UK Research and Innovation

UKRI Open Access Review: Consultation

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Due to the COVID-19 pandemic UKRI is extending the deadline for submissions to this consultation by six weeks to noon on Friday 29 May 2020. The original deadline was noon on Friday 17 April 2020. UKRI will however keep the position under review as the situation evolves. The latest updates will be made available here: www.ukri.org/news/coronavirus-impact-on-ukri-supported-research/

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Executive Summary

Purpose

1. Operating across the whole of the UK with a combined budget of more than £7 billion, UK Research and Innovation (UKRI) brings together the seven Research Councils, Innovate UK and Research England. It is currently reviewing its open access (OA) policies for research publications. UKRI aims to ensure that the findings of research it supports can be freely accessed and widely reused in ways that can benefit research and innovation and maximise opportunities for human knowledge, and economic, social and cultural impact.

2. The UKRI Open Access Review will determine a single UKRI OA policy for research articles and long-form research publications that acknowledge funding from UKRI and its constituent councils. **This document sets out UKRI's proposed OA policy and related considerations for consultation**. UKRI will use responses to inform its final policy which it intends to announce in 2020.

3. **This document also includes high-level questions to help inform the development of the OA policy for research outputs submitted to the UK-wide Research Excellence Framework (REF) exercise following REF 2021 (REF-after-REF 2021)**. The REF is jointly owned and governed by the UK higher education (HE) funding bodies. As far as possible, they and UKRI are seeking policy commonality to aid compliance and promote OA. The intention is that compliance with UKRI's OA policy will result in compliance with the OA policy for the REF-after-REF 2021. Informed by the outcomes of UKRI's review, the UK HE funding bodies will launch a detailed REF-specific OA consultation no later than six months after UKRI's policy is announced, which will inform their decisions on the OA policy for the REF-after-REF 2021.

4. **The Research Councils UK (RCUK) Policy on Open Access and REF 2021 OA policy should continue to be followed until further notice. No changes will be made to the REF 2021 OA policy.**

Key points

5. For **peer-reviewed research articles**, UKRI's proposed OA policy would apply to in-scope articles accepted for final publication on or after **1 January 2022** in journals, in conference proceedings and on OA publishing platforms, and which acknowledge UKRI funding. In summary, the proposed requirements are for: (i) the version of record to be made freely and immediately available online via a journal or OA publishing platform; or (ii) the author's accepted manuscript or version of record to be made freely and immediately available without an embargo via an institutional or subject repository. UKRI would require the OA version to be made available with a Creative Commons attribution (CC BY) licence.

6. UKRI is also considering other options and issues that could form part of its policy for **peer-reviewed research articles**, including: (i) a case-by-case exception allowing a CC BY-ND (no derivatives) licence; (ii) a requirement for journals, platforms and repositories to meet certain technical standards for access and discovery; (iii) whether to require authors (or their institutions) to retain copyright and/or certain reuse rights; (iv) terms and conditions on the use of UKRI OA funds, including not permitting these funds to be used for publication in hybrid journals or on hybrid publishing platforms unless these are part of a transformative agreement or similar arrangement.

7. To increase access to the outcomes of publicly funded research, UKRI is extending its OA requirements to include academic monographs, book chapters and edited collections that acknowledge UKRI funding. Its proposed policy takes into account that this requirement is new and that the OA environment for books is different.

8. For **monographs, book chapters and edited collections**, UKRI's proposed policy would apply from **1 January 2024**, unless a contract has been signed before this date that prevents adherence to the policy. In summary, the proposed requirements are for the final version of record or the peer-reviewed author's accepted manuscript to be made free to view and download via an online publication platform, or an institutional or subject repository. OA would be required within a maximum of 12 months of publication, with a preference for immediate OA. For the OA version, a CC BY licence is preferred but CC BY-ND would be compliant.

9. UKRI is also considering other options and issues that could form part of its policy for **monographs, book chapters and edited collections**, including: (i) definitions of in-scope monographs, edited collections and book chapters; (ii) potential exceptions, including where significant reuse of third-party materials is required; (iii) whether to require copyright and/or rights retention.

10. For both research articles **and** monographs, book chapters and edited collections, UKRI is also seeking views to inform considerations relating to: (i) actions to support policy implementation, including funding and infrastructure support; (ii) potential wider implications of the proposed policy, including in relation to equality, diversity and inclusion.

Action required

11. Please respond to this consultation by **noon** on **Friday 29 May 2020** using the **online form** which can be accessed at https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/. Responses are invited from inside and outside the UK, from any organisation, group or individual with an interest in research and innovation.

Further information

12. For further information about the UKRI Open Access Review and this consultation, see https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/. Enquiries about this consultation should be emailed to openaccessconsultation@ukri.org

13. For further guidance on the RCUK Policy on Open Access, see https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/

14. For further guidance on the REF 2021 OA requirements, see https://www.ref.ac.uk/guidance/

Introduction

Background

15. The public has the right to expect that research and innovation supported by the public purse has the maximum possible impact. The UK government and UKRI recognise open research as an important part of achieving this, being a key foundation for a research culture and environment that fosters excellent research and innovation. It ensures that research is accessible, transparent and cooperative and produces better-quality outputs more efficiently. Open research has several components across the whole research process, with OA to research publications being a current priority for UKRI.

16. UKRI supports the principle that the published outputs of publicly funded research should be widely and freely accessible to all, under conditions that allow for maximum reuse. OA can benefit researchers, students, research organisations, industry, policy makers, practitioners, citizen scientists and many others who undertake and use research. For example, OA can help to:

    - maximise the academic, social and economic impact of research, by making research findings more easily accessible and reusable for a wider range of audiences, including for research, innovation and teaching and to support public engagement
    - enhance the integrity and rigour of research through greater openness, transparency and increased opportunity for findings to be scrutinised
    - improve the efficiency of research and of scholarly communication by reducing duplication and enabling easier access to research and identification of past findings.

17. Following the 2012 independent review by Professor Dame Janet Finch,[1] the government adopted the position that publicly funded research should be made OA with a preference for immediate OA at point of publication. Indeed, researchers, funders, research organisations, publishers and other stakeholders have worked together in the UK to achieve some of the highest levels of OA in the world, and the OA policies of the Research Councils and REF 2021 (see paragraphs 25-26) have made important contributions to this progress. The proportion of UK-authored articles available immediately on publication rose from 20% to 37% between 2014 and 2016 (compared with 25% globally) and over half can be read online for free, one year after publication.[2] Evidence gathered in 2017 demonstrated significant progress towards the REF 2021 OA requirements in its first year, showing 80% of in-scope outputs were meeting the requirements or fitting the criteria for the established exceptions.[3]

18. As research and scholarly communication are global endeavours, it is important to achieve international consensus on OA. In 2016, ministers from across Europe agreed that a transition to immediate OA as the default for all research articles should be achieved by 2020. Since then international OA initiatives such as OA2020[4] and Plan S, a funder initiative supported by UKRI (see paragraph 33), have sought to accelerate a sustainable transition to OA.

1 Working Group on Expanding Access to Published Research Findings (2012). Accessibility, sustainability, excellence: how to expand access to research publications. https://www.acu.ac.uk/research-information-network/finch-report-final

2 Universities UK (2017). Monitoring the transition to open access. https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/monitoring-transition-open-access-2017.aspx. Tickell, A. (2018). Open access to research: independent advice – 2018, p.5. https://www.gov.uk/government/publications/open-access-to-research-independent-advice-2018

3 Research England (2018). Monitoring sector progress towards compliance with funder open access policies. https://re.ukri.org/news-events-publications/publications/monitoring-sector-progress-towards-compliance-with-funder-open-access-policies/

4 https://oa2020.org/

19. Although progress has been made, the transition to immediate OA has been slower than expected and there are challenges for research organisations to achieve this in a financially sustainable way.[5] For example, analysis by the Universities UK Open Access Coordination Group found that between 2013 and 2016 the average OA article processing charge (APC) increased by 16% (compared with a rise of 5% in the Consumer Price Index), alongside a 20% increase in expenditure on journal subscriptions.[6]

20. In reviewing its OA policies, UKRI seeks to build on progress to date and to maintain the UK's leadership in opening up research, while taking into account how to achieve cost-effectiveness for the research sector.

UKRI Open Access Review

21. The UKRI Open Access Review was launched in autumn 2018. UKRI is seeking to learn from progress made and challenges arising under the existing policies of its councils and from broader developments in OA, to understand how to best move forward in terms of implementing the government's ambition to transition to full and immediate OA for publicly funded research.

22. UKRI's objectives are to review and develop its OA policies in order to:

    - enhance the research, societal and economic benefits that can be derived from UKRI-funded research by improving access to research outputs
    - deliver sustainable support for OA and better value for money for public investment in research
    - seek policy join-up across UKRI's constituent bodies and policy that is clear, unambiguous and as easy as possible to comply with
    - encourage the development of new models of OA publishing
    - support the adoption of OA through collaboration and alignment with national and international partners.

23. To date, UKRI's review has considered evidence and views on how to progress OA from a wide range of stakeholders. It has considered external evidence and recommendations, such as Professor Adam Tickell's independent advice to the government and the work of the Universities UK Open Access Coordination Group.[7] UKRI has engaged with: university stakeholders, including researchers, research managers and leaders; a diverse range of publishers, learned societies and other associations; and representatives from government and industry. It has also consulted experts and held workshops to explore specific issues such as copyright and licensing. Stakeholders have agreed with the goal of OA, although have a range of views about how to achieve its implementation.

24. These engagement activities have helped to inform the policy proposals and questions in this consultation document. The readiness and constructiveness with which stakeholders have engaged with UKRI have been extremely helpful.

5 Tickell, A. (2018). *Ibid.*
6 Universities UK (2017). *Ibid.* pp.40-41.
7 Tickell, A (2018). *Ibid.* Universities UK (2017). *Ibid.*

25. The two existing OA policies relevant to UKRI's review are:

    - the RCUK Policy on Open Access, which applies to research articles published in journals and conference proceedings and that acknowledge Research Council funding.[8] It has been in place since 2013. Innovate UK applies the policy where a project has specifically identified a requirement to publish outcomes as a route to dissemination.[9] The policy has a preference for immediate OA of the final published version of a research article ('gold OA') with a CC BY licence, but also allows OA via deposit of the peer-reviewed author's accepted manuscript in a repository ('green OA')

    - OA requirements for research outputs submitted to the REF, which is jointly governed by the UK HE funding bodies (Research England,[10] the Scottish Funding Council, the Higher Education Funding Council for Wales and the Department for the Economy Northern Ireland). Following consultation with the sector, REF OA requirements were introduced for the first time for REF 2021, for outputs accepted for publication after 1 April 2016 and published on or before 31 December 2020.[11]

26. Both the RCUK and the REF 2021 OA policies state that research publications should be widely and freely accessible, with a licence that allows reuse. Other standards that support access and reuse are encouraged. The aim of both policies is for in-scope outputs to be OA as soon as possible. However, the RCUK policy has a more explicit preference for immediate OA.

27. UKRI's review will **determine a single OA policy across UKRI**, including the seven Research Councils, Research England and Innovate UK. It will cover in-scope research articles (including those published in conference proceedings), monographs, book chapters and edited collections that **acknowledge funding from UKRI and its constituent councils**. Proposals for this policy are presented in this consultation document. There will be a **requirement for UKRI funding to be acknowledged** in publications arising from research partially or fully funded by UKRI.[12]

28. **UKRI intends to announce its new policy in 2020**, following the conclusion of the review. The policy will come into force at later dates; questions on the timing of policy implementation are included in this consultation document. The new policy will supersede the RCUK Policy on Open Access, which should continue to be followed until further notice.

29. UKRI's review will also **inform the development of the OA policy for research outputs submitted to the UK-wide REF-after-REF 2021**. UKRI and the UK HE funding bodies share the view that the outputs of publicly funded research should be widely and freely accessible as soon as possible. As far as possible, they are seeking commonality between the UKRI and REF-after-REF 2021 OA policies, including a common policy position for outputs that fall within the scope of both policies. The aim of seeking to achieve this is to:

    - help meet the shared goal of ensuring that in-scope research outputs are OA

    - make compliance easier for authors and research performing organisations with respect to meeting the OA requirements of UKRI and the REF-after-REF 2021. **The UK HE funding bodies' intention is that compliance with UKRI's OA policy will result in compliance with the OA policy for the REF-after-REF 2021**.

8 RCUK (2013). RCUK Policy on Open Access. https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/

9 Guidance for academics applying via the joint electronic submission (Je-S) system. https://www.gov.uk/government publications/innovate-uk-completing-your-application-project-costs-guidance/guidance-for-academics-applying-via-theje-s-system

10 Research England is part of UKRI.

11 REF 2021 guidance on submissions. https://www.ref.ac.uk/publications/guidance-on-submissions-201901/

12 While UKRI encourages OA for all research outputs that result from UKRI funding, it recognises that it is difficult to directly trace research outputs that result from unhypothecated block grant funding provided by Research England to English HE providers. Therefore, where block grant funding from Research England is the only UKRI funding acknowledged on an output, it will be exempt from the OA policy requirements. Any other exemptions will be detailed when the final policy is published.

30. Although UKRI and the UK HE funding bodies are seeking policy commonality, they acknowledge that there are differences in the remit and governance of UKRI and REF OA policies (see Annex A for further details). They will use the present consultation to inform a common policy position for outputs that fall within scope of both policies and to identify where the OA policy for the REF-after-REF 2021 may need to diverge, if at all, from UKRI's proposed OA policy.

31. Informed by the outcomes of the UKRI review, **a detailed REF-specific OA consultation will be launched no later than six months after the UKRI policy is announced**, taking into account the work within higher education institutions (HEIs) associated with preparing submissions for REF 2021. It will build on the evidence gathered in this UKRI consultation and address REF-specific issues, including compliance, tolerance of non-compliance and specific exceptions. It will inform the UK HE funding bodies' decisions about the OA policy for the REF-after-REF 2021. **No changes will be made to the REF 2021 OA policy, which should be followed until further notice**.[13]

32. Wider aspects of open research, such as open data,[14] are beyond the scope of the UKRI's review and this consultation. However, UKRI recognises the importance of open data, together with OA, for enabling open research and is working with other funding bodies and organisations to promote good practice.[15] In reviewing its OA policy, UKRI seeks to ensure that links to wider open research are accounted for.

33. UKRI has joined cOAlition S, a consortium comprising research funders and foundations from across the world and supported by the European Commission and the European Research Council. The initiative is built around Plan S, which aims to make full and immediate OA a reality.[16] UKRI's proposed OA policy aligns with the ambition of Plan S. Its principles and guidance have been considered as part of the UKRI Open Access Review, along with other evidence. cOAlition S recognises that there will necessarily be differences in how funders adopt and implement Plan S. This consultation is specifically focused on UKRI's OA policy and it is not a consultation on Plan S. The outcomes of the review will determine decisions on UKRI's OA policy.

Purpose of this Consultation and How to Respond

34. This consultation seeks views and evidence on UKRI's proposed OA policy for publications acknowledging UKRI funding and related considerations (including funding and supporting infrastructure), which is summarised on pages 10-11. Detailed proposals, considerations and questions are set out as follows:

- Section A – research articles (paragraphs 44-88; questions 1-32)
- Section B – monographs, book chapters and edited collections (paragraphs 89-113; questions 33-56)
- Section C – monitoring compliance (paragraphs 114-119; questions 57-59)
- Section D – policy implications and supporting actions (paragraphs 120-124; questions 60-65)
- Section E – further comments, including the opportunity to provide evidence and case studies on the costs and benefits of OA more generally (questions 66-68).

13 The REF 2021 OA should continue to be followed until further notice at the beginning of the REF-after-REF 2021 publication window, which will start on 1 January 2021.
14 Research data (including the underlying data for research articles) that is made openly available in a way that is legal, ethical and economic.
15 https://www.ukri.org/funding/information-for-award-holders/data-policy
16 https://www.coalition-s.org/addendum-to-the-coalition-s-guidance-on-the-implementation-of-plan-s/principles-and-implementation/

35. As outlined in paragraphs 29-31, UKRI and the UK HE funding bodies are keen to understand where the OA policy for the REF-after-REF 2021 may need to diverge, if at all, from the UKRI OA policy proposed in this document. Sections A and B include some **high-level questions** relating to this issue. The UK HE funding bodies' separate, detailed REF-specific consultation (see paragraph 31) will build on evidence gathered through UKRI's consultation.

36. Responses to this consultation are invited from inside and outside the UK, from any organisation, group or individual with an interest in research and innovation. Some technical questions are specifically aimed at those involved in the publication process, although everyone is welcome to respond. **It is not necessary to respond to every question**.

> To enable UKRI to effectively analyse responses from different stakeholder groups, respondents are requested to provide some background information about themselves. **Please see Annex B**.

37. Responses must be made online by **noon** on **Friday 29 May 2020**, using the **online form** which can be accessed at https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/. Only responses received through the online form by the deadline will be considered. Please direct any enquiries about the consultation via email to openaccessconsultation@ukri.org. If you require a version of this document in a more accessible format, please contact us using the same email address.

38. **Please ensure you read this consultation document before completing the online response form** as it outlines the policy proposals and context relevant to each question. A **glossary of terms, abbreviations and acronyms** used in this document is provided at Annex C. A **supplementary document** listing all the questions as they appear in the online form can be downloaded at https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/.

39. UKRI commits to read, record and analyse responses to this consultation in a consistent manner. For reasons of practicality, usually a fair and balanced summary of responses rather than the individual responses themselves will inform any decision made. In most cases the strength of the arguments made is likely to be given more weight than the number of times the same point is made.

How UKRI Will Process and Share Your Responses

40. All personal data provided to UKRI in connection with this consultation will be processed in accordance with current UK data protection legislation. UKRI processes personal data on a 'public task' lawful basis.[17] Further information on how we use personal data and how you can exercise your rights as a data subject are set out in UKRI's Privacy Notice.[18]

41. UKRI intends to share responses to this consultation (excluding personal data) with its sponsor department, the Department for Business, Energy and Industrial Strategy (BEIS), and other UK government departments and agencies to help exploration of OA issues, as well as with the other UK HE funding bodies. Responses may be analysed by external consultants, who will process the data under UKRI's instructions and who will not use the data for any other purpose.

42. UKRI is subject to the Freedom of Information Act and the Environmental Information Regulations, which give a public right of access to any information held by a public authority.[19] Responses to this consultation may be disclosed on request unless an exemption applies.

17 Public task is one of the six GDPR lawful bases for processing personal data
18 https://www.ukri.org/privacy-notice/
19 UKRI is a public authority under the Freedom of Information Act.

43. Together with its final policy, UKRI will publish a summary analysis of responses to this consultation and an explanation of how they were considered in developing its final position.

Core elements of UKRI's proposed OA policy

Below are the core elements of UKRI's draft OA policy for research publications acknowledging UKRI funding. This includes a summary of key areas for further consideration. Full details and consultation questions are set out in Sections A-E of this document.

Peer-reviewed research articles

In-scope are peer-reviewed research articles, including reviews and conference papers, that are accepted for final publication in journals, in conference proceedings and on OA publishing platforms, and which acknowledge UKRI funding.

UKRI's proposed policy seeks full and immediate OA of in-scope research articles. It is proposed that research articles must be accessible immediately upon publication without an embargo, free of charge and under licence to maximise opportunity for reuse.

It is proposed that authors will be able to make in-scope research articles OA via different routes including:

- publishing with journals or OA publishing platforms that make the final version of record immediately OA via their websites, and with a CC BY licence[20]
- publishing with journals or platforms that allow the author's accepted manuscript or version of record to be made immediately OA with a CC BY licence via a subject or institutional repository.

UKRI is also considering other options and issues that could form part of the policy, including:

- allowing a CC BY-ND (no derivatives) licence as a case-by-case exception[21]
- requiring journals, platforms and repositories to meet certain access and discovery standards
- whether to require the author or their institution to retain the copyright of their publication or certain reuse rights
- terms and conditions on the use of UKRI OA funds, including not permitting these funds to be used for publication in hybrid journals or platforms unless these are part of a transformative agreement or similar arrangement.[22]

UKRI proposes that the policy will apply to in-scope research articles accepted for publication on or after 1 January 2022.

20 Further information: https://creativecommons.org/licenses/by/4.0/
21 Further information: https://creativecommons.org/licenses/by-nd/4.0/
22 Further information: https://esac-initiative.org/about/transformative-agreements/

Monographs, book chapters and edited collections

UKRI will also require monographs, book chapters and edited collections that acknowledge UKRI funding to be made OA. Core elements of the proposed policy under consideration are that:

- the final version of record or post-peer-review author's accepted manuscript must be free to view and download via an online publication platform or institutional or subject repository within a maximum of 12 months of publication
- the OA version should be published under a licence that maximises reuse and is appropriate to the content of the work; CC BY is strongly preferred but where necessary CC BY-ND will be permissible.

UKRI is also considering other options and issues that could form part of the policy, including:

- definitions of in-scope monographs, edited collections and book chapters
- potential exceptions, including where significant reuse of third-party materials is required
- whether to require the author or their institution to retain the copyright of their publication or certain reuse rights.

UKRI proposes that the policy will apply to in-scope monographs, book chapters and edited collections published on or after 1 January 2024, unless a contract has been signed before this date that prevents adherence to the policy.

Supporting actions

UKRI is seeking views and evidence to inform ongoing consideration of actions it might need to take to support the implementation of its proposed policy, including in relation to OA funding and infrastructure.

Section A: Research Articles

44. **This section seeks views on UKRI's proposed OA policy requirements and considerations for peer-reviewed research articles that acknowledge UKRI funding**. Monographs, book chapters and edited collections are addressed in Section B (see paragraphs 89-113).

45. **This section also includes high-level questions to inform the development of the OA policy for the REF-after-REF 2021 (see questions 2, 6, 11 and 18)**. Please see paragraphs 29-31 which outline what UKRI and the UK HE funding bodies are seeking to understand from these REF-specific questions.-

In-Scope Outputs

46. Within the scope of UKRI's proposed OA policy are **peer-reviewed research articles, including reviews and conference papers, that are accepted for final publication in journals, in conference proceedings with an International Standard Serial Number (ISSN) and on OA publishing platforms, and which acknowledge UKRI funding (as defined in paragraph 27)**.

Q1. To what extent do you agree or disagree that it is clear what research articles are in-scope of UKRI's proposed OA policy (see paragraph 46)? Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

If anything is unclear, please explain why (1,350 characters maximum, approximately 200 words).

Q2. Are there any additional considerations that the UK HE funding bodies should take into account when defining research articles that will be in-scope of the OA policy for the REF-after-REF 2021? Yes / No / Don't know / No opinion.

If yes, please expand (1,350 characters maximum, approximately 200 words).

Please see paragraphs 29-31 before answering this question.

OA Routes and Deposit Requirements

47. It is proposed that in-scope research articles will be considered compliant with UKRI's OA policy if:

    a. the final published version of the paper (the version of record) is made freely and immediately available online via a journal or OA publishing platform.[23]

    OR

    b. the version of record or peer-reviewed author's accepted manuscript is made freely and immediately available online at the time of publication in an institutional or subject repository; no embargo period would be permitted.

48. To ensure maximum access, discovery and reuse, an open licence would be required for the OA version (see paragraphs 50-56) and some other standards may be required of journals, repositories and OA publishing platforms (see paragraphs 62-69).

23 OA publishing platforms are publishing platforms for the original publication of research output. Platforms that merely serve to aggregate or re-publish content that has already been published elsewhere are not considered as such.

49. UKRI recognises journals, repositories and OA publishing platforms as compliant venues for in-scope peer-reviewed OA research articles, and the different roles that they can play in scholarly communication. To accommodate the current diversity of OA publishing approaches and ongoing innovation in scholarly communication, UKRI has no preference between repositories, journals or OA publishing platforms for the original peer-reviewed publication as long as its requirements for full and immediate OA are met.

Q3. In setting its policy, should UKRI consider any other venues for peer-reviewed research articles which are not stated in paragraph 47? Yes / No / Don't know / No opinion.

If yes, please expand (700 characters maximum, approximately 100 words).

Q4. Are there any specific challenges for you, your community or your organisation in terms of complying with the requirement in UKRI's proposed policy for immediate OA of in-scope research articles? Yes / No / Don't know / No opinion.

Please explain and, where possible, evidence your answer. UKRI notes that there will be a period allowing for implementation before the policy comes into force (see paragraph 70). (2,650 characters maximum, approximately 400 words.)

Q5. Should UKRI's OA policy require a version of all in-scope research articles to be deposited in a repository, irrespective of whether the version of record is made OA via a journal or publishing platform? Yes / No / Don't know / No opinion.

Please explain your answer (700 characters maximum, approximately 100 words). Please note that some Research Councils already require articles to be deposited in specific repositories, as detailed in the terms and conditions of funding. UKRI does not expect this to change.

Q6. For research articles, are there any additional considerations relating to OA routes, publication venues and embargo periods that the UK HE funding bodies should take into account when developing the OA policy for the REF-after-REF 2021? Yes / No / Don't know / No opinion.

If yes, please expand (2,000 characters maximum, approximately 300 words).

Please see paragraphs 29-31 before answering this question.

Licensing Requirements

50. Open and clear licensing of research outputs is important to maximise the opportunity for them to be reused, including for the purposes of research, education and innovation. UKRI proposes that in-scope research articles must be made available with a worldwide, royalty-free, non-exclusive, irrevocable licence allowing them to be shared and adapted for any purpose, provided proper attribution is given to the author.

51. **UKRI proposes requiring a CC BY licence for the OA version of all in-scope research articles**. This means the version of record where OA is achieved via a journal or OA publishing platform, or the deposited version where OA is achieved via a repository. The deposited version can be an authors' accepted manuscript or the version of record.

52. CC BY is an internationally applicable, machine-readable licence widely used in scholarly publishing and maximises opportunities for reuse. It preserves the moral rights of authors, who must be credited for the original work, and if any changes have been made this fact must be clearly indicated. CC BY can reduce barriers to reuse, including uncertainty about how information can be used or having to seek specific permissions. Many stakeholders UKRI's review has engaged thus far have expressed a preference for CC BY as the most suitable licence for all versions of research articles that are in-scope of the proposed policy.

53. UKRI's OA policy may include the following exceptions to the CC BY requirement:

    a. **UKRI is considering introducing an exception allowing a CC BY-ND licence for the OA version of a research article, on a case-by-case basis**; researchers and their institutions would be required to explicitly request and justify the need for an exception; this consideration takes account of concerns expressed by some arts, humanities and social sciences (AHSS) stakeholders that CC BY may not sufficiently protect content from being misrepresented or misused due to the nature of AHSS research; UKRI welcomes additional evidence supporting whether this exception is needed or not, including any implications for OA.

    b. an Open Government Licence (OGL)[24] would be considered compliant where authors include Crown body employees subject to Crown copyright.

54. **UKRI supports innovation and therefore a CC BY-NC (non-commercial) reuse licence would not be compliant with its proposed OA policy**.[25] Stakeholders have also raised concerns that CC BY-NC could act as a barrier to non-commercial reuse due to ambiguities about what constitutes 'commercial' and 'non-commercial' reuse in relation to research activities.

55. Research articles published under a liberal licence (such as CC BY) may include third-party materials (such as images, photographs or maps) which are subject to a more restrictive licence. UKRI considers this approach compliant with its proposed policy. Researchers are also encouraged to consider the reuse of third-party materials under relevant UK exceptions to copyright such as the 'non-commercial research' exception, where appropriate.[26] However, UKRI welcomes views and evidence relating to any implications of its proposed policy for research articles containing third-party materials.

56. The current RCUK Policy on Open Access already requires CC BY where the version of record is made immediately OA via the publisher's website. Where OA is achieved via self-archiving of the author's accepted manuscript, at a minimum a licence allowing non-commercial reuse is required (CC BY-ND is not compliant), although CC BY is preferred.

24 Further information: http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/
25 Further information: https://creativecommons.org/licenses/by-nc/4.0/
26 Guidance: Exceptions to Copyright. https://www.gov.uk/guidance/exceptions-to-copyright

Q7. To what extent do you agree or disagree that where compliance with UKRI's OA policy is achieved via a repository, a CC BY licence (or OGL where needed) should be required for the deposited copy? Strongly agree / Agree / Neither Agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain your answer (1,350 characters maximum, approximately 200 words).

Q8. To what extent do you agree or disagree that UKRI's OA policy should have a case-by-case exception allowing CC BY-ND for the version of record and/or author's accepted manuscript. Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain your answer. UKRI particularly welcomes evidence supporting: specific cases where ND is considered necessary; an ND exception not being necessary; any implications an ND exception could have for access and reuse (2,000 characters maximum, approximately 300 words).

Q9. Would the proposed licensing requirements for UKRI's OA policy, which exclude third-party content (see paragraph 55), affect your or your organisation's ability to publish in-scope research articles containing third-party content? Yes / No / Don't know / No opinion.

If yes, please explain how (1,350 characters maximum, approximately 200 words).

Q10. Are there other considerations UKRI should take into account regarding licensing requirements for research articles in-scope of its proposed OA policy? Yes / No / Don't know / No opinion.

If yes, please expand (1,350 characters maximum, approximately 200 words).

Q11. For research articles, are there any additional considerations relating to licensing that the UK HE funding bodies should take into account when developing the OA policy for the REF-after-REF 2021? Yes / No / Don't know / No opinion.

If yes, please expand (2,000 characters maximum, approximately 300 words).

Please see paragraphs 29-31 before answering this question.

Copyright and Rights Retention

57. Publishers often require authors to assign or exclusively license to them some or all of the copyright to their publications. UKRI has heard from stakeholders that this can prevent authors from freely sharing and reusing their own publications, including depositing their author's accepted manuscript in a repository and ensuring it has an appropriate reuse licence to comply with funder and institutional requirements.

58. Copyright retention is already acknowledged in existing policies. REF 2021 guidance advises institutions to fully consider the extent to which authors currently retain or transfer copyright of works published by their researchers, as part of creating a healthy research environment.[27] The RCUK Policy on Open Access states that authors are expected to retain the copyright of their author's accepted manuscripts.[28]

27 REF 2021 guidance on submissions, p.27. https://www.ref.ac.uk/publications/guidance-on-submissions-201901/
28 RCUK (2013). *RCUK Policy on Open Access and supporting guidance*, p.8. https://www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/

59. UKRI shares the view of cOAlition S that copyright should remain with the author or their institution, with work done by the publisher recognised for the services they provide. cOAlition S has stated that it will develop or adopt a model 'licence to publish' to facilitate this. UKRI also recognises that there are institutional initiatives, for example the UK Scholarly Communications Licence,[29] to facilitate retention of certain rights, such as the right to deposit an author's accepted manuscript with a CC BY licence in a repository.

60. To ensure articles arising from UKRI-funded research can be made OA and widely reused by authors and others, **UKRI is considering requiring authors or their institutions to retain copyright and/or certain reuse rights to in-scope research articles**. However, UKRI seeks to ensure that any requirement would enhance OA and reuse beyond that enabled by requiring a CC BY licence. Such a requirement would also have implications for compliance monitoring. UKRI welcomes further views to inform its consideration of this issue.

61. UKRI has also heard from stakeholders that due to the complexity of copyright and licensing policies and options in scholarly publishing, researchers may need additional support to ensure their research outputs are appropriately licensed for dissemination and reuse by themselves and others. UKRI welcomes views about possible actions to support the implementation of its policy (see Section D).

Q12. Which statement best reflects your views on whether UKRI's OA policy should require copyright and/or rights retention for in-scope research articles?

a. UKRI should require an author or their institution to retain copyright and not exclusively transfer this to a publisher

b. UKRI should require an author or their institution to retain specific reuse rights, including rights to deposit the author's accepted manuscript in a repository in line with the deposit and licensing requirements of UKRI's OA policy

c. UKRI should require an author or their institution to retain copyright AND specific reuse rights, including rights to deposit the author's accepted manuscript in a repository in line with the deposit and licensing requirements of UKRI's OA policy

d. UKRI should not have a requirement for copyright or rights retention

e. Don't know

f. No opinion

Please explain your answer. UKRI particularly welcomes views as to whether it is necessary to require copyright and/or rights retention if its policy were to require a CC BY licence, which enables reuse. If you selected answer b or c, please state what reuse rights you think UKRI's OA policy should require to be retained (2,000 characters maximum, approximately 300 words).

Please note that views are not sought on whether institutions should hold the copyright to work produced by their employees as this is subject to Section 11 of the Copyright, Designs and Patents Act 1988 and institutional copyright policies.[30]

29 Further information: https://ukscl.ac.uk/
30 Further information: http://www.legislation.gov.uk/ukpga/1988/48/part/I/chapter/I/crossheading/authorship-and-ownership-of-copyright

Technical Standards Requirements

62. This subsection focuses on technical standards for **research articles** in-scope of UKRI's proposed OA policy. It particularly considers technical standards in relation to publication venues (including repositories).

63. Technical standards support full and immediate OA by ensuring research outputs are findable, accessible, interoperable and reusable (such as for text and data mining). They can also reduce the burden associated with monitoring compliance.

64. UKRI's existing OA policies acknowledge the need for technical standards and encourage their use, but in most cases do not mandate them. Since the existing OA policies were implemented, standards have evolved and generally there is improved uptake and implementation of technical standards. Stakeholders have informed UKRI's review that further adoption of technical standards which are based on international practice is desirable as this will help to deliver the benefits of OA.

65. **UKRI proposes that its OA policy should require in-scope research articles to be published or deposited in journals, on OA publishing platforms and in repositories that fulfil the standards set out below (see paragraphs 67-68).**

66. UKRI recognises that in some cases additional work would be needed to further define and implement these proposals, including specific standards that should be required. For example, defining a minimum requirement for article-level metadata and the associated application profile will depend on the outcome of UKRI's review and the resulting final policy requirements. UKRI is aware that while standards and adoption have matured there are still barriers to implementation, for example capturing some metadata information can be difficult. UKRI therefore welcomes views on further actions that it and other stakeholders could consider to assist with implementation.

67. **Proposed standards for journals and OA publishing platforms:**

    a. persistent digital object identifiers (PIDs) for research outputs must be implemented according to international standards such as DOI,[31] URN[32] or Handle[33]

    b. article-level metadata must be used according to a defined application profile that supports UKRI's proposed OA policy and is available via a CC0[34] public domain dedication; the metadata standard must adhere to international best practice such as the Crossref schema[35] and OpenAIRE guidelines[36]

    c. machine-readable information on the OA status and the licence must be embedded in the article in a standard non-proprietary format

    d. long-term preservation must be supported via a robust preservation programme such as CLOCKSS[37], Portico[38] or an equivalent

    e. openly accessible data on citations must be made available according to the standards set out by the Initiative for Open Citations (I4OC)[39]

    f. self-archiving policies must be registered in the SHERPA RoMEO database[40] that underpins SHERPA/FACT

31 Digital Object Identifier system. Further information: https://www.doi.org/
32 Uniform Resource Name. Further information: https://tools.ietf.org/pdf/rfc8141.pdf
33 Handle.Net® Registry. Further information: http://www.handle.net/
34 Further information: https://creativecommons.org/share-your-work/public-domain/cc0/
35 Further information: https://support.crossref.org/hc/en-us/categories/201744683-Metadata-and-Schema
36 Further information: https://openaire-guidelines-for-literature-repository-managers.readthedocs.io/en/v4.0.0/application_profile.html; https://guidelines.openaire.eu/en/latest/cris/index.html
37 Controlled LOCKSS (Lots of Copies Keeping Stuff Safe). Further information: https://clockss.org/
38 Further information: https://www.portico.org/
39 Further information: https://i4oc.org/
40 SHERPA: Securing a Hybrid Environment for Research Preservation and Access; RoMEO: Rights Metadata for Open Archiving. Further information: https://www.jisc.ac.uk/sherpa

g. unique PIDs for research management information must be used and must include the use of ORCID to identify all authors and contributors.[41]

68. **Proposed standards for institutional and subject repositories:**

    a. PIDs for research outputs must be implemented according to international standards such as DOI, URN or Handle

    b. article-level metadata must be implemented according to a defined application profile that supports the proposed UKRI OA policy and is available via a CC0 public domain dedication; this should include the persistent identifier to both the author's accepted manuscript and the version of record; the metadata standard must adhere to international best practice such as the OpenAIRE guidelines

    c. machine-readable information on the OA status and the licence must be embedded in the article in a standard non-proprietary format

    d. unique PIDs for research management information must be used and must include the use of ORCID to identify all authors and contributors

    e. the repository must be registered in the Directory of Open Access Repositories (OpenDOAR).[42]

69. The RCUK Policy on Open Access requires, where applicable, papers to include a statement on how underlying research materials, such as data, samples or models, can be accessed. UKRI's proposed OA policy will retain this requirement. UKRI welcomes views on whether there are technical standards and/or best practices that it could consider mandating as part of its OA policy that would help authors or publishing venues fulfil this requirement.

41 Further information: https://orcid.org/
42 Further information: https://v2.sherpa.ac.uk/opendoar/

Q13. Regarding research articles in-scope of UKRI's OA policy, to what extent do you agree or disagree with each of the seven proposed technical standard requirements for journals and OA publishing platforms?

For **each** of the seven standards (see paragraphs 67a-67g): Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

For **each** of the seven standards (see paragraphs 67a-67g), **please explain your answer** (700 characters maximum, approximately 100 words, per standard).

Q14. Regarding research articles in-scope of UKRI's OA policy, to what extent do you agree or disagree with each of the five proposed technical standard requirements for institutional and subject repositories?

For **each** of the five standards (see paragraphs 68a-68e): Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

For **each** of the five standards (see paragraphs 68a-68e), **please explain your answer** (700 characters maximum, approximately 100 words, per standard).

Q15. To support the adoption of technical standards for OA, are there other standards, actions and/or issues UKRI should consider? Yes / No / Don't know / No opinion.

Please explain your answer (2,650 characters maximum, approximately 400 words).

Q16. To support the implementation of UKRI's proposed OA policy requirement for research articles to include an access statement for underlying research materials (see paragraph 69), are there any technical standards or best practices that UKRI should consider requiring? Yes / No / Don't know / No opinion.

Please explain your answer (1,350 characters maximum, approximately 200 words).

Timing of Implementation

70. UKRI intends to announce its final OA policy for publications acknowledging UKRI funding before the end of 2020. It is proposed that the policy will apply to in-scope research articles **accepted for publication on or after 1 January 2022**. In considering when the policy might apply, UKRI is seeking to balance the advancing of full and immediate OA to the research it funds with the provision of adequate time to prepare for the policy's implementation.

Q17. UKRI's OA policy is proposed to apply to in-scope research articles accepted for publication on or after 1 January 2022. Which statement best reflects your views on this?

a. The policy should apply from 1 January 2022

b. The policy should apply earlier than 1 January 2022

c. The policy should apply later than 1 January 2022

d. Don't know

e. No opinion

Please explain your answer. UKRI particularly welcomes detailed evidence as to the practical implications of the choice of date. If you selected b or c, please also state what you consider to be a feasible implementation date (2,000 characters maximum, approximately 300 words).

The UK HE funding bodies recognise that due notice will be needed prior to implementation of the OA policy for the REF-after-REF 2021, which will be consulted on in detail after UKRI's OA policy is announced (see paragraphs 29-31). It is therefore anticipated that the OA policy for the REF-after-REF 2021 will not come into effect on 1 January 2021 (that is, at the beginning of the publication period for the REF-after-REF 2021 exercise). The REF 2021 OA policy should be followed until further notice.

Q18. For research articles, are there any considerations that UKRI and UK HE funding bodies need to take into account regarding the interplay between the implementation dates for UKRI's OA policy and the OA policy for the REF-after-REF 2021? Yes / No / Don't know / No opinion.

If yes, please expand (2,000 characters maximum, approximately 300 words).

Supporting Actions: Public Value, Costs and Funding

71. As part of this consultation, UKRI welcomes views and evidence on how it might effectively support OA of **peer-reviewed research articles** in a way that is cost-effective for the research and innovation sector and offers public value for the UK. Funding in relation to monographs, book chapters and edited collections is addressed in Section C (see paragraph 110 and question 53).

72. UKRI and BEIS are commissioning further independent analysis, to be considered alongside the evidence gathered through this consultation, to help assess the possible implications for various groups, including direct costs and benefits and wider social and economic implications.

73. The benefits of OA are relevant to many groups, including researchers, industry, policy makers, learners and the public, whereas the costs are more relevant to those closer to the funding, production and publication of research. This subsection especially seeks views from research performing organisations, publishers and other relevant stakeholders on the **levels**, **mechanisms and purposes** of funding that UKRI provides to support OA of research articles. There is an opportunity to respond more generally on costs and benefits of OA under Section E (see question 68).

74. In considering the **level** of funding UKRI should provide to support OA, it is important to understand the extent to which present public funding is cost-effective and the existing levels of funding across the research system that can support OA publication costs. The RCUK Policy on Open Access, published in 2013, supposed a transition period of five years for the UK to move to OA. It was anticipated that there would be 'offsetting'

between costs for OA and subscription costs. Evidence shows this transition has not been achieved. However, there have been significant recent developments in the UK and globally in this regard. These include new forms of agreement with publishers that support both OA publication for subscribers and read access to other paywalled content (often referred to as 'read and publish' or 'transformative' or 'transitional' agreements).[43] These agreements demonstrate the willingness of some publishers and learned societies to offset subscription costs with OA charges, and that existing subscription funds can be transitioned to support OA. However, UKRI recognises that these agreements are at an early stage and will require time to be set in place more broadly.

75. UKRI welcomes additional evidence on the causes of cost rises (including OA article processing charges (APCs) and subscriptions) and on the changing balance between subscription and OA costs, as well as suggestions to reduce costs and move to more sustainable OA funding models at a faster pace.

76. The extent to which OA funding that UKRI provides supports publishing services is also a consideration. UKRI recognises the range of valuable services that publishers provide in helping to disseminate research. It also recognises that commercial publishers seek to use publishing income to support other aspects of their business and that learned societies can depend on surplus income derived from publishing to support other activities. However, UKRI needs transparency and assurance regarding the value for money of its investments, and assurance that funding it provides for all aspects of the publishing process is used for its intended purpose. An additional consideration is that the UK accounts for 7% of global research publications.[44] A UKRI policy will therefore have a limited effect on global suppliers, although UKRI is aware that for some publishers and learned societies the UK market is significant.

77. To inform future funding of OA, UKRI needs to consider sustainability of the diversity of the publishing sector including providing the opportunity for new entrants and models for publishing. Other considerations include changes, which may result from new policies, in the distribution of costs borne by the research and higher education sector for publishing and accessing the research they produce. These include the effect on research-intensive organisations of a transition from reading costs towards publishing costs.

78. UKRI welcomes views and evidence about changes or alternatives to its present funding **mechanisms** for publishing and accessing research that could help support and encourage a diversity of OA models. UKRI currently provides public funding to research organisations that can be used to support OA, via two mechanisms: (i) an **OA block grant** to eligible research organisations, which supports authors to comply with the RCUK Policy on Open Access;[45] (ii) **block grant funding for research** that Research England allocates to English HEIs.[46] All the UK HE funding bodies provide block grant funding for research and recipients can decide how to use this funding to support OA and subscription costs.[47]

79. UKRI is also keen to understand the extent to which its new policy will require a change to the **purpose** of funding it provides for OA. Under the current RCUK Policy on Open Access, UKRI allows institutions to use their OA block grants in ways they consider best to deliver the policy and allocate funds fairly across disciplines, career stages and protected characteristics. The primary purpose of the current OA block grant is to support APC payments, although institutions have also used their grant for other relevant purposes such as supporting repositories, OA publishing deals and OA administration.

43 Further information: https://esac-initiative.org/about/transformative-agreements/; https://www.jisc-collections.ac.uk/About-JISC-Collections/Supporting-transition-to-Open-Access/
44 BEIS (2019). *International comparison of the UK research base*. https://www.gov.uk/government/publications/international-comparison-of-the-uk-research-base-2019
45 UKRI. OA block grants. https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/open-access-block-grants/
46 Quality-related research (QR) funding via Research England. https://re.ukri.org/research/how-we-fund-research/
47 This includes QR funding and the Research Excellence Grant (REG).

80. However, given the slower than anticipated progress towards OA and the escalating costs as evidenced in the *Monitoring the Transition to Open Access* report,[48] UKRI's review will consider whether the terms and conditions on the use of funding for OA should be more restrictive. One option being considered is whether UKRI should stipulate that any OA funding it provides should only be used for OA costs in fully OA journals and publishing platforms, and not hybrid journals unless they are part of a transformative agreement or similar arrangement. UKRI is also interested in hearing about other actions that it could consider to help achieve cost-effectiveness and public value. Views and evidence relevant to these considerations are invited in this consultation.

Q19. Do you think the proposals outlined in Section A will have any financial cost implications for you or your organisation? Yes / No / Don't Know / No opinion.

Please expand, providing evidence to support your view, where possible (2,000 characters maximum, approximately 300 words).

Q20. Do you think the proposals outlined in Section A will result in financial benefits for you or your organisation? Yes / No / Don't Know / No opinion.

Please expand, providing evidence to support your view, where possible (2,000 characters maximum, approximately 300 words).

Q21. Can you provide any evidence of a changing balance of costs across research organisations arising from an emphasis on publishing costs rather than read costs? Yes / No / Don't know / No opinion.

Please expand (2,000 characters maximum, approximately 300 words).

Q22. Can you provide any evidence on cost increases and/or price rises (including in relation to OA APCs and subscriptions) and reasons for these? Yes / No / Don't know / No opinion.

Please expand (2,000 characters maximum, approximately 300 words).

Q23. Do you think there are steps publishers and/or other stakeholders could take to improve the transparency of publication charges? Yes / No / Don't know / No opinion.

Please expand. Views are also welcome on how greater transparency might inform future funding levels (2,000 characters maximum, approximately 300 words).

Q24. Regarding UKRI's consideration about restricting the use of its OA funds for publication in hybrid journals (see paragraph 80), please select the statement that best reflects your views:

a. UKRI OA funds should not be permitted to support OA publication in hybrid journals

b. UKRI OA funds should only be permitted to support OA publication in hybrid journals where they are party to a transformative agreement or similar arrangement

c. UKRI OA funds should be permitted to support OA publication in hybrid journals

d. None of the above

e. Don't know

f. No opinion

48 Universities UK (2017). https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/monitoring-transition-open-access-2017.aspx.

Please explain and, where possible, evidence your answer (2,650 characters maximum, approximately 400 words).

Q25. **To what extent do you agree or disagree that UKRI OA funds should be permitted to support OA costs that support institutional repositories?** Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain and, where possible, evidence your view (2,650 characters maximum, approximately 400 words).

Q26. **To help accelerate policy adoption, should UKRI introduce any other restrictions on how UKRI OA funds can be used?** Yes / No / Don't know / No opinion.

Please explain your answer, including any views on how this could be implemented (1,350 characters maximum, approximately 200 words).

Q27. There are many business models that can support OA. A common model for journals is based on APCs, but there are also other models (such as membership models and subscribe to open). **Are there changes or alternatives to the present UKRI funding mechanisms that might help support a diversity of OA models?** Yes / No / Don't know / No opinion.

Please expand (2,650 characters maximum, approximately 400 words).

Q28. As discussed in paragraph 74, transformative agreements are one way of moving to OA in a more cost-effective way. **Are there approaches to managing transformative agreements or other mechanisms and developments that UKRI should consider to help manage the transition to OA in a way that is cost-effective and offers public value to the UK?** Yes / No / Don't know / No opinion.

Please expand (2,650 characters maximum, approximately 400 words).

Supporting Actions: OA Infrastructure

81. UKRI is evaluating and seeking views on whether there are any actions relating to OA infrastructure for **research articles** that it and/or the wider sector may need to address to support the implementation of its proposed policy and OA more generally. Considerations relating to monographs are addressed in Section B (see paragraphs 111-113).

82. The role that infrastructure can play in reducing barriers to, and increasing the benefits of, OA is acknowledged in the work led by the Universities UK Open Access Coordination Group[49] and in the 2018 Research England report on OA compliance.[50] Infrastructure includes content services (such as repositories), middleware (such as registries or routers) and user-facing services (such as discovery services). Infrastructure can support workflows between publisher systems and repositories and wider OA workflows across all stakeholders. Metadata and associated technical standards are also relevant but are addressed separately under 'Technical Standards' (see paragraphs 62-69).

83. Stakeholders have stressed the need to maintain shared infrastructure for OA. UKRI is not the only stakeholder with a potential interest in the maintenance and development of OA infrastructure. It is, however, interested in views about any OA infrastructure services that it should consider funding and the justification for this.

49 Universities UK (2018). *Recommendations and guidelines for best practice*. https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/UUK-open-access-recommendations-and-guidelines-for-best-practice.aspx

50 Research England (2018). *Monitoring sector progress towards compliance with funder open access policies*. https://re.ukri.org/documents/2018/research-england-open-access-report-pdf/

84. Immediate OA via a repository is proposed as compliant with UKRI's proposed OA policy (see paragraph 47). UKRI is therefore considering how repositories currently, and could more effectively, support OA. It recognises that the UK has a well-established repository infrastructure, including subject repositories (such as Europe PMC, which UKRI funds)[51] and institutional repositories, and that any future actions would need to take this into account. UKRI's considerations include how deposit of research articles and their discovery could be improved and whether there is a case for UKRI to support or provide one or more shared repository services. Repository standards are dealt with under 'Technical Standards' (see paragraph 68).

Q29. Are there any existing or new infrastructure services that you think UKRI should fund the maintenance and/or development of, to support the implementation of its OA policy for research articles? Yes / No / Don't know / No opinion.

If yes, please state what these are and explain and, where possible, evidence why UKRI should provide support (2,650 characters maximum, approximately 400 words).

Q30. To what extent do you agree or disagree that UKRI should provide or support a national shared repository? Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain and, where possible, evidence your answer (1,350 characters maximum, approximately 200 words).

Supporting Actions: Preprints

85. UKRI recognises that many researchers derive value from sharing early versions of their research articles through using preprint services. However, awareness, adoption and definitions of preprints currently vary across disciplines.

86. Preprints can support early and rapid dissemination of results, with the potential to accelerate research. This is particularly important for research concerning public emergencies. For example, the Biotechnology and Biological Sciences Research Council (BBSRC) and the Medical Research Council (MRC) have joined other funders, global health bodies (including academic journals), non-governmental organisations and research institutes in a commitment to share data and results relevant to public health emergencies as rapidly and openly as possible.[52]

87. **UKRI's proposed OA policy applies to peer-reviewed research articles. However, views are welcome about whether it should additionally require OA of earlier preprint versions of research articles in cases of public emergency**. Research outputs with significant benefit to public emergencies could span the whole of UKRI's remit. Examples could include research relevant to combatting human, animal or plant disease outbreaks, environmental damage caused by pollution, and genetic resources for the re-establishment of agricultural systems in food security emergencies.

88. Recognising the broader role preprints can play in facilitating open research practices, **UKRI also welcomes suggestions about supporting actions that it could consider taking, alongside its OA policy, to support the wider use of preprints in all disciplines**.

51 https://europepmc.org/
52 MRC. https://mrc.ukri.org/news/browse/global-scientific-community-commits-to-sharing-data-on-zika/

Q31. Should UKRI require preprints to be made OA where there is a significant benefit with regard to public emergencies? Yes / No / Don't know / No opinion.

If yes, is there a recognised definition of 'public emergency' and/or protocols that UKRI should consider if this policy is implemented? (1,350 characters maximum, approximately 200 words.)

Q32. Are there any supporting actions that UKRI could take alongside its OA policy to support the use of preprints in all disciplines? Yes / No / Don't know / No opinion.

If yes, please expand (1,350 characters maximum, approximately 200 words).

Section B: Monographs, Book Chapters and Edited Collections

89. **This section presents, and seeks views on, UKRI's proposed OA policy requirements and considerations for academic monographs, book chapters and edited collections that acknowledge UKRI funding**. Research articles are addressed in Section A (see paragraphs 44-88).

90. **This section also includes high-level questions to inform the development of the OA policy for the REF-after-REF 2021 (see questions 36, 42, 48 and 52)**. Please see paragraphs 29-31 which outline what UKRI and the UK HE funding bodies are seeking to understand from these REF-specific questions.-

Background

91. Over the past 18 months, UKRI has engaged with publishers, learned societies, researchers, academic library services and other interested stakeholders to inform policy development on OA monographs, book chapters and edited collections. UKRI's proposed policy position draws on this engagement, recognising the distinct space the academic monograph occupies as a way of communicating long-form research.[53]

92. Sharing new knowledge communicated through long-form research has benefits for researchers, higher education and the public. UKRI's proposed OA policy includes monographs, book chapters and edited collections as a new requirement to help increase access to new research supported by UKRI funding. UKRI's approach aligns with that of the UK HE funding bodies, who in 2016 signalled their intention to move towards an OA policy for long-form outputs in the REF-after-REF 2021.

93. Academic books, including monographs, book chapters and edited collections, occupy a very distinct space in scholarly research and have a specific significance for disciplines aligned with the arts, humanities and social sciences (AHSS) as a means of communicating long-form research. OA publishing for academic books is also at a much earlier stage than for journal articles. UKRI's proposed requirements for monographs, book chapters and edited collections therefore do not seek to replicate those for research articles. The purpose of OA for academic books is not to replace physical copies of the text but rather to encourage the wider dissemination of knowledge, making research freely accessible in the public domain.

94. There is a diverse range of academic book publishers, and some small specialist publishers may need more time to adopt a sustainable business model for OA academic books. UKRI recognises the importance of maintaining and encouraging a diverse publishing ecology which includes commercial publishers and new university presses, as well as scholar-led initiatives.[54]

95. UKRI's proposed OA policy aims to support a wide range of business models for OA academic book publishing. Models that can be used to achieve OA include (but are not limited to): consortia arrangements, subscription models, book processing charges, crowdfunding models, freemium models[55] and the deposit of the post-peer-reviewed author's accepted manuscript (which meets the maximum embargo period). UKRI's proposed policy does not have a preferred route to OA for books.

53 Universities UK Open Access Monographs Group (2019a). *Open access and monographs: engagement with academic and publisher stakeholders.* Universities UK Open Access Monographs Group (2019b). *Open access and monographs: evidence review.* Universities UK, Fund et al. (2019). *Open access monographs in the UK: a data analysis.* The British Academy (2019). Open access and book chapters. The British Academy, Kember, S. (2019). *Critical issues in open access and scholarly communication.*

54 Adema, J. (2019). *Towards a roadmap for open access monographs: knowledge exchange report.* Kember, S. (2019). *Critical issues in open access in scholarly communications.* Universities UK Open Access Monographs Group (2019). *Open access and monographs: evidence review.*

55 A freemium model offers a basic service available for free online, but a premium is charged for advanced features and functionality (see Glossary at Annex C).

In-Scope Outputs

96. The following types of long-form research output, **when acknowledging funding from UKRI** (defined in paragraph 27), are **in-scope** of the UKRI's proposed OA policy:

    a. **academic monographs**, defined as a long-form publication which communicates an original contribution to academic scholarship on one topic or theme and is designed for a primarily academic audience; an academic monograph may be written by one or more authors

    a. **book chapters,** defined as "a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a permanently identifiable set of contributions on a common theme, bearing an International Standard Book Number (ISBN)";[56] the policy would apply to individual book chapters when the author(s) of a chapter acknowledge(s) UKRI funding; this also includes chapters in academic books arising from conferences[57]

    b. **edited collections**, defined as a written scholarly output in which individual chapters or contributions have been written by different authors, and whereby the contributions from each author are intellectually distinct; an edited book collection of chapters may arise from a conference, but it is constructed as a publication in its own right rather than reproducing the proceedings of the conference.[58] the policy would apply to an edited collection when the editor(s) of the collection acknowledge(s) funding from UKRI.[59]

97. UKRI's proposed policy would also apply to outputs defined in paragraphs 96a-96c where they are written in a language other than English.

98. Whilst encouraging OA, UKRI recognises that authors, publishers and other stakeholders have concerns around making **all** types of long-form output OA. UKRI proposes the following types of output to be **out of scope**:

    a. **trade books**, defined as an academic monograph rooted in original scholarship that has a broad public audience; the author and the publisher must agree that the monograph is marketed as a trade book and anticipate higher print runs and/or changes in the price point, compared with a monograph targeted at a primarily academic audience; authors may still wish to publish a trade book OA, although this is not a proposed policy requirement, but if a trade book is the **only** output from UKRI-funded research it would be considered **in-scope** of UKRI's OA policy

    b. **scholarly editions**, defined as an edition of another author's original work or body of works informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), often with a scholarly introduction and explanatory notes or analysis on the text and/or original author

    c. exhibition catalogues

    d. text books

    e. all types of fictional works and creative writing.

99. Given the diversity of academic monographs, book chapters and edited collections (in terms of discipline and publisher), there may be some instances where it might not be feasible to make an in-scope output OA. Pending additional views and evidence, UKRI is considering the following exceptions:

56 The British Academy (2019). *Open access and book chapters.* https://www.thebritishacademy.ac.uk/sites/default/files/open-access-book-chapters-report.pdf
57 Peer-reviewed research articles published in a conference proceeding with an ISSN number are addressed in Section A.
58 *Ibid.*
59 An author who is not an editor but contributes a book chapter acknowledging UKRI funding to an edited will still be required to comply with the UKRI OA policy (see paragraph 96b).

- an academic monograph, book chapter or edited collection which requires **significant reuse** of third-party materials, and where alternative arrangements (such as using a different image or providing a bibliographic reference to the image) are not a viable option; this is discussed under paragraphs 105-107

- where the **only** suitable publisher in the field does not have an OA programme; however, authors would be expected to publish with a press that offers an OA option, wherever possible.

100. UKRI is also seeking views on whether academic books and book chapters based on UKRI-funded doctoral research should be in-scope of its policy, as is currently the case for research articles.

Q33. To what extent do you agree or disagree that the types of monograph, book chapter and edited collection defined as in-scope and out-of-scope of UKRI's proposed OA policy (see paragraphs 96-98) are clear? Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

If you disagree, please explain your view (2,000 characters maximum, approximately 300 words).

Q34. Should the following outputs be in-scope of UKRI's OA policy when based on UKRI-funded doctoral research?

a. Academic monographs Yes / No / Don't know / No opinion

b. Book chapters Yes / No / Don't know / No opinion

c. Edited collections Yes / No / Don't know / No opinion

Please explain your view (1,350 characters maximum, approximately 200 words).

Q35. To what extent do you agree or disagree that UKRI's OA policy should include an exception for in-scope monographs, book chapters and edited collections where the only suitable publisher in the field does not have an OA programme? Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain and, where possible, evidence your view (1,350 characters maximum, approximately 200 words).

Q36. Are there any other considerations that the UK HE funding bodies should take into account when defining academic monographs, book chapters and edited collections in-scope of the OA policy for the REF-after-REF 2021? Yes / No / Don't know / No opinion.

If yes, please expand (2,000 characters maximum, approximately 300 words).

Please see paragraphs 29-31 before answering this question.

OA Routes and Deposit Requirements

101. UKRI's proposed OA requirement for in-scope monographs, book chapters and edited collections is that:

    a. the final version of record or post-peer-review author's accepted manuscript must be **free to view and download via an online publication platform or institutional or subject repository within a maximum of 12 months of publication**; self-archived versions should include, where possible, any images, illustrations, tables and other supporting content

    b. the OA version must allow the reader to **search for and reuse content both manually and using automated tools**, provided that such reuse is subject to proper attribution under appropriate licensing (see paragraphs 103-106); the OA version should also include, where possible, any images, illustrations, tables and other supporting content.

102. UKRI's **preference** is for immediate OA. However, in proposing delayed OA within 12 months as the requirement, UKRI seeks to take into account the diversity and development of OA book publishing, balanced against ensuring that the outcomes of UKRI-funded research are made freely accessible as soon as possible.

Q37. Regarding monographs in-scope of UKRI's proposed OA policy, which statement best reflects your view on the maximum embargo requirement of 12 months?

a. 12 months is appropriate
b. A longer embargo period should be allowed
c. A shorter embargo period should be required
d. Different maximum embargo periods should be required for different discipline areas
e. Don't know
f. No opinion

Please explain and, where possible, evidence your answer. If you answered b, c or d please also state what you consider to be (an) appropriate embargo period(s) (1,350 characters maximum, approximately 200 words).

Q38. Regarding book chapters in-scope of UKRI's proposed OA policy, which statement best reflects your view on the maximum embargo requirement of 12 months?

a. 12 months is appropriate
b. A longer maximum embargo period should be allowed
c. A shorter maximum embargo period should be required
d. Different maximum embargo periods should be required for different discipline areas
e. Don't know
f. No opinion

Please explain and, where possible, evidence your answer. If you answered b, c or d please also state what you consider to be (an) appropriate embargo period(s) (1,350 characters maximum, approximately 200 words).

Q39. Regarding edited collections in-scope of UKRI's proposed OA policy, which statement best reflects your view on the maximum embargo requirement of 12 months?

a. 12 months is appropriate

b. A longer embargo period should be allowed

c. A shorter embargo period should be required

d. Different maximum embargo periods should be required for different discipline areas

e. Don't know

f. No opinion

Please explain and, where possible, evidence your answer. If you answered b, c or d please also state what you consider to be (an) appropriate embargo period(s) (1,350 characters maximum, approximately 200 words).

Q40. Do you have any specific views and/or evidence regarding different funding implications of publishing monographs, book chapters or edited collections with no embargo, a 12-month embargo or any longer embargo period? Yes / No.

If yes, please expand (2,000 characters maximum, approximately 300 words).

Please note that funding is further considered under paragraph 110 (question 53).

Q41. To what extent do you agree that self-archiving the post-peer-review author's accepted manuscript should meet the policy requirement? Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain and your view (1,350 characters maximum, approximately 200 words).

Q42. Regarding monographs, book chapters and edited collections, are there any additional considerations relating to OA routes, deposit requirements and delayed OA that the UK HE funding bodies should take into account when developing the OA policy for the REF-after-REF 2021? Yes / No / Don't know / No opinion.

If yes, please expand (2,650 characters maximum, approximately 400 words).

Please see paragraphs 29-31 before answering this question.

Licensing Requirements and Third-Party Rights

103. UKRI proposes requiring in-scope OA versions of monographs, book chapters and edited collections to be published under a licence that maximises opportunity for reuse. **CC BY is strongly preferred, although a CC BY-ND licence would be permissible**. This consideration takes account of concerns expressed by some AHSS stakeholders that CC BY may not sufficiently protect content from being misrepresented or misused due to the nature of AHSS research, and that UKRI OA policies have not previously applied to monographs.

104. A CC BY-NC reuse licence would **not** be compliant with UKRI's proposed policy. UKRI supports innovation and stakeholders have also raised concerns that CC BY-NC could act as a barrier to non-commercial reuse due to ambiguities about what constitutes 'commercial' and 'non-commercial' reuse in relation to research activities.

105. Academic books published under a liberal licence (such as CC BY) may include third-party materials (such as images, photographs or maps) which are subject to a more restrictive licence. UKRI considers this approach compliant with its proposed policy. Researchers are also encouraged to consider the reuse of third-party materials under relevant UK exceptions to copyright such as the 'non-commercial research' exception, where appropriate.[60]

106. However, UKRI recognises that there may be some instances where permissions for reuse in an academic book cannot be obtained for all third-party images or other materials. One approach to managing this is to replace an image with a 'tombstone page' which provides the full bibliographic reference for the missing image, the URL to an external page which hosts the image and a reason for the unavailability of the image. This approach might also be applicable to other third-party materials. UKRI welcomes views on this approach.

107. **UKRI is considering including an exception in its OA policy for monographs, book chapters and edited collections which require significant reuse of third-party materials**, and where alternative arrangements (such as those discussed in paragraphs 105-106) are not a viable option. It welcomes stakeholders' views on the necessity of an exception and how to define 'significant reuse' (for example, on a cost basis and/or applied to specific disciplines that make extensive use of third-party materials).

60 Guidance: Exceptions to Copyright. https://www.gov.uk/guidance/exceptions-to-copyright

Q43. To what extent do you agree or disagree with CC BY-ND being the minimum licencing requirement for monographs, book chapters and edited collections in-scope of UKRI's proposed OA policy? Strongly agree / Agree / Neither agree nor disagree / Disagree / Don't know / No opinion.

Please explain and, where possible, evidence your view (1,350 characters maximum, approximately 200 words).

Q44. To what extent do you agree or disagree that UKRI's OA policy should include an exception for in-scope monographs, book chapters and edited collections requiring significant reuse of third-party materials? Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain your view (1,350 characters maximum, approximately 200 words). Questions 45-46 concern how 'significant reuse' may be defined.

Q45. To what extent do you agree or disagree that if an image (or other material) were not available for reuse and no other image were suitable, it would be appropriate to redact the image (or material), with a short description and a link to the original? Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain your view (1,350 characters maximum, approximately 200 words).

Q46. Do you have a view on how UKRI should define 'significant use of third-party materials' if it includes a relevant exception in its policy? Yes / No / Don't know / No opinion.

If yes, please expand (2,000 characters maximum, approximately 300 words).

Q47. Do you have any other comments relating to licensing requirements and/or the use of third-party materials, in relation to UKRI's proposed OA policy for academic monographs, book chapters and edited collections? Yes / No.

If yes, please expand (1,350 characters maximum, approximately 200 words).

Q48. Regarding monographs, book chapters and edited collections, are there any additional considerations relating to licensing requirements and/or third-party materials that you think that the UK HE funding bodies should take into account when developing the OA policy for the REF-after-REF 2021? Yes / No / Don't know / No opinion.

If yes, please expand (2,650 characters maximum, approximately 400 words).

Please refer to paragraphs 29-31 before answering this question.

Copyright and Rights Retention

108. **UKRI is considering whether to require authors (or their institutions) to retain copyright and/or certain reuse rights** to outputs in-scope of its proposed OA policy (see paragraphs 57-61 for further context). It welcomes specific views on this with respect to monographs, book chapters and edited collections.

Q49. Which statement best reflects your views on whether UKRI's OA policy should require copyright and/or rights retention for in-scope monographs, book chapters and edited collections?

a. UKRI should require an author or their institution to retain copyright and not exclusively transfer this to a publisher

b. UKRI should require an author or their institution to retain specific reuse rights, including rights to deposit the author's accepted manuscript in a repository in line with the deposit and licensing requirements of UKRI's OA policy

c. UKRI should require an author or their institution to retain copyright AND specific reuse rights, including rights to deposit the author's accepted manuscript in a repository in line with the deposit and licensing requirements of UKRI's OA policy

d. UKRI's OA policy should not have a requirement for copyright or rights retention

e. Don't know

f. No opinion

Please explain and, where possible, evidence your answer. **If you selected answer b or c, please state what reuse rights you think UKRI's OA policy should require to be retained.** (2,000 characters maximum, approximately 300 words). It is not necessary to repeat here, in full, information provided in response to question 12.

Please note that views are not sought on whether institutions should hold the copyright to work produced by their employees as this is subject to Section 11 of the Copyright, Designs and Patents Act 1988 and institutional copyright policies.

Timing of Implementation

109. UKRI intends to announce its policy in 2020, providing due notice to the sector and time for stakeholders to prepare for the policy coming into force. It recognises that a transition to OA monographs will take time and that implementing an appropriate policy which fosters this transition is important to increase OA to UKRI-funded research. UKRI proposes that the policy will apply to in-scope monographs, book chapters and edited collections published on or after **1 January 2024**, unless a contract has been signed before this date that prevents adherence to the policy.

Q50. Regarding the timing of implementation of UKRI's OA policy for monographs, book chapters and edited collections, which statement best reflects your view?

a. The policy should apply from 1 January 2024

b. The policy should apply earlier than 1 January 2024

c. The policy should apply later than 1 January 2024

d. Don't know

e. No opinion

Please explain and, where possible, evidence your answer. If you selected b or c, please also state what you consider to be a feasible implementation date (2,000 characters maximum, approximately 300 words).

Q51. In order to support authors and institutions with policy implementation UKRI will consider whether advice and guidance can be provided. Do you have any suggestions regarding the type of advice and guidance that that might be helpful? Yes / No.

If yes, please expand (2,000 characters maximum, approximately 300 words).

The UK HE funding bodies recognise that due notice will be needed prior to implementation of the OA policy for the REF-after-REF 2021, which will be consulted on in detail after UKRI's OA policy is announced (see paragraphs 29-31). It is therefore anticipated that the OA policy for the REF-after-REF 2021 will not come into effect on 1 January 2021 (that is, at the beginning of the publication period for the REF-after-REF 2021 exercise).

Q52. Regarding monographs, book chapters and edited collections, are there any other considerations that UKRI and the UK HE funding bodies need to take into account when considering the interplay between the implementation dates for the UKRI OA policy and the OA policy for the REF-after-REF 2021 OA? Yes / No / Don't know / No opinion.

If yes, please expand (2,650 characters maximum, approximately 400 words).

Supporting Actions: Funding

110. To achieve OA for academic books, funders, institutions and publishers need to work together. There is no 'one-size-fits-all' solution and a diverse publishing ecology will be required. UKRI is considering how to support the funding of **OA monographs, book chapters and edited collections**, and acknowledges that the diversity of business models for OA academic book publishing needs to be taken into account (see paragraphs 93-95).

Q53. Do you have any views regarding funding levels, mechanisms and eligible costs to inform UKRI's considerations about the provision of funding for OA monographs, book chapters and edited collections in-scope of its proposed policy? Yes / No.

If yes, please expand (2,650 characters maximum, approximately 400 words).

Supporting Actions: OA Infrastructure and Technical Standards

111. UKRI welcomes views on whether there are any actions relating to OA infrastructure for **monographs, book chapters and edited collections** that it and/or stakeholders may need to address to support the implementation of its proposed policy and OA more generally. Related considerations for research articles are addressed in Section A.

112. For example, in 2019 Research England awarded funding to Community-led Open

Publication Infrastructure for Monographs (COPIM), an international project led by Coventry University. COPIM aims to improve infrastructures for OA book publishers, including business models, preservation structures and governance procedures.[61]

113. Whilst OA publishing platforms for monographs exist, providing ever greater visibility for OA books,[62] further work is needed on the discoverability and reuse of the content. UKRI welcomes views on technical standards (for example, the use of PIDs) and infrastructure that could facilitate OA and its benefits for monographs, book chapters and edited collections.

Q54. To support the implementation of UKRI's OA policy, are there any actions (including funding) that you think UKRI and/or other stakeholders should take to maintain and/or develop existing or new infrastructure services for OA monographs, book chapters and edited collections? Yes / No / Don't know / No opinion.

If yes, please state what these are and, where relevant, explain why UKRI should provide support (2,650 characters maximum, approximately 400 words).

Q55. Are there any technical standards that UKRI should consider requiring and/or encouraging in its OA policy to facilitate access, discoverability and reuse of OA monographs, book chapters and edited collections? Yes / No / Don't know / No opinion.

Please expand (2,000 characters maximum, approximately 300 words).

Q56. Do you have any other suggestions regarding UKRI's proposed OA policy and/or supporting actions to facilitate access, discoverability and reuse of OA monographs, book chapters and edited collections? Yes / No.

If yes, please expand (2,000 characters maximum, approximately 300 words).

61 https://re.ukri.org/news-events-publications/news/re-awards-2-2m-to-project-to-improve-open-access-publishing/

62 Pinter, F., Montgomery, L., Saunders, N., Ozaygen, A. (2017). Exploring usage of open access books via the JSTOR platform: a report for the university presses of California, Cornell, Michigan and UCL by KU Research; Springer Nature, open access books. Emery, C., Lucraft, M., Morka, A., Pyne, R. (2017). The OA effect: how does open access affect the usage of scholarly books? Springer Nature, white paper.

Section C: Monitoring Compliance

114. **This section concerns monitoring compliance of (i) research outputs (those in-scope of UKRI's proposed OA policy as set out in Sections A and B) that acknowledge UKRI funding and (ii) expenditure of UKRI OA block grants.**[63] Any other monitoring activities specifically designed to understand policy impact and effectiveness will be addressed once UKRI's final OA policy and its success measures have been determined.

115. With regards to the RCUK Policy on Open Access, research organisations are asked to report annually on their overall levels of compliance. However, UKRI does not currently monitor whether in-scope research outputs are compliant. The mechanism by which UKRI requires compliance with this policy is via its standard terms and conditions of funding. Under current standard UKRI grant terms and conditions, UKRI reserves the right to impose financial sanctions and/or other measures in connection with a research organisation's failure to ensure compliance by the relevant grant holder. In practice, however, UKRI has not yet applied sanctions for non-compliance with the RCUK Policy on Open Access.

116. If research organisations are recipients of a UKRI OA block grant they are asked to report annually how they have spent this. UKRI seeks assurance from research organisations that the grant is being spent in line with its purpose; further audit related to its management can be undertaken as part of other funding assurance processes. UKRI may recover funding from research organisations where it has not been spent in line with its purpose.

117. **UKRI welcomes views and evidence on how to effectively monitor compliance with its proposed OA policy**. Feedback from research organisations indicates that the current manual OA block grant reporting process can be administratively burdensome. UKRI has also heard from stakeholders that, due to developments in infrastructure and metadata, it is realistic to move towards an automated approach for monitoring compliance.

118. **UKRI would also like to better understand whether it should introduce further sanctions and/or other measures to address non-compliance with its proposed OA policy**. It is important to note that the aim of such enforcement measures would be to ensure research organisations comply with UKRI's OA policy. UKRI proposes that any sanctions and/or other measures would be proportionate and graduated, although may ultimately result in financial sanctions being applied by UKRI through withholding funding (or a percentage of it) due to be paid to the relevant research organisation. However, such sanctions would only be applied to funding likely to generate outputs in-scope of the OA policy, and as a last resort.

119. The introduction of measures to address non-compliance with the proposed OA policy would require UKRI to monitor whether in-scope outputs are compliant, as well as policy breaches and any corresponding action taken by UKRI. UKRI proposes that policy breaches would be handled on a case-by-case basis, some example actions that could be taken depending on the scale of breach are outlined below:

63 Further information: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/open-access-block-grants/

Scale of policy breach	Corresponding action
Minor breach such as: ■ non-compliance of an individual in-scope research output.	Letter issued to research organisation to inform them of the breach, and of any action needed to put the breach right and/or to ensure it does not reoccur.
Major breach such as: ■ failure to take steps required in response to a minor breach ■ a high frequency of minor breaches that demonstrates a systemic failure by a research organisation to implement or enforce the UKRI OA policy.	Letter issued to research organisation to inform them there has been a major breach of policy, and what action is required to put the breach right and/or to ensure it does not reoccur. If the research organisation does not take satisfactory remedial action, UKRI may ultimately apply financial sanctions for sufficiently serious non-compliance by withholding funding (or a percentage of it) due to be paid to the research organisation.

Q57. **Could the manual reporting process currently used for UKRI OA block grants be improved?** Yes / No / Don't know / No opinion.

If yes, please explain how (2,000 characters maximum, approximately 300 words).

Q58. Except for those relating to OA block grant funding assurance, UKRI has in practice not yet applied sanctions for non-compliance with the RCUK Policy on Open Access. **Should UKRI apply further sanctions and/or other measures to address non-compliance with its proposed OA policy?** Yes / No / Don't know / No opinion.

Please explain your answer (2,000 characters maximum, approximately 300 words).

Q59. **To what extent do you agree or disagree with the example proposed measures to address non-compliance with the proposed UKRI OA policy (see paragraph 119)?** Strongly agree / Agree / Neither agree nor disagree / Disagree / Strongly disagree / Don't know / No opinion.

Please explain your answer (2,000 characters maximum, approximately 300 words).

Section D: Policy Implications and Supporting Actions

120. UKRI wants to ensure that its revised OA policy and its implementation are successful in promoting OA and supporting the wider research and innovation environment, nationally and internationally. UKRI welcomes views and evidence from stakeholders to assist it to evaluate: (i) **wider implications**, positive or negative, for the research and innovation and scholarly communication sectors that might arise from its proposed policy, as set out in Sections A and B; (ii) **supporting actions** that it might need to take, including collaboratively, to support implementation of the policy and OA more broadly. **It is not necessary to restate issues and to repeat suggestions raised in responses to questions in previous sections** (for example, relating to funding and infrastructure).

121. Responses will further inform considerations that stakeholders have highlighted in previous engagements undertaken by UKRI's review. Considerations include but **are not limited to**: benefits that might arise; equality, diversity and inclusion (EDI); research culture and the research environment; research collaboration; barriers to and incentives for OA; and different career stages and disciplines. UKRI also welcomes suggestions in relation to policy clarity, communication and support.

122. Please note that this section **does not** seek views relating to the OA policy for the REF-after-REF 2021 (unless directly related to an implication of UKRI's proposed OA policy). In due course, the UK HE funding bodies will develop and consult, in detail, on that policy and possible implications (see paragraphs 29-31).

123. EDI – of people and ideas – is integral to excellence in research and innovation, and UKRI seeks to embed it into everything it does.[64] UKRI therefore specifically wants to understand the extent to which its proposed OA policy (as set out in Sections A and B) could cause or contribute to any disadvantages or inequalities and invites further views and evidence to inform this consideration. UKRI will conduct an EDI assessment of its OA policy and develop an associated action plan. Impacts might not be exclusive to UKRI's OA policy and may need addressing as part of other UKRI workstreams and/or by other stakeholders. Views about any benefits that UKRI's policy could have for EDI are also welcome.

124. UKRI is also undertaking activity on some wider issues that relate to OA. As context for respondents to this consultation some key relevant actions are set out below.

    a. UKRI recognises that research should be assessed on its own merits rather than according to the venue in which it is published. UKRI and the UK HE funding bodies are engaged in improving practices in research assessment,[65] such as the San Francisco Declaration of Research Assessment (DORA)[66] which is aimed at strengthening and promoting best practice in this area. UKRI and the UK HE funding bodies are also working with the sector to encourage the use of open and verifiable methods in evaluating research.

    b. UKRI is working in collaboration with the Department for International Development (DFID) and Department of Health and Social Care (DHSC) on an externally commissioned project to understand the challenges and opportunities around OA in the context of low-and-middle-income countries (LMICs)[67] and Official Development Assistance (ODA) funding.

64 https://www.ukri.org/about-us/equality-diversity-and-inclusion/
65 Research council statement on the responsible use of metrics: https://www.ukri.org/funding/peer-review/. REF panel criteria and working methods: https://www.ref.ac.uk/media/1084/ref-2019_02-panel-criteria-and-working-methods.pdf (paragraph 207)
66 Further information: https://sfdora.org/
67 As defined in the current Development Assistance Committee (DAC) list of ODA recipients: http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC_List_ODA_Recipients2018to2020_flows_En.pdf

c. This will include engagement and consultation with a range of LMIC stakeholders and evidence will be used to inform the development of the OA policies of DFID, DHSC (primarily the National Institute for Health Research (NIHR)) and UKRI. Outcomes of the work are expected to report in the second quarter of 2020.[68]

Q60. Do you foresee any benefits for you, your organisation or your community arising from UKRI's proposed OA policy? Yes / No / Don't know / No opinion.

Please expand (2,650 characters maximum, approximately 400 words).

Q61. Do you foresee UKRI's proposed OA policy causing and/or contributing to any disadvantages or inequalities? Yes / No / Don't know / No opinion.

If yes, please expand, referencing specific policy elements and including any comments on how UKRI could address any issues identified (2,650 characters maximum, approximately 400 words).

Q62. Do you foresee any positive and/or negative implications of UKRI's proposed OA policy for the research and innovation and scholarly communication sectors in LMICs? Yes / No / Don't know / No opinion.

If yes, please expand, referencing specific policy elements and including any comments on how UKRI could address any issues identified (2,650 characters maximum, approximately 400 words).

Q63. Do you anticipate any barriers or challenges (not identified in previous answers) to you, your organisation or your community practising and/or supporting OA in line with UKRI's proposed policy? Yes / No / Don't know / No opinion.

If yes, please expand, including any supporting actions you think UKRI could undertake to remove or reduce any barriers identified (2,650 characters maximum, approximately 400 words).

Q64. Are there any other supporting actions (not identified in previous answers) that you think UKRI could undertake to incentivise OA? Yes / No / Don't know / No opinion.

If yes, please expand (2,000 characters maximum, approximately 300 words).

Q65. Do you foresee any other implications (not identified in previous answers) for you, your organisation or your community arising from UKRI's proposed OA policy? Yes / No / Don't know / No opinion.

If yes, please expand (2,000 characters maximum, approximately 300 words).

68 The UK Collaborative on Development Research (UKCDR) is also engaged in this project through its capacity to promote coherence in development research funding in the UK, and will provide updates to the Strategic Coordination of ODA Research (SCOR) Board, which has high-level representation from all ODA research spending departments, UKRI and Wellcome.

Section E: Further Comments

Q66. Do you have any further comments relating to UKRI's proposed OA policy? Yes / No.

If yes, please expand (2,650 characters maximum, approximately 400 words.)

Q67. Do you have any further comments relating to commonality between UKRI's proposed OA policy for outputs acknowledging UKRI funding and the OA policy for the REF-after-REF 2021? Yes / No.

If yes, please expand (2,650 characters maximum, approximately 400 words.)

Q68. Do you have any further thoughts and/or case studies on costs and/or benefits of OA? Yes / No.

If yes, please expand (2,650 characters maximum, approximately 400 words.)

Annexes

Annex A: Additional Information on REF Remit

The following information on the remit of REF 2021 may assist consultation responses relating to commonality between UKRI's OA policy and the OA policy of the REF-after-REF 2021 (see paragraphs 29-31).

The REF 2021 OA policy applies to all **in-scope** research outputs submitted to the assessment.[69] Institutions select which research outputs they wish to submit to the exercise from the total outputs published within the REF publication period. The number of submitted outputs will only reflect a small sample of the research that is in-scope of the REF 2021 OA policy. For REF 2021, HEIs operate on the basis that all publications meeting the scope of the OA policy need to be compliant or fall under a defined exception to the policy. This is because it is not known whether any individual publication will or will not be submitted to the exercise. The scope of the policy position for REF is therefore much broader than a UKRI position for outputs which acknowledge UKRI funding. An overlap in outputs which acknowledge UKRI funding and outputs submitted to REF 2021 is anticipated.[70]

The REF 2021 OA policy sets **eligibility** requirements for research outputs submitted by HEIs to the REF. Outputs submitted to REF 2021 that are non-compliant with the OA policy (beyond the policy tolerances built-in)[71] will receive an unclassified score in REF 2021. This has the potential to impact the HEIs' future quality-related research funding allocation. An audit process for REF 2021 describes the approaches and methods that will be used to provide assurance that the data submitted regarding OA status are accurate, verifiable and robust.[72] Due to the potential impact, future REF OA requirements must balance meeting the UK HE funding bodies' objective to deliver OA with ensuring that the REF panels are able to assess the excellent research being undertaken in the UK (the fundamental purpose of the whole REF exercise).

69 Defined in paragraphs 223-226 in the REF 2021 guidance on submissions document. https://www.ref.ac.uk/publications/guidance-on-submissions-201901

70 There is some overlap between the journal articles and conference contributions submitted to REF 2014 and outputs within the scope of the RCUK Policy on Open Access. Analysis shows that 25.6% of the outputs submitted to REF 2014 that have a DOI were found in Gateway to Research, demonstrating likely policy overlap.

71 See paragraphs 231-233 in the REF 2021 guidance on submissions document.

72 REF 2021 audit guidance. www.ref.ac.uk/publications/audit-guidance-201904/

Annex B: Background Information Questions

To enable UKRI to effectively analyse responses from different stakeholder groups, respondents are requested to provide some background information about themselves. Questions marked with an asterisk (*) are mandatory. In the online response for some questions, including mandatory questions, will only appear for specific types of respondent.

I. Please provide a named contact and email address so that UKRI can contact you regarding your responses. *

II. Please indicate if you are also happy for UKRI to contact you about the outcomes of the consultation. *

III. Please indicate who you are responding on behalf of. *

a. Yourself as an individual

b. An organisation

c. Other (including part of an organisation, department, informal group) – please specify type:

IV. Please specify the name of your organisation. *

V. Please specify the name of your group/department. *

VI. Please specify which country you, your organisation or your group are based in.

VII. Which disciplinary area(s) would you associate you, your organisation or your group with? Please select all that apply. *

a. Arts and humanities

b. Medicine, health and life sciences

c. Physical sciences, engineering and mathematics

d. Social sciences

e. Interdisciplinary research

f. Not applicable

If you, your organisation or your group is responding on behalf of a specific discipline within an area indicated above, please describe it using a maximum of five key words separated by spaces:

VIII. What best describes the capacity in which you, your organisation or your group are responding? *

a. Researcher(s)

b. Publisher (including employees and representative bodies)

c. Learned society or academy with an in-house publishing arm (including employees)

d. Learned society or academy which outsources publishing to a third party (including employees)

e. Learned society or academy which does not publish (including employees)

f. Providers of scholarly communication infrastructure or services (including employees and representative bodies)

g. Library or research management (including departments, employees and representative bodies)

h. Higher education institute (HEI) (including departments, employees and representative bodies)

i. Business that conducts, uses or publishes research and/or innovation (including employees and representative bodies)

j. Research and/or innovation funder (including employees and representative bodies)

k. Member(s) of the public

l. Other research performing organisation (including departments, employees and representative bodies) - please specify:

m. Other user or producer of research outputs - please specify:

n. Other - please specify:

IX. UKRI will share responses to this consultation (excluding personal data) with its sponsor department, the Department for Business, Energy and Industrial Strategy (BEIS), and other UK government departments and agencies, to explore OA issues. Have you or members of your group applied or been part of an application for grant funding from the following? If applicable, please select all that apply.

a. UKRI (including AHRC, BBSRC, ESRC, EPSRC, Innovate UK, MRC, NERC, Research England, STFC, as well as predecessor bodies, HEFCE and RCUK)

b. UK Space Agency

c. Department for International Development (DFID) and subsidiary bodies

d. Department of Health and Social Care (DHSC) including National Institute for Health Research (NIHR) and other subsidiary bodies

e. Department for Environment, Food and Rural Affairs (DEFRA) and subsidiary bodies

If you or members of your group have applied or been part of an application for grant funding from other UK government departments or their subsidiary bodies, please specify the awarding body:

X. If responding on behalf of a company, please provide your Company Registration Number (if known):

XI. If responding on behalf of a charity, please provide your Charity Registration Number (if known):

XII. If responding on behalf of an organisation, please indicate your staff headcount (if known):

a. ≥ 250 (large business)

b. < 250 (medium-sized business)

c. < 50 (small business)

d. < 10 (micro business)

XIII. If applicable, which researcher career stage(s) do you, your organisation or your group represent? Select all that apply.

a. Postgraduate researcher

b. Post-doctoral researcher

c. Research leader (responsible for intellectual leadership and overall management of research projects)

d. Other (including retired researcher, citizen researcher) – please specify:

Annex C: Glossary of Terms, Abbreviations and Acronyms

Please note that different types of research output and publication venue relevant to UKRI's proposed policy are defined in Sections A and B as it is seeking views on these.

AHRC	Arts and Humanities Research Council. Part of UKRI.
AHSS	Arts, humanities and social sciences.
APC	Article processing charge. A publishing fee paid to journals to publish a research output OA.
Author's accepted manuscript	Version of an article submitted by the author that has been through a peer-review process and accepted for publication.
BBSRC	Biotechnology and Biological Sciences Research Council. Part of UKRI.
BEIS	Department for Business, Energy and Industrial Strategy.
CC BY	Creative Commons attribution licence. This allows: ■ sharing: copying and redistributing the material in any medium or format ■ adapting: remixing, transforming and building upon the material for any purpose (including commercial reasons). This type of licence requires: ■ attribution: you must give appropriate credit, provide a link to the licence and indicate if changes were made; you may do so in any reasonable manner but not in any way that suggests the licensor endorses you or your use of the material. ■ you may use the material for commercial purposes. Further information: https://creativecommons.org/licenses/by/4.0/
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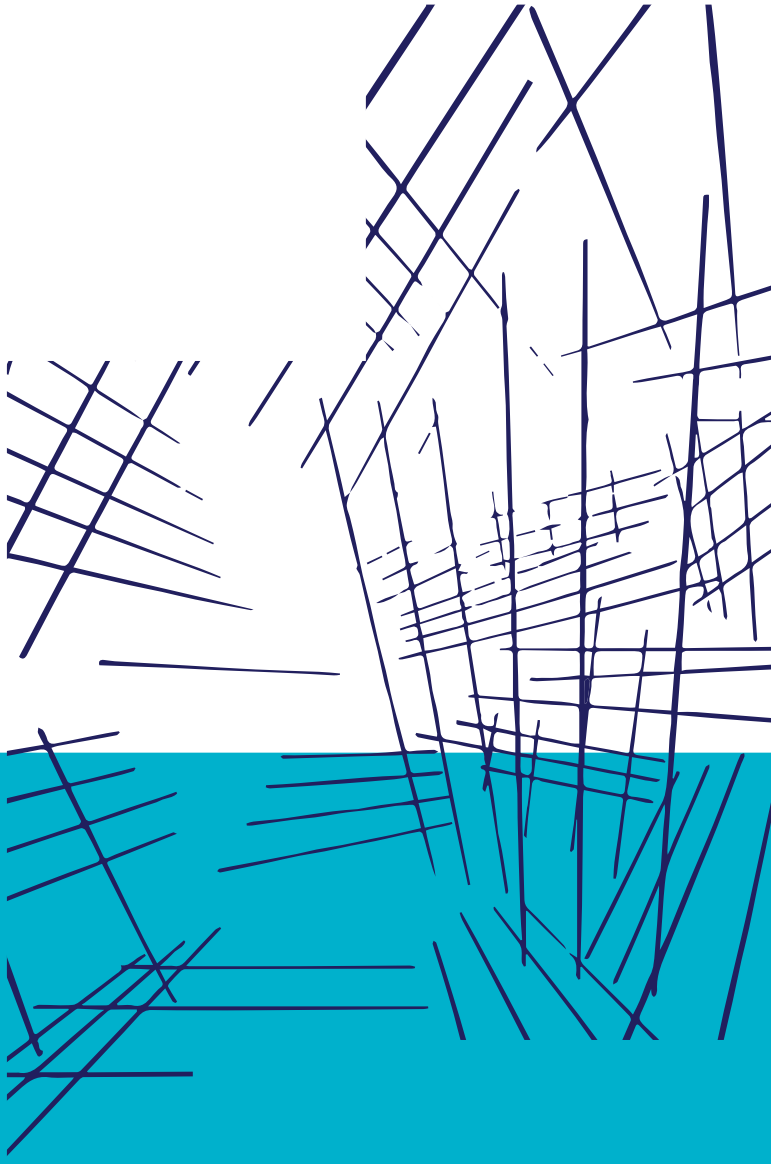
CC0	Creative Commons no-rights-reserved licence. This enables scientists, educators, artists and other creators and owners of copyright- or database-protected content to waive those interests in their works and thereby place them as completely as possible in the public domain, so that others may freely build upon, enhance and reuse the works for any purposes without restriction under copyright or database law. Further information: https://creativecommons.org/share-your-work/public-domain/cc0/
cOAlition S	International consortium of research funders working towards OA. Further information: https://www.coalition-s.org/about/
DFID	Department for International Development.
DHSC	Department of Health and Social Care.
DOAJ	Directory of Open Access Journals. Further information: https://doaj.org/
OpenDOAR	Directory of Open Access Repositories. Further information: https://www.jisc.ac.uk/opendoar
DOI	Digital object identifier. A persistent identifier for digital objects. Further information: https://www.doi.org/
EPSRC	Engineering and Physical Sciences Research Council. Part of UKRI.
ERC	European Research Council.
ESRC	Economic and Social Research Council. Part of UKRI.
Freemium	This model offers a basic service available for free online, but a premium is charged for advanced features and functionality. It is based on a hybrid economic model combining OA to information and paid services generating income for the producers of its resources. OpenEdition is an example of a freemium model. Further information: https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2018/open-access-monographs-report.pdf
Handle	Proprietary registry assigning persistent identifiers to information resources. Further information: http://www.handle.net/
HEFCE	Higher Education Funding Council for England.
HEIs	Higher education institutions.
I4OC	Initiative for Open Citations. Further information: https://i4oc.org/
ISBN	International Standard Book Number. A numeric commercial book identifier which is intended to be unique. Further information: https://www.isbn-international.org/
ISSN	International Standard Serial Number. An 8-digit code used to uniquely identify a serial publication, such as a journal. Further information: https://www.issn.org/
Licence to publish	Granted by an author to provide a publisher a licence to publish their work.
LMICs	Low-and-middle-income countries

Metadata	Summarises basic information about data (for example, author, date created, date modified, file size).
MRC	Medical Research Council. Part of UKRI.
NERC	Natural and Environmental Research Council. Part of UKRI.
NIHR	National Institute for Health Research.
OA	Open access.
OA Publishing Platforms	Publishing platforms for the original publication of research output.
ODA	Official Development Assistance.
OGL	Open Government Licence. Further information: http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/
Open data	Research data (including the underlying data for research articles) made openly available in a way that is legal, ethical and economic.
PID	Persistent digital identifiers. A long-lasting alphanumeric unique reference that is associated with an entity (for example a digital object, a person, an organisation, a grant) and helps to reliably link entities, activities and objects. DOI and ORCID are examples of PIDs.
Plan S	Initiative, supported by cOAlition S, that works towards full and immediate OA. Further information: https://www.coalition-s.org/principles-and-implementation/
RCUK	Research Councils UK.
REF	Research Excellence Framework. The system for assessing the quality of research in UK HEIs. Further information: https://www.ref.ac.uk/
REF 2021	The REF exercise which will be conducted in 2021.
REF-after-REF 2021	The research assessment exercise expected to take place after REF 2021.
SHERPA RoMEO	A tool that provides a database of journal and publisher policies on copyright and self archiving. Further information: https://www.jisc.ac.uk/sherpa and http://sherpa.ac.uk/romeo/index.php
SHERPA/FACT	A tool that allows researchers and research managers to check if a journal is compliant with funder OA requirements. Further information: https://www.jisc.ac.uk/sherpa and https://sherpa.ac.uk/fact/
STFC	Science and Technology Funding Council. Part of UKRI.
Transformative agreement (or read and publish or transitional agreement)	A contract that moves from subscription-based access to one where publishers are remunerated at a fair price for their OA publishing. Further information: https://esac-initiative.org/about/transformative-agreements/; https://www.jisc-collections.ac.uk/About-JISC-Collections/Supporting-transition-to-Open-Access/
UK HE funding bodies	UK higher education funding bodies, comprising Research England, the Scottish Funding Council, the Higher Education Funding Council for Wales and the Department for the Economy Northern Ireland. (Research England is part of UKRI.)
UKRI	UK Research and Innovation.
URN	Uniform Resource Name. Used to unambiguously identify a source. Further information: https://tools.ietf.org/pdf/rfc8141.pdf
Version of record	Final peer-reviewed, typeset and edited version of a research output that the publisher and/or their licensors have made available, including any post-publication corrections or enhancements and any other changes made by a publisher and/or their licensors.



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