UKRI Open Access Policy: longform publications

Summary of Q&A session

15 June 2023

In June 2023, UK Research and Innovation (UKRI) hosted a webinar to share the latest information on the implementation of its open access policy requirements for longform publications for research organisations that receive UKRI funding.

The webinar was an opportunity to hear from UKRI about the latest guidance and resources to aid compliance with the policy, learn about the available funding, and how to manage permitted exemptions. We will share the latest information, guidance, and resources on the policy, including an overview of UKRI’s ring-fenced fund. There was also a presentation from Jisc, a sector agency and membership body that UKRI is funding to support policy implementation.

UKRI’s open access policy applies to longform publications that are required to acknowledge UKRI funding from 1 January 2024. Longform publications that are in scope of the policy are: monographs, book chapters, and edited collections.

This document provides a summary of responses to unanswered questions from participants to UKRI on its open access policy requirements for longform publications from its webinar, which took place on 15 June 2023. The questions have been collated where possible as there were many areas of overlap.

Many of the issues raised by participants are addressed in our policy FAQ. For further information see UKRI open access policy – UKRI.

A recording of the webinar is available at UKRI’s new Open Access policy for longform publications: guidance webinar - YouTube

The agenda for the webinar is available at Annex 1.

Scope of the policy

1. Can organisations exercise discretion where there is ambiguity around the type of publication and whether it is in-scope of the policy?
   Researchers and their organisations should consider the definitions provided at Annex 1 of the UKRI Open Access Policy. Where there is ambiguity about whether a longform publication is in or out of scope of the policy, or if a publication falls within the policy requirements for research articles or long form publications researchers and their institutions should use their discretion.

2. Are publications arising from Doctoral Training Grants in scope of the policy?
   No, however open access is encouraged, if possible. Where longform publications arising from UKRI funded Training Grants are made open access, they can be supported via UKRI's ring-fenced fund.

Compliance with the policy

3. Will institutional self-archiving policies meet the open access requirements?
   Yes, self-archiving the author’s accepted manuscript within 12 months of publication is one of the routes by which a researcher and their organisation can comply with UKRI's open access requirement.

4. Will UKRI require justification for applying a licence other than CC BY?
   No, as long as the licence applied is permitted under the policy. Permitted licences are any Creative Commons licences or an Open Government Licence.
UKRI’s ring-fenced fund
Information about the fund is available at: Implementing our open access policy – UKRI

5. **Is the level of funding sufficient for the expected volume of publications?**
   UKRI will monitor the demand on the fund.

6. **How will the fund operate?**
   The fund involves a 2-stage application process. The fund is only available for longform publications that are in-scope of the policy. Any UK-based research organisation that is able to receive UKRI funding can apply to the fund. Researchers based in UKRI’s institutes, units, and centres can apply to the fund. For further information see: Who we fund – UKRI

   **Stage 1**
   At Stage 1 the organisation registers an output with UKRI and UKRI will determine if the publication is eligible for funding. If the application for an output is unsuccessful at Stage 1 it will be because the output is either out of scope of the policy or eligible to be supported by the block grant.
   Stage 1 confirms that at the time of application and subject to the information provided in the application, the publication is eligible to be supported by UKRI. Stage 1 is not a guarantee of funds, it is an indication that from the information provided, an output would be eligible to be supported by the fund. This is because not all books that are contracted result in a published book.
   UKRI is determining its internal mechanisms and will publish its timescales for reviewing Stage 1 applications and communicating the decision to applicants in Autumn 2023.

   **Stage 2**
   At Stage 2 the organisation confirms that the publication, which has been applied for at Stage 1 is available open access. UKRI will release funds to the research organisation for the output(s). Research organisations need to provide financial information, for example a publisher invoice to the organisation, to claim back funds. UKRI is considering its payment timescales and mechanism.
   There may be times when a publication is eligible for Stage 2 at the time of the initial application to UKRI. We will need to test this further as we establish the process.

   **Interim period between Stage 1 and Stage 2**
   This is the stage at which the author writes the publication and submits their final manuscript for publication and the publisher publishes it. There is no time limit between a Stage 1 and Stage 2 application. There will however be a cut off for publications to be eligible for support after the grant it results from closes, see question 8 for further information.

7. **When and how will payments be facilitated?**
   The timetable and frequency of these payments is being determined and UKRI will publish this information in Autumn 2023.

8. **What rules is UKRI considering for the permissible use of its fund?**
   UKRI will set a maximum limit up to which it will pay towards the cost of publication. These limits will be confirmed in Autumn 2023.
UKRI will also set a cut-off based on the amount of time that has lapsed after a grant has closed for a publication to be eligible for support via the fund. UKRI is considering what this cut off should be.

On publications arising from historic funding, we recognise that monographs, book chapters, and edited collections are often published after a grant has lapsed, so the fund will be available to support open access for publications from closed grants. We also recognise that publications produced a long time after a grant has closed may not have a substantial link to UKRI funding.

Successful applications need to demonstrate a substantial link between the publication and UKRI research funding as well as the between the author and UKRI research funding. If a publication appears after the cut-off period and the link to UKRI funding cannot be demonstrated, the publication is out of scope of the policy and not eligible to be supported via the fund. See the accompanying slides from UKRI about the link to UKRI funding.

9. How will the fund support co-authored papers?
   Where publications are co-authored, authors should be pragmatic about how to make the application and a single administrative lead should make the application to UKRI for the publication.

10. Are publications that were contracted before 1 January 2024 eligible to be supported via the fund?
    Yes, provided the contract facilitates open access and the output will be published on or after 1 January 2024. Otherwise, the output is exempt.

11. What are the eligible costs for the fund? Will there be any requirement to include a breakdown of what the charges comprise?
    The eligible costs for the fund will be published in Autumn 2023. This will include information about how to demonstrate and evidence that any funds applied for are eligible costs.

12. How can the fund support open access models that do not involve a book processing charge?
    If a publisher has agreed to publish the monograph or edited collection of a UKRI funded author via a diamond model that does not charge a book processing charge but involves a revenue stream, for example via the sale of a collection, or a library membership scheme, then the author’s organisation will be able to claim from UKRI the cost of participating in the diamond model. UKRI will provide guidance in Autumn 2023.

13. Which publishers can be supported via the fund?
    The fund aims to support publications that are in-scope of the policy, not publishing bodies directly. Where extenuating circumstances apply and there is no UK-based organisation that can be reimbursed for the publication, UKRI may pay a publisher directly.
    UKRI is interested in supporting good practice and ensuring that UKRI-funded authors are not at risk of being targeted by predatory publishers. In the longer term we will work with the sector to understand and support community-led good practice.

14. Will any technical standards be included as a pre-condition for funding?
    Our policy does not include any technical standard requirements for long-form outputs as standards are less mature than that of articles. While there is consensus that standards are desired, it is clear from responses to our consultation that practice varies, and it would not be appropriate at this time to have requirements. UKRI will work with stakeholders to further understand practice and identify how to progress the development and adoption of standards.
The publishing landscape

15. How does UKRI assess the readiness of the UK monograph ecosystem to support this, given the lack of current schemes that can work at scale?

Evidence from UKRI's review showed the development of open access for longform was at a suitable point for the introduction of a policy to support it. UKRI recognises that the open access publishing landscape is less mature than that for research articles. Our policy takes this into account, for example we have a range of permitted exemptions for the policy. We will monitor the impacts of our policy continuously from implementation.

Technical infrastructures

16. From a usability standpoint it would be great to have a Sherpa widget to embed into our websites, so we don’t have to link-out. Is this something that’s being worked on?

From a usability perspective, Jisc recognises the benefits of having a product widget that can be embedded into websites without the need to link out. At this moment however, Jisc’s current focus is on other aspects of our product and delivering a seamless user experience in different areas. To receive communications and updates directly from the Sherpa Product Team, and to provide feedback into general development and direction of the services, please join the Sherpa users group.

17. Does Jisc have a timeframe on when Book sherpa will become available?

A beta version of Sherpa for books will be available by October 2023. Jisc will then gather feedback and make enhancements based on user input.

18. How frequently will Sherpa for Books be updated (will there be a mechanism to flag up when publisher policy has updated or is incorrect on the platform)?

Sherpa for Books will build upon the foundation of the existing Sherpa platform while adhering to Jisc’s comprehensive data collection policies. To ensure accuracy and relevance, Jisc will conduct periodic reviews of all entries within Sherpa for Books and implement necessary updates. If you have any concerns regarding publisher information or policies, please contact Jisc at help@jisc.ac.uk

Other related questions

19. Will rights retention be required?

Our policy has no requirement for authors or research organisations to retain copyright as we consider our licensing requirements sufficient to meet the policy aims. However we acknowledge that it is good practice for authors and research organisations to retain copyright to their work.

20. Do publishers tend to have a standard self-archiving policy across all their outputs, or would authors have to ask/negotiate individually for their specific publication?

Authors should refer to individual publishers’ webpages for more detail of their self-archiving policies for specific publication types.
## Annex 1

### Agenda

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<tr>
<th></th>
<th>Time</th>
<th>Session Description</th>
<th>Presenter(s)</th>
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<tr>
<td>1</td>
<td>10:00-10:10</td>
<td>Welcome</td>
<td>Rachel Bruce</td>
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<td>2</td>
<td>10:10-10:45</td>
<td>Presentation: UKRI Open Access Policy requirements for longform publications</td>
<td>Sara Ball, Tahia Zaidi</td>
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<td>3</td>
<td>10:45-11:25</td>
<td>Q&amp;A session</td>
<td>Chaired by Rachel Bruce</td>
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<td>4</td>
<td>11:25-11:30</td>
<td>Break</td>
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<td>5</td>
<td>11:30-11:40</td>
<td>Presentation: Jisc support for policy implementation</td>
<td>Anna Vernon</td>
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<td>6</td>
<td>11:40-11:55</td>
<td>Q&amp;A session</td>
<td>Chaired by Rachel Bruce</td>
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<td>7</td>
<td>11:55-12:00</td>
<td>Wrap up &amp; close</td>
<td>Rachel Bruce</td>
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