



UK Research
and Innovation

UKRI Open Access Policy

Information & Good Practice Sharing Event for Research Organisations

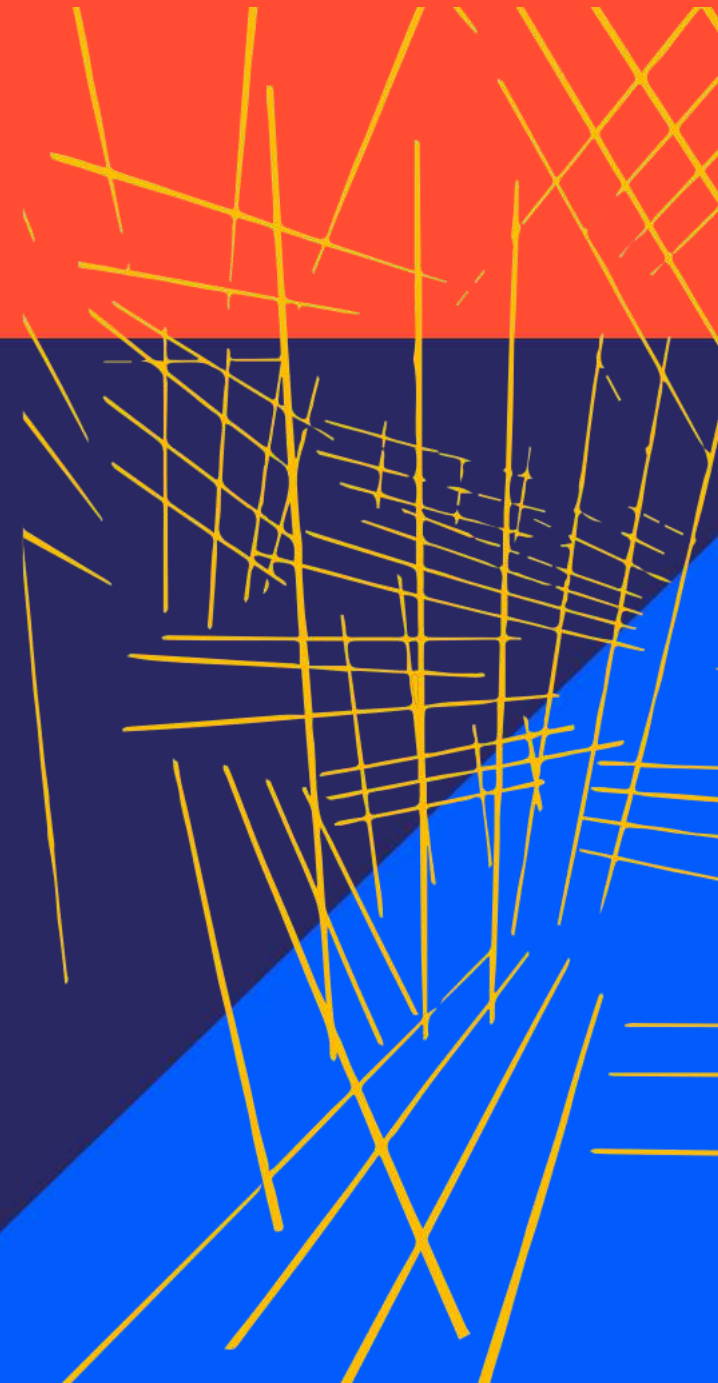
Rachel Bruce, Head of Open Research

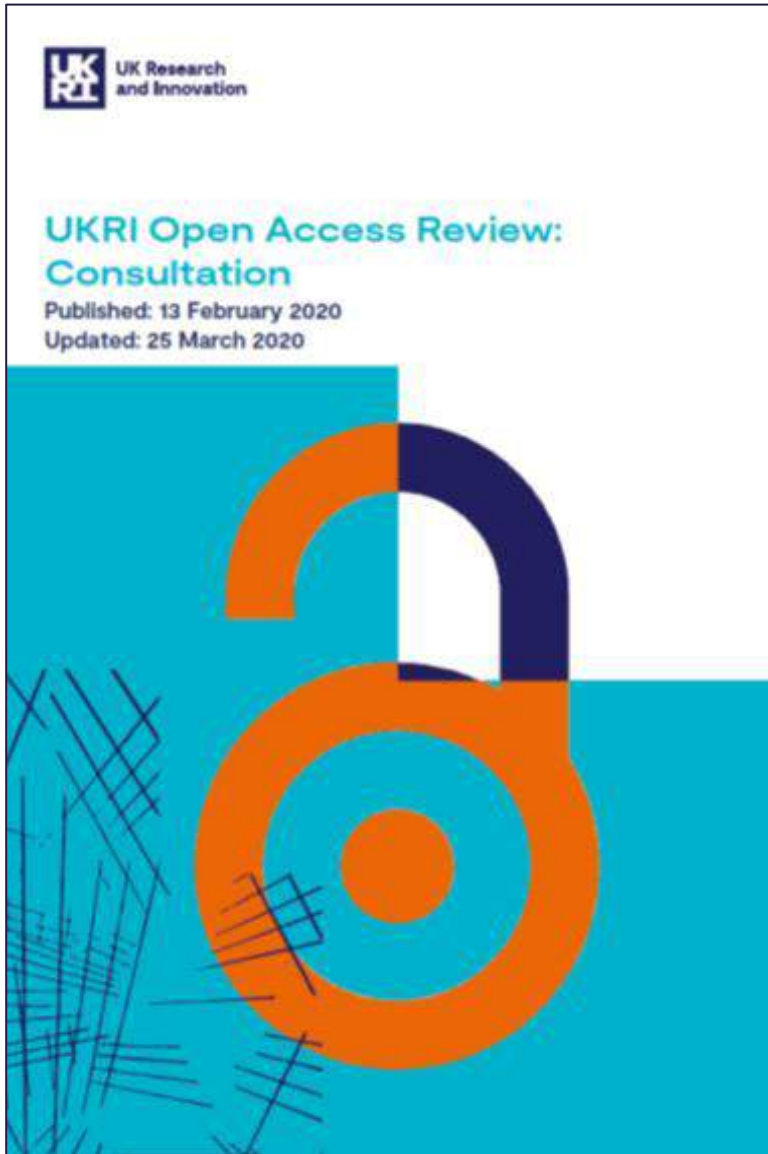
Anisha Ahmed, Open Research Strategy Lead



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Background and policy overview





Open Access Review 2018 - 2021

- In 2018, UKRI launched its Open Access (OA) Review
- Aims of the review: immediate Open Access – moving from a missed target of 75% to 100%; affordability/vfm; alignment across UKRI, UK and internationally.
- The Review process included:
 - Extensive engagement with stakeholders via roundtables and workshops
 - Evidence-gathering and analysis
 - Public consultation
 - Independent economic assessment
- Further information: [Shaping our open access policy – UKRI](#)

Government commitment, 2020

*“Crucially, we must embrace the potential of open research practices. **First, we will require that research outputs funded by the UK government are freely available to the taxpayer who funds research. Such open publication will also ensure that UK research is cited and built on all over the world.** We will mandate open publication and strongly incentivise open data sharing where appropriate, so that reproducibility is enabled, and knowledge is shared and spread collaboratively.”*

[UK Research and Development Roadmap - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/432222/UK_Research_and_Development_Roadmap.pdf)

The background of the slide is a blurred image of computer code, likely JavaScript, with various colors like blue, green, and yellow on a dark background.

The policy applies to

Research publications, as defined below, that need to acknowledge funding from UKRI or any of its councils, including Innovate UK and Research England.

- **Peer-reviewed research articles submitted from 1 April 2022**, including reviews and conference papers, that are accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or publishing platform.
- **Monographs, book chapters and edited collections published from 1 January 2024**
 - Unless a contract has been signed between the author and the publisher before this date that prevents adherence to the policy. However, UKRI strongly encourages authors and publishers to make publications open access.
 - In-scope long-form outputs are detailed further at [Annex 1 in the policy](#).

Requirements for research articles

- **Route 1:** Publish the research article open access in a journal or publishing platform which makes the Version of Record immediately open access via its website with a CC BY or other permitted licence.
- **Route 2:** Publish the research article in a subscription journal and deposit the Author's Accepted Manuscript (or Version of Record, where the publisher permits) in an institutional or subject repository at the time of final publication.
 - Submissions must include the following text in the funding acknowledgement section of the manuscript and any cover letter/note accompanying the submission:
 - 'For the purpose of open access, the author has applied a Creative Commons Attribution (CC BY) licence (where permitted by UKRI, 'Open Government Licence' or 'Creative Commons Attribution No-derivatives (CC BY-ND) licence may be stated instead) to any Author Accepted Manuscript version arising'

From 1 April 2022

- **Commissioned and invited reviews**, that acknowledge UKRI funding, are in-scope of the policy.
- In-scope research articles are required to contain a **Data Access Statement**, which can include links to the underlying data, where applicable.

ND licence exception

Case-by-case exception available for a more restrictive licence: CC BY ND (no derivatives licence). This licence prevents the unauthorised dissemination of derivative works e.g. a translated document.

The exception will be managed by the funding policy team, the process will be open from 14 March 2022.

The exception process means:

- justification for restricting opportunities for sharing & reusing publicly-funded research
- gather evidence to demonstrate issues arising from a CC BY policy requirement
- inform future review of our policy

Process:



Requirements for long-form publications

- From 1 January 2024, the policy extends to in-scope monographs, book chapters and edited collections.
- Final Version of Record or the Author's Accepted Manuscript to be open access under a Creative Commons licence, within 12 months of publication.
- Where the Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.

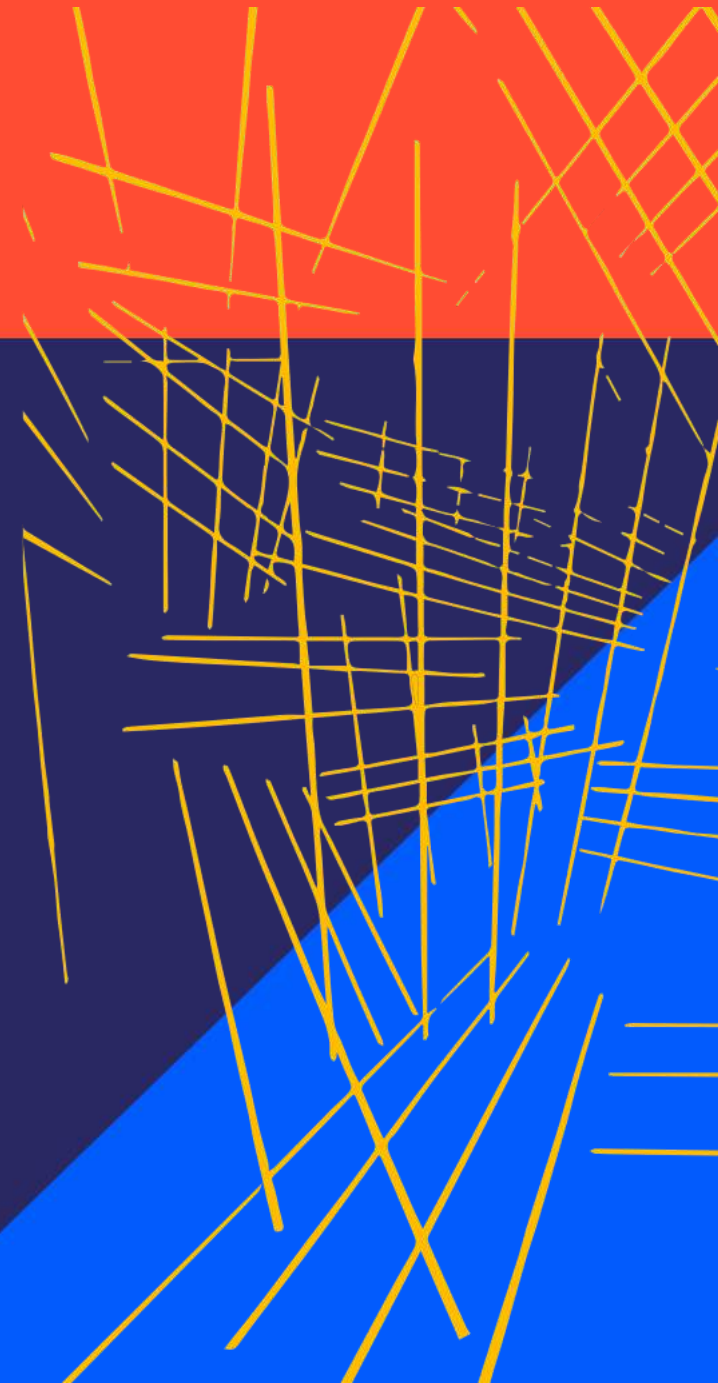
Exemptions for long-form publications

- Where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy.
- Where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication.
- Long-form outputs arising from UKRI Training Grants are exempt from the requirements, recognising that publication may occur sometime beyond the lifetime of a training grant. UKRI expects research organisations to support early career researchers to make long-form outputs open access, where possible.



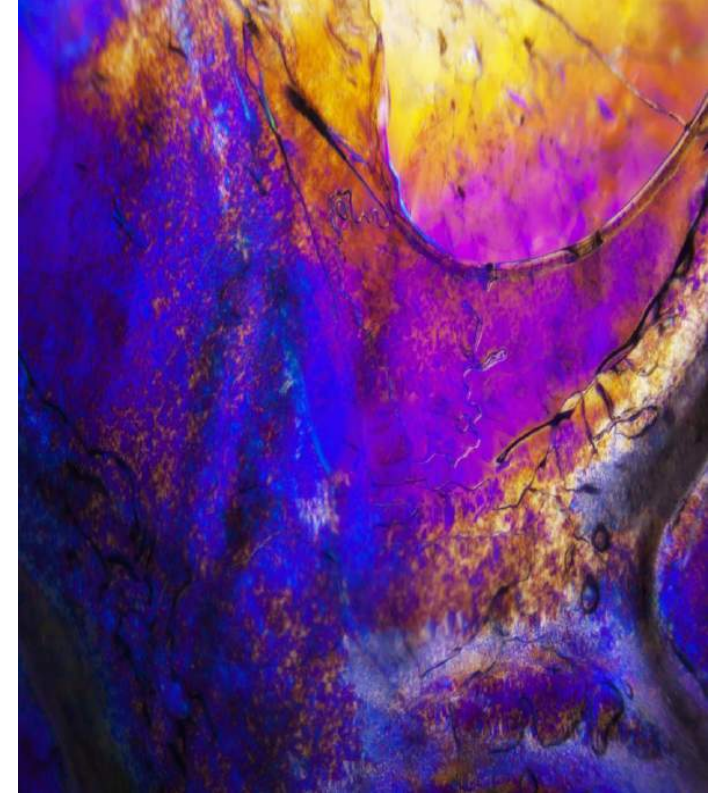
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Supporting the sector to implement the policy



Open access funding

- Up to £46.7m per year, via an OA block grant (and some central supporting actions).
- Threshold for the block grant has been lowered from £10,000 to £5,000
 - Allocations are made via an algorithm based on research volume. If this allocation amounts to £5,000 or above the organisation will be eligible to receive the block grant
- £3.5m of the total funding has been earmarked for monographs to be delivered via a centrally held fund within UKRI which authors/institutions can apply for from 1 January 2024
- We are taking a light touch approach to reporting against the OA block grant, removing the current detailed form and instead using standard approaches.



Eligible costs for research articles block grant

- *can be used to cover costs that enable research organisations to meet the aims of our open access policy*
- article processing charges (APCs) and charges through other types of funding models (for example, membership fees) that support publication in fully open access journals and platforms
- publish elements of Jisc-approved transitional agreements
- open access fees in journals approved by Jisc as meeting the research sectors requirements for transition to open access
- costs associated with open access through ‘route two’ of the policy, for example making the author’s accepted manuscript (or version of record, where the publisher permits) available in an institutional or subject repository at the time of final publication
- open access costs associated with articles in scope of and compliant with the RCUK policy (for example, submitted for publication before 1 April 2022).

The block grant does not cover:

- the cost of hybrid open access publishing in subscription journals, unless part of Jisc-approved transitional agreements or in journals approved by Jisc as meeting the research sectors requirements for transition to open access
- subscription costs for read access via journals
- other non-open access charges associated with publication, including page and colour charges, and non-open access publication charges and fees
- open access fees associated with monographs, book chapters and edited collections (UKRI will be making dedicated funding available once the monographs policy is live in 2024, and before then it is permissible to include these costs in grant applications).

Jisc support for policy implementation – for articles and monographs

- Working to ensure a wide range of OA options for authors, enabling more research organisations, publishers and learned societies to participate in transitional open access arrangements.
- Jisc will gather and analyse data to monitor and evaluate the performance of transitional arrangements.
- Working with the research community to share best practice and co-developing solutions to overcome the challenges around implementing open access.
- UKRI will provide an online tool for authors and research organisations to identify compliant open access routes.

Guidance and resources



Task & Finish Groups with external stakeholders (ARMA, Jisc, RLUK, SCONUL, RESCOLINC) to help us develop resources and guidance for authors and their organisations to follow the policy. Some of these have been published on our website:

- [Updated policy document and a supplementary FAQ](#)
- [Guidance for authors](#)
- [No-derivatives licence exception process and guidance](#)
- [Information pack for research organisations to use to engage researchers](#)

Guidance for authors

In our [information pack for research organisations to use to engage researchers](#) we provide a checklist for authors on how to comply with the policy.

Research articles

Research articles checklist

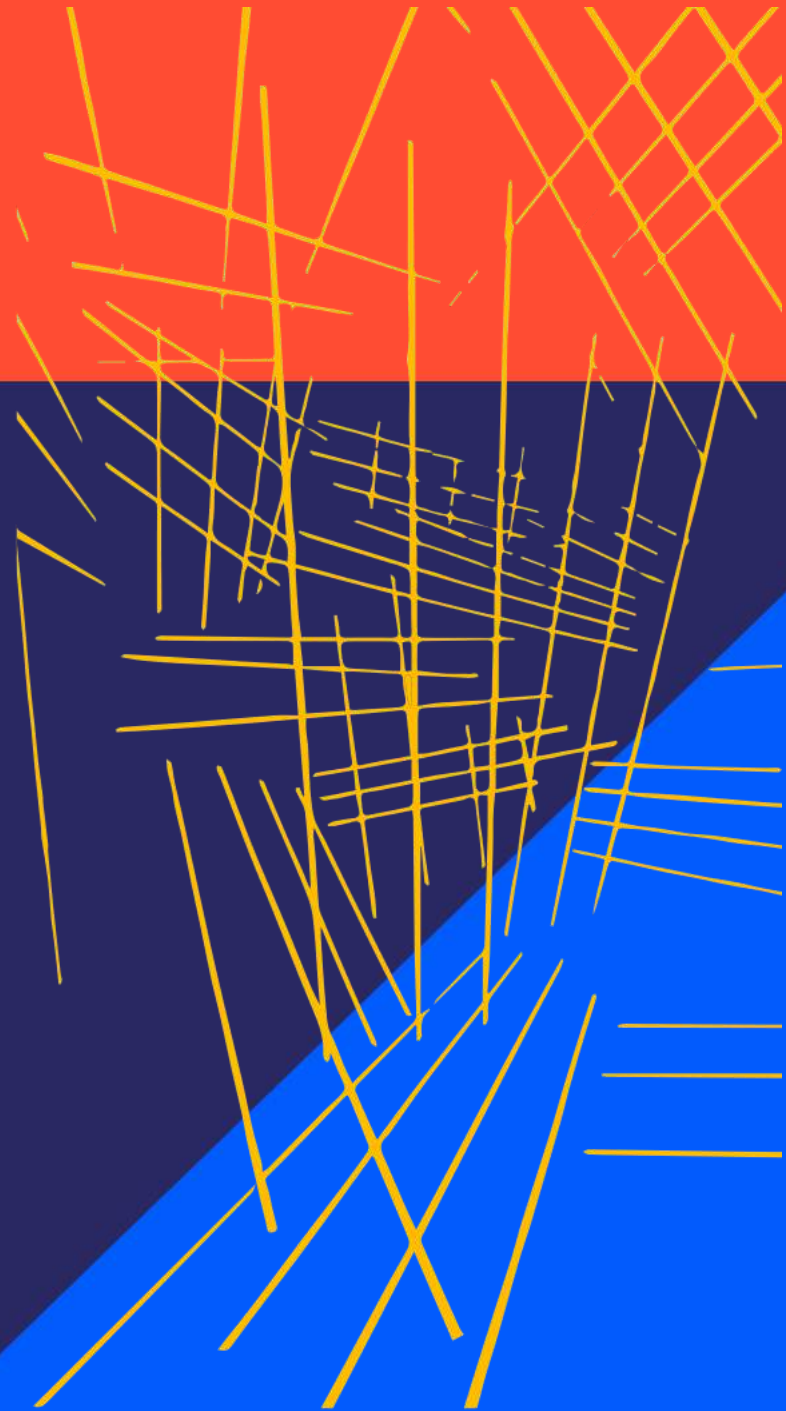
- Make your article immediately open access either via a journal/publishing platform (Route 1) or a repository (Route 2).
- Ensure the open access version is published with a CC BY licence or other permitted licence.
- Include a licensing statement in your submission if intending to make your article open access via Route 2.
- Include a data access statement.
- Comply with your Council's deposit requirements, where applicable.

- Before publishing your findings, check UKRI's full [requirements and guidance](#)
- Consult your research organisation for advice on complying with the policy, institutional guidance and open access funding.



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Monitoring & evaluation





Monitoring & evaluation

- Monitoring and evaluation of the new policy enables assessment of:
 - progress towards open access
 - compliance with the policy
 - benefits of the policy
 - evidence of unintended consequences
- UKRI requires compliance with the open access policy via the terms and conditions of its funding.
- Compliance monitoring will be done using existing data sources.



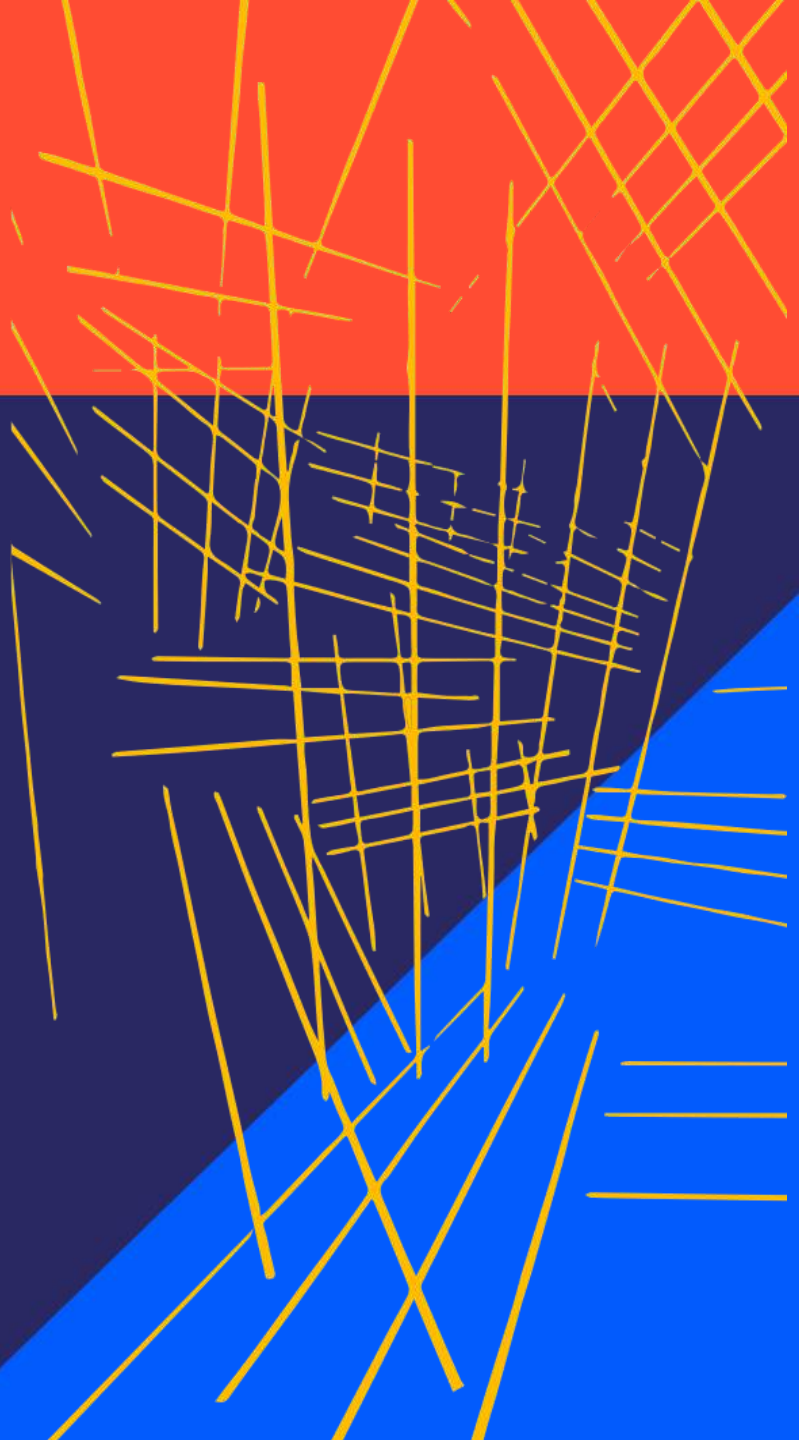
Monitoring & evaluation

- A small-scale review point will be held within 2 years of start dates, where we can reflect on lessons and see if any adjustments are required -
 - articles policy in 2024
 - monographs policy in 2026
- The review will be informed by our monitoring & evaluation framework that is being developed.



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Next steps



Monographs timeline

	2022			2023				2024
	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
Core Policy	Develop process for exceptions (trade books, suitable publisher, third-party materials)			Develop guidance and resources for authors and organisations				
				Publish workflows and guidance				Publish advice and guidance
Funding	Develop process for funding			Publish process & guidance on applying for OA funds and T&Cs				
				Transition to BAU and integrate with UKRI systems				
Infrastructure	Determine and implement infrastructure requirements to support policy, working with in partnership with stakeholders							
Advocacy and engagement	Engagement with stakeholders							
				Develop case studies				Publish case studies
Monitoring and evaluation				Determine reporting requirements for monographs				Publish requirements and guidance



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Technical requirements

Research articles: the journals, publishing platforms and repositories they are made open access via need to support technical requirements and apply these so that UKRI open access outputs are useable and accessible.

For example: DOIs/URNs; Orcid; repositories registered in OpenDOAR; support standard article level metadata; machine-readable information on the open access status and the licence must be embedded in the article metadata etc.

The approach: Commissioned a review and conclude that while the consultation showed the requirements are on the whole feasible, a phased approach to full implementation is required, and some areas require further guidance.

Next steps: to set out a phased approach to implementation and support within 3 months of the policy start date, with more detailed expectations (e.g. a dedicated FAQ). From July 2022 to work with stakeholders to meet the adoption of the full technical requirements over a phased roadmap.

Working with stakeholders

Since announcing the policy planning has included roundtables with research organisations, mission groups, publishers, as well as a workshops e.g. on managing the ND exception.

We will continue to engage with stakeholders as part of policy implementation.

We are establishing a **UKRI Open Access Policy Stakeholder Forum** that will inform the policy in its operation and will replace the RCUK Open Access Practitioners Group.



Contact

For any queries about UKRI's work on open access and open research please contact the team at openresearch@ukri.org

Thank you



@UKRI_news



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Supporting UKRI OA Policy Implementation

Caren Milloy - Anna Vernon – Azhar Hussain

How we are supporting the implementation of UKRI policy

Rapidly scale-up our negotiations to put in place transitional and open access agreements so that UKRI-funded researchers have routes to publish open access in compliance with policy

Monitor and evaluate the performance of transitional arrangements and enable research organisations, funders and publishers to understand progress and impact.

Providing/developing existing tools for authors and research organisations to navigate available OA options, improve workflows and automate reporting.

Engage with research organisations, publishers, societies to develop an understanding of the challenges and to share support and best practice.

To prepare and equip the research sector with tools, guidance and publishing options in readiness for the commencement of the OA monographs policy

Scaling up negotiation and licensing

1. Recognise and support diversity
2. Support the requirements of our members

<https://www.jisc.ac.uk/content/open-access/our-role#>

Pre April 2022

- Negotiate agreements to cover c.80% of UKRI output by April 2022
- Consultation with publishers re current / intended compliance
- Data analysis, compliance evaluation, categorisation of publishers by potential model and prioritisation
- Publisher outreach
- Institutional engagement

Post April 2022

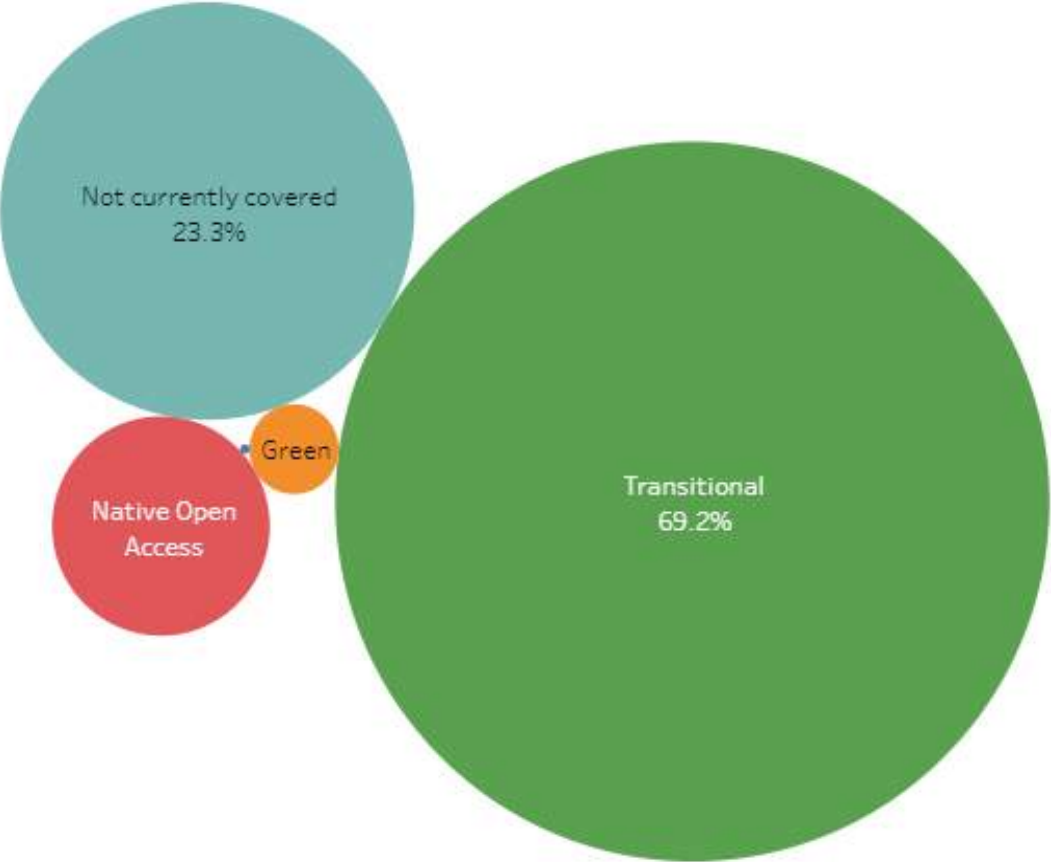
- Negotiate agreements / arrangement to cover c.90% of UKRI output by December 2022, 95% by April 2023
- Publisher outreach
- Continue negotiation, outreach and international advocacy
- Identify new models that will work in a variety of conditions in a fully OA publishing environment
- OA monographs licensing

Determining UKRI OA policy compliance

UKRI Funded Output (2017-2020) by Agreement Coverage

Agreement type

Collective action agre... Green Native Open Access Not currently covered Transitional



Agreement type	% of Total Number of articles	Number of articles
Collective action agreement	0.0%	20
Green	1.1%	1,886
Native Open Access	6.4%	11,253
Not currently covered	23.3%	40,759
Transitional	69.2%	121,207

Determining UKRI OA policy compliance

UKRI Compliance Data (2017-2020)

Breakdown of compliance routes

Number of compliant articles per year

2017	24,411
2018	24,939
2019	25,391
2020	26,634
Grand Total	101,375

Number of articles that are compliant with archiving

Compliant: Archiving	Publication Year	
yes	2017	23,350
	2018	23,915
	2019	24,418
	2020	25,551
Grand Total	97,234	

+700 publishers / societies

10949 journal titles

Of these 57.98% publications = compliant

However this didn't include

- Compliant routes negotiated/agreed for 2021/2022
- Titles newly listed in DOAJ
- Partner published titles, e.g. societies published via a parent publisher

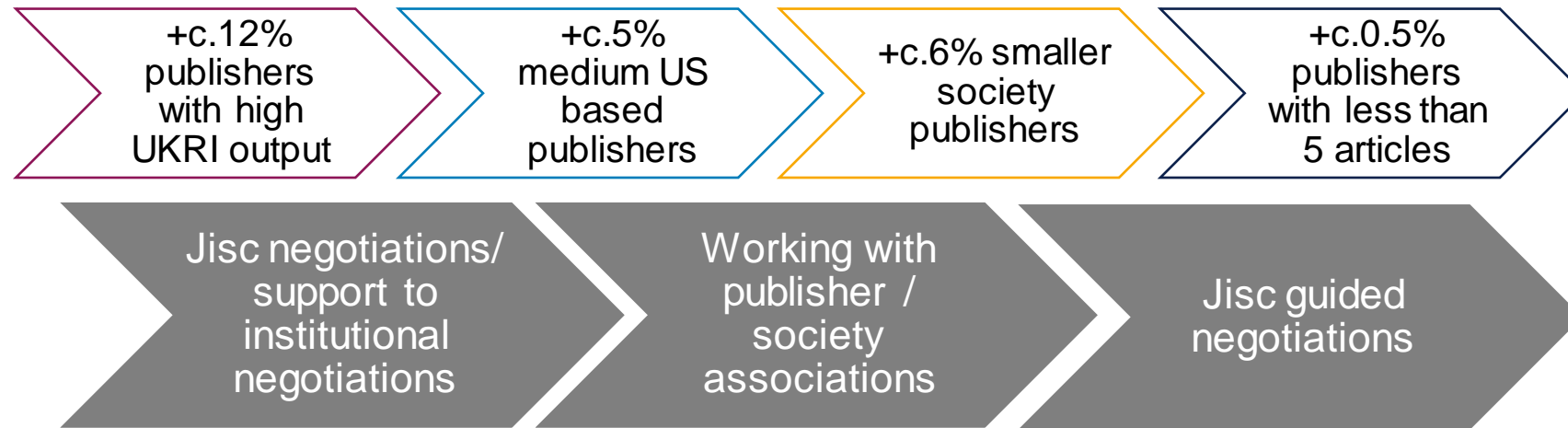
Number of compliant articles where a TA exists

Compliant: TA exists	Publication Year	
yes	2017	15,940
	2018	15,667
	2019	15,330
	2020	15,586
Grand Total	62,523	

Number of compliant articles in an OA journal that has a DOAJ listing

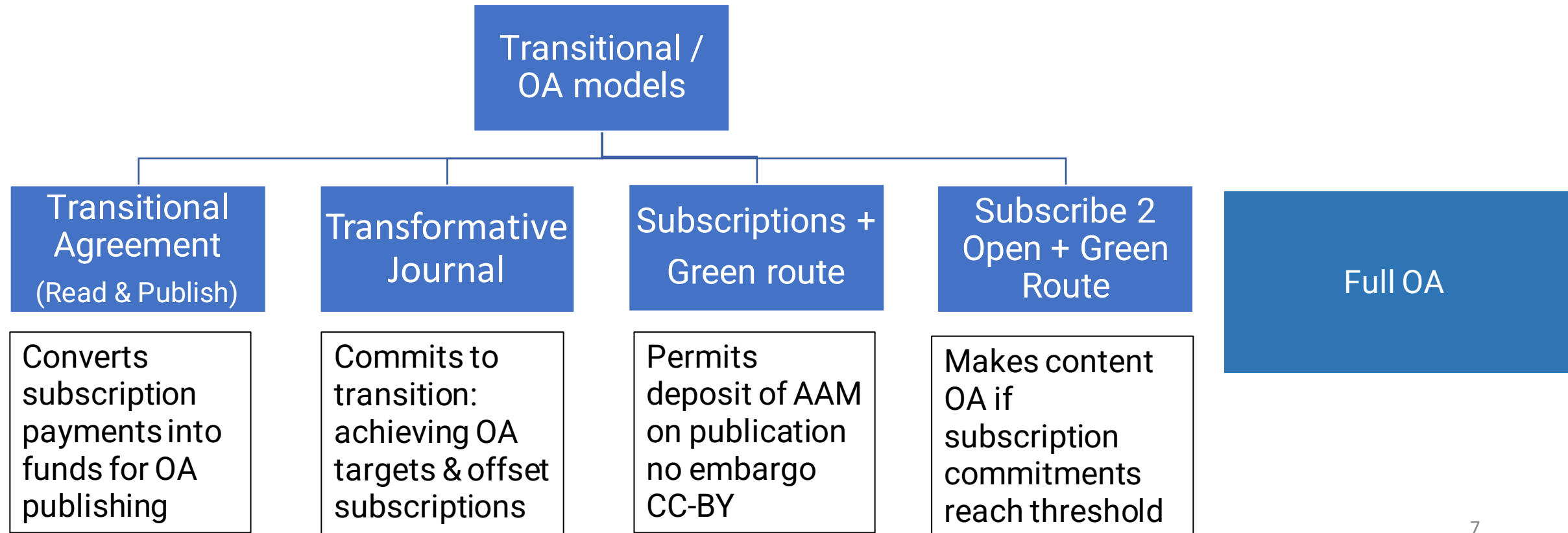
UKRI Publishing	Publication Year	
yes	2017	23,916
	2018	24,461
	2019	24,908
	2020	26,204
Grand Total	99,489	

Our approach



Routes to open access

Supporting a variety of OA publishing options



Publisher outreach

- Survey to publishers <https://jisc.onlinesurveys.ac.uk/jisc-publisher-survey-on-compliance-with-ukris-open-access>
- Events, webinars with publishers - including roundtables on challenging areas
- Resources for publishers – guides and best practice
- Towards greater automation of Open Access agreements - 28th February event: <https://www.eventbrite.co.uk/e/towards-greater-automation-of-open-access-agreements-tickets-239920668177>
- SPA-OPS 3.0 – shared resources – licences, workflows, requirements, data template drafted through consensus within a task & finish group of librarians, intermediaries and smaller independent publishers

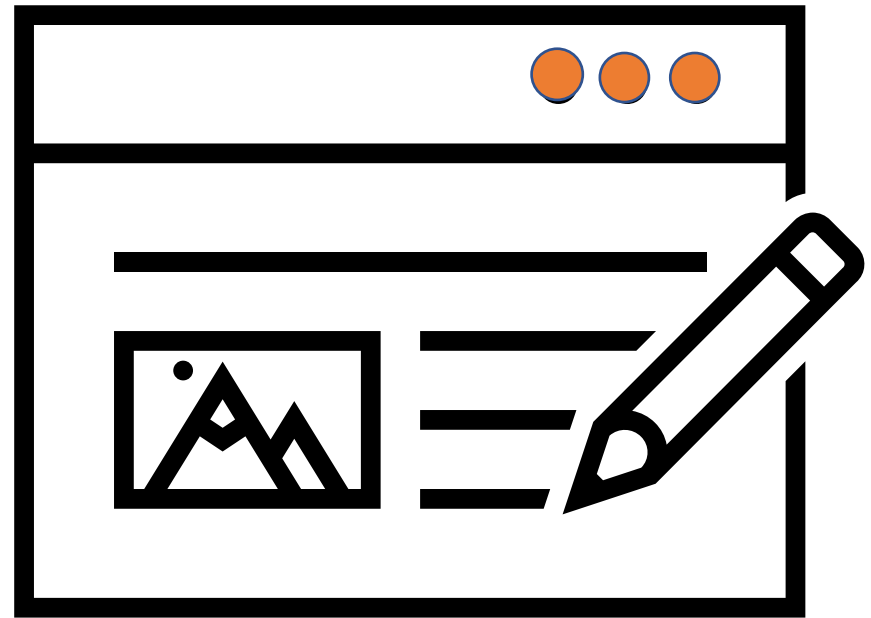
UK HE requirements for transformative journals

- Only a journal that meets both requirements 1 and 2 below will be recognised as a Jisc transformative journal:
- 1. Journals must provide one of the following routes to publishing:
 - 1.1 The journal must be included in a Jisc approved Transitional Agreement and make the Version of Record immediately open access (OA) via its website in accordance with [Route 1 of the UKRI policy \(pdf\)](#)
 - 1.2. The journal must permit the deposit of the Author's Accepted Manuscript (or Version of Record) in an institutional or subject repository at the time of final publication in accordance with [Route 2 of the UKRI policy\(pdf\)](#). The deposited version must be free and unrestricted to view and download and include a CC BY licence, or other licence permitted by UKRI. A publisher-requested delay or 'embargo period' between publication of the Version of Record and open access of the deposited version is not permitted. The deposited version must be made open access in a repository that meets the minimum technical standards that facilitate access, discovery and reuse, as defined in [Annex 2 of the UKRI policy](#).
- 2. Journals must demonstrate their commitment to a transformation and transparency by meeting Jisc agreed criteria and be listed in a Jisc approved registry. Jisc is currently using the [criteria listed in the Addendum to the Implementation Guidance for Plan S](#).
- The requirements apply to paper types specified in the [UK Research and Innovation's \(UKRI\) OA policy \(pdf\)](#) submitted for publication from 1 April 2022. Institutions may utilise UKRI funds to support eligible costs for transformative journals.

A guidance document will be available online shortly

Supporting Authors & Research Organisations to navigate available OA options & improve workflows

Datasets and use-cases



Context

For authors and research organisations to quickly, accurately, and confidently identify publishing options that are compliant with the UKRI OA policy and eligible for the use of UKRI OA funding

They need
to
know

A: Transitional Agreement (TA) is in place and a Research Organisation (RO) / author has access to this

B: Is it a “Transformative Journal” (TJ) i.e., it is a hybrid journal that has committed to transitioning to OA (and fulfils the criteria set by Jisc on behalf of UK research organisations)

C: Is it a fully OA journal

D: Is Self-Archiving of AAM allowed by the journal

Priority Use-Cases

Researchers

"I am from [HEI], I am funded by [FUNDER] and I want to publish in [JOURNAL], can I"

"As an author based at [UK HEI], I want to know if my institution has signed up for a transitional agreement that includes [JOURNAL]"

"As an author based at [UK HEI], can you help me find an appropriate journal to publish in that is part of the Jisc negotiated TAs"

Research Support Staff

"Does my IR meet Plan S and UKRI OA Policy tech requirements, and if not what do I need to do to ensure it meets these requirements"

"I want to efficiently manage applications to use HEIs APC fund and to report to UKRI on APC use and spend"

"I want to check the requirements of a funder OA policy"

"Is [JOURNAL] a transformative journal"

"I want to check if [JOURNAL] allows self-archiving and what conditions apply – embargoes, license, versions"

"I want to advise researchers on their rights and how to notify publishers, which rights they retain at point of submission"

"I want to know which TAs my HEI has subscribed to and when they expire"

"Does [JOURNAL] support Plan S Rights Retention Strategy"

Funders

"I want reports on OA publication costs and compliance"

"Monitoring and evaluation"

"Exploration of options to support OA monographs – emerging member use-cases; what data is required to serve these use-cases; does anyone currently collect this data; if so gaps in this data build data-sets and establish data partnerships"

Jisc Open Research Datasets & APIs to support Priority Use-cases

Jisc Open Datasets

Romeo

Data on publishers' OA archiving conditions for individual journals; version that can be archived; licences allowed; embargo periods. Coverage = 31,728 journals

Juliet

Data on funder OA policies and their requirements
Coverage = 176 funders

Opendoar

Data on global institutional Repositories; software; IR policies; does the IR meet UKRI technical requirements
Coverage = 5798 IRs listed

Transitional Agreements

Data on all Jisc negotiated TAs and information on deals institutions have subscribed to

* All Jisc datasets are open-datasets and have open APIs

Partnerships with Non-Jisc Open Datasets

Cross REF

Data on journal titles

ROR

Unique identifier for every research organisation in the world

DOAJ

Data on open access journals

Exploring

Transformative Journals

Data on UKRI compliant transformative journals that have committed to transitioning to OA

Analytics Data

Data to show usage of TAs and caps

Monographs

Data to support OA monograph use cases

Priority Use-cases

Data-sets that support them

"I am from [HEI], I am funded by [FUNDER] and I want to publish in [JOURNAL], can I"	ROR Juliet Cross REF DOAJ Romeo FACT Transitional Agreements
"As an author based at [UK HEI], I want to know if my institution has signed up for a transitional agreement that includes [JOURNAL]"	ROR Cross REF Transitional Agreements
"As an author based at [UK HEI], can you help me find an appropriate journal to publish in that is part of the Jisc negotiated TAs"	ROR Cross REF Transitional Agreements Romeo DOAJ
"Does my IR meet Plan S and UKRI OA Policy tech requirements, and if not what do I need to do to ensure it meets these requirements"	Juliet Opendoar
"I want to efficiently manage applications to use the APC fund and report to UKRI on APC use and spend"	Monitor Open
"I want to check the requirements of a funder OA policy"	Juliet
"I want to check if [JOURNAL] allows self-archiving and what conditions apply – embargoes, license, versions"	DOAJ Romeo
"I want to advise researchers on their rights and how to notify publishers, which rights they retain at point of submission"	Juliet Romeo
"I want to know which TAs my HEI has subscribed to and when they expire"	ROR Transitional Agreements
'Does [JOURNAL] support Plan S Rights Retention Strategy"	Juliet Romeo DOAJ
"I want reports on OA publication costs and compliance"	Monitor Open

Key priorities / next steps

1. Collaborating with cOAlition S Journal Checker Tool (JCT)
2. Focus on delivery of data and UI enhancements to ensure JCT ready to support UKRI OA policy from 01 April 2022
3. Data to support priority use-cases supplied by Jisc
4. User Acceptance Testing

Data provision to support compliance checking use-cases

Question	Supporting Data-Set	Available	API	Notes
A: Transitional Agreement (TA) is in place and a Research Organisation (RO) / author has access to this	Transitional Agreements	✓	✓ Available by 01 April 2022	This is real-time data pulled from Jisc's internal systems on which HEI has subscribed to which TA and when subscription begins and ends..
B: "Transformative Journal" (TJ) i.e., it is a hybrid journal that has committed to transitioning to OA (and fulfils the criteria set by Jisc on behalf of UK research organisations)	Transformative Journals	✓ Available by 01 April 2022	✓ Available by 01 April 2022	Currently in beta testing phase and will production ready and available for 01 April 2022.
C: Fully OA journal	DOAJ	✓	✓	Data from DOAJ on OA journals.
D: Self-Archiving of AAM is welcomed by the journal E: Self-Archiving of AAM is not welcomed by the journal	Sherpa Romeo	✓	✓	Data from Sherpa Romeo can be used to answer these questions..

Thank you

Open Access policy support

Suzanne Tatham, Associate Director, Library, with input from Lisa McLaren, Academic Services Manager and Sam Nesbit, Open Access Librarian



Commitment to Open

- Publically-funded research and scholarship should be openly available to all and free at the point of access
- Keeping this as our focus
- Aspirational statements alongside enabling policies – impacting on the narrative around open access



https://all-free-download.com/free-photos/download/single_white_flower_210056.html

Acknowledging the risks

Risk:

Failure to comply with funder policies could lead to reputational damage and impact on income

Mitigation:

- Revising our OA policy
- Communicating it widely
- Develop Library expertise
- Timely UKRI policy announcements
- Broader community work around implementation, reporting and advocacy

Communicating changes

Change in the messaging:

- Senior buy-in
- Understanding the new timeline – what do you need to think about and when?
- ‘Act on acceptance’ but ‘Check before submitting’?



https://all-free-download.com/free-photos/download/seemed_train_railway_236877.html

Workflow changes

Author contacts us **ahead of submission:**

- Chance to explain requirement to include set statement
- Can advise author on how to respond to publisher refusal
- Potentially enough time to look for alternative venue

Author contacts us **after submission:**

- May not have included set statement
- May have already signed copyright transfer agreement
- May have submitted to a non-compliant journal

Diversifying our approach

- Signing up for transitional agreements with smaller publishers
- Encouraging alternative routes, eg OA memberships



https://commons.wikimedia.org/wiki/File:Eggs_in_basket_2020_G1.jpg

Monographs

- Are we talking enough about monographs?
- A more significant change potentially – are researchers prepared?
- Opportunities for new models of publishing, eg Central European Press



https://commons.wikimedia.org/wiki/File:Ever_Given_container_ship.jpg



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THE AWARDS
2020

UNIVERSITY
OF THE YEAR

UKRI Open Access Support

Research Information Management team
research-openaccess@glasgow.ac.uk

WORLD
CHANGING
GLASGOW



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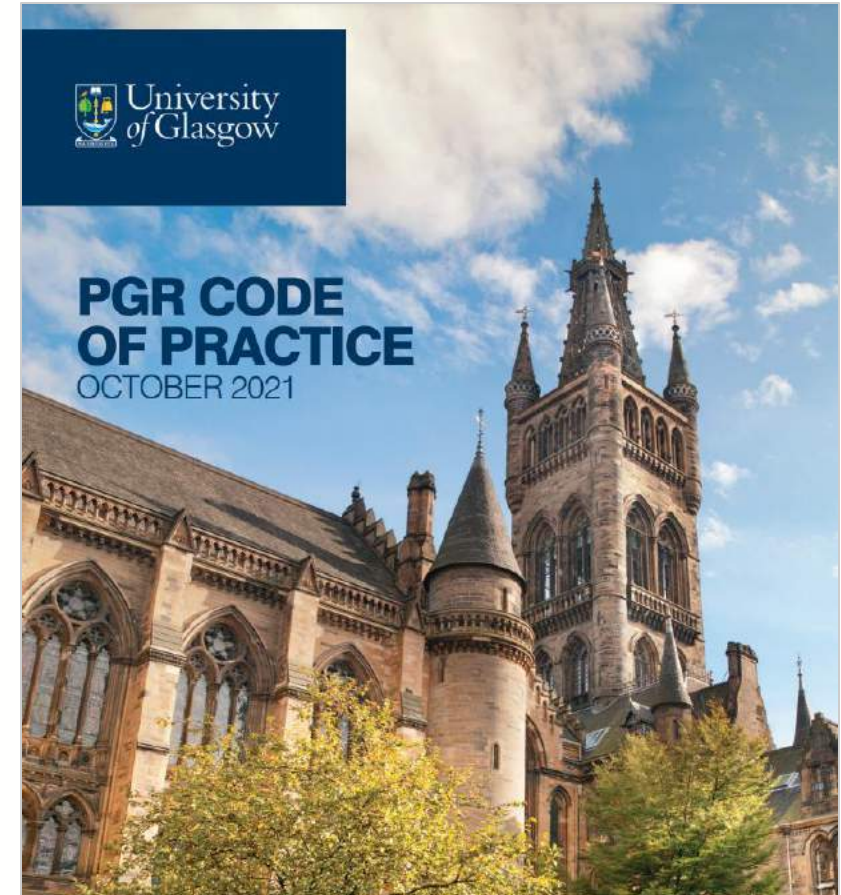
University of Glasgow policies

Outputs should be made open access where possible.

Code of Good Practice in Research

Postgraduate Research Code of
Practice

Good Management of Research
Data Policy




Established Service for Open Access

Support Mechanisms	Examples
Simple centralised and well-established process	Central mailbox, mediated record creation. 1 year + of support for Wellcome Trust policy.
Simple guidance	Simple message Web pages and videos at high level
Simple language	Published version or accepted version (VoR, gold, route 1, AAM, green, route 2) Publisher arrangements (transitional, transformative, hybrid)
Communications	News, adverts, drop-in sessions, Research and Knowledge Exchange Committee meetings.
Information Management	Bespoke open access database. We have (nearly) all the data in one place.



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Output from Jisc Open Access Pathfinder Project

UKSG

Insights

Reading: Managing open access with EPrints software: a case study

Share:    

Case Studies

Managing open access with EPrints software: a case study

Authors: Valerie McCutcheon , Mick Eadie

<http://dx.doi.org/10.1629/uksg.277>



Repository - Administrator View

Edit item: Case study: managing open access with EPrints software

Type → Upload → Details → Roles → Subjects → Funding → Open Access → RCUK → REF CC

< Previous Save and Return Cancel Next >

This section is for Open Access information about articles and conference proceedings only.

Type

Gold Hybrid
Gold Full OA
Green
No Green Option
No OA Option
No Publisher Response
Pending
Other

Estimated Costs

Estimated Cost:

Pre Payment:

UNSPECIFIED
Yes
No

Funding Source:

UNSPECIFIED
Arthritis UK
Breast Cancer Now
British Heart Foundation
Bloodwise
Cancer Research UK
CSO
Gold Other
MRC CVR
MRC SPHSU

Open Access Triage

Metadata includes:

- OA route
- funding source
- Invoice reconciliation
- Funding acknowledgement
- Data statement inclusion

Support Network

**Research Planning and
Strategy Committee**

Local Management, Admin,
Champions



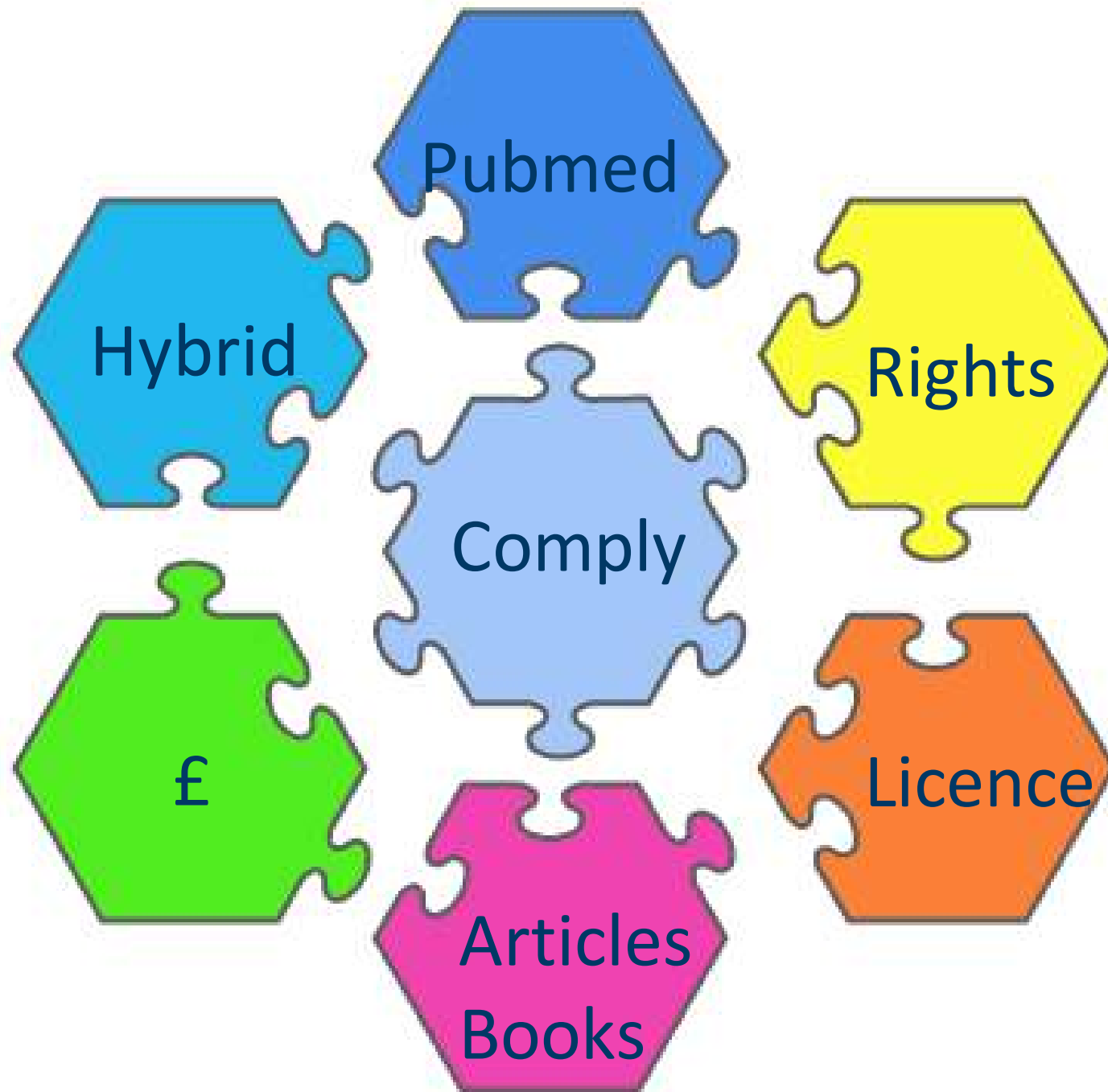
<https://www.create.ac.uk/>



UKCORR



“.....culture needs embedded in all disciplines, including the social sciences and humanities. It is about trust, and willingness to bear some risks.” Martin Kreschmer, Director, CREATE





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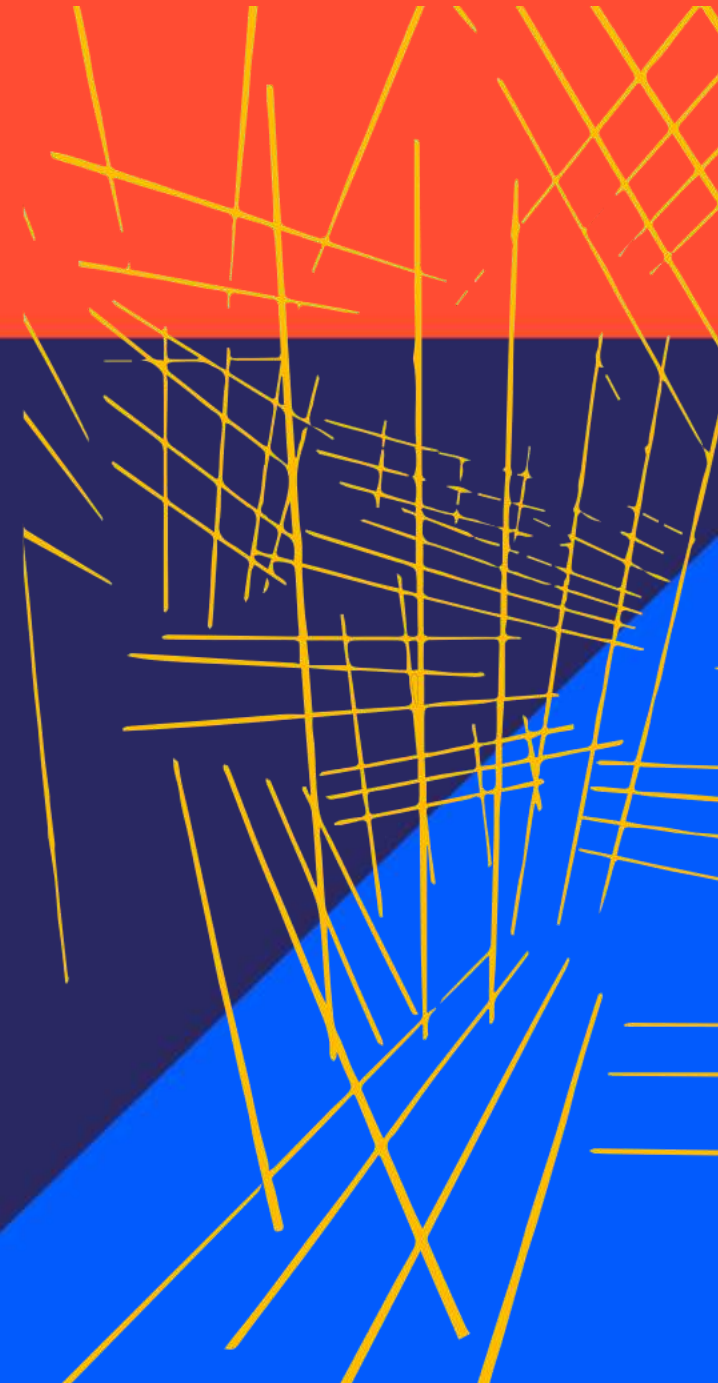
Information & Good Practice Sharing Webinar

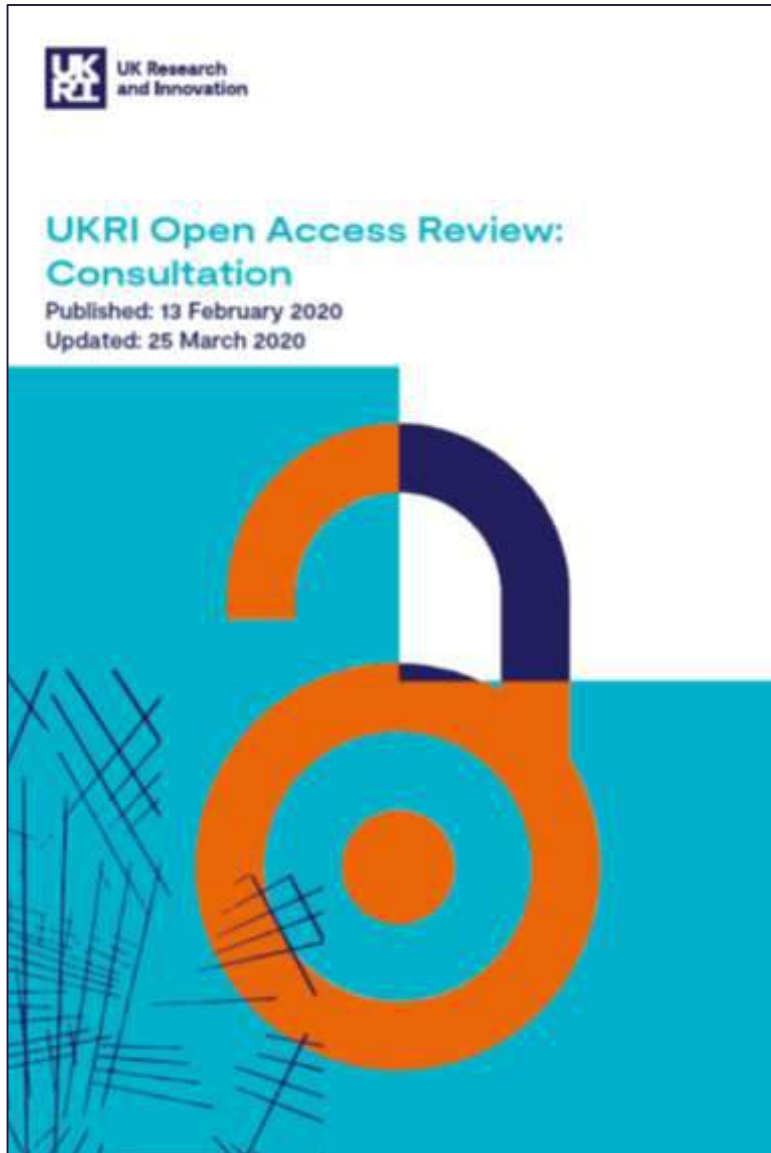
Rachel Bruce, Head of Open Research
Anisha Ahmed, Open Research Strategy Lead



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Background and policy overview





Open Access Review 2018 - 2021

- In 2018, UKRI launched its Open Access (OA) Review
- Aims of the review: immediate Open Access – moving from a missed target of 75% in 2016; affordability; alignment across UKRI, UK and internationally.
- The Review process included:
 - Extensive engagement with stakeholders via roundtables and workshops
 - Evidence-gathering and analysis
 - Public consultation
 - Independent economic assessment
- Further information: [Shaping our open access policy – UKRI](#)

Government commitment, 2020

*“Crucially, we must embrace the potential of open research practices. **First, we will require that research outputs funded by the UK government are freely available to the taxpayer who funds research. Such open publication will also ensure that UK research is cited and built on all over the world.** We will mandate open publication and strongly incentivise open data sharing where appropriate, so that reproducibility is enabled, and knowledge is shared and spread collaboratively.”*

[UK Research and Development Roadmap - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/612222/uk_rd_roadmap.pdf)



The policy applies to

Research publications, as defined below, that need to acknowledge funding from UKRI or any of its councils, including Innovate UK and Research England.

- **Peer-reviewed research articles submitted from 1 April 2022**, including reviews and conference papers, that are accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or publishing platform.
- **Monographs, book chapters and edited collections published from 1 January 2024**
 - Unless a contract has been signed between the author and the publisher before this date that prevents adherence to the policy. However, UKRI strongly encourages authors and publishers to make publications open access.
 - In-scope long-form outputs are detailed further at [Annex 1 in the policy](#).

Requirement for research articles

*Immediate open access for in-scope publication types that acknowledge UKRI funding with a **CC BY** licence*

The policy requirement is permissive and agnostic to the route by which open access is achieved.



Routes to compliance

- **Route 1:** Publish the research article open access in a journal or publishing platform which makes the Version of Record immediately open access via its website with a CC BY or other permitted licence.
- **Route 2:** Publish the research article in a subscription journal and deposit the Author's Accepted Manuscript (or Version of Record, where the publisher permits) in an institutional or subject repository at the time of final publication.
 - Submissions must include the following text in the funding acknowledgement section of the manuscript and any cover letter/note accompanying the submission:
 - 'For the purpose of open access, the author has applied a Creative Commons Attribution (CC BY) licence (where permitted by UKRI, 'Open Government Licence' or 'Creative Commons Attribution No-derivatives (CC BY-ND) licence may be stated instead) to any Author Accepted Manuscript version arising'

ND licence exception

Case-by-case exception available for a more restrictive licence: CC BY ND (no derivatives licence). This licence prevents the unauthorised dissemination of derivative works e.g. a translated document.

The exception is being managed by the funding policy team and the process is already available.

The exception process will allow us to gather evidence:

- to justify restricting opportunities for sharing & reusing publicly-funded research
- to demonstrate issues arising from a CC BY policy requirement
- to inform future review of our policy

Process:



Requirements for long-form publications

- From 1 January 2024, the policy extends to in-scope monographs, book chapters and edited collections.
- Permissive approach via **Version of Record** or the **Author's Accepted Manuscript** to be open access under a **Creative Commons licence, within 12 months of publication.**
- Where the Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.



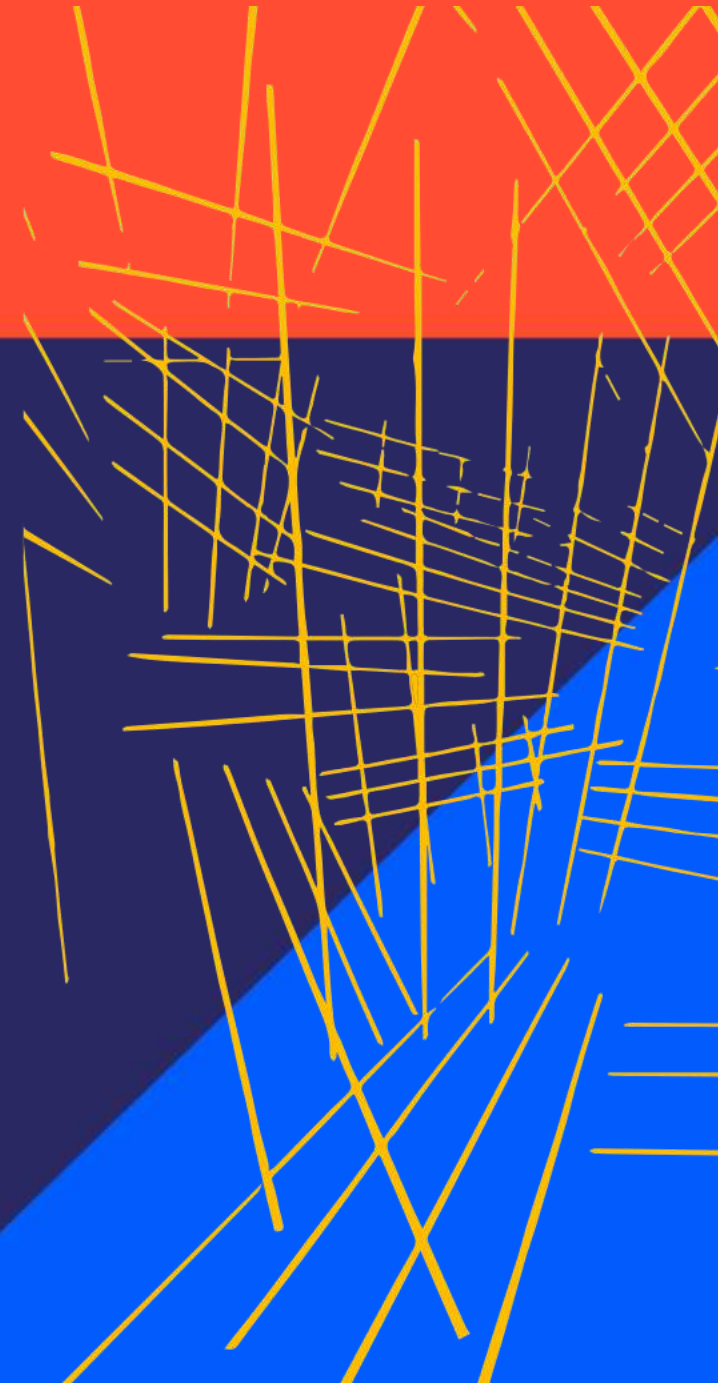
Exemptions for long-form publications

- Where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy.
- Where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication.
- Long-form outputs arising from UKRI Training Grants are exempt from the requirements, recognising that publication may occur sometime beyond the lifetime of a training grant. UKRI expects research organisations to support early career researchers to make long-form outputs open access, where possible.



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Supporting the sector to implement the policy



Supporting open access

- Increasing funding to support open access from £24M to £46.7M per year. This includes allocations to the research articles block grant, a dedicated fund for monographs and the policy supporting actions. To more research organisations and changing to standard financial reporting.
- Ensuring open access options for authors, by supporting Jisc to enable more research organisations, publishers and learned societies to participate in transitional open access arrangements.
- Providing a tool to help identify compliant and eligible journals: UKRI and Jisc are working with the Journal Checker Tool to provide this.
- Research England Development (RED) Fund support for the UK Reproducibility Network to promote uptake of open research practices.

Eligible costs for UKRI funds: research articles

The block grant can be used to cover costs that enable research organisations to meet the aims of our open access policy

- article processing charges (APCs) and charges through other types of funding models (for example, membership fees) that support publication in fully open access journals and platforms
- publish elements of Jisc-approved transitional agreements
- open access fees in journals approved by Jisc as meeting the research sectors requirements for transition to open access
- costs associated with open access through 'route two' of the policy, for example making the author's accepted manuscript available in an institutional or subject repository at the time of final publication, or developing a repository to support the policy.
- Associated staff costs for supporting researchers, agreements, repositories etc.

UKRI funds cannot be used for:

- the cost of hybrid open access publishing in subscription journals, unless part of Jisc-approved transitional agreement (that your organisation is party to) or meeting Jisc's requirements for transformative journals. (These are agreed with the research sector and via the UUK Jisc content negotiations group)

Guidance and resources

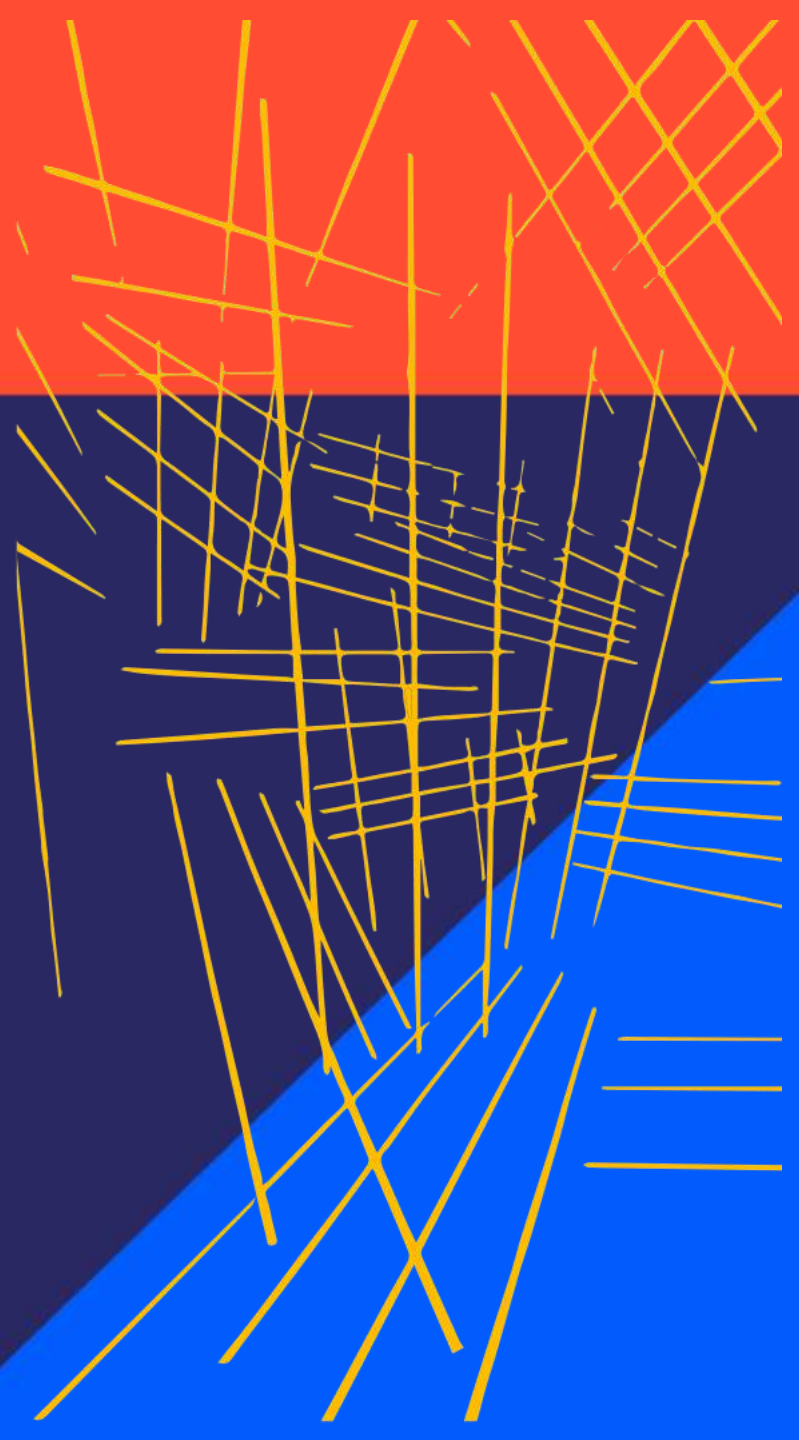


- [Updated policy document and a supplementary FAQ](#)
- [Guidance for authors](#)
- [No-derivatives licence exception process and guidance](#)
- [Information pack for research organisations to use to engage researchers](#)



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Monitoring & evaluation





Monitoring & evaluation

- Monitoring and evaluation of the new policy enables assessment of:
 - progress towards open access
 - compliance with the policy
 - benefits of the policy
 - evidence of unintended consequences
- UKRI requires compliance with the open access policy via the terms and conditions of its funding.
- Compliance monitoring will be done using existing data sources.



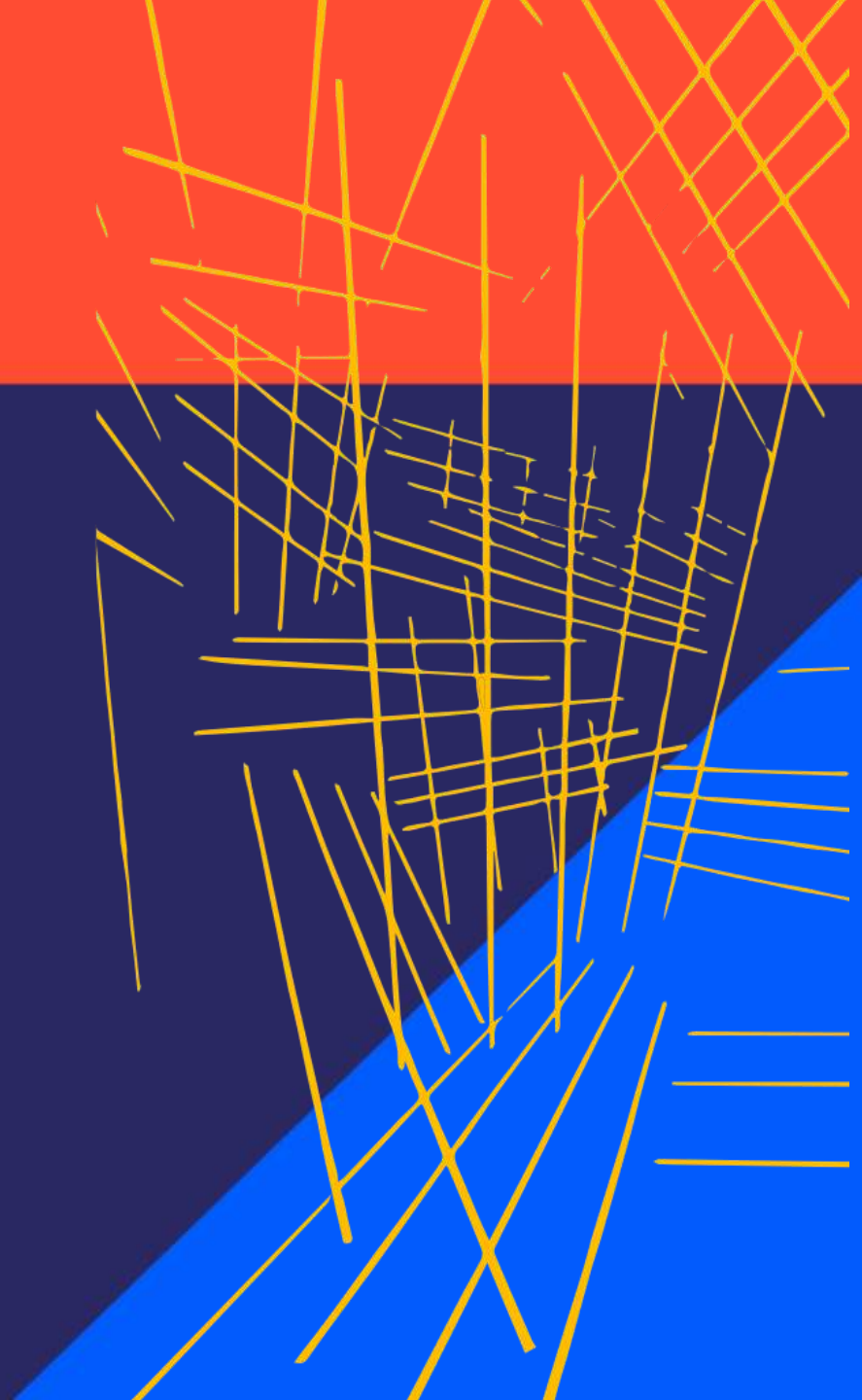
Monitoring & evaluation

- A small-scale review point will be held within 2 years of start dates, where we can reflect on lessons and see if any adjustments are required -
 - articles policy in 2024
 - monographs policy in 2026
- The review will be informed by our monitoring & evaluation framework that is being developed.



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Next steps



Monographs timeline

	2022			2023				2024
	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
Core Policy	Develop process for exceptions (trade books, suitable publisher, third-party materials)			Develop guidance and resources for authors and organisations				
				Publish workflows and guidance				Publish advice and guidance
Funding	Develop process for funding			Publish process & guidance on applying for OA funds and T&Cs				
				Develop terms and conditions		Transition to BAU and integrate with UKRI systems		
Infrastructure	Determine and implement infrastructure requirements to support policy, working in partnership with stakeholders							
Advocacy and engagement	Engagement with stakeholders							
				Develop case studies		Publish case studies		
Monitoring and evaluation				Determine reporting requirements for monographs		Publish requirements and guidance		



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Technical requirements

Purpose: journals, publishing platforms and repositories need to support technical requirements and apply these so that UKRI open access outputs are discoverable and useable.

The approach: Commissioned a review which concluded that the requirements are on the whole feasible, a phased approach to full implementation is required, and some areas require further guidance.

Next steps: to set out a phased approach to implementation and support within 3 months of the policy start date, with more detailed expectations (e.g. a dedicated FAQ). From July 2022 to work with stakeholders to meet the adoption of the full technical requirements over a phased roadmap.

Working with stakeholders

Since announcing the policy, planning has included roundtables and workshops with research organisations, mission groups and publishers.

We will continue to engage with stakeholders as part of the policy implementation.

We are establishing a **UKRI Open Access Policy Stakeholder Forum** that will inform the policy in its operation and will replace the RCUK Open Access Practitioners Group.



Contact

For any queries please contact the team at openresearch@ukri.org

Thank you



@UKRI_news



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Supporting UKRI OA Policy Implementation

Anna Vernon – Caren Milloy – Liz Bal

How we are supporting the implementation of UKRI policy

Rapidly scale-up our negotiations to put in place transitional and open access agreements so that UKRI-funded researchers have routes to publish open access in compliance with policy

Monitor and evaluate the performance of transitional arrangements and enable research organisations, funders and publishers to understand progress and impact.

Providing/developing existing tools for authors and research organisations to navigate available OA options, improve workflows and automate reporting.

Engage with research organisations, publishers, societies to develop an understanding of the challenges and to share support and best practice.

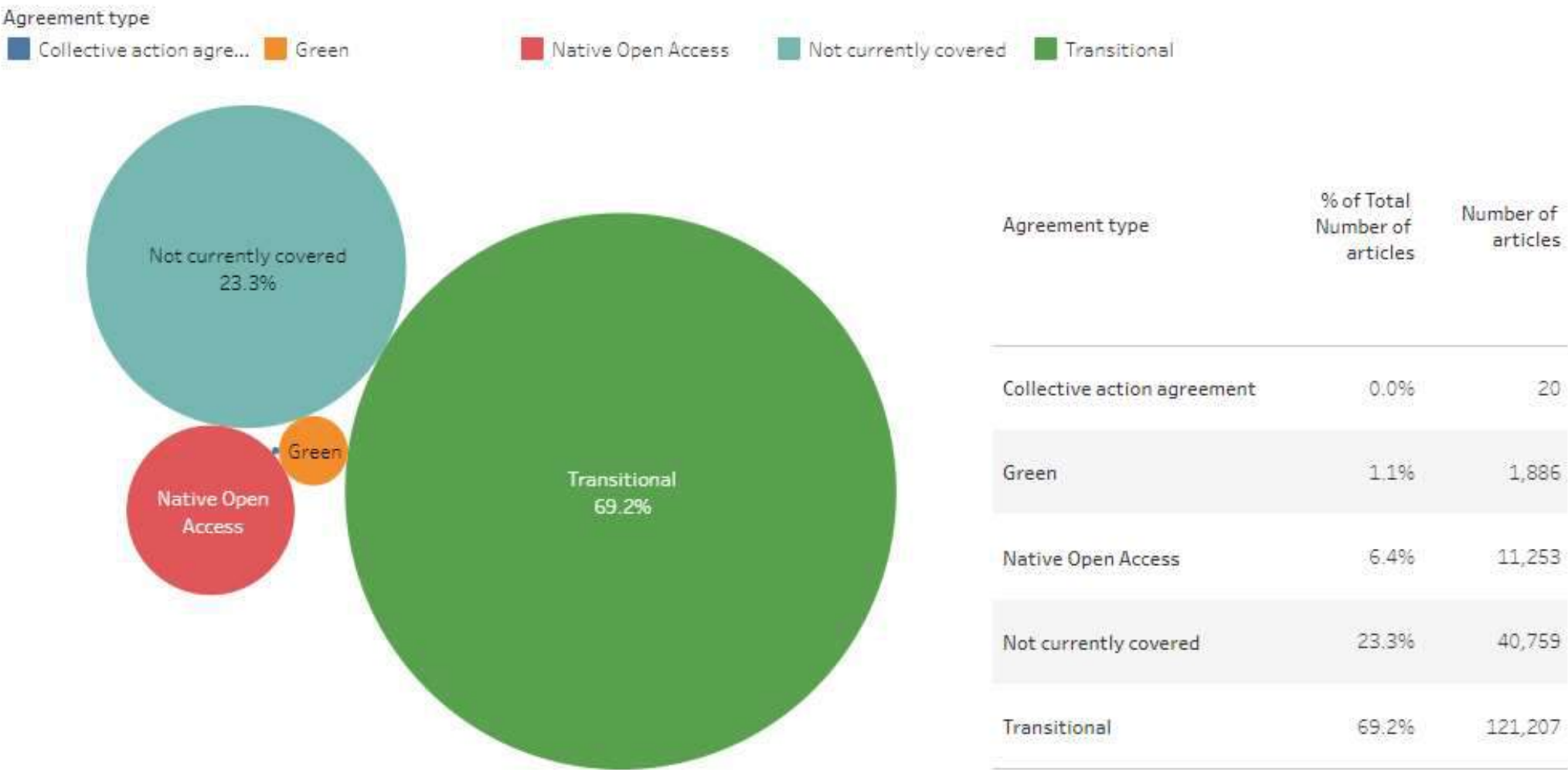
To prepare and equip the research sector with tools, guidance and publishing options in readiness for the commencement of the OA monographs policy

Scaling up negotiation and licensing

1. Recognise and support diversity
2. Support the requirements of our members
<https://www.jisc.ac.uk/content/open-access/our-role#>

Determining UKRI OA policy funding eligibility

UKRI Funded Output (2017-2020) by Agreement Coverage



Determining UKRI OA policy funding eligibility

UKRI Compliance Data (2017-2020)

Breakdown of compliance routes

Number of compliant articles per year

2017	24,411
2018	24,939
2019	25,391
2020	26,634
Grand Total	101,375

Number of articles that are compliant with archiving

Compliant: Archiving	Publication Year	
yes	2017	23,350
	2018	23,915
	2019	24,418
	2020	25,551
Grand Total		97,234

Number of compliant articles where a TA exists

Compliant: TA exists	Publication Year	
yes	2017	15,940
	2018	15,667
	2019	15,330
	2020	15,586
Grand Total		62,523

Number of compliant articles in an OA journal that has a DOAJ listing

UKRI Publishing	Publication Year	
yes	2017	23,916
	2018	24,461
	2019	24,908
	2020	26,204
Grand Total		99,489

10949 journal titles

Of these 57.98% publications offered routes that were eligible for UKRI OA funding.

However this did not include

Agreements negotiated/agreed for 2021/2022

Titles newly listed in DOAJ

Partner published titles, e.g. societies published via a parent publisher

Our approach

Pre April 2022

We have now contacted and in discussion or supporting discussions with all publishers that published UKRI funded research in the last 3 years.

Discussions also include:

Negotiating options for excluded titles,

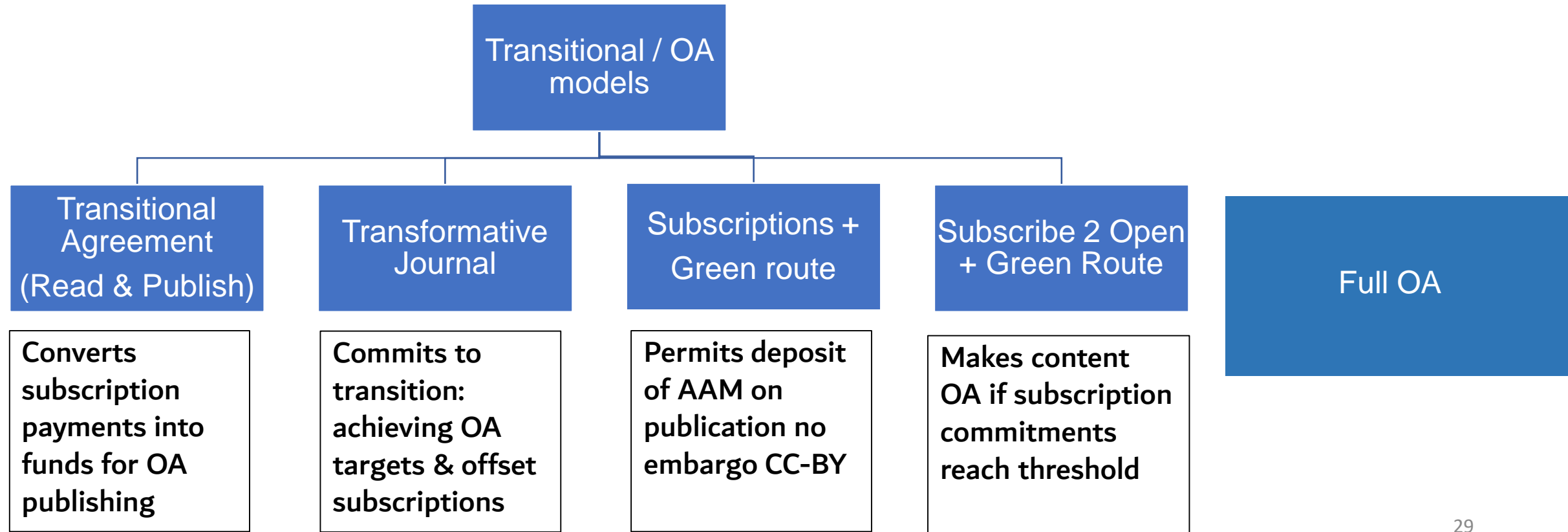
Broadening participation in TAs

Ensuring that funded articles are prioritised in TAs

Ensuring review articles are covered

Routes to open access

Supporting a variety of OA publishing options



Publisher outreach

Survey to publishers <https://jisc.onlinesurveys.ac.uk/jisc-publisher-survey-on-compliance-with-ukris-open-access>

Events, webinars with publishers - including roundtables with the Publishers Association on challenging areas including co-authors

Resources for publishers – guides and best practice

SPA-OPS 3.0 – shared resources – licences, workflows, requirements, data template drafted through consensus within a task & finish group of librarians, intermediaries and smaller independent publishers

Post April 2022

Continue negotiation, outreach Increased focus on international advocacy

Identify new models that will work in a variety of conditions in a fully OA publishing environment

OA monographs licensing

Brokering fully OA agreements

UK HE requirements for transformative journals

- Only a journal that meets both requirements 1 and 2 below will be recognised as a Jisc transformative journal:
- 1. Journals must provide one of the following routes to publishing:
 - 1.1 The journal must be included in a Jisc approved Transitional Agreement and make the Version of Record immediately open access (OA) via its website in accordance with [Route 1 of the UKRI policy \(pdf\)](#)
 - 1.2. The journal must permit the deposit of the Author's Accepted Manuscript (or Version of Record) in an institutional or subject repository at the time of final publication in accordance with [Route 2 of the UKRI policy\(pdf\)](#). The deposited version must be free and unrestricted to view and download and include a CC BY licence, or other licence permitted by UKRI. A publisher-requested delay or 'embargo period' between publication of the Version of Record and open access of the deposited version is not permitted. The deposited version must be made open access in a repository that meets the minimum technical standards that facilitate access, discovery and reuse, as defined in [Annex 2 of the UKRI policy](#).
- 2. Journals must demonstrate their commitment to a transformation and transparency by meeting Jisc agreed criteria and be listed in a Jisc approved registry. Jisc is currently using the [criteria listed in the Addendum to the Implementation Guidance for Plan S](#).
- The requirements apply to paper types specified in the [UK Research and Innovation's \(UKRI\) OA policy \(pdf\)](#) submitted for publication from 1 April 2022. Institutions may utilise UKRI funds to support eligible costs for transformative journals.

Guidance documents will be available online shortly

Examples

1. A TA is in place with the Particle Institute

Institution A does not subscribe to TA but it is a TJ. Can Institution A use UKRI OA funds to pay APCs on an ad hoc basis to a journal in that TA but not sign up to the TA?

Yes, they can use UKRI OA funds to pay for the TJ as the publisher *offers* route 1.1 for that journal

2 The journal particle physics X is excluded from the TA.

No, the institution cannot use UKRI funds to pay for the TJ if the publisher has not offered either route 1.1 or 1.2

Guidance documents will be available online shortly

Common questions

Can UKRI funds be used to pay APCs so that UKRI funded coauthors' output can be made OA?

Jisc and UKRI are currently considering this issue with publishers. If the funded author eligible for UKRI OA funding can assume corresponding author status they can do.

This usually means that they have the authority to act on behalf of all the co-authors and will also be the contact for enquiries after publication. There are broader workflow considerations as well as working out how we as a sector consider how we size our agreements and work with other open access arrangements operating globally.

Common questions

There are other models available, such as community-based open access models and Subscribe to Open. How do the requirements for transformative journals (TJ) work with these?

Journals that are part of other Jisc open access (OA) agreement models, such as Subscribe 2 Open, can register as transformative journals as long as they fulfil the sector requirements by offering an immediate OA option.

Will there be different lists - journals that qualify as Jisc transformative journals (TJ) in the UK and those that are listed by cOAlition S?

Yes. There will be some variation from the list of TJs listed by cOAlition S and the Jisc list if a publisher doesn't meet the criteria, either by providing a transitional agreement that meets the sector's requirements or by offering the zero-embargo green route (Route 2)

Guidance documents will be available online shortly



UKRI Open Access Policy Information & Good Practice Sharing

University of Southampton Library Approach

Dr Steven Vidovic Head of Open Research and Publication Practice

17 March 2022

Preparing for the new UKRI policy

Supporting staff and students

- Decision making
- Education
- Signposting
- Services to support Route 1 and Route 2
- Detection and intervention to support Route 2 and to report on Route 1
- Reporting

Library services and resources

- Triaged email/ticketing service
 - Expert themes
- Minimum deposit requirements – mediated deposit to institutional repository
- SciFree

<https://library.soton.ac.uk/openaccess/agreements>



Search for the Journals

included in open access agreements

Bioscience



These open access agreements are open to University of Southampton corresponding authors

- Your University of Southampton affiliation must be stated in the published article
- Use your soton.ac.uk email address
- Search using the full journal title (publisher-level information is on our [Transformative Agreements](#) page)
- Contact us at openaccess@soton.ac.uk

Results for "Bioscience" 7 / 7

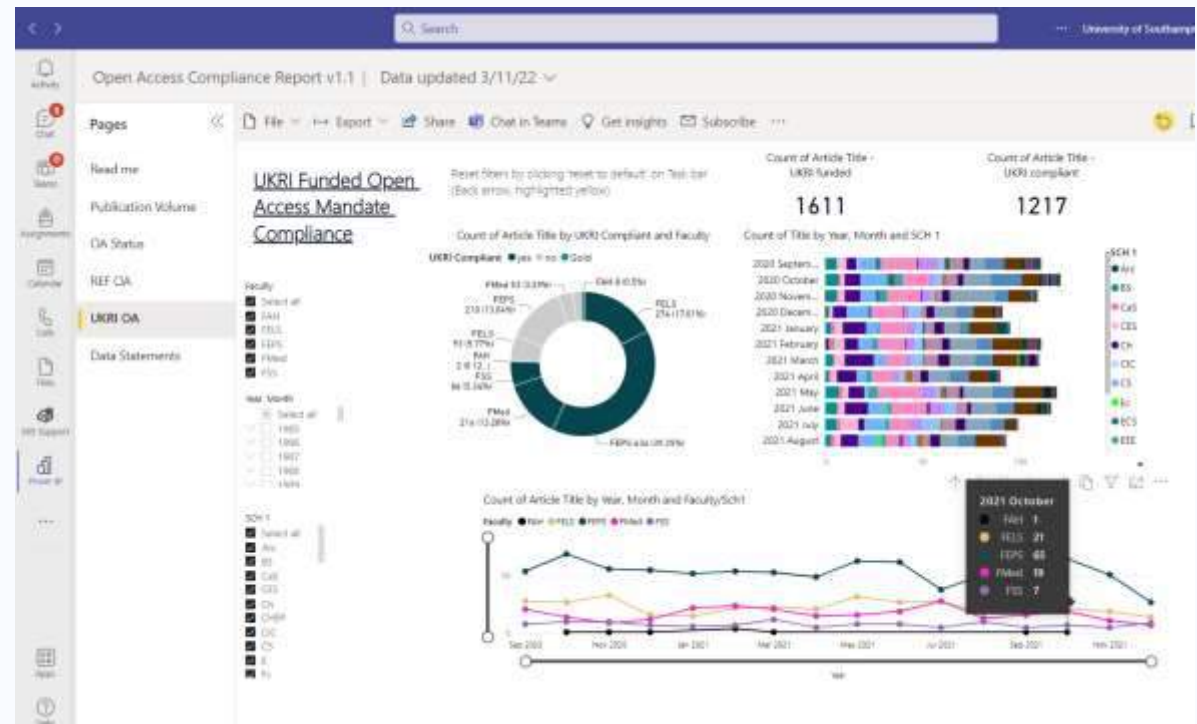
Journals	Included in Agreements	License Option	Publishing Model
BioScience	Included		Hybrid
Bioscience Biotechnology and Biochemistry	Included		Hybrid
Macromolecular Bioscience			Hybrid
Journal of Biosciences	Included		Hybrid

POWERED BY
SciFree



Fortnightly checks and reporting

- Fortnightly checks for recent publications in Scopus & WoS
- Cross-reference with repository
- Research Administrator intervention
- Check the publishers' webpages
- Presented in MS PowerBI



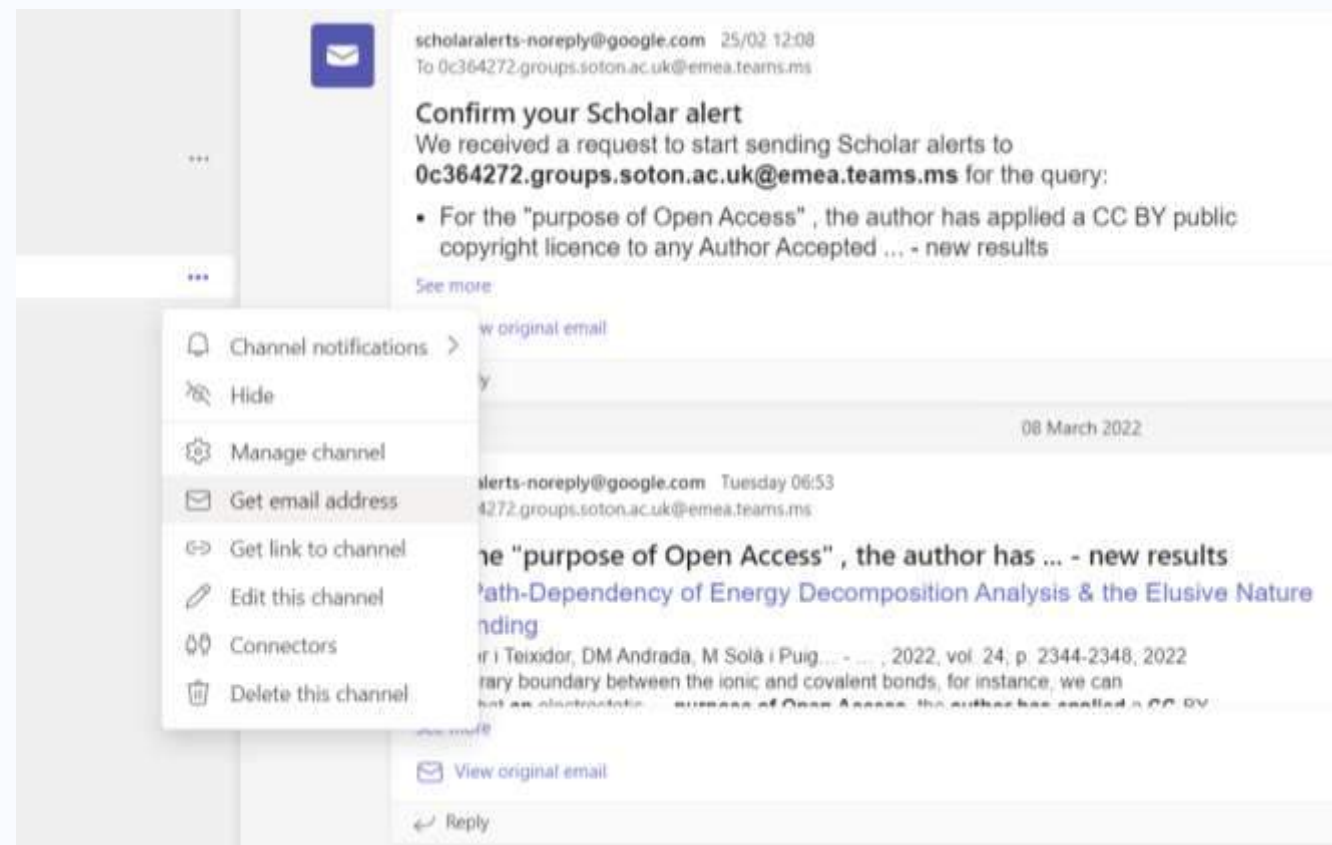
Education & Signposting

- Open Research Symposia
- School/Department/Research Group knowledge transfer sessions
- Recorded webinars
- Townhall
- Newsletters and communications
- Website
- Simplified guides



Identifying route 2 papers

- Google Scholar indexes full text
- Search for the known DOI or institution name AND a common phrase e.g. 'purpose of open access'
- Setup alerts – you can send alerts to a MS Teams channel
- Working on a web scraping solution



Putting the University of Southampton in context



- Place
- People
- Partners



UKRI Open Access Policy Information & Good Practice Sharing

Supporting the new policy at the University of York

Thom Blake | Open Research Manager
Library, Archives and Learning Services

University of York



- Research-intensive Russell Group University
- Faculties of Sciences, Social Sciences, and Arts & Humanities
- Around 1,700 academic staff
- Around 22,000 students, 1,400 postgraduate researchers
- Publish around 2,600 research articles per year, and about 400 long-form outputs
- About $\frac{1}{3}$ of publications supported by UKRI



Support already in place

- Library-based Open Research team
- York Open Access Fund - Block grant funding (UKRI, Wellcome, BHF)
- Institutional deposit mandate

Implementing the new policy

Key challenges -

- Increasing publishing options
- Communicating publishing options
- Managing 'rights retention'
- Monitoring and reporting

Increasing publishing options

Being able to publish in their journals of choice is clearly important to researchers.

- Transformative agreements
- Looking at implementing a University rights retention policy
 - Future-proofing
 - Simplified single approach for all researchers
 - Strengthens institutional backing for researchers
 - Supports our University commitment to open research

Communicating publishing options

Open access now widely understood and accepted, but some of the 'new' ways of achieving it are not.

- Lots of presentations, attending meetings and email mailings
- Practical guide for York researchers (in draft)
- Providing journal-level information for transformative agreements
- Journal lists for each department giving options

Managing ‘rights retention’

Researchers want certainty about how this will work, and at the moment it’s hard to find any.

- Very challenging concept to communicate
- We don’t know what kind of post-publication support will be needed
- Introducing more systematic checks for ‘rights retention’ text
- Working on ways to record inclusion of the text

Monitoring and reporting

We - not just the library but academic departments and individual researchers - need to know how we're doing.

- We're checking access requirements against our own institutional repository Unpaywall, and CrossRef
- Manual checking for data access statements
- This is a really good opportunity to develop shared, standardized ways for monitoring progress to open access



www.york.ac.uk/library-research



lib-open-research@york.ac.uk



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