



UKRI Open Access Policy requirements for longform publications

Summary of unanswered questions and discussion session from the information and good practice sharing event held on 8 November 2023

On 8 November 2023, UK Research and Innovation (UKRI) hosted an online event for researchers and research organisations about its new open access policy for monographs, book chapters, and edited collections (long-form publications) that starts on 1 January 2024.

The event included presentations, and question and answer (Q&A) sessions. There was also an opportunity for participants to join smaller breakout discussions to share experiences.

UKRI shared the latest information on the implementation of its policy requirements for longform publications, including guidance and resources, funding, and managing compliance.

There was a presentation from [Jisc](#), a sector agency and membership body that negotiates open access agreements on behalf of the research sector in the UK. UKRI is funding Jisc to support policy implementation. There were also presentations from researchers and research organisations on practising open access and institutional approaches to supporting open access.

This document provides:

1. a summary of responses to questions from participants to UKRI that were not answered in the Q&A session, since there was not enough time to cover all questions. Overlapping questions have been collated. In some cases, the questions are being considered further to clarify and resolve.
2. a summary of the discussion sessions with participants. The discussion sessions were hosted under the [Chatham House Rule](#). The discussions have been collated by topic.

Many of the issues raised by participants are addressed in the guidance available at [Making your monograph, book chapter or edited collection open access – UKRI](#) and [Open access funding and reporting – UKRI](#). Authors and their organisations should refer to these guidances for the most up to date information.

A number of questions asked at the event will be covered in our policy FAQs at [UKRI open access policy – UKRI](#).

A recordings of the webinar are available here [Part 1: UKRI presentation and Q&A](#); [Part 2: Presentations from the research sector](#), [Part 3: Q&A and plenary from discussion sessions](#)

The event agenda is available at Annex 1.

Summary of unanswered questions

Compliance with the policy

1. Is self-archiving the author's accepted manuscript of a book chapter a permitted route to compliance?

Yes, the manuscript should carry a Creative Commons licence and be available open access within 12 months of publication. Where the entire monograph or edited collection is in scope of the policy, the final manuscript of the whole publication must be deposited. If a whole monograph or edited collection is within scope of the policy, you cannot comply by just depositing a single chapter.



2. What should an author/research organisation do if a take-down notice is issued for a self-archived version of their publication?

UKRI expects authors to comply with its open access requirements. Authors should ensure that their publisher offers a route to compliance before publishing decisions are made.

Funding for longform publications

Information about the fund is now available at [Open access funding and reporting – UKRI](#)

3. Should organisations pay invoices prior to submitting a Stage 2 application to UKRI?

Subject to the terms of payment on the invoice, organisations typically need to pay invoices and claim the costs back from UKRI.

Some publishers have indicated that they may be able to adjust the payment timescales to accommodate requirements of research organisations in using the UKRI fund. .

Exemptions from the policy

4. Are publications subject to a “right of first refusal” from a non-open access publisher from a previous contract exempt from the policy?

If the author’s publication is subject to a “right of first refusal” the author should enquire about open access options prior to submitting their book proposal. If the publisher cannot offer an open access programme and they accept the new publication, then the publication would fall under the permitted exemption where a contract is signed before 1 January 2024 that does not facilitate open access.

If authors are publishing with a non-open access publisher from 1 January 2024, authors should avoid signing contracts that include a clause on right of first refusal, as contracts signed on or after 1 January 2024 are not covered under the exemption.

5. Is there an exemption for authors who are publishing with international publishers?

There is no specific exemption for authors who are publishing with international publishers. Many international publishers offer open access options. Authors should consider open access options when identifying a publisher for their output. All exemptions are outlined in the [UKRI Open Access Policy](#). A summary of the guidance on how manage the permitted exemptions is available here: [UKRI open access policy information pack – UKRI](#)

6. Some publications that are exempt from the policy are eligible to receive funds, for example monographs arising from Training Grants. What are the implications for authors and their organisations seeking funds from UKRI for publications that are exempt from the policy on UKRI’s fund?

UKRI does not envisage competition for the fund. We will monitor the demands on our fund and determine if any intervention is needed.

7. When can authors use the exemption where the most appropriate publisher after liaison and consideration is not able to offer an open access option?

We give examples in our guidance at Annex 3 of our [policy](#) of the rare instances this exemption may need to be used.

8. What evidence is required to notify UKRI that an exemption has been applied to an output?

UKRI is developing its notification process on the use of the exemptions which will open in January 2024. It will be simple and lightweight. For further information see [implementing our open access policy – UKRI](#)



The publishing landscape

9. Will UKRI sign up to diamond agreements on behalf of the sector?

No. UKRI is generally not a party to agreements between research organisations and publishers. Jisc is negotiating agreements on behalf of the sector that provide affordable and sustainable routes to publish open access – supporting bibliodiversity and policy compliance.

Monitoring and evaluation

10. How will UKRI monitor its policy?

We're currently developing a Monitoring and Evaluation (M&E) Framework to monitor different aspects of the Open Access policy and effectiveness, including broader impacts and unintended consequences, which builds on the work from Research Consulting: [Monitoring and evaluating the effectiveness of UKRI's open access policy – UKRI](#). This M&E framework will be published in due course. For information about M&E see [implementing our open access policy – UKRI](#).

The first nine months of the policy period, from January 2024 to the end of September 2024, will be a bedding in period and we will not monitor for compliance during that period to give time for all stakeholders to adjust.

11. Will UKRI's maximum funding limits be reviewed in future reviews of the policy?

UKRI will monitor its policy and the calls on its fund and determine if any adjustments or interventions are needed at the planned review point in 2026. For more information about monitoring and evaluation see Section I in our [policy FAQs](#).

12. What are the penalties for non-compliance with the policy?

For information about monitoring and compliance with the policy, including the process for non-compliance see Section I in our [policy FAQs](#). For longform publications UKRI will monitor compliance with the policy from September 2024.

Other related questions

13. Does UKRI require research organisations to calculate the number of publications authored by their researchers that may be in-scope of the policy?

There is no requirement from UKRI calculate the longform output publication, however if organisations choose to do so to understand their individual situations they may of course do so.

Summary of discussion sessions

Participants discussed how their organisations are implementing the new policy for long-form publications, including issues and opportunities UKRI and other stakeholders should consider. The discussion below does not reflect UKRI's views.

Implementing open access for long-form publications within institutions

Some research organisations are developing lists of suitable venues to support open access publishing and also to engage with different publishing models.



It was noted that organisations will need time to understand and develop workflows for UKRI's new fund within their institutional finance mechanisms, and that UKRI's nine-month bedding in period is helpful to support this. This includes understanding how institutions can direct authors to non-BPC schemes, where suitable. Some participants noted possible challenges in embedding processes for researchers between contracts or that hold honorary positions.

Some participants raised that the author is typically the primary point of contact for the publisher, therefore it may be challenging for the library or research office to liaise with the publisher to extend deadlines for payment to mitigate the institutional risk. The author will still have an important role in supporting the process.

Participants highlighted that it was important for UKRI to flag to researchers that they should liaise with their research organisation as early as possible in the publication process with respect to funding and that they shouldn't directly apply to UKRI's fund. It was suggested UKRI and/or research organisations could encourage researchers to consider a publishing plan as part of their grant application.

The importance of publishing a monograph to the career progression of early career researchers in some disciplines was raised, and the importance of monitoring for any unintended consequences of the policy and fund. It was observed that some early career researchers welcome the focus on open access publication and had expressed interest in publishing open access and using UKRI's fund.

Open access funding

Participants discussed the two-step application process for UKRI's new fund and processes institutions will need to develop to implement this. There were some concerns about committing institutional funds and claiming these back in arrears, particularly for organisations expecting large volumes of publications or smaller organisations with limited budget flexibility. It was also suggested the proposed payment dates for the fund could be adapted to better align with institution's financial years. Some organisational strategies to manage this included a focus on self-archiving and earmarking funding based on estimated numbers of UKRI outputs.

It was noted that that some publisher's open access costs are linked to publication length and costs may exceed UKRI's permitted limit. Some participants expressed concerns about using institutional funds to meet the full cost of publication in this scenario.

On participating in diamond and non-BPC models, some participants noted that there are challenges in participating in these due to budgets and institutional acquisition policies. As such, supporting diamond models via institutional funds will require more advocacy and a business case.

Some participants shared that their institutions have entered into diamond memberships however there is concern that authors will not contact the organisations unless a BPC is expected. It was noted that there could be an opportunity to work with Jisc to highlight to a research organisation if a publication authored by a researcher based at a participating organisation is published open access under such models.

Research culture and environment

Participants discussed that it is important to support researchers and to offer a range of open access options. Participants were supportive of open access however noted that resources are needed to increase knowledge and awareness of open access, for example via case studies that highlight the positive impacts of open access. A participant highlighted that equitability of access to research may support advocacy for open research and open access. The issue of royalties was raised and the fact that it can be a barrier to engagement where researchers perceive they will lose out on these. During discussion it was clarified that given the scope of the policy this should not be an issue, in particular since royalties are usually earned via fictional works and those are out of scope of the policy.



Participants noted that although UKRI does not mandate the use of metadata and identifiers for longform publications, UKRI encourages the adoption of metadata standards and persistent identifiers for longform research outputs in its policy. Some participants shared that their organisations use statistics generated from their repositories on usage and downloads, which are a useful tool to show impact. It was noted that while persistent identifiers can track usage and discoverability of research articles that identifiers are not mandated for longform publications as this is an emerging area.

On participating in non-BPC models that are emerging, a participant noted that it would be beneficial to understand good practice so organisations are clear they are not entering into agreements with predatory practices. It was noted there are good practices in place, and these would benefit from wider socialisation.

Third-party content

It was noted that rights clearance is typically handled by the academic, in liaison with their publisher, and that this is not a process that libraries are currently deeply involved in, therefore organisations will need to understand and develop workflows on supporting these costs via UKRI funding. It was also noted that using grant funds for these costs can be challenging as they may arise after a grant as finished.

Communications regarding the policy

Participants noted that UKRI will be communicating the latest announcements via multiple avenues and agreed that it would be beneficial for the relevant departments that manage open access to be included in communications to grant holders and senior leadership. Participants also underscored the importance of timely information to help their organisations prepare for implementation.

International publishers and/or collaborators

Participants discussed that there can be misconceptions that open access options are not offered by international publishers. It was noted that while open access practice varies in different countries some nations are more advanced in open access scholarship for long-form publications than the UK. Participants also discussed that co-authors who are not funded by UKRI may not be subject to open access requirements and therefore the UKRI-funded author may have reduced influence over publishing decisions.

Seven-year threshold from the end of the UKRI funded project to access UKRI's fund

Clarification was sought on how the threshold would apply to a book series, where some installments of the series may be published more than seven years after the end of a UKRI funded project. It was noted that UKRI would consider such scenarios on a case-by-case basis.

Re-selling of open access works

Some participants raised concerns about open access scholarly works being resold commercially on third-party websites. It was noted that UKRI's policy permits the use of non-commercial and no-derivative licences, should authors wish to use these licences.