

UKRI Open Access Policy Stakeholder Forum

Meeting 1 summary

26 October 2022, 13:30-15:30

58 Victoria Embankment, London and virtual

Item 1 – Welcome

Rachel Bruce, Head of Open Research at UKRI, welcomed members to the first meeting of the UKRI Open Access Policy Stakeholder Forum.

The Forum will support the implementation of the UKRI Open Access Policy and wider research sector transition to open access. It provides an opportunity for UKRI to update, and seek feedback, from stakeholder communities, and for the community to identify common issues and share best practice.

The agenda and participants are provided at **Annex 1**.

Item 2 – Draft and ways of working

Members reviewed the draft terms of reference and ways of working.

It was agreed that, unless marked otherwise by UKRI, members can share meeting documentation with the organisations and communities they represent.

To include some researcher representation, UKRI is considering inviting a couple of Future Leaders Fellows to join the Forum. Members advised that disciplinary representation, diversity of awareness and perspectives and clarity of role would need to be considered.

It was suggested representation from UK Reproducibility Network be invited, to provide a link to researcher communities.

ACTION: members to share additional feedback on the terms of reference and ways of working via email.

Item 3 – Update on implementation of the UKRI Open Access Policy

Tahia Zaidi, Senior Open Research Advisor at UKRI, updated the Forum UKRI's [implementation activities](#) for research articles and monographs. Key points are noted at **Annex 2**.

UKRI will publish an update on its [implementation activities](#) and to the [FAQs](#) in November.

Item 4 – Update on Jisc open access activities

Caren Milloy, Director of Licensing at Jisc, presented an update on Jisc's activities to support the implementation of the UKRI Open Access Policy. Some key points noted (also see presentation slides at **Annex 3**):

- Jisc have been leading 388 publisher negotiations. Transitional agreements have been an important mechanism for providing routes that are compliant with the policy and

eligible for block grant funding, particularly for larger publishers. Jisc are also supporting a diversity of routes and methods (e.g. subscribe to open, diamond) so all types of publisher can offer compliant publication route.

- There has been good progress in compliant publishing venues available to authors. Of articles reporting UKRI funded research 2017-2021, over 90% are published in venues that offer compliant routes with the new policy – a 17% increase since January. Over 88% of journals these articles were published in offer compliant routes – a 14% increase since April. Across different disciplines, including arts, social sciences and humanities, 79-90% journals offer compliant routes and are eligible to receive UKRI open access funds. In some areas, such as physical sciences options should raise further once ongoing negotiations are completed.
- Jisc is working with the [UUK/Jisc Content Negotiation Strategy Group](#) on objectives for long-form outputs. It wants to support viable options for all authors. Jisc is also engaging with publishers and already has some diamond agreements in place.
- Jisc is working on supporting infrastructure, including tools and metadata to make it as simple as possible for authors and institutions to navigate and understand open access policies. This includes initiating work on developing a standardised dataset on publisher policies for long-form / monographs.

Members reflected that the analysis presented was helpful and could be used to support their engagement with researchers. Jisc intend to make the data available and will be publishing a blog on disciplinary progress.

Item 5 – Stakeholder feedback and reflections on implementation

Members provided reflections and feedback from their communities and organisations on the implementation of UKRI's policy.

It was reflected that implementation progress was broadly positive, that UKRI and Jisc stakeholder engagement had been helpful, and outstanding implementation issues largely related to points of detail, albeit important ones. Some issues were recognised as being broader considerations than just UKRI's policy.

Green route and rights retention

Several members noted challenges relating to the green route and rights retention and the UKRI licensing statement and the green route. Some publishers are not accepting this route and may not be making this clear at the point of submission or are requesting the removal of rights retention / licensing statements.

UKRI has received limited queries on this issue but welcomed receiving further feedback, particularly where collated. It noted that its present advice is provided in the policy FAQ and it would not typically get involved in specific negotiations between institutions/authors and publishers. It is an issue of interest in terms of monitoring the effectiveness of the policy and any barriers to implementation.

Several universities have, or are in the process of, implementing institutional rights retention policies, which may provide useful evidence on implementation issues.

It was suggested that different funder, institutional and publisher policies on rights retention were increasing complexity and stakeholders need to work collectively to consider this issue. Jisc advised it would be engaging with publishers and that it was a topic for consideration for discussion between the Publishers Association and Jisc. As an issue it is one that the Forum might want to come back to see if something wider in terms of resolving is possible so there is more clarity for researchers and all stakeholders.

ACTION: UKRI and representatives from Jisc and Publishers Association to follow up on possible rights retention/licensing statements stakeholder discussion.

Definitions

Complexities were identified around how research articles are defined in relation to policies and publication workflows. It was suggested it would be helpful for stakeholders to work together on some standardisation of definitions and terminology and navigating this in workflows. It was noted this might be something for the Forum to consider. It was also noted there were other groups undertaking activities that may be relevant such as [Research Data Alliance](#), in particular, their work on data access statements.

Monitoring and compliance

Additional information and assurance from UKRI about how it will be monitoring compliance and any expectations on research organisations would be helpful. A particular concern was whether institutions would be expected to use specific tools.

UKRI clarified that is not currently expecting institutions to use tools such as Jisc Monitor and will seek to provide more information and assurance on the approach to monitoring in its November implementation and guidance update.

The work that UKRI is doing on monitoring and evaluation will devise an approach that informs the exact actions and approach. For the time being UKRI will seek to assure of the approach in the November communication.

Articles arising from collaborations

Members raised challenges advising some authors who are collaborators on papers where co-authors are subject to a different policy or want to publish in a non-compliant venue. This was particularly an issue for international collaborations and/or where the UKRI author is a minor contributor. While they have been advising authors to raise funder requirements with collaborators as early as possible, in practice this does not always occur, and it can be unclear how authors should proceed.

Jisc highlighted recent meetings with institutions and publishers on the use of transitional agreements for co-authored papers and that it would soon be publishing a briefing. Jisc are also considering the role of collaboration agreements.

Transitional agreements

While good progress with transitional agreements was noted, it was highlighted that many small society publishers were still finding it challenging to participate in agreements. ALPSP offered to help facilitate discussion on this. Jisc noted it was keen to engage further with smaller publishers, particularly those that only publish a small number of UKRI-funded articles.

ACTION: Representatives from ALPSP and Jisc to follow up on open access models for small society publishers.

Publishers would welcome clarity on how long UKRI and other funders will support the use of open access funds for hybrid journals. UKRI advised that it is engaging with other funders and the position articulated in its [FAQ \(see H13\)](#) remains, that any changes to the block grant would not occur until after FY2024/2025 and be informed by review of implementation progress.

The importance of supporting models beyond transitional agreements and article processing charges was raised. It was noted that Jisc is working with publishers to support this and thinking about the future of publishing and open access models.

Small research organisations

An issue for small research organisations limited staff resource to support researchers with the policy. Timely supporting guidance from UKRI is important.

Ensuring equality of access to funding, particularly for monographs, is important.

Smaller specialist research organisations tend to be more arts and humanities focussed and therefore proportions of monographs policy exceptions needed may be higher. Such institutions may also be less able to participate in transitional arrangements. It is important these considerations are taken into account in monitoring compliance, and ease of process in relation to exceptions.

It was also noted that smaller organisations may not be able to participate in certain tools and infrastructures that might be used in monitoring or to facilitate compliance. An example was raised of a publisher only enabling compliance via the green route where Jisc Publications Router was used to facilitate deposit in a repository. This is an issue that could be followed up via Jisc.

Clarity on monograph funding

Timescales for book publishing mean some UKRI-funded authors are already wanting to publish open access or are starting arrangements for publications that will be subject to the new policy but are unclear on what funding will be available. Assurance from UKRI that they will receive funding and/or won't be penalised if unable to comply would be helpful.

Data access statements

Authors may not be used to including data access statements (and also licensing statements) in publications. More specific guidance on how to include these would be helpful.

Sector collaboration on standardisation of data access statements and their usage would be helpful.

ACTION: UKRI to consider further engagement with the Forum/stakeholders on data access statement standards and guidance.

Communication with researchers

It was highlighted that some researchers may still be unaware of the policy and that further regular reminders from UKRI may be helpful. It was noted that some funders contact researchers annually about terms and conditions.

While UKRI does not intend to regularly contact researchers directly about the policy (additional to any existing general communications it issues regarding terms and conditions) it is providing resources and information to support research organisations to engage their academics. It also intends to contact researchers again at the point the monographs policy starts and can include wider open access requirements in that communication.

ACTION: members are invited to share additional implementation feedback via email.

ACTION: UKRI will consider feedback raised and follow up with members on specific issues, where needed.

Item 6 – Monitoring and evaluation framework project

Claire Symeonides, Lead Analyst: Open Research and Research Culture at UKRI, updated the Forum on a [project it has commissioned Research Consulting to undertake](#) to develop a monitoring and evaluation framework for the UKRI Open Access Policy.

Final outcomes of the project will be delivered to UKRI in November. UKRI will then give this due consideration in determining how it operationalises monitoring and evaluation. Research Consulting's report to UKRI will be published in due course.

UKRI emphasised that it aims to use data sources that are accessible and can be used by research organisations and other stakeholders, to support monitoring, learning and funding assurance with the aim of lower the burden for everyone. Moving to this new approach should be beneficial to UKRI and the wider sector but will take time to operationalise. It is hoped the framework will also be useful for enabling other funders to monitor their policies.

It was suggested it would be helpful for UKRI to provide further assurance in its communications that it won't be seeking specific monitoring information from research organisations.

UKRI recognised the need for further engagement and communication with research organisations as its monitoring and evaluation approach is finalised with input from the work presented.

Item 7 – Community horizon scanning

Members were invited to highlight relevant activities and developments from their communities and organisations.

There may be a workshop on supporting open access policies at the 2023 Researcher to Reader conference.

The British Academy have established some regional early-stage researcher networks. It was suggested they may provide an opportunity for researcher engagement on open access.

Publishers are engaging in the Royal Society of Chemistry's [joint commitment for action on inclusion and diversity in publishing](#).

OASPA are commencing a project on best practice for publishing fee waiver policies.

UKRI is considering how emerging open access models such as the recently announced eLife model fit with its policy context. It also highlighted that global equity in research publishing was currently a prominent theme at the international policy level and something it is considering.

Item 8 – Future meetings and close

The Forum will meet at least three times a year. Dates for 2023 will be scheduled shortly, in consultation with members, with the intent to meet in February, May/June and October.

ACTION: UKRI to confirm 2023 meeting dates with members.

Annex 1 – Agenda and participants

Item	Time		Item
1	13:30	5 mins	Welcome
2	13:35	15 mins	Terms of Reference and ways of working. Please see draft terms of reference at Annex 1.
3	13:50	10 mins	Update on UKRI Open Access Policy implementation for research articles and monographs.
4	14:00	10 mins	Update on Jisc open access activities.
5	14:10	40 mins	Stakeholder feedback and reflections on implementation. Please come prepared to share feedback from your community/organisations.
6	14:50	20 mins	Monitoring and evaluation framework project.
7	15:10	15 mins	Community horizon scanning. Opportunity to share community activities and developments you think the group should be aware of.
8	15:25	5 mins	Future meetings and close.

Present		
<i>Name</i>	<i>Representing</i>	<i>Affiliations</i>
Roheena Anand	Open Access Scholarly Publishing Association (OASPA)	Executive Director, Global Publishing Development, PLOS
Liz Bal	Jisc	Director of open research services, Jisc
Thom Blake	United Kingdom Council of Open Research and Repositories (UKCORR)	Open Research Manager, at the University of York
Paul Boyle	Universities UK (UUK)	Vice-Chancellor, Swansea University
Rachel Bruce (Chairing)	UKRI	Head of Open Research, UKRI
Alison Danforth	Society Publishers' Coalition (SocPC)	Publications Manager, British Sociological Association. Council member of the Society Publisher's Coalition
Deborah Dixon	Association of Learned and Professional Society Publishers (ALPSP)	Publishing Director for medical journals at Oxford University Press Board Director of ALPSP.
Adam Goodger	Department for Health and Social Care (DHSC) / National Institute for Health and Care Research (NIHR)	Open Research Policy Manager, DHSC Science, Research and Evidence Directorate

Ruth Harrison	Research Libraries UK (RLUK)	Head of Scholarly Communications Management, Imperial College London
Joanna Jacklin	UKRI	Senior Analyst: Open Research and Research Culture
Masud Khokhar (substituting for Nick Plant)	Russell Group	University Librarian and Keeper of Brotherton Collection, University of Leeds
Valerie McCutcheon	Association of Research Managers and Administrators (ARMA UK)	Research Information Manager, University of Glasgow
Caren Milloy	Jisc	Director of Licensing, Jisc
Elizabeth Newbold	Research Councils Library Information Consortium (RESCOLINC)	Open Science Services Group Leader, STFC
Sarah Priston	GuildHE	Head of Research Support at Bath Spa University
David Prosser (substituting for Kirsty Wallis)	Research Libraries UK (RLUK)	Executive Director, RLUK
Paul Richards	UKRI	Open Research Lead
David Ross	Publishers Association	VP Open Research, SAGE Publishing
Niels Stern	Open Access Publishing in European Networks (OAPEN)	Director of the OAPEN Foundation
Alison Sutton	United Kingdom Council of Open Research and Repositories (UKCORR)	Research Engagement Manager (Library), University of Reading
Claire Symeonides	UKRI	Lead Analyst: Open Research and Research Culture
Christie Walker	Association of Research Managers and Administrators (ARMA UK)	Head of Research Development Royal College of Art Co-Champion of the Arts & Humanities Special Interest Group ARMA
Tahia Zaidi	UKRI	Senior Strategy Advisor, Open Research

Apologies		
<i>Name</i>	<i>Representing</i>	<i>Affiliations</i>
Anne Dixon	Research Councils Library Information Consortium (RESCOLINC)	Chief Librarian, British Geological Survey
Professor Nick Plant	Russell Group	Deputy Vice-Chancellor: Research & Innovation, University of Leeds
Ann Rossiter	Society of College, National and University Libraries (SCONUL)	Executive Director, SCONUL
Niels Stern	Open Access Publishing in European Networks (OAPEN)	Director of the OAPEN Foundation
Kirsty Wallis	Research Libraries UK (RLUK)	Head of Research Liaison, University College London

Annex 2 – UKRI presentation



UKRI Open Access Policy Implementation

Tahia Zaidi, Senior Strategy Advisor, UKRI
October 2022



The Open Research Team

The team, led by Rachel Bruce, comprises Paul Richards, Sara Ball, and Tahia Zaidi.

Our portfolio includes:

- open access (not limited to Open Access Policy)
- open research data
- responsible research assessment
- innovations in open science/open research
- cross-government engagement on open research
- international representation, participation, and engagement
- working across UKRI on open science, including colleagues across Councils, Analysis, Funding policy & operations, Governance and others

The UKRI Open Access Policy

For peer-reviewed research articles, the policy builds on our [previous requirements](#) by requiring immediate open access (OA) for **research articles from 1 April 2022**.

Introduces a new OA requirement for **monographs, book chapters and edited collections** from **2024** to be made OA within 12 months of publication.

Applies to in-scope research articles and long-form publications that need to acknowledge funding from UKRI or any of its Councils (including those authored by staff based at UKRI institutes, facilities and units).

Is a condition of our funding. UKRI grant holders and research organisations are responsible for ensuring publications comply with the policy.



Overview of implementation activities

	2022				2023				2024
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
Research articles	Guidance published & processes go live Webinars		Establish stakeholder forum		Funding assurance pilots				
Monographs	Develop implementation plan		Stakeholder roundtables	Develop guidance & processes		Publish guidance & funding details		Comms & engagement	
	Define funding process			Targeted engagement					
Technical requirements	Landscape study			Phased & staggered implementation					
	Task & finish group convened								
Monitoring & evaluation	Develop monitoring and evaluation framework			Publish approach				Publish guidance	
	Interviews and focus groups								



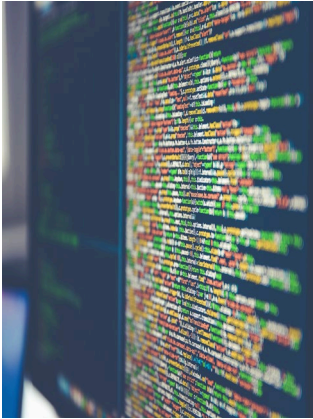
Implementing the policy for research articles

Open access funding



- Up to £46.7m per year, via an OA block grant (and some central supporting actions)
- Lowering the threshold for the block grant from £10,000 to £5,000
 - Allocations are made via an algorithm based on research volume. If this allocation amounts to £5,000+ the organisation will be eligible to receive the block grant
- The use of our funds is to achieve the OA policy aims. The block grant can be used for: staff costs, article processing charges, subscribe to open agreements, transitional agreements etc. We also allow organisations to use their discretion in supporting collaborators on UKRI funded projects open access

Guidance and resources



We convened a Task & Finish Groups with external stakeholders 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](#)
- [Information pack for research organisations to use to engage researchers](#)
- [No-derivatives licence exception process and guidance](#)
- [Information on funding and reporting](#)
- [Guidance and resources on open research](#) on the [Good Research Resource Hub](#)



Technical requirements

- Taking a phased approach to implementing the technical requirements outlined in our policy.
 - commissioned MoreBrains to undertake an analysis on the technical requirements and potential metadata application profiles
 - convened a task and finish group to define next steps building on the analysis
 - Morebrains will now work with UKRI, and other stakeholders to develop approaches and guidance
 - The analysis, approach and next steps will be published shortly.
- In general there are not too many gaps and barriers to meeting the requirements but we recognise improvements and efforts are required until this can be business as usual so we aim to work with others to facilitate that.



Working with Jisc



Jisc is a sector agency and membership organisation that represents research organisations. They support the sector by providing digital infrastructure and services and negotiate sector-wide deals with vendors (such as publishers), and provide advice and assistance for research organisations.



UKRI is funding Jisc to support implementation of the policy by:

- scaling up OA agreements between publishers and research organisations to facilitate OA in a cost effective and transparent manner
- determining sector requirements and criteria for new cost-effective OA models, e.g. transformative journals, fully open access models
- working with UKRI & international partners to represent accurate information in the [Journal Checker Tool](#) to help authors and organisations identify journals and platforms that are compliant with our policy and eligible to receive UKRI funds for OA fees
- providing UKRI with data & analysis on OA progress



Implementing the policy for longform publications

Funding to support the policy requirements

- From January 2024, £3.5 million per annum will be dedicated to supporting open access for long-form outputs via a ring-fenced fund.
- The fund will be centrally held by UKRI and research organisations will apply to UKRI to access it.
- The process, and definition of eligible costs, for the fund are currently being developed. Our aim is to:
 - make the application process straightforward for authors and their organisations
 - support different models (book processing charges and membership models that support open access)



Monographs implementation progress

Workstream	Activities in train
Core Policy	<ul style="list-style-type: none"> • Developing advice & guidance on complying with the policy • Commissioned project on managing trade book & third party materials exception led by Professor Emily Hudson (King's College London) • Organising a workshop in November on the suitable publisher exception with researchers, librarians, and research managers
Funding	<ul style="list-style-type: none"> • Scoping out the mechanism • Developing options and eligible costs • Developing advice & guidance on accessing funds
Comms & engagement <ul style="list-style-type: none"> • Stakeholder engagement • Regular updates • Stakeholder forum 	<ul style="list-style-type: none"> • September roundtables • Coordinating with Jisc on their engagements e.g. myth-busting webinar • Workshops e.g., suitable publisher exception



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)			◆ Publish workflows and guidance				
		Develop guidance and resources for authors and organisations		◆ 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 with in partnership with stakeholders							
Comms and engagement	Engagement with stakeholders						Develop case studies* ◆ Publish case studies	
Monitoring and evaluation	Determine reporting requirements for monographs			◆ Publish requirements and guidance				
	◆ Publish initial informaton							

UKRI is funding Jisc to support the policy via -



NEGOTIATE AGREEMENTS TO FACILITATE OPEN ACCESS FOR LONGFORM OUTPUTS



INFRASTRUCTURE MONOGRAPHS (E.G. IMPROVING METADATA, INFORMATION ON COMPLIANT ROUTES.)



COMMUNICATIONS AND ENGAGEMENT – ADVICE AND GUIDANCE, LEARNING ETC.



ENGAGEMENT WITH STAKEHOLDERS (E.G. ON SECTOR REQUIREMENTS, OFFERING AGREEMENTS TO PUBLISHERS, EXPLORING INNOVATIONS AND OPTIONS WITH ALL ACTORS)

Annex 3 – Jisc presentation

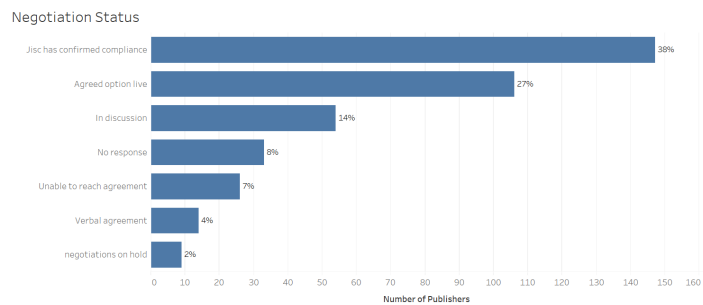
Supporting the UKRI OA policy implementation

Caren Milloy, Director of Licensing
Liz Bal, Director of Open Research



Negotiation status

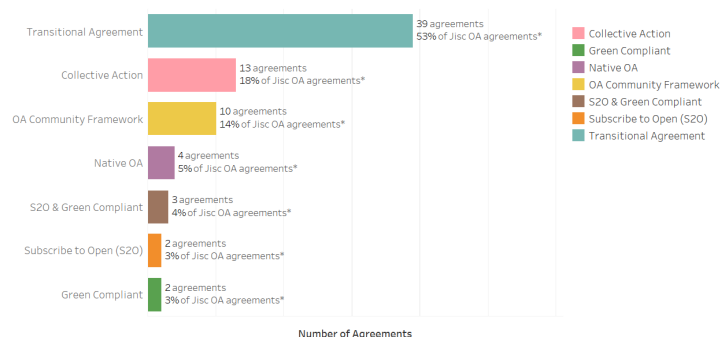
388 publisher negotiations:



2



Jisc open access agreements in place



3



Long form publications – our objectives

- To help research organisations, publishers and societies prepare for the policy, engaging to identify required guidance and support
- To put in place affordable and sustainable routes to publish in compliance with the policy – supporting bibliodiversity
- To make it easy for authors and their institutions to understand which publishers offer compliant routes and to find OA monographs / chapters
- To put in place sufficient mechanisms that support the collecting, monitoring and reporting of data
- To continue to engage with international partners to support the alignment and interoperability of infrastructure and policies

7



Engagement / Advice and Guidance

- Publisher association and UK institution task & finish group on UKRI funded non corresponding authors
- Contributing to UKRI roundtables and monitoring and evaluation
- Convening communities
- Exploring chapter level AAM for long form publications
- OA myth busting webinars – (1) culture v compliance (2) quality and prestige
- Copyright guidance for researchers

8

