ExplORe: UKRI Open Access Requirements for Long Form Publications
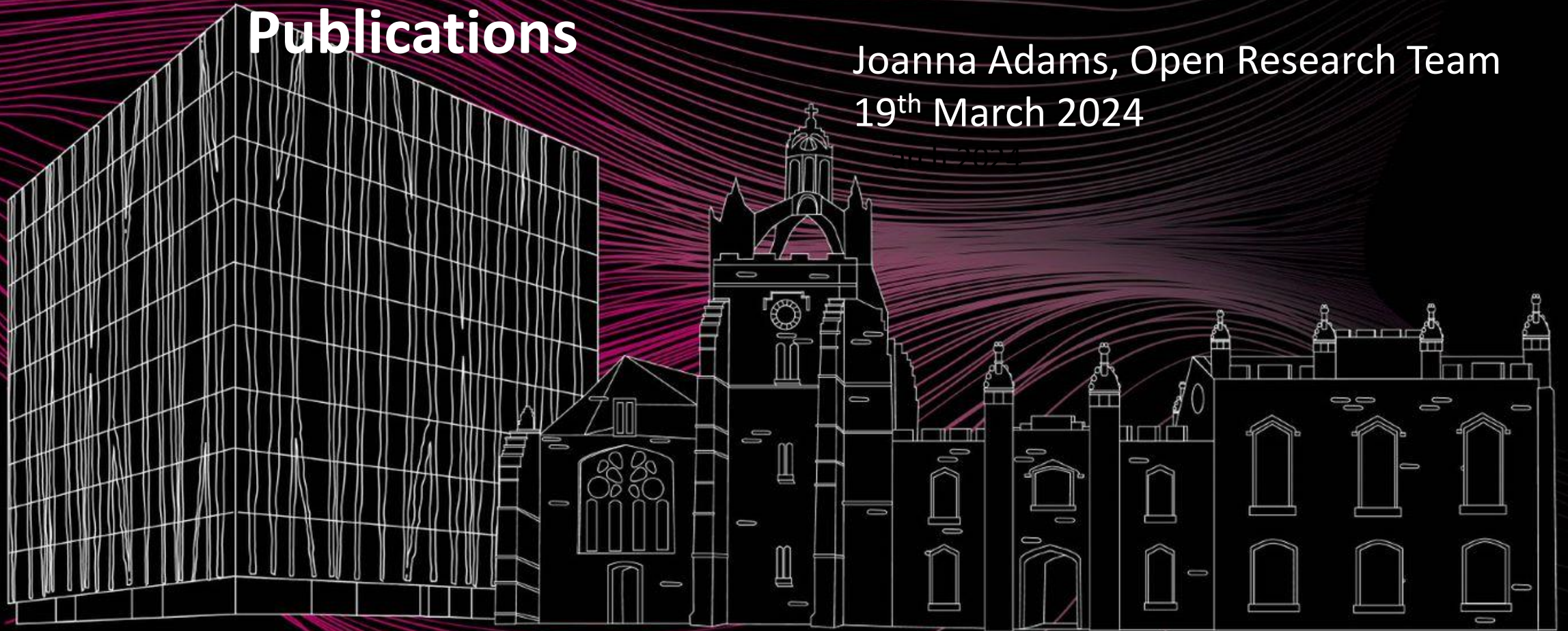
Joanna Adams, Open Research Team
19th March 2024

UNIVERSITY OF ABERDEEN

Contents

- What the Policy Applies to
- UKRI Open Access Policy
  - Journal Articles
  - Long Form Publications
- Open Licences
- 3rd Party Content Copyright
- Does your Publisher Offer Open Access
- Acknowledge Your Funder
- UKRI Fund for Long Form Publications
- Eligible Costs
- How to Apply for Long Form Funding
- Summary

What the Policy Applies to

Peer-reviewed research articles submitted from 1 April 2022.

Includes reviews and conference papers, accepted for publication in a journal, conference proceeding with an International Standards Serial Number (ISSN), or publishing platform.

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.

Open Access Requirements
Journal Articles

- Route 1: publish the article open access in a journal or publishing platform which makes the Version of Record immediately open access via its website with a CC BY or other permitted licence.

- Route 2: publish the article in a subscription journal and deposit your Author's Accepted Manuscript in an institutional or subject repository at the time of publication with a CC BY or other permitted licence. A publisher embargo period is not permitted. Use the Rights Retention Statement to ensure compliance.

Before you submit your article:
- Consult your organisation about open access publishing options and available funding
- Check your publisher offers a compliant open access route

Open Access Requirements Monographs, Edited Collections and Chapters

- 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, with a Creative Commons licence.

- The open access version should include, where possible, any images, illustrations, tables and other supporting content.

- Where an Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.

- See annexe 1 of the UKRI open access policy for definitions of in-scope outputs

Academic Monograph

- Defined as a long-form publication which communicates an original contribution to academic scholarship on one topic or theme and is designed for a primarily academic audience; an academic monograph may be written by one or more authors.

Edited Collections

• Defined as a written scholarly output in which individual chapters or contributions have been written by different authors, and whereby the contributions from each author are intellectually distinct. This includes edited book collections arising from conferences.

• An edited book collection may arise from a conference, but it is constructed as a publication in its own right rather than reproducing the proceedings of the conference. See Conference papers and proceedings. Edited collections in scope of the UKRI Open Access Policy are those which are required to acknowledge UKRI funding and where the editor(s) satisfy at least one of the following conditions: a) the editor(s) of the collection has sole responsibility for curating the publication b) the editor(s) of the collection has made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation in the publication The complete edited collection must be made available open access, regardless as to whether the authors of chapters comprising a collection were/are supported by UKRI.

Book Chapter

- Defined as a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a permanently identifiable set of contributions on a common theme, bearing an International Standard Book Number (ISBN). This includes chapters in academic books arising from conferences.

Out of Scope Long-Form Publications

- UKRI's open access policy does not apply to the following long-form outputs:
    - Trade books unless they are the only output from UKRI-funded research.
    - Scholarly editions. 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.
    - Exhibition catalogues.
    - Scholarly illustrated catalogues.
    - Textbooks.
    - All types of fictional works and creative writing.

Use an Open Licence

- A Creative Commons Attribution (CC BY) licence is preferred for the open access version to maximise opportunities for sharing and reuse.
- Any Creative Commons licence is permitted.
- The Open Government Licence is permitted, if Crown Copyright applies.
- Third party content…

Distribute, remix, adapt
Credit must be given to the creator

Distribute, remix, adapt
Credit must be given to the creator
Non-commercial purposes only

Copy and distribute only
No derivatives
Credit must be given to the creator

Third Party Copyright

- The open access version should include, where possible, any images and other supporting content.
- The licence requirement does not apply to third party materials included in the publication.
- If you are permitted to include third party content it can be included under a different licence or on an 'all rights reserved' basis.
- Read the UKRI Guidance on managing copyright under UKRI open access policy
- There is a policy exemption if you are unable to obtain reuse permissions for third party materials and there is no suitable alternative to enable open access publication.

Policy Exemptions

- 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.

- Where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication.

- The above exemptions should only be used if absolutely necessary.

- Long-form outputs arising from UKRI Training Grants are exempt from the requirements, unless the sole output, recognising publication may occur sometime beyond the lifetime of a training grant.

  - UKRI expects research organisations to support early career researchers to make longform outputs open access, where possible.

  - UKRI's open access requirements for theses still apply, as outlined in Training Grant terms and conditions.

Does Your Publisher Offer Open Access

- Before you submit, ensure your publisher offers a compliant route to open access.
- Discuss your open access requirements with co-authors.
- Consider different publication models.
  - Gold/Green
  - Diamond open access
  - University presses
  - Community initiatives
  - University of Sheffield have a list for some examples of publishers
- Contact the Open Research Team for advice.

Think. Check. Submit

- Think. Check. Submit.
- Predatory publishers will charge for services that they can't or won't provide
- The checklist is a tool that will help you discover what you need to know when assessing whether or not a publisher is suitable for your research.

Acknowledge Your Funder

It is recommended that researchers use a standard format to acknowledge their funders e.g. "This work was supported by the Economic and Social Research Council [grant number ES/xxxx]." or for multiple funders "This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Natural Environment Research Council [grant number NE/zzzz]; and the Economic and Social Research Council [grant number ES/aaaa]."

Don't confuse your grant reference number with internal budget codes

Funding for Long Form Open Access Publications

- UKRI is providing a central fund to support open access for long form publications.
- The Open Research Team apply for funding on your behalf.
- Funding applications are in two stages.
- Stage 1: the research organisation registers the output(s) with UKRI.
  - A publishing contract does not need to be signed for a Stage 1 application.
- Stage 2: research organisation provides confirmation of publication - UKRI releases funds.
- If you requested publication costs for monographs, book chapters and edited collections in your grant application you should use the grant funds in the first instance
- If your output will be published 7 or more years after the end of a UKRI funded project, it will no longer be eligible for support via UKRI's fund. UKRI will be flexible in the event of extenuating circumstances and where equality, diversity, and inclusion issues result in delays to a publication.

Eligible Costs

UKRI funds can be used to support a range of open access models
- includes subscribe to open agreements, also known as 'diamond' or collective models, book processing charges and book chapter processing charges.

UKRI will contribute up to the following maximums:
- £10,000 for book processing charges
- £1,000 for chapter processing charges
- £6,000 for participation in an alternative open access model (not exceeding the total cost of participation), UKRI will fund up to another £3,000 where there are two or more eligible outputs

These amounts are inclusive of VAT, where applicable.

Up to £2,000 within the funding maximum for an output can be applied for to support costs associated with clearing permissions for third-party content to be included in the open access version of the publication. However, these costs should be accounted for in grant applications, where possible.

How to Apply for Long Form Open Access Funds

- Make a stage 1 application.
- Do this as early as possible to ensure that your chosen route meets UKRI requirements and is eligible for funding.
- Contact the Open Research Team who will advise on information required.
- The Open Research Team are required to make the application on your behalf.
- A stage 1 application must have been approved before making a stage 2 application for payment.
- Stage 2: Contact the Open Research Team with proof of publication to arrange payment.
- The Open Research Team process payment and apply to UKRI for reimbursement.

Summary

- Ensure your publisher offers a compliant open access route.
- Get permissions for 3rd party content.
- Apply for an exemption if required.
- Make a stage 1 application via the Open Research Team.
- Stage 2: contact the Open Research Team to
  - Provide proof of publication.
  - Arrange payment.

Contact Us

- [Email the Open Research Team](#)
- [Open Research | Library | The University of Aberdeen (abdn.ac.uk)](#)
- [UKRI Open Access Policy | Library | The University of Aberdeen (abdn.ac.uk)](#)

Any Questions?