

# UKRI - OA policy briefing

Including long form research

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This session will be recorded



Slides and recording will be distributed after the session

**UK  
RI**

**UK Research  
and Innovation**

# Overview – note on training

## Briefing overview

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This policy briefing will be recorded for reference:  
[openaccess.ox.ac.uk/policy-briefings](https://openaccess.ox.ac.uk/policy-briefings)

The information is available on our website:  
[openaccess.web.ox.ac.uk/ukri](https://openaccess.web.ox.ac.uk/ukri)

## Digital taught courses offered

- Fundamentals of open access
- Logistics of open scholarship
- Foundations of Copyright for Researchers
- Your thesis, copyright and ORA

More information and booking links:  
[openaccess.ox.ac.uk/iskills](https://openaccess.ox.ac.uk/iskills)

# Timeline of events

## **UKRI open access review, commenced autumn 2018**

[www.ukri.org/what-we-do/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review](http://www.ukri.org/what-we-do/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review)

## **August 2021**

UKRI announced its new policy

## **1<sup>st</sup> April 2022**

UKRI open access policy for articles starts

## **1<sup>st</sup> January 2024**

The policy for longform publications starts for pre-existing and new grants

# A note on the REF

Researchers should continue to 'Act on Acceptance' in line with REF 2021 requirements



UKRI Open access policy

Does  
Not  
Equal



'Next REF' Open access requirements

"Both UKRI and the UK higher education funding bodies note that the scope of an open access policy for the future national research assessment exercise is much broader than the UKRI Open access Policy. This will be considered when developing the future national research assessment position."

(Found here: [www.ukri.org/wp-content/uploads/2021/08/UKRI-180821-UKRIOpenAccessPolicyExplanationOfChanges-2.pdf](http://www.ukri.org/wp-content/uploads/2021/08/UKRI-180821-UKRIOpenAccessPolicyExplanationOfChanges-2.pdf))

# Short form outputs

# Short form - Applies to

**Submitted** from 1<sup>st</sup> April 2022

Short-form publications accepted for final publication in either a journal, conference proceeding with an ISSN, or publishing platform\*

\*"Publishing platforms for the original publication of research outputs. Platforms that merely serve to aggregate or re-publish content that has already been published elsewhere are not considered as such"

## Covered outputs

- Research articles
- Short reports
- Case studies
- Rapid communications
- All review types (invited and non-invited / including literature reviews)

## Outputs out of scope

- Notes and queries or research notes
- Micro-articles
- Technical notes
- Forum
- Opinion
- Perspective
- Letters
- Protocols
- Editorials
- Methods
- Commentaries
- Book reviews
- Theoretical articles (opinion pieces)

# Short form – Requirements

Published under a CC BY (Creative Commons Attribution) licence.  
Two exceptions **on request** (Open Government Licence / CC BY-ND)

Include a data accessibility statement signposting where/how a researcher can access the underlying data (templates available)

No embargo period is permitted for 'green route OA' where the accepted manuscript is deposited into a repository

UKRI have indicated they won't support OA publication costs in hybrid journals unless subject to a Transformative Agreement (please use green OA)

# Short form – Options

**1.1** Publish in a fully open access journal/platform that makes the article immediately open access (the 'gold route')

**1.2** Publish in a journal covered by a Transformative Agreement (also sometimes known as a Read & Publish deal)

**2** Publish in a subscription journal and make the Author Accepted Manuscript (AAM) openly available on publication with no embargo (the 'green' route). This route may require publisher acceptance of the use of the "Rights Retention Strategy (RRS)" and requires the inclusion of the RRS text.



[journalcheckertool.org](http://journalcheckertool.org)



[doaj.org](http://doaj.org)

[openaccess.ox.ac.uk/oa-payments](http://openaccess.ox.ac.uk/oa-payments)



# Short form – Rights retention

The Rights Retention Strategy is used by researchers publishing in subscription or hybrid journals where the gold and green routes are not compliant with UKRI policy

This below text is added during the application process to apply a Creative Commons (CC BY) licence to any resulting AAM to allow for deposit via the green route

The Bodleian advises researchers to include this text on **ALL** of their UKRI funded submissions to ensure coverage

'This research was funded in whole, or in part, by UKRI [Grant number]. For the purpose of Open access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript version arising from this submission.'

# Short form – EPMC deposit



Deposit research outputs at the earliest opportunity, and certainly **within six months** of publication, in **Europe PubMed Central**. Preferably the Version of Record (VoR) but AAM if necessary

Deposit 'how to' can be found here: [plus.europepmc.org/home](https://plus.europepmc.org/home)

Note: Some journals will automatically deposit into EPMC but remember to check it is EPMC and not just PubMed Central!

# Long form outputs

# Long form section – Applies to



Longform publications published from 1<sup>st</sup> January 2024 that acknowledge UKRI funding must be available open access within 12 months of publication.

This applies to publications that need to acknowledge funding from UKRI or any of its councils.

This includes funding from: the research councils, Research England, Innovate UK



This does not apply to recipients of a UKRI training grant

This does not apply where a contract was signed before 1 January 2024 that prevents compliance with the policy

# Long form – Applies to

## Published from 1<sup>st</sup> Jan 2024

Monographs

Book chapters

Edited collections

Trade books  
(where sole output of research)



## Out of Scope

Scholarly editions

Exhibition catalogues

Scholarly illustrated catalogues

Trade books (Unless sole output)

Textbooks

Fiction and creative writing



# Long form - Requirements

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**

## **Published under a Creative Commons license**

CC BY (Creative Commons Attribution) licence preferred but other CC licenses are permitted. Open Government Licence (OGL) permitted if subject to crown copyright.

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**

# Long form - Exemptions

Where a contract was signed before 1 January 2024 that prevents compliance with the policy

Where a monograph, book chapter or edited collection is the outcome of a UKRI Training Grant. (Open access is encouraged)

The publication is a trade book, unless the trade books is the only output of the UKRI funded research.

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

Where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy.

The work is published 7 years after the project close

# Long form - Options

**'Green' open access:** Open access via a repository - After peer review and edits, the author deposits a copy of the accepted manuscript of the work in an online repository such as the Oxford University Research Archive (ORA).

Many publishers currently have restrictive or limited Green OA policies for longform works. Sherpa for books is coming which will assist in finding publisher policies.

Longform works made available under Green Open access must have their accepted manuscript made open access within a 12-month embargo period to comply with the UKRI OA policy.

**'Gold' open access:** Open access via a publisher - After peer review and edits, the work is published immediately open access in an online format (it may also be printed) and is stored in the publisher's system. The final published version of the work (or 'Version of Record') is permanently and freely available online

Publishers will usually charge the author to make a work Gold Open access, in the form of a 'Book Processing Charge' (BPC)



# Long form options cont. - Diamond

## The Diamond model

The Diamond model is a variant of 'gold' route OA, wherein neither the author or reader is charged a fee.

These are often funded by institutional memberships, or consortia of libraries.

If publishing via diamond model, do confirm that the scheme complies with the UKRI OA policy

## Diamond model schemes supported by Oxford

Bloomsbury Open Collections  
MIT press – Direct to Open  
Open Books Collective  
African Minds  
Mattering Press  
New Historical Perspectives

Note – Many other schemes and publishers exist. The Directory of Open access Books (DOAB) provide a list of reputable open access publishers.

# Long form - The UKRI fund

The UKRI is providing approximately £3.5 million dedicated to supporting open access for long-form outputs via a separate ring-fenced fund. The fund will be centrally held by UKRI, and research organisations will apply to the UKRI to access it.

All longform works that are in scope of the UKRI open access policy will be eligible.

This fund will support book processing charges (BPCs), but also diamond open access models and subscribe to open agreements that are linked to outputs.

Applications to the fund will be via a two stage application process. The Oxford Open access Payments team will make available an online form for researchers to make applications.

# Long form fund – Permissible costs

Type of Cost	Maximum Funding available ( <u>inclusive of VAT</u> where applicable)
Book Processing Charge (BPC)	£10,000
Chapter Processing Charge	£1,000
Diamond / Non BPC OA Models	£6,000
Third party copyright materials (Monographs and edited collections)	Up to £2,000 from above funding limits. (It is recommended to request 3rd party copyright funds from project grant)

# The UKRI fund cont'd

Applications to the fund will be via a 2-stage application process:

## Stage One

Oxford University registers the output(s) with UKRI for funding. A publishing contract does not need to be signed for a stage 1 application.

The UKRI will confirm if a publication is eligible for funding after stage 1.

## Information required

1. UKRI funding reference
2. Author name(s)
3. Title of Publication
4. Name of publisher
5. Estimated cost (if known)
6. Statement about relationship of the output to the UKRI funded project or grant, including the authors role in this

## Stage Two

Oxford University provides final confirmation of publication to allow UKRI to release funds.  
[Funds will be released upon publication.]

## Information required

1. Date of publication
2. Confirmation of open access publication
3. Financial information
4. Any changes to the information provided at stage 1

# Any questions?

Open access team

[openaccess@bodleian.ox.ac.uk](mailto:openaccess@bodleian.ox.ac.uk)

Open scholarship mailing lists

[openaccess.ox.ac.uk/keeping-up-to-date](https://openaccess.ox.ac.uk/keeping-up-to-date)

Open access Payments Team

[oapayments@bodleian.ox.ac.uk](mailto:oapayments@bodleian.ox.ac.uk)

UKRI open access email

[openresearch@ukri.org](mailto:openresearch@ukri.org)

UKRI policy pages

[openaccess.ox.ac.uk/ukri](https://openaccess.ox.ac.uk/ukri)

Sherpa for books

[beta.sherpa.ac.uk/oa-books](https://beta.sherpa.ac.uk/oa-books) (coming soon)