researchers must consider whether the journal/publisher offers Open Access publishing options that comply with the UKRI policy. Please email gro@gold.ac.uk if you need advice on whether a publishing venue is compliant.

On projects with multiple authors, we strongly recommend having a discussion with co-authors prior to selecting venues for publication to identify any funding sources which authors are in receipt of, and which will be acknowledged in the publication. This will help identify whether the UKRI Open Access requirements need to be met and will inform decisions on where to publish the research.

Please note that this is not the announcement of the next Research Excellence Framework (REF) Open Access policy, only the UKRI policy. However, UKRI have made it clear that compliance with their Open Access policy will also ensure compliance for the next REF.

UKRI will be providing up to £46.7 million per year to UK universities to support the implementation of the policy. This substantial increase to the UKRI block grant recognises the costs involved to meet the new policy requirements, as well as the inclusion of monographs in the policy (£3.5 million has been ring-fenced to support monograph publishing).

The details of the policy are still to be fully announced in some areas and this resource will be updated when UKRI provide further guidance. Any questions about the policy should be directed to gro@gold.ac.uk

The main points from the updated open access policy are summarised below.

Peer reviewed research articles

Peer reviewed research articles submitted for publication on or after **1 April 2022** which acknowledge funding from UKRI will need to be made Open Access from the date of publication. The policy applies to all peer reviewed research articles and conference papers published in proceedings with an International Standards Serial Number (ISSN).

There are two routes to compliance:

- **Route 1 (Gold Open Access):** Making the Version of Record (published version) free and unrestricted to view and download on the publisher's website from the date of publication
- **Route 2 (Green Open Access):** Making the Author's Accepted Manuscript (AAM) free and unrestricted to view and download on a repository from the date of publication

All articles must be made Open Access by the date of publication with no embargo period, and be published with a [CC BY licence](#) unless UKRI has agreed, as an exception, to allow publication under [CC BY-ND](#).

UKRI have contacted publishers notifying them of the change to the policy and expect that the significant majority of venues that publish UKRI-funded articles will be able to offer suitable Open Access options to UKRI-funded authors by April 2022.

If authors are using route 1 (Gold Open Access) to achieve compliance, there are several options for publication:

- Publishing an article Open Access via a Read and Publish agreement. Information about the Read and Publish agreements available to authors at Goldsmiths is available [here](#).
- Making use of the block grant we receive from UKRI to pay an Article Processing Charge (APC). UKRI funds for paying APCs can only be used if the journal meets the JISC requirements for [transformative journals or transitional agreements](#) (authors should email gro@gold.ac.uk at the submission stage for confirmation that a journal requiring an APC payment is compliant with the policy).
- Publishing in a fully Open Access journal. These are journals with no subscription element and are listed on the [Directory Open Access Journals](#).

For articles complying with the policy under route 2 (Green Open Access), 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'

The statement will allow authors to post their AAM in a repository such as Goldsmiths Research Online (GRO) with a CC BY licence and no embargo regardless of the standard policy of the publisher.

Most journals require an embargo on the Author's Accepted Manuscript (AAM), and do not allow it to be made Open Access under a CC BY licence. It is therefore essential that authors using this route are clear with their journal at the point of submission what UKRI requires of them in terms of Open Access and that they check that their publication agreement is compatible with UKRI requirements. If asked to sign a Copyright Transfer Agreement / Publication Agreement read through its terms and conditions to check this is compatible with UKRI Open Access requirements. If the terms of the agreement would not enable you to

make your accepted manuscript available immediately at the point of publication under a [CC BY licence](#) then it is incompatible with UKRI requirements - please seek to amend the agreement in this case. If you are unsure about an agreement which a publisher is asking you to sign, please contact us at gro@gold.ac.uk for guidance.

A Data Access Statement needs to be included in research articles covered by the policy, even where there is no associated data or where the data is inaccessible. The statement is intended to inform 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.

Monographs, book chapters and edited collections

There is a new requirement for monographs, book chapters and edited collections published from **1 January 2024** (unless a contract has been signed between the author and the publisher before this date that prevents adherence to the policy) which acknowledge funding from UKRI to be made open access.

Further guidance on complying with the book publishing policy will be provided from UKRI in 2022 and this resource will be updated in line with policy announcements.

The policy does not apply to trade books, scholarly editions, exhibition catalogues, scholarly illustrated catalogues, textbooks, and all types of fictional works and creative writing. However, a trade book is considered to be in scope of the policy where it is the only output from a UKRI-funded research project.

There are two routes to compliance:

- Making the Version of Record free to view and download on the publisher's website within 12 months of publication
- Making the Author's Accepted Manuscript (AAM) free to view and download on a repository within 12 months of publication. The policy allows the author and publisher to agree the appropriate version to self-archive on a repository.

The Open Access versions of monographs, book chapters and edited collections must be published under a Creative Commons licence. UKRI has expressed a clear preference for a [CC BY licence](#), but other Creative Commons licences including [CC BY-ND](#) and [CC BY-NC](#) are permitted.

In 2022 UKRI will publish guidance on a number of exceptions set out in their monographs policy. The key exceptions awaiting further guidance are:

- Exceptions around the use of third-party materials where permissions for reuse in an open access book cannot be obtained.

- Exemptions where the only appropriate publisher is unable to offer an open access option that complies with the policy.

UKRI has committed to providing a dedicated fund of £3.5 million per year to support the long-form publications Open Access policy. The process for allocating the funds and the definition of eligible costs is being developed. The funding will be held at UKRI in a central pot, and it is anticipated that the funding will be available via an application process.

If I am funded by UKRI, what should I do?

Our previous messaging around Open Access compliance for REF2021 emphasised the importance of authors acting upon acceptance, but the new UKRI policy will require authors to consider whether a publishing platform offers compliant Open Access options prior to selecting venues for publication.

Given the complexity of the policy we are advising that authors email gro@gold.ac.uk at the submission stage for confirmation that their chosen publishing venue is compliant, and we will offer advice to authors on the next steps they need to undertake.

JISC in collaboration with UKRI is currently developing an online tool that will enable researchers to identify whether a journal offers an Open Access option that complies with the policy. Once this resource is released the process of identifying eligible journals should be a lot easier for authors.

If you want advice on whether the journal or publisher you wish to submit your research to is compliant, please email gro@gold.ac.uk.

Help and Support

If you would like any more information about the policy or have any questions about how this affects your work, please email gro@gold.ac.uk.

ORC Team 27/8/2021

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