

## New UKRI Open Access Policy: Key Information

UKRI announced their [new Open Access policy](#) in August 2021. The policy covers journal articles and long-form outputs, with different start dates. The policy covers:

- The Research Councils (AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC)
- Innovate UK
- Research England funding given for a particular purpose

### Journal articles

Peer-reviewed research articles acknowledging UKRI funding which are **submitted for publication from 1 April 2022** must be immediately open access (no publisher embargo) via a journal, publishing platform or repository, with a CC BY licence (or CC BY-ND as an exception).

This is a change from the current/previous policy, which allows a publisher embargo of 6-24 months before the Author Accepted Manuscript (AAM/AM) is made openly available from a repository.

[Journal article publishing routes for the new policy, for articles submitted from April 2022:](#)

1. Publish in a fully open access journal or platform with a CC BY licence. Our UKRI open access block grant will cover the open access cost (check the [Library website](#) or contact [ePrints@soton.ac.uk](mailto:ePrints@soton.ac.uk) for up-to-date guidance).
2. Publish open access in a subscription ('hybrid') journal through a [Transformative Agreement](#) that the University has with the publisher. UKRI will not fund open access or publishing costs in subscription journals that are not part of a Transformative Agreement.
3. Publish in a subscription ('hybrid') journal without paying a publication fee and add your Author's Accepted Manuscript to Pure with a CC BY licence so that it is immediately open access via ePrints Soton (our institutional repository). Inform the publisher, and include the following statement in the funder acknowledgement section of the paper:

*'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'*

(This equates to the Rights Retention Strategy required by the [Wellcome Trust](#) and Plan S)

### Long-form outputs

Including monographs, book chapters and edited collections acknowledging UKRI funding which are **published after 1 January 2024** must be made open access (preferably under a CC BY licence), with a maximum embargo of 12 months from publication. Long-form outputs were not included in the current/previous policy.

Long-form outputs can be published open access via a publisher (UKRI are substantially increasing funding support for open access to facilitate this), or depositing the Author Accepted Manuscript in Pure with a CC BY licence. Publishers may require an embargo of up to 12 months after publication, during which the repository version is not openly available.

Exceptions will be permitted, for example 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 by UKRI; please email [eprints@soton.ac.uk](mailto:eprints@soton.ac.uk) if you have any questions.

## Data Sharing statement

The new policy requires journal articles to include a [Data Access Statement](#) to inform readers where the underlying research materials associated with a paper are available, and how the research materials can be accessed. It should also link to the dataset where applicable. A data statement is required to indicate where there is no underpinning data.

## REF 2028?

Please note this is not the announcement of the next "future national research assessment exercise" (Research Excellence Framework, REF) open access policy. However, UKRI have made it clear that compliance with their overall open access policy will also ensure compliance for the next REF.

## Useful links

- [New UKRI open access policy](#) (published 06/08/21, start date 01/04/22 for journal articles and 1/01/24 for long-form outputs)
- [UKRI Open Access Policy – explanation of policy changes](#) (published 06/08/21)
- [UKRI announcement of the new policy](#) (06/08/21)
- [University of Southampton no-cost-to-the-author open access agreements](#) ('Transformative Agreements' and Open Access Memberships)

## Glossary

**Authors Accepted Manuscript/Author Manuscript (AAM/AM):** The version of an article accepted for publication by the Editor in Chief or handling Editor, incorporating changes from peer-review but without the final publisher layout. Under the current UKRI policy, the publisher may require an embargo of up to 48 months before this version can be made open access via an institutional repository.

**CC BY:** Creative Commons Attribution licence allows reusers to distribute, remix, adapt, and build upon the material in any medium or format, so long as attribution is given to the creator. The license allows for commercial use.

**Hybrid journal:** Subscription journal that contains some open access content

**Transformative Agreement:** contracts negotiated between institutions (libraries, national and regional consortia) and publishers that transform the business model underlying scholarly journal publishing, moving from one based on toll access (subscription) to one in which publishers are remunerated a fair price for their open access publishing services.

### Version of Record

The Version of Record (VoR) is defined as the final typeset and edited version of the journal article that has been made available by the publisher

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