

# OPEN ACCESS POLICY

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Research Office

## Version control

| Version | Date         | Changes |
|---------|--------------|---------|
| 1       | October 2025 | NA      |

## 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 2029. The REF 2029 open access policy comes into force on 1 January 2026 and has some differences with the REF 2021 open access policy, such as a reduction in allowable embargo lengths for 'green' open access. The REF 2021 policy continues to apply until the REF 2029 policy comes into force.

Some funders also now require open access publication of research they have funded, and this document covers the requirements for outputs of research funded by UK Research and Innovation (UKRI), for which the current open access policy applies from April 2022 for research articles and from January 2024 for books and book-chapters. The UKRI open access policy is more complex and more stringent than the REF policies and requires authors to check before they submit that their chosen journal/publisher provides a publishing option which complies with UKRI requirements.

Doctoral students' research outputs are not submitted to the REF and they therefore do not need to meet REF open access requirements when publishing their research, unless co-authoring with staff whose work is to be submitted. UKRI (LAHP) funded doctoral students are required to meet UKRI open access requirements when publishing journal articles or conference proceedings based on their funded research.

To summarise:

- If your publication is likely to be an output for REF 2029, follow the relevant **REF open access policy** (pages 4-6): if it is likely to be published before 31 December 2025 follow the REF 2021 open access policy and if it is likely to be published on or after 1 January 2026 follow the REF 2029 open access policy. The two policies differ in relation to 'green' open access, and this is explained in section 1.2.2 below.
- If your publication is from a UKRI-funded research project, or you are a UKRI-funded (LAHP) doctoral student, follow the **UKRI open access policy** (see pages 7-14).

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

## Contacts

This is the version of the RCM Open Access Policy to be displayed externally on RCM Research Online and/or the RCM website. External readers should address questions to the RCM Research Office: [research@rcm.ac.uk](mailto:research@rcm.ac.uk).

RCM staff and students should use the internal version of this policy, available on Learn at *Research and Knowledge Exchange/Open Access & Research Online* and at *Programmes/Research Degrees Home*. The internal version includes the names and email addresses of individual staff members who may be contacted about this policy, including the Research Information Officer who is the main point of contact for open access.

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# 1. REF open access policy

## 1.1 Outputs in scope of the policy

The REF open access policy applies to journal articles published in journals with an ISSN and conference contributions in conference proceedings with an ISSN. Articles and conference contributions which do not require peer review are in scope of the policy.

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

- Books and book chapters
- 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

## 1.2 Routes to open access

REF open access requirements can be met either by 'gold' or 'green' open access.

### 1.2.1 Gold open access

Gold open access means publishing 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 licence that permits free sharing and reuse, such as a [Creative Commons](#) licence. This may involve payment of an article processing charge (APC).

The RCM now has a 'read and publish' (sometimes also called 'transitional' or 'transformative') agreement with Cambridge University Press. This gives a full discount on APCs for gold open access publication in many CUP journals if the corresponding author is affiliated to the RCM. Journals covered include *British Journal of Music Education*, *Cambridge Opera Journal*, *Early Music History*, *Eighteenth-Century Music*, *Journal of the Royal Musical Association*, *New Theatre Quarterly*, *Nineteenth-Century Music Review*, *Popular Music*, *Royal Musical Association Research Chronicle*, *Tempo* and *Twentieth-Century Music* among others. Authors publishing articles in CUP journals should follow the instructions [here](#) to make use of this agreement.

Additionally, if your co-authors are employed at larger institutions they may have access to agreements which cover APCs with other publishers. CPS research staff are affiliated to Imperial College and may be able to access Imperial publisher agreements in some circumstances.

Researchers who are considering publishing gold open access in an APC-charging journal which is not published by CUP and is not covered by a co-author's institutional agreement should contact the Research Office (or the Research and Knowledge Exchange Manager and Head of Research) **as soon as possible**. Limited internal resources are available for payment of APCs but requests have to be balanced subject to availability of funds.

Authors who have published gold open access should still make sure that their article is listed on RCM Research Online. Please contact the Research Information Officer to say that the article has been/is to be published gold open access; an entry will then be created for it.

### 1.2.2 Green open access

Green open access means making the author accepted manuscript open access on an institutional repository, such as RCM Research Online: <https://researchonline.rcm.ac.uk/>

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'. An example of an author accepted manuscript can be seen on RCM Research Online [here](#).

Please note that proofs cannot be used as author accepted manuscripts as they include the journal's typesetting and logo.

#### 1.2.2.1 Timescales

For the REF 2021 policy, the author accepted manuscript must be deposited in RCM Research Online **as soon after the date of acceptance as possible, and no later than three months after this**. The date of acceptance means the date on which the journal notifies the author that all necessary changes have been made in response to peer review, and the article is now ready for the final steps of publication.

For the REF 2029 Policy, the author accepted manuscript must be deposited in RCM Research Online **within three months of the date of publication**. The date of publication is the date on which the final 'version of record' is made available by the publisher. If the article is published online this will be the 'early online' date rather than the print publication date.

#### 1.2.2.2 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 REF policies allow authors to respect publisher embargoes up to the following lengths:

- For the REF 2021 policy the maximum embargo length is 24 months for Main Panel D, Arts and Humanities.
- For the REF 2029 policy the maximum embargo length is 12 months for Main Panel D, Arts and Humanities.

Embargoed articles must nevertheless be deposited in RCM Research Online within the timescales described above (within 3 months of the date of acceptance for the 2021 policy, or within 3 months of the date of publication for the 2029 policy). 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.

Authors should check carefully that the journal they are considering allows their author accepted manuscript to be made open access within the REF embargo time limits. However if the most appropriate journal for the article requires a longer embargo it may be possible to use an 'access exception.' Please contact the Research Information Officer if you are considering this option.

#### 1.2.2.3 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. More information on Creative Commons licences is available [here](#).

#### 1.2.2.4 How to deposit green open access items

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 the Research Information Officer 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 the Research Information Officer rather than creating a duplicate record.

When uploading your article (or if you send a copy to the Research Information Officer) 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.

#### 1.2.2.5 Exceptions

The REF policies allow for some exceptions where it is not possible to make an in-scope output open access. These include the journal not allowing open access deposit in a repository, technical factors, and issues related to third-party copyright. If

you think you may have difficulty meeting the open access requirements for an in-scope output which is likely to be a REF 2029 submission, please contact the Research Information Officer as soon as possible.

### 1.3 Out of scope research outputs

For items in this category such as books, book chapters, compositions and recordings 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.

### 1.4 Summary of the differences between the REF 2021 and REF 2029 policies

|                           | REF 2021                                                                        | REF 2029                                                                        |
|---------------------------|---------------------------------------------------------------------------------|---------------------------------------------------------------------------------|
| Applies to:               | Green open access outputs published between 1 January 2021 and 31 December 2025 | Green open access outputs published between 1 January 2026 and 31 December 2028 |
| When to deposit:          | Deposit within three months of acceptance                                       | Deposit within three months of publication                                      |
| Permitted embargo length: | 24 months (main panel D)                                                        | 12 months (main panel D)                                                        |

## 2. UKRI open access policy

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](#).

It has been confirmed that research outputs that comply with UKRI's open access policy will be considered to comply with REF 2029 open access requirements.

### 2.1 Policy scope

#### 2.1.1 UKRI-funded research staff

For RCM staff, the UKRI open access policy applies to peer-reviewed research articles and in-scope long-form publications (books, edited books and book chapters) which need to acknowledge funding from UKRI or any of its councils from the following dates:

- Research articles and conference proceedings published in a volume with an International Standards Serial Number (ISSN): submitted for publication on or after 1 April 2022
- In-scope long-form publications: published on or after 1 January 2024

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). Science and Technology Facilities Council (STFC)

The policy does apply to publications arising from pre-existing and closed awards if they are in-scope and are submitted/published on or after the dates given above.

The policy does not apply to outputs which report research supported by internal funds deriving from recurrent Research England allocations, such as the Participatory Research Fund.

#### 2.1.2 UKRI-funded (LAHP) doctoral students

As stated in the [LAHP student handbook](#) and the [UKRI Training Grant Terms and Conditions](#) (TGC 11.4), doctoral students funded by UKRI via the London Arts and Humanities Partnership (LAHP) are expected to follow UKRI open access policy when publishing from their doctoral projects. This applies both during and after the funded period of their PhD.

For LAHP students the policy applies only to research articles and conference proceedings published in a volume with an ISSN submitted for publication on or after 1 April 2022. It does not apply to long-form publications (books, edited books and book chapters) as these are covered by the training grants exemption. However UKRI must be notified about the use of this exemption, so LAHP students publishing long-form outputs must contact the Research Information Officer who will notify UKRI on their behalf.

### 2.2 Research articles

To summarise, in-scope research articles 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. LAHP-funded doctoral students must discuss publishing options with their supervisory team, with the aim of finding cost-free or low-cost publication venues where possible.

- 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).

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*.'

### 2.2.1 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.

### 2.2.2 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). The journal or platform may be fully open access or 'hybrid.'

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 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 2.2.10) and all articles (whether Route 1 or Route 2) must include a data access statement (see section 2.2.9).

### 2.2.3 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.

### 2.2.4 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.

### 2.2.5 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.

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 section 2.2.10 below) has been devised with the aim of allowing immediate open access without publisher-imposed embargoes, but some publishers have opposed this.

#### 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 with a CC BY licence, and you would not be able to use UKRI block grant funding to pay the APC (see section 2.2.6 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 part of a 'transitional agreement' with the RCM. This currently applies to journals published by Cambridge University Press (see section 2.2.7 below)

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 2.2.6 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 2.2.10 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). Some society journals, including those published abroad, may also be willing to make exceptions if the author explains their funder's requirements. The Research Information Officer can help with contacting journal editors about funder requirements if necessary.

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.

#### Open Policy Finder

Another resource for checking journal open access policies is Jisc's [Open Policy Finder](#). This allows users to search for journal policies as well as information on publishers and funders.

### 2.2.6 Funding for article processing charges

UKRI allocates 'block grants' to some institutions to cover APC payments arising from funded research, but as a small institution the RCM receives these only intermittently and does not currently have one. Some internal funds may be available for payment of APCs and researchers should contact the Research Office as soon as possible if they are considering publishing in a journal which requires an APC. Limited resources mean that requests will be balanced subject to available funds. LAHP-funded doctoral students must discuss publishing options with their supervisory team, with the aim of finding cost-free or low-cost publication venues where possible.

Where UKRI block grant funding for research articles is available and is used for APCs, UKRI stipulate that it can only be used to pay for publication in journals that are fully open access and cannot be used to pay APCs for 'hybrid' journals which charge both subscription fees for pay-walled content and APCs. In addition, UKRI block grant funding cannot be used to pay page and colour charges.

### 2.2.7 Publisher-institution agreements covering APCs

The RCM now has a 'read and publish' (sometimes also called a 'transitional' or 'transformative') agreement with Cambridge University Press. This gives a full discount on APCs for gold open access publication in many CUP journals if the corresponding author is affiliated to the RCM. Journals covered include *British Journal of Music Education*, *Cambridge Opera Journal*, *Early Music History*, *Eighteenth-Century Music*, *Journal of the Royal Musical Association*, *New Theatre Quarterly*, *Nineteenth-Century Music Review*, *Popular Music*, *Royal Musical Association Research Chronicle*, *Tempo* and *Twentieth-Century Music* among others. Authors publishing articles in CUP journals should follow the instructions [here](#) to make use of this agreement.

Additionally, if your co-authors are employed at larger institutions they may have access to institutional agreements which cover APCs with other publishers. CPS research staff are affiliated to Imperial College and may be able to access Imperial publisher agreements in some circumstances.

### 2.2.8 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.

If you need help working out whether a journal is compliant with UKRI open access policy, please contact the Research Information Officer who can check this for you.

### 2.2.9 Data access statements

All articles reporting UKRI-funded research must include a data access statement. This informs readers where the underlying research materials associated with the article are available, and how they can be accessed. Articles must include a data access statement even where there are no data associated with the article or the data are inaccessible. 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 points 9-16 of [Annex 1](#) of the UKRI open access policy. Taylor & Francis publishers also offer some [guidance](#) on writing data access statements.

### 2.2.10 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 Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising.*

Where permitted by UKRI, 'Creative Commons attribution (CC BY) licence' may be substituted with 'Creative Commons attribution no-derivatives (CC BY-ND) licence' (or 'Open Government Licence' where applicable).

### 2.2.11 Publisher responses to the Rights Retention Strategy

Many publishers have expressed [opposition to the RRS](#), and some researchers have had problems when including the rights retention statement in submitted articles. [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. 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](#).

## 2.3 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 was 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.

Further information about UKRI's policy for long-form outputs is available within their [open access policy](#).

If you are considering publishing a long-form output based on UKRI-funded research, please contact the Research Office at the earliest opportunity to discuss open access compliance and funding for publication fees (see section 2.3.4 below).

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

More detail on how UKRI defines academic monographs, book chapters and edited collections is available in [Annex 1](#) of 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 [Annex 1](#) of the UKRI open access policy) 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. Where a decision is made not to make a trade book open access, UKRI must be notified using an [online form](#). Please contact the Research Office if you are considering publishing a trade book based on UKRI-funded research.

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 [Annex 1](#) of the UKRI open access policy).

For further information on outputs that the UKRI Open Access Policy does not apply to see section 2.5 below.

### 2.3.2 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 (AAM): This is the final author-created version which has been accepted for publication, as agreed with the editor, and before typesetting by the publisher. 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 [UKRI 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 open access if the publishing contract was signed before 1 January 2024 and does not allow open access in compliance with UKRI's policy.

### 2.3.3 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 (as defined in section 2.3.2 above) to be deposited in an institutional or subject repository.

Jisc's [Open Policy Finder](#) now includes information on publisher policies for long-form outputs: users should search under 'publisher' and check the 'open access book policies' tab.

### 2.3.4 Funding for book processing charges

#### 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 for participation in an alternative open access model (not exceeding the total cost of participation), plus up to another £3,000 where there are two or more eligible outputs

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 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.

#### The 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 who will make the Stage 1 application. UKRI will aim to respond to the application within 10 working days.

### 2.3.5 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](#).

### 2.3.6 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 occasions 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 cannot 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 does not enable open access in compliance with UKRI's policy
- The only funding being acknowledged is a UKRI training grant, such as a PhD studentship. 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](#) of the UKRI open access policy. There is no requirement to seek permission from UKRI for an exemption, but it is necessary to notify UKRI using an [online form](#). Please contact the Research Office if you are considering using an exemption for a long-form publication, or if you are a LAHP-funded doctoral student considering publishing a long-form output.

## 2.4 Research data

UKRI is currently updating its policy on open access for research data, and intends to publish this in 2026. Until then, UKRI grant holders must continue to follow current research data policies. Each research council has its own set of 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.

Datasets which need to be made open access can be uploaded to RCM Research Online; please contact the Research Information Officer about this.

## 2.5 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.

## 2.6 Monitoring and evaluation

UKRI are currently developing a [monitoring and evaluation framework](#) for their open access policy. This document will be updated as new information on this becomes available.

## 2.7 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](#)