# UKRI Open Access Funding (Guidance)

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# Introduction

* 1. The University of Stirling is in receipt of an Open Access Block Grant from UK Research and Innovation (UKRI OA Block Grant) in support of open access publishing costs for peer-reviewed research articles arising from research funded by UKRI, subject to availability of funds.
	2. The University also facilitates the application process to UKRI’s centrally managed OA Fund for longform publications in scope of its policy (UKRI Longform Publications OA Funding).
	3. To support UKRI-funded authors in complying with the terms of their grants, the University has prepared this guidance document to capture the scope, application process, and other relevant information about open access funding available to UKRI-funded Stirling authors.
	4. The UKRI OA Block Grant is subject to UKRI’s Open Access Policy and the terms and conditions under which the Block Grant is issued.
	5. As and when funder and institutional policies change, this guidance document will be updated. The University’s [Open Access Glossary](https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/glossary-of-open-access-terms/)[[1]](#footnote-1) may be helpful in defining terms used in this guidance document.
	6. Stirling authors whose research articles and longform publications do not directly arise from UKRI-funded research should consult the separate [University Open Access Fund Guidance](https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/university-open-access-policy/)[[2]](#footnote-2).

# **UKRI OA Policy**

2.1 UKRI-funded authors are responsible for ensuring their research publications are in compliance with the [UKRI Open Access Policy](https://www.ukri.org/publications/ukri-open-access-policy/)[[3]](#footnote-3). In addition to the policy, a Frequently Asked Questions guide goes into more detail about the compliance and licensing requirements for research articles and longform publications, as well as the funding available.

# Eligibility

* 1. Researchers affiliated to the University, including staff members, postgraduate research and taught students, and undergraduates whose research outputs directly arise from the UKRI-funded research are eligible for funding from the UKRI OA Block Grant or UKRI Longform Publications OA Funding.
	2. Research articles arising directly from a UKRI training grant are in scope of UKRI’s OA Policy. Longform publications arising directly from a UKRI training grant are not in scope of UKRI’s OA Policy but are eligible for funding, should they pursue open access.

# Available Funding

* 1. Different streams of funding are available for publishing UKRI-funded research outputs in open access.

## 4a UKRI-funded peer-reviewed research articles

* The UKRI OA Block Grant awarded to the University is used to cover directly incurred costs like APCs and certain publishing agreements which allow publishing in open access at no cost to Stirling authors.
* There are generally sufficient funds available to cover all UKRI-funded research articles in a given year and there is no limit to the amount of funding which can be applied for in a single instance or cumulatively over any given period by an author.
* If there are insufficient funds available in the UKRI OA Block Grant and open access via the repository route is not possible, applications for funding will be considered under the [University’s OA Fund criteria](https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/university-open-access-policy/)[[4]](#footnote-4). This guidance is available separately.

## 4b UKRI-funded long-form publications (monographs, book chapters, edited collections)

* The UKRI Longform Publications OA Funding is centrally managed by UKRI and maximum amounts of funding are available based on output type. *Authors are strongly encouraged to select publishing venues whose fees fall below the funding maximums outlined below.*
* Publishing services are subject to VAT so the amounts below are inclusive of VAT:
	+ Book Processing Charge: £10,000
	+ Chapter Processing Charge: £1,000
* Where quoted open access publishing costs are in excess of the eligible UKRI costs, authors should discuss with publishers the maximum funding available from UKRI and other available compliant routes (e.g. reduced embargo period) to try and reach an agreement. Limited other funding options may be available to ensure compliance and authors must demonstrate other pathways are not available. Authors can contact RIBE at openaccess@stir.ac.uk for support with arranging a compliant route.
* Some funding may be available from UKRI for Rights Clearance Costs (for third-party copyrighted materials). However, this is included in the maximum amount available for each output and so these costs can and should still be primarily included in grant applications.

Alternative funding models supported by the University can receive funding from UKRI where UKRI-funded longform publications are published by Stirling authors. Funding is available up to £6,000 for a first output and up to an additional £3,000 per subsequent outputs in the same outlet. *Authors publishing under an alternative model which does not require a BPC should therefore notify* *openaccess@stir.ac.uk* *before signing a publishing contract.*

# Application Process

* 1. Applications for UKRI OA funding (through the Block Grant or for Longform Publications OA Funding) should be made **before** submitting an output for publication or so that funds can be confirmed.
	2. For research articles, where an existing publishing agreement will mean there is no cost to the author to publish in open access, an application is not required. Whether an application is required is usually noted on the University’s website under [Where to Publish](https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/where-to-publish/#item%202)[[5]](#footnote-5).
	3. For longform publications, if a publishing model does not require the author to pay a fee to publish in open access, authors should still notify openaccess@stir.ac.uk of their intended publication. UKRI will make funding available to institutions directly to support alternative publishing models that don’t rely on a BPC.
	4. For longform publications, rights clearance costs for third-party copyrighted materials should be applied for via the University Portal following the process for UKRI-funded peer-reviewed research articles. Where they are included in an application to the UKRI central fund, the costs will be deducted from the applicable maximum funding available for other charges.

## 5a UKRI-funded peer-reviewed research articles

* Login to the [University Portal](https://portal.stir.ac.uk/)[[6]](#footnote-6) and select ‘Apply for APC Funding’ from the bottom right panel headed ‘I Want to..’
* Complete the OA Fund Application Form by providing all required information (fields marked with \*) and as much relevant information as possible.
* Your application will be delivered to openaccess@stir.ac.uk and you should receive a response within a reasonable period. If more information is required, or additional approvals (e.g. student’s supervisor), this will be requested from you.
* UKRI-funded researchers should be sure to include the relevant UKRI project details, including grant number and Worktribe reference.

## 5b UKRI-funded long-form publications (monographs, book chapters, edited collections)

* Complete the [UKRI Longform Publications Application Form](https://forms.office.com/e/vdZAzGA5N6)[[7]](#footnote-7) before signing a contract with a publisher. The form is submitted to RIBE who will prepare an application to UKRI on your behalf.
* Provide all the required details, including the UKRI grant number and Worktribe reference, and any additional information which may be relevant to your application.
* Applicants will be contacted directly if more information is required for their application.
* When a decision is received from UKRI, you will be informed and, if successful, next steps will be confirmed. This should normally be within three (3) weeks of submitting the application form.

# Decision Making

* 1. Applications for OA funding for UKRI-funded research outputs are evaluated on:
1. Whether the output is in scope of the UKRI OA Policy?
2. Whether the publishing venue or route and license option are compliant with the UKRI OA Policy?
3. For research articles, whether funds are still available in the UKRI OA Block Grant? If there are insufficient funds available, the application would be considered under the [University’s OA Fund criteria](https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/university-open-access-policy/)[[8]](#footnote-8). This guidance is available separately.
4. For longform publications where the costs are in excess of the maximum amount of funding available from UKRI for each output type and no other compliant route is available:
	1. Has the Applicant demonstrated they have tried to contain costs, for example, by negotiating with the publisher to reduce the BPC?
	2. Has the Applicant demonstrated they have tried to pursue compliance via the repository route, for example, by negotiating to reduce the embargo period for the Author Accepted Manuscript version?
	3. Has the Applicant made a convincing case that this is the only appropriate publisher for the output?

On a case-by-case basis, in consultation with RIBE, it may be possible to allocate funds from the University’s OA Fund to cover the different in cost rather than apply for an exemption from the UKRI OA Policy.

# Predatory Publishing

* 1. Predatory publishing generally refers to publishers who exploit open access models by charging a fee for the publication of material without providing the services an author would expect such as peer review and editing which can allow poor quality research into circulation.
	2. Prior to agreeing to pay fees for open access publishing, various checks can be performed to evaluate a journal, publisher, or publishing platform.
	3. Note: Publication practices vary from country to country, and it is important to consider cultural differences. There are several factors to evaluate and there may be valid reasons that a journal or publisher does not pass certain checks. Use your best judgement when determining a place of publication for your research outputs. More information is available on the University’s website [How to Spot Predatory Publishers](https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/where-to-publish/how-to-spot-predatory-publishers/#d.en.67205)[[9]](#footnote-9) and a number of online tools and guides also exist.

# Additional Support

Queries about open access publishing for UKRI-funded research outputs should be directed to openaccess@stir.ac.uk.

1. <https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/glossary-of-open-access-terms/> [↑](#footnote-ref-1)
2. <https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/university-open-access-policy/> [↑](#footnote-ref-2)
3. <https://www.ukri.org/publications/ukri-open-access-policy/> [↑](#footnote-ref-3)
4. <https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/university-open-access-policy/> [↑](#footnote-ref-4)
5. <https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/where-to-publish/#item%202> [↑](#footnote-ref-5)
6. <https://portal.stir.ac.uk> [↑](#footnote-ref-6)
7. <https://forms.office.com/e/vdZAzGA5N6> [↑](#footnote-ref-7)
8. <https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/university-open-access-policy/> [↑](#footnote-ref-8)
9. <https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/where-to-publish/how-to-spot-predatory-publishers/#d.en.67205> [↑](#footnote-ref-9)