



Guidance for applying to UKRI's open access fund for longform publications – Direct to Publisher Payments

Guidance document for authors and publishers

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## Background

UK Research and Innovation (UKRI) announced its open access [policy](#) in August 2020. The policy applies to in-scope publications required to acknowledge UKRI funding. From 1 January 2024 the policy applies to longform publications (monographs, book chapters, and edited collections). To support these publications, UKRI has dedicated fund which can provide a contribution to the cost of making the publication open access.

This guidance document is for researchers who are not attached to a UK-based research organisation that can receive UKRI funds, and who are publishing a longform publication that is subject to UKRI's open access requirement. The guidance provides information to support you in completing the Stage 1 and Stage 2 submissions to apply to UKRI's dedicated fund. It is also intended to provide advice for your publisher.

If you are an author based at a UK-based research organisation that can receive UKRI funds, you should not follow this process. Instead, you should consult with the relevant team at your organisation who will apply to the fund on your behalf.

**You should only follow this process if you are currently or were previously a UKRI-funded researcher, and you do not have a UK-based research organisation that can receive UKRI funds who can apply to the longform fund on your behalf.** If you are unsure about which process to follow, then please contact [openresearch@ukri.org](mailto:openresearch@ukri.org) for further advice. You might also wish to contact the Library or Open Access Team (or equivalent) at the organisation where your UKRI funding was held, as they may be able to apply for funding on your behalf.

**You should also note that funding is only available to support costs to make the Version of Record of your publication immediately open access with a Creative Commons licence, and not the submitted version.**

- For general guidance about the policy, please see the [policy document on our website](#).
- We maintain a list of [Frequently Asked Questions](#) about the policy, which is updated regularly and contains answers to some commonly asked questions about the policy for longform publications and the associated funding.

- If you have any questions, you are welcome to contact the Open Research Team at [openresearch@ukri.org](mailto:openresearch@ukri.org).

## Overview of the fund

Applications to the fund involve a two-stage process.

- **Stage 1:** You **register** an output with UKRI for funding. UKRI processes the application and confirms to you if, from the information provided at the point of the Stage 1 application, the output would be eligible for funding.

The purpose of Stage 1 is to give the author assurance before a legal contract is signed that the output would be eligible to be supported. It is important to note however that confirmation of eligibility at Stage 1 does not release any funding. Stage 1 provides an indication that, from the information provided, the publication is in scope of the policy and so would be eligible to be supported by the fund once published.

- **Stage 2:** You **supply evidence** that the publication has been made available open access immediately with a Creative Commons licence, alongside your publisher's invoice. UKRI processes this information and releases the funds.

The purpose of Stage 2 is to confirm publication to UKRI, which allows the release of funds, up to UKRI's published limits.

## Important notes and links

- [UKRI's open access policy document](#)
- [The policy Frequently Asked Questions](#)
- [More information about our requirements for longform publications](#)
- [More information about our funding for longform publications](#)

**Funding can be only used to support costs to make the Version of Record of your publication immediately open access with a Creative Commons licence.**

Funding is **not available** for delayed open access of the Version of Record or self-archiving of the Author's Accepted Manuscript, but you can still comply with our open access policy via these routes if the publication is made open access within 12 months of publication. See our [open access policy guidance](#).

**Publication contracts are negotiated between authors and publishers, therefore UKRI will not be a signatory to any contract between authors and publishers.**

### **Eligible costs**

UKRI will contribute up to the following maximum amounts per publication:

- £10,000 for book processing charges
- £1,000 for chapter processing charges
- £6,000 for participation in an alternative open access model (not exceeding the total cost of participation)

**These amounts are inclusive of VAT, where applicable.**

Up to £2,000 within the funding maximum for an output can be applied for to support costs associated with clearing permissions for third-party content to be included in the open access version of the publication. However, these costs should be accounted for in grant applications, where possible. You should only include these at Stage 2 if the publisher incurred those costs to include third-party content in your publication.

The fund cannot be used to pay costs exclusively associated with the production and distribution of print versions of longform publications, or production costs that are charged or invoiced in addition to open access costs.

**Outputs published seven or more years after the formal end of the funding to which the publication relates are not eligible to be supported by the fund.** UKRI will not expect such outputs to be made open access, although open access is encouraged. UKRI will accommodate production delays that have occurred after the submission of the accepted manuscript to the publisher, and will also accommodate extenuating circumstances, such as those relating to equality, diversity, and inclusion. If you have concerns about the time that has elapsed between the end of your UKRI funding and the date of publication, then please contact [openresearch@ukri.org](mailto:openresearch@ukri.org) for advice.

### I'm an author. What do I need to do?

As an author that does not have a UK-based research organisation who can apply to the fund on your behalf, you must submit applications to both Stages 1 and 2 to UKRI **by email**.

**UKRI does not expect authors to personally pay open access costs. You may find it useful to share this document with your publisher to explain UKRI's process for paying publication costs directly.**

### For Stage 1

- You should download a copy of the [Stage one table of questions](#) from the UKRI website and complete each relevant field. We have produced a guidance document to support this table which provides more information about each of the fields required, and this can be found [on our website](#).
- If you have any questions about the spreadsheet, then please contact us at [openresearch@ukri.org](mailto:openresearch@ukri.org).
- Once completed, you should attach the form to an email and send this to the UKRI Open Research Team ([openresearch@ukri.org](mailto:openresearch@ukri.org)).
- The Open Research Team will then review your submission and will send a response to you within ten working days.
- This response will include a submission number, which should be included in any further emails.
- You are also welcome to share the Team's contact details ([openresearch@ukri.org](mailto:openresearch@ukri.org)) with your publisher, so that they can contact us if they have any questions.



## After you have made a Stage 1 submission

- If the Open Research team has confirmed that your publication is eligible for support from the longform fund, you need take no further action until your publication has been published.
- If there are any major changes or delays to the publication, then you may wish to let us know at [openresearch@ukri.org](mailto:openresearch@ukri.org).
- It is important that you explain to your publisher that your publication will be funded by UKRI, and that payment will only be released once the publication is available open access. You may find it useful to share this document with them, so that they are aware of the process that will be followed.
- If your publication is not eligible for support, the Open Research Team will explain why your publication cannot be supported by the fund. The Team will also explain if you can resubmit an application to the fund.

## For Stage 2

- Once your publication has been published, you should download a copy of the [Stage two table of questions](#) and complete each relevant field. We have produced a guidance document to support this table which provides more information about each of the fields required, and this can be found [on our website](#).
- Please ensure that you enter any cost details accurately.
- If you have any questions about the spreadsheet, then please contact us at [openresearch@ukri.org](mailto:openresearch@ukri.org).
- Once completed, you should attach the form to an email and send this to the Open Research Team ([openresearch@ukri.org](mailto:openresearch@ukri.org)).



- **Please copy in your contact at your publisher**, as we may need to consult with them to set them up as a 'supplier' on our payment system.
- The Open Research Team will then review your submission and will let you know that we will release funding for your publication.

### **After you have made a Stage 2 submission**

- The Open Research Team will set up a request for payment on our systems. If we have not previously paid your publisher, we will set them up as a 'supplier' on our system. At this point, our Shared Businesses Services Team will liaise with your publisher to set up their account on our systems. This can take some time, depending on how quickly your publisher supplies the necessary information.
- Once your publisher is set up on our systems, we will generate a Purchase Order (PO) number for you. Once this number has been generated, the Open Research Team will share this with you by email. You must provide this PO number to your publisher so the publisher can include it on the invoice.
- It is important that you do not submit any invoices to UKRI until you receive the PO number, as invoices submitted without a PO number will be rejected.
- Once your publisher has included the PO number to the invoice and shared the invoice with you, you can then submit your invoice to the Open Research Team by email, at [openresearch@ukri.org](mailto:openresearch@ukri.org).
- UKRI will then send payment directly to your publisher.
- If you have any questions, then please contact us at [openresearch@ukri.org](mailto:openresearch@ukri.org).

## Notes for Publishers

This section is for publishers who are publishing longform publications that are in-scope of UKRI's open access policy, and which are authored by a researcher who is not affiliated with a UK-based research organisation that can accept UKRI funding.

- UKRI will only release payment for longform publications after the publication is available open access. **To be eligible for funding, publications should be available open access immediately on publication with a Creative Commons licence.**
- The UKRI Open Research Team will liaise directly with the author throughout the process.
- However, to pay an invoice, your organisation will need to be set up as a supplier on UKRI's systems. UK Shared Business Services (UKSBS) will manage this process on behalf of UKRI.
- You will be contacted by UKSBS to create your supplier account, and it typically takes 1-2 weeks to do this (depending on how quickly you can respond to UKSBS requests for information, for example, providing the bank details for your supplier account).
- The UKRI Open Research Team will give authors a Purchase Order (PO) number, which must be included on any invoice. You must wait for the PO number and include it on any invoice, as invoices without a PO number will be rejected.
- The author should submit the invoice to the UKRI Open Research Team by email at [openresearch@ukri.org](mailto:openresearch@ukri.org). Please do not send invoices by post, or directly to UKSBS, as they may be rejected.
- UKRI encourages publishers to include the author and publication on invoices.

- As UKRI must set up a publisher in our payment systems, our first direct payment to you may take slightly longer than usual. However, once we have created an account, we should not need to repeat this supplier set-up process for future payments, unless some time has elapsed between payments. However, you should let UKSBS know if there are any major changes to your payment details. The Open Research Team cannot manage account changes.

## Questions and answers

### **I'm an author. If I move to a UK-based research organisation between making a Stage 1 submission and publishing my output, what should I do?**

If you move to a UK-based research organisation after making a Stage 1 submission before publishing your output, then you should liaise with the relevant team in your organisation who should be able to submit a Stage 2 application on your behalf. If this is not possible, then please contact the Open Research Team at [openresearch@ukri.org](mailto:openresearch@ukri.org).

### **I'm an author. If I leave a UK-based research organisation between making a Stage 1 submission and publishing my output, what should I do?**

If your UK-based research organisation has made a Stage 1 submission on your behalf but you are no longer associated with that organisation when you publish your output, then please contact the Open Research Team at [openresearch@ukri.org](mailto:openresearch@ukri.org), and we can advise you on making a Stage 2 submission directly to UKRI.

### **I'm an author. If I move to a new UK-based research organisation between making a Stage 1 submission and publishing my output, what should I do?**

If you move to a new UK-based research organisation after making a Stage 1 submission but before publishing your output, then you should liaise with the relevant team in your organisation who should be able to make a Stage 2 submission on your behalf. It is not a problem if a different organisation makes a Stage 2 submission.

### **Can UKRI pay more than the published maximum?**

UKRI will only fund up to our published maximum amounts, and we do not have any additional funding available for longform publications.

### **Why can't UKRI give funding directly to authors?**

UKRI manages and distributes public funding, and as such must ensure that all funding is spent in an auditable way. UKRI rarely funds individuals, instead we distribute funding to organisations so that we can ensure funds are spent as intended.

If you have any questions about this process, then please contact the Open Research Team at [openresearch@ukri.org](mailto:openresearch@ukri.org).

**I'm an author. Can UKRI provide funding if my publication is published with an embargo?**

No. Funding can be only used to support costs to make the Version of Record of your publication immediately open access with a Creative Commons licence.

Funding is not available for delayed open access of the Version of Record or self-archiving of the Author's Accepted Manuscript, but you can still comply with our open access policy via these routes if the publication is made open access within 12 months of publication. See our [open access policy guidance](#).

**I'm an author. Is there anyone at UKRI who can act as a signatory on my contract with a publisher?**

No. Publication contracts are negotiated between authors and publishers, therefore UKRI will not be a signatory to any contract between authors and publishers.

**I am a publisher. Who should I send invoices to at UKRI?**

You should send the invoice to the author of the publication. UKRI will liaise with the author throughout the process. However, UK Shared Business Services (UKSBS) will contact you to set up a supplier account on our payment system if we have not paid you previously.

**I am a publisher, and our invoices are usually payable within 30 days. Can UKRI pay the invoice within 30 days?**

UKRI's process for paying invoices requires setting up the recipient organisation as a supplier on our system and generating a purchase order (PO) number. We also require the PO number

to be included on the invoice. Given the complexity of our internal processes, we cannot always guarantee that payment will be made within 30 days of receiving the invoice.

We recommend that you wait until you have confirmation that your account has been created and the purchase order number has been shared with you. You must wait for the PO number and include it on any invoice as invoices without a PO number will be rejected.

**I am a publisher, and my organisation requires payment upon submission of the author's accepted manuscript. As the author does not have an institution that can support the open access costs, can UKRI pay upon submission of the author's accepted manuscript with the right for the publisher to request repayment if the book is not published open access immediately with a Creative Commons license?**

No. UKRI's payment processes are designed to build funding assurance within the system. As such we cannot transfer funds before the open access requirement is met. In addition, UKRI is not party to the contract between the author and their publisher and as such could not require or easily enforce the return of funding in the event of a publication not meeting our open access requirement.