



UK Research  
and Innovation

# UKRI Open Access Policy for longform publications

## Stage 1 walkthrough

23/29 November 2023



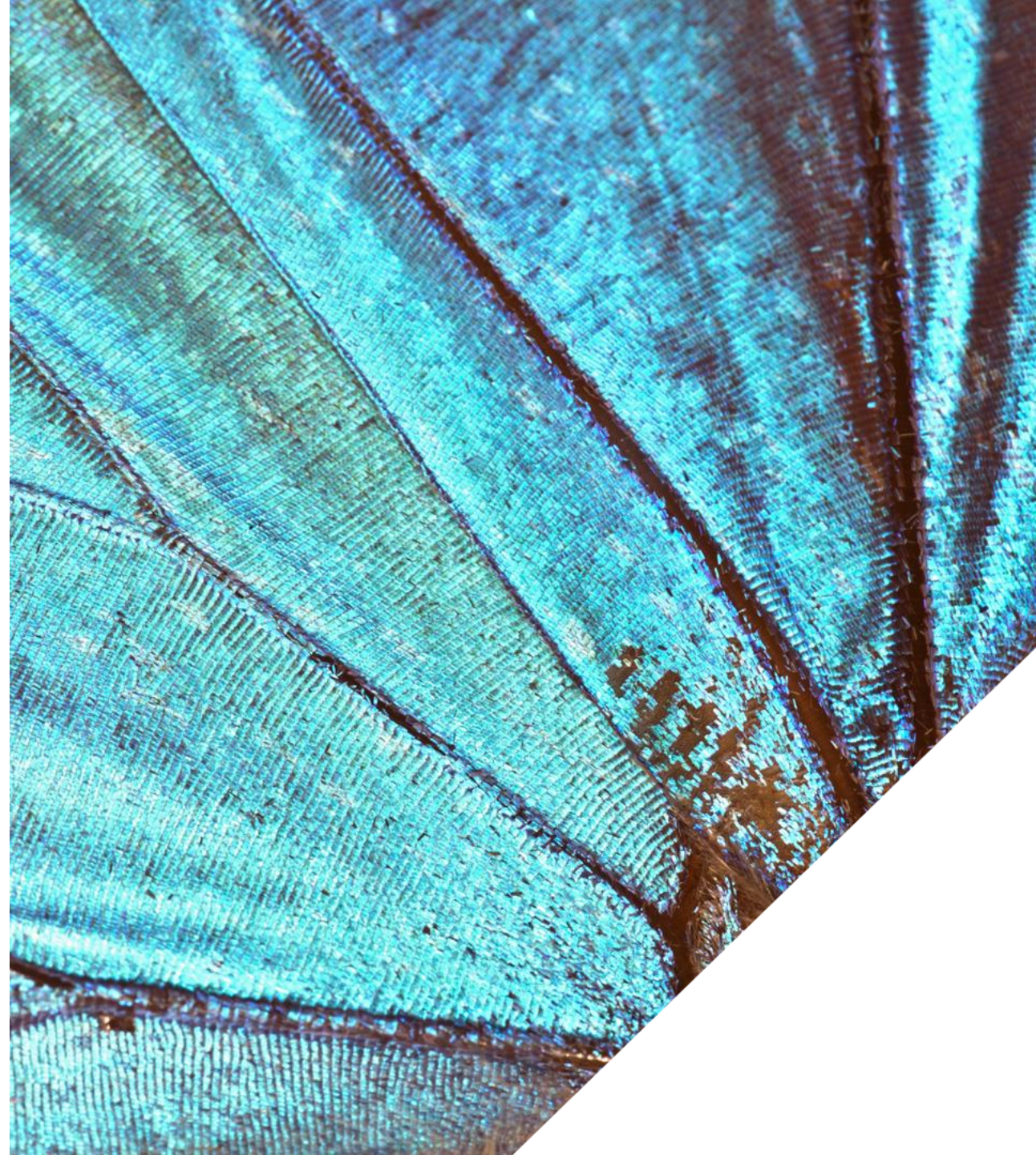
# Agenda

**14:00 – 14:10 Welcome and Introduction**

**14:10 – 14:40 Citizen Space walkthrough and demonstration**

**14:40 – 15:00 Q & A**

**15:00 – 15:10 Next steps and close**



# The UKRI Open Access Policy for longform publications

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

# A phased approach to implementing our policy for longform publications

- The policy applies from 1 January 2024, however since the open access requirement for monographs, book chapters and edited collections is an entirely new one, the first nine months of the policy will be a bedding in period.
- During this phase we will be looking at how the policy, systems and processes are working, but we will not be monitoring for compliance and taking any related actions. The policy and systems to work with UKRI in line with the policy will all be live, for example UKRI's central funding mechanism.
- From January 2024 researchers negotiating publishing contracts should ensure that these support open access publication.

# 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, and recently updated:

- [Updated policy document and a supplementary FAQ](#)
- [Guidance for authors](#) including [Guidance on managing third-party copyright](#)
- [Information pack for research organisations to use to engage researchers](#)
- [Information on funding and how to apply to our dedicated fund](#)
- [Guidance and resources on open research](#) on the [Good Research Resource Hub](#)

# Open access funding

- UKRI is providing a £3.5 million dedicated fund 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. To be eligible for the fund, the version of record must be published open access immediately with a Creative Commons licence.**
- The fund will be centrally held by UKRI. Organisations will apply to UKRI's fund from 28 November 2023, for Stage 1, and from January 2024, for Stage 2.



# Seven-year threshold

During our stakeholder engagement on the implementation of our policy, we heard that publications may arise many years after the end date of a UKRI funded project and over time the link to UKRI funding may not be substantial.

- We have considered when might be a reasonable time-scale for an output to be considered in scope of the fund.
- After consideration, we are introducing a **seven-year** threshold.
- This means that if a monograph, book chapter, or edited collection is published seven or more years after the formal end date of UKRI funding, then it will no longer be eligible for support via UKRI's dedicated fund, and therefore we do not expect the publication to be open access.
- We will be flexible in the event of extenuating circumstances and where equality, diversity, and inclusion issues result in delays to a publication.

# What can UKRI's fund be used for?

The fund will support a variety of open access publishing models that result in **immediate open access with any Creative Commons licence**.

Maximum funding levels will apply as below:

Types of open access costs supported by the fund	Maximum funding available (inclusive of VAT, where applicable)
Book processing charges (BPCs)	£10,000
Chapter processing charges	£1,000
Diamond / non-BPC open access models	£6,000 for the first output  <i>An additional £3,000 may be claimed if two or more UKRI publications from your organisation are being published open access under the collection</i>



# 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.
- Our process is trust-based, so we are not asking authors or their organisations to provide a statement on the link to UKRI funding. We would consider the provision of a UKRI funding reference to be sufficient.

**28 Nov.  
2023**



Stage 1 opens for applications

**Mid-Jan.  
2024**



Stage 2 opens for applications

**Jun. 2024**



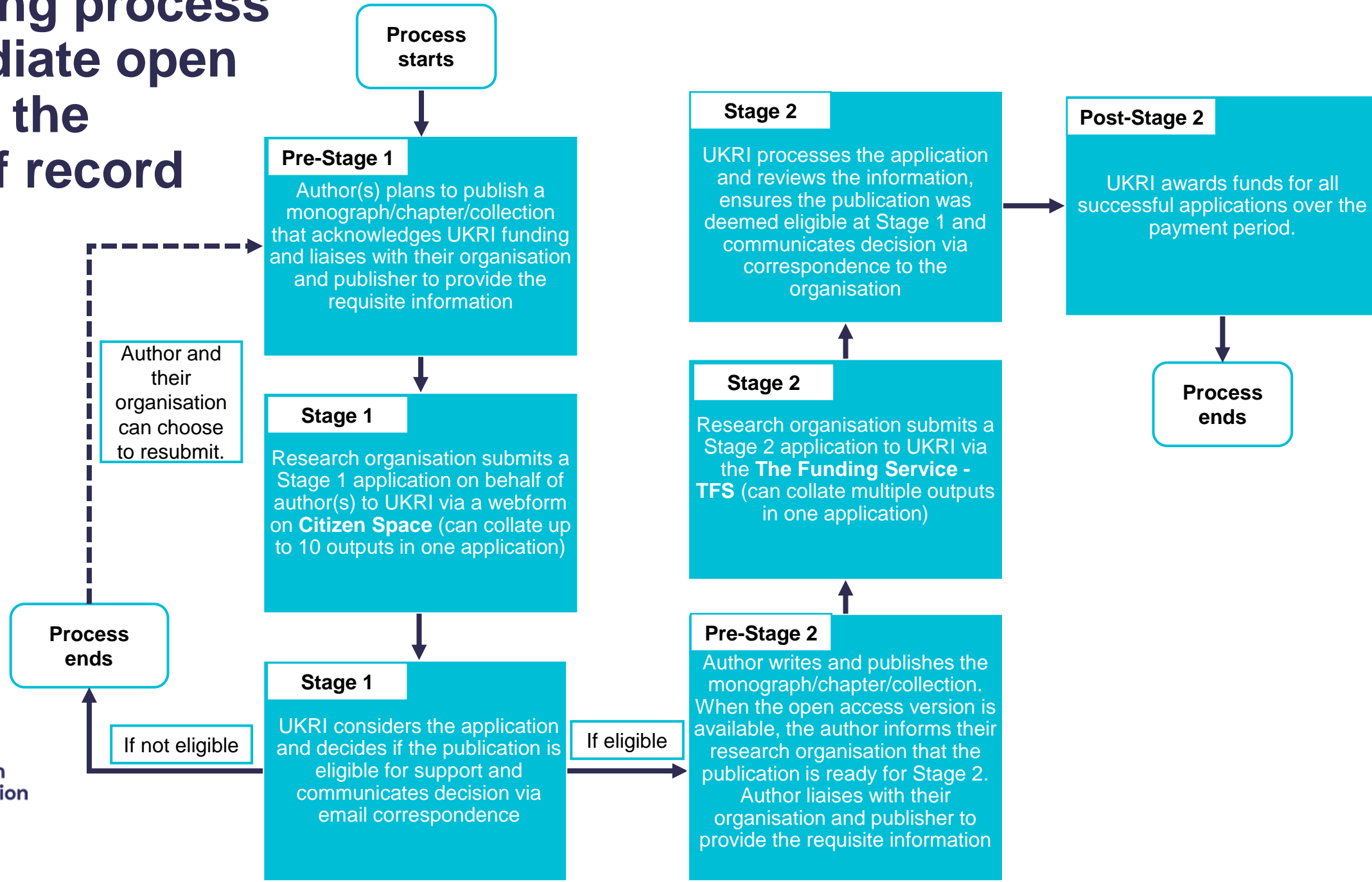
Funds awarded. There will be a period where grants will need to be prepared and made live, we will confirm this detail as soon as we can.

**Dec. 2024**



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# The funding process for immediate open access to the version of record





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# Thank you

For any queries about UKRI's work on open access and open research please contact the team at [openresearch@ukri.org](mailto:openresearch@ukri.org)



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# UKRI Open Access Policy for longform publications

## Stage 2 walkthrough

11/17 January 2024

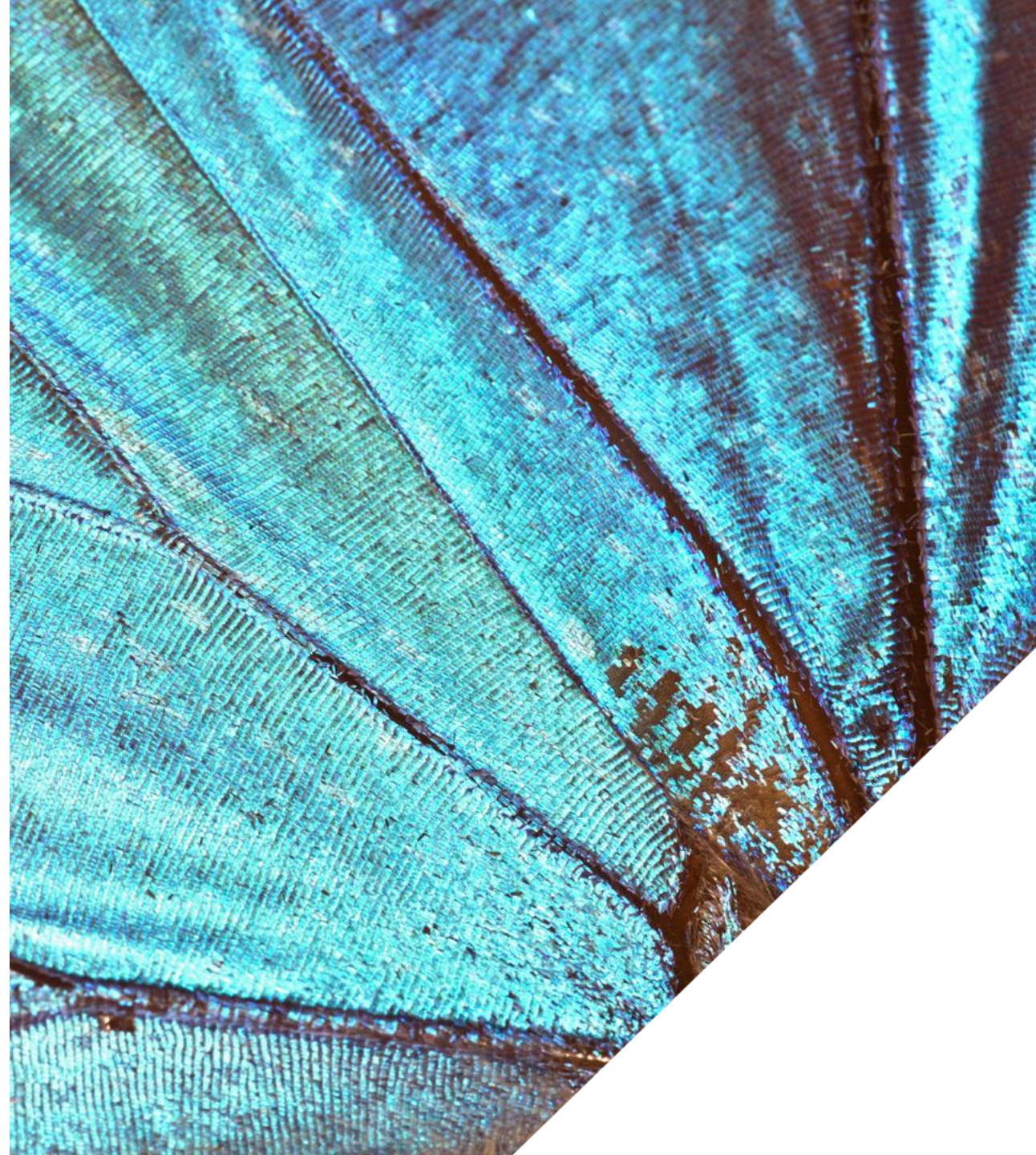


# Agenda

**10:30 – 10:40 Welcome and Introduction**

**10:40 – 11:05 TFS walkthrough and demonstration**

**11:05 – 11:30 Q & A**



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- [A demonstration of our Stage 1 application process and Q&A](#)
- [Guidance for UKRI's open access fund for long-form publications](#), including guidance on diamond and non-BPC models
- [A form and accompanying guidance on notifying UKRI of the use of exemptions to the policy for longform publications](#)



# Notifying UKRI of Exemptions and trade books not published OA

- There is no requirement to seek UKRI's approval on the use of exemptions
- However, we ask authors or their research organisations to notify us when an exemption is applied using an [online form](#) in CitizenSpace
- This form may be completed by authors or their organisations, but only a single submission should be made for each publication
- The form can also be used to inform UKRI when a trade book acknowledging UKRI is not published open access

[Notify UKRI of an exemption applied to a publication that is in-scope of the UKRI Open Access Policy for longform publications and trade books not published open access >](#)

The screenshot shows the top of the UKRI Open Access Policy notification form. The header includes the UKRI logo, the text 'UK Research and Innovation', and a search bar. Below the header is a navigation menu with links for 'Engagement Hub', 'Find and Participate', 'We Asked, You Said, We Did', and 'About'. A large blue and orange banner features the text 'Notification of exemption applied to a longform publication and trade books not published open access'. Below the banner, the 'Overview' section states that the UKRI Open Access policy applies to monographs, book chapters, or edited collections published on or after 1st January 2024. It also mentions that this is an online form for authors or organisations to notify UKRI. On the right side, there is a 'Closes 31 Dec 2030' and 'Opened 12 Jan 2023' section, and a 'Contact' section with the email 'openresearch@ukri.org'.

## Type of notification

4. What are you notifying UKRI about?

[▶ More information](#)

(Required)

- The use of an exemption
- The publication of a trade book

[« First](#)

[Save and come back later...](#)

[Continue »](#)

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# Payment timescales and notional deadlines

UKRI will award funds bi-annually in **June** and **December**.

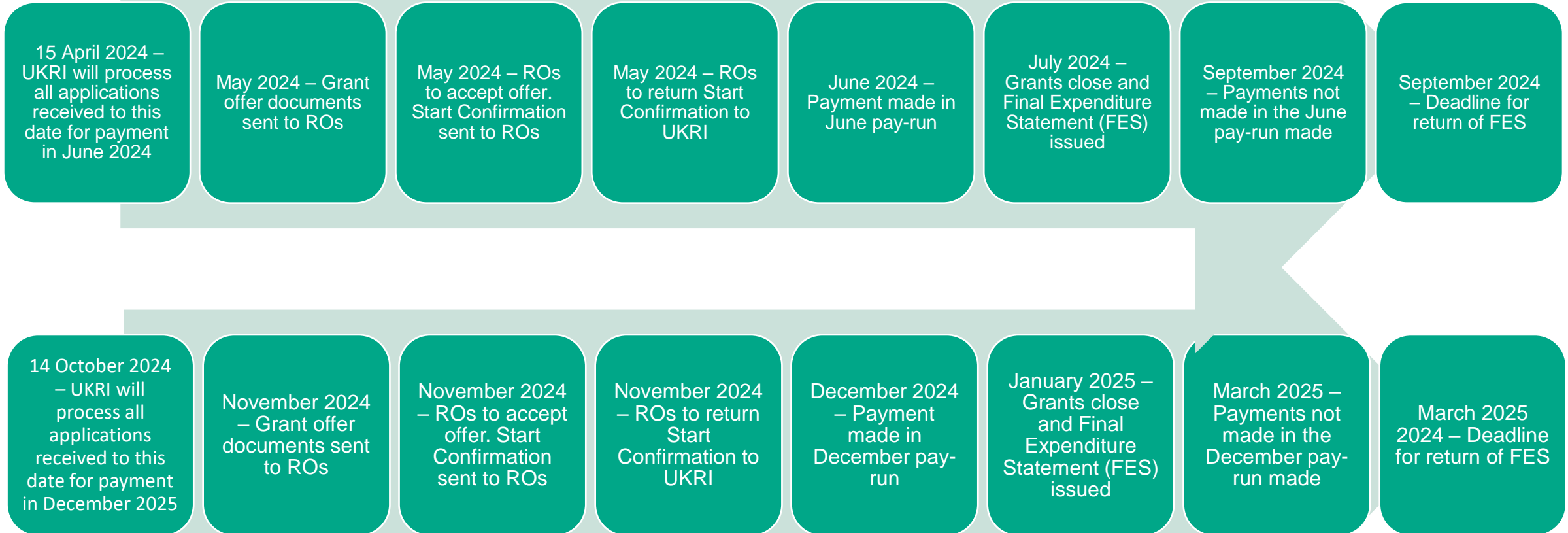
For 2024 this means that for funds to be awarded in:

- June 2024, organisations must submit Stage 2 applications by **15 April 2024**.
- December 2024, organisations must submit Stage 2 applications by **14 October 2024**.

Future dates will be published on our website at [Open access funding and reporting – UKRI](#)

Organisations will be able to continue submitting Stage 2 applications to UKRI after these dates via the Funding Service.

# Payment process





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# Thank you

For any queries about UKRI's work on open access and open research please contact the team at [openresearch@ukri.org](mailto:openresearch@ukri.org)



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