UKRI Open Access Policy: Summary of stakeholder workshops and consultation meetings

UK Research and Innovation Open Access Review Universities Stakeholder Roundtable – Meeting Note

6th December 2018, 58 Victoria Embankment, London

Background

In December 2018, UK Research and Innovation (UKRI) invited a cross-section of organisations representing key stakeholder groups to a series of roundtables to inform its Open Access (OA) Review. Meetings were held with organisations representing universities, academies and learned societies (as publishers and representatives of disciplinary communities), publishers, and other OA practitioners, including libraries, research management and knowledge exchange. These initial stakeholder meetings aimed to:

- hear from organisations/communities regarding where the current UKRI OA policies have worked and where they might be improved;
- hear from organisations/communities with regards to how best UKRI might meet its OA ambitions, and what issues need to be considered;
- understand how organisations/communities might work with UKRI to help achieve its objectives.

This meeting note provides an unattributed summary of views and issues discussed at a roundtable with university representatives on the morning of 6th December 2018, in London. **To note: the views summarised are those of participants in the roundtable and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI OA Review can be found on our website: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI representatives

David Sweeney   UKRI (Meeting Chair)
Rachel Bruce   UKRI
Dr Paul Richards   UKRI

Stakeholder participants

Prof. David Price   University College London / The Russell Group
Prof. Mark Spearing   University of Southampton / The Russell Group
Dr Hollie Chandler   The Russell Group
Dr Greg Walker   MillionPlus
Rachel Persad   GuildHE
Gordon McKenzie   GuildHE
Prof. Adam Tickell   University of Sussex / Universities UK
Dr Simon Kerridge   University of Kent / Universities UK
Prof. Roger Kain   University of London / Universities UK
Samuel Roseveare   Universities UK
Prof. David Maguire   University of Greenwich / Universities Alliance

Agenda

1. Overview: UKRI Open Access Review (Rachel Bruce, UKRI; Annex 1)
2. Discussion: Where the current OA policy has worked and what remains to be achieved
3. Discussion: How can UKRI achieve its OA ambitions and what issues need to be considered?
4. Discussion: How representatives' organisations and communities can work with UKRI to help achieve its objectives

Meeting note

Progress to OA
- Good progress has been made, as illustrated by the increasing number of OA research outputs, although the sector remains in a transitionary phase of a longer process. Associated costs and administration burden are key concerns for the university sector.

Research culture
- Changes in research culture are required to further enable OA.
- The university sector has a responsibility to drive changes in research culture, for example through supporting and implementing the San Francisco Declaration on Research Assessment (DORA), and buy-in from all university leaders.
- The REF position on research culture and outputs is helpful.
- It is important UKRI carries out an appropriate impact assessment to avoid any unintended negative consequences from OA policy (e.g. for marginal communities such as early career researchers, those who take career breaks, and female researchers).
- The pressure to publish and its impact on the volume of publication should be considered, and whether this impacts on quality.

Sector engagement and communication
- The current policy has increased OA awareness among research staff, its value, and more consideration of the broader Open Science agenda and research ecosystem. Increasingly researchers do understand the value added from open access.
- However, understanding is still considered to be relatively limited (e.g. the costs of OA and subscriptions to funders and institutions, and benefits of OA). This affects policy implementation as researchers may not see the costs for research dissemination or feel ownership of OA.
- Greater understanding of the underlying financial implications of OA and concurrent changes to research culture are needed to incentivise more researchers to consider journal OA practices when informing decisions about publication.
- Universities and UKRI have roles to play in promoting understanding of OA among the academic community to ensure OA policy is effective for all stakeholders. This may also help address misplaced concerns about OA policy (e.g. participants expressed the view that OA mandates were not an infringement of academic freedom). UKRI could:
  - Consult individual researchers to assess understanding of processes associated with the current/future policy;
  - Ensure clear communication and engagement about the OA Review with the wider academic community early on, including expectations, timeframes and scope. This

would also enable universities to effectively communicate developments to their academics;

  o Provide a background OA briefing for researchers and university leaders.

OA costs, funding and publishing models

- OA costs and funding are a key issue as UK universities are and will continue to be key economic actors for OA. Funders (via policies) and universities (via negotiations) have a role to play in helping promote an effective market and acceptable costs.

- Current differences in QR and OA block grant funding between institutions, and effects on the ability of universities to pay and administer OA, need to be considered by the OA Review.

- Unsustainable costs (e.g. APCs, subscriptions) and administration time and cost (e.g. ensuring compliance and reporting) are key challenges for large and small institutions, which need to be in scope for the Review.

- Since the Finch Review there has been progress, but largely through hybrid OA which carries subscription and APC costs that are unsustainable. Universities, working with Jisc Collections, should seek better transformative deals (e.g. publish and read or more enhanced forms of OA) via a more coordinated approach with clearer messages and strategy. The cost of transformative deals may be an issue and the sector has to be prepared to turn down deals they consider unaffordable.

- The sector is taking some steps to work together in subscription negotiations. For example, Universities UK are working more closely with Jisc Collections to steer negotiations and seek better outcomes.

- Collaboration with publishers on compliance and APC payment processes has been beneficial, but collaboration more broadly has presented challenges due to lack of consensus, and a reluctance of many publishers to more quickly transition to full OA.

- Differences between publishers, including commercial publishers, university presses, learned societies and self/open-publishing, need to be considered in UKRI strategy. Wellcome Trust and UKRI are commissioning research to look at business models for learned society publishing. Universities were concerned whether Learned Society business models imposed additional costs on the dissemination system.

- OA policy has helped stimulate university presses and this taking back of ownership was perceived as positive. However, it was noted there are substantial costs in establishing new platforms and bodies such as Jisc may be able to assist with support for underlying processes.

- Economic impact assessment which looks at trajectories for value for money, timescales and costs for universities would be useful for the sector.

- How the community should approach the controls on APC charges outlined in Plan S was raised. Ensuring transparency of costs and margins was seen as key.

- It was noted that there will be on-going financial pressures on the University and Higher Education sector.

Infrastructure and repositories
- Good progress has been made by Jisc, working with the community (universities, researchers, publishers, funders), in building OA infrastructure and expertise, although work remains. Institutional repositories have also progressed (although there is tension between localised repositories and driving greater interoperability)
- For smaller institutions, the policies have encouraged adoption of infrastructures and repositories (e.g. the shared CREST OA outputs repository and consortium-led pilot as part of the Jisc Research Data Management Shared Service project).
- Interoperability between funder and local systems has progressed but challenges remain including need for attention to the underlying identifier infrastructure (in particular Organisational Identifiers), which are a key enabler for Open Research, better standards (e.g. metadata and identifiers indicating OA and licensing levels), and cost management by reducing complexity and associated dependency on manual intervention (e.g. use of spreadsheets).
- The data institutions can derive from OA repositories and management systems, and ability to share this with researchers, was viewed as valuable in demonstrating and promoting the benefits of OA.
- The Review should consider whether the UK Government open standards have a role to support and align with OA technical standards.

Compliance and reporting
- Policy compliance and any related sanctions for institutions and/or individuals is important to consider.
- To reduce complexity and aid communication and administration, the UKRI policy could be made clearer, including having one overall policy.
- OA policy reporting requirements have helped drive better research information systems, although a lot of work remains to reduce administration burdens and costs.

Differences across disciplines and research outputs
- It is positive that smaller institutions and disciplines outside of STEM have been involved in the implementation of policies and associated developments and discussions. Accounting for disciplinary differences remains important.
- The inclusion of monographs in the Review was welcomed. Increasing OA to monographs poses challenges including ensuring sustainable business models. The UUK Monographs Working Group has been undertaking evidence gathering on this which will be ready in Spring 2019 and will be helpful to inform the OA Review.
- The UUK Monographs Working Group will not have capacity to look at alternative business models – this is an important piece of work that UKRI may wish to consider commissioning.
- For visually rich disciplines in the arts and humanities it will be important to consider how OA policies could affect the viability of publications, which will require engagement with image rights holders as part of the review.

Implementation
- It is critical to connect OA strategy and policy with effective implementation that is practical, pragmatic and meets community needs. Ensuring incentives for the community to embrace OA policies are key.

International OA developments
- International developments in OA infrastructure and processes beyond Plan S must be considered.
- It considered important to consider the UKRI OA policy within an international context. Plan S is a positive development and growing international support is important.
- The USA was highlighted to as a key collaboration partner for UK institutions. UKRI may find it productive to not just consider US funder OA policies and how these might relate to UKRI policy, but also policies and collaborative importance of the key US institutions.
- The Harvard license was noted and that the UK SCL as an approach might help transition to OA.

Research data
- It was noted that open data and wider open research is valuable and seeing these as part of the landscape alongside publication was valuable. However Open Data policies may further add to university open research costs and so this would need to be taken into account if within scope of the Review, or if there might be future development in this area.

Working with UKRI to help achieve its objectives
- It is important that UKRI (via Research Council OA policies and the REF) continues to provide an external push factor to the higher education sector to further enable OA.
- It was recognised it was important to consider the views of university stakeholders not present for this initial discussion.
- Direct engagement and consultation with individual researchers during the Review is important. Engagement through disciplinary groups was highlighted as one avenue, which would also enable targeting of groups less engaged with OA. GuildHE indicated they would be able to facilitate meetings with researchers.
- Universities UK indicated they would be able to facilitate input to the Review. The Russell Group indicated it would also be able to facilitate input to the Review via its Pro-Vice-Chancellor Research (PVCR) Committee.
- Further communication about OA and the Review with university leaders was recommended, including using avenues such as the Mission Group boards. UKRI highlighted it was also already engaging with other relevant groups and funders.
- Participants were clear that any campaign to promote OA and further consultation on the Review with university leaders needs to be proportionate given concurrent high priority issues. Consultation should try to take into account crunch points for institutions but UKRI will need to also keep to the timeframe for the Review.
- Participants further discussed formal consultation for the Review and highlighted that it would be beneficial to have sight of background relevant information to make informed responses.

It was recommended that suitable background summary/guide about OA is published ahead of/alongside formal consultation to promote understanding and more informed input.

- The REF environment section might be a good institutional driver for OA and reward for OA.

Annex 1 – Overview of the UKRI Open Access Review presented at the roundtable

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UKRI Open Access Review

Stakeholder Roundtables, December 2018

UKRI Open Access Review

- Always has been a commitment to review and update OA policies from RCUK, and this is usual practice for REF cycles.

- UUK OA Coordination Group 'Monitoring the transition to open access' report: progress made (e.g. 12% UK OA in 2012 rose to 30% in 2016) but at a rising cost (e.g. APC cost rising, lack of off-set on subscriptions). The transition to OA is not fast enough and at an unsustainable cost.

- Establishment of UKRI gives rise to the opportunity to review effectiveness of OA policy and ensure it is joined up across its constituent bodies.

- What is the most effective way to deliver on UKRI OA principles?

'Open access' aims to make the findings of publicly-funded research freely available online as soon as possible, in ways that will maximise re-use. This is central to UKRI's ambitions for research and innovation in the UK, as sharing new knowledge has benefits for researchers, the wider higher education sector, businesses and others.'

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Scope

- The UKRI Open Access Review concerns open access to formal scholarly research articles, peer reviewed conference proceedings and monographs.

- Concerns the policies of the Councils of UKRI.

- The open access policy for future REF will also be considered in collaboration with HEFCW, SFC and DfENI.

- Innovate UK will also be taken into account.

- The current RCUK and REF open access policies continue to apply over the period of the Review.

Objectives

UKRI will review and develop its open access policies to:

- enhance the research, societal and economic benefits that can be derived from UKRI-funded research through improving access to research outputs;

- deliver sustainable support for open access and better value for money;

- ensure policy is joined up across UKRI constituent bodies and that it is clear, unambiguous and as easy as possible to comply with;

- encourage the development of new models of open access publishing;

- support the adoption of open access through collaboration and alignment with national and international partners.

Timetable and stakeholder engagement

Phase 1 (Q4 2018): Initiation of the Open Access Review, including establishing governance, initial stakeholder engagement and evidence gathering. UKRI will be holding some initial meetings with organisations and experts from university, research and publishing sectors to gather views on current open access policy and its effectiveness, what issues need to be considered, and to identify how we might work together to deliver an effective policy.

Phase 2 (Q1-2 2019): Evidence gathering and analysis, and development of policy options. UKRI will be engaging further with stakeholders, including workshops, to gather additional evidence and to explore policy options and scenarios.

Phase 3 (Q3-4 2019): UKRI consultation on draft policy, refinement and approval of the policy, and implementation planning.

UKRI expects the revised policy to apply during 2020; the exact start date will be confirmed in due course.

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UKRI OA Review and Plan S

- Working internationally is important to help achieve open access. UKRI has joined cOAlition S, along with a number of national research funders and foundations, and with support of the European Commission and the European Research Council (ERC).

- The Plan S principles broadly align with current Open Access policies and will be considered as part of the UKRI Open Access Review. Final decisions on UKRI policies will be made via the UKRI Open Access Review.

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Further information: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI Open Access Review Stakeholder Roundtable
Libraries, Research Management and Knowledge Exchange
Meeting Note

14th December 2018, MRC Conference Centre, London

Background

In December 2018, UK Research and Innovation (UKRI) invited a cross-section of organisations representing key stakeholder groups to a series of roundtables to inform its Open Access (OA) Review. Meetings were held with organisations representing universities, academies and learned societies (as publishers and representatives of disciplinary communities), publishers, and other OA practitioners, including libraries, research management and knowledge exchange. These initial stakeholder meetings aimed to:

- hear from organisations/communities regarding where the current UKRI OA policies have worked and where they might be improved;
- hear from organisations/communities with regards to how best UKRI might meet its OA ambitions, and what issues need to be considered;
- understand how organisations/communities might work with UKRI to help achieve its objectives.

This meeting note provides an unattributed summary of views and issues discussed at a roundtable with representatives spanning libraries, research management, knowledge exchange, research integrity and public engagement on the afternoon of 14th December 2018, in London. **To note: the views summarised are those of participants in the roundtable and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI OA Review can be found on our website:
https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI representatives

Duncan Wingham	UKRI (Meeting Chair)
Rachel Bruce	UKRI
Paul Richards	UKRI
Sara Ball	UKRI

Stakeholder participants

Chris Banks	Imperial College London / SCONUL
Paul Manners	National Co-ordinating Centre for Public Engagement
Anne Dixon	Research Councils Libraries & Information Consortium (RESCOLINC)
David Prosser	Research Libraries UK (RLUK)
Steph Bales	Teesside University / Association of Research Managers and Administrators (ARMA)

Nicola Wright	The London School of Economics and Political Science / RLUK
Ann Rossiter	The Society of College, National and University Libraries (SCONUL)
Bernard Silverman	UK Research Integrity Office (UKRIO)
Valerie McCutcheon	University of Glasgow / ARMA
Phil Clare	University of Oxford / Praxis Auril
Sue Angulatta	University of Sussex / ARMA
Stella Butler	University of Leeds / SCONUL

Agenda

1. Overview: UKRI Open Access Review (Rachel Bruce, UKRI)
2. Discussion: Where the current OA policy has worked and what remains to be achieved
3. Discussion: How can UKRI achieve its OA ambitions and what issues need to be considered?
4. Discussion: How representatives' organisations and communities can work with UKRI to help achieve its objectives

Meeting note

Progress to OA
- Current policies have resulted in a substantial increase in OA in the UK, but there has not been the meaningful change internationally that was hoped for.
- Part of the success of the REF policy is its progressive approach, starting from minimum requirements and encouraging institutions to go beyond that.
- For UKRI to achieve its ambitions it is important to harness the international prestige of the UK in academic publishing. We also need to ensure that by driving change the UK is in a position to benefit from it, including the UK publishing industry.

Sector engagement and communication
- The current policy has been successful in raising awareness among academics and supporting positive cultural change. This is particularly the case for the REF policy. Academics are increasingly recognising the benefits of OA through greater visibility of their work.
- However, many researchers don't see OA as being relevant to them. Greater clarity in the community is something that remains to be achieved.
- For the Review to be a success it is important to have full engagement with researchers and other users. This includes researchers with no affiliation, researchers within Government Departments, and international researchers.

Funding and publishing models
- Block grants under the current policy are effective, and the ability to use it flexibly (e.g. for staffing and infrastructure) is good. However, we seem to be hitting the limit of the block grant so there is a concern if 'gold' continues to be the favored route.
- There has been a push towards 'gold' but perhaps this need recalibrating relative to 'green'. There has been a lot of input to the infrastructure to support green routes and institutions want to avoid diminishing this. There is a risk that a push in certain direction may have

negative and unintended consequences on institutional repositories. In addition, researchers want shorter embargo periods for 'green' options.

- Perhaps an unexpected consequence of the current policy is that publishers have developed 'green' policies that aren't compliant, therefore institutions are forced to pay for the 'gold' option.
- Funding for OA comes from QR as well as block grants, and it is very difficult to trace funding from inputs to outputs. This is important to consider if trying to understand the costs and benefits of OA. The largest amounts of funding go to hybrid journals and so we can't disaggregate subscriptions from APCs.
- Beyond UKRI funding, smaller or less research intensive organisations may be disadvantaged in offsetting deals because they don't have funding for APCs and are forced down a subscription route.
- Options that might be considered for UKRI to achieve its OA ambitions include alternative publishing venues / models that might disrupt the market, and policy setting, for example around embargo periods and copyright, also recognising the publishers as service providers, as happens in other sectors and so they deliver what is asked of them for research.

Costs and benefits of OA
- For the OA policy to be a success it should clearly articulate a business case for OA, and with this there are several issues that need to be considered. For example, are we getting what we pay for and is it well balanced with the benefit received - is this a good use of the time, money and effort to make publications open? What might be needed so that research is accessible by wider audiences beyond academia? In addition, there is a lack of transparency around the costs of OA; currently it is very difficult to understand the costs associated with subscriptions, whereas APCs are more transparent.
- In terms of the benefits of OA, evidence for demand for OA can be found in, for example, numbers of 'turnaways' from subscription sites, pirate sites, pressure / complaints about lack of OA (e.g. for Alumni), and examples of usage (e.g. it was highlighted that the top three most used monographs on JSTOR were OA titles). There are areas where access needs to be addressed, in the NHS and access, awareness and support of OA is needed in some sectors outside of higher education and research. Removing paywalls can have an important impact while there may be other elements for re-use there is a case that OA does and can make a difference. There are also examples where potential users do not know that they already have access.

Implementation
- In terms of what remains to be achieved, there are inconsistent approaches across different funders and Government Departments. This increases complexity, and with that comes greater costs (time / effort / money) for implementation.
- Whilst there is no national OA policy UKRI should consider how to align with other funders and Government Departments as much as possible. An important issue to consider is the demands on those at the receiving ends of different policies, and the associated difficulties for implementation.
- To achieve its ambitions for OA UKRI should think about what needs to be done to deliver and monitor the policy at the same time as policy development. For example, what infrastructure should be in place.

Infrastructure
- Key issues to consider for infrastructure to support the policy include:
  - Where does the responsibility lie?
  - What should be national versus local?
  - How should we build on what is already in place and reduce duplication?
  - How can we drive up standards around discoverability and reuse? Could there be mechanisms to help share outputs?
- One way for UKRI to achieve its OA ambitions is to use its new relationship with IUK which invests in business. There might be opportunities for innovative solutions here in terms of infrastructure, which could include new publishing venues or to increase transparency around OA costs. There are also opportunities for universities to run presses and in the UK we are seeing more established, there might be ways to support this and also seek to retain prestige and international reputation through partnerships, and while this is an opportunity for new models universities do need support in developing these.
- In developing new publishing venues, important considerations include how to maintain the quality of peer review and research ethics. In addition, it is important to consider implications for researcher reward / recognition and how they can they still publish with the same prestige.
- Repositories should be considered as part of the infrastructure, enhancement of standards for discoverability and aggregation are required and there are opportunities for further shared services in this area. There are areas where duplication can be reduced, and to stream line work flows. There does need to be care in implementing enhancements, for example perhaps in a phased way.
- UKRI should help to define the functional capabilities and to support these.

Research culture
- In terms of what remains to be achieved, incentives continue to drive a misalignment between flows of money and recognition / reward for researchers. To achieve its OA ambitions UKRI will need to consider how to influence researcher behavior to focus on OA benefits for economy and society. This is a long term, big challenge around cultural change.
- In developing new policy, one key issue UKRI should consider is whether it will impact on academic freedom.
- Academics are associated with single articles, and this is the case for example, for large grants covering grand challenges that result in several publications amongst other outputs. Can we think about ways to recognise aggregated outputs / outcomes, rather researchers being associated with single publications?
- The importance of considering disciplinary differences in the design of OA policies and solutions was discussed, for example, patterns of research and publishing were highlighted to be very different between humanities and science disciplines.

Working with UKRI to help achieve its objectives
- One participant highlighted that the REF policy had been progressive by minimising barriers to compliance but with incentives for institutions to go beyond the minimum, which has helped towards developments such as new university presses extending OA from journals to monographs, and development of the UK Scholarly Communications Licence, which aims to facilitate authors/institutes retaining more rights and make research available more quickly.

They summarised that for a UKRI OA policy be effective and ensure community buy-in, it needs to:
- be progressive;
- provide incentives;
- and offer viable alternatives and/or support for Learned Societies to transition to OA, taking into account that many societies currently rely on publishing income to sustain their activities, and also outsource their publication services/infrastructures to commercial partners.

- Generally, there is strong support for change within the Libraries, Research Management and Knowledge Exchange representatives. They can use their links with researchers to be advocacies for OA and disseminate information.
- Libraries, Research Management and Knowledge Exchange representatives can help with the provision of quantitative evidence to support the problem UKRI are looking to solve or point towards solutions.
- The UK Research Integrity Office stands ready to help ensure that research integrity is intrinsic to any solution proposed.

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UK Research
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UKRI Open Access Review

Stakeholder Roundtables, December 2018

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- Innovate UK will also be taken into account.

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Objectives

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- ensure policy is joined up across UKRI constituent bodies and that it is clear, unambiguous and as easy as possible to comply with;

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Timetable and stakeholder engagement

Phase 1 (Q4 2018): Initiation of the Open Access Review, including establishing governance, initial stakeholder engagement and evidence gathering. UKRI will be holding some initial meetings with organisations and experts from university, research and publishing sectors to gather views on current open access policy and its effectiveness, what issues need to be considered, and to identify how we might work together to deliver an effective policy.

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Further information: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UK Research and Innovation Open Access Review Stakeholder Academies and Learned Societies Roundtable – Meeting Note

14th December 2018, MRC Conference Centre, London

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- understand how organisations/communities might work with UKRI to help achieve its objectives.

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UKRI representatives

Prof. Duncan Wingham	UKRI (Meeting Chair)
Rachel Bruce	UKRI
Dr Paul Richards	UKRI

Stakeholder participants

Prof. Mike Malim	Academy of Medical Sciences
Wayne Sime	Association of Learned and Professional Society Publishers (ALPSP)
Sophia Anderton	British Institute of Radiology / ALPSP
Catherine Hill	British Ecological Society / ALPSP
Deborah Dixon	Oxford University Press / ALPSP
Prof Susan Bruce	Arts and Humanities Alliance
Richard Fisher	The Royal Historical Society
Dr Stuart Taylor	The Royal Society
Dr Laura Bellingan	Royal Society of Biology
Dr Emma Wilson	Royal Society of Chemistry
Prof. Sue Scott	Academy of Social Sciences

Prof. Anne Trefethen	Royal Academy of Engineering
James Rivington	The British Academy
Prof. John Hunton	London Mathematical Society / The Council for the Mathematical Sciences

Apologies

| Tony McBride | Institute of Physics |

Agenda

- Overview: UKRI Open Access Review (Rachel Bruce, UKRI; Annex 1)
- Discussion: Where the current OA policy has worked and what remains to be achieved
- Discussion: How can UKRI achieve its OA ambitions and what issues need to be considered?
- Discussion: How representatives' organisations and communities can work with UKRI to help achieve its objectives

Meeting note

Where the current OA policy has worked and what remains to be achieved

- There has been a step change in OA output in the UK and Europe, and UKRI has shown good leadership (e.g. articles published Gold OA in one society's journals had increased from 0.2% of their published articles prior to the Finch Review (2011) to 27% overall in 2017. In 2017 65% of articles from UK authors were published via the Gold OA route, of these articles 70% were published in hybrid journals).

- A humanities representative said their community had welcomed aspects of the policy arising from the Finch Review, including flexibility in modes of OA that were important to their community, and arrangements for licensing and the REF. Although they stated it had not achieved international alignment and had entrenched the power of big publishers.

- Lack of international alignment remains a key issue for progressing OA, including the ability of society publishers to shift business models.

- Hybrid and Green OA options have been important enablers of transition to OA, and in enabling OA publishing across a variety of disciplines where specific funding for OA publishing costs is lacking.

- A key problem is the expense of OA implementation due to increasing APC and subscriptions costs – this is becoming unsustainable and a question of value for money. Off-setting policies might not be working well in some cases to constrain costs.

- Some participants agreed that the transition to OA had been slower than envisioned under current policies. However, it was suggested that this was largely due to lack of global uptake of OA options and funder support and alignment of policies internationally.

- Transparency is lacking throughout the academic publishing system about the flow of funding for OA and how it is used (this was later discussed in the context of funding for learned society activities).

Engaging with research communities

- UKRI needs to do more to 'win the hearts and minds' of research communities with respect to OA, including better engagement with disciplines and better communication of OA policy and the case for it. Understanding and support for OA among research communities has improved but remains partial.
- Research organisations could do more to promote knowledge and engagement, including lack of engagement from senior management.

How can UKRI achieve its OA ambitions and what issues need to be considered?

- One participant stated that UKRI could have a relatively straightforward policy, that with international alignment, would further promote OA, including:
  - all funded research being immediately OA;
  - UKRI undertaking to cover costs, including being clear on what publishing deals are appropriately transformative/sensibly off set;
  - not restricting authors to one type of OA venue – maximising access to UKRI-funded research;
  - a diversity of licensing to account for disciplinary differences.

Variation across the publishing landscape

- Different modes of OA supported by society publishers have been important to promote OA (e.g. hybrid, Green OA and transformative deals such as read and publish). Many society publishers also have policies to limit double-dipping. However, there is variation in support and implementation of these approaches across publishers and disciplines.
- Plan S may exclude/constrain diversity of OA models. The UK needs a flexible landscape, including support from societies to ensure all communities can publish both within the UK and internationally, and this should be considered by the UKRI Review.

Disciplinary issues

- Arts, humanities and social sciences representatives said there had been progress bringing these groups on board under the current policy, but that Plan S was raising old anxieties. Concerns relating to Plan S and OA policy more generally include:
  - lack of researcher attraction to and knowledge of OA, in part because UKRI articulation of OA policy is focused on science and innovation;
  - lack of funding to cover publishing costs as many of these disciplines are not funded by research grants (e.g. self-funding, small grants, funding through HEI operational costs/QR funding). OA funding via QR was highlighted as within scope of the Review and differences in how disciplines fund publishing costs would be considered;
  - CC BY licensing mandates. Written outputs hold more weight in these subjects and could be open to unintended use such as commercial exploitation, misrepresentation and usage out of context. One size does not fit all and tracking and following up on derivatives is impractical. There was a view that misrepresentation of research rather than loss of royalties (which are only made in limited cases) was the primary concern with licensing;

- o challenges implementing OA policies and publishing models for monographs (forthcoming outputs from the Universities UK OA Monographs Group were noted);
- o it was expressed that early career social scientists are often supportive of OA but may be naïve to associated challenges of this for the discipline;
- o related issues with Open Data (e.g. ethical considerations).

- Lack for funding and understanding of OA are key issues for mathematics. It also has a longstanding subject pre-print server, arXiv that works well and enables access to those who need it (predominantly research physics and mathematicians). It was suggested that this may not be appreciated in general OA discussions and that 'one size fits all' mandates may have a negative effect. However, it would not be compliant with requirements in Plan S concerning licensing, version deposited, embargo periods and preprints. Growth in pre-print repositories serving other disciplines (e.g. bioRXiv for biology) was also highlighted.

- OA policy was felt to have worked reasonably well in science and technology areas, although the broader concerns and issues about cost, implementation, researcher understanding and support and maintaining diversity in publishing options and venues were raised.

- Defining what constitutes a discipline was discussed as a key challenge if UKRI were to introduce discipline-specific policies and something that would be difficult to implement, especially in relation to interdisciplinary work. The Research Excellence Framework (REF) units of assessment were suggested as a possible starting point.

- Conference proceedings were highlighted to be particularly important research outputs for engineering and computer science. It was queried if OA policies/considerations of the UKRI Review would apply to conference proceedings in the same way as journal articles, and therefore whether associated costs for conferences would need to be covered in a similar way funding is provided for APCs. Peer-reviewed articles published in conference proceedings were noted as remaining in scope, although it is unlikely conference attendance would become in scope of OA funding. It was suggested OA policy in relation to conference proceedings should be more clearly defined.

Impacts on authors not supported by UKRI funding
- Potential indirect impacts of UKRI (supported) OA policies on researchers not funded by UKRI should be considered, for example:
  - o a medical research publisher highlighted that papers they published are authored by researchers in the health service who do not receive funding for publication costs. This has constrained growth in OA publishing as a publisher and discipline;
  - o independent researchers may be indirectly affected by funder OA policies and high OA fees. UKRI funds only institutions, but welcomed evidence to better understand this issue;
  - o early career researchers that lack funding for publication costs;
  - o UKRI highlighted that it recognised parts of the research system were not funded by UKRI or government, that this would be considered where its remit permitted, and

that it would be engaging with other government departments and agencies during the Review.

Supporting learned society functions

- Many learned societies have proactively supported OA, including with OA journals/options, policies and statements.

- Surplus from learned society publications is invested back into their research communities, supporting the overall research landscape. Societies are concerned these activities (and in some cases their ability to exist) could be impacted by reductions in surplus publishing revenue arising from changes in business models from OA policy and/or rapid introduction of new funder mandates, specifically Plan S as stated, that would not allow enough scope and time for transition and compliance.

- Direct funder support for society activities was agreed to be a valid consideration for UKRI, at present these are often resourced from publishing surpluses.

- ALPSP highlighted that they were working with UKRI and Wellcome Trust on commissioning research to look at helping learned societies to explore Plan S-compliant business models.

Author choice and academic freedom

- Some societies were hearing concerns from researchers that Plan S might constrain the venues they can publish in as many journals would not be compliant. There was disagreement as to whether funder mandates on where researchers receiving their funds could publish constituted a threat to academic freedom.

Addressing publishing system complexity

- The international policy landscape for OA is too complex and would benefit from simplification. This is a challenge for understanding and compliance as international publishers deal with numerous funder mandates across different countries. The whole community has a role in simplifying and explaining the landscape for authors.

Research culture

- Progress towards OA needs to occur alongside changes in research culture, including the value placed on publishing venues and journal impact in the academic assessment and awards system. There were concerns that Plan S/OA policy may have unintended impacts on researchers given the current landscape. Plan S support for the San Francisco Declaration on Research Assessment (DORA) is viewed as important.

- Researchers from other countries subject to different OA policies (e.g. USA) may be dissuaded from collaborating with UKRI funded researchers (or working in the UK), if constraints were placed on where they could publish. Maintaining international disciplinary networks and specific collaborations is important for all disciplines (e.g. social science was discussed as an example).

- Early career researchers often move between institutions, countries and funders, but their research may span these transitions. There is a danger OA policy may contribute to constraints on individuals that affect their ability to compete internationally.
- UKRI highlighted that consequences of OA policy on aspects of research culture would be considered by the Review.

Value for money
- Ensuring full open access on the day of publication, value for money and maintaining confidence in the peer review system are key concerns for the Review. Understanding how UKRI can ensure sustainable support for OA, given increasing APC fees, subscription costs and increasing volume of publications is a key consideration, but the Review is not an exercise in cutting costs, although overall spend on OA will need to be considered. Discussion points in relation to value for money included:
  - agreement about its importance for OA policy, but the need to avoid focusing on distinctions between hybrid and full OA;
  - the need to promote transparency of publishing costs;
  - the need for a proper study and analysis of APC costs (cOAlition S work on this was noted) and that a fixed APC cap may not work as journals cost different amounts to run (e.g. running costs are higher for high quality society journals with large peer-review costs and high rejection rates);
  - research evaluation is a key consideration as journals currently seen as prestigious can charge more;
  - there was a diversity of opinion as to whether UKRI should consider running or supporting publishing platforms;
  - drivers of increases in the volume of research outputs (e.g. year on year increases in global R&D spend and numbers of researchers; expectations to publish for career progression; potential to promote open data to reduce need for multiple papers; the REF);
  - Increasing society publisher revenues may not be linked to rises in APCs and subscriptions charge, but rather to large increases in the volume of scientific outputs (e.g. the volume of papers published by one society had increased from 5,666 in 2007 to 35,398 in 2017);
  - the wider value of learned societies to the research landscape and their current investment in a range of supportive initiatives.

Evidencing the benefits of OA
- To enable other organisations to inform their policies and activities, it would be helpful for UKRI to identify evidence on the benefits of OA (e.g. evidence that OA increases the use of research in industry and technology is lacking).

How organisations can work with UKRI and next steps

- UKRI stated that it would be helpful for organisations present, in consultation with their members and partner organisations, to provide additional objective and transparent evidence on the activities academies and societies undertake for the research community and how they are supported by publishing income and activities, including a clear declaration of interests. It was noted that some organisations had previously gathered or published relevant information they could highlight.

- UKRI also welcomed other supplementary points and evidence in writing by the end of January. UKRI emphasised that is would be helpful for organisations to aggregate evidence and view, where appropriate.

Annex 1 – Overview of the UKRI Open Access Review presented at the roundtable

UK Research
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UKRI Open Access Review

Stakeholder Roundtables, December 2018

UKRI Open Access Review

- Always has been a commitment to review and update OA policies from RCUK, and this is usual practice for REF cycles.

- UUK OA Coordination Group 'Monitoring the transition to open access' report: progress made (e.g. 12% UK OA in 2012 rose to 30% in 2016) but at a rising cost (e.g. APC cost rising, lack of off-set on subscriptions). The transition to OA is not fast enough and at an unsustainable cost.

- Establishment of UKRI gives rise to the opportunity to review effectiveness of OA policy and ensure it is joined up across its constituent bodies.

- What is the most effective way to deliver on UKRI OA principles?

'Open access' aims to make the findings of publicly-funded research freely available online as soon as possible, in ways that will maximise re-use. This is central to UKRI's ambitions for research and innovation in the UK, as sharing new knowledge has benefits for researchers, the wider higher education sector, businesses and others.'

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Scope

- The UKRI Open Access Review concerns open access to formal scholarly research articles, peer reviewed conference proceedings and monographs.
- Concerns the policies of the Councils of UKRI.
- The open access policy for future REF will also be considered in collaboration with HEFCW, SFC and DfENI.
- Innovate UK will also be taken into account.
- The current RCUK and REF open access policies continue to apply over the period of the Review.

Objectives

UKRI will review and develop its open access policies to:

- enhance the research, societal and economic benefits that can be derived from UKRI-funded research through improving access to research outputs;
- deliver sustainable support for open access and better value for money;
- ensure policy is joined up across UKRI constituent bodies and that it is clear, unambiguous and as easy as possible to comply with;
- encourage the development of new models of open access publishing;
- support the adoption of open access through collaboration and alignment with national and international partners.

Timetable and stakeholder engagement

Phase 1 (Q4 2018): Initiation of the Open Access Review, including establishing governance, initial stakeholder engagement and evidence gathering. UKRI will be holding some initial meetings with organisations and experts from university, research and publishing sectors to gather views on current open access policy and its effectiveness, what issues need to be considered, and to identify how we might work together to deliver an effective policy.

Phase 2 (Q1-2 2019): Evidence gathering and analysis, and development of policy options. UKRI will be engaging further with stakeholders, including workshops, to gather additional evidence and to explore policy options and scenarios.

Phase 3 (Q3-4 2019): UKRI consultation on draft policy, refinement and approval of the policy, and implementation planning.

UKRI expects the revised policy to apply during 2020; the exact start date will be confirmed in due course.

UK Research
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UKRI OA Review and Plan S

- Working internationally is important to help achieve open access. UKRI has joined cOAlition S, along with a number of national research funders and foundations, and with support of the European Commission and the European Research Council (ERC).

- The Plan S principles broadly align with current Open Access policies and will be considered as part of the UKRI Open Access Review. Final decisions on UKRI policies will be made via the UKRI Open Access Review.

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Further information: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI Open Access Review Stakeholder Roundtable
Publishers Association
Meeting Note

17th December 2018, MRC Conference Centre, London

Background

In December 2018, UK Research and Innovation (UKRI) invited a cross-section of organisations representing key stakeholder groups to a series of roundtables to inform its Open Access (OA) Review. Meetings were held with organisations representing universities, academies and learned societies (as publishers and representatives of disciplinary communities), publishers, and other OA practitioners, including libraries, research management and knowledge exchange. These initial stakeholder meetings aimed to:

- hear from organisations/communities regarding where the current UKRI OA policies have worked and where they might be improved;
- hear from organisations/communities with regards to how best UKRI might meet its OA ambitions, and what issues need to be considered;
- understand how organisations/communities might work with UKRI to help achieve its objectives.

This meeting note provides an unattributed summary of views and issues discussed at a roundtable with the Publishers Association on the afternoon of 17th December 2018, in London. **To note: the views summarised are those of participants in the roundtable and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI OA Review can be found on our website:
https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI representatives

Duncan Wingham	UKRI (Meeting Chair)
Rachel Bruce	UKRI
Paul Richards	UKRI

Participants

Stephen Lotinga	CEO, The Publishers Association
Peter Phillips	CEO, Cambridge University Press / Vice-President, The Publishers Association
Steven Inchcoombe	Chief Publishing Officer, Springer Nature
Liz Ferguson	Vice-President Editorial Development, John Wiley & Sons / Chair, Publishers Association Academic Publishers Group

Agenda

- Overview: UKRI Open Access Review (Rachel Bruce, UKRI)
- Discussion: Where the current OA policy has worked and what remains to be achieved

- Discussion: How can UKRI achieve its OA ambitions and what issues need to be considered?
- Discussion: How representatives' organisations and communities can work with UKRI to help achieve its objectives

Meeting note

UKRI OA Review overview
UKRI clarified the following points in discussion:
- UKRI highlighted that in parallel to the Review, the Department for Business, Energy & Industrial Strategy (BEIS) would, where necessary, be assessing broader economic considerations of OA for the publishing sector as this was outside UKRI's responsibilities.
- UKRI acknowledged concerns previously raised about Plan S in correspondence with UKRI and Government and clarified that Plan S was an input to the Review but any final policy decisions would be made by the Review.
- UKRI noted that it would be undertaking a formal consultation on a draft policy.
- UKRI confirmed that:
  - Open Data is not within scope of the Review except in relation to requirements for Open Data statements and metadata relating to Open Access publications.
  - Informing policy for the next REF is a key deadline for the Review.
  - There is no formal cross-over between the UKRI OA Review and cOAlition S Plan S implementation clarification and feedback exercise, but any timely outputs will be used to inform the UKRI review.

Progress implementing OA
- The UK has made good progress based on the success criteria set out by the Finch Review, including increased national and global access to UK research outputs, and is well ahead of the rest of the world. The consensus-based approach has been a good one. It is hoped these criteria would be a good starting base for the current OA Review.
- Ensuring a sustainable and excellent academic publishing sector is important to ensure the transition to OA; this was recognised by the Finch Review.
- The Finch Review recognised the importance of understanding the international academic publishing picture. Prior to publish and read arrangements ensuring access to increasing non-OA global output while trying to meet UK ambitions was difficult.
- Growth in offsetting and publish and read deals is a further sign of progress and the publishers recognising and addressing issues (UKRI highlighted that evidence from the Universities UK Open Access Coordination Group (UUK OACG) indicated rising costs and a slower than expected move towards offsetting, which raises issues for the university sector and funders around the current extent of consensus and sustainability).
- Article Processing Charges currently vary considerably across publications and disciplines due to the developing OA landscape, different publishing models and different costs.

Value for money

- There was discussion about how to define and measure value for money including: challenges measuring the cost-benefits of OA due to lack of transparency in funding flows and understanding usage of outputs; and understanding what overall UKRI expenditure on OA should be to ensure affordability, sustainability and meeting the demand of increased numbers of research outputs.

- Understanding the value of research outputs is central to conversations between publishers and research libraries. A focus of publishers is investing in standardized approaches to measure usage of outputs. It is important this information is transparent to university heads. It was noted that the COUNTER standards have been in place for many years, that virtually all research publishers report their usage to universities based on these standards and therefore universities already have full and comparable transparency around usage and their costs.

- Costs have risen in the UK for OA, if there was reciprocal action and policy in other countries then there could be a transition moving from payment for consumption payment to payment to publish; understanding the gap between these is difficult though. There are ways to model transition scenarios, which publishers use but generally on a global basis as this is more difficult to distil for individual countries.

- Moving towards read and publish, more harmonised systems of transparency and information is also a goal for publishers.

- There is some evidence that suggests author behaviours in relation to multinational papers may also increase the number of APCs the UK pays for. For example, one participant had found evidence that corresponding authors are increasingly not the grant holder with bias towards the corresponding author being UK-based. The reason is unclear but may be due to language, standing and/or access to funds for OA.

Distribution of funding

- Centralising distribution of OA funding (i.e. payments from funders to publishers) would improve transparency and efficiency. The UUK OACG Efficiencies Working Group, which included publishers, has published recommendations and work on this. Publishers can work with UKRI to achieve this. Another approach is to include funding in research grants. It was noted that a more central approach to making regular batch payments would be more efficient for all than multiplying the number of per transaction micro-payments.

- The current approach (i.e. block grant and QR versus a grant-based approach) has worked as it allows different approaches for different subjects (e.g. for subjects where departmental funding is important). Publishers have heard concerns from researchers that Plan S supports funding models not suitable for some disciplines.

- Publishers have tried to provide authors with as much choice as possible within the constraints of the current funding and policy framework to promote a market. Funding via research grants or centralised funding would place more decision-making in the hands of authors, which may encourage consideration of value for money and holding publishers more to account for the services they provide (e.g. speed of publication, assistance provided,

post-publishing benefits). It was felt publishers in the UK would engage with such an approach. The current top down macro approach is at odds with this.

- There was discussion about whether a research grant approach to OA funding would result in increased transaction costs and complexity in allocating limited funding. It was suggested transaction costs issues could be overcome (e.g. operating payments in the same way as research grants) while enabling researchers to retain decision-making.
- Currently, while in a transition phase with transformative deals, it may be practically difficult for funders to engage directly with publishers due to subscription costs (funded by institutions) and OA fees being merged in deals with publishers.

Transition time

- There was discussion about how long a period is needed for transition to full OA and whether policy approaches are needed to drive progress, noting there was concern the current transitionary arrangements were becoming entrenched. It was noted that while UKRI's new OA policy is expected to come into force in 2020, the Review may determine that individual elements need to be implemented over a longer timetable.
- Publishers see that some authors do not take up the opportunity to publish OA. This may suggest funders/publishers need to do more to communicate the benefits of publishing OA to authors.
- It was suggested the biggest challenge for the UK was that it cannot control how authors in other countries publish, which determines how UK institutions/researchers have to access large bodies of research. Transition depends on global change and the UK is a net producer and suffering first mover disadvantage in terms of costs. This was recognised by the Finch Review.
- Participants noted the need for the effectiveness of arrangements to be reviewed in the light of experience during the transition period before switching off the transition arrangements.

APCs and costs

- There was discussion about identifying what were reasonable publishing charges for funders to support. It was suggested shared understanding of the costs and profits underlying publishing may contribute to greater consensus between the sector and publishers.
- Publishers cannot legally collectively agree models and deals (N.B due to competition law restrictions), which constrains scope for deals with funders that would set appropriate charges or provide figures on publisher costs to inform policy development. It was suggested publishers may be able to provide figures on an individual basis and have individual discussion on costs and charges, providing terms on disclosure are agreed beforehand.
- It was suggested issues around money were heavily weighted towards experimental science and that other disciplines different legitimate concerns that perhaps need addressing separately from the focus on funding and cost. UKRI noted that differences in funding streams and issues between STEM disciplines and arts, humanities and socials science had been raised in other stakeholder meetings and would be taken into account by the Review.

Learned societies
- It was highlighted that publishers publish journals on behalf of a lot of learned societies who have specific concerns. UKRI emphasised that this was an important stakeholder group UKRI had met with representatives and will continue to engage.
- UKRI suggested that direct funding for societies might be considered.

Impact of UKRI/UK OA policy on UK academic publishing
- It was emphasised that UK academic publishers receive substantial revenues from overseas publishing and UKRI-advocated global initiative/policies (e.g. Plan S) have a core effect on the ecology of UK academic publishing, which needs to be taken into account when setting policies. It was suggested that understanding the underlying economics was beneficial to all stakeholders, including funders.
- UKRI representatives were asked if UKRI would be undertaking economic modelling, where relevant, and would consider all the different places where publishing costs are incurred. UKRI clarified it would look at economics as applicable to UKRI's and Review's remit (e.g. costs to universities and UKRI) and would draw on relevant expertise and the best available information; and that learning points were welcome. It was highlighted that some countries, such as the Netherlands and Norway had already done macromodelling that UKRI may want to consider.
- UKRI communicated that it was anticipated that BEIS analysis of the broader economic impacts of academic publishing and UKRI Review would run in parallel and inform each other as appropriate.
- It was noted that there was a lot of innovation in academic publishing in the UK and this should enable continued support of the change towards open access.

Next steps
- UKRI invited supplementary written points and/or evidence by the end of January. Objective evidence with clear declarations of interest was emphasised to be most useful.

Annex 1 – Overview of the UKRI Open Access Review presented at the roundtable

UK Research
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UKRI Open Access Review

Stakeholder Roundtables, December 2018

UKRI Open Access Review

- Always has been a commitment to review and update OA policies from RCUK, and this is usual practice for REF cycles.

- UUK OA Coordination Group 'Monitoring the transition to open access' report: progress made (e.g. 12% UK OA in 2012 rose to 30% in 2016) but at a rising cost (e.g. APC cost rising, lack of off-set on subscriptions). The transition to OA is not fast enough and at an unsustainable cost.

- Establishment of UKRI gives rise to the opportunity to review effectiveness of OA policy and ensure it is joined up across its constituent bodies.

- What is the most effective way to deliver on UKRI OA principles?

'Open access' aims to make the findings of publicly-funded research freely available online as soon as possible, in ways that will maximise re-use. This is central to UKRI's ambitions for research and innovation in the UK, as sharing new knowledge has benefits for researchers, the wider higher education sector, businesses and others.'

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Scope

- The UKRI Open Access Review concerns open access to formal scholarly research articles, peer reviewed conference proceedings and monographs.

- Concerns the policies of the Councils of UKRI.

- The open access policy for future REF will also be considered in collaboration with HEFCW, SFC and DfENI.

- Innovate UK will also be taken into account.

- The current RCUK and REF open access policies continue to apply over the period of the Review.

Objectives

UKRI will review and develop its open access policies to:

- enhance the research, societal and economic benefits that can be derived from UKRI-funded research through improving access to research outputs;

- deliver sustainable support for open access and better value for money;

- ensure policy is joined up across UKRI constituent bodies and that it is clear, unambiguous and as easy as possible to comply with;

- encourage the development of new models of open access publishing;

- support the adoption of open access through collaboration and alignment with national and international partners.

Timetable and stakeholder engagement

Phase 1 (Q4 2018): Initiation of the Open Access Review, including establishing governance, initial stakeholder engagement and evidence gathering. UKRI will be holding some initial meetings with organisations and experts from university, research and publishing sectors to gather views on current open access policy and its effectiveness, what issues need to be considered, and to identify how we might work together to deliver an effective policy.

Phase 2 (Q1-2 2019): Evidence gathering and analysis, and development of policy options. UKRI will be engaging further with stakeholders, including workshops, to gather additional evidence and to explore policy options and scenarios.

Phase 3 (Q3-4 2019): UKRI consultation on draft policy, refinement and approval of the policy, and implementation planning.

UKRI expects the revised policy to apply during 2020; the exact start date will be confirmed in due course.

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UKRI OA Review and Plan S

- Working internationally is important to help achieve open access. UKRI has joined cOAlition S, along with a number of national research funders and foundations, and with support of the European Commission and the European Research Council (ERC).

- The Plan S principles broadly align with current Open Access policies and will be considered as part of the UKRI Open Access Review. Final decisions on UKRI policies will be made via the UKRI Open Access Review.

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Further information: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI Open Access Review International Association of Scientific, Technical and Medical Publishers Stakeholder Roundtable – Meeting Note

17th December 2018, MRC Conference Centre, London

Background

In December 2018, UK Research and Innovation (UKRI) invited a cross-section of organisations representing key stakeholder groups to a series of roundtables to inform its Open Access (OA) Review. Meetings were held with organisations representing universities, academies and learned societies (as publishers and representatives of disciplinary communities), publishers, and other OA practitioners, including libraries, research management and knowledge exchange. These initial stakeholder meetings aimed to:

- hear from organisations/communities regarding where the current UKRI OA policies have worked and where they might be improved;
- hear from organisations/communities with regards to how best UKRI might meet its OA ambitions, and what issues need to be considered;
- understand how organisations/communities might work with UKRI to help achieve its objectives.

This meeting note provides an unattributed summary of views and issues discussed at a roundtable with the International Association of Scientific, Technical and Medical Publishers (STM Association) on the afternoon of 17th December 2018, in London. **To note: the views summarised are those of participants in the roundtable and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI OA Review can be found on our website:
https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI Representatives
Duncan Wingham   UKRI (Meeting Chair)
Rachel Bruce   UKRI
Paul Richards   UKRI

Participants
Michael Mabe   CEO, STM Association
Jim Milne   Senior Vice President, American Chemical Society Journals Publishing Group
Jason Wilde   Chief Publishing Officer, American Institute of Physics / Chair, STM Association
Gemma Hersh   Vice-President Global Policy, Elsevier

Agenda

- Overview: UKRI Open Access Review (Rachel Bruce, UKRI)
- Discussion: Where the current OA policy has worked and what remains to be achieved
- Discussion: How can UKRI achieve its OA ambitions and what issues need to be considered?

- Discussion: How participants' organisations and communities can work with UKRI to help achieve its objectives

Meeting note

UKRI OA Review

- Concern was expressed that UKRI had signed up to Plan S before the completion of the OA Review and that David Sweeney was leading both the Review and Plan S taskforce, which could undermine impartiality. UKRI highlighted that there was appropriate due process and oversight, and that Plan S was an input to the Review, but the that the Review would assess and determine any policy changes. Practicalities of implementing policy options and potential for any unintended consequences will be considered.
- The potential for more commonality across funders was viewed as useful to address complexity in the OA publishing system.
- How the UKRI OA Review would work with the Department for Business, Energy & Industrial Strategy (BEIS) and Government was discussed. UKRI communicated that it is engaging with relevant departments and that BEIS will conduct a separate analysis of the wider economic impacts to complement the Review, as this issue is beyond UKRI's remit.
- It was discussed that UKRI was engaging other stakeholder groups (e.g. universities) and individual researchers. It was suggested that getting meaningful feedback from researchers was vital. A key role of publishers is to support researchers to ensure research is accessible and read, what researchers want and reducing barriers to publishing should be front and centre.

Research culture and assessment

- The importance of considering incentives for publishing OA and effects of the academic reward system and research culture on publishing behavior were discussed. It was suggested that the way research is assessed may also be driving an increase in number of publications. UKRI highlighted these issues had been raised at other meetings and would be considered as far as was possible within the remit of the Review, including how learned societies could be supported to transition to OA business models, innovative mechanisms to promote growth and technology, and DORA.

International context

- Participants expressed the view that considering UKRI policy within the context the global academic publishing and research environment (e.g. countries with different policies, and institutions involved international research outputs) is important.
- Concern was expressed that differences between UK and other countries policies might have negative unintended impacts of the attractiveness of collaborating with UK researchers.
- Publishers model international scenarios of the effects of OA policy and not all countries are going open access, which makes it difficult for publishers to switch business models (e.g. the UK represents only 6% of outputs). [1]
- The UK has previously played a leadership role, which needs to be taken into account for the direction of future policy.

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[1] STM: International Association of Scientific, Technical and Medical Publishers (2018). The STM Report Fifth Edition, p.34.

Current RCUK policy

- The current RCUK policy was described as transformative and having contributed to progress in OA. Outcomes seen as important included:
  - close coordination with stakeholders, including publishers, and bringing them together in a transparent way;
  - a key challenge being that the rest of the world has not followed the UK's leadership and signals, limiting progress made;
  - that the Review should consider and build on the important outputs (e.g. recommendations, learning and best practice) arising from implementation of the current policy and groups such as the Universities UK OA Coordination group.

Value for money and costs

- Understanding costs for OA to inform sustainable future funding and ensuing value for money was discussed. UKRI highlighted lack of transparency in the flows of funding through the system made this challenging.
- The Review needs to take into account that globally there is more funding, researchers and content, which has led to natural cost inflation and expenditure for publishing (e.g. submissions are growing at about 4-6% annually, leading to 3-4% growth in published papers globally h and there are associated increased peer review costs), and that researchers will still need to access non-OA subscription content.
- It was discussed that the Review will need to consider usage of research to assess policy success. It was noted that systems exist to investigate (e.g. Project COUNTER downloads) although collating data is complex. It was noted that STM had recently published a report containing useful information and statistical data. Recent public download figures from STM Association members suggest 4.5 billion full text downloads annually, excluding any repository activity.
- Assessing what budget to allocate for OA is challenging as outputs are increasing and policy makes researchers publish. One option is reducing papers published which would either require reductions in researchers or policy encouraging publishing less.
- In the longer term, a global transition to full OA would enable subscription payments to be repurposed to cover OA costs, although subscriptions would still be needed for existing non-OA content.

Policy and implementation timelines

- Initial implementation timelines suggested by Plan S and the UKRI Review were argued to be impractical for publishers. For example, it was suggested that only seven chemistry journals would be compliant with Plan S, and if implementation started presently journals would not be ready by the beginning of 2020. Publishers also have to take into account that UKRI is only one of the cOAlition S funders and there will be variations in policy they will have to ensure they are compliant with.
- UKRI highlighted that it would consider the need for transitional periods and that objective evidence and information about what is required would be helpful.
- The global context is important for calculations about costs associated with shifting publishing models.

Funding efficiency

- It was suggested that UKRI funding flows for OA could work more efficiently through streamlining payment and compliance processes; this could enable efficiency gains and greater transparency. For example, UKRI could consider a direct transactional relationship with publishers. The Wellcome policy was highlighted as an example of best practice.
- A demerit of UKRI directly paying publishing costs through providing funds through research grants would be complexity and resource associated with administration of this.
- Overall there needs to be balance between transparency and ease of process.

Embargos

- There was a discussion about the move to zero embargo and what might happen if this was the approach, it was felt this would impact subscriptions. The study from the Research Information Network (RIN) showed there was an instability with Green as it is uncertain when the flip will happen and also libraries will stop subscriptions. In some cases, were NIH were using PubMed for the AAM there had been an impact on subscriptions.
- The impact was however subject dependent. Some subjects like physics already work with pre-prints and use ArXiv, so they have a claim out there before final version.

Preprints

- It is appropriate for the Review to look at preprints as they can be beneficial, particularly for some disciplines and in the case where immediacy of access was necessary (e.g. an emergency). *arXiv* was highlighted as an instructive example. Considerations such as ensuring discoverability and quality were noted.

Article Processing Charges (APCs)

- There was discussion about why APC costs were rising and value for money. It was highlighted that APC costs are higher for some hybrid journals due to quality (e.g. peer review and standing of the editors (e.g. UUK Open Access Coordination Group report [2]) see the UUK graph) and that high-quality full OA journals are lacking for some disciplines such as Chemistry based on those Directory of Open Access Journals (DOAJ). UKRI asked if this could be better evidenced.
- Other evidence (e.g. from Deltathink) suggests fully gold APCs are increasing more rapidly and that the gold OA market may currently be underpriced suggesting APCs may increase further with the transition to OA.
- The UUK OACG reports were also highlighted as source of information on APC costs.
- UKRI highlighted that it needed evidence to better understand what services being offered by publishers and what is being paid for, and this would contribute to the understanding of costs and value and the drive for transparency.
- It would be useful to receive further verifiable evidence of the costs and profits associated with academic publishing and open access.
- The CEPA / PRC study that shows intangible costs is relevant.

Next steps

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[2] Research Information Network *et al.* (2015) Monitoring the Transition to Open Access: A report for the Universities UK Open Access Coordination Group, Fig. 15, p. 59.

- It was noted by UKRI that there was some commonality in issues raised by different stakeholder groups including: considerations to route funding; across different disciplines, the balance of funding for OA, readiness to adopt OA and impact of policy; and incentives and encouragement to transition to OA.
- UKRI invited supplementary evidence in writing from STM to further address the points raised by the end of January 2019. It was emphasised that evidence should be objective, where possible quantitative, and include clear declarations of interest to be of most use.

Annex 1 – Overview of the UKRI Open Access Review presented at the roundtable

UK Research
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UKRI Open Access Review

Stakeholder Roundtables, December 2018

UKRI Open Access Review

- Always has been a commitment to review and update OA policies from RCUK, and this is usual practice for REF cycles.

- UUK OA Coordination Group 'Monitoring the transition to open access' report: progress made (e.g. 12% UK OA in 2012 rose to 30% in 2016) but at a rising cost (e.g. APC cost rising, lack of off-set on subscriptions). The transition to OA is not fast enough and at an unsustainable cost.

- Establishment of UKRI gives rise to the opportunity to review effectiveness of OA policy and ensure it is joined up across its constituent bodies.

- What is the most effective way to deliver on UKRI OA principles?

'Open access' aims to make the findings of publicly-funded research freely available online as soon as possible, in ways that will maximise re-use. This is central to UKRI's ambitions for research and innovation in the UK, as sharing new knowledge has benefits for researchers, the wider higher education sector, businesses and others.'

UK Research
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Scope

- The UKRI Open Access Review concerns open access to formal scholarly research articles, peer reviewed conference proceedings and monographs.

- Concerns the policies of the Councils of UKRI.

- The open access policy for future REF will also be considered in collaboration with HEFCW, SFC and DfENI.

- Innovate UK will also be taken into account.

- The current RCUK and REF open access policies continue to apply over the period of the Review.

Objectives

UKRI will review and develop its open access policies to:

- enhance the research, societal and economic benefits that can be derived from UKRI-funded research through improving access to research outputs;

- deliver sustainable support for open access and better value for money;

- ensure policy is joined up across UKRI constituent bodies and that it is clear, unambiguous and as easy as possible to comply with;

- encourage the development of new models of open access publishing;

- support the adoption of open access through collaboration and alignment with national and international partners.

Timetable and stakeholder engagement

Phase 1 (Q4 2018): Initiation of the Open Access Review, including establishing governance, initial stakeholder engagement and evidence gathering. UKRI will be holding some initial meetings with organisations and experts from university, research and publishing sectors to gather views on current open access policy and its effectiveness, what issues need to be considered, and to identify how we might work together to deliver an effective policy.

Phase 2 (Q1-2 2019): Evidence gathering and analysis, and development of policy options. UKRI will be engaging further with stakeholders, including workshops, to gather additional evidence and to explore policy options and scenarios.

Phase 3 (Q3-4 2019): UKRI consultation on draft policy, refinement and approval of the policy, and implementation planning.

UKRI expects the revised policy to apply during 2020; the exact start date will be confirmed in due course.

UK Research
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UKRI OA Review and Plan S

- Working internationally is important to help achieve open access. UKRI has joined cOAlition S, along with a number of national research funders and foundations, and with support of the European Commission and the European Research Council (ERC).

- The Plan S principles broadly align with current Open Access policies and will be considered as part of the UKRI Open Access Review. Final decisions on UKRI policies will be made via the UKRI Open Access Review.

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Further information: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI Open Access Review Stakeholder Roundtable
Open Access Scholarly Publishers Association (OASPA)
Meeting Note

17th December 2018, MRC Conference Centre, London

Background

In December 2018, UK Research and Innovation (UKRI) invited a cross-section of organisations representing key stakeholder groups to a series of roundtables to inform its Open Access (OA) Review. Meetings were held with organisations representing universities, academies and learned societies (as publishers and representatives of disciplinary communities), publishers, and other OA practitioners, including libraries, research management and knowledge exchange. These initial stakeholder meetings aimed to:

- hear from organisations/communities regarding where the current UKRI OA policies have worked and where they might be improved;
- hear from organisations/communities with regards to how best UKRI might meet its OA ambitions, and what issues need to be considered;
- understand how organisations/communities might work with UKRI to help achieve its objectives.

This meeting note provides an unattributed summary of views and issues discussed at a roundtable with Open Access Scholarly Publishers Association on the morning of 17th December 2018, in London. **To note: the views summarised are those of participants in the roundtable and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI OA Review can be found on our website:
https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

UKRI representatives

Duncan Wingham   UKRI (Meeting Chair)
Rachel Bruce   UKRI
Paul Richards   UKRI

Participants

Claire Redhead   Executive Director, OASPA
Mark Patterson   Executive Director, eLife
Paul Peters   Chair, OASPA / Chief Executive Officer, Hindawi
Caroline Sutton   Director of Editorial Development, Taylor & Francis

Agenda
- Overview: UKRI Open Access Review (Paul Richards, UKRI)
- Discussion: Where the current OA policy has worked and what remains to be achieved
- Discussion: How can UKRI achieve its OA ambitions and what issues need to be considered?
- Discussion: How representatives' organisations and communities can work with UKRI to help achieve its objectives

Meeting note

OA progress

- There has been good progress, particularly in the UK, in the amount of OA outputs. Publishers have helped to promote OA.

- Rising APC and subscription costs are a concern for funders and institutions, although off-setting is helping a little.

- Policies and discussions about OA have placed too much emphasis on hybrid compared to focusing on how to make fully OA journals work better.

- Streamlining the flow of funds from funders to publishers and associated administration and in doing so removing barriers and improving efficiency is a key challenge for full OA (money flows and admin is more complex than subscription models). Collaboration is needed between funders, research organisations and publishers to make payments work more effectively.

- Pure OA and smaller publishers can be at a disadvantage because they do not have the scale to negotiate institutional deals (including read-and-publish deals for mixed model publishers). From the authors' perspective publishing open access with a publisher that has an institutional deal appears free, whereas a publication fee might need to be paid with a pure OA publisher.

Research culture and author behaviour

- Research culture and lack of understanding about the OA system by authors is a key challenge.

- The current policy has increased the level of OA but it is unclear whether it has affected author behaviour in deciding where and how to publish. A weakness is a lack of focus on reform of the academic reward and evaluation system which places too much emphasis on publishing in prestigious journals.

- OA policy should be coupled with a serious effort to change the incentives and reward system to promote a cost-effective publishing system and ensure authors are not dissuaded from/penalised for publishing in newer full OA journals not viewed as prestigious. Funder action and engagement with institutions may also help them to facilitate culture change

- Funder statements on research evaluation in relation to San Francisco Declaration on Research Assessment (DORA), REF and in Plan S are welcome but a challenge is implementing changes. Wellcome Trust's policies in relation to grant assessment are an example of good practice. UKRI could also be more explicit across its activities that funding is not assessed on journal impact to promote researcher buy-in that publishing in a broader range of OA venues is encouraged.

- UKRI highlighted that the relationship between research culture and OA would be considered by the review, but within the limits of its scope and timeframe.

- It is important to engage early career researchers in policy processes concerning OA and research culture.

- International cooperation and alignment with other funders is also important given researchers move between different countries and will be subject to different policies and career expectations.

Transparency, efficiency and commercial incentives

- Transparency is a key focus for OASPA and its members. It expects its members' processes and deliverables to be clear on members' websites to enable authors to make informed decisions.
- There is a lack of efficiency and transparency in the way OA is currently funded, which poses challenges for authors, publishers and funders
  - The block grant system means authors are often blind to the costs of OA because funding pots have become disassociated from research grants.
  - There are challenges in the infrastructure and systems for payments and compliance. For example, authors are not always clear if they have funding until the end of the publishing process. Greater use of standard identifiers (e.g. ORCID) would help. Publishers have/are developing systems and tools to facilitate compliance, but these are often through bilateral agreements between bigger publishers and individual institutions. Some publishers are collaborating on systems but generally having a system with all information upfront for the author (e.g. costs, institutional funding available) would be broadly helpful for institutions and publishers of all sizes.
- It was suggested the system could be streamlined and improved by:
  - giving authors more responsibility by funding OA out of research grants, although capping OA funding associated with a grant would not be ideal;
  - payment transactions being directly made between funders and publishers. Wellcome's model was highlighted as positive, although specific challenges for UKRI as a public body were acknowledged (e.g. procurement issues processing many small payments).
  - OASPA felt there was an opportunity to develop a model agreement especially for smaller publishers. Such agreements might simplify discussions between institutions and publishers so that authors (as well as institutions and publishers) could benefit from centralized payment arrangements.
  - streamlining transactions, costs and payments with better infrastructure and systems.
- Logistical and disciplinary challenges were acknowledged, including:
  - generally, discussion is needed about what should be provided nationally and institutionally (e.g. the extent to which funders directly engage with publishers);
  - arts, humanities and social science often lacking funding and being more dependent on QR/institutional funding, and lacking incentives to publish full OA;
  - funding via institutions enabling resources to be spread to cover associated costs (e.g. subscription costs; administration), something funders would not be able to do;
  - research culture challenges.

Value for money and costs

- The challenges associated with determining value for money and the level of future funding needed for OA were discussed. It was felt more attention should be paid to the pure OA market away from the current focus on hybrid arrangements.
- It was highlighted the current transition to Open Science means publishers are in a period of investment, which may be adding to costs in the short-term.

- Constraining costs would be easier if transition to OA was happening globally as increased OA output would reduce need for subscriptions freeing up resource. However, it was felt Europe was moving much faster than the rest of the world. Transition will continue to be expensive while funders and institutions are funding OA and paying subscriptions. There was hope other countries could be brought on board so that this is temporary.
- It was noted that OA fees were rising faster than subscription costs.
- It was suggested to consider how Wellcome evaluated total cost-benefits for its OA policy and funding.
- Greater focus away from transformational deals to making full OA work effectively (effective market transparency, ease of compliance) would be beneficial to ensure value of money.

Researcher engagement
- The UKRI Review, perhaps in collaboration with publishers, should ensure direct engagement with researchers to inform work on researcher incentives/buy-in to OA, transition timing and to address some of the negative responses to Plan S. Disciplinary, diversity and early career perspectives were acknowledged to be important.
- Making OA work for authors is important to address key issues:
  o funding and infrastructure should ensure that it is not difficult for authors to pay for OA and that publishing in a fully OA journal is the easiest possible way to comply;
  o Incentives to publish OA are needed to ensure there is not a negative impact on author's careers.

Copyright and licensing
- The principle that authors/their institutions should retain copyright and that reuse rights should be as liberal as possible was discussed. Points raised included:
  o some authors choose not to retain copyright;
  o it probably would not be difficult for publishers to shift positions on copyright and licensing, but the two need to be considered together;
  o There is very limited evidence of unwelcome consequences arising from existing research that with liberal copyright licensing (OASPA are aware of a couple of cases where CC-BY work has been used in books but did not view this a major issue given the text was freely available already). However, particularly in the social sciences and humanities there are concerns about reselling and misrepresentation of research.
  o There is a lack of understanding among authors about licensing and copyright. Research organisations could perhaps do more to inform their researchers.

Market diversity
- There are concerns that policy responses are focused on addressing issues arising from big publishers not sufficiently transitioning to OA, to the extent that this overshadows the important role that existing pure OA publishers have played and continue to play, and the needs they have to ensure the diversity they bring to the marketplace is not eroded.

- It is critical to have a diverse market and for funders to continue to engage with smaller publishers (mixed-model and pure OA publishers). This is a valid point for UKRI to acknowledge and respond to within the Review, but within its scope and UKRI's role.

Next steps

- UKRI invited OASPA to provide further written considerations on behalf of its members by the end of January 2019. Evidence supporting issues raised, including clear declarations of interest, was emphasised to be important.

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UK Research
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UKRI Open Access Review

Stakeholder Roundtables, December 2018

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UKRI Open Access Review Licensing and Copyright Retention Workshop – Meeting Note

UKRI, 58 Victoria Embankment, London, 25th June 2019

Background

The UKRI Open Access Review held a meeting with expert stakeholders on 25th June 2019 to help inform the development of its evidence base and position on licensing and copyright retention to achieve full and immediate open access (OA). Participants were consulted on several licensing and copyright issues that had been identified by the UKRI OA Review as needing further interrogation. The primary focus for the meeting was peer-reviewed journal articles and conference proceedings in terms of both Version of Record (VoR) and Author Accepted Manuscripts (AAM), with some discussion relating to monographs. The issues covered were:

CC BY for research articles
- Are there are issues that need to be overcome to enable CC BY for research articles, including under different routes to OA?
- How might these be overcome?

No derivatives (ND) and non-commercial (NC) re-use
- Are there cases and evidence for ND and/or NC being necessary?
- Are there other protections required?
- What would be the impacts of ND or NC for access and re-use?
- How could UKRI OA policy and supporting actions address any issues with a view to achieving full and immediate OA, including maximising opportunity for reuse?

Third party rights
- Are there cases and evidence of issues including third party content in articles/monographs published under a liberal CC BY licence?
- What are the mechanisms available to publish an OA article/monograph containing restricted third-party content? What implications, if any do these have for the final output and research?

Copyright retention
- What rights need to be retained and/or granted to publishers to enable full and immediate open access and maximum re-use?
- What is the necessity of authors/institutions retaining rights where a liberal (e.g. CC BY) licence is used?
- What are the available mechanisms to facilitate copyright retention?

The summary below outlines views and issues discussed at the meeting. The agenda, list of participants, and a briefing provided to participants are appended.

To note: the views summarised are those of participants in the roundtable and do not necessarily reflect the views, priorities and policies of UKRI.

Meeting summary

1. UKRI Open Access Review

Rachel Bruce (UKRI) provided an update on the UKRI OA Review, including its aims, timeline and considerations relating to licensing and copyright. It was explained that UKRI is seeking a liberal licence requirement to maximise opportunity for re-use. The CC BY licence was being considered by the UKRI, in line with existing policy and it also being widely used in scholarly communication. However, further evidence and analysis was needed to understand where exceptions to CC BY might be required. UKRI was also seeking further views and evidence to understand the case recommending or requiring authors or institutions to retain copyright and mechanisms for this.

Participants were informed that the outcomes of the meeting would inform the development of the UKRI OA Review's policy options for licensing and copyright, but that further consultation with stakeholders would occur. Participants were also invited to submit additional views and evidence in writing by 11th July 2019.

2. No derivatives

CC BY-ND can act as a barrier to re-use

Participants identified that ND can act as a barrier to re-using and deriving impacts from research outputs by preventing re-use and/or creating barriers that impede re-use such as requiring individual permissions from copyright holders or introducing uncertainty about how an output can be re-used. Some examples raised included text and data mining (although it was noted there is a UK copyright exception allowing TDM for non-commercial purposes) and prohibiting translation to support teaching (e.g. course packs, adaptation of materials for individuals with disabilities).

Author and disciplinary concerns about CC BY and ND as a preventative measure

Participants discussed that some authors may be concerned about losing control of their research outputs if they publish with a CC BY licence and/or they retain all copyright. This is particularly a concern for arts, humanities and social sciences (AHSS), but can apply to authors from other disciplines. Author concerns can include:

- risks of research/data/arguments being misrepresented or re-used in ways they disapprove of. Concern from an HSS perspective was felt to centre on risk of misrepresentation of arguments and data in publications (e.g. particularly in social sciences where sensitive issues, interviews or personal perspectives and data are included), and to a lesser extent other risks such as poor translation or plagiarism. Plagiarism and misquoting were noted to be contrary to academic norms, regardless of licensing.
- ability to track how their publications are being used, which might be important, for example, for reporting on impact or fostering research collaborations. Many researchers may lack skills or access to data tools to do this.

Some AHSS representatives were clear that their communities wanted ND and that this was often an informed decision based on the risks of their work being misused or misrepresented out of context. They felt strongly that ND was required as a preventative measure with risks outweighing any barriers ND might place on OA.

Evidence is lacking regarding author concerns

Several participants who had engaged with research communities on licensing, acknowledged that AHSS concerns about CC BY were important to consider, but stated concerns about allowing

derivatives often appeared to arise from a lack of understanding about licensing and copyright, and there is currently little evidence or examples of negative consequences having occurred to support the concerns raised.

Participants suggested it would be helpful to further evidence and understand authors' concerns about using an unrestricted CC BY licence to inform where ND might be necessary and/or guidance and support to educate and inform authors about licensing and copyright. Some points raised included:

- Understanding current protections, disciplinary norms and practices that prevent misuse and/or misrepresentation of research and whether anything new may be required where a CC BY is used.
- The UK Scholarly Communications Licence (UKSCL), following strong concerns from AHSS disciplines about unwanted derivatives and moral rights not providing enough protections, opted for a policy that enabled institutions to retain liberal re-use rights but for academic to assert more restrictive rights at the point of archiving over an introductory period. It is envisioned this may help evidence the extent to which authors require restrictive licences.
- Even where evidence is lacking it may be helpful to explore worst case scenarios and the instruments available to mitigate these (including copyright law) to help provide confidence to authors.
- Consulting existing OA AHSS publications about these issues could be informative.
- UKRI could consider funding a research project on these issues.
- Medical research publishers and societies have well developed standards, codes of practice and workflows for dealing with considerations such as patient confidentiality, which could help inform addressing some concerns from humanities and social science.
- It was noted that even where CC BY-ND is used text can still be quoted from using the quotation copyright exception (in addition to other exceptions, such as research and private study, text and data mining, criticism and review, illustration for instruction etc).

Some concern was expressed that any research on these issues and development of subsequent tools to support researcher confidence might take longer that the timeframe of the UKRI OA Review and its outcomes.

3. Non-commercial re-use

CC BY-NC may restrict legitimate commercial and non-commercial re-use

Several participants felt any restrictions on commercial re-use would be counter to UKRI's objective to maximise opportunity for scientific, societal and economic impact from publicly funded research. The Wellcome Trust was noted to recognise the importance of allowing commercial re-use (e.g. drug discovery) in formulating its OA policies.

Participants discussed several ways that CC BY-NC can act as a barrier to both commercial and non-commercial re-use:

- NC can inhibit TDM and other re-uses by industry and industry-academic partnerships.
- A lack of clarity about what constitutes "commercial" and "non-commercial" use with respect to Creative Commons licences may act as barrier to re-use by research organisations that undertake both kinds of activity. A participant had encountered an example of a not-for-profit organisation being prevented from re-using material due to these ambiguities. The British Library had also encountered instances where it was unclear if they could re-use works for non-commercial purposes.

- NC does not stop commercial re-use, but permission is required and this process including identifying the copyright holder, which can be unclear, is a barrier.

Once view expressed was that NC was unduly focused on protecting publishers' commercial interests. NC was also stated to be used by some publishers as an additional revenue stream through additionally charging commercial firms for TDM access.

Deposit of AAMs under CC BY and zero embargo

UKRI asked participants if requiring CC BY posed specific issues where applied to the AAM with a zero-embargo period, noting that from available evidence there appeared limited issues with requiring CC BY under "Gold" OA, but this was less widely adopted for AAMs under "Green" OA.

Some publishers stated that while requiring CC BY for AAMs is less of an issue, it was critical that NC (and ND) was allowed where zero embargo is required for the sustainability of business models allowing Green OA, otherwise subscriptions might decrease, impacting revenues. They were unable to say if current use of zero embargo had contributed to pressures on their revenues.

Conversely, it was stated that there was evidence of a number of publishers allowing deposit of AAM under zero embargo with no apparent negative impacts. A participant involved in a learned society that had recently moved its publishing contract from one supplier to another also stated that being allowed zero embargo for self-archiving had been an attraction for this move.

Participants variously highlighted that being able to archive the VoR and/or divert resources from self-archiving into transformative agreements that enable full access and re-use of the VoR on an appropriate platform may be preferable to the complexities of self-archiving of AAMs in the longer term.

A university representative stated that preference for a Gold OA model would be unsustainable for their library budget.

4. Text and data mining

CC BY was stated to be an important mechanism to enable frictionless TDM for research and educational purposes. Due TDM being automated and involving large numbers of publications, having to seek re-use permissions and/or interpret non-standard licences is overly restrictive. CC BY was also noted to facilitate TDM of unpublished research outputs.

Legally, a licence restricting no derivatives does not prevent TDM for non-commercial research purposes due to available copyright exceptions in the UK, which cannot be overridden by copyright contracts. However, copyright exceptions vary internationally and the distinction between commercial and non-commercial use can be unclear.

A participant felt TDM rare in AHSS and therefore less relevant to discussions about OA in these disciplines. However, it was highlighted that the UK Libraries and Archives Copyright Alliance (LACA) response to the Hargreaves Review referenced examples of TDM, including in law and literature.

A 2012 Jisc report on the value and benefits of text mining was highlighted as informative.[1]

5. Other licensing considerations

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[1] https://www.jisc.ac.uk/reports/value-and-benefits-of-text-mining

Open article formats

Additional to requiring CC BY, it was stated to be important for articles to be published in an open format to enable re-use. LACA has identified examples of Technological Protection Measures (TPMs) preventing TDM, despite legitimate usages of copyright exceptions.

Licence metadata

The inadequate quality and consistency of licensing metadata was suggested to be a challenge. A publishing representative stated the importance of avoiding lots of bespoke licences (including in relation to copyright retention) to avoid inefficiencies and barriers to re-use. It was suggested to be important for the UKRI OA Review to consider these issues, including licences being machine readable and to ensure publishers make information available throughout the workflow.

Licensing data

Participants suggested the UKRI Review may also want to consider data on licensing from COAF and OASPA.

6. Licensing third party content

There can be issues relating to third party rights from some disciplines

Participants felt that licensing of third-party content in CC BY outputs affected disciplines in different ways and was a particular issue for a subset of disciplines (e.g. arts, art history, architecture, music) where getting clearing rights from third party content rights holders can pose logistical and financial barriers. It was also suggested that there is a lack of author understanding about licensing third party content.

UKSCL have encountered a range of challenges raised by authors including around the length of licences, text combining different licences, and lack of knowledge and confidence among authors and rights holders. Such issues were noted to also sometimes arise in STEM (e.g. inclusion of Google Maps data or graphics from other scientific papers).

Licensing of other academic publications was also highlighted to sometimes be an issue. Scholarly publishers can charge and/or require restrictive licences to include images or graphics from existing papers. Authors can be restricted and/or charged in using images/graphics from their own publications. Lack of clarity/understanding about whether the author or publisher owns copyright can be an issue. It was suggested that ownership needs to be clear and machine readable.

Third party rights issues are not specific to OA policy

There was a general view that third party rights are a complex issue, which is not specific to OA, but a broader copyright issue arising from the shift from print to online. It was queried how central this is to an OA policy. Participants discussed there is a need for broader open discussions with estates, galleries and museums. It was suggested that there may be a tension as some cultural institutions are under pressure to generate revenue.

It was suggested it might be effective for UKRI and other funders, including those beyond science (e.g. National Heritage Lottery Fund), and government bodies/departments (e.g. DCMS, IPO, BEIS) to work together to promote competency in use of fair dealing copyright exceptions and to engage with rights holders. It was also suggested that Creative Commons can play an important role in engaging with rights holders and would be appropriate to engage with.

Mechanisms for inclusion of third-party content in CC BY outputs

Participants discussed that copyright exceptions were a mechanism to enable the use of third-party content although there are some issues (see section below). It was emphasised that it is important to remember that the rights holder also has rights that must be respected.

Extended collective licensing was also suggested as a mechanism provided at a cost through the Copyright Licensing Agency that could be extended to research use.

7. Copyright exceptions

Participants discussed the use of copyright exceptions and fair dealing. Discussions indicated that copyright exceptions did enable some desired opportunities for re-use, but others would be restricted without a CC BY licence. Copyright exceptions are also a mechanism to enable inclusion of third-party content, although there are some barriers.

- International re-use: A suggested key benefit of CC BY was that it allows re-use anywhere in the world, whereas copyright exceptions are country specific and only used in a limited number of countries (e.g. UK, Japan, South Korea and potentially more EU countries in the future). Consequently, researchers and users in many countries might be unable to easily translate and re-use research published under restrictive licences.
- International differences in copyright law and exceptions may also affect considerations around using third party content in publications.
- Due to research norms and risk of receiving challenges from copyright holders, including researchers and institutions may be averse to using copyright exceptions both in terms of re-using publications and including third party content. It was noted that a talk by Professor Ronan Deazley at a recent OA event at Goldsmiths University had discussed how researchers could become less risk averse and be more proactive about using exceptions by being clear and upfront about why they are being used.
- Participants discussed that more could be done to improve authors understanding and confidence about using exceptions. It was noted that the Intellectual Property Office (IPO) does provide guidance on GOV.UK.
- A participant who advises academics on copyright highlighted that often copyright transfer agreements can prevent the use of some exceptions.
- Some specific challenges relating to AHSS and third-party rights were also raised. Fair dealing was suggested not to work with regards to monographs where whole editions might be included. Critical editions also face more issues with regards to securing third party rights. Long-form works can also include a lot of historical material were identifying rights holders and securing permission can be difficult.

A participant highlighted the importance of considering OA in the broader context of changes to copyright law. It was indicated that two new text and data mining copyright exceptions might be forthcoming, contingent on if/when EU directives are adopted by the UK. The first exception would allow research institutions and cultural heritage institutions to conduct TDM on lawfully accessed material for any research, commercial or non-commercial. The second exception would allow any TDM, whether for commercial purposes or otherwise, but the right holder may opt out of this, including using machine readable metadata. Other relevant changes include the provision of extended collective licensing, including for out of commerce works.

8. Copyright retention

Importance of copyright retention

Several participants representing a range of stakeholders indicated that authors/institutions should retain copyright. One participant argued that it was important for authors and/or their institutions to retain copyright to avoid having to negotiate rights back from publishers from a lesser position. It was suggested that copyright retention does not impede publishers from carrying out their functions.

Existing practice

Participants raised some examples of current copyright retention practice, highlighting there can be lack of clarity and/or understanding about whether authors or their institutions hold copyright:

- UKSCL found very varied approaches across research institutions; some had policies claiming copyright of their employees' publications, others were unaware of authors signing copyright transfer agreements with publishers.
- Work on the Open Government Licence (OGL) found Crown employees had been incorrectly giving rights away to publishers and the Government had to claim these back (it was noted that employees had no legal right to have handed over copyright). Work was subsequently done to clarify the position with publishers and employees. The OGL was noted to be interoperable with CC BY.

Publisher rights

Participants discussed what rights need to be retained and/or granted to publishers:

- It was noted that currently the situation is that rights are transferred by authors to publishers and this needed to be addressed so the required rights are retained.
- There were some differing views as to whether copyright was a negotiation during the publishing process between the publisher and the author, given a range of content and rights are generated throughout the process, versus publishers only needing to be granted minimal rights to provide a service for the author, particularly where payment is involved.
- It was also queried what rights peer reviewers might have under an Open Peer Review system.
- IPO clarified that the creator has copyright unless a different situation has been agreed with a funder/employer/publisher. Authors can assign copyright or grant exclusive or non-exclusive rights to publishers although will retain moral rights. There are some rights that are created during the publishing process that a publisher could hold exclusively (e.g. typographical arrangement) and other rights that might need to be granted to publishers (such as print rights versus digital rights), but this could be on a non-exclusive basis.
- The OGL was highlighted to narrowly define what publisher can do and that this could be helpful to inform UKRI's evidence on rights required by publishers.

Mechanisms and approaches

Participants discussed potential mechanisms for copyright retention:

- It was highlighted that for the OGL proactive engagement and assertion of rights with publishers had been important. There had been progress in publishers adopting this into their policies (e.g. a specific agreement with Elsevier).
- It was suggested that UKRI could request rights retention via research organisations, given funding goes to institutions. UKSCL was suggested as a mechanism that institutions could use. Other participants supported the benefits of a cross-institutional mechanism.
- A participant suggested that whether institutions or author own copyright can be unclear, and it would be helpful for the UKRI OA Review to clarify the situation. They felt consideration

was also needed regarding where UKRI co-funds and how copyright retention might relate to QR funded research.

- It was considered important to have a policy that can be clearly communicated to authors and without burden them, with the funder/institution/publisher facilitating this (e.g. where a publisher refuses copyright retention). Institutional policies were also noted to be developed in consultation with academics.
- Participants discussed that development of a licence to publish and/or standard agreements could be helpful to enable authors to understand and comply with any requirement (including where the requirement is simple. It was noted that there were some existing initiatives, but issues had, for example, included these not being built into publishing workflows and difficulty to seeking agreement from all publishers due to concerns about anti-competitiveness issues.
- It was suggested UKRI should look at the SPARC copyright addendum.

Challenges and considerations

A participant was concerned that if UKRI were to mandate copyright retention there would be logistical and resource challenges around who would monitor and police this. It was countered that better metadata could help automate monitoring and that compliance and sanctions were broader considerations for the UKRI OA Review. Shared repositories and/or standardised repository requirements (e.g. as used by PubMed) were also noted to be helpful to facilitate compliance.

Authors may be averse to retaining copyright due to potential issues monitoring and addressing any breaches of copyright. However, it was suggested that it is unclear the extent to which publishers currently address copyright breaches on behalf of authors).

A participant emphasised it would be helpful if funders aligned policies on copyright retention and licensing given authors and institutions need to comply with multiple policies.

9. Supporting researchers with licensing and copyright

Suggested approaches that funders, publishers and/or institutions could take to support researchers to be confident in using CC BY and retaining copyright included:

- Community-developed codes of conduct;
- Better guidance from funders, institutions and publishers, informed by suggested work to evidence and example issues in different disciplines and how these can be mitigated;
- Mechanisms for researchers to seek support from funders/publishers and/or institutions if they think their research has been inappropriately used;
- Supporting researchers to develop skills and access digital tools to monitor the usage and impact of their research.
- Funder and/or institutional contact points.

With respect to licensing, some AHSS representatives strongly suggested that CC BY-ND already provides the most appropriate mechanism to protect authors as it is applied up front. It was also suggested that development of codes of conduct would be a lengthy and complex process, requiring the confidence of research communities, that might extend beyond the introduction for a future UKRI OA policy.

Appendix 1 - Agenda

UKRI Open Access Review Licensing and Copyright Retention Workshop

09:45 – 12:45, Tuesday 25 June 2019

UKRI, 58 Victoria Embankment, EC4Y 0DS

The UKRI Open Access Review is seeking to inform its licensing and copyright position to achieve full and immediate Open Access. Evidence gathered by the Review has identified a range of issues relating to licensing and copyright retention and how these might be addressed in a future policy. The purpose of this meeting is to consult a range of expert stakeholders to further interrogate some of these issues. The primary focus for this meeting is peer-reviewed journal articles and conference proceedings in terms of both Version of Record and Author Accepted Manuscripts. However, we note discussion of third-party rights may also raise issues that should be considered in relation to monographs.

Agenda

	09:30	**Arrival and refreshments**
1	09:45	**Welcome & introduction**
2	09:50	**UKRI Open Access Review update and licensing and copyright background**
3	10:10	**CC BY for research articles** • Are there are issues that need to be overcome to enable CC-BY for research articles, including under different routes to Open Access? • How might these be overcome?
4	10:30	**No derivatives and non-commercial use** • Are there cases and evidence for ND and/or NC being necessary? • Are there other protections required? • What would be the impacts of ND or NC for access and re-use? • How could UKRI OA policy and supporting actions address any issues with a view to achieving full and immediate OA, including maximising opportunity for reuse?
5	10:50	**Third party rights** • Are there cases and evidence of issues including third party content in articles/monographs published under a liberal CC BY licence? • What are the mechanisms available to publish an OA article/monograph containing restricted third-party content? What implications, if any do these have for the final output and research?
	11:20	**Short break**
6	11:30	**Copyright retention** • What rights need to be retained and/or granted to publishers to enable full and immediate open access and maximum re-use?

		• What is the necessity of authors/institutions retaining rights where a liberal (e.g. CC BY) licence is used? • What are the available mechanisms to facilitate copyright retention?
7	12:30	**Summary and next steps**
	12:45	**End**

Location

UKRI, 58 Victoria Embankment, EC4Y 0DS (www.58ve.com/location). Please note that the building numbers are not sequential along Victoria Embankment. Please bring photo identification with you.

Travel expenses

Terms and conditions: https://www.ukri.org/about-us/working-for-us/terms-and-conditions/

Travel expenses form: https://epsrc.ukri.org/about/standards/travel/

Contact

Paul Richards, paul.richards@ukri.org, 07714 846695

Appendix 2 – List of participants

UKRI staff

Rachel Bruce	UKRI
Paul Richards	UKRI
Geraldine Clement-Stoneham	UKRI MRC

Participants

Chris Wickham	University of Oxford / AHRC
Naomi Korn	Naomi Korn Associates
Margaret Haig	Intellectual Property Office
Chris Banks	UKSCL / Imperial College London
Inesa Thomsen	Department of Health and Social Care
Malcolm Todd	National Archives
Caren Milloy	Jisc
Robert Kiley	Wellcome Trust
James Rivington	British Academy
Catriona MacCallum	Hindawi / OASPA
Stephen Grace	London Southbank University
Christie Walker	Royal College of Art
Peter Murray-Rust	University of Cambridge
Monique Ritchie	Brunel University
Alex Fenlon	Birmingham University / RLUK
Stella Butler	University of Leeds / SCONUL
Alicia Wise	Information Power
Matthew Day	Cambridge University Press / PA
Kathryn Sharples	John Wiley and Sons / PA
Frank Norman	The Francis Crick Institute
Torsten Reimer	British Library

Appendix 3 – Brief for participants

UKRI Open Access Review Licensing and Copyright Retention 25th June 2019 Meeting – briefing for participants

NOT FOR CIRCULATION: this briefing is intended for the information of workshop participants only.

1. Meeting aims and context

Purpose

The UKRI Open Access Review is seeking to inform its licensing and copyright position to achieve full and immediate Open Access (OA). Evidence gathered by the Review thus far has identified a range of issues relating to licensing and copyright, and how these might be addressed in future policy. The purpose of this meeting is to consult expert stakeholders to interrogate some of these issues in greater detail. Issues to be considered are:

CC BY for research articles
- Are there are issues that need to be overcome to enable CC-BY for research articles, including under different routes to Open Access?
- How might these be overcome?

No derivatives and non-commercial use
- Are there cases and evidence for ND and/or NC being necessary?
- Are there other protections required?
- What would be the impacts of ND or NC for access and re-use?
- How could UKRI OA policy and supporting actions address any issues with a view to achieving full and immediate OA, including maximising opportunity for re-use?

Third party rights
- Are there cases and evidence of issues including third party content in articles/monographs published under a liberal CC BY licence?
- What are the mechanisms available to publish an OA article/monograph containing restricted third party content? What implications, if any do these have for the final output and research?

Copyright retention
- What rights need to be retained and/or granted to publishers to enable full and immediate open access and maximum re-use?
- What is the necessity of authors/institutions retaining rights where a liberal (e.g. CC BY) licence is used?
- What are the available mechanisms to facilitate copyright retention?

Scope

The primary focus of this meeting is licensing and copyright as it relates to peer-reviewed journal articles and conference proceedings that would be in scope of a UKRI OA policy. Recognising there are different routes to OA (e.g. 'Gold' OA and deposit in a repository), we would like to consider these issues in relation to both the Version of Record and Author Accepted Manuscript. We note discussion of third party rights may also raise issues that should be considered in relation to monographs. Open data is not within the scope of this meeting.

Outputs

The outputs of the meeting will contribute to the evidence base for the Review. An unattributed summary of the meeting will be produced for UKRI's internal use. This will be agreed with participants and may be published in due course.

Background information

The remainder of this briefing provides background information on:

- the UKRI Open Access Review;
- licensing and copyright requirements and guidance in the current RCUK OA Policy, REF2021 OA Policy and Plan S;
- some key issues, stakeholder views and considerations relating to the questions set out in the agenda, which have been identified via stakeholder engagement and existing literature.

2. UKRI Open Access Review

The UKRI Open Access Review concerns open access to formal scholarly research articles, peer reviewed conference proceedings and monographs.

There are two policies within the scope of the UKRI OA Review - the Research Council UK (RCUK) Policy on Open Access and the Research Excellence Framework (REF) OA policy. The REF policy is governed and jointly owned by the four UK Funding Bodies.

The Review is an opportunity to align policies across UKRI's councils, with the UK Funding Bodies on future Research Excellence Framework (REF) policy, and to consider how Innovate UK should be included. Following existing policy, we are seeking to ensure publicly funded research is made available as soon as possible and under terms allowing maximum opportunity for re-use. Immediate and full OA is a key measure we need to test our policy intervention against.

The objectives of the Review are to review and develop UKRI's OA policies to:

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

Process and timeline

The current process and timeline for the Review is set out in the figure below. In summary:

- The Review initiated in Q4 2018, this included some roundtables to gather views from key stakeholder groups including universities, publishers, librarians, research managers, and learned societies.
- The Review is currently continuing evidence gathering and analysis and developing policy options. We are holding some additional workshops and meetings, including this one, to address specific issues where further evidence is required, and others such as a workshop with researchers.

- A public consultation will be launched in September. It is anticipated that this will present some proposed policy positions for stakeholder feedback alongside some more open questions where further evidence and views are required.
- We are aiming to announce the final policy in March 2020.

UKRI OA Review Timeline
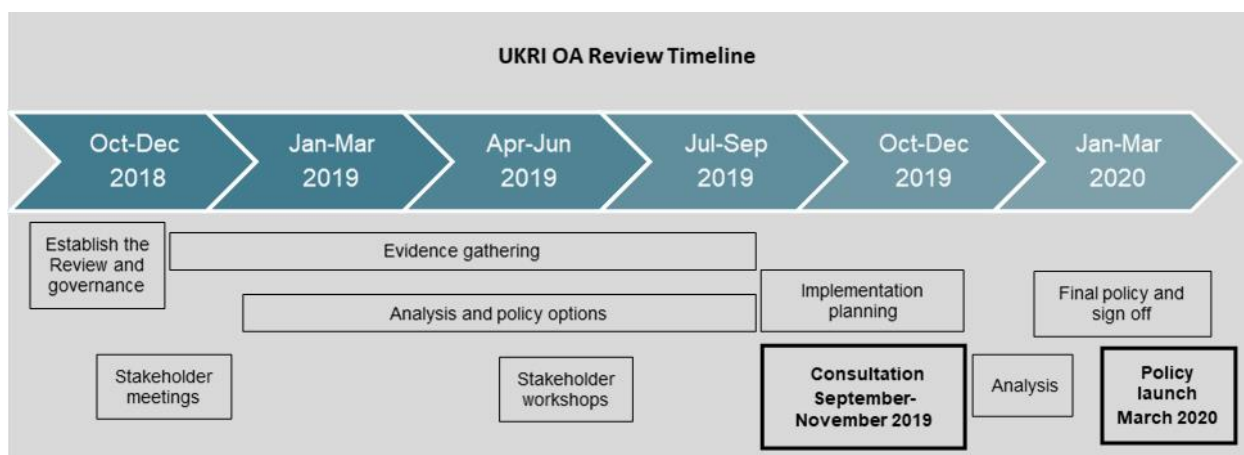
Governance

The Review is considering UKRI policy and is therefore overseen within UKRI, however it is being taken forward in a consultative way and within the framework of Government policy. UKRI is working closely with the Department for Business Energy and Industrial Strategy (BEIS) our sponsoring department and we will report to the Minister. The Review is overseen by a steering group, chaired by UKRI OA executive chair champions Duncan Wingham and David Sweeney, the representatives are from across UKRI and members of UKRI Councils and include BEIS and the devolved funding bodies. The Review also works closely with the devolved funding bodies to coordinate with the REF.

The Review will inform the basis of the REF after next, but it is anticipated that due to some differences in scope the REF will have some wider considerations to take account of and so there will likely be a REF specific consultation following the outcomes of the UKRI OA Review.

3. Existing licensing and copyright requirements and guidance

RCUK Open Access Policy

Licensing and re-use requirements are a key component of the RCUK OA policy, which mandates/recommends the use of a CC BY licence to enable maximum re-use. [1] [2]

- Under a 'Gold OA' compliance route, the Version of Record should be published under a CC BY licence, also allowing immediate deposit without restrictions on re-use.
- Under a 'Green OA' compliance route, CC BY is preferred but the formal requirement is that the Author Accepted Manuscript (AAM) should be deposited without restrictions on non-commercial re-use (e.g. non-commercial text and data mining and sharing of adaptations). Consequently, a CC BY-NC (non-commercial) licence is acceptable but not a CC BY-ND (no

[1] RCUK (2013). RCUK Policy on Open Access and Supporting Guidance. Accessed 06/05/19:
https://www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/
[2] UKRI (2018). RCUK Policy on Open Access Frequently Asked Questions (26 April 2018). Accessed 06/05/19:
https://www.ukri.org/files/funding/oa/oa-faqs-pdf/

derivatives) licence. Publisher-specific licences that meet the policy aims and requirements are also considered compliant.

- An Open Government Licence (OGL) is advised where Crown bodies are involved in research collaborations.
- There is no right retention requirement, but under the definition of Accepted Manuscripts the policy states "it is also worth noting that it is normal for authors to retain copyright of their Accepted Manuscript, and we expect this to continue".

REF2021 Open Access Policy

Access requirements are a key component of the REF2021 policy although a specific licence is not required: [3]

- Anyone with internet access should be able to search electronically within the text of an in-scope output and read it and download it without charge (while respecting reasonable embargo periods).
- While a specific licence is not required, it is advised that a Creative Commons Attribution Non-Commercial Non-Derivative (CC BY-NC-ND) licence would meet the minimum requirement.
- There is no rights retention requirement but REF2021 states: "The funding bodies recommend that institutions fully consider the extent to which authors currently retain or transfer the copyright of works published by their researchers, as part of creating a healthy research environment". [4]

Plan S

cOAlition S have carefully considered copyright and licensing. The revised Plan S guidance and inputs to its development are being considered as an input to the UKRI Open Access Review, but UKRI policy including any implementation of Plan S is subject to the outcomes of the Review.

The Plan S principles state: "Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC BY), in order to fulfil the requirements defined by the Berlin Declaration;" [5] Additionally, the revised Plan S guidance states:

- "For any chosen route to compliance [including immediate deposit of the Author Accepted Manuscript], the publication must be openly available immediately with a Creative Commons Attribution license (CC BY) unless an exception has been agreed by the funder.

- Rights and licensing: The author or the author´s institution shall retain their copyright. Licenses to publish that are granted to a publisher must allow the author/institution to make either the Version of Record (VoR), the Author's Accepted Manuscript (AAM), or both versions available under an open license (as defined below) via an Open Access repository, immediately upon publication.

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[3] REF2021 (2019). Guidance on submissions (January 2019). Accessed 06/05/19: https://www.ref.ac.uk/media/1092/ref-2019_01-guidance-on-submissions.pdf

[4] REF2021 (2019). Guidance on Submissions. https://www.ref.ac.uk/publications/guidance-on-submissions-201901/. Accessed 06/05/2019.

[5] https://www.coalition-s.org/principles-and-implementation/

- Where possible, cOAlition S members will ensure by way of funding contracts or agreements that the authors or their institutions retain copyright as well as the rights that are necessary to make a version (either the VoR, the AAM, or both) immediately available under an open license (as defined below). To this end, cOAlition S will develop or adopt a model 'License to Publish' for their grantees.

- The public must be granted a worldwide, royalty-free, non-exclusive, irrevocable license to share (i.e., copy and redistribute the material in any medium or format) and adapt (i.e., remix, transform, and build upon the material) the article for any purpose, including commercial, provided proper attribution is given to the author. cOAlition S recommends using Creative Commons licenses (CC) and requires the use of the Creative Commons Attribution (CC BY) 4.0 license by default. The following exceptions apply:
    - cOAlition S will, as secondary alternatives, accept the use of the CC BY-SA 4.0 license, and use of the public domain dedication, CC0.
    - cOAlition S members may approve the use of the CC BY-ND license for individual articles, provided that this is explicitly requested and justified by the grantee.
    - Third party content included in a publication (for example images or graphics) is not affected by these requirements."

4. Licensing

To enable maximum opportunity for re-use a liberal licence is required and CC BY is the preference in the RCUK OA Policy and Plan S. Evidence also indicates that CC BY is widely used and offered as an option where the Version of Record is made OA.

However, we have also heard concerns from some stakeholders, particularly from arts, humanities and social sciences (AHSS), which we want to understand in greater detail, and with more supporting evidence, to be able to better evaluate these risks and possible solutions to mitigate them but balanced against increasing access to and re-use of publicly funded research.

4.1 No derivatives and non-commercial re-use

Many AHSS stakeholders have advocated the need to allow for a more restrictive CC BY-ND no derivatives licence to protect against re-mixing and re-contextualising research in ways that might enable misattribution, misquoting, misrepresentation, plagiarism, or otherwise referencing material out of context, which may be damaging to the author. This is argued to be a particular need for AHSS outputs due to the way research is conducted, the content of outputs, and the way they are published and cited. A specific disciplinary example that has been raised is in sociology and anthropology where there may be concern that the words of interview subjects could be distorted.

Compared with ND, less representation has been made on the need for restrictions on non-commercial re-use (i.e. allowing a CC BY-NC or CC BY-ND-NC licence). Where cases have been raised these include:

- Concerns from some publishers about loss of revenue, particularly if CC BY were required for AAMs deposited with zero embargo.
- Some researchers may be concerned about their research being used for commercial purposes they disapprove of (some publishers have also noted provided licensing options to meet authors choice).

- NC (and/or ND) possibly being required in some cases to enable the inclusion of third party content with a restrictive licence.

To date, while risks have been put forward in relation to not allowing ND and NC, the Review has encountered limited evidence/case studies of negative impacts having occurred under the current RCUK OA Policy.

While the above concerns are valid for the Review to consider, there are a range of evidence/cases as to why ND and/or NC restrictions should not be allowed or at least limited in use, including:

- Restricting desired access to and opportunities for re-use of the outputs of publicly funded research, such as for educational purposes, text and data mining and commercial uses. Some opportunities for re-use may also not yet be apparent.
- NC potentially constraining both commercial and non-commercial re-use because it can be difficult to disentangle these, for example due to the varied activities of universities.
- More restrictive CC licences are likely to be less interoperable with other CC licences potentially constraining re-use that requires the mixing of content with different licences.
- Authors already having moral rights protections and attribution and adaptation stipulations built into CC licences (some argue these are insufficient in detail).
- It has also been highlighted that issues such as plagiarism and misattribution are issues of good research practice, integrity and norms, and licensing can only play a limited role.
- NC restrictions are not allowed under Plan S due to not being compatible with the Berlin Declaration and issues set out above. ND is only allowed on a case by case basis
- The existing RCUK does not allow ND, and NC is only allowed under the deposit route to compliance, although CC BY is the preference.

4.2 Third party rights

Some AHSS stakeholders have also raised concerns about being able to comply with CC BY where articles content with third party rights is included (e.g. images, art, sheet music). It has been highlighted that third party rights holders can be unwilling to allow reproduction of content in CC BY articles because unlicensed re-use of the third party content cannot be guaranteed by the publisher/author. Some stakeholders have suggested that the process for securing rights can be complicated and can increases costs (e.g. because more institutions such as galleries and museums charge usage fees; and licences are often time-limited). It has also been suggested that, in some cases, articles may also have to be published excluding third party content important for their context. To date we have encountered few examples/case studies of these issues having prevented publication under the current policy but would welcome such evidence.

We are aware there are mechanisms for the inclusion of third party content in CC BY outputs, but would like to understand these mechanisms and any remaining barriers in further detail. These include:

- using "fair dealing" exceptions,
- negotiating a limited licence for specific use,
- third party rights holders making content available under open licence
- that third party content with a more restrictive license can be included in a CC BY article with appropriate statements making the licensing clear

4.3 Licensing monitoring and compliance

Various stakeholders and reports have outlined challenges understanding and complying with funder and publisher polices and accurately monitoring and reporting on these. Challenges include:

- lack of author understanding;
- insufficient guidance on the various licences;
- complexity and lack of harmonisation across funder and publisher policies;
- inadequate metadata and processes.

Stakeholder have suggested UKRI OA Review should consider/help address these issues, given implications for policy compliance and monitoring, particularly if sanctions were to be introduced.

Research England's 2018 compliance monitoring report, for example, highlighted that HEIs reported difficulties in monitoring and reporting on licensing policies due to "confusion over the use of licences, their terminology, and publisher and funder policies." [6]

The UUK OA Efficiencies and Repositories Working Groups have made recommendations for funders, publishers and HEIs on how to improve clarity and consensus for policies and licences, including improving machine-readable licensing data. [7] [8]

5. Copyright retention

Copyright retention is an issue we would like to be discussed at this meeting, so we can hear your views and perspectives. Many publishers require authors to transfer copyright to the publisher or for authors to grant exclusive rights, which can cause difficulties with researchers want to re-use work for research and/or teaching purposes if applicable to all versions of a manuscript. Some publishers do however grant certain rights back to authors (e.g. deposit rights under embargo; personal use) although this can be more restrictive and complex than using a standard liberal license.

We have been informed that it may be important for the author or their institution to retain copyright, alongside a applying a liberal re-use licence to:

- ensure the author can share and re-use their work for teaching and research purposes without restriction or having to seek (and sometimes pay) for permission;
- ensure that institutions/authors are not prevented from depositing a version of an output in an institutional or subject repository in line with compliance with funder policies (e.g. REF2021);
- make it easier for authors/institutions to comply with funder policies (e.g. deposit requirements) as permission is not needed from journals, whose policies will vary.

We would like to understand in greater detail the case for a UKRI requiring/recommending rights retention, particularly if a CC BY licence were already required, and the available mechanisms and/or barriers to enabling this. We are aware developments in institutions including the Harvard

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[6] Research England (2018). Monitoring sector progress towards compliance with funder open access policies. Accessed 06/05/19: https://re.ukri.org/news-events-publications/publications/monitoring-sector-progress-towards-compliance-with-funder-open-access-policies/

[7] Universities UK (2018). Open Access efficiencies: report and recommendations. Accessed 06/05/19: https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2018/open-access-efficiencies-report-and-recommendations.pdf

[8] Universities UK (2018). Open Access repositories: report and recommendations. Accessed 06/05/19: https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2018/open-access-repositories-report-and-recommendations.pdf

Scholarly Communications License and UK Scholarly Communications Licence as approaches, and also that some publishers already allow authors/institutions to retain rights.

Publishers need to be granted some rights via a license in order to process the manuscript to publication (e.g. a license to publish) and the Review would like to better understand what these need to be. cOAlition S has indicated it will develop or adopt a model 'License to Publish' for grantees.

UKRI Metadata Meeting Report

July 2019

Introduction

At present the UKRI's open access policy is under review. As part of the process of evidence gathering, analysis and review, UKRI is conducting stakeholder workshops. On 26th June 2019 a group comprising representatives of funders, publishers, institutions and infrastructure or service providers gathered in London to discuss metadata. The goal was to review the current scholarly communications metadata landscape and to discuss what gaps exist and how they might be addressed. Ultimately UKRI is seeking to support open scholarly communications through its policies and by supporting the practical means to do so: a robust system of creating, curating and using the high quality metadata required by funders will contribute significantly to achieving policy objectives.

The importance of metadata to the smooth functioning of the scholarly communications system is generally acknowledged at a strategic level. High quality, standardised metadata enables the interoperation of systems and discoverability and stewardship of research outputs. From a funder's perspective, rich metadata offers the prospect of, for example, matching grants with research outputs and monitoring the extent to which different stakeholders are complying with open access policies.

In reality, developing an efficient and fully functioning metadata landscape is work in progress. Different organisations in the scholarly communications space collect good metadata but the collection of such metadata is sometimes done only for particular applications or audiences. There exists an array of metadata schemas with some or even many common elements but the interpretation of those elements can sometimes differ, ambiguity can prevail which makes the potential value of metadata difficult to realise. A range of recent reports have referenced the need to improve the quality of metadata records and the processes by which they are created, including the Tickell and Plan S recommendations, and these were highlighted at the workshop as significant drivers for change.

On the positive side, the uptake of persistent identifiers such as ORCID IDs continues to increase, work continues on the creation of controlled vocabularies and important new authority files for organisation and grant identifiers are being developed. The metadata resources provided by services like Crossref, Europe PMC, DataCite and CORE provide significant

value, new and open discovery services like Unpaywall and CORE Discovery are gaining traction and institutions strive to accumulate quality metadata in CRISs and institutional repositories. Publishers are critical to the creation and timely flow of metadata and an increasing number are engaging with Jisc's Publications Router to provide metadata directly to repositories.

One of the key objectives for UKRI is to support the development of a minimum set of metadata elements sufficient to support funders' open access policies in the UK and thereby support their goal of achieving an open scholarly communications landscape. The meeting noted that much of the groundwork has already been done. In 2014 RCUK, HEFCE and Jisc identified the need to develop an application profile to guide the collection of metadata specifically to enable the tracking of research outputs and reconcile them to particular grants.

Most importantly the funders wanted a mechanism by which to identify unequivocally the open access status of research articles. Over the course of 2014, extensive discussions with RCUK and others led to the development of the RIOXX Application Profile[1]; this was launched in January 2015 and, according to CORE, is currently utilised in some 70 UK institutions. The process was also informed by the 2013 Vocabularies for Open Access project in which a wide range of stakeholders were consulted about how five key metadata elements: embargoes, rights, OA identifier, APCs and versions could be supported. The organisations consulted were ALPSP, ARMA, COAR, Crossref, Jisc, OASPA, PA/STM, RCUK, RLUK, SCONUL, SPARC Europe, UKCoRR and UKSG.

Core, minimum metadata are required to support open access policies in the UK

The fundamental metadata elements required to support open access policies are described in more detail below. These are in addition to standard bibliographic metadata for essential content such as title, sub-title, author, other contributors, institutional affiliation and so forth. This section focuses on the minimum metadata that is currently thought necessary to check compliance with *existing* funder policies. The UKRI review and subsequent policy may identify further requirements and consideration might be given to extending the core minimum mandatory metadata set to enrich the metadata record overall and add value to the process. The meeting highlighted, for

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[1] http://rioxx.net

instance, the importance to funders of being able to distinguish between article types.

The ability to track research outputs: funder name and project identifier or grant number

Until recently metadata describing the funder name or the project identifier or grant number have not routinely been used in a standardised way. The requirement to collect such information in a standard, structured fashion was specified by RCUK in 2013 and was greatly facilitated by the creation of the Funder Registry, curated by Crossref, which provides for the unequivocal expression of funders' names. Funder name and project identifiers may be captured using "rioxxterms:project", a metadata element created for this purpose; an example is given below.

Project

```
<rioxxterms:project    funder_name="Engineering and Physical
Sciences Research Council"
funder_id="http://isni.org/isni/0000000403948681" >
EP/K023195/1 </rioxxterms:project>
```

Crossref is currently developing an authority file for grant identifiers. In keeping with the principle of collecting metadata as close to the source as possible to ensure accuracy, it would be useful for funders to engage with this process, feeding grant-related information directly to the authority file. Experience shows that trying to obtain this information from researchers can be difficult.

The ability to identify unequivocally the open access status of a research article

Without reference to a license that has been granted by the creator or legal owner of a work, it can be difficult to establish with any degree of authority the open access status of a research article. People and systems resort to proxy indicators, such as whether an item may be freely downloaded. Such proxies provide no information about, for example, re-use. The development of RIOXX coincided with NISO advocating adoption of the license_reference metadata element. This calls for an http URI to point to a resource which expresses the license terms specifying how the resource may be used. The license must have a start date. This allows for multiple licenses to be applied

with the latest license taking preference; this mechanism allows for the expression of embargo periods.

License Ref

```
<ali:license_ref start_date="2015-02-17">
http://creativecommons.org/licenses/by-sa/2.0/uk/
</ali:license_ref>
```

Workshop participants heard from the experience at Crossref, Publications Router and CORE that obtaining licensing information in the form envisaged by NISO and expressed in the license_ref metadata element is generally difficult; often impossible. Links may not be persistent; links may simply lead to general terms and conditions or to one license covering many articles or journals (instead of the one particular article a metadata record is set up to describe). There is much work to be done in this sphere and much is dependent on a successful outcome. It is thought that publishers may not understand the need to provide this information. To help address this, Crossref has recently issued new guidance to publishers.[2]

Acceptance date

Until recently metadata describing the date on which a publisher accepted a research article for publication was not routinely collected. Due to the rules governing the eligibility of publications for inclusion in the 2021 REF process, collecting such metadata has become very important to institutions. RIOXX makes the dcterms:dateAccepted element mandatory. This greatly enhances the ability of funders to check compliance with their policies. Although the mechanism to collect acceptance date exists, in practice it is difficult to acquire at an early stage in the publication process from either researchers or publishers. It is reported that it can also be difficult to obtain accurate metadata for *publication date*. This is entirely within the remit of publishers and funders may wish to encourage them to be more systematic in their approach to the creation, expression and general provision of this information.

Persistent identifiers

The use of persistent identifiers is fundamental to the smooth and accurate functioning of systems that use metadata. Standards such as DOI and ORCID ID are increasingly widely used; identifiers for journals and books (ISSNs,

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[2] https://www.crossref.org/help/license-best-practice/

ISBNs) have been successfully used for many years. The next challenge is a commonly accepted system for uniquely identifying institutions, an endeavour currently being addressed by the Research Organisation Registry community[3].   Use of the Global Research Identifier Database (GRID)[4] was reported as being used by some institutions. Most metadata schemas require or recommend the collection of persistent identifiers where they are available and provide instructions as to where and how to use them; the RIOXX Application Profile provides for their use when they are available. The Plan S technical guidance[5] mandates the use of DOIs and the increased use of ORCID IDs by institutions is recommended.

Views on the current metadata landscape

Considering the metadata landscape from the points of view of the different stakeholder communities that generate, curate or consume metadata provides a reasonable structure for reviewing the current situation. The Metadata 2020 community[6] lists five stakeholder groups relevant to research articles. These are addressed in turn below and are used as the framework to report the contributions of workshop participants.

Researchers

Researchers are important players in the initial creation of metadata – whether in publishers' submission systems, funders' systems including Researchfish and Europe PMC, subject or institutional repositories, CRISs or other institutional systems. Researchers have long been concerned about the time it takes them to enter metadata into submission systems and there is long-running dissatisfaction about having to enter the same metadata multiple times into different systems. There is also a general lack of understanding about the value of high quality metadata. The overall lack of engagement from the research community is a perennial problem: the challenge is one of effecting cultural rather than technological change. The increasing adoption of persistent identifiers such as ORCID IDs offers the real prospect of greater automation (and therefore greater accuracy) in the initial creation of metadata records but, as participants noted, there are still people and places that have yet to adopt ORCID. Until researchers internalize the need to fully engage with the metadata creation process, information

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[3] https://ror.org/

[4] https://www.grid.ac

[5] https://www.coalition-s.org/principles-and-implementation/

[6] http://www.metadata2020.org/

professionals will continue to take the strain as they strive to provide the metadata required to comply with funders' open access policies.

Publishers

Publishers are very well placed to create and disseminate some essential metadata but, as the experience with Publications Router exemplifies and as Crossref's Participation Reports tool shows, many publishers are not providing the core metadata required by funders and institutions. This can be down to different strategic priorities, insufficient systems or limited operational capacity and perhaps indicates a need for clearer direction from funders and a process of persistent advocacy.

Whereas some publishers have been able to automate metadata flows to Crossref, others will be taking a manual, batch-based approach. Crossref is working to improve the quality of the flow of metadata from publishers and it is encouraging that Publications Router is gaining traction with Elsevier recently commencing its engagement with the system. Together with other significant publishers, this may provide a catalyst to normalise the flow of metadata from publishers directly to repositories and other systems. With regard to persistent identifiers, one publisher mentioned that they currently mandate ORCID (for the corresponding author) for 30% of their journals. A common barrier to the use of ORCID IDs is that often authors from overseas will not have one. The tracking of different versions of an article can also be problematic; this is an area that may need re-visiting.

Librarians/repository managers

Information professionals working within research institutions understand the value of high quality metadata but can become bogged down in the daily struggle of finding mandatory metadata (notably grant numbers, dates of acceptance for publication and licensing information). Much of this metadata has to be manually sourced, verified and entered. A lot of effort is dedicated to ensuring researchers do all they need to do on acceptance of a paper to be compliant with funders' policies.

APC data are typically maintained in a finance system, CRIS or spreadsheet; recording the transactional information can be very resource-intensive. Participants heard about the benefits of Jisc Monitor, the Local version of which helps institutions track research outputs, monitor compliance with funder mandates, manage APCs and produce reports on the costs associated with open access. At the national level, Jisc Monitor UK collates national data on APC payments providing useful management information. There was little

opportunity for discussion about what APC-related information it might be appropriate to record as metadata. In view of the Plan S trajectory it would be worthwhile re-visiting this topic in the near future. RIOXX currently has provision to capture basic metadata about the APC status (such as whether an APC has been paid for a particular article) .

From an institutional perspective the problematic issues are finding metadata on acceptance date and licensing details. The list of "wants" includes DOI on acceptance, persistent identifiers for funders, grants or projects, affiliations and ORCID IDs for all authors (and at least the corresponding author). Suggestions to improve the current situation include a preference for obtaining and using metadata from or close to its source; using persistent identifiers routinely wherever they exist; using GRID or ROR as a source of consistent organisational identifiers and using Publications Router where possible. There is a call for the metadata infrastructure to be owned by the sector, not be locked behind pay walls, to be international, for collaboration between all stakeholders (a sentiment that is found in the Tickell report) and to make practical steps using existing infrastructure rather than wait for an "ideal" infrastructure to emerge.

Tools that make the quality control process easier are helpful and are generally provided by repository platforms and CRISs. There are also challenges in engaging with researchers, encouraging them to provide sufficient, accurate metadata when they create records to upload to the repository or CRIS but the metadata collection masks presented to the creators of metadata records go some way to encouraging the collection of accurate, consistent metadata. The problem is often the lack of completeness when researchers do not have information to hand.

Providers of services, platforms and tools

The main issue here is one of interoperability, with different providers sometimes taking different approaches to standards. Commercial organisations can create their own ad hoc schemas or adapt or extend existing ones. This means that when people try to integrate third party systems, a lot of effort needs to go into creating metadata mappings (or "crosswalks") or writing custom scripts to convert legacy metadata for use with current schemas. A common flashpoint is when institutions try to integrate the operation of repositories and CRISs. A similar situation exists with funders' systems whereby, for example, institutions want metadata from Researchfish but the process is not straightforward. Ideally providers would take more note of metadata schemas that have been commonly adopted by other stakeholders in the scholarly communications system – or

that have been mandated by funders - to help streamline the flow of metadata and other information between systems.

Automating the flow of metadata from publishers to repositories is a smart thing to do and has the potential to improve the quality of metadata and move around the system efficiently. Workshop participants benefited from insights gained through the process of developing Jisc's Publications Router. While the physical aspects of this distribution channel are well established, getting the right metadata from publishers remains a challenge. For Publications Router to operate effectively, publishers need to provide author affiliations for all co-authors (this will be improved when Org IDs become available); ORCID IDs for all authors; funding details (funder name and grant number); licensing information as specified by NISO through its license_ref element; and key dates, particularly acceptance date. These need to be provided as soon after acceptance of an article as possible, even if the licensing metadata is provisional to begin with. In reality, the provision of the information outlined above is limited at present.

A process of advocacy, potentially strengthened by firm funder requirements, may with time improve the provision of the required metadata. For the system to be efficient, publishers should upload their information to Crossref and deliver it directly to repositories via Publications Router. The delivery of metadata directly to CRISs is also desirable and some key CRIS vendors are reportedly moving forward with Publications Router interoperability. This process of multiple publishers pushing data to an organisation like Crossref and straight to repositories is the optimum flow: it would be burdensome to expect such systems to have to interact with multiple publisher APIs to pull the required information.

The scholarly communications community benefits greatly from the contribution of Crossref, the not-for-profit organisation whose stated aim is to make research outputs easy to find, cite, link, assess and reuse. It is a key conduit for metadata created by publishers: with over 100 million items, metadata is preserved and made openly available through APIs and search facilities. With respect to the core metadata required by funders, Crossref strives to collect metadata covering ORCID IDs, funder identifiers, publication dates and license information. It is also working on the collection of persistent identifiers for grants and affiliations as well as acceptance dates. Crossref's Participation Reports tool provides a clear exposition of publishers' performance in terms of the supply of a range of metadata elements. This tool, in addition to the new guidance for providing better license metadata, could play a key role in advocating for the improvements required by other stakeholders.

Aggregators of metadata and full text resources have a very important role to play in terms of enriching content, enabling discovery and conducting analysis. CORE is a key UK aggregator, offering over 135 million metadata records accessed by over 10 million monthly active users. Services such as CORE Recommender and CORE Discovery help users lever the value found in the metadata as well as in the 13 million hosted full text items. Research England will be using CORE to determine REF-related policy compliance, a process that would be more straightforward if RIOXX was in the future to specify date of deposit as a separate and mandatory metadata element.

Because CORE harvests records from UK repositories it has been possible to analyse RIOXX usage: 72 repositories currently support RIOXX and have between them produced 1.6 million metadata records. Of these, only 15% are RIOXX-compliant and performance is highly variable across institutions. As other workshop participants have indicated, the key reasons for non-compliance are missing license, accepted date and project (funder; grant number) metadata. Around 75% of records are missing these metadata that have been identified as being of fundamental importance to funders. In addition, half of RIOXX records are missing the mandatory link to the full text resource. These analyses quantify the gulf that currently exists between the metadata funders need and the provision of those metadata – and makes clear the scale of the challenge to improve the flow and integrity of essential metadata.

Funders

Many believe that funders hold the key to promoting the adoption of common metadata standards across the sector and thereby unlocking the wider benefits of the discovery, use and re-use of scholarly outputs associated with open access. If researchers, publishers, librarians and system providers are given a clear steer about what metadata are essential - with the appropriate use of carrots and sticks – there is a greater likelihood of alignment. Mandates do have appear to be able to change behaviour: a recent study by CORE, reported in *Physics Today*[7] indicates that the policy governing the next REF has had a significant positive impact on the deposit behavior of researchers in the UK.

Funders want to be able to identify articles that have resulted from projects they have funded and to be able to link articles to a grant identifier. This is best done using machine-readable metadata; importantly these metadata should be collected even when there are multiple funders for a project. All

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[7] https://physicstoday.scitation.org/do/10.1063/PT.6.2.20190418a/full/

funders and relevant grants should be stated in the article and be reflected in the metadata. Funders also want to know whether an article has been peer reviewed. At present this is implied through identifying the type of article, though this is an imprecise technique. Ideally funders should be able to identify through the metadata something about the type of article and, in particular, whether an article is of the commissioned variety - since funding from the MRC, for instance, should be not used to pay for the publication of commissioned articles. It is interesting to note that note even the new (still in draft form) Controlled Vocabulary for Resource Type Genres developed by COAR does not specify commissioned articles. This is, though, something that could be addressed.

The importance to funders of knowing whether or not an article is open access was reiterated. Tracking embargo periods is important as is the need to know who owns the copyright to an article and the supplementary material. All this information should be contained in a license, reinforcing the importance of solving the current under-use of the NISO license reference metadata element. The MRC firmly supports the use of ORCID IDs. Finally, it was mentioned that funders also need to be able to track data; this helps the process of tracking a range of research outputs which in turn enables funders to track scientists' careers. Although the primary focus of this workshop is peer reviewed articles, we are reminded that openness extends beyond this one resource type and in thinking about the development of metadata schemas and the associated guidance and infrastructure it is important to consider extensibility and interoperation in relation to open data and other resource types.

Issues and ideas

The final session of the workshop provided the opportunity for small groups of participants to discuss five key issues and come up with comments or ideas as to how they might be addressed. On the subject of **additional metadata to support open access policies in the UK**, it was noted that authors currently acknowledge funder support in many different ways: if they were to utilise the Funder Registry this problem could be significantly mitigated. There was agreement that the date of acceptance can be a moving target, with publishers taking different approaches and sometimes changing the date *post hoc*. This is an issue for publishers themselves to address. If publishers were to expose their JATS XML that could have a big impact in terms of others being able to harvest metadata. Finally there was a discussion about embargo start and end dates. This was an issue debated at

length during the Vocabularies for Open Access project in 2013. It was pointed out that if NISO's license-reference metadata element was used in the way it was designed, the start and end date of embargoes would be derived in a straightforward and authoritative fashion.

Several **pinch points for creating essential metadata** were identified by the group. There was an acknowledgement that "essential metadata" means different things to different stakeholders. For this process the UKRI is focused on metadata in support of open access policies. Tickell and Plan S are looking for DOIs to be introduced to the metadata record earlier in the publication process (and preferably at acceptance of an author's manuscript) but publishers' internal systems may not be set up to do this and there may be administrative and cost issues. There is a known problem where journals change hands between publishers and the license or other data describing articles in those journals as "Gold" is sometimes not forthcoming or lost in transition. While the benefits of ORCID IDs are known to most stakeholders, apparently some researchers are resistant to using them. There may be a role for funders here to insist they are used. It was also noted that it would be useful if ORCID could identify individuals with multiple IDs proactively.

The group discussing how to **improve the flow of licensing data** reiterated the benefits of the widespread adoption of NISO's license_reference metadata element, stressing that this approach allows for the availability of nuanced licensing information – to the benefit of publishers as well as other stakeholders. The problem remains one of publishers not providing this information as NISO intended.

In terms of the **ideal flow of metadata across the life cycle of a research paper**, it was re-emphasised that metadata should be captured at the earliest point in its creation so that it is as authentic and accurate as possible. This could be at the point of manuscript submission through a system like ScholarOne. It was stated that publishers produce internal identifiers prior to registering a DOI and these could possibly have a role to play; this is something to explore further perhaps. It was suggested that aggregators such as CORE could have a significant role to play in augmenting and improving the quality of metadata at a national level.

Finally, a group discussed **how PIDs could be used to improve the effectiveness of the metadata ecosystem**. The role of persistent identifiers in making systems more efficient was acknowledged. It was stressed, however, that there is a need for more engagement across the range of stakeholders so the benefits are more clearly articulated and understood, and so trust in the systems is enhanced. Even though ORCID is widely used it is

not used ubiquitously and if funders are to mandate the use of this or other persistent identifiers the case needs to be made clearly and persuasively. The importance of introducing persistent identifiers into the metadata record as early as possible was emphasised; doing so provides the means to streamline and improve the quality of metadata collection.

Next steps

During the workshop a number of challenges were highlighted including, but not limited to, the distance between the patchy quality and incomplete nature of metadata often reported at present and the ambitions for high quality metadata enhanced with persistent identifiers set out in the Tickell advice and Plan S. There are also grounds for optimism with the increased availability of authority files, controlled vocabularies and evidence from CORE showing that funder policies make a real difference to the extent and timeliness with which accepted manuscripts and their attendant metadata are deposited.

With respect to the primary objective of collecting the core metadata required by funders there are good reasons to believe this can be achieved. The RIOXX Application Profile has laid the foundations; it provides a framework to move forward. The metadata-related requirements set out by Tickell, the Plan S technical guidance, other relevant reports from UUK and additional requirements that may spring from the UKRI review as a whole, can all be mapped to RIOXX to identify gaps that need to be addressed. Better use of resources such as persistent identifier services, authority files and related open infrastructure can be harnessed to make the UK's metadata record more accurate, complete and useful. Obtaining licensing information and accurate acceptance and publication dates from publishers will remain the core challenge for the foreseeable future but with persistent advocacy potentially backed by funders' policies the issues can be resolved in time.

How does the community put into practice the ambition for higher quality metadata that meets funders' needs and more generally supports the open access system? The steps outlined below have the potential to achieve the aim of translating discernible goals into action.

Establish a focused technical working group

At present the RIOXX Application Profile has a static existence; it is not actively curated and there is currently no obvious means by which to do

so. The technical adaptations to align RIOXX (or its successor) with the metadata requirements born of the UKRI review (which may well include the requirements laid out by Tickell, Plan S and other reports) need to be discussed at a detailed level and the application profile needs to be amended accordingly. This is a time-consuming, technical process: changes or additions to the profile must be very carefully considered (to avoid unintended consequences), drafted very tightly to avoid ambiguity and developed in light of other existing schemas that overlap or have a bearing on the scholarly communications metadata landscape. In terms of rolling out the updated profile, since RIOXX is already live, this needs to be very carefully planned.

The increasing availability and use of a range of persistent identifiers offers a significant opportunity to improve and streamline the means by which metadata records are created, curated and consumed. Metadata flows may be different in the future with, for example, the early use of ORCID IDs calling up pick lists of grant numbers and funder IDs and enabling the automatic population of standard metadata fields. Touch points between persistent identifiers provide opportunities to action the flow of high quality metadata in a more streamlined fashion than can currently be achieved. These technically based opportunities to improve the metadata system need careful consideration and implementation, and a standing working group may be the place to take forward such discussions.

The technical working group should have as part of its mandate the requirement to liaise closely with people responsible for systems development in the different stakeholder groups. In particular, it will be important to work with funders and publishers so they can adapt or build systems that produce, push or consume metadata in ways that are beneficial to the community-wide metadata system. This process will of course entail close liaison with key actors such as Crossref and CORE.

Consultative process

In concert with the technical working group there needs to be a process for involving representatives of all the key stakeholders so they have a sense of ownership of the outcomes and so that all players are aware of their roles, responsibilities and the benefits that accrue to them from participating in a process of creating and curating high quality metadata. This may be a parallel working group to the technical group, mediated perhaps by the funders or Jisc.

Commission updates for repository tools

One of the key reasons for the reasonably successful roll-out and early adoption of RIOXX by the institutional repository community in the UK was the commissioning by Jisc of helpful software tools for the two most commonly used institutional repository platforms in the UK, EPrints and DSpace. The RIOXX tool puts in place a metadata mask to guide the creators of metadata records, helping them to provide at least the minimum mandatory metadata required. The tool also acts as a compliance-checking mechanism, alerting creators and quality control editors when RIOXX metadata is missing or records are otherwise deficient.

There is also a REF Compliance Checker tool which references the metadata required to comply with the mandatory elements of the RIOXX application profile and checks that the record is compliant for REF purposes. Both these tools will need to be updated and rolled out to current and new users across the UK. The effort required to develop the tools, advocate widely for their adoption and doing the technical work needed to help institutions install the updates (or do the updates for them) should not be underestimated: it is a considerable undertaking that will require appropriate resourcing.

Create mapping tool for OpenAIRE and other relevant schemas

During the workshop mention was made of a metadata mapping visualisation tool developed to show how RIOXX maps to OpenAIRE, CASRAI and REF. This will need to be adapted to accommodate changes to RIOXX (or its successor) and the opportunity should be taken to update the OpenAIRE schema part of the tool (which has recently published new Guidelines) and accommodate any new CASRAI developments, including the particular elements recommended by Tickell. It may be prudent to add new mappings to any other relevant metadata schemas.

Advocate for the updated profile widely and monitor adoption

The roll-out of RIOXX in the UK has been moderately successful even though the completeness and quality of the metadata, as evidenced by the CORE presentation in the workshop, leaves much to be desired. Adoption and adherence needs to be more successful for funders to yield the full benefit. There are steps that could be taken to help ensure this:

- Whether RIOXX is extended or a new application profile is built upon the RIOXX foundation, consideration might be given to re-branding the profile to make the purpose of the application profile clearer.
- UK funders should openly endorse the widespread adoption of the new or updated application profile. Experience with REF shows that this is the surest way to encourage adoption by researchers and institutions, to drive the development of adoption of compliance tools for the common open repository platforms in the UK and to encourage commercial systems developers (notably of CRISs) to adapt their products to meet the needs of their UK customers. At the same time publishers should be required to not only provide the core metadata required by funders, but to also agree among themselves standard specifications for determining and exposing these key metadata elements: accepted date and publication date.

As well as a formal, well designed process for encouraging the collection and curation of the core metadata required by funders, there needs to be a process for monitoring adherence so that targeted advocacy can be applied where necessary. The tools now exist to monitor the impact of advocacy at a national level but a more formal process of, say, quarterly reviews would provide useful structure.

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Report: UKRI Metadata Meeting 26 June 2019

UKRI Open Access Review Researcher Workshop – Meeting Note

Wellcome Trust, 215 Euston Road, London, 8th July 2019

Background

The UK Research and Innovation (UKRI) held a meeting with researchers representing various disciplines and career stages on 8th July 2019 to gather views on Open Access to research publications to inform its Open Access Review.

This meeting note provides an unattributed summary of views and issues discussed at the workshop. **To note: the views summarised are those of participants in the workshop, the views are not representative of the whole group and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI Open Access Review can be found on our website: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

Agenda

10:00	**Arrival and refreshments**
10:30	**Welcome**
10:45	**UKRI Open Access Review** Rachel Bruce, Head of Open Research, UKRI
11:00	**What are your views on open access?** • What benefits/opportunities, if any, do researchers get from making their publications open access? • What benefits, if any, do researchers get from the ability to access and re-use open access publications?
11.25	**Open Access: an academic librarian's perspective** Sally Rumsey, Head of Scholarly Communications & RDM, University of Oxford

11:40	**What are your experiences of practising open access?**
	• Do you make your publications OA? Why/why not?
	• What do you find to be the main barrier(s), if any, to OA?
	• Do your funder(s) / institution / colleagues encourage, incentivise and/or support you to practise OA? How?
	   o Is there adequate recognition or incentives for researchers to make their publications OA?
	   o Have you encountered any challenges arising from funder/institutional/publisher OA requirements and practises?

	• Have you encountered benefits and/or issues accessing and re-using OA and/or non-OA publications?
12:50	**Lunch**
13:45	**Opportunities and challenges for scholarly publishing** Matthew Cobb, Professor of Zoology, University of Manchester
14:00	**How can open access be further developed?** • What would you change about the scholarly publishing system? • What can UKRI and/or other stakeholders do (e.g. in terms of policies, their implementation and communications, and supporting OA)? • What different approaches/considerations are needed for different types of researcher (e.g. career stages, international, disciplines)? o Draw put examples and any particular issues i.e. copyright
15:15	**Reflections and next steps**
15:30	**End**

Participants' views on open access

- Participants were supportive of open access and identified the following benefits:

  o Most participants found open access publications led to increased readership and citations.

  o Most participants were supportive of access for researchers who may not have institutional support, independent researchers and researchers in developing countries, among others.

  o Multiple participants highlighted the benefit of accessing research beyond their own disciplines and not being limited by institutional subscriptions.

  o Multiple participants highlighted the benefits of accessing open data made available from open access publications. One participant stated they would welcome open access beyond publications to encompass all research outputs including, data, software and code, which would give access users of research, researchers in developing countries and researchers without institutional support. Participants noted open data is out of scope for the UKRI Open Access Review.

  o Participants highlighted open access has the potential to increase public trust in science and research.

  o Participants highlighted open research can lead to more evidence-based policies. They also recognised however, that approaches should be adapted for different audiences e.g. policymakers may prefer a one-page briefing over a journal article.

- Participants raised the following disciplinary differences:

  - For some researchers there is a perception that open access journals are of a lower quality but this was not the experience of other colleagues in the same discipline. Researchers in mathematics and physics typically use ArXiv, pre-prints, and institutional repositories instead of traditional journals to share and access the latest research.

  - Participants, particularly working in arts, humanities, social sciences (AHSS) and mathematics, highlighted Green was the preferred route to open access. In AHSS disciplines publishing costs were suggested to be generally higher because photographs, maps and images are often used, which can carry additional publishing charges. Some AHSS participants also felt the issue of costs is further exacerbated by arts and humanities tending to have less funding to cover publication costs.

  - Participants highlighted that disciplinary boundaries are not easily classified as science, technology, engineering and mathematics (STEM) and AHSS, within these categories exist different disciplinary and sub-disciplinary cultures and preferences.

- Participants raised issues around long-term preservation of research, for example, when researchers change institutions, or a publisher was liquidated. Participants noted institutional libraries have a vested interest in maintaining the research that was produced at an institution as its legacy, therefore changes in employment are not a barrier to maintaining the availability of research. Publishers also have mechanisms in place to ensure published material is not lost if they close down.

- One participant questioned how much was known about the tangible benefits of open access.

Open Access: an academic librarian's perspective

Sally Rumsey, Head of Scholarly Communications & Research Data Management, University of Oxford delivered a presentation on open access from a librarian's perspective (available at Appendix 2). The presentation highlighted the role of libraries in supporting academics to practise open access. Participants noted the increased use of initiatives such as Academia.edu, Research Gate and pre-print servers also seem to signal changes in scholarly dissemination towards an open access system. The presentation highlighted additional benefits as reported by academics in Open Scholarship case studies, including:

- Encouraging collaboration by facilitating engagement

- Contributing to tools to reduce the number of peer reviews

- Benefits for end users, for instance, medical patients who can be better informed about the course of treatment

- Meeting donor requirements to support case for future funding

The presentation highlighted the current process is complex, giving rise to several challenges, including:

- Cost – beyond article publication charges (APCs) there are rising total prices depending on publisher policies, for example, non-APC publication charges, additional charges for publishing under a CC-BY licence.

- Licensing - a blanket requirement for CC-BY licences is concerning for AHSS, who have indicated a preference for CC-BY-ND. Some publishers require authors to transfer copyright to the publishers.

- Join-up – libraries must comply with policies of funders, publishers and institutions, which may be different and/or interpreted differently and publications.

The presentation also highlighted the importance of policy-makers engaging with practitioners before releasing policy as it has bearing on implementation, compliance and administrative burden. Additional points raised during the presentation are available at Annex 2.

Participants' experiences in practising open access

Reasons for making publications open access

- Policy Compliance – institutional open access policies were stated by many participants as a key motivation for publishing open access.

- Research Excellence Framework (REF) – multiple participants identified REF as the main driver for open access for them and their institutions. Some participants highlighted their institutions supported Green open access to be compliant with REF. One participant highlighted that promotions in their institution are geared towards REF submissions.

- Career progression – multiple participants highlighted publishing open access increased their citations and readership. Both of these contribute to career development. In some disciplines, such as economics, open access is good for articles as data for replication is used beyond the published article. The data however may be subject to an embargo period. Embargo periods are discussed under barriers to open access.

- Moral argument – multiple participants highlighted open access is considered the moral thing to do. Research should be made available to the user group for whose benefit it is intended, such as teachers and students to access research. Researchers have a vested interest in sharing knowledge with the end users of research.

Barriers to open access

- Availability and distribution of funding - not all researchers have access to funds to publish under the Gold open access route. Allocation of publishing funds varies within institutions and can create deficits. Allocation of funding via block grants and Quality-Related (QR funding) varies across sector.

- Cost – most participants highlighted that APC costs for Gold open access are high and it is not clear what proportion of the APC contributes to the cost of publishing the article. Most participants highlighted unfunded researchers and early career researchers (ECRs) are highly disadvantaged by Gold open access. Some participants also highlighted there is lack of financial support for arts and humanities researchers to practice open access beyond the REF requirements due to cost.

- Career progression for ECRs – open access journals in certain fields are perceived to be of a lower quality and journals considered to be more reputable may not offer any options to publish open access (hybrid, Green or Gold). This may confer a competitive disadvantage on an ECRs' career progression, particularly if applying for positions outside the UK.

- Embargo periods – participants highlighted that, while Green open access does not have the financial barriers of Gold open access, an embargo period may be imposed causing delayed access.

- Administrative burden – the Green route has additional administrative burden of depositing the author accepted manuscripts (AAM). In collaborations, there may be duplication of effort in this.

- Library resources – there are financial, resource and administrative burdens on libraries to support open access in providing the necessary infrastructure for Green open access, ensuring that research outputs are safely preserved, and in providing guidance to researchers about open access options available to them.

- Journal reputation – some high impact disciplinary journals are not open access. In some disciplines, the reputation of the journal contributes to the perception of the quality of research and so researchers prefer to publish in such journals as it may affect career progression. In some disciplines open access journals are seen to prioritise quantity over quality of publications. This was not the view or experience of all participants.

- Collaboration - some participants suggested researchers they collaborate with may not wish to and/or be required to publish open access. Collaborators may prefer venues that might not be suitably open access or may not want to pay an APC. Additionally, multiple participants highlighted in collaborations it can be unclear who is responsible for paying the APC.

- Copyright and licensing – one participant highlighted publishing open access may give rise to commercial conflicts, for example a third party may use the research in a manner that is not permitted according to the license under which it is published. Some participants from AHSS disciplines voiced reluctance to publish under a liberal CC-BY licence. Participants noted that as part of the open access review UKRI are seeking to

further understand the circumstances under which a more restrictive CC-BY-ND licence is required, including evidence of consequences because of not using it.

- Culture – Some participants felt that open access was a "box-ticking" exercise rather than a cultural shift towards open access. Some participants reported that they are assessed on journal impact factor and metrics, whereas others felt this is not the case in their institutions. Participants welcomed that UKRI have signed up to DORA, and this may contribute towards addressing this issue.

- Lack of communication – One participant highlighted in some institutions there may be limited institutional communications around open access, policies and support.

- Policy complexity and variation – Authors comply with multiple policies, including institutional, funders, and publishers, which may not have parity between them. This also applies to collaborations where these are led by another organisation where barriers exist. Some participants felt that the options and policies offered by publishers were a barrier to publishing open access, for instance embargo periods on outputs and data.

Opportunities and challenges on scholarly publishing

Professor Matthew Cobb delivered a talk that highlighted UKRI must make a moral argument for public benefit from public funding for open access. Publishers, both commercial and learned society publishers, are reliant on journal subscriptions and books sales, and a move to open access risks reducing revenue from these. Conversely, university publishers at Manchester and UCL have found open access monographs and books increases sales.

Open access is largely financed through philanthropic initiatives or government funders, and thus far and may not be financially sustainable without these. A move to open access places financial burden on the researcher and particularly disadvantages ECRs. Open access also has consequences on learned societies who use income from publications to provide charitable services that contribute to the health of their respective disciplines.

How open access can be further developed

Innovation

- Participants were supportive of innovative models from publishers beyond the APC model and recommended UKRI could encourage support for innovative approaches to open access. Suggested approaches included:

  - Robust subscription models for journals which provide extra benefits for subscribers (e.g. off-setting APCs);

  - The Guardian model for subscriptions;

  - A nationalised publishing industry to provide long-term investment into open access to deliver value for money.

Policy approaches, considerations, and possible supporting actions

- One participants discouraged associating open access to targets as it would create more administrative burden on researchers.

- One participant recommended using approaches beyond REF, such as supporting institutions in developing their own open access policies, to support a shift towards open access to avoid perverse unintended consequences to ECRs and unfunded researchers.

- Some participants stressed the importance of ensuring policies introduced by the UKRI open access review do not have unintended consequences on researchers, for instance on collaborations, ECRs, unfunded researchers.

- Institutions and individuals could be rewarded for compliance with policy, and any remedies for non-compliance should be transparent and clearly directed.

- Participants suggested UKRI may be able to work with devolved funders to make REF criteria explicitly encouraging of journal editing and peer reviewing so these academic activities become accepted as part of institutional workloads.

- Open access could be linked to the impact agenda, showing publicly funded research that is both publicly available and is making a demonstrable contribution to the economy and society. This could be supported by a policy that makes research outputs easier to machine learn, improving both discoverability and reuse of research.

- Liaising with Jisc to reduce publishing costs and improve access by creating regulations on how APCs are used.

Disciplinary differences

- Participants recommended UKRI should recognise different paths to open access by allowing flexibility in types of publications, for instance, pre-prints for fields such as mathematics, economics, medicine, and emergency situations.

- UKRI should consider how the open access policy will apply to monographs and what equitable routes are available for monographs, for instance develop Green open access as the standard model for monographs.

Copyright and Licensing

- Participants recommended UKRI should take a position on copyright and licensing. This may be done by introducing a copyright retention statement or policy or minimising journal ownership of copyright. One option suggested was the German model where the author retains the copyright and grants a license to the publisher.

Culture change

- One participant recommended facilitating broader culture change by moving away from journals and changing the way research is published by utilising new models of

dissemination, such as digital opportunities. This may be done by recognising ArXiv as a platform and use funding for more integrated peer review and quality assurance.

- Introduce new metrics to judge the impact of research, away from the prestige of the brand of a journal.

Cost

- Multiple participants stated there needs to be greater transparency for journals to justify their charges.

- A participant suggested funding should be rebalanced towards the real publishing costs rather than profit for publishers. Authors must be allowed to choose the level of service they would like and pay to receive from a publisher, for instance, marketing to target audience.

- One participant recommended financial burden on researchers can be reduced by including the cost of APCs in the grant award.

Additional considerations

Delegates posited some additional consideration UKRI may wish to take into account as part of the Review:

- Clarify what signing up to Plan S means in practice. It was noted Plan S is an input to the review.

- Clarify if Green open access a viable and acceptable route to open access.

- Clarify which forms of scholarly outputs are within scope e.g. pre-prints, open data, edited collections of articles with ISBN, monographs, open software. One participant suggested the Open access policy could be a roadmap that eventually encompasses all research outputs, including data, models, software and code.

- Consider supporting actions to facilitate more awareness and learning for open access.

- Consider commissioning an impact assessment to see impact of open access in terms of publications and citations for gender and other pertinent characteristics.

Appendix 1 – Participants

UKRI staff

Rachel Bruce	UKRI
Sara Ball	UKRI
Paul Richards	UKRI
Claire Fraser	Research England, UKRI
Tahia Zaidi	UKRI

Participants

Beth Allen	Department for Health and Social Care
Chris Ashford	Northumbria University
Antonio Remiro Azócar	University College London
Oishik Banerji	Birkbeck, University of London
Matthew Cobb	University of Manchester
David Craven	University of Birmingham
Eimear Deady	British Geological Survey
Tony Fisher	Royal Central School of Speech and Drama
Katherine Foxhall	Royal Historical Society
Jenny Fry	Loughborough University
Helen Fulton	University of Bristol
Neil P. Chue Hong	University of Edinburgh
Peter Kettlewell	Harper Adams University
Andrey Lazarev	Lancaster University
Maciej Matuszewski	Durham University
Srinjoy Mitra	University of Edinburgh
Patrick Moynihan	University of Birmingham
David Payne	Imperial College London
Timothy James Peters	University of Bristol
Andrea Pia	London School of Economics and Political Science
Martin Procter	UCB
Imran Rasul	UCL and IFS
Sally Rumsey	The Bodleian Libraries, University of Oxford
Louise Ryan	British Sociological Association
Andrew Singer	Centre for Ecology & Hydrology
Caroline Sutton	Taylor and Francis Group
Samuel Westwood	King's College London

Appendix 2 – Presentation by Sally Rumsey, 'Open Access an academic librarian's perspective'

Library support for OA

http://openaccess.ox.ac.uk/

- Information, guidance & support to enable informed decisions by authors
- Strategic decision-making on library collections and access
- Dialogue with publishers, suppliers & funders
- Interact directly with researchers

Attitudes of researchers towards open access dissemination

...in their own words...

"We are in the death throes of journal publishing. None of us knows where it's going. We are excited, energized and threatened. All are jockeying for position in a landscape where we don't know where it's going. It's a symptom of chaos"

"I do not, personally, care about the REF. I care about my research being published as openly as possible."

Concerns of researchers around OA policies

- Plan S (initial) panic
- Humanities – collateral damage of STEM?
- CC-BY licence
- OA monographs
- Equality & diversity – short contract; career break; margins of affiliation; flexible periods of employment - no penalties and clarity for who is included.
- Choice of journal
- ECRs
- Modest number of Plan S participants
- International appointments
- International collaborators
- Learned societies & niche publishers
- Cost
- Box-ticking exercise
- Resignation

Herbarium MS. Ashmole 1462 https://digital.bodleian.ox.ac.uk/inquire/p/4bf01237-57d6-475a-9ed2-d0f7433c14d1

Concerns of librarians around OA policies

- Cost – especially research intensives
- Allocating a finite budget
- Some US publishers charge for CC-BY
- Different policies/interpretation at different institutions
- Non-APC publication charges
- Rising total prices (R+P)
- Lack of competitive market economy
- Unintended consequences
- Difficulties for small publishers & 'cascading' resulting in further consolidation to mega-publishers
- Policy stack
- Join-up – researchers with multiple funders
- Locking into APC model
- Charging model limiting academic discourse (some OA, some not)
- Burden (admin & reporting)

Services available to authors
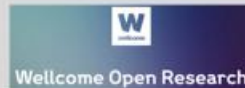
The small print through a researcher's eyes

STM principles *"Sharing should be allowed within research collaboration groups, namely groups of scholars or researchers invited to participate in specific research collaborations."*

You can only share your work with certain people using certain channels at a certain time
= over-complexity

https://www.stm-assoc.org/2015_06_08_Voluntary_principles_for_article_sharing_on_scholarly_collaboration_networks.pdf

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Wiley CTA

- "**In order to** expedite the editing and publishing process and **enable the Owner to disseminate your Contribution to the fullest extent**, we need to have this Copyright Transfer Agreement executed.... **The Contributor assigns to the Owner...all copyright...**"

6 pages long!

https://authorservices.wiley.com/asset/photos/licensing-and-open-access-photos/eCTA_sample.pdf

Discussion paper: Help! I'm an author – get me out of here
Sally Rumsey, University of Oxford

This discussion paper aims to point out some current contradictions for authors publishing scholarly articles. It is based on comments from a number of Oxford academics including professional research staff, researchers, and doctoral students. It includes their opinions around author rights, practices, concerns and preferences with regard to research dissemination. The presentation that this paper is based on was originally written for science publishers – I acknowledge that there are significant disciplinary differences of opinion and not all the views expressed here will chime with all academics. I have purposefully chosen not to discuss costs in this paper – the paper focuses on author practice. The paper concludes with a wish list of potential solutions of how, in my opinion, we, that is publishers and libraries, can help academics better disseminate their work. This is not intended as a publisher-bashing exercise: it is a reality check.

Precious time and control of content
Time is a critical factor for busy academics. They hate what in their view are pointless, timewasting, administrative activities. A member of professorial staff complained that when they wanted to submit a pre-submission query "to get a **quick** decision on whether it's likely to be worth my while battling with the submission portal" they were asked to input lots of unnecessary detail.

"Do not waste my time asking me to complete separate details of all authors for submission – even before the paper has been accepted."

Similarly, this academic was clearly not happy being asked by one publisher to submit lots of details about potential reviewers (my emphasis).

*"You'd think the advent of electronic submission would make life easier, but in fact it can just open up a whole new world of tiny, fiddly things that you are required to do before your paper is submitted. Each individual thing is usually fairly trivial, but they do add up. So, for instance, **if you'd like your authors to suggest referees, please allow them to paste in a list. DO NOT require them to cut and paste title, forename, initial, surname, email and institution into your horrible little boxes for each of six potential referees.** It all takes TIME. And we have more important things in life to be getting on with, including doing the science that allows us to get the point of writing a paper."*
http://bbsonline.blogspot.co.uk/2014/01/a-new-years-letter-to-academic.html

These complaints could be interpreted as authors don't like lack of system integration and interoperability which causes more work for authors. This might include manually entering (and re-entering) data. Concerns include control (or lack of) of the work that authors submit to commercial publishers:

"I want more control over the publication and dissemination process. We are giving content free. I'm the customer, not the workman ... Publishers have preyed on academics. They should be doing a job for us"

and whilst the scholarly dissemination environment is in its current state of flux, ownership of information and content is becoming muddied and confused:

"There is an underlying problem of management and ownership of information. It's a chaotic transition – fraught because so much rides on it, for example, funding"

1

Discussion Paper: Help! I'm an author - get me out of here

This discussion paper points out some current contradictions for authors publishing scholarly articles. It is based on comments from a number of Oxford academics and includes their opinions around author rights, practices, concerns and preferences with regard to research dissemination. The paper concludes with a wish list of potential solutions. It is intended as a reality check.

Rumsey, S., (2018). Discussion Paper: Help! I'm an author - get me out of here.
https://ora.ox.ac.uk/objects/uuid:68a4577d-09d4-444a-b3d0-ec6130cf806d

OA Policy Timeline

	Jul – Sep 2019	Oct – Dec 2019	Jan – Mar 2020	Apr – Jun 2020	Jul – Sep 2020	Oct – Dec 2020	Jan – Mar 2021	Apr – Jun 2021	Jul – Sep 2021	Oct – Dec 2021	2022	2023 –
REF schedule	Ox dry run Apr – Jul		REF 2021 Data submission				REF 202X outputs					
UKRI OA Policy	Consultation Sep – Nov 2019		Analysis Dec – Feb / Policy launch Mar 2020 / REF specific consultation Q1 2020	Revised policy to be applied during 2020 (no change to REF2021 policy)								
RE (REF) OA policy journals	Existing OA policy for items eligible for REF 2021						From 1/1/21 Existing policy to apply until further notice / New policy to apply after adequate notice given to sector					
RE (REF) OA policy monographs	UUK Consultants report											
RCUK	Existing OA policy & block grant			Block grant for 2020/21 (£ unknown) (confirmed)								
Plan S journals principles							Plan S OA alignment by participating funders for calls published or application deadlines from 1/1/2021 (or earlier at individual members' choice) Review by end 2024					
Wellcome & COAF	WT Existing OA policy & block grant						WT New policy for articles submitted from 1/1/2021					
			WT Existing OA policy for monographs & book chapters (remains under review)									
	COAF funding to end Sep 19	COAF funding confirmed for 1/10/2019 – 30/9/2020										

http://openaccess.ox.ac.uk/wp-content/uploads/sites/2/2019/05/OA-policy-timeline-table.pdf

What do we mean when we say 'administrative burden?'

- Remove effort from researcher
- Interpret multiple unclear policies
- Managing multiple budgets with different financial years
- Defining what we will and won't pay with unclear policies and finite budget
- Managing changes in circumstances eg funders/block grant running out
- Correcting errors after authors get it wrong (eg paid invoice)
- Creating and checking metadata when not automated and systems not interoperable
- Checking compliance when criteria and reporting ill-defined
- Reporting when data are difficult to obtain
- Resourcing takes staff overhead and £. Most policies do not provide for the extra resources needed.

Submit-Accept-Deposit AAM process v3
Sally Rumsey, Bodleian Libraries 20/3/17
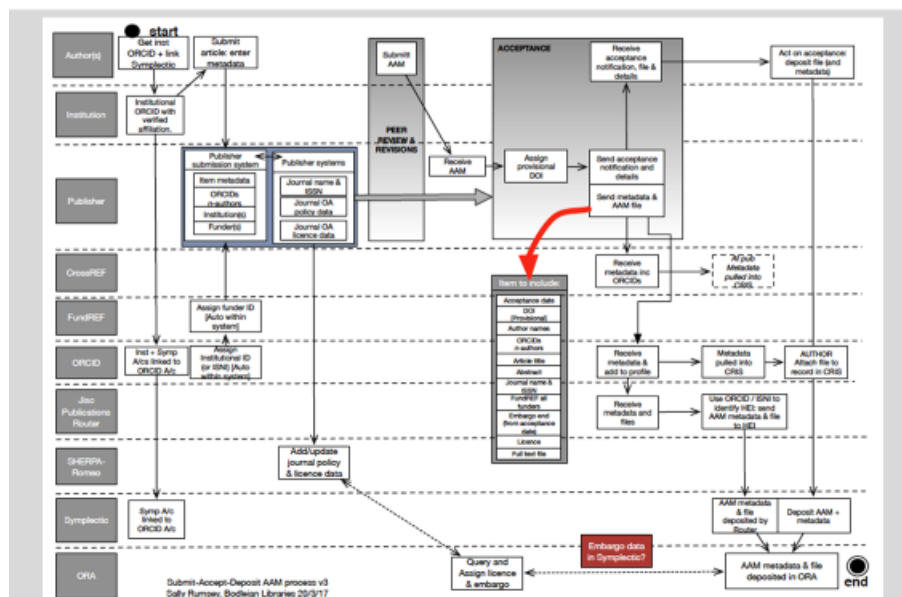
Benefits of OA*

1. Encourages collaboration
2. Easier collaboration
3. Access by those who cannot normally
4. Facilitates engagement by collaborators
5. Open approach is transparent, straightforward and fair
6. Tools to reduce numbers of peer reviews per article
7. Benefits patients (medical sciences)
8. Efficient and effective - Allows best science
9. Additional competitive edge to the research group – spreads research wider
10. 'Openness' skills proving valuable on CVs
11. Research outputs available to a wide global audience
12. Meeting donor requirements supports case for further funding

Christine de Pisan MS. Bodl. 421
https://digital.bodleian.ox.ac.uk/inquire/p/d39a1a75-d5aa-4c8e-9349-238f635b3894
Saturn, in sky, looks down on group of scholars.

* As reported by academics in Oxford Open Scholarship case studies

Medical treatises. MS. Rawl. C. 328
https://digital.bodleian.ox.ac.uk/inquire/p/2a16dc40-fc18-47db-8fda-48ffc9e79abe

Opportunities & Recommendations

- Don't lose sight of OA as a 'good thing'
- Demonstrate benefits
- Make OA rewarding for authors
- Clear policies with minimal exceptions
- Talk to practitioners about how the policy will work **in practice**
- Align policies & address policy stack problem
- Researchers with multiple funders
- Easy access contact for queries like WT – official take not library interpretation
- Publicise changes to policy
- Compliant publisher white list?
- Work with those who are already making a success of OA
- Work with those adopting innovative tools
- Pilots/trials/incremental implementation
- Make it easy (ORCIDs, interoperable metadata, DOIs on acceptance, etc)
- Listen!

UKRI Open Access Review Publishers Workshop – Meeting Note

16th July 2019, Publishers Association, 50 Southwark Street, London

Background

UK Research and Innovation (UKRI) and the Publishers Association (PA) hosted a meeting with a range of publishers to help inform the UKRI Open Access Review. The purpose of the meeting was to better understand the issues publishers are facing alongside any workable solutions, and for publishers to share their view on how to achieve the transition to full and immediate open access. The issues covered were:

Routes and opportunities for transition

- o what are the potential routes to achieve a transition to full and immediate OA (green/gold (including R&P)/other?);
- o what needs to be considered and what promising initiatives are there?

Challenges and opportunities

- o what are the biggest challenges for you in achieving full and immediate OA?
- o what are the most interesting/promising opportunities that you think need taken account of?

Achieving full and immediate open access

- o What are the options, routes and ways forward and what are the considerations?
- o Green open access
    - ▪ what are the issues on licensing and embargos from a publishers' perspective, what are the issues in terms of diversity of publishers and research?
    - ▪ what new developments/promising options are there?
- o Gold open access:
    - ▪ what exemplars are there of successful implementation?
    - ▪ what are the issues that need to be resolved to help make the transition to OA via this route smooth, affordable and sustainable?
    - ▪ how do the recent developments in R&P agreements work/look in terms of different publisher contexts?

Standards and transparency for further re-use and management of costs

- o what standards enable further re-use and what is practical/desirable?
- o how can publishers identify services offered an provide transparency on costs

This meeting note provides an unattributed summary of views and issues discussed. The views summarised are those of participants in the roundtable, the views are not representative of the whole group and do not necessarily reflect the views, priorities and policies of UKRI.

Further information about the UKRI OA Review can be found on our website: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

Meeting Summary

1. UKRI Open Access Review

Attendees were welcomed to the workshop and informed reminded that the main purpose of the workshop was to provide an opportunity for publishers to bring issues to UKRI's attention and to provide an opportunity for UKRI to update participants on the review process.

Professor Wingham updated attendees on the schedule of the Open Access Review, the timetable has been altered to allow for a nine-week public consultation with the intention to launch this in Autumn 2019. The consultation will comprise a draft proposal intended to generate discussion of UKRI's position. The outcomes of the consultation will feed into the policy. This consultation will take a similar form to those previously undertaken on the Research Excellence Framework. Professor Wingham clarified that while UKRI is undertaking an evidence based approach and a consultation the policy is not a regulatory change and nor is it imposed by primary or secondary legislation and therefore the same burden of evidence is not applicable.

Professor Wingham informed participants that UKRI has undertaken extensive engagement activities with stakeholders and are also seeking alignment with other government departments. Workshops have been held to address specific areas, for instance, copyright and licensing and metadata. To date all engagements had demonstrated there was no sensible middle ground for the OA policy and it should therefore be seeking full and immediate OA for research articles. The three key aspects for policy development being considered are:

a) Permissibility: UKRI is considering the extent to which the policy should be permissive and to date UKRI is inclined towards a permissive policy. A permissive policy is one where the output and outcome are defined rather than the process by which it is achieved
b) Time: how much time is required to transition to open access
c) Cost: how much should the research sector pay, noting that there are some top-down questions around the proportion of the science budget and value for money.

2. Perspectives from the Publishers Association and the Association of Learned and Professional Society Publishers on aspects that need to be considered in transitioning to OA, promising models/approaches that have arisen recently

The PA raised the following concerns:

- Sustainability: Publishers' role in the research sector, includes managing peer review, publishing, disseminating, archiving and exporting research outputs. Journals must be sustained for science knowledge. The research publishing industry is an employer within the UK job market which must be sustained. Publishers are supportive of open access but urge

this must be done in a sustainable manner to allow adoption of sustainable business models.

- International: The UK is a world-leading producer and exporter of research and export revenues may be put at risk. PA raised concerns of the likelihood for UK researchers to pay subscriptions to access research produced internationally and therefore be at a disadvantage.
- Disciplinary differences: Different disciplines have different requirements and levels of funding, noting rebalancing of funding is out of scope
- Volume: more research is being produced globally and this has an impact on costs and is relevant to research incentives
- Time and transition costs: The transition would require time to allow opportunity for publishers to negotiate transformative agreements. It was also noted infrastructure costs are payable by publishers.to their suppliers, which may not be flexible.
- Author choice: Authors should have the choice of where they wish to publish and under what license.
- Monographs: How will monographs fit into UKRI policy?

The Association of Learned and Professional Society Publishers (ALPSP) agreed with concerns raised by PA and raised the following additional concerns:

- Diversity: ALPSP represent diverse members and highlighted smaller publishers and self-publishing societies will be disadvantaged by an unsustainable shift in policy. UKRI agreed to follow up with ALPSP to identify specific issues faced by small publishers
- Funding for publishing: Not all disciplines have access to funding for publications, for instance, Arts, Humanities and Social Sciences, as well as medicine. Additionally, not all researchers receive funding to conduct and publish research.
- International: In low and middle-income countries a large number of researchers don't receive funding to conduct and publish research. As the majority of ALSPS members publish internationally, the UK would potentially be at a disadvantage as the first to transition to full open access.
- Infrastructure: OA infrastructure is expensive and smaller organisations can be disadvantaged in negotiations
- Transformative deals: Different publishers, particularly small publishers, have different experiences negotiating transformative deals. These are usually for a period of two or three years thereby giving rise to challenges in renewing the agreement. Transformative deals require time to negotiate and smaller publishers have less negotiating power than larger publishers and may not be party to broader negotiations. It was noted these aspects are beyond a funder's control and give rise to commercial areas of sensitivity.
- Routes to Open Access – There is a preference among publishers for Gold open access, however this requires more funding, including quality related (QR) funding. Green Open Access does not resolve the issue as multiple versions may be uploaded on multiple platforms. This has the potential to undermine the version of record. The version of record should be Open Access
- Higher Education Institutions: Open access requires more incentive structures within institutions.
- DORA: How will DORA help change focus on high impact journals and ensure the best research is captured?

3. Discussion: Routes and Opportunities for Transition

Key points highlighted during the discussion were:

- Although publishing is a global industry, the UK is a relatively small player within it and therefore this issue is buffered by other countries. Internationally, university consortia are increasingly entering open access agreements. A permissive approach caters for a mixed market.
- Costs to publishers for delivering open access and not subscription access are similar.
- Small publishers face greater risks than larger publishers for time and cost to adjust business models. UKRI invited specific issues and evidence to inform the policy and allow UKRI to identify practical steps that can be taken to mitigate these.
- The open access policy is very much about public benefit for public funding, it is not a vehicle for cultural change. However, UKRI are involved in broader activities to facilitate culture change and have signed up to DORA.
- UKRI welcomed information on sustainability, particularly what needs to be sustained and what is required to sustain it.
- UKRI encouraged stakeholders to respond to the consultation with practical options and alternatives to the propositions in the consultation document to help identify solutions
- Participants recommended continuing diversity of models, for instance, a policy that is permissive of subscriptions and article publishing charges (APC). UKRI in turn welcomes further information on open access and non-open access income to understand the value for money argument.
- The Department for Business Energy and Industrial Strategy (BEIS) are concerned with wider economic issues. Participants noted UKRI have reset deadlines to allow stakeholders to provide evidence and workable proposals via the consultation to support and transition.
- UKRI are keen to work with publishers and other stakeholder groups, this is demonstrated by projects currently underway seeking to develop ways to transition to OA for society publishers.

4. Discussion: what are the biggest challenges in achieving full and immediate open access and what opportunities need to be taken account of

Key points highlighted during the discussion were:

- Supporting transformative deals is resource intensive therefore publishers are not inclined to place an end date on transition, in turn allowing libraries and publishers time to make commitments and changes to honour these commitments is required. There is a risk otherwise for penalizing the sector for supporting open access.
- Each agreement is unique and therefore publishers have multiple different versions to contend with.
- International deals require both negotiations to new agreements and transition of current agreements, and each university consortia are different. In addition, there are challenges

due to differences in distribution of funds in institutions, depending on nature of research intensiveness.

- Institutions should be encouraged to strategically manage funds to complement open access policy.
- Subscriptions from other sectors is a major source of income for some journals, for instance pharmaceutical industry for medical journals. A transition to full and immediate open access impacts the ability of a publisher to sustain publishing the research. UKRI welcomed more detailed information on risk to publishers' revenue in the consultation.
- Some participants recommended a conditional timeframe for transition whereby publishers may transition a proportion of their portfolio.

5. Discussion: achieving full and immediate open access

David Ross, Sage Publications, delivered a presentation on Green open access with zero or short embargo periods up to six months. Participants discussed the issues of author accepted manuscripts (AAMs) that are published in repositories perhaps being sub-optimal to the version of record published in the journal. It was noted, often there is little difference between the two versions because of new developments in authoring tools. Sage reported availability of AAMs publicly had no impact on journal subscription, however participants highlighted available journals may not be sustainable if this approach was widely adopted. Participants also highlighted there are risks in depositing research under a CC BY license under zero embargo. Some publishers therefore only allow CC BY NC or NCC BY ND licenses. A publication under a CC BY ND license may be commercially utilised by third parties. It was noted that UKRI has a preference for research to be used by third parties upon publication. Additionally, discussion highlighted that Green open access sustains an older way of publishing therefore might prevent innovation. Publishers informed UKRI they have data evidencing researcher preference for NC models. UKRI invited publishers to share this information in the consultation.

Carrie Webster, Springer Nature, delivered a presentation on Gold open access. highlighting transformative deals in different countries have led to large proportions of international researchers adopting open access. OA articles in hybrid journals resulted in an increase in citations and downloads but it was noted that this was possibly due to the journal recognition. Difficulties arise due to different preferences of different funders, as well as different levels of enforcement in difference countries. Increasing knowledge and awareness among researchers of the different routes to open access and the and benefits of open access is crucial. This is activity that Springer Nature undertake alongside their OA agreements. Open Access however continues to be viewed as an expense, disincentivising researchers from publishing multiple papers on projects due to individual APCs per paper. Participants considered when an OA options should be presented to authors in the submission process and perhaps if it was further upstream it would help influence their choices to publish OA, there was some discussion around whether there could be some agreed standards on this.

6. Discussion: Development towards standards and transparency for further re-use and management of costs

The value publishers bring to the research process needs to be better articulated to demonstrate how costs are determined and the value for money. There are however different price models between different publishers. Some publishers offer a variation of prices dependent on the service provided, inclusive of the different journals in their offering. There is no fixed cost to open access and participants opposed the introduction of a fixed cost and/or cap. It was noted the UK position in cOAlition S discussions has been that it is preferable to find other ways to achieve value rather than price caps on APCs.

It was noted any evidence publishers submit will be taken into consideration for the review. While there is an intention to launch the review in Autumn, the consultation requires ministerial approval and in the current political climate this may impact the consultation timetable. It was also noted that UKRI are keen to work with stakeholders to identify supporting interventions that might be needed for implementation.

7. Next Steps

Participants noted UKRI will continue its engagement activities both prior to and during the consultation. Participants encouraged UKRI to:

- Engage with Metadata2020 and other industry groups around technical standards
- Participants could provide generalised cases in the consultation
- Reporting standards: Refer to data collected by CCC on APC payments made in the UK
- UKRI to engage further with publishers on specific issues faced by small publishers beyond the abstract, with consideration to diversity of read and publish models.

UKRI encouraged participants to:

- Provide further information on sustainability, particularly what needs to be sustained and what is required to sustain it
- Provide further information on open access and non-open access income
- Share data on evidencing researcher preference for CC BY NC licensing models
- Provide detailed information on risk to publishers' revenue via the consultation.

Appendix 1 – Agenda

09:30 – 09:35	**Introductions and objectives for the meeting** – Duncan Wingham
09:35 – 09:45	**Update on UKRI Review** – David Sweeney and Duncan Wingham
09:45 – 09:55	**Perspectives from PA and ALPSP on aspects that need to be considered in transitioning to OA, promising models/approaches that have arisen recently** – Emma House, PA and Wayne Sime, ALPSP

09:55 – 10:25	**Discussion, Routes and Opportunities for transition**
	– Chaired by Duncan Wingham
	
	    o what are the potential routes to achieve a transition to full and immediate OA (green/gold (including R&P)/other?);
	    o what needs to be considered and what promising initiatives are there?

10:25 – 10:30	**Closing Remarks** – Duncan Wingham
10:30 – 11:00	**Break**

11:00 – 11:20	**Open Discussion and Written Exercise**
	– Chaired by Rachel Bruce, UKRI
	
	    o what are the biggest challenges for you in achieving full and immediate OA?
	    o what are the most interesting/promising opportunities that you think need taken account of?

11:20 – 12:20	**Achieving full and immediate OA:** What are the options, routes and ways forward and what are the considerations?
	  – Chaired by Emma House, PA
	
	    a) Green open access
	        ▪ what are the issues on licensing and embargos from a publishers' perspective, what are the issues in terms of diversity of publishers and research?
	        ▪ what new developments/promising options are there?
	    b) Gold open access:
	        ▪ what exemplars are there of successful implementation?
	        ▪ what are the issues that need to be resolved to help make the transition to OA via this route smooth, affordable and sustainable?
	        ▪ how do the recent developments in R&P agreements work/look in terms of different publisher contexts?

12:20 – 12:50	**Open Discussion and Written Exercise: Development towards standards and transparency for further re-use and management of costs.** – Chaired by Rachel Bruce, UKRI

	o what standards enable further re-use and what is practical/desirable? o how can publishers identify services offered an provide transparency on costs
12:50 – 15:00	**Next steps and close** **–** Rachel Bruce, UKRI

Appendix 2 – List of Participants

Amy Price	Publishers Association
Andy Redman	Oxford University Press
Carrie Webster	Springer Nature
Catherine Hill	British Ecological Society
Chris Bennett	Cambridge University Press
Claire Redhead	Open Access Scholarly Publishers Association
Dan Conway	Publishers Association
David Ross	Sage Publications
Deborah Dixon	Oxford University Press
Emma House	Publishers Association
Leon Howard-Mills	Informa Plc.
Liz Ferguson	Wiley
Malavika Legge	Portland Press Ltd.
Mark Purvis	IOP Publishing
Niamh O'Connor	PLOS
Roheena Anand	Royal Society of Chemistry Publishing
Victoria Eva	Elsevier
Victoria Gardner	Taylor and Francis Group
Wayne Sime	Association of Learned and Professional Society Publishers

UKRI

David Sweeney	UKRI, Open Access Champion and Executive Chair, Research England
Duncan Wingham	UKRI, Open Access Champion and Executive Chair, NERC
Rachel Bruce	UKRI, Open research team
Ben Fitton	UKRI, Analysis team
Sara Ball	UKRI, Open research team
Tahia Zaidi	UKRI, Open research team

Appendix 3 – Presentation, Springer Nature

Transformative deals have achieved real progress

2013 ———→ 2017

28,000 gold articles
published by Springer Nature (SN)

35%
of UK SN articles published via gold OA

17%
of all SN articles published via gold OA

77%
of UK SN articles published via gold OA

30%
of all SN articles published via gold OA

GOLD OPEN ACCESS IN THE UK: SPRINGER NATURE'S TRANSITION

https://doi.org/10.6084/m9.figshare.6230813.v1

Hybrids have been key to OA growth

Between 2013 and 2017…

Fully OA journals:
89%
increase in SN articles published (2,355 to 4,445)

VS

Hybrid journals:
463%
increase in SN articles published (594 to 3,908)

OA funding and supportive UK policies have enabled an OA transition among Springer Nature UK authors:

- We have published almost **28,000 gold OA** articles with a UK corresponding authors since 2013
- In 2017, **77%** of all Springer Nature articles with UK corresponding authors were published via gold OA, compared with **30%** of all SN articles
- Springer Compact has been crucial to hybrid OA growth in the UK, publishing 3000+ OA articles in first year of the Jisc agreement
- High levels of OA in Springer Nature publications have also been achieved in other countries with Springer Compact agreements: Austria (**73%**), the Netherlands (**84%**), and Sweden (**90%**)

SPRINGER NATURE

Transformative deals

" Hybrid publication can, when approached strategically, be used to achieve a real transition to OA "

— Chris Banks, Assistant Provost (Space) & Director of Library Services, Imperial College London

We have developed and successfully implemented **"Publish and Read" deals based on OA**, hybrid and society subscription journals over the past five years.

We have **transformative arrangements** in place with: The Netherlands, Austria, Sweden, Hungary, the UK, Finland, Poland, Max Planck Institute and Qatar

High levels of OA up take
In 2017, countries with these agreements showed high levels of OA publication: Austria 73%, UK 77%, Netherlands 84%, Sweden 93%

Hybrid OA plays a critical role in supporting the transition to OA

A significant advantage for open access (OA) articles
On average:

4x more downloads
of OA articles than non-OA articles

1.6x more citations
of OA articles than non-OA articles across all subjects

2.5x more Altmetric attention
OA articles attracted 1.9x more news mentions and 1.2x more policy mentions
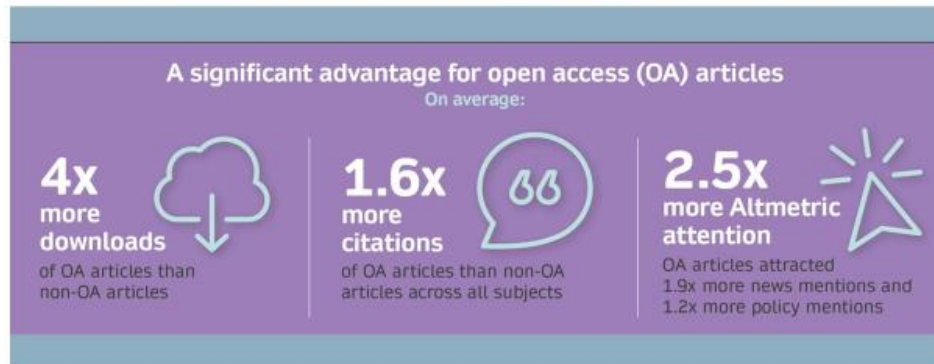
- Of SN's 2017 gold OA articles with UK corr. authors:
  - **53%** were in fully OA journals
  - **47%** were published hybrid journals

https://doi.org/10.6084/m9.figshare.6396290

SN Presentation title / date

SPRINGER NATURE

BUT demand remains an issue – from authors

Increasing the evidence base around the benefits of OA and promoting them to the researcher community

Low awareness amongst researchers about the benefits of OA
OA is not a primary driver for publication decision

What were the three most important reasons for choosing to submit to the journal XYZ?

■ Funded by cOAlition S, EU and ERC   ■ All authors
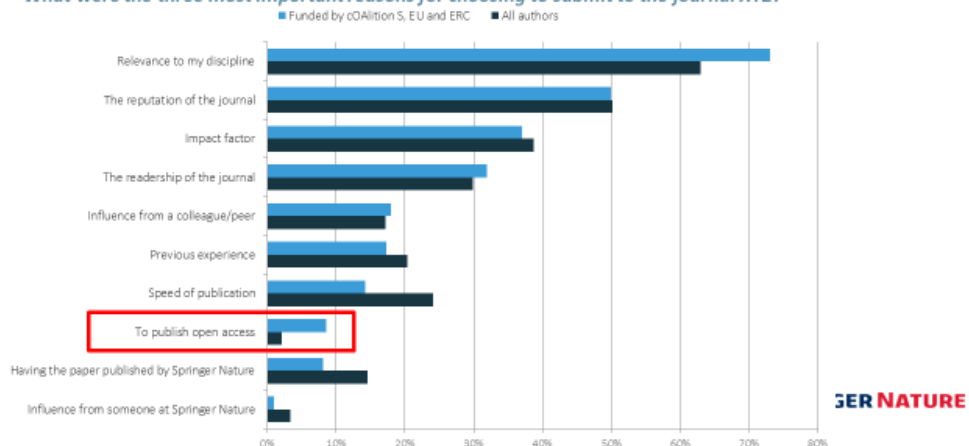
GER NATURE

And funders...

OA funding and policies vary regionally, and there is also fragmentation within regions

EUROPE: Desire for an OA transition, with strong support for gold OA from some (not all) funders

N. AMERICA: National funders focusing on green OA deposition but Gates Foundation pro- gold

CHINA: funders support mixed green and gold but little enforcement of OA requirements

National research council policies

- OA mandate + dedicated APC funding
- No mandate, dedicated APC funding
- OA mandate + APC funding via research grants
- Green OA (self-archiving) mandate, no APC funding
  National OA repository scheme

International

OA mandate and APC funding: European Commission, ERC, GRC, WHO

OA funding and policy update / Nov 2018

SPRINGER NATURE

A FASTER PATH TO AN OPEN FUTURE

We believe research should be open to all as soon as possible, so that it can be read, used and built upon.

Why? Because open access articles

are cited more	36% more citations
are downloaded more	269% more downloads
have greater broader impact	251% higher Altmetric scores (1)

But the transition to open access isn't moving fast enough

We have a growing **supply...**
OA option on over 2500 Springer Nature journals (2)

but not sufficient **demand**
OA ranked 8th out of 10 factors when selecting a journal (1)

How can we ≡ACCELERATE this?

How can this be addressed?..

"While we [publishers] cannot force change upon researchers, institutions, and research funding bodies, we can move from being an _enabler_ to being a _driver_ of the OA transition"

Steven Inchcoombe

TRANSFORMATIVE PUBLISHING

Increasing the number of read & publish deals

and **transforming** journals to act as a catalyst for change

putting **transparency** and **promotion** of OA benefits at the heart of what publishers do

+ **Speeding up the** transition
+ **Increasing** supply
+ **Driving** demand

SPRINGER NATURE   #openingupresearch

SPRINGER NATURE

Holiday Inn – Oxford Circus, Welbeck St, London W1G 9BL

Background

The UK Research and Innovation (UKRI) held a meeting on 15th August 2019 to gather views on repositories to inform its Open Access Review.

This meeting note provides an unattributed summary of views and issues discussed at the workshop. **To note: the views summarised are those of participants in the workshop, the views are not representative of the whole group and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI Open Access Review can be found on our website: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

Attendees

Anna Clements	University of St Andrews; euroCRIS
Anne Horn	University of Sheffield
Cat Ball	Department for Health and Social Care
David Prosser	RLUK
Gavin Swanson	Cambridge University Press
Josh Brown	CrossREF
Masud Khokhar	University of York; SCONUL
Melissa Harrison	eLife
Michelle Double	University of Leeds
Michelle Ide Smith	European Bioinformatics Institute
Neil Jacobs	Jisc; Plan S
Nicola Dowson	Open University; UKCoRR
Rachel Bruce	UKRI
Robin Green	University of Warwick; RLUK
Sara Ball	UKRI
Sarah Slowe	University of Kent
Steven Vidovic	University of Southampton
Tahia Zaidi	UKRI
Tom Drake	Department for International Development
Torsten Reimer	British Library
Valerie McCutcheon	University of Glasgow

Agenda

10:30 – 11:00	Tea and Coffee	30 min
11:00 – 11:10	Introductions and objectives for the workshop - Rachel Bruce	10 min
11:10 – 11:20	UKRI Open Access Review - Sara Ball	10 min
11:20 – 11:35	Neil Jacobs & Josh Brown: the repository landscape – a national perspective *How does it work now, what needs fixed to support open access management discovery and re-use? What UKRI could do in an OA policy.*	15 min
11:35-11:45	Valerie McCutcheon: repositories – an institutional perspective *How does it work now, what needs fixed to support open access management discovery and re-use? What UKRI could do in an OA policy.*	10 min
11:45-1200	Open Discussion - Chaired by Rachel Bruce	15 min
12:00-13:00	Technical standards and requirements for repositories 10 min introduction – Sara Ball Discussion in small groups (50 mins): Using the Plan S technical requirements as a starting point, discuss the following questions:	1 hour

	- Are there any standards missing from the list (e.g. from metadata workshop or UUK recommendations)? - What do you think each of the requirements support (e.g. discovery, reporting etc.)? - How far are they currently implemented (high/med/low)? - How easy would it be to mandate in a UKRI OA policy and are there any implications in terms of time / development needed? - Can you prioritise the requirements in terms of most-least important and / or 'nice to have'?	
13:00-13:30	Lunch	30 min
13:30-14:10	Technical standards and requirements for repositories (continued) Reconvene to identify and discuss differences between groups. - Chaired by Rachel Bruce and Sara Ball	40 min
14:10-15:10	Supporting actions for the management and / or development of repositories 10 min introduction – Rachel Bruce Discussion in small groups around the following (30 mins): Based on the current model of institutional and subject repositories, are there further actions UKRI could take to support the capacity of the OA community in managing / developing repositories? Or other actions to support OA, deposit, discoverability, sustainability, preservation, improved efficiency in workflows, or integration of systems? What role could UKRI take in the exploration for a national repository and / or other promising initiatives for developing repositories? Within this, key considerations could be: • Where does the responsibility lie? • What should be national versus local? • How should we build on what is already in place and reduce duplication? Groups to report back, followed by open discussion (20 mins)	1 hour
15:10-15:20	Break	10 min
15:20-15:50	Further Considerations (open discussion) Are there any other considerations to ensure the UKRI OA policy is compatible with the wider open research agenda and other systems and workflows, including publishers, funders and institutes? Are there other functions of repositories we need to ensure are considered, or are there opportunities to lever other research priorities?	30 min
15:50-16:00	Close of Meeting - Rachel Bruce	10 min

Meeting note

Introduction and objectives

- A non-attributed note of the meeting will be made and shared with attendees, however, evidence gathered as part of the review will not be published while the policy is still in development.
- UKRI are happy to receive additional input and evidence.
- Repositories are being considered as a potential route to full and immediate access for the new UKRI policy. This workshop will inform the position that UKRI will consult on, and the questions asked.

Presentations

- Sara Ball gave an update on the UKRI OA Review (Annex 1)
- Neil Jacobs and Josh Brown presented on the repository landscape from a national perspective (Annex 2)
- Valerie McCutcheon presented on repositories from an institutional perspective (Annex 3)

Key points from open discussion on the presentations

- Interoperability between the different systems (e.g. repository and publisher, and between different repositories) is key for a successful policy.
- Several members felt that currently there is a lack of momentum, coordination and leadership in the UK around repositories.
- Members noted that timescales for implementing change in the current repository landscape can be slow, for example because it requires negotiations with system vendors. It is also important to consider how the landscape will change e.g. negotiations with preprint services in the future. This is something that a national infrastructure could address.
- The focus for UKRI is to develop the OA policy with an eye on the future. This is a transition and UKRI are open to supporting key parts of infrastructure, but some aspects might be for the future and not directly linked to this OA review
- The peer review manager systems represent another key service it might be useful to engage with on this topic.
- Some members raised concerns that key aspects of infrastructure have a high level of fragility.

Technical standards and requirements for repositories

- Based on the Plan S technical requirements the group discussed the following questions in breakout groups then came together to discuss and reach a consensus, which is summarized in the tables below.
    - What do you think each of the requirements support?
    - How far are they currently implemented?
    - How easy would it be to mandate in a UKRI OA policy and are there any implications in terms of time / development needed?
    - Can you prioritise the requirements?
- The group was also asked to identify aspects missing from the Plan S technical requirements. The following points were raised:
    - Preservation / retention should be considered, as a minimum at the policy level.
    - Consideration for other forms of research outputs that repositories support i.e. whatever is supported for OA needs to take account of the wider set of needs and functions
    - Version identification tags (e.g. NISO) in the metadata
    - Explicit recommendations around the use of publication router
    - The sustainability of RIOXX or similar application profile.
    - GDPR considerations

The summary tables 1 and 2 represents the outcomes of the group's discussions and considerations.

Key points raised around supporting actions and wider considerations

- A national infrastructure could help support OA and other aspects of open research and the wider research system e.g. a single system for metadata which could interface with other systems, or a CRIS type infrastructure. It would be very important to consider what the objectives are e.g. discoverability, preservation. There is potential to build on what is already in place.
- Important considerations for a national infrastructure are to ensure it would cater to the diversity of stakeholders and consider what the cost to them would be. For example, for many research-intensive universities the repositories are integrated with other institution systems and so moving towards national solutions might prove difficult. It is also important to consider how international organisations can collaborate, and that it is integrated at the right stage of the research workflow.
- There is also the view that many repositories are established and some form of network that interoperates is required rather than a simple one stop shop. Considerations include should a national repository infrastructure serve interoperability and effective workflows but perhaps a repository is for a sub set of institutions that don't have the provision etc. In addition, any provision needs to take into account that currently repositories deal with more than papers.
- However, repositories may not need national investment if minimum standards are defined and the market responds to this. Or investment could be made into collaborative approaches e.g. White Rose.
- Investment in Sherpa (or Sherpa-like services) would be valuable.
- Communicating with stakeholders is a key supporting action, for example, Jisc mail lists could be used to update researchers and the community.
- Leadership and coordination of activities is currently not present and is a key supporting action.
- Monitoring and compliance should be considered as part of the policy development, and not be an afterthought. UK-SCL was mentioned as a means to comply via the repository route.

Table 1. Mandatory criteria in the Plan S technical requirements

Criteria	What does it support?	How far is it currently implemented (high/med/low)?	How addressed in the UKRI policy and considerations in terms of time / development needed.	Priority (high/med/low or nice to have)?
The repository must be registered in the Directory of Open Access Repositories (OpenDOAR) or in the process of being registered.	• Discoverability • Validation • Reassurance • Systematic reviews • Trust	High - most are registered already	Should be included as a requirement for repositories and this would be easy to do.	HIGH
Use of PIDs for the deposited versions of the publications (with versioning, for example in case of revisions), such as DOI (preferable), URN, or Handle.	• Consistency and interoperability • Discovery and reporting • Support FAIR principles • Long-term persistence • Avoid duplication	Med-high but not implemented to a high standard (clunky).	Unclear – further development and clarity required e.g. definitions, how versioning will be considered, and the role of publishers. Not easy to implement.	HIGH
High quality article level metadata in standard interoperable non-proprietary format, under a CC0 public domain dedication. This must include information on the DOI (or other PIDs) both of the original publication and the deposited version, on the version deposited (AAM/VoR), and on the Open Access status and the license of the deposited version. Metadata must include complete and reliable information on funding provided by cOAlition S funders (including as a minimum the name of the funder and the grant number/identifier).	• Findability • Discoverability • Access • Tracking • Integrity • Re-use • Meta analyses • Efficiency	Medium – depends on the MD in question	Unclear – further clarity around definition of 'high quality MD' needed as there are currently no agreed standards. The RIOXX Metadata Application Profile could help here – it focuses on applying consistency to metadata fields. Not easy to implement as there are multiple owners - not a repository-specific consideration.	HIGH
Machine readable information on the Open Access status and the license embedded in the article, in standard non-proprietary format.	• Re-use, TDM • Finding license	Low	Further clarity needed about whether this relates to the metadata or the full text. For the metadata this would be easy to implement, but there would be challenges for implementation in the full text, particularly when the upload is not from the publisher. UKSCL could provide opportunities as rights would be retained and therefore a repository could apply the information on the OA status and the license.	HIGH

Criteria	What does it support?	How far is it currently implemented (high/med/low)?	How addressed in the UKRI policy and considerations in terms of time / development needed.	Priority (high/med/low or nice to have)?
Continuous availability (uptime at least 99.7%, not taking into account scheduled downtime for maintenance or upgrades).	• Access • Reliability	High but not 100%	This might be difficult for smaller organisations to achieve.	Nice to have – best practice. Would move to highly recommend rather than mandate.
Helpdesk: as a minimum an email address (functional mailbox) has to be provided; a response time of no more than one business day must be ensured.	• Support	Medium	This might be difficult for smaller organisations to achieve. Further clarification needed around what constitutes a response. Could link to wider research information management.	Nice to have – best practice. Would move to highly recommend rather than mandate.

Table 2. Recommended criteria in the Plan S technical requirements

Criteria	What does it support?	How far is it currently implemented (high/med/low)?	How addressed in the UKRI policy and considerations in terms of time / development needed.	Priority (high/med/low or nice to have)?
Manuscript submission system that supports both individual author uploads and bulk uploads of manuscripts (AAM or VoR) by publishers.	• Efficiency • Flexibility	Medium	Not a specific repositories issue since some aspects are outside their control. It is a question around feasibility, and mechanisms such as Jisc router provide opportunities. Therefore, unclear how easy this would be to implement. Suggest rephrased to use manuscript upload system instead of submission system, and to delete the word 'author'.	For individual uploads – HIGH For bulk uploads – nice to have
Full text stored in a machine-readable community standard format such as JATS XML.	• Re-use, TDM • Tracking • Preservation • Visualization • Adaptability	Low for JATS XML	For JATS XML this would be difficult to implement. There would need to be investment in shared tools / services to help bring this into repositories. Other considerations include publishers outsource this to service providers, and what would be the costs to the sector. JATS XML is not a community standard. TO NOTE: it did emerge as a requirement on publishers in the recent UKRI metadata workshop, as if publishers made this available it could help with a lot of re-use and metadata issues.	LOW (see note in previous column)

Criteria	What does it support?	How far is it currently implemented (high/med/low)?	How addressed in the UKRI policy and considerations in terms of time / development needed.	Priority (high/med/low or nice to have)?
Support for PIDs for authors (e.g., ORCID), funders, funding programmes and grants, institutions, and other relevant entities.	• Interoperability • Discoverability • Also as above FAIR elements	High for researchers, low for the rest	Needs clarity that the requirement here is that the repository can handle PIDs, and not a mandate to use them. For author PIDs this would be easy to implement, for others this might require more work since they are less well developed.	HIGH, with an indication that this would move to a mandate in due course.
Openly accessible data on citations according to the standards by the Initiative for Open Citations (I4OC).	• Impact • Collaboration	Low	This is not a repository-specific issue and would require working with publishers to progress. There is a dependency on JATS XML and registering using crossref schema.	LOW
Open API to allow others (including machines) to access the content. A compliant API must be free to access without any barrier. A light authentication mechanism such as a token for 'power users' – e.g., high-traffic collaborators – is acceptable as long as there is a totally open/anonymous route too.	• Re-use • Disciplinary • Interoperability • Efficiency	Low-medium	Subject to further clarification, this would be easy to implement. Further clarification would be needed to ensure that everyone is using the same language when referring to APIs, for example, would OAI-PMH suffice? COAR might be useful here. GDPR would need consideration.	HIGH
OpenAIRE compliance of the metadata.	• Discovery • Reporting	Low-medium	This would not be onerous, but further clarity required around the value and benefit of this. This could go further with the addition of compliance with RIOXX as something that is more geared to the UK and implemented in the UK. This aligns with the recommendations from the metadata work shop.	HIGH – could consider making this mandatory

Criteria	What does it support?	How far is it currently implemented (high/med/low)?	How addressed in the UKRI policy and considerations in terms of time / development needed.	Priority (high/med/low or nice to have)?
Quality assurance processes to link full-text deposits with authoritative bibliographic metadata from third party systems, e.g., PubMed, Crossref, or SCOPUS where feasible.	• Quality metadata	Medium - large repositories will have this.	Further clarity would be required around what constitutes 'quality assurance processes' and how this is not already addressed by the requirements above. This is not a repository-specific issue.	Nice to have

UK Research
and Innovation

UKRI Open Access Review

Repositories Workshop

15th August 2019

UK Research and Innovation

- Brings together seven Research Councils, Research England and Innovate UK

- Combined budget of more than £7 billion

- We work with partners to benefit everyone with knowledge, talent and ideas

Delivering UKRI's vision and the Government target of 2.4% of GDP spend

Deliver economic impact

Create social and cultural impact

Push frontiers of human knowledge and understanding

Foundations for excellent research and innovation

Best environment for research and innovation

Trusted and diverse system

Leading talent

Global Britain

Infrastructure

UKRI as an outstanding organisation (corporate plan)

UK Research
and Innovation

UKRI and open research

Foundations for research and innovation

- **Open access**: publicly funded research should be widely and freely accessible to all as soon as possible, under conditions that allow maximum re-use

- **Open data**: research data should be made openly available in a way that is legal, ethical, and maximises economic impact.

UK Research
and Innovation

UKRI OA policy instruments

UK Research
and Innovation

Plan S

cOAlition S

**Making full
and immediate
Open Access
a reality**

A DECLARATION OF COMMITMENT
BY PUBLIC RESEARCH FUNDERS

"With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo."

www.coalition-s.org

UK Research
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UKRI Open Access Review

- Always has been a commitment to review and update OA policies from RCUK, and this is usual practice for REF cycles.

- Establishment of UKRI gives rise to the opportunity to review effectiveness and join-up holistically across all parts.

- Plan S is an input to the Review along with other evidence, analysis and stakeholder input.

UK Research
and Innovation

UKRI Open Access Review - scope

- The UKRI Open Access Review concerns open access to formal **scholarly research articles**, peer reviewed **conference proceedings** and **monographs.**

- Concerns the policies of the Councils of UKRI. Also considering how Innovate UK included.

- The open access policy for future REF will be developed in collaboration with HEFCW, SFC and DfENI.

- The current RCUK policy continues to apply over the period of the Review.

- OA policy for outputs submitted to the REF 2021 exercise will not change.

The Spanish Cucumber E. Coli. This genome was analysed within weeks of its outbreak because of a global and open effort; data about the strain's genome sequence were released freely over the internet as soon as they were produced.

https://royalsociety.org/topics-policy/projects/science-public-enterprise/report/

UK Research
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UKRI Open Access Review - objectives

UKRI will review and develop its open access policies to:

- Enhance the **research, societal and economic benefits that can be derived from UKRI-funded research through improving access to research outputs**;

- Deliver **sustainable support for open access and better value for money;**

- Ensure **policy is joined up across UKRI constituent bodies and that it is clear, unambiguous** and as easy as possible to comply with;

- **Encourage** the development of **new models** of open access publishing;

- Support the adoption of open access through **collaboration and alignment with national and international** partners.

UK Research
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UKRI open access review - timeline
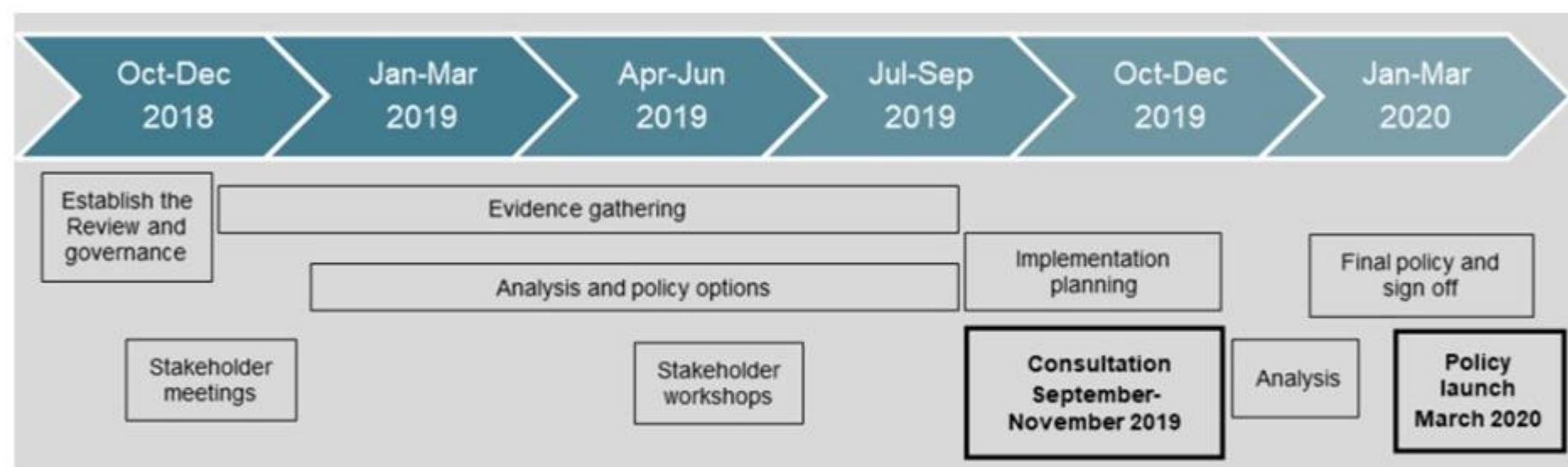
Workshops

- Licensing and copyright retention meeting – 25th June 2019
- Metadata – 26th June 2019
- Researchers – 8th July 2019, and 7th June 2019 as part of an MRC fellows event
- Publishers – 16th July 2019

Further workshops to be held:

- University leaders – October
- Monographs – September

High level framework for evidence

Aims to test options against

Immediately and freely accessible	Maximises re-use (research, social, economic benefits	Value for money & affordability	Sustains confidence in the quality of research outputs	Ease of compliance

Options for change

Policies	Funding	Timing of changes	Harmonisation and divergence in policy across UKRI funding modes
• Route to access • Embargoes • Copyright • Licencing • In-scope outputs	• Amount • Duration • Purpose • Mode	When to impose policies and factors dictating this?	

Facilitating compliance and Open Access uptake

Communication of policy and purpose	Infrastructure & standards	Monitoring, reporting and sanctions	Research Culture	UK & global leadership & collaboration

UK Research and Innovation

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and Innovation

Thank you

@UKRI_CEO
@UKRI_news

www.UKRI.org

The repository landscape from an (inter)national perspective: what works, what doesn't and should, and what opportunities or solutions could we consider?

Neil Jacobs and Josh Brown

We are..

Josh Brown is:

- funder engagement lead at Crossref
- An independent research information infrastructure consultant

Neil Jacobs is:

- interim programme manager at cOAlition S
- head of open science and research lifecycle at Jisc

We are both offering personal views today.

History and landscape

"Modern" repository is 20 years old (Santa Fe convention 1999)

- Most growth in UK repositories was in 2000s; consolidation (or atrophy?) since then?

There are now a lot of repositories and they hold a lot of material

- CORE currently contains 135,539,113 open access articles (13,150,456 full text harvested), from tens of thousands of journals, collected from over 7,115 repositories around the world (though only 5392 show in search of data providers). [other aggregators are available, on a similar scale]

There are now a lot of OA policies that require use of repositories

- ROARMAP lists 333 OA policies worldwide that require both deposit and OA to articles or equivalent
- And there is the REF and Plan S..

OA repositories now underpin large-scale research infrastructure

- European Open Science Cloud (via EuropePMC and OpenAIRE)
- La Referencia (Latin America)

But...

Repositories to serve diverse research and sector

- Institutional
  - provides local autonomy, but fragmentation, often low investment, and poor user experience - sustainable?
- Shared community (cloud / hosted solutions)
  - More cost-effective and better / consistent experience for users, concerns about sustainability and local autonomy
- Cloud commercial (CRIS)
  - More cost-effective and better / consistent experience for users, but less local autonomy, and reservations about control over direction and data
- Centralised
  - good user experience, but little role for institutions or fit with smaller, less funded disciplines
- Global community
  - strong research support, but hard to establish and sustain and not very susceptible to policy
- Global commercial
  - good user experience, but reservations about control over direction and data

Patchwork likely to remain.

Role of policy and funding in improving it? (and what does 'improving' mean?)

Workflows now

Deposit and publishing
- Deposit on acceptance often challenging (->introduction of REF exception from Apr 18)
- Re-keying frequent (journal submission, repository/CRIS...)

Monitoring and reporting
- Funder often not attributed; co-authors' affiliations not easily available
- Re-keying frequent (repository/CRIS, ResearchFish...)

Discovery, access and use
- Downloads per article increasing, averaging well over 200 in PMC (UUK 2017 report)
- Repositories better for discovery than CRIS? (reduced downloads with Pure?)
- Major platforms attempt to present repository contents as data (CORE, OpenAIRE)
  - But this is unreliable and depends on fixing broken data post-hoc
- Annotation, open review, etc, not well handled (COAR NGR..)

Preservation
- Many copies harvested, UK legal deposit web archive at BL; systematic?

Services supporting repositories
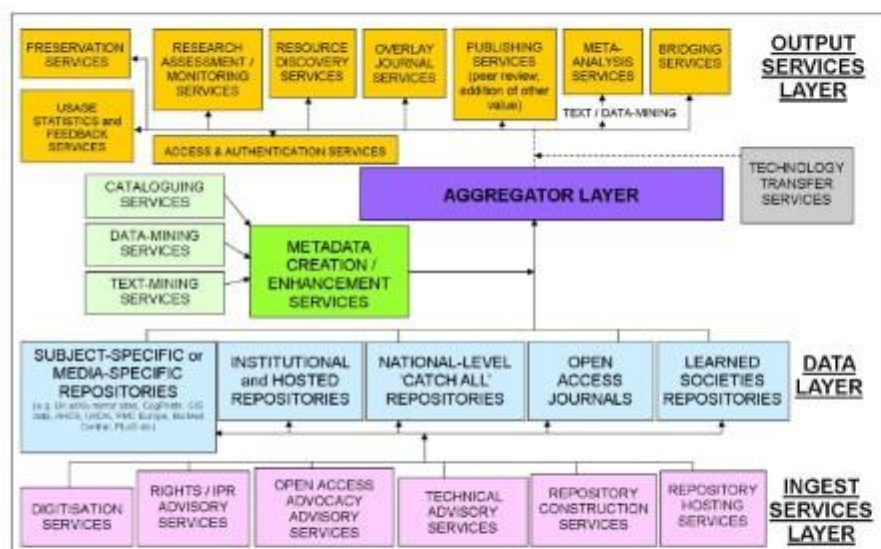
Our vision in 2006
Swan and Awre - https://eprints.soton.ac.uk/264000/

Deposit and publishing
- Publications Router, MECA?

Discovery
- CORE, Unpaywall, Google, ...

Monitoring
- ResearchFish, CHORUS, Jisc Monitor, RIOXX

Preservation
- BL, Portico, DANS, Jisc Open Research Hub...

Persistent identifiers not explicitly mentioned.

What does better look like?

Open infrastructure? / 1

The UKRI review has a wider interest in open research...

1. **For transparency and control**
   i. Principles for Open Scholarly Infrastructures (Lin, Neylon, Bilder)
      - Governance, sustainability, insurance, implementation
   ii. Forum for Responsible Research Metrics, draft principles for research info systems
      - Data collection, access, governance, stability/sustainability, cooperation/competition
   iii. Trusted identifiers (ODIN)
      - Unique, persistent, etc, but also sustainable, membership, open technologies...
   iv. What is a repository (RLUK, SCONUL, ARMA, UKCoRR, Jisc)
      - "A repository is a set of services that a research organisation offers to the members of its community for the management and dissemination of digital materials created by its community members".
   v. others...

Open infrastructure? / 2

The UKRI review has a wider interest in open research...

2. **For functionality** - COAR next generation repositories - behaviours

1. Exposing Identifiers
2. Declaring Licenses at a Resource Level
3. Discovery through Navigation
4. Interacting with Resources (Annotation, Commentary and Review)
5. Resource Transfer
6. Batch Discovery
7. Collecting and Exposing Activities
8. Identification of Users
9. Authentication of Users
10. Exposing Standardized Usage Metrics
11. Preserving Resources

Next Generation Repositories

Behaviours and Technical Recommendations of the COAR
Next Generation Repositories Working Group

November 28, 2017

#nextgenrepositories @COAR_eV office@coar-repositories.org

COAR Building a Global Knowledge Commons

A PID-optimised green OA workflow

1. The researcher registers for an ORCID iD.
2. The researcher shares their iD with their employing institution, which adds employment information (with their own organisation's PID) to their employee's ORCID record.
3. The researcher applies for funding and shares their ORCID iD with the funder during the application process.
4. When the funding application succeeds, the funder registers a PID for the grant, and adds information about the award to the researcher's ORCID record.
5. The researcher completes the project and writes up their findings in an article, which they submit to a journal.
6. The publisher collects the researcher's ORCID iD during article submission and queries the ORCID records for other PIDs and

A PID-optimised green OA workflow

7. The publisher provides a simple interface to help the researcher to confirm links between employment and funding information and the article being submitted.
8. The publisher looks up the funder's open access policy, and what the terms of that policy are.
9. The publisher reminds the researcher that publication in subscription journals will not meet the terms of the funder policy. (Optional)
10. The publisher registers a DOI for the accepted article.
11. Crossref detects the researcher's ORCID iD in the article metadata and automatically updates the researcher's ORCID record with the article citation.

A PID-optimised green OA workflow

12. The funder and employing institutions systems are notified that the researcher has published a new article.
13. The funder and employing institutions send a message to the researcher asking them to deposit their AAM in a compliant repository.
14. The researcher deposits their AAM and verifies the metadata that matches that of the publisher's Version of Record (VoR).
15. The repository registers a DOI or equivalent PID for the AAM and records it as a version of the VoR
16. Reporting systems at the funder and/or institution pull in complete metadata about the AAM, including the funding acknowledgement and links to the VoR, and verify that the open access policy has been fully complied with.

A PID-optimised green OA workflow

Dependencies:

ORCID: Institutions and funders are ORCID members, and have API integration with an institutional/grant management system capables of sharing information with the ORCID registry. Publishers need to have an ORCID integration in their manuscript tracking systems (MTS). MTS will need to resolve the PIDs found in the ORCID record to expand the metadata available to the researcher and publisher and display information from ORCID records, and other data sources like the Crossref Grant ID data or the relevant organisation identifier registry. Institutions, Funders and Crossref/DataCite collect permissions from researchers to add information to their ORCID record.

A PID-optimised green OA workflow

Dependencies:

Grant IDs: Funders to be members of Crossref and have a system in place to register new grants using the API or web form. Publishers and MTSs able to query grant ID system and add grant DOIs to article metadata. Grant metadata to contain policy terms, which are published either directly by funders or via an enhanced SHERPA/FACT service

Content IDs: Publishers and Institutions to be member of Crossref or DataCite (or use a service provider that is) and have a system in place to register new articles using the API or web form.

Reusing PIDs: PIDs for the researcher, organisation, grant etc. to be included in pre-print and article metadata and sent to Crossref/DataCite and aggregators.

A PID-optimised green OA workflow

Benefits:

- Reduced administrative burden for researchers
- Improved data quality for employers and funders
- A better user experience for authors in submitting manuscripts
- More complete coverage in open access repositories
- More complete and timely reporting and compliance checking
- Greater transparency in funding and publishing patterns.

What opportunities or solutions could we consider?

1) International consistency in policy and implementation.
   - National solutions tend to lead to fragmentation, poor levels of implementation, high costs, and poor user experience
   - ->default to international unless there is a *really* good reason not to (and even then…).
     - Current opportunities: Plan S implementation guidance, PIDs, COAR NGR, etc.
   - Discuss among national stakeholders what their best role is in international environment...

What opportunities or solutions could we consider?

2) Improved operational workflows
- Comprehensive adoption of ORCID by all stakeholders (may need membership…)
- Repositories need IDs comprehensively for content (DOIs most used, which requires CR/DC membership)
- Good coverage of OrgIDs; Institutions and Funders need to:
  - Ensure own data is correct in ROR
  - Agree UK lead in ROR governance
- Publishers need to collect and pass on IDs for people, Orgs and funding
- Funders need to use IDs for grants (join Crossref, like WT) and publish grants with IDs for investigators and organisations included in the metadata (in future, with policy info too)

What opportunities or solutions could we consider?

3) National coordinating mechanism:
- National coordination and management of memberships, governance and support: Following established models that unify practitioners and expert support, control costs, oversee budgets, system-level assessments, sharing experience and lessons… e.g. UK ORCID consortium, Jisc Licensing, Research Information Coordination Group..
- Who and what should be included?
  - Participation in critical global infrastructure - ORCID, DataCite?
  - Evolution and governance of critical open platforms and standards
  - Interactions with global entities?

Repositories

Can we fix it?

Valerie.mccutcheon@glasgow.ac.uk
@mccutchv

WORLD
CHANGERS
WELCOME

University of Glasgow

Overview of Glasgow Research Systems

HR System

Finance System

Unique Identifier for Publication early on?

Research System

Institutional Repository

Student System

Research Mapping System & Web Pages
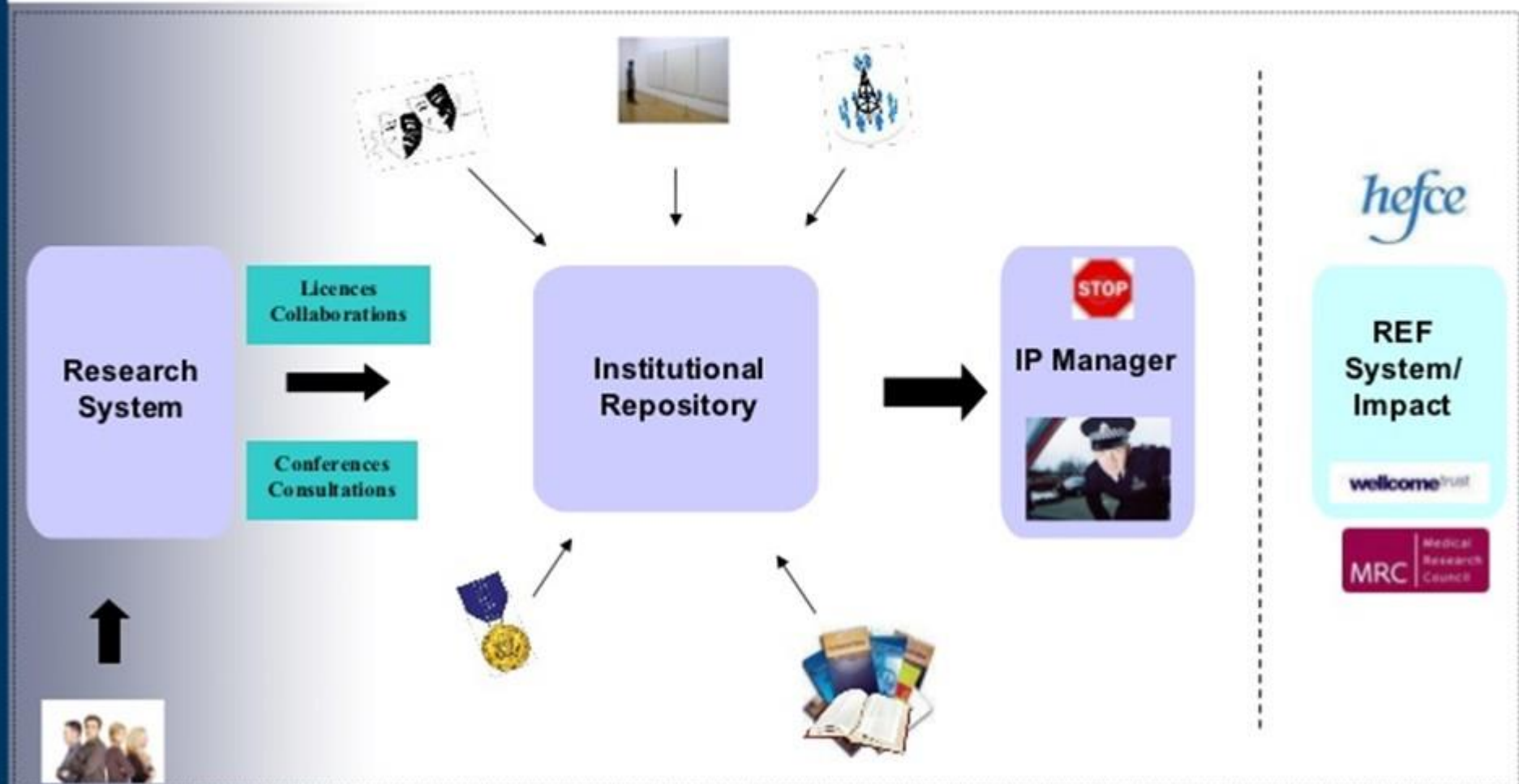
What are the goals?

+ Integrity
https://casrai.org/credit/

+ Environment
…not only for REF…

+ Preservation

Standards - Procedures & Policies

- Publishers

- Research Organisations

- Funders

- Systems

Hard to transfer knowledge.
Hard to engage researchers in the process – confusing…

'I did not know my award number to add to the paper'
'I understood from the publisher correspondence that my organisation would pay'

Collaborative Actions

Standardisation – quick wins?

Learn from Research Data Alliance?

High level diagram?

Do we want a SHERPA like service?

Maintenance

Easier to understand

Standards - Terminology

'Repository'

'CC-BY'

'disclosure',

'green' 'gold'

Collaborative Actions

Discuss
definitions

Happier
stakeholders

Pals

CASRAI

Efficient Information Sharing

- Duplicating similar information in local, subject, and national repositories.

- Do we need to make a PubMed deposit if items are in another repository? Could this be removed from policy requirement?

Robustness

Unpaywall.org and CORE fields being used to verify dates and status

Many questions about the robustness of these

Time consuming, worrying, error prone to pre-check locally

Collaborative Actions

Interoperability

| Publisher | Notification: Metadata & text → | Jisc Publications Router | Notification: Metadata & text → | Repository / CRIS |

- on Acceptance &/or Publication
- includes *publisher's unique article ID*
- plus, if available:
  - DOI
  - Embargo period
  - Full text (e.g. AM or VOR)

Routing based on matching criteria (author affiliation to institution)

De-duplication of notifications must be done by receiving system.

+ deposit date, CRediT, 'actual' publication date, actual gold date
- and so on - and expediently

Define and push outputs to reporting systems

researchfish®

Heavy on resource and minds…

Try some different hats for a winning repository experience?

Can we fix it?

Yes.

Together we can.

get help

play with someone new

ask

share

UKRI Open Access Review Monographs and Book Chapters Workshop – Meeting Note

Thistle City Barbican Hotel, Central St, London EC1V 8DS

Background

The UK Research and Innovation (UKRI) held a meeting on 13th September 2019 to gather views on Open Access to research publications to inform its Open Access Review.

This meeting note provides an unattributed summary of views and issues discussed at the workshop. **To note: the views summarised are those of participants in the workshop, the views are not representative of the whole group and do not necessarily reflect the views, priorities and policies of UKRI.**

Further information about the UKRI Open Access Review can be found on our website:
https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-review/

Agenda

10.00	**Arrival and refreshments**
10.30	**Welcome and overview of OA monographs**
	Helen Snaith, Senior Policy Advisor, Research England
10.45	**UKRI Open Access Review**
	Paul Richards, Senior Policy Advisor, UKRI
11.00	**What might a policy for OA books and book chapters look like?**
	- What does a pragmatic and implementable policy look like? - What particular challenges (e.g. international rights, significant re-use of third-party images) might need to be considered, and how can we overcome these challenges (where possible)? - How might UKRI monitor compliance for a policy on books and book chapters?
11.30	**Open access for book chapters**
	Harriet Barnes and James Rivington, The British Academy
	(Presentation plus 10-minute Q&A)
12.00	**Funding for open access books and book chapters**
	- How can OA books and book chapters be funded? - How do we ensure that the value of the academic monograph is communicated? - Is delayed open access an option for monographs and book chapters, and what might this look like?
12.45	**Lunch**
13.30	**Investment in OA and monographs**
	Community-Led Open Publication Infrastructure for Monographs
	Dr Janneke Adema, Coventry University, COPIM co-investigator.

	(Presentation plus10-mintute Q&A)
14.00	**Workflows and efficiencies in the publishing process** • What does the publishing process look like from an author's perspective and a publisher's perspective? How might funder compliance and institutional requirements fit into this workflow? • How can the sector reconcile the needs of authors, publishers and funders? You might want to create a workflow to illustrate examples of workflows.
14.45	**How can OA for books and book chapters be further developed?** • What would you change about the scholarly publishing system? • What can UKRI and/or other stakeholders do (e.g. in terms of policies, their implementation and communications and supporting OA books and book chapters)? • What incentives can funders, universities and publishers provide to authors publishing open access books and book chapters?
15.25	**Reflections and next steps**
15.30	**Close**

What might a policy for OA books and book chapters look like?

• Participants recommended an OA policy for monographs and books chapters should be simple with a long-term view. It should also be different from the current model for journal articles and conference proceedings.

• Some participants recommend an agnostic policy where an output can comply with the policy through various routes and support different models of funding.

• Suggestions from participants included:
   o Delayed Open Access: Many participants welcomed a delayed OA policy. Some participants however also highlighted some research delay periods could render the research unfit for use by the time it was made OA.

   o Third-party rights: Participants highlighted any policy must account for access to third party content, including archived content, images and visual sources, and archiving third-party content for and re-use.

   o Author approved manuscripts: Some participants noted policy could require publishing outputs in a central repository. Participants also suggested in certain disciplines, previous iterations the research should be made open access.

   o Time: Participants recommended appropriate lead times should be given within the policy for books and book chapters

- Tracking: Some participants suggested mandating DOI. Participants highlighted there are challenges in identification of academic books and book chapters and tracking their usage, as DOIs are currently not widely used.

- Monitoring: using mechanisms such as Researchfish to both link outputs to funders and introduce standards in reporting output types.

- Supporting actions: some participants suggested supporting actions could be utilised to develop open access. These included outreach and advocacy for open access to promote open access to arts, humanities and social science (AHSS) disciplines beyond monitoring and compliance, and educational activities to inform researchers on rights, protections, and permissions on third-party rights, copyright and licenses.

- Some participants also invited UKRI to consider:
  - Sales of books and monographs to international buyers contributes to the research ecosystem and open access could replace this source of income to the sector.

  - Open access is only granted to the digital version of a book or book chapter. Consumers will continue to pay for print versions.

  - What will be different between requirements for the Research Excellence Framework and for UKRI. These should be clarified and communicated.

  - Research outputs can be made available in different forms, beyond traditional forums such as journals and books, e.g. performances and sound clips in creative fields.

  - Cost to both authors and publishers for producing open access books and book chapters. Some delegates advised there should be an opportunity for publishers to make a return on their investment as publishers must commission a whole book or edited collection, which is an expensive process. Participants noted book and chapter processing charges are high.

Open access for book chapters

- Harriet Barnes, Head of Policy – Higher Education and Skills, and James Rivington, Head of Publications, from the British Academy, delivered a presentation on open access books and book chapters, available at Annex 3.

Funding for open access books and book chapters

- Participants suggested a simple and nonprescriptive mandate for funding books and book chapters. Some participants highlighted challenges arise for publishers where multiple funder policies apply to one edited collection of book chapters.

- Participants suggested different models can be utilized to fund OA books and book chapters e.g.:
  - Commitment from universities to fund and disseminate their research.

- Contribution from funders via block grants or supplementary grants for existing grant-holders.

- Book processing charges (BPCs) and chapter processing charges (CPCs) may be a mechanism for financing open access books and edited collections. However, this model may not be employable where a researcher has been invited to contribute. Some participants highlighted these however carry the risk of universities overspending through subscriptions.

- Collective models e.g. Knowledge Unlatched

- Transformative agreements between university consortia and publishers, similar to those for academic journals

- Some participants also highlighted
  - Delayed OA can be utilised to drive sales of books and edited collections

  - Some outputs may easier to support financially than others, e.g. edited collections versus monographs

  - Linking publishing OA to financial incentives will drive the agenda further

  - Metrics may be used show more citations and downloads associated with OA publications to show broader value of an OA monograph

Investment in OA and monographs: Community-Led Open Publication Infrastructure for Monographs

- Dr Janneke Adema, Coventry University delivered a presentation on the Research England funded project: Community-led Open Publication Infrastructures for Monographs (COPIM), available at Annex 4.

Workflows and efficiencies in the publishing process

- Most participants agreed authors may seek to publish open access for purposes of a REF submission, or publishing may be an obligation within their work package.

- Publishing for OA books and edited collections may be driven by author-led projects and initiatives or scoped by publishers or their commercial editors. For greater efficiencies participants suggested a series of activities, UKRI, sector agencies, universities and publishers may employ:
  - SHERPA/SHERPA-like services for books and book chapters

  - Training for researchers in how to engage with publishers

  - Universities need support staff who understand what publishing means

  - Machine readable licenses for OA books and book chapters

  - Clarify who promotes and markets the book, i.e. on social media

- Consider issues of workflow and different technical standards i.e. XML, PDF

- Funders have different policies regarding funding for publications, for research councils this needs to be outlined within a grant application, grant-holders for Horizon 2020 and Wellcome Trust can request funding subsequently.

- Consider mechanisms for overcoming bureaucracy of peer-review

How can OA for books and book chapters be further developed?

- Some participants noted that publishers are often perceived as a proxy for the quality of research they publish. They also noted that there are alternative ways of assessing quality and scholarly value, e.g. in the US, certain library consortia purchase books upon the recommendation of academic societies who assess the quality of the published work. Participants noted learned societies could potentially perform a similar role in the UK for their relevant disciplinary area(s).

- Some participants recommended prior iterations (e.g. pre-prints) of the published product to be available open access before it becomes a retrospective piece of work.

- Participants noted that although sub-panels for the Research Excellence Framework (REF) operate in a publisher-blind manner, this is not perceived to be true within the research community. Some participants recommended making REF assessments more open and transparent will be beneficial to move away from the brand of the journal.

- Participants suggested supporting initiatives like COPIM could help further support open access in AHSS disciplines beyond submissions for REF.

- Participants suggested UKRI could engage with the Department for Digital, Culture, Media and Sport and galleries, libraries and museums (GLAM) sector. to make images available for reuse.

- Some participants suggested utilizing DOIs and PIDs to be used for open access books and book chapters.

- Participants suggested further advocacy and outreach for making research open access, including using case studies for making research open access.

- Some participants suggested UKRI could provide innovation funding to support newer mechanisms; prizes and awards for OA; boosts to future for funding for publishing open access

- Participants suggested the UKRI policy should allow time for culture change towards open access

Annex 1 – Attendees

Allan Williams	Economic and Social Research Council, UKRI
Andrew Lockett	University of Westminster Press
Andy Redman	Oxford University Press
Angelia Wilson	University of Manchester
Anna Grey	University of York
Anne Dixon	Research Councils Libraries and Information Consortium
Anthony Cond	Liverpool University Press
Arthur Smith	University of Cambridge
Bendor Grosvenor	Art historian
Chris Banks	Imperial College London
Chris Pressler	University of Manchester
Dylan Law	Arts and Humanities Research Council, UKRI
Gerard Lowe	Modern Humanities Research Association
Graham Stone	Jisc
Haleema Masud	GuildHE
Hannah Hope	Wellcome Trust
Harriet Barnes	British Academy
Helen Dobson	University of Manchester
Helen Snaith	Research England, UKRI
James Rivington	British Academy
Janneke Adema	Coventry University
Julia Mortimer	Bristol University Press and Policy Press
Leila Moore	Taylor and Francis
Lucy Lambe	LSE Press
Lucy Melville	Peter Lang Publishing
Matt Day	Cambridge University Press
Paul Richards	UKRI
Helen Fulton	University of Bristol
Richard Fisher	Royal Historical Society
Roberta Gilchrist	University of Reading
Ros Pyne	Springer Nature
Sarah Kember	Goldsmiths University and Goldsmiths University Press
Sarah Lewis	University of Wales Press
Sarah Slowe	University of Kent
Stella Butler	Research Libraries UK and SCONUL
Susan Ashworth	University of Glasgow
Tahia Zaidi	UKRI

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A (very brief) overview of open access and monographs

Helen Snaith, Senior Policy Advisor, Research England

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UKRI Open Access Review – Monographs and book chapters workshop

Friday 13 September 2019

Overview of open access and monographs

Trade books

Sixteen percent of books returned to Panel C and D tagged as 'General' were priced under £40; 13 percent priced under £30, 9 percent under £20, with just over 3 percent of titles returned to Panels C and D priced at £10 and under.

Publisher sales

Seventy percent of publisher sales take place in the first two years after publication, with 80 percent of sales taking place in the first three years (Fund et. al, 2019)

Library book acquisition budgets

Fifty percent used to purchase 'frontlist' titles (titles published since 2016)

Around fifteen percent (approx. £8.4m) spent on acquiring deep backlist titles, (titles published more than 10 years ago)

Five percent (£2.8m) used to purchase REF titles

N=13

Overview of open access and monographs

The international perspective

- Over 90 percent of books returned to Panels C and D in the REF 2014 were published with a press based either in the UK or the US (78 percent and 14 percent respectively)

- Anthropology had the highest percentage of books published with a US press (over a quarter).

- English Literature and Language and History had the highest number of titles published with a US press

- Modern Languages and Linguistics is the most 'international' discipline in terms of location of publisher.

- Just under 7 percent of all long-form titles were co-authored with a researcher not based at a UK-HEI

Overview of open access and monographs

Long-form publications linked to a grant from one of the seven Research Councils (2008-2018).

	Monograph	Book	Edited book	Scholarly edition	Book chapter
AHRC	63	1912	496	30	4970
BBSRC	2	80	7	0	1118
EPSRC	41	698	71	1	7050
ESRC	92	1562	230	13	5396
MRC	13	157	12	0	1028
NERC	5	179	16	1	1564
STFC	1	32	1	0	444
Total	217	4620	833	45	21,570

Of the long-form publications returned to the REF that were linked to a Research Council grant, just five (two linked to an AHRC grant; three to an ESRC grant) were available open access.

Data obtained from Researchfish, May 2019.

Overview of open access and monographs

Of the long-form publications returned to the REF that were linked to a Research Council grant, just **five** (two linked to an AHRC grant; three to an ESRC grant) were available open access.

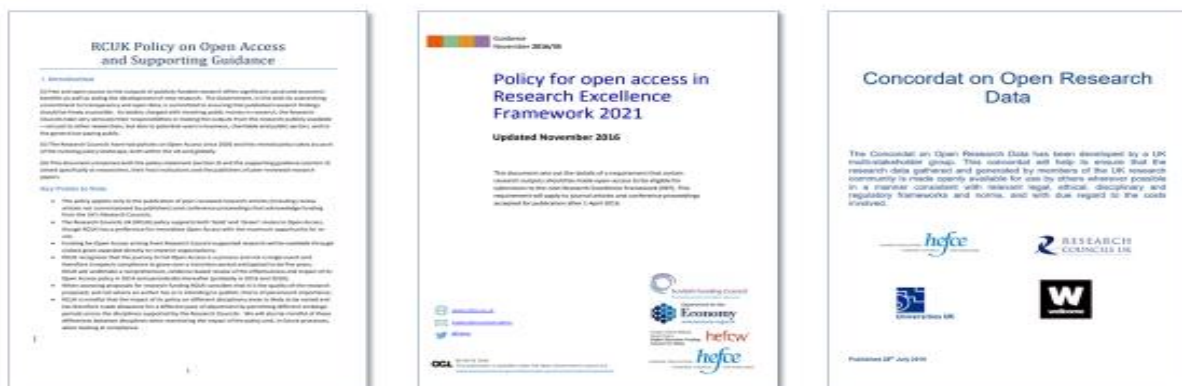**Only 46 books returned to Panels C and D in REF 2014 are open access.**

UKRI Open Access Review

Dr Paul Richards, UKRI Strategy Directorate (Open Research)
Monographs and Book Chapters Workshop, 12 September 2019

UKRI policy instruments

National progress towards open access

UK is a global leader but...
- Rising costs
- Lack of speed of transition and not meeting targets
- Publisher policies becoming more complex
- Effort to comply

37% of UK-authored articles in 2016 were openly accessible immediately on publication,

54% within 12 months

Proportion of all articles accessible immediately on publication

global — 2014, 2016 / UK — 2014, 2016
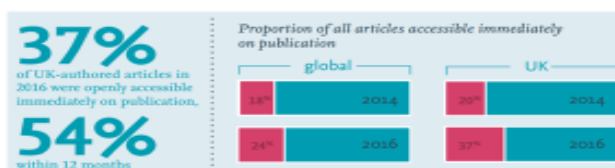
Figure 4.3 – Total subscription and APC expenditure, 2016

UUK (2017) Monitoring the transition to open access. http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2017/monitoring-transition-open-access-2017.pdf

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UKRI Open Access Review - scope

- The UKRI Open Access Review concerns open access to formal **scholarly research articles,** peer reviewed **conference proceedings** and **monographs.**

- Concerns the policies of the Councils of UKRI. Also considering how Innovate UK included.

- The open access policy for future REF will be developed in collaboration with HEFCW, SFC and DfENI.

- The current RCUK policy continues to apply over the period of the Review.

- OA policy for outputs submitted to the REF 2021 exercise will not change.

The Spanish Cucumber E. Coli. This genome was analysed within weeks of its outbreak because of a global and open effort; data about the strain's genome sequence were released freely over the internet as soon as they were produced.

https://royalsociety.org/topics-policy/projects/science-public-enterprise/report/

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Objectives

UKRI will review and develop its open access policies to:

- Enhance the **research, societal and economic benefits that can be derived from UKRI-funded research through improving access to research outputs**;
- Deliver **sustainable support for open access and better value for money**;
- Ensure **policy is joined up across UKRI constituent bodies and that it is clear, unambiguous** and as easy as possible to comply with;
- **Encourage** the development of **new models** of open access publishing;
- Support the adoption of open access through **collaboration and alignment with national and international** partners.

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Process and timing

Establish OA Review and stakeholder engagement Oct-Dec 2018

Analysis and development of policy options Jan – Aug 2019

Policy consultation and impact analysis Oct 2019 – Feb 2020

Policy draft, sign off, launch Spring 2020

Key Activities:

Analysis & policy options: Feb-July	Consultation: Oct - Dec
Announce timeline: April	Town meeting: TBC
Workshops: June/July	Policy impact analysis
Policy consultation draft	Policy implementation planning
	Analysis of consultation responses: Jan

Draft policy

Implementation planning

Launch policy: Spring 2020

REF after REF 2021 OA policy will build on the outcomes of the UKRI position

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Considerations

Aims to test options against				
Immediately and freely accessible	Maximises re-use (research, social, economic benefits)	Value for money & affordability	Sustains confidence in the quality of research outputs	Ease of compliance

Options for change			
Policies • Route to access • Embargoes • Copyright • Licensing • In-scope outputs	**Funding** • Amount • Duration • Purpose • Mode	**Timing of changes** When to impose policies and factors dictating this?	**Harmonisation and divergence in policy across UKRI funding modes**

Facilitating compliance and Open Access uptake				
Communication of policy and purpose	Infrastructure & standards	Monitoring, reporting and sanctions	Research Culture	UK & global leadership & collaboration

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Plan S

cOAlition S

Making full and immediate Open Access a reality

A DECLARATION OF COMMITMENT
BY PUBLIC RESEARCH FUNDERS

"With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo."

www.coalition-s.org

UK Research
and Innovation

UKRI and Plan S

- UKRI has joined cOAlition S – important to work internationally
- Plan S principles broadly align with current open access policies
- Will be considered as part of the UKRI Open Access Review but final decisions on UKRI policies will be made via the UKRI Review
- UKRI is co-supporting projects on helping learned societies transition to open access and developing a framework to enable more transparent communication of OA publishing services and prices
- Monographs have not been an immediate priority but are something cOAlition S want to progress in due course

UK Research
and Innovation

UK Research
and Innovation

Thank you

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@UKRI_CEO
@UKRI_news

www.UKRI.org

What might a policy for OA books and book chapters look like?

What does a pragmatic and implementable policy look like?

What particular challenges (e.g. international rights, significant re-use of third-party images) might need to be considered, and how can we overcome these challenges (where possible)?

How might UKRI monitor compliance for a policy on books and book chapters?

20 minutes discussion; 10 minutes feedback

Time: 11.00 – 11.30

UK Research
and Innovation

Open access for book chapters

Harriet Barnes and James Rivington, The British Academy

Time: 11.30 – 12.00

Presentation followed by Q&A

Funding for open access books and book chapters

How can OA books and book chapters be funded?

How do we ensure that the value of the academic monograph is communicated?

Is delayed open access an option for monographs and book chapters, and what might this look like?

Time: 12.00 – 12.45

UK Research
and Innovation

Lunch

12.45 – 13.30

UK Research
and Innovation

Community-Led Open Publication Infrastructure for Monographs (COPIM)

Janneke Adema, Research Fellow, Coventry University
COPIM co-investigator

Time: 13.30 – 14.00
Presentation followed by Q&A

Workflows and efficiencies in the publishing process

What does the publishing process look like from an author's perspective and a publisher's perspective? How might funder compliance and institutional requirements fit into this workflow?

How can the sector reconcile the needs of authors, publishers and funders?

You might want to create a workflow to illustrate examples of workflows.

Time: 14.00 – 14.45

How can OA for books and book chapters be further developed?

What would you change about the scholarly publishing system?

What can UKRI and/or other stakeholders do (e.g. in terms of policies, their implementation and communications and supporting OA books and book chapters)?

What incentives can funders, universities and publishers provide to authors publishing open access books and book chapters?

Finally – has your idea on what a policy might look like changed throughout the course of the day? How?

Time: 14.45 – 15.25

Reflections and next steps

Close

Contact helen.Snaith@re.ukri.org

The
British
Academy

'Open Access and Book Chapters' project

"UKRI require further evidence on open access and book chapters to inform decisions on a future OA policy. Likewise, the four UK HE funding bodies also require further information on book chapters to inform the OA policy for the REF after next."

The
British
Academy

Open access for book chapters

UKRI Open Access Review Workshop on "Monographs and book chapters"
13 September 2019

Harriet Barnes, Head of Policy (HE & Skills)
h.barnes@thebritishacademy.ac.uk

James Rivington, Head of Publications
j.rivington@thebritishacademy.ac.uk

The British Academy

Definition

Edited book collection of chapters vs authored book

- **A book chapter is a written scholarly output** that is issued **together with other similar outputs from other authors in a single publication**.

The British Academy

Definition

Edited book collection of chapters vs anthology

- An edited book contains chapters whose content is being **formally published for the first time**.

The British Academy

Definition

*Edited book collection of chapters
vs journal issue*

- The set of outputs will be **on a common theme**.

The British Academy

Definition

*Edited book collection of chapters
vs journal special issue*

- An edited book collection of chapters should be made up of a collection of chapters **forming a tightly coherent, permanently identifiable, set of contributions**.

The British Academy

Definition

Edited book collection of chapters vs 'conference proceedings'

- **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.**

The British Academy

Definition

ISBNs and ISSNs

- An edited book collection of chapters will be a publication **bearing an ISBN**.

The British Academy

Definition

Final

- "A book chapter is a written scholarly output, formally published for the first time, together with similar outputs from other authors in a single publication, forming a tightly coherent, permanently identifiable set of contributions on a common theme, bearing an ISBN. 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."

The British Academy

Definition

Professional books for practitioners

- Consideration should be given to regarding edited collections that are published for commercial sale to practitioners and professionals as being exempt from OA policies.

Definition

Companions, Handbooks, etc.

- Consideration should be given to regarding companions, handbooks and equivalent publications as a category of 'trade books', and treating them the same in terms of OA policies.

Scale and profile

Book chapters arising from Research Council funding: total numbers

AHRC 5028
BBSRC 1137
EPSRC 7143
ESRC 5417
MRC 1036
NERC 1571
STFC 445

The British Academy   **Scale and profile**
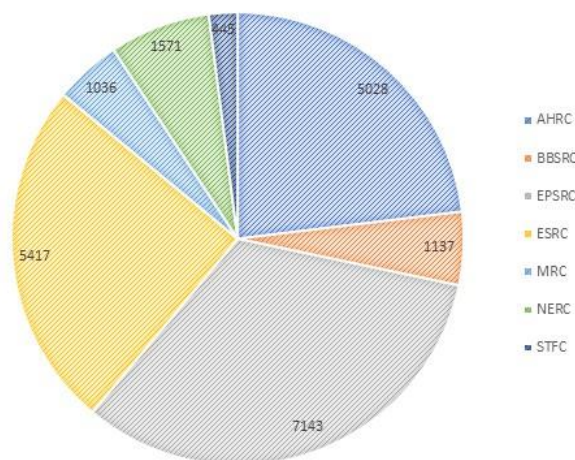
Book chapters arising from Research Council funding:
proportions
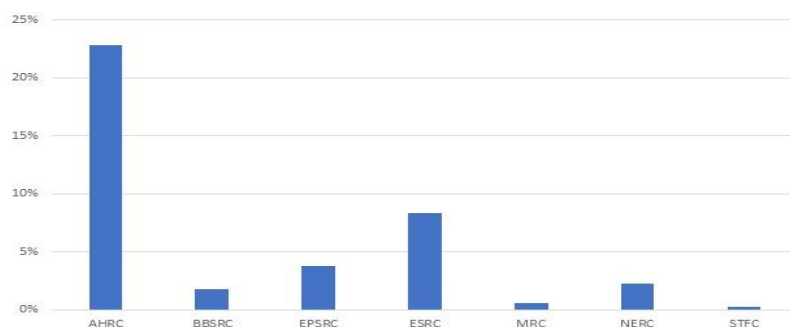
The British Academy   **Scale and profile**

'Chapters' as a proportion of the total outputs
submitted to the 2014 REF, by Panels

Panel	Number of chapters	Proportion that are chapters
A (medical and biological sciences)	55	0.1%
B (physical sciences and engineering)	210	0.4%
C (social sciences)	4128	7.9%
D (arts and humanities)	10003	25.5%

Conclusion

- Book chapters should be brought within the scope of policies aimed at extending the use of OA.

The British Academy   **Book chapter publishers**

Numbers of publishers issuing examples of Output C ('chapter in book') in 2014 REF, by Panel

Panel	Number of unique publishers	Number of publishers accounting for half of outputs	Number of publishers with 10 or more outputs (% of publishers)	Number of publishers with one output (% of outputs)
A (medical and biological sciences)	29	7	0 (0%)	18 (33%)
B (physical sciences and engineering)	62	6	3 (5%)	34 (16%)
C (social sciences)	596	9	49 (8%)	373 (9%)
D (arts and humanities)	1374	14	119 (9%)	824 (8%)

Book chapter publishers

Numbers of publishers issuing 'book chapters' in 2018, in 'Research Fish' data

Funder	Number of chapter outputs with publisher data	Number of unique publishers	Number of Publishers accounting for half of outputs	Number of publishers with 10 or more outputs	Number of publishers with one output (% of outputs)
AHRC	678	186	6	9	125 (18%)
ESRC	671	94	3	12	57 (8%)
EPSRC	709	35	1	6	17 (2%)
Others	434	41	2	7	18 (4%)

Book chapter publishers

Top ten publishers of 'book chapters' in 2018, by funder in Research Fish data

AHRC	Number	ESRC	Number
Taylor and Francis	115	Taylor and Francis	172
Springer Nature	63	Springer Nature	130
Bloomsbury	61	African Minds	46
Oxford University Press	52	Oxford University Press	37
Brill	25	Policy Press	24
Edinburgh University Press	25	Edward Elgar	23
Cambridge University Press	16	Emerald Publishing	21
Boydell and Brewer	12	Cambridge University Press	16
Ian Randle Publishers	11	Sage	12
Multilingual Matters	9	Wiley-Blackwell	12
	389		493
% of chapter output	57%		73%

The British Academy

Publishers' OA policies

Limitations

- No more than 1/3 have clearly stated Gold <u>and</u> Green OA policies/options for book chapters.
- "The question has never come up."

The British Academy

Publishers' OA policies

Gold OA

- Chapter processing charges:

   £1250 - £2000

- Book processing charges:

   £8000 - £12000

Publishers' OA policies

Perceptions

- "We get a steady stream of CPC payments."

- "I can only think of one or two occasions when authors have asked if we have a Gold author-pays OA option."

- "How can you charge a CPC from an author who has been invited to contribute?"

Publishers' OA policies

Green OA

- Permitted version:

   mainly, AAM; one third, VoR

- Embargo periods:

   mainly, 12 months (science); 24 months (HSS)
   variants, 6 months; 18 months (HSS)

- Polarised views on possible impact of Green OA

The British Academy

Recommendations
for publishers

- Publishers of edited book collections of chapters should settle on their policies in respect of OA for book chapters, and should state them clearly.

- Publishers of edited book collections of chapters should aspire to overcome any technical or procedural obstacles to enabling the version of record to be made available OA on a chapter by chapter basis.

- Publishers should consider, as good practice, giving some general indication of how the sale prices of edited collections are adjusted when one or more chapters are available OA in return for CPCs.

The British Academy

Recommendations
for policy/funders

- Steps should be taken to raise awareness – among editors and contributors – of the possibilities of extending OA to chapters in edited book collections.

The British Academy

Recommendations

for policy/funders

- Publication of a chapter in a 'hybrid' edited book, through payment of a CPC, should be regarded as an eligible means of meeting an OA mandate.

- Funders should conduct further research into the levels of funding that might be needed to provide for processing charges (CPCs and BPCs) to promote the extended use of OA for book chapter and edited book outputs from Research Council grants.

The British Academy

Recommendations

for policy/funders

- Funders should consult publishers and other stakeholders on the appropriate terms for Green OA for book chapters, including both the length of embargo periods, and Creative Commons licences.

Recommendations

for policy/funders

- Consideration should be given to developing a 'delayed OA' model for whole edited book collections of chapters.

- Funders should conduct research into the likely impact on library acquisitions of edited collections of (a) different terms of Green OA for book chapters, and (b) a delayed OA model for publishing whole edited collections grants.

COPIM

Community-Led Open Publication Infrastructures for Monographs

Overview

COPIM will address the key technological, structural, and organisational hurdles—around funding, production, dissemination, discovery, reuse, and archiving—which are standing in the way of the wider adoption and impact of open access books.

- 3 years: November 1st 2019 – 31 October 2022
- Co-funded by Research England Development (RED) Fund (2,202,947)
- A consortium of world-class universities, established scholar-led open access presses, libraries and infrastructure providers

Consortium

Universities

Coventry University · Birkbeck University of London · Lancaster University · Trinity College Cambridge

Libraries

Loughborough University · UC Santa Barbara Library

Presses

ScholarLed

OpenBook Publishers · Mattering Press · meson press · punctum books · Open Humanities Press

Infrastructure Providers
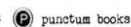
Jisc · doab directory of open access books

Key technological, structural & organisational hurdles to wider adoption & impact of OA books

- Integrated capacity-building amongst presses
- Access to and development of funding channels
- Development and piloting of appropriate business models
- Cost reductions achieved by economies of scale
- Mutually supportive governance models
- Integration into library, repository, and digital learning environments
- The re-use of and experimentation with OA books
- The effective and robust archiving of OA content.

Aims & Objectives

- Removing hurdles preventing new OA book initiatives to emerge and existing ones to adopt OA workflows
- Developing consortial, institutional, and other funding systems
- Showcasing alternative (non-BPC) business models
- Supporting the creation of, interaction with and reuse of OA books
- Knowledge transfer to stakeholders through various pilots

Build modular components to support the publication of OA books

- infrastructures
- business models
- governance procedures
- re-use strategies
- preservation structures
- outreach programs

WP2. Revenue Infrastructures and Management Platform

Key deliverables and impacts

- A fully functional consortial library funding platform
- The ScholarLed pilot
- An outreach program to the international library community
- A model for a community-owned OA revenue programme for books
- A consortium of librarians and publishers that can serve as a model for collaboration around OA monographs.

WP3. Knowledge Exchange & Piloting Alternative Business Models

Key deliverables and impacts

- A pilot case to transition the business models of at least two extant publishers to new OA-amenable models
- An online, open-source toolkit for booting up and running an OA book press
- Knowledge dissemination about the new infrastructural provisions of the project
- Cost reductions and alternative business models for OA monograph publishing.

WP4. Community Governance

Key deliverables and impacts

- A model for the long-term management of consortial library funding programs
- Assembly of a governance community of representative stakeholders
- Official policies and procedures for self-governance and administrative management of the infrastructure
- 2 white papers based on community approved best practices for the governance of 1) open source community-owned infrastructures, and 2) OA book presses and consortia.

WP5. Building an Open Dissemination System

Key deliverables and impacts

- An Open Dissemination System enhancing the discovery and dissemination of OA monographs
- A pilot case implementing the ODS infrastructure amongst the OA publishing partners;
- A shared "best practices" digital catalogue to enable adoption of the ODS.

WP6. Experimental Publishing, Re-use and Impact

Key deliverables and impacts

- A pilot of representative experimental books built on top and integrated within the COPIM infrastructure

- An online resource detailing opportunities for experimental book publishing

- Technologies and cultural strategies to promote OA book content discovery, interaction and reuse and the creation, development and interaction with emergent genres of scholarship

- Reuse and engagement strategy for OA book publishers and scholars.

WP7. Archiving and Digital Preservation

Key deliverables and impacts

- Technical methods for effectively archiving complex digital research publications and for creating an integrated collection of content in different formats

- Pilot case archiving a subset of ScholarLed publications in at least two different locations

- A model which enables the expansion and uptake of the methods by other presses and libraries

- Recommendations for best practice around legal and copyright issues that complicate effective archiving of complex digital research publications

Wider Benefits

- A **growing uptake of OA monographs internationally**
- Wider benefits for both **HE institutions and HSS researchers**.
- Wider benefits for the **general public, the economy and the creative industries**.
- Sustainable and workable transitions to an open publication ecosystem for monographs **ensuring a diverse ecology of publishers**.

Contact

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Coventry University

UKRI Open Access (OA) Review – Universities and Institutes Leaders - meeting note

30 October 2019

UKRI office, 58 Victoria Embankment, London.

Background

Duncan Wingham and David Sweeney, UKRI Executive Chair Champions for Open Research, invited university and research institute leaders to participate in a meeting to inform the UKRI Open Access (OA) Review.

The aim of the meeting was to engage university and institute leaders to explore how scholarly communication costs might be managed to accelerate OA to publicly-funded research and achieve better value for money.

This meeting note provides an unattributed summary of views and issues discussed at the workshop. To note: the views summarised are those of participants in the meeting, the views are not representative of the whole group and do not necessarily reflect the views, priorities and policies of UKRI.

Attendees

Universities UK (UUK) PVC Jisc group formed the basis of the invitee list. The group was set up with UUK's advice to provide high-level input into the development of Jisc's research strategy.

Name	Title	Affiliation
Leaders - UUK PVC Jisc group (Note only 6/15 members were available to attend)		
Carole-Anne Upton	PVC Executive Dean	Middlesex University
Karl Dayson	Dean of Research	University of Salford
Mark d'Inverno	Pro Warden	Goldsmiths University of London
Patrick Grant	Pro Vice-Chancellor	University of Oxford
Phil Newton	Director of Learning and Teaching	University of Reading
Steve Rothberg	Pro Vice-Chancellor	Loughborough University
Leaders - other UUK representatives		
Paul Boyle (Chair of the UUK research policy network)	Vice-Chancellor	Swansea University
Leaders - Guild HE representatives		
John Strachan (Chair of Guild HE)	Pro-Vice-Chancellor for Research and Enterprise	Bath Spa University
Leaders - Russell Group representatives		

Name	Title	Affiliation
Gillian Bristow	Dean of Research for the College of Arts, Humanities and Social Sciences	Cardiff University
Paul Ayris (in place of David Price)	Pro Vice-Provost (UCL Library Services)	University College London
Leaders - others to cover research institutes (UKRI and non-UKRI) and to fill discipline gaps		
Cormac Newark	Head of Research	Guildhall School of Music and Drama (member of Guild HE)
Gillian Prior	Director	National Centre of Social Research
Racheal Stewart	Interim Science Strategy Manager	The Francis Crick Institute
Others		
Haleema Masud	Policy Support Officer	Guild HE
Jarek Wisniewski	Policy manager	Russell Group
Liam Earney	Executive Director	Jisc
Duncan Wingham	Executive Chair Champion for Open Research	UKRI
David Sweeney	Executive Chair Champion for Open Research	UKRI
Rachel Bruce	Head of Open Research	UKRI
Sara Ball	Policy Advisor	UKRI

Agenda

10:00 – 10:10	Introductions and objectives for the meeting – Duncan Wingham
10:10– 10:35	UKRI Open Access Review and draft policy • Review aims and process – Rachel Bruce • Draft policy proposals – Duncan Wingham
10:35 –10:50	Discussion: • Questions on the Review and draft policy • What are the biggest challenges in achieving full and immediate open access and how might these be mitigated? • What promising initiatives and/or developments can be used to support open access?
10:50 – 11:00	Costs, funding and value for money – Duncan Wingham/David Sweeney

11:00 – 11:20	Presentation: update from Jisc on costs, transition to OA and transformative agreements – Liam Earney, Jisc
11:20 – 11:55	Discussion: Managing costs and achieving open access • What are the key considerations for research organisations around financial implications, transparency and balance of funding? • What can UKRI do to aid this via policy? • How can transition to free and immediate open access be accelerated at a sustainable cost? • Are there ways for stakeholders to work together to achieve policy aims?
11:55-12:00	Conclude meeting, any actions / next steps – Duncan Wingham

Meeting note

UKRI Open Access Review and draft policy

UKRI presented on the purpose, objectives and process of the UKRI OA Review, as well as the proposed policy position to be consulted on (**Annex 1**). The proposed policy aims for a permissive approach in terms of the methods to achieve OA. The review does not ask the question of *whether* there should be OA (rather how to implement it), and the UKRI Board and Minister are supportive of the proposed policy for consultation.

Regarding the REF, the review will inform the development of the OA policy which is jointly governed by the UK HE funding bodies. 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, and from the outset the aim has been for a common policy position for outputs that fall within the scope of both policies. However, there are differences in the remit and governance of the two policies, and the review will also help inform where they may need to diverge. Informed by the outcomes of the review, there will be a detailed, REF-specific OA consultation.

UKRI clarified that the start date for the proposed policy for monographs would be later than for research articles, recognising that the transition to OA will take longer, for example because more time is needed to adapt business models. In addition, the start date of the proposed policy may seem conservative compared to Plan S, however, because it applies to date of publication rather than grant awarded it is actually more ambitious than Plan S in this respect. UKRI clarified that ORCID would be a requirement for technical standards for OA journals, platforms and repositories, however, the proposed policy is defined at a high level and doesn't focus on individual persistent identifiers.

Transformative agreements

Liam Earney from Jisc delivered a presentation on how transformative agreements support the transition to OA (**Annex 2**). Transformative agreements aim to convert subscription expenditure into an OA fund that makes all of a consortium's research output OA on publication, whilst maintaining access to any remaining paywalled content, for the same level of expenditure as under the subscription model. In their presentation, Liam highlighted the importance of university and research institute senior level support for the success of transformative agreements achieved so far, through demonstrating high level support for Jisc's stance, situating the negotiations in the broader institutional context of price sensitivity, and firmly aligning with international developments. Participants discussed the importance of funder policies, and alignment of these nationally and internationally, in supporting universities and research institutes in their agreements with publishers, including policies on the use of funding. UKRI emphasised the need for evidence to show how this would support the policy goal.

Funding

A key question for the consultation is whether UKRI should increase the level of funding, however UKRI needs to understand what it already contributes, whether it is used for its intended purpose, and if it represents value for money. These factors are difficult to understand due to a lack of transparency around the financial picture of OA in the UK.

UKRI has dedicated OA funding of £24m per annum, and QR funding can also be used to support OA, but because this is hypothecated it is not possible to quantify this. It is estimated that publishing is currently consuming 1.6% of the total research budget, however, it is important to consider that the landscape is changing due to transformative agreements. Some participants felt there was a strong case for additional funding for universities and research institutes to deliver on the policy objectives. UKRI welcomed thoughtful input to the consultation around this question, though agreed there may be a case to increase funding given current funding levels were set at 1% but need to understand on what basis the arguments are being made.

Another key aspect around funding it whether it is used for its intended purpose. Learned societies that publish journals often conduct a wide range of non-publishing activities to help support and promote their disciplines, which may be supported by surplus income from publishing. UKRI explained that currently we do not understand the extent of this, and the customers (i.e. universities and research institutes) are not demanding to know (in contrast, with charities the customer is told and given a choice).

Costs, and value for money

A key consideration of the UKRI OA Review is value for money. There has been an increase in income for publishers and to some extent this is understandable because there has been an increase in content and OA is a different service, however, profits for at least some publishers are reported to be significant. The review has found that publishers do not appear to be asking universities and research institutes whether they want all the material, and therefore assurance regarding the value for money of investments. Some participants raised the issue of governance in the interaction with publishers, which may be a particular issue for small and specialist universities and institutes, and whether UKRI would have a role in this. UKRI clarified that is it not proposing to interfere in the commercial interactions between publishers and their customers, rather the OA policy

will determine what UKRI expects in return for its funding. Moreover, some participants raised that universities are already using their collective power to achieve better value for money.

There are also more detailed questions around the mechanism for funding, for example if part of grants authors may be more likely to consider value for money, however, a block grant mechanism allows more strategic use of funding. There was broad agreement among participants about the need for good communication and advocacy with researchers around value for money.

For universities and research institutes a key concern is shift in costs associated with a transition to OA, whereby more research-intensive organisations see their bills go up due to a shift from a "reader pays" to an "author pays" model. However, it is important to consider that the size and nature of organisations are taken into account in transformative agreements, and there is also the possibility of addressing shifts in costs through QR. UKRI are keen to gather evidence of a changing balance of costs across research organisations arising from an emphasis on publishing costs rather than read costs, and there is a specific question in the consultation on this.

Alternative models

Other promising initiatives and/or developments might further support open access were discussed, in particular, underlying repository infrastructure. The UK has a well-established repository infrastructure, including subject repositories (such as Europe PMC, which UKRI funds) and institutional repositories. However, a collective approach across multiple universities / research institutes could more effectively support OA. This could build on existing collaborations, for example Midlands Universities part of the *Midlands Innovation* initiative[1]. In addition, university and research institute leaders were generally supportive of UKRI providing or supporting a national shared repository. UKRI welcome views on whether there is a case for this and there is a specific question in the consultation, however, any actions would need to take this into account existing infrastructure.

[1] Home (midlandsinnovation.org.uk)

Annex 1 – Slides from UKRI's presentation on the purpose, objectives and process of the UKRI OA Review, as well as the proposed policy position to be consulted on

UKRI Open Access Policy

UKRI has an established open access (OA) policy, this is currently via two policy instruments:
- The RCUK open access policy
- The open access requirement in the REF:
  https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/

(Research England & the UK Funding Bodies)

- There has always has been a commitment to review and update OA policies from RCUK, and this is usual practice for REF cycles.
- The Open Access Review is an opportunity to review effectiveness of the existing policies and join-up holistically across all parts.

UKRI UK Research and Innovation

UKRI OA Review: purpose and objectives

Scope: Peer reviewed research articles, conference contributions and monographs.

The purpose of the UKRI OA Review is to review & develop its open access policies to support the delivery of UK government ambitions around OA. The objectives of the review are to:

- Enhance the **research, societal and economic benefits** that can be derived from UKRI-funded research through improving access to research outputs.
- Deliver **sustainable support for open access and better value for money**.
- Ensure **policy is joined up across UKRI** constituent bodies and that it is **clear,** unambiguous and as easy as possible to comply with.
- Encourage the development of **new models of open access** publishing.
- Support the adoption of open access through **collaboration and alignment with national and international partners.**

- **Governance:** Review Steering Group, UKRI Board, BEIS & Minister and working with the UK Funding Bodies

UKRI UK Research and Innovation

Process and Timetable

Phase 1: Initiation of the Open Access Review, including establishing governance, initial **stakeholder engagement and evidence gathering**. UKRI held initial meetings with organisations and experts from university, research and publishing sectors to gather views on current open access policy and its effectiveness, what issues need to be considered, and to identify how we might work together to deliver an effective policy.

Phase 2: Evidence gathering, analysis and **development of policy options.** Engaging further with stakeholders, including workshops, to gather additional evidence and to explore policy options and scenarios (e.g. on monographs and copyright and licensing) and commissioning independent analysis in addition to internal analysis.

Phase 3: **Consultation on draft policy**, intend to launch mid-November 2019

Phase 4: Analysis of responses, policy development, governance sign-off and launch. The Review is expected to report in the second quarter of 2020.

UK Research and Innovation

UKRI Open Access Review and Plan S

Working internationally is important to help achieve open access. UKRI has joined cOAlition S, along with a number of national research funders and foundations, and with support of the European Commission and the European Research Council (ERC).

The Plan S principles broadly align with current Open Access policies and will be considered as part of the UKRI Open Access Review.

Final decisions on UKRI policies will be made via the UKRI Open Access Review.

cOAlition S

Making full and immediate Open Access a reality

A DECLARATION OF COMMITMENT BY PUBLIC RESEARCH FUNDERS

UK Research and Innovation

Draft policy

For peer-reviewed research articles and conference contributions:

- Full and immediate OA
- Accessible immediately upon publication without an embargo, free of charge and with an open licence allowing maximum re-use
- Permissive approach to routes:
  - Publish with OA journals or OA publishing platforms
  - Subject or institutional repositories
- Pending further views and evidence, we are also considering:
  - allowing a CC BY-ND 'no derivatives' licence as a case-by-case exception
  - requiring journals, platforms and repositories to meet some access and discovery standards
  - requiring the author or their institution to retain the copyright of their publication
- Timing of policy start is a consideration

UK Research
and Innovation

Draft policy

For monographs and book chapters:

It is proposed that monographs, book chapters and edited collections will be in-scope of both the UKRI and REF-after-next OA policies.

- **In-scope monographs and edited collections should be free to view and download via an online publication platform or repository within 24 months of publication; for book chapters the maximum delay period will be 12 months**
- **Outputs should be published under a licence that maximises re-use and is appropriate to the content of the work. CC BY is preferred, but the inclusion of the 'no derivatives' (ND) is also acceptable**

Timing of policy start is a consideration

UK Research and Innovation

Transformative agreements and the transition to open access

Liam Earney

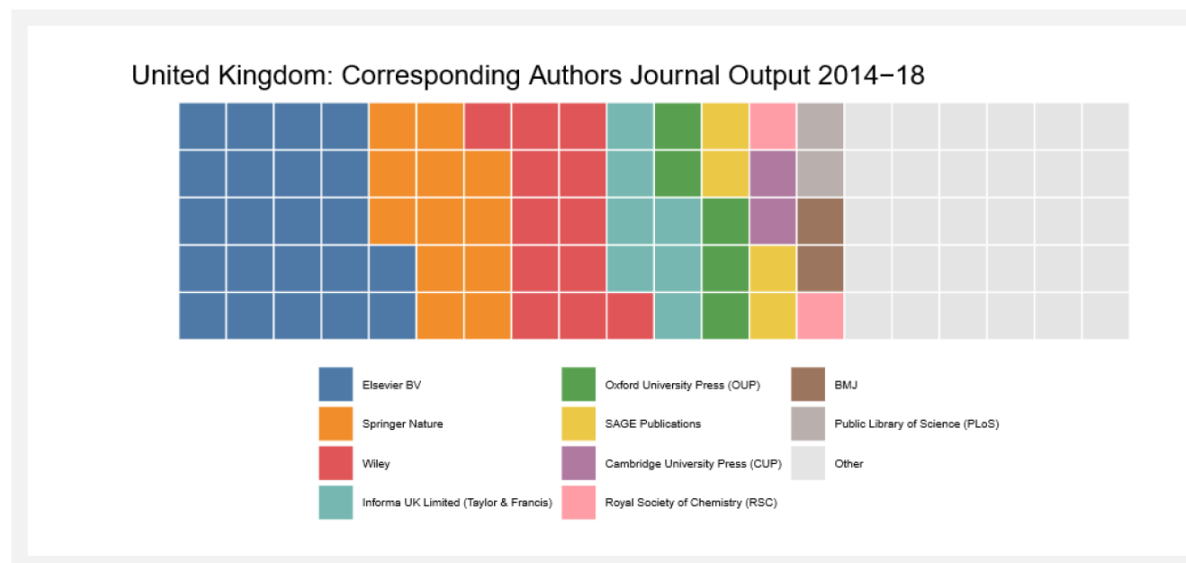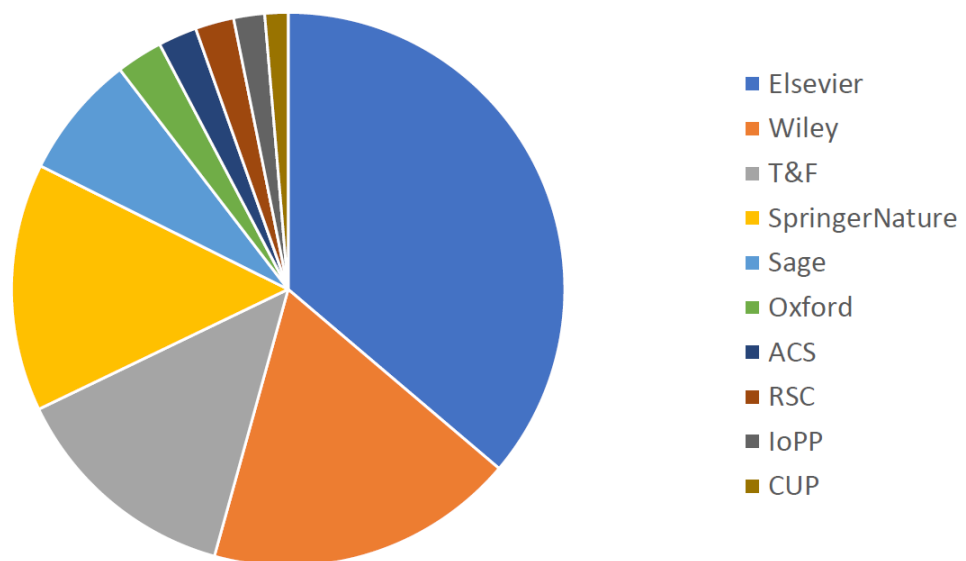Executive Director, Digital resources

Agenda

- UK context
- Challenge of uncontrolled hybrid OA
- Transformative agreements and moving beyond hybrid open access
- Cost allocation and transformative agreements
- Status of current negotiations
- Beyond big deals
- Final thoughts

UK Context - Publications

United Kingdom: Corresponding Authors Journal Output 2014−18

- Elsevier BV
- Springer Nature
- Wiley
- Informa UK Limited (Taylor & Francis)
- Oxford University Press (OUP)
- SAGE Publications
- Cambridge University Press (CUP)
- Royal Society of Chemistry (RSC)
- BMJ
- Public Library of Science (PLoS)
- Other

UK Context – Subscription spend

- Elsevier
- Wiley
- T&F
- SpringerNature
- Sage
- Oxford
- ACS
- RSC
- IoPP
- CUP

Jisc

The challenge of uncontrolled hybrid open access
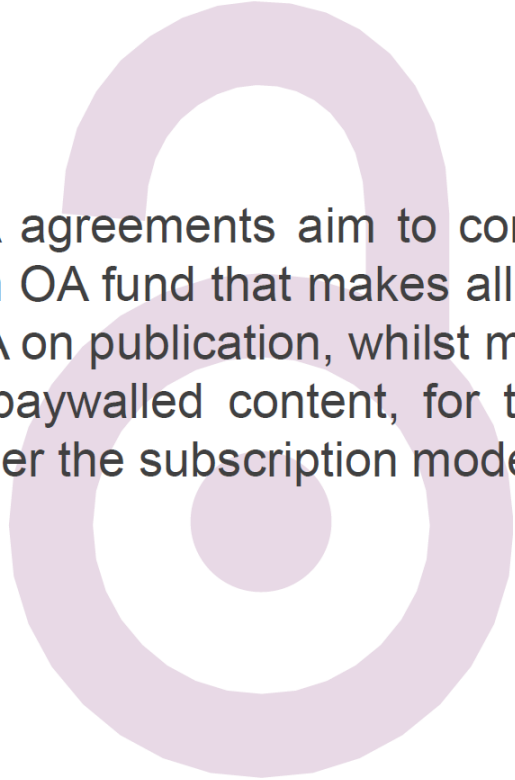
International lessons

- Whilst the overall volume of OA increases, many countries, including the UK have seen the following:
  - Overall level of expenditure on subscriptions and OA continues to rise
  - Unsustainable inflation in cost of individual APCs
  - Lack of institutional control or knowledge of overall level of institutional spend on OA outside central budgets
  - Concern from research intensives that they will pay for all costs in future
  - Little evidence of systematic shift in the model from subscriptions to OA

- In short, the unmanaged hybrid OA model is an additional revenue stream, rather than replacement revenue stream, that won't achieve policy objectives and undermines efforts to achieve full and immediate OA

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Transformative OA agreements as a solution

Achieving financially sustainable open access

Transformative OA agreements aim to convert subscription expenditure into an OA fund that makes all of a consortium's research output OA on publication, whilst maintaining access to any remaining paywalled content, for the same level of expenditure as under the subscription model.

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The Springer Compact agreement is a good example of transformative agreement...

Before:

2014 APC spend	€	1,305,805
Total subs	€	9,381,981
2015 Grand total pre compact	€	10,687,786

24% OA across
all UK institutions

After:

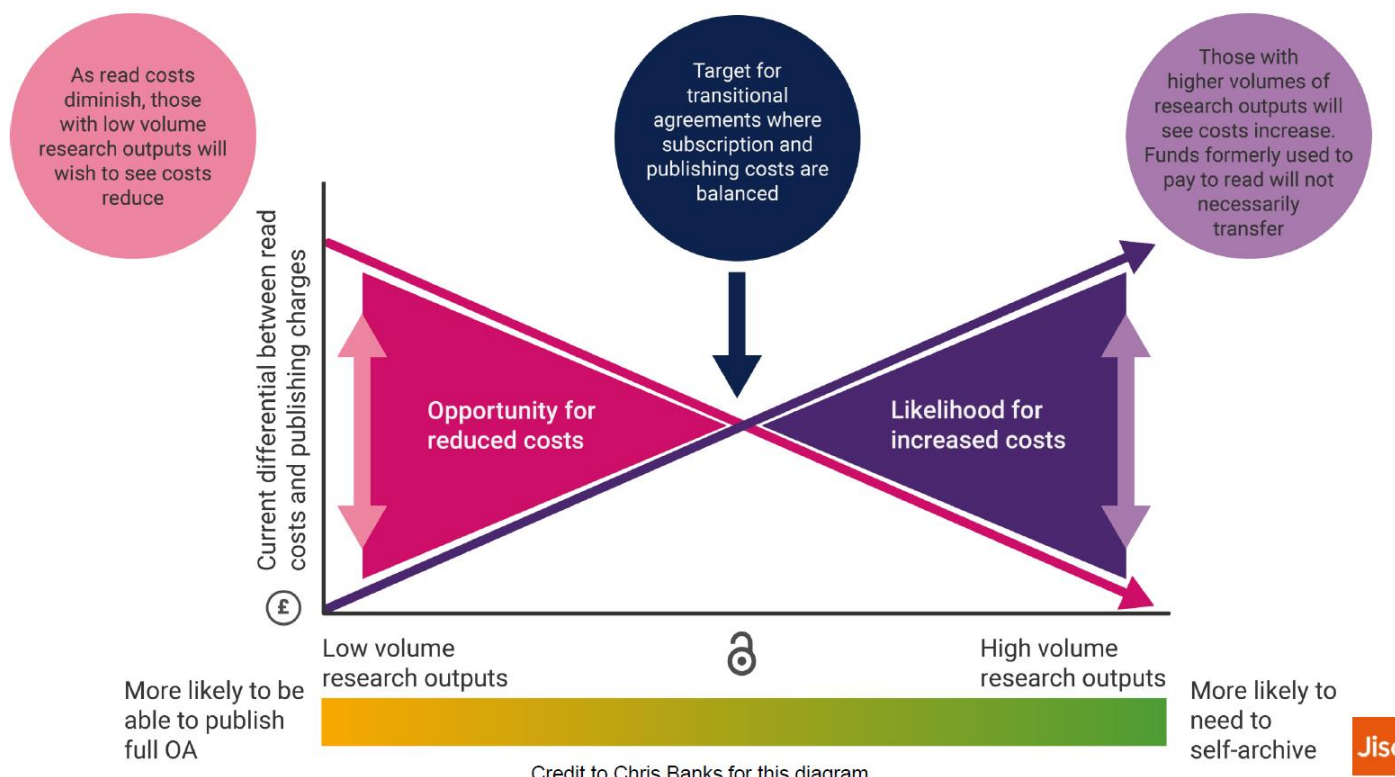|	
2016 Grand total	€10,728,095 0.4% over 2015 total
2019 Grand total	€11,168,281

- 100% OA
- 4% increase over 2016

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Cost allocation and the role of nationally managed transformative agreements

As read costs diminish, those with low volume research outputs will wish to see costs reduce

Target for transitional agreements where subscription and publishing costs are balanced

Those with higher volumes of research outputs will see costs increase. Funds formerly used to pay to read will not necessarily transfer

Current differential between read costs and publishing charges

£

Opportunity for reduced costs

Likelihood for increased costs

Low volume research outputs

High volume research outputs

More likely to be able to publish full OA

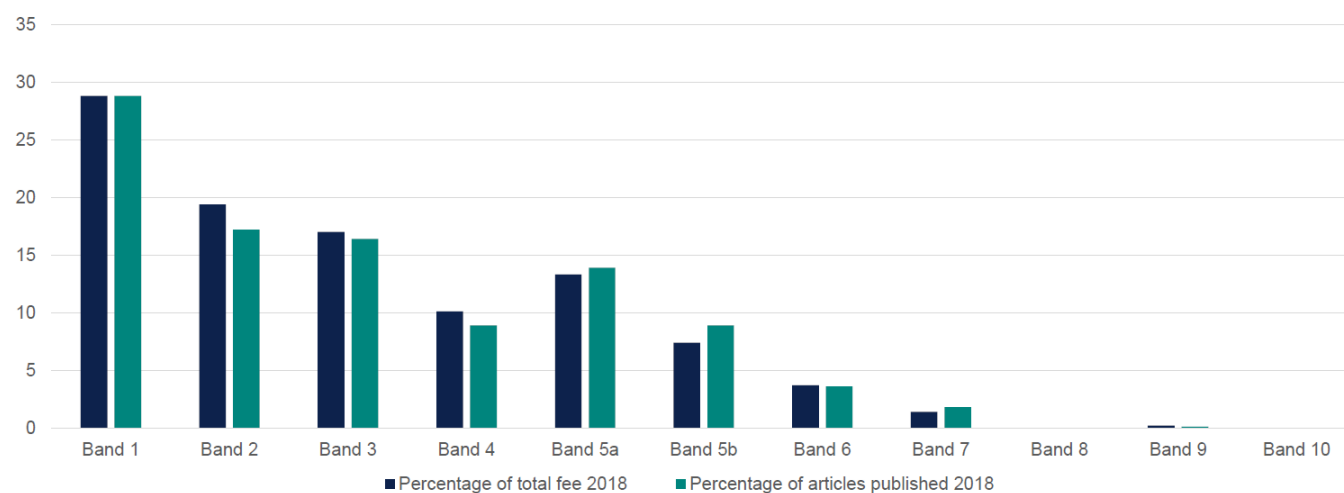More likely to need to self-archive

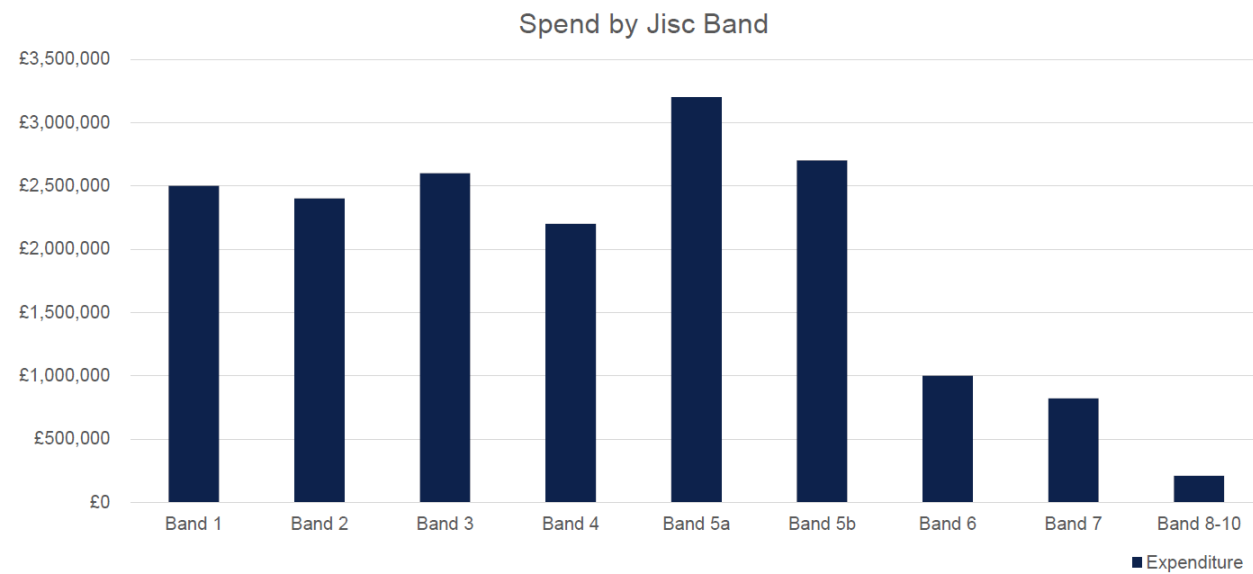Jisc

Credit to Chris Banks for this diagram

There is enough money in our collective spend to cover all UK research output if managed at the national level

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Springer spend to publishing comparison, 2018

Legend: Percentage of total fee 2018, Percentage of articles published 2018

Subscription spend for Wiley by Jisc band

Spend by Jisc Band

Do these agreements benefit all institutions?

- All groups are essential to the financial viability of the agreements, and all will suffer if any cohort walks away
  - Most research intensive have largest individual spend
  - Mid-tier institutions makes up bulk of overall expenditure
- All groups leverage their combined buying power to lower annual price rises, improved terms & conditions, archival rights etc
- Most research intensives can access more OA publishing
- Less research intensive can publish OA
- All institutions, regardless of size have access to more content to support teaching, learning and research

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Status of current negotiations

Current negotiations - Wiley

Latest proposal reduces actual spend and provides more OA

- Lower overall price, based on current subscription and funded research only
  - £2million less than current spend on subscriptions and OA
- No price increases for 4 year term of agreement
- Break point after 1st year to take account of any changes in funding
- 50% of total fee (£11.4million) allocated to publishing in year 1 with increased amounts thereafter
- Discount on cost of APCs
- Proposal increased volume of UK articles made OA in Wiley journals from 27% today to 85% in year 1
- All institutions receive access to all Wiley journals and archival rights in perpetuity

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Consultations on transformative agreements

- American Chemical Society
- American Institute of Physics
- Association for Computing Machinery
- Brill
- Cambridge University Press
- Institute of Physics
- Oxford University Press
- Royal Society of Chemistry
- Sage
- Springer Nature (Academic Journals) new collection

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Beyond the big deal

Licensing and negotiation extends beyond major publishers

- Learned and society publishers
  - Microbiology Society
  - Portland Press
  - International Water Association
- Pure Gold publishers
  - Peer J
  - Frontiers
- Non-APC based OA
  - Annual Reviews subscribe to open
  - Open Library of Humanities
- OA monographs
  - Knowledge Unlatched
  - Open Book Publishers

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Three final thoughts

1. Together Wiley and Springer OA agreements have created OA funds with a value of over £21million – almost equivalent to the Block Grant

2. The negotiations have only achieved the progress they have due to the support we have received from UUK, funders and library directors – strong senior support is essential

3. The publisher with whom the UK institutions spend the most and publish the most has rejected all approaches regarding transformative agreements

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CBI – Cross-sector Open Access Review Roundtable with UKRI (August 2020) – Summary of discussion

Overview of session

Organised in conjunction with UKRI and taking place as part of UKRI's wider Open Access Review, this roundtable convened stakeholders from across the UK's innovation ecosystem to discuss the proposals set out in UKRI's recent Open Access Review consultation in a 'system-wide' manner.

Delivered virtually and in the form of a guided discussion, the Chair summarised attendee feedback to a set of pre-circulated 'framing questions' before inviting live discussion on the points raised between attendees and representatives from UKRI.

The following summary reflects not only this feedback, developed using cross-sector input, but also the discussion between attendees and UKRI on the day. It also reflects the outcome of subsequent discussions with attendees around the dynamics of business engagement with academic research, discussions that were agreed to as part of the action points arising from the main session, most notably in the summary's final section.

An overview of the sectors and organisations that contributed to both the main session and the subsequent discussions outlined above is as follows:

- The Higher Education sector, including individual Russell Group, Post-1992 institutions and sector representatives.
- The Pharmaceutical sector, including individual corporations and sector representatives.
- The Academic Publishing sector, including individual corporations and sector representatives.
- Members of the UK's Catapult Network.
- Members of the UK's Learned Societies.

Discussion points

- How do the proposals set out in UKRI's recent consultation support government's ambition to achieve 2.4% GDP combined public / private investment in research & development?
- How could the UK achieve a successful and sustainable Open Access (OA) regime in the UK, underpinned by a diverse and vibrant range of publication venues?
- How would the proposals set out in the recent consultation support the UK's economic recovery and government's wider plans to 'level up' the UK economy?

Contributor feedback

How do the proposals set out in UKRI's recent consultation support government's ambition to achieve 2.4% GDP combined public / private investment in research & development?

Though contributors recognised that the consultation's proposals around licencing and copyright changes were seeking to make research easier to disseminate and collaborate around, contributors raised concerns around how a new regime would function and be understood by its users.

- The implementation of a CC-BY licencing and copyright transfer regime would complicate the use of third-party content in research outputs, holding back efforts to "build on research".

- These proposals would also require an effective exemption process to be created to enable researchers and the sponsors of research – domestic or international, public or private sector – to protect information and Intellectual Property considered to be commercially sensitive.
- Additionally, both researchers and the sponsors of research would need to be provided with training and guidance to ensure that any new regime is fully understood by all of its users.

Contributors also raised concerns over the effect these proposals would have on how the service of publishing and the dissemination of research outputs would be funded.

- The proposals around licencing and copyright would, together, almost entirely disaggregate the value of the research output from the value of the service of publishing.
- Given the acknowledged value of this service, how any new Open Access regime addresses funding the service of publishing – either directly or through commercial routes – would have a direct impact on its ability to continue to support the dissemination of UK research.
- Should the new regime require researchers to employ a universal Gold Open Access model, this impact would be most deeply felt by those disciplines or subject areas that have traditionally relied on sustainable Green OA models to enable the publication of research.

Contributors also voiced concern around proposals to limit the venues that UKRI funded research could be published in, citing the potential impact to both the users and operators of these venues.

- Should the withdrawal of commercially funded routes to publication not be matched by an increase in funding for research publication, several distorting effects were possible.
- Disciplines with comparatively low levels of funding would face disproportionate barriers to the dissemination of research due to the loss of sustainable Green OA publication routes.
- Greater competition for publication funding within disciplines would also likely have a disproportionate effect on early-career and diverse cohorts of researchers.
- Publication venues specialising in less well-resourced disciplines would be forced to offset lost commercial revenues through cross-subsidisation and price increases elsewhere.
- Where this is not possible or sufficient to maintain operations, the drive to secure efficiencies of scale through consolidation may impact market diversity amongst publication venues.

Reflecting on the impact of the Coronavirus pandemic on Higher Education and Learned Institutions, contributors urged broad caution on the design and implementation of any new OA regime.

- The broad disruption caused by the pandemic has clearly left many institutions facing severe financial distress and continued operational challenges.
- This disruption has also affected many researchers, where shifting professional responsibilities have been compounded by increased caring responsibilities at home.
- As a result, these factors have combined to leave many of the users of the UK's systems of scholarly communication with only limited operational and financial headroom.
- Touching on both bandwidth and resilience issues, the continued effects of the pandemic will likely pose significant challenges to the implementation of any new UK Open Access regime.

How could the UK achieve a successful and sustainable Open Access (OA) regime in the UK, underpinned by a diverse and vibrant range of publication venues?

Contributors felt that the response of both the users and operators of the UK's systems of scholarly communication to the CV-19 pandemic had shown two things: both how a successful OA regime might function in the UK, and also the infrastructure and other factors would be required to underpin it.

- The global nature of both the emergency and the response had, it was felt, highlighted the importance and impact of widespread collaboration and information sharing.
- Enabling these efforts, however, was a network of high quality and highly trusted publication venues that had served as international focal points for the dissemination of CV-19 research.

- The ability of these venues to categorise, host and distribute this material was in turn enabled by significant investment in their information standards and infrastructure.

Just as the CV-19 pandemic had provided a positive vision for how a successful UK OA regime might function, it had also provided examples of issues that would have to be mitigated under a new regime.

- With all parties working at pace through the pandemic, questions had arisen over the appropriate balance between speed and quality in academic publishing.
- Not only relevant with regard to the operational impact of moves to increase the speed of research publication, particularly on early-career and more diverse cohorts of researchers, these questions also relate to the ability to ensure the value of the research published.
- Where agility had been emphasised over academic rigour, examples had already arisen where a push for rapid publication had directly undermined the robustness of research.
- Highlighting the importance of subjecting research outputs to rigorous quality checks, it was felt that the common desire to retain pandemic-levels of publishing agility in with strong research robustness further underlined the value of the service of academic publishing.

As contributors sought to reconcile a common desire to make further progress in achieving greater levels of Open Access in the UK with the need to retain the most beneficial elements of the current OA regime, the issue of funding once again became central to discussion.

- Proposals to replace the dissemination and repository infrastructure currently used by commercial publication venues and individual institutions would be prohibitively expensive, given the investment that would be needed to replicate such large-scale, complex systems.
- If the service of academic publishing is recognised to add value to research outputs, then restricting access to these services through the removal of commercially funded publication routes or insufficient block grant funding risks undermining the quality of UK research.
- Similarly, providing both the users and operators of the UK's systems of scholarly communication with sufficient time to transition to a new Open Access regime will be vital if the diversity and utility of the current system is not to be lost as part of the process.
- As both users and operators look to the logistical challenge of negotiating large volumes of bespoke transition agreements, a pragmatic approach to setting implementation deadlines will also help minimise the service or financial disruptions these changes will cause.

How would the proposals set out in the recent consultation support the UK's economic recovery and government's wider plans to 'level up' the UK economy?

Reflecting on the concerns set out above, contributors noted three potential outcomes from the proposals that could run counter to government's wider efforts to level up the UK economy.

- With the financial resilience of many Higher Education Institutions already strained, researchers may struggle to finance the publication of research under a new Open Access regime without sufficient funding support, in turn dampening UK research activity.
- Should this situation have a prolonged impact on research publication rates, the UK's research excellence relative to its peers could be affected, in turn undermining the attractiveness of the UK as a destination for international investment, research and study.
- In addition to its impact on Higher Education Institutions, limited publication routes and reduced publishing volumes would directly affect the UK's academic publishing sector, and with it the sector's contributions to taxation, employment and the export of UK research.

Agreeing that the proposals could still play a role in accelerating the movement of knowledge through the economy, contributors questioned the dynamics of business engagement with academic research.

- Anecdotal evidence suggests that businesses represent only a very small fraction of the total users of scholarly communications, and that those that do engage with them are typically medium- to large-sized organisations with multinational operations.

- Though cost was raised as one possible factor behind the lower utilisation rates of scholarly communications amongst smaller businesses, it was felt that broader issues of 'accessibility' were more likely to be limiting current levels of SME engagement with academic research.
- Catapult centres, for instance, are often viewed by SME businesses as a good route to accessing more 'distilled' and usable forms of academic research.
- Coupled with low SME utilisation rates of research held in libraries, the experience of the Catapult Network suggests that the 'discoverability' and 'usability' of academic research are more significant barriers to the use of research by SME businesses.

Reflecting on these points, contributors discussed how barriers relating to the discoverability and usability of academic research could be overcome, and through what means.

- Where the discoverability of academic research was a major barrier to business engagement, it was felt that a campaign to raise awareness of the availability of research resources, and educate businesses where to find them, would be beneficial.
- With business awareness around the availability of research considered to be generally poor, it was felt that a coordinated campaign by both national and devolved government, supported by the Catapult Network and Knowledge Exchange Networks, could drive change here.
- Where the usability of academic research was a major barrier to business engagement, it was felt that a key problem came arose from the fact that most academic research outputs were written to appeal to audiences with specialist knowledge, and not 'lay' businesspeople.
- In discussing how this issue could be overcome, the work of certain pharmaceutical and clinical research publications to complement research outputs with more accessible summaries was cited as an example of best practice that could be more widely adopted.
- Offering a route to increasing the useability of academic research, it was felt that the question of how these 'translation' services could be more widely adopted was unclear given broader discussions around how the service of publishing could be funded under a new OA regime.