UKRI Open Access Policy: monographs, book chapters, and edited collections

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Background and policy overview
Government commitment to open research

The public has the right to expect that research and innovation supported by the public purse has the maximum possible impact

“Crucially, we must embrace the potential of open research practices. First, we will require that research outputs funded by the UK government are freely available to the taxpayer who funds research. Such open publication will also ensure that UK research is cited and built on all over the world. We will mandate open publication and strongly incentivise open data sharing where appropriate, so that reproducibility is enabled, and knowledge is shared and spread collaboratively.”

UK Research and Development Roadmap - GOV.UK (www.gov.uk)

“…incentivising best practice as part of the wider open research ambition UKRI will be publishing an updated open access policy later this summer, aimed at making the outputs of UKRI-funded research freely and immediately accessible. This is part of wider UKRI work to keep the UK at the forefront on research integrity through open research that is accessible, transparent, cooperative and reproducible which are integral to a healthy research culture and environment.”

R&D People and Culture Strategy (publishing.service.gov.uk)
Open Access to Research Publications

A key priority for UKRI (and for research funders around the world)

Outputs of research widely and freely accessible under conditions that allow maximum reuse. Benefits of OA include:

• increasing opportunity for researchers, practitioners and others to access, use and build on research funded by the public

• improving the reach and potential impact of research findings

• research efficiency, quality, integrity and trust by facilitating collaborative, transparent and reproducible research practices

• ensuring access to publicly funded research which delivers value for money for taxpayers who have funded the research
In 2018, UKRI launched its Open Access (OA) Review

Aims of the review: immediate Open Access – moving from a missed target of 75% to 100%; affordability, value for money; alignment across UKRI, UK and internationally.

The Review process included:
- Extensive engagement with stakeholders via roundtables and workshops
- Evidence-gathering and analysis
- Public consultation
- Independent economic assessment

Further information: Implementing our open access policy – UKRI
The UKRI Open Access Policy

Monographs, book chapters and edited collections published from 1 January 2024 that acknowledge UKRI funding must be available open access within 12 months of publication. Any Creative commons license is permitted.

This can be via the:

- **Version of record**: Publish the output via a publisher’s website or publishing platform open access within 12 months of publication with a creative commons licence

- **Author’s accepted manuscript**: Deposit the author’s accepted manuscript in an institutional or subject repository within 12 months of publication of the version of record with a creative commons licence
Inputs to our implementation approach

- Public Consultation
- Roundtables and Workshops with Stakeholders
- Stakeholder Forum
- Participate in Sector Events
- Working with Sector Bodies, such as JISC
- Direct Feedback and Queries
Guidance and resources
Guidance and resources

Together with colleagues across UKRI and external experts we have developed resources and guidance for authors and their organisations to follow the policy. Some of these have been published on our website:

- Updated policy document and a supplementary FAQ
- Guidance for authors
- Information pack for research organisations to use to engage researchers
- Information on funding and reporting
- Guidance and resources on open research on the Good Research Resource Hub
Guidance for authors

In our information pack for research organisations to use to engage researchers we provide a checklist for authors on how to comply with the policy.

Long-form publications checklist

- Prior to submission of your book proposal, check your preferred publisher offers a compliant route and what open access funding is available to you.
  - If your preferred publisher does not have an open access programme, check for open access options and consider other publishers before considering an exemption.
  - Liaise with your library, research office, or equivalent to submit a Stage 1 application to UKRI’s fund if complying via the version of record to confirm eligibility.
- Inform your publisher, and any collaborators, (such as editor of a collection you are contributing to) about UKRI’s open access requirements.
- Make your version of record or accepted manuscript open access within 12 months of publication and with Creative Commons licence. For any third-party content within copyright, only include the content under the licence or terms under which the rightsholder has released it.
  - If applicable, submit a stage 2 funding application via your research organisation.
- Comply with your research council’s deposit requirements, where applicable.

UK Research and Innovation

Read UKRI’s full open access requirements and guidance
Exemptions for longform publications

A monograph, book chapter or edited collection is exempt from the open access requirements where:

- the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI’s policy
- reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication
- the publication is a trade book
- the output arises from UKRI Training Grants
- a contract was signed before 1 January 2024 that prevents compliance with the policy
Invoking exemptions

- The process for applying exemption is **self-managed** and **trust-based**
- UKRI provides guidance on the permitted exemption and we expect authors to consider this guidance and work with their organisation to make a decision
- Authors and their organisations do not need to seek approval from UKRI when making an decision and exercising discretion
- We are considering a notification process so we can understand how the policy is implemented and working to both understand and improve practice

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<th>Invoking an exemption because...</th>
<th>Authors and their organisations should...</th>
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| ...the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI’s policy | • consider the guidance at Annex 3 of UKRI’s policy document  
                                                    • seek open access options from the publisher before relying on an exemption  
                                                    • apply the exemption as a last resort |
| ...reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication | • consider the guidance at Annex 3 of UKRI’s policy document  
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| ...the publication is a trade book | • consider the guidance at Annex 3 of UKRI’s policy document |
| ...the output arises from UKRI Training Grants | • note that this is a blanket exemption in the policy. Open access is encouraged. |
| ...a contract was signed before 1 January 2024 that prevents compliance with the policy | • note that this is a blanket exemption in the policy. Open access is encouraged. |

Authors should tell their organisation if their publisher is treating their monograph or edited collection as a trade book.
Open access funding
Open access funding

- From Autumn 2023, £3.5 million per annum will be dedicated to supporting open access for long-form outputs via a ring-fenced fund. **This fund is only for longform publications that are in-scope of the open access policy.**

- The fund will be centrally held by UKRI and research organisations will apply to UKRI to access it.

- The fund will support a variety of open access publishing models, such as:
  - book processing charges (BPCs)
  - chapter processing charges (CPCs)
  - diamond models / subscribe to open models (where there isn’t a pay-per-output model)
Applying to the ring-fended fund

UKRI funds institutions therefore the research organisation must make the application to UKRI, via the library or research office, as appropriate per the organisation’s process for managing open access.

Any UK-based research organisation that can apply for research grants from UKRI can apply to the fund.

In extenuating circumstances UKRI may pay a publisher directly via purchase order.

- Extenuating circumstances include where the author has no UK-based RO (retirement/left academia/job-seeking/based internationally) and processing the application via the author’s last UK employer is not feasible.
Applying to the ring-fended fund

RESEARCH ORGANISATION

AUTHORS  PUBLISHERS
A two-stage process

- **Stage 1**: The research organisation registers an output with UKRI for funding. UKRI processes the application and confirms to the research organisation if the output is eligible for funding.
  - An output that is not eligible for funding is either out of scope of the open access policy, or eligible to be supported by the open access block grant.
  - The purpose of Stage 1 is to give the author and the research organisation assurance before a legal contract is signed that the output is eligible to be supported.

- **Stage 2**: The research organisation supplies evidence that the publication is available open access and provides payment information. UKRI processes this information and releases the funds.
  - The purpose of Stage 2 is the receipt of final confirmation of publication to allow the release of funds.

An organisation can collate multiple publications into Stage 1 and Stage 2 applications if they choose to.
## Stage 1 v Stage 2

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<th>Stage 1</th>
<th>Stage 2</th>
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<td>▪ The publication is not ready to be published.</td>
<td>▪ The publication has been written and is published</td>
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<tr>
<td>▪ A contract may not be signed between the author and their publisher</td>
<td>▪ A contract has been signed</td>
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<tr>
<td>▪ UKRI confirms if the output is eligible to be supported via the fund</td>
<td>▪ If a publication has gone through Stage 1, UKRI does not need to check eligibility of funding.</td>
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<td>▪ UKRI does not release funds</td>
<td>▪ UKRI releases funds</td>
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Relationship to UKRI funding

- The policy only applies to publications that are required to acknowledge UKRI funding.

- Successful applications will need to demonstrate a substantial link between the publication and UKRI research funding as well as the between the author and UKRI research funding. So:
  - the author must have worked on a UKRI funded project
  - the publication should discuss the outcomes of UKRI funded research or UKRI funding must have enabled the author to produce the output e.g., paid for the research time
  - if this link does not exist or cannot be evidenced then the output is not in scope of the policy
Application form

For each publication that the organisation is seeking funding for, the organisation needs to supply the below information at the relevant stages.

**Stage 1**
- Name of research organisation
- UKRI funding reference
- Author name(s)
- Title of publication
- Name of publisher
- Estimated cost (if known)
- Statement about relationship of the output to the UKRI funded project or grant, including the authors role in this.

**Stage 2**
- Date of publication (month and year)
- Confirmation of an approved manuscript
- Financial information (open access cost(s), invoices, statements)
- Any changes to the information provided at Stage 1
How to apply?

- The application form will open on the UKRI website from Autumn 2023. Research organisations will be able to make Stage 1 applications at this time.

- We are going to test the application form before it goes live and provide guidance.
Next steps
Next steps

Finalising the details on our fund ahead of autumn 2023 when Stage 1 applications will open for application. Before this we will:

- publish the terms and conditions for the fund, this will clarify any additional rules around the fund
- additional information to support researchers and their organisations apply to the fund, including guidance on when extenuating circumstances apply

To support implementation, we will also

- publish a guide on third party materials to support authors manage copyright
- host another webinar aimed at researchers to share information on the policy

In the longer term, we want to work with the research community to support good practice for open access, such as quality measures like peer-review, and standards to aid discoverability, preservation, and quality assurance of open access publications.
Contact

- For any queries about UKRI’s work on open access and open research please contact the team at openresearch@ukri.org

Thank you
Supporting the UKRI Open Access policy for monographs

UKRI Open Access Policy: longform publications June 2023

Anna Vernon, Head of Research, Jisc licensing
2022-24
Objectives
Achievements
Engagement
Our objectives

• To help research organisations, publishers, and societies prepare for the policy, engaging to identify required guidance and support

• To put in place affordable and sustainable routes to publish in compliance with the policy – supporting bibliodiversity

• To make it easy for authors and their institutions to understand which publishers offer compliant routes and to find OA monographs / chapters

• To put in place mechanisms that support the efficient collecting, monitoring and reporting of data

• To continue to engage with international partners to support the alignment and interoperability of infrastructure and policies
Prioritising equitable, inclusive, fair and affordable agreements

• 13 monograph agreements under collective funding publication models (i.e. no fees to authors or readers) and 7 infrastructure agreements have already been negotiated

• 9 agreements are currently under negotiation, including with major commercial publishers under diamond model

• Current round of Open Access Community Framework is prioritising not for profit community led monograph agreements

• Strong preference for Green compliant routes from Library community due to funding, followed by non-Book Processing Charge models

• Partnering with networks and projects such as COPIM, Open Book Futures and Open Access Books Network

• Collaborating with international partners such as Lyrasis, DIAMAS, PALOMERA and KOALA
Engagement, advice and guidance

• Contributed to UKRI updated guidance and FAQs around monographs
• Contributing to UKRI roundtables, stakeholder forums and monitoring and evaluation
• **Convening and supporting communities**
• Information sharing and sector opinion via blogs, and Jisc website
• **Myth-busting webinars** – (1) Compliance vs. culture (2) Quality and prestige (3) Copyright and third party rights clearance – 750 participants
• Collective funding models for Open Access books webinars - (1) publishers (2) libraries (19 July 2023) (3) tbc (autumn 2023)
• The OAPEN OA Books toolkit is currently being revised by its editorial advisory board. The board has strong representation from publishers, institutions, infrastructure providers including Jisc
• New section on open access books policy landscape across the European Research Area (ERA)
UKRI OA Policy Engagement: Extent, Reach and Satisfaction

Attendees and Readers Reached

5,196 attendees and readers engaged*

Audience by Channel Type

Number of Attendees / Readers* over Time

Data Source: Internal tracking spreadsheet for UKRI Engagement events; Google Analytics; Adestra email campaign reports; Internal reports on event attendance.

* Note that figures displayed show the total of non-unique readers and attendees across Jisc’s engagement activities. The number of unique people engaged may be smaller.

Figures correct as of 3 May 2023.
Key activities 2023-24

- Advice & guidance
- Jisc / OABN webinars
- Advice & guidance
- Sherpa for books released
- Monitoring & reporting

- Sherpa for books project info released
- Metadata infrastructure report
- Data & reporting
- Advice & guidance

June 23

Jisc

negotiations & supporting compliance

convening & supporting communities
Supporting the UKRI OA policy implementation

https://beta.jisc.ac.uk/innovation/projects/implementing-the-new-ukri-open-access-policy

https://www.jisc.ac.uk/open-research/our-role-in-open-access

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