UKRI's open access fund for longform publications

Responses to outstanding questions from the Stage 1 and Stage 2 demonstration

On 23 November 2023, 29 November 2023, 11 January 2024, and 17 January 2024, UK Research and Innovation (UKRI) hosted an online event for librarians and research support staff who manage open access in their organisations to demonstrate the Stage 1 and Stage 2 application process for UKRI's open access fund for long-form publications. The fund is provided to support UKRI's open access policy for monographs, book chapters, and edited collections (long-form publications) that started on 1 January 2024.

The event included a presentation from UKRI, a demonstration of the fund, and question and answer (Q&A) session.

This document provides 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.

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, Open access funding and reporting – UKRI and the information provided in the Stage 1 application form. Colleagues should refer to these guides for the most up to date information.

A number of questions asked at the event are covered in our policy FAQs at UKRI open access policy – UKRI and existing guidance on UKRI's funding service at How to use our funding application services – UKRI.

A recording of the webinars is available at:
- UKRI open access fund for longform publications – Stage 1 demo
- UKRI open access fund for longform publications – Stage 2 demo

The slides from the event are available at Guidance for UKRI's open access fund for long-form publications – UKRI.

Responses to outstanding questions

Policy scope

1. Are publications that acknowledge core funding as the only source of UKRI funding eligible to be supported via the fund?
Yes

2. Are publications that acknowledge infrastructure grants as the only source of UKRI funding eligible to be supported via the fund?
Yes

3. Are journal special editions considered edited collections that are in-scope of the policy?
UKRI defines edited collections in Annex 1 of its policy. If a special edition is first published as a journal, it will not be in scope of the policy requirements for longform publications and therefore not eligible for support via the fund.

4.   Are subsequent editions of previously published works that result from UKRI funding eligible for support via the fund?
In this case the publication would only be eligible for support from the fund where new research as part of the subsequent edition is UKRI funded,.

5.   Are book chapters that are published in output types that are not in scope of UKRI's policy requirement for longform publications in scope of the policy?
Book chapters published in edited collections are in scope of the policy. Book chapters published in outputs that are not in scope of the policy, such as trade books, scholarly editions, and textbooks, are out of scope of the policy.

On conference papers that are published as conference proceedings with an ISBN, UKRI is considering this as part of its in-flight review for research articles, which will report in April 2024. For more information on monitoring and evaluation see [Implementing our open access policy – UKRI](#).

6.   A trade book is in-scope of the policy if it is the only output from a UKRI funded project. How will the research organisation know if the trade book is the only output?
The author will be able to advise if the trade book is the only publication that acknowledges UKRI funding from a particular project.

Eligible costs

7.   Are funds only available for outputs that are published immediately open access?
Yes, UKRI's funds are only available where the version of record is published immediately open access.

Authors and their research organisations can be policy-compliant by publishing an output open access within 12 months of publication with a Creative Commons license via the version of record or by depositing the authors accepted manuscript in a repository.

8.   Will UKRI require confirmation on the link between the publication and the UKRI funded project that it is referencing from the research organisation?
UKRI's draft approach for funding applications had originally included a requirement to ascertain the link between the UKRI funded project that was acknowledged and the publication. Based on feedback from the community, UKRI removed this requirement, moving to a trust-based approach. As part of the funding application UKRI does not require any further action on part of the author or the research organisation to link a publication to UKRI funding, beyond asking for a UKRI funding reference.

9.   If an output is published on or after 1 January 2024 and the publisher invoiced the research organisation before 1 January 2024 is the publication eligible to be supported via UKRI's fund?
Yes - if the output is published open access on or after 1 January 2024, it will be permissible for the research organisation to claim back funds from UKRI.

10. Are 'publishing costs' for the production of a publication, such as costs for typesetting, that are charged and invoiced separately in addition to open access costs eligible costs for the fund?
No. Publishing costs that are charged and invoiced separately to a book processing charge are not eligible for support via the fund. Authors seeking to publish with publishers who adopt such practice should consult their organisation for advice to ensure that the organisation is willing to support the production costs.

11. When does the timeline for the seven-year threshold start and what does it apply to?
The timeline for the seven-year threshold applies from the formal end of the UKRI funded project. It applies to submissions to the fund at Stage 2.

The date a Stage 1 application is submitted to UKRI has no impact on the seven-year threshold.

UKRI will permit flexibility on the seven-year threshold for extenuating circumstances.

Stage 1 applications

12. UKRI's application form allows research organisations to submit up to 10 publications in a single submission at Stage 1. Do all publications registered in the submission need to have the same UKRI funded reference?
No, you can register publications from different UKRI funded projects as part of the same submission at Stage 1.

13. At what point is it too late to apply to UKRI's fund at Stage 1?
A research organisation can apply to Stage 1 at any time, provided the publication is within the seven-year time limit from the formal end of the UKRI funded project.

UKRI recommends that authors get in touch with their organisations early in the publication lifecycle and before a contract is signed.

14. The research organisation that applies to the fund does not have to be the grant-holding organisation for the UKRI funded project that is referenced. Will UKRI notify both the grant-holding organisation as well as the applicant organisation of the outcome of the application?
UKRI will only notify the research organisation that has applied of the outcome of the application.

15. Authors can change research organisations between Stage 1 and Stage 2. Is there a mechanism by which the author's current research organisation can know if a Stage 1 application has been completed and confirmed as eligible?
The author or their current organisation should liaise with their previous organisation to seek the relevant information.

16. Will UKRI approve Stage 1 applications for publications where the costs are unknown?
Yes.

17. What will happen if an author applies directly to UKRI?
UKRI will contact the author to inform them that they must apply via their research organisation.

18. Do research organisations need to make a judgement about whether an output will be published within 7 years from the end of a UKRI funded project to submit a Stage 1 application?
Authors are generally required to offer their publisher a date for when they will deliver their manuscript. The author and publisher will discuss this prior to signing the contract. The organisation should use this as an indicative date.

19. UKRI has indicated that Stage 1 may over time move to the Funding Service. This may have unintended negative consequences for some research organisations. What should research organisations in this position do?
UKRI will give due notice about changes to the process. If there are particular challenges with a proposed platform, please get in touch with the team at openresearch@ukri.org.

Stage 2 applications

20. Should Stage 2 applications be made via the research office?

The application can be created by staff in any department, but in the majority of cases an organisation's submission structure will be set up so that applications go to the Research Office who are ultimately responsible for submitting the application to UKRI.

21. UKRI will compile payments for multiple publications into two bi-annual payments. Will UKRI provide a breakdown of which open access costs are included in the awarded funds?

Yes. This will be accompanied with a payment reference that links the award to a Stage 2 application.

22. What evidence or information does UKRI require from publishers?

UKRI does not require any evidence from publishers at Stage 1. UKRI has published guidance on the information and evidence required at Stage 2 at Open access funding and reporting – UKRI.

23. How should research organisations request costs for VAT when this is reverse charged quarterly instead of with an invoice?

UKRI requires evidence confirming the amount of VAT paid for the relevant publication. We recommend applying to the fund at Stage 2 when all the relevant financial information for the publication can be evidenced in the application.

Claiming costs for clearing rights for third party content

24. Will UKRI award costs that are claimed for clearing rights for third-party content along the same timescales as awards covering open access costs?

Yes, the costs will be awarded in arrears after the publication is available open access.

25. Is it permissible to claim costs to clearing rights for third party content up to £2,000 via its fund for monographs and edited collections if:
   a. **the author is complying with UKRI's open access requirement by self-archiving the author's accepted manuscript?**
   b. **the publication is made open access subject to an embargo?**

No, the fund will only support costs for the version of record that is available open access immediately.

Payment arrangements within research organisations

26. 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.

27. What should research organisations do if they do not have funds to pay open access costs upfront?

The process for delivering UKRI's open access fund for longform publications was developed with input from stakeholders from research and publishing sectors, and the issue of paying costs upfront did not emerge as a major concern. However, UKRI recognise this is a new process and will monitor for unintended impacts. Please get in touch with the team at openresearch@ukri.org to discuss challenges you might be facing.

28. Are there resources that libraries and research offices can use to discuss accruals with their finance departments?

UKRI is funding Jisc to support implementation of its open access policy, including to develop and deliver a communication and engagement programme that addresses identified sector needs. As part of this Jisc are engaging finance staff at research organisations about UKRI's open access fund for longform publications via the British Universities Finance Directors Group.

General information on open access funding is available on our website. Please get in touch with the team at openresearch@ukri.org to discuss challenges you are facing.

Monitoring and evaluation

29. The Citizen Space platform shares a copy of the submission with the applying organisation as a PDF. Is it possible for the platform to provide this in an XML or other similar format to support tracking?
UKRI has provided an Excel spreadsheet that is accessible via Guidance for UKRI's open access fund for long-form publications – UKRI. Research organisations can choose to populate this spreadsheet offline from which they can copy and paste the content for their applications. It is not possible for UKRI to export all applications to the fund in another format to share with applicants.

30. Is there a risk that researchers will not pursue positions in smaller organisations that may be less able to support open access costs that exceed UKRI's maximum funding limits for longform publications?
UKRI will monitor its policy for unintended consequences. We have also established an open access stakeholder forum that provides UKRI with feedback on the policy and its implementation from the wider communities represented. The Forum comprises members from across the research and scholarly communications sector. Find out more about our stakeholder forum at UKRI Open Access Policy Stakeholder Forum – UKRI.

For more information about monitoring and evaluation see Implementing our open access policy – UKRI.

31. What processes are in place for duplicate applications from different organisations for the same publication?
UKRI is developing its internal mechanisms for ensuring that it is not paying open access costs multiple times for the same output. It is expected that all parties, UKRI, authors, and research organisations will have a role in this. Where possible, research organisations should verify that the application they are submitting on behalf of their author is the only application for that publication.

UKRI will contact the research organisations if we identify duplication submissions. Where possible, authors should liaise with their research organisations to ensure duplicate applications are not submitted to UKRI.

Other

32. If an author's contract does not specify licensing requirements for the open access publication (version of record or author's accepted manuscript), can authors apply a more restrictive license than CC BY?
Yes, as long as the license is a Creative Commons license. UKRI encourages that authors to give due consideration to not restrict opportunities for sharing and reuse of publicly funded research.

33. Are open access costs for books and book chapters liable for VAT?
Book and chapter processing charges are subject to VAT.