

UKRI OPEN ACCESS POLICY GUIDANCE ON MONOGRAPHS, CHAPTERS AND EDITED COLLECTIONS

This page gives you an overview of the [UKRI open access policy](#)  which came into effect on 1 April 2022. The policy applies to:

- Journal articles and conference proceedings acknowledging UKRI funding which are submitted on or after 1 April 2022;
- **book chapters, edited volumes and monographs** acknowledging UKRI funding **published on or after 1 January 2024 (depending on when the contract with the publisher was signed, see below).**

This document focuses on the policy as it applies to monographs, chapters and edited collections. Guidance on journal articles' open access requirements can be found [here](#) .

SUMMARY OF REQUIREMENTS

The UKRI open access policy applies to all monographs, chapters and edited collections published on or after 1 January 2024 which acknowledge UKRI funding, whether from currently active or completed grants.

UKRI requires the version of record or accepted version of long-form outputs to be published under a Creative Commons licence and to be made open no later than 12 months after publication. Any Creative Commons license is permitted, and outputs can be shared on a publisher's website or via our institutional repository, Pure.

Compliance with the policy is not mandatory if a publishing contract was signed prior to 1 January, 2024.

The following outputs are also out of scope:

- exhibition catalogues
- scholarly illustrated catalogues
- all forms of fiction and creative works
- textbooks
- long forms publications acknowledging a UKRI training grant (where the sole funding source is a UKRI training grant)

The policy does not apply to trade books (academic monographs based on original scholarship with a wide public readership) unless it is the sole outcome of a research project funded by UKRI.

PUBLISHING YOUR RESEARCH: ROUTES TO COMPLIANCE

There are two compliant routes for publication:

- 1** – Making the version of record of your monograph, chapter, or edited volume **free to download on the publisher's website within 12 months of publication.** The version of record needs to be published with a Creative Commons license. UKRI can cover for book or chapter processing charges associated with this option.

2 – Making the author-accepted manuscript (AAM) available on our institutional Pure within 12 months of publication and with a CC license. No processing charges should be paid to the publisher when complying using this route.

If you have any questions about the best route to compliance, please email PPLSOpenResearch@ed.ac.uk.

EDITED VOLUMES & CHAPTERS

UKRI defines edited collections 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”. If you are editing a collection (including conference proceedings) or contributing a chapter to an edited collection and acknowledging UKRI funding, you need to comply with the policy.

When agreeing to collaborate, let your authors and contributing colleagues know that the edited volume or your chapter needs to be shared with a CC license with a maximum embargo of 12 months.

Your chapter's version of record or your author's accepted manuscript can be made open access via the publisher or self-archiving in a repository even the hosting volume is not. You should seek agreement with the editors. If the publisher charges for making the single chapter's version of record open, you may be eligible for open access funding from UKRI.

PUBLICATION CHECKLIST

- **Before submitting your book proposal**, you should contact your publisher and inform them that your publication is in scope of the UKRI open access policy. **Check if they can offer open access publishing.** Your preferred publisher might not have an open access publishing programme or might not allow for the accepted manuscript to be shared in an institutional repository within 12 months. In that case, you should consider searching for another publisher before applying for an exception – UKRI only allows exceptions “where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI’s policy.”
- Inform any collaborators (such as the editor of a collection, co-authors or contributors) about UKRI's open access requirements.
- If your monograph, chapter or edited volume's final version will be published open access, you will need to apply for funding to cover the book or chapter processing charges. You will be able to apply for funding from Autumn 2023, we currently (July 2023) have no definitive information on this process and will update this guidance document when it is available.
- Once your chapter, monograph or edited volume has been accepted, **deposit your accepted manuscript in Pure.**
- Once your output has been published, add the pub. date and the link to the final published version in Pure.

FUNDING AND GRANT COSTS

We are still waiting for more details about the funding process; we will update this page when these have been provided.

What we know: funding for long-form outputs is yet to be allocated; UKRI intends to assign around £3.5 million to support open access monograph publishing. Terms and conditions for monograph funding are expected to be released in autumn 2023.

If you are applying for a research grant and anticipate publishing a monograph, book chapter, or edited collection between 1 January 2024, and 31 December 2024, you can include open access expenses in your grant application (as long as the publication is projected to occur within the duration of your award). If the output will be published after the end of 2024 or the end of your grant, please wait and apply to UKRI dedicated open access fund available from autumn 2023.

Contact PPLSOpenResearch@ed.ac.uk if you have questions about publishing costs in UKRI grant applications.

EXCEPTIONS

UKRI recognises that there may be some instances where it is not possible to comply with their open access policy. You can apply for an exception in these circumstances:

- If the only appropriate publisher for your work does not provide a compliant open access option
- If permissions for the inclusion of third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication. This exemption must only be used where the exclusion of third-party material severely compromises the presentation of the arguments or discussions in your publication. You do need to license third-party materials with a Creative Commons license. Third-party copyrighted materials contained within long-form outputs are not subject to the licensing requirement; they can be made available under a more restrictive licence (all rights restricted, for example).

Researchers applying for an exemption will need to complete a risk assessment to justify their request; more information about the requirements can be found in Annex 3 of the UKRI policy here:

<https://edin.ac/43zOmQR>

LINKS

- UKRI open access policy: <https://www.ukri.org/publications/ukri-open-access-policy/>
- UKRI guidance on monographs, book chapters or edited collections: <https://edin.ac/43liDgM>
- Information on UKRI compliance exceptions: <https://edin.ac/43zOmQR>
- Information on Creative Commons licenses: <https://creativecommons.org/licenses/>
- Open Access Books toolkit: <https://oabooks-toolkit.org/>

CONTACT

For further information about open access policies, please contact PPLSOpenResearch@ed.ac.uk