UKRI Open Access Policy Stakeholder Forum

Meeting 4 summary

5 October 2023, 13:00 – 15:45 Hybrid (virtual and in-person at the Royal College of Art, London)

Item 1 – Welcome

Rachel Bruce, Head of Open Research at UKRI, welcomed members to the fourth meeting of the UKRI Open Access Policy Stakeholder Forum. The purpose of the meeting was to provide updates to on the implementation of UKRI's policy for longform outputs, and to hold a workshop with Forum members discussing the implementation of the policy for research articles.

The agenda and list of participants is available at Annex 1.

Item 2 – Matters arising

The Forum agreed the minutes from the last meeting as an accurate record.

The Forum discussed and updated on actions the previous meetings, noting that these have either been completed or are in progress. UKRI staff provided updates on in progress activities, noting that these should be completed shortly.

Item 3 – Update on Jisc and UKRI long form open access policy and activities

Sara Ball (UKRI) and Caren Milloy (Jisc) presented a shared update on UKRI's open access policy for longform publications, and the activities being undertaken by UKRI and Jisc to support the implementation of the policy. Further details are in the presentation slides at **Annex 2**.

Caren provided an update on Jisc's current activities. Key points included:

- Jisc negotiations will focus on immediate open access via the diamond, or free to publish, free to read, route, and Jisc are actively seeking agreement with the top 20 major commercial publishers.
- Seventeen diamond monograph agreements have been negotiated, along with seven infrastructure agreements.
- The Open Access Community Framework 2023 has resulted in three diamond monograph agreements from new university presses.
- Jisc are also collaborating with international partners.
- Jisc's recent survey of library members looking at preferred OA revenue models has highlighted that there is enthusiasm for community frameworks, with the least preference for the BPC route. Library members were keen that a green backstop is always in place.
- There will be an update on SHERPA services at the end of October 2023

Sara provided an update on UKRI's implementation activities for the policy for longform outputs and provided further details about the ring-fenced fund. This will be held centrally by UKRI and

will be open to research organisations who can apply for funding on behalf of authors. Sara noted that the fund will support a variety of models, and UKRI will shortly be providing an update on outstanding issues, such as the funding limits and the time limit beyond which the policy will not apply. She noted that for books and chapters, UKRI is likely to provide a single contribution with a maximum limit. For alternative models, UKRI will provide a contribution and the limits are currently being decided.

Sara then updated the Forum on communications around open access and the policy for longform outputs, noting that:

- With support from Jisc, UKRI held a webinar on the open access policy on the 15 June. The recording of the event can be accessed online, and slides and a summary of questions are available on our website.
- UKRI will shortly publish a guide on third-party copyright on the website
- UKRI will be sending out letters to research organisations and grant holders about the implementation of the policy for longform outputs.
- Alongside updates to the UKRI website, we will also publish an updated version of the slide deck for organisational use.
- A further webinar is planned for the 8 November for UKRI-funded researchers and their organisations, which will involve presentations and discussions sessions. Registration will open shortly.
- UKRI are also considering a further webinar in early 2024.

Caren noted that Jisc are also providing advice and guidance to organisations, including roundtables, FAQs, the OAPEN OA Books toolkit, a series of short guides on different aspects of open access and a new university press toolkit.

Forum members raised questions about the most appropriate landing page on the Jisc website for monographs offers, and Caren confirmed that this would be investigated, and details shared with the group.

Further questions were raised about rights retention and the funding availability for monographs, and Sara confirmed UKRI's position that the ring-fenced fund is not intended to be competitive, and that UKRI will monitor demand closely. There was also discussion around the need for further consideration of different funding models, and a request for further discussion around derivative works.

ACTION: Caren Milloy to investigate the most appropriate landing page on the Jisc website for monographs offers. Details will be forwarded to group members if a page is identified, or Caren will ensure that a page is created if one does not currently exist.

ACTION: UKRI to arrange a meeting with Torie Eva regarding derivative works.

Item 4 and 5 – Workshop and discussion on UKRI In Flight (Light Touch) Review

Sara introduced the activity by providing the Forum with some background to the in-flight review. When the new open access policy was launched in 2021, UKRI committed to carry out a review two years after the start of the policy (April 2022 for research articles). The in-flight review

is an opportunity to consider whether adjustments in the design or delivery of the policy are necessary.

Sara gave further information on the aims, topics of focus, and scope of the in-flight review and the relationship to UKRI's wider monitoring and evaluation activity (monitoring and evaluation framework). Sara also covered the proposed timeline and methods for the in-flight review. Further details are in the presentation slides at **Annex 3**, which were shared with Forum members ahead of the meeting. Sara noted that the methods in the slides are the prime methods for the topics to be addressed but in practice issues will be covered by multiple methods. The aim of the workshop was to help shape the in-flight review and highlight issues for consideration. Forum members discussed the following three question sets in smaller discussion groups facilitated by UKRI staff:

- Is the policy supporting full and immediate open access? Is it supporting this adoption in the wider UK / internationally?
- Is the policy consistent, clear, and as easy as possible to follow and implement?
- What are the positive / negative impacts on the research environment arising from the policy? Including around, for example: equity, disciplinary differences, types of research organisations and publishers, research evaluation and careers.

Members were encouraged to consider the core aims of the policy as part of their discussions:

- Enhance research, societal and economic benefits by improving access to research outputs
- Sustainable support for open access and better value for public investment in research
- Joined-up policy that 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 nationally and internationally

Topics that emerged from discussion groups included: funding and costs; impacts on researchers and research practice; challenges for research organisations; impacts on the publishing landscape; supporting guidance and tools and how these could be improved; and impacts of the policy on the wider research and innovation environment. A detailed summary of the workshop is provided in a separate document circulated alongside this meeting note.

Sara thanked Forum members for their valuable insights and noted that further engagement with them on the in-flight review is planned via focus groups and/or a survey.

Sara encouraged Forum members to share the slides with colleagues and to forward any additional feedback.

ACTION: Forum members to share the slides as appropriate and to share any additional feedback with Sara Ball.

Item 6 – Future meetings, AOB, close

Rachel noted that UKRI will send a selection of meeting dates to Forum members to determine the dates for the 2024 meetings, which will likely be held in March, June, and October. The format of the meetings (virtual, in-person and hybrid) will also be considered.

ACTION: UKRI to send a selection of meeting dates for 2024 to members via a Doodle poll.

Rachel Bruce thanked members for their input and participation and closed the meeting.

Annex 1: Meeting agenda and participants

Agenda

Item	Time		Item
1	**13:00**	5 mins	**Welcome**
2	**13:05**	5 mins	**Matters arising** Summary of Meeting 3: These have previously been shared with colleagues and have been approved, and a finalised version will be available online shortly - weblink tbc. Summary of Actions: See Annex 1
3	**13:10**	30 mins	**Update on Jisc and UKRI long form open access policy and activities** Presentation with opportunity for questions. Slides will be shared after the meeting. Latest published UKRI implementation information: https://www.ukri.org/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/implementing-our-open-access-policy/
4	**13:40**	55 mins	**Workshop and discussion on UKRI Light Touch Review**
	14:35	10 mins	**BREAK**
5	**14:45**	55 mins	**Workshop and discussion on UKRI Light Touch Review**
6	**15:40**	5 mins	**Future meetings, AOB and close**
	15:45		**Close**

Attendees

UKRI

Rachel Bruce (Chair)
Sara Ball
Emma Devine
Joanna Jacklin
Paul Richards
Claire Symeonides

Participants

Name	*Representing*	*Affiliation*	
Roheena Anand	Open Access Scholarly Publishing Association (OASPA)	PLOS	
Liz Bal	Jisc	Jisc	Apologies.
Thom Blake	United Kingdom Council of Open Research and Repositories (UKCORR)	University of York	
Paul Boyle	Universities UK	Swansea University	
Alison Danforth	Society Publishers' Coalition (SocPC)	British Sociological Association	
Anne Dixon	Research Councils Library Information Consortium (RESCOLINC)	British Geological Survey	
Deborah Dixon	Association of Learned and Professional Society Publishers (ALPSP)	Oxford University Press	
Nicola Dowson	Society of College, National and University Libraries (SCONUL)	The Open University	
Torie Eva	Publishers Association	Elsevier	
Ruth Harrison	Research Libraries UK (RLUK)	Imperial College London	
Holly Limbert	sherif		Apologies
Valerie McCutcheon	Association of Research Managers and Administrators (ARMA UK)	University of Glasgow	
Lisa McLaren	SCONUL		Standing in for Ann Rossiter
Caren Milloy	Jisc	Jisc	

Elizabeth Newbold	RESCOLINC	Science and Technology Facilities Council (STFC)	
Nick Plant	Russell Group	University of Leeds	
Sarah Priston	GuildHE	Bath Spa University	
Ann Rossiter	SCONUL	SCONUL	Apologies
Niels Stern	OAPEN	OAPEN	
Suzanne Stewart	UK Reproducibility Network (UKRN)	University of Chester	
Alison Sutton	UKCORR	University of Reading	
Inesa Thomson	DHSC / NIHR	DHSC	
Christie Walker	ARMA UK	Royal College of Art	
Kirsty Wallis	RLUK	University College London	

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Annex 2: Item 3: Update on Jisc and UKRI long form open access policy and activities

UKRI policy implementation - longform outputs

Sara Ball, Strategy Lead, UKRI
Caren Milloy, Director of licensing, Jisc

5 October 2023

Jisc's objectives

- Help research organisations, publishers, and societies prepare for the policy, identifying and providing required guidance and support
- Negotiate affordable and sustainable routes to publish OA – supporting bibliodiversity and OA compliance
- 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 mechanisms that support the efficient collecting, monitoring and reporting of data
- To continue to engage with international partners to support the alignment and interoperability of infrastructure and policies

Negotiating open access monograph agreements

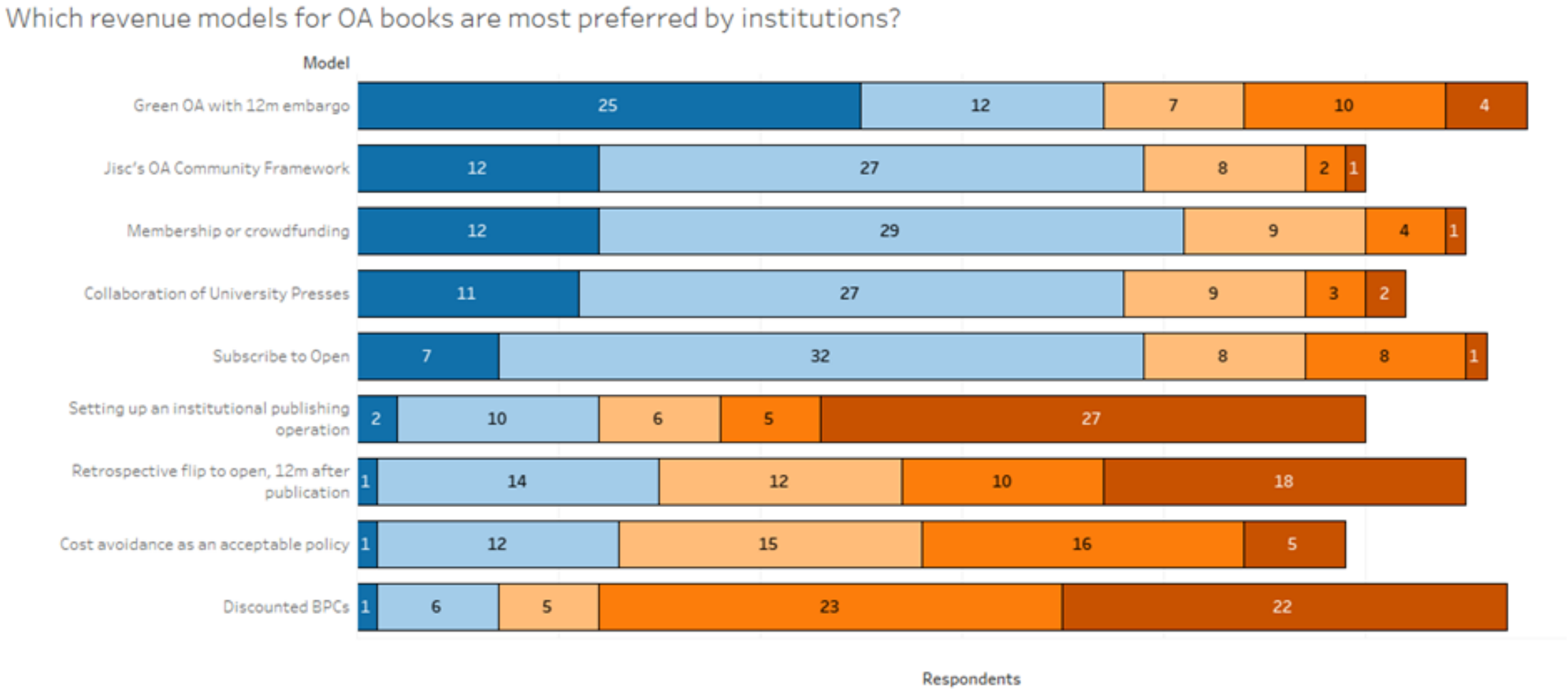
- UK universities will need to enable a range of titles to be published OA and ensure that library collections support the developing needs of teaching and research under challenging financial circumstances
- We want monograph publishers to deliver greater value, and to reduce and constrain costs whilst transitioning away from paywalls to research
- Our negotiations will focus on immediate open access via the diamond, or free to publish, free to read, route

Supporting the UKRI OA policy for monographs

Prioritising equitable, inclusive, fair and affordable agreements

- Actively seeking diamond agreements with the top 20 major commercial publishers
- Negotiated 17 diamond monograph agreements (including pilots with Bloomsbury and Taylor & Francis)
- Negotiated seven infrastructure agreements
- Open Access Community Framework 2023 has resulted in three diamond monograph agreements from new university presses
- Collaborating with international partners such as Lyrasis, DIAMAS, PALOMERA and KOALA

Survey on library requirements for future



Open access funding

- £3.5 million per annum will be dedicated to supporting open access for long-form outputs via a ring-fenced fund. **This fund is only for longform publications that are in-scope of the open access policy.**
- The fund will be centrally held by UKRI and research organisations will apply to UKRI to access it.
- We have undertaken some user testing on the fund, including working with Jisc on this, and are collating the feedback received.
- The fund will support a variety of open access publishing models, including:
  - book processing charges (BPCs)
  - chapter processing charges (CPCs)
  - diamond models (where there isn't a pay-per-output model)
- In the coming weeks we will clarify positions on the live issues that we consulted you on - funding levels and time limits.
- Later in autumn, stage 1 will go live alongside information to support researchers and their organisations to apply to the fund including payments schedules and guidance when extenuating circumstances apply

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Stakeholder communications, engagement, advice and guidance

- On 15 June, we worked with Jisc to hold a webinar for research organisations on implementation of the longform policy
- In the next couple of weeks we will publish a guide on third party materials. We have worked with Jisc to ensure alignment with their upcoming guide on copyright.
- We will also send a letter to UKRI funded research organisations and researchers to raise awareness of the policy.
- We will publish an updated guidance slide deck for research organisations
- On 8 November, working with Jisc, UKRI will host a webinar for UKRI funded researchers and their organisations. This will include discussion sessions for an opportunity to share good practice and experiences. Considering running another in the new year.

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Engagement, advice and guidance

Contributing to UKRI roundtables, updated guidance and FAQs around monographs

Collective funding models for Open Access books webinar series
(1) publishers (2) libraries
(3) infrastructure

OAPEN OA Books toolkit helps book authors better understand OA book publishing

New university press toolkit provides support and guidance to new university presses and library-led publishing ventures

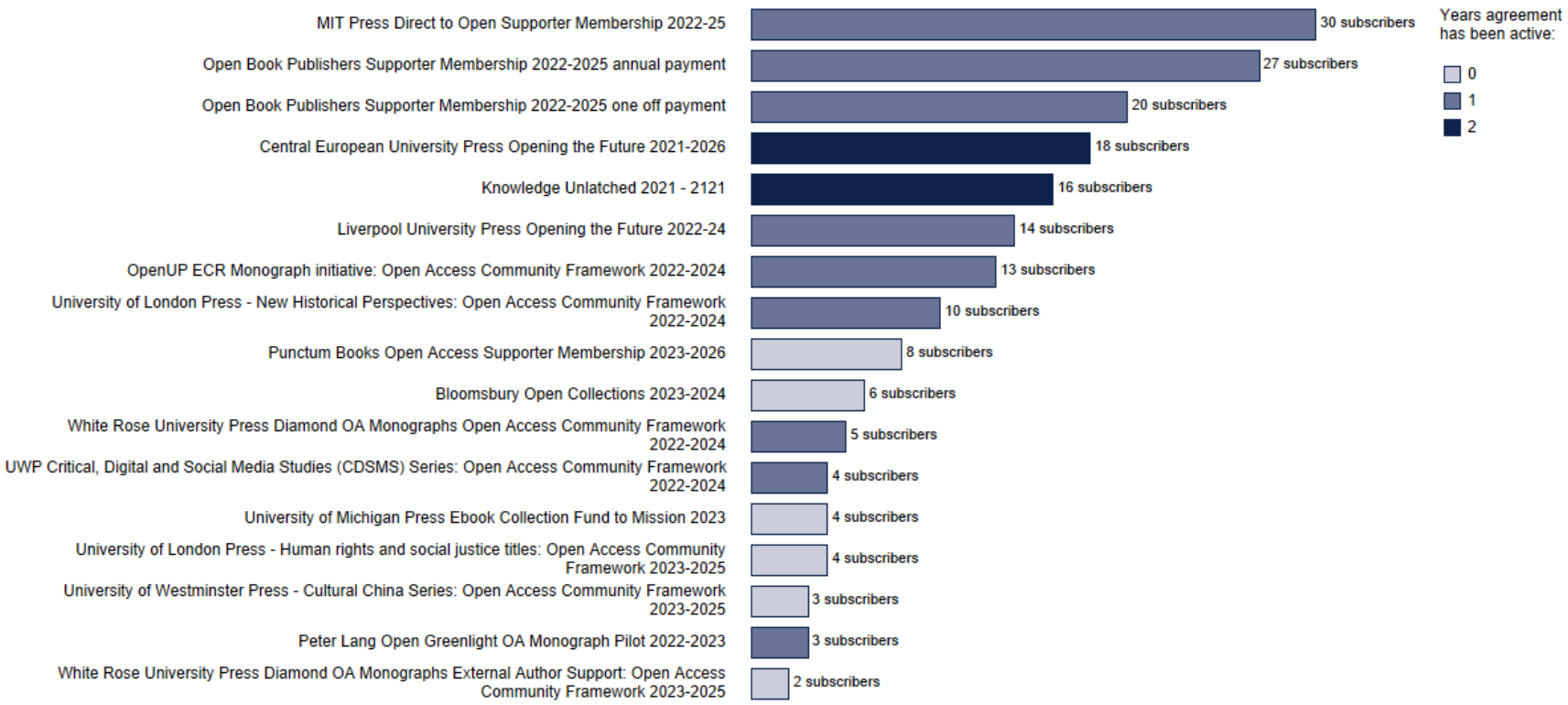
Series of short guides enables greater understanding of key OA concepts

Convening and supporting communities

Challenges: institutional perspectives

63

unique organisations are subscribing to OA monograph agreements



Supporting the UKRI OA policy for monographs

The challenges of supporting OA monographs: institutional experiences

There is a lot of enthusiasm from library colleagues towards collaborative funding models for open access books but a transformation from support to action is not happening as quickly as we'd like.

What are the barriers?

Librarians from the University of Essex and Imperial College London detail their experiences

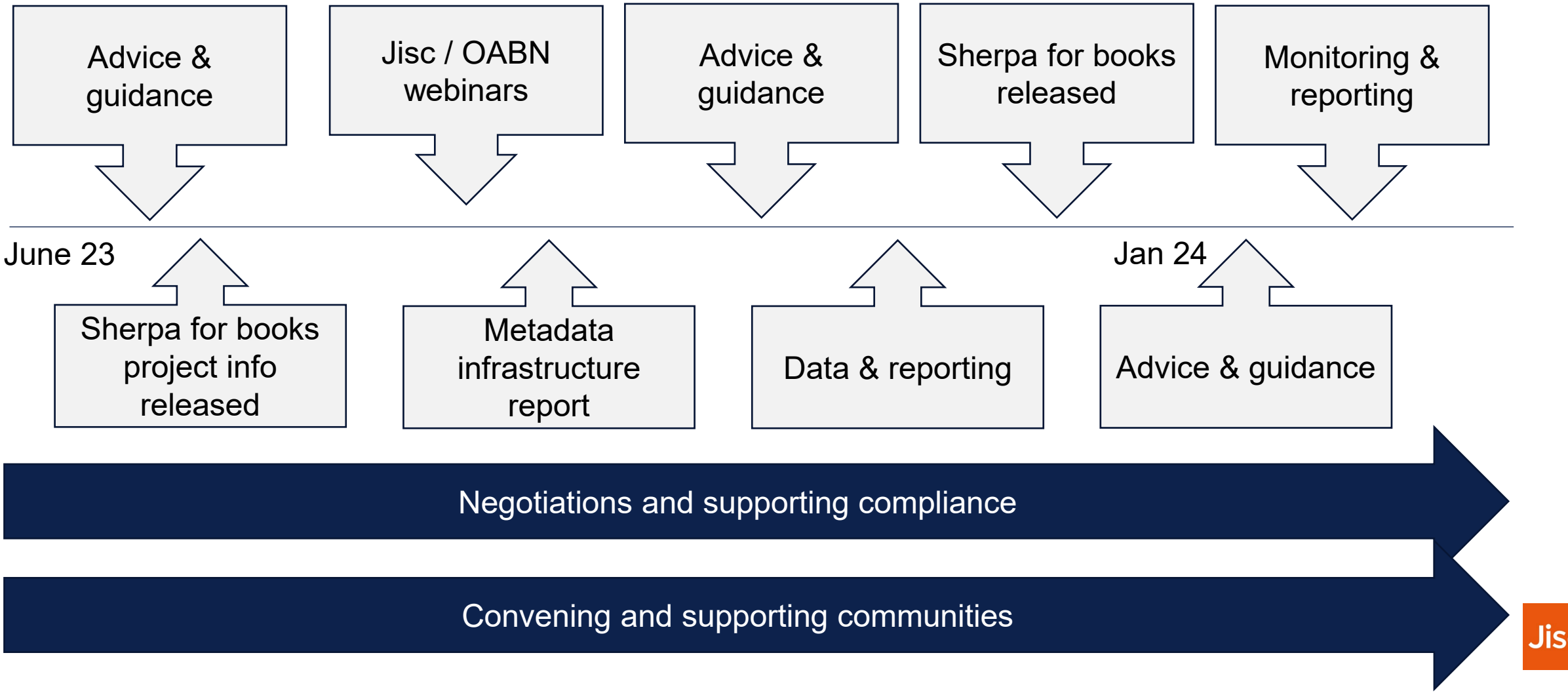
How do we support our members change direction?

Jisc is providing guidance for finance directors and LDs at UK research organisations, as well resources for library staff to share with colleagues and use in their conversations with researchers

Collective agreements need to support / benefit collection development policies at HEIs – need to think about supporting a disciplinary approach rather than institutional one

Jisc

Key activities summer to winter 2023 to support policy preparation and implementation



https://beta.jisc.ac.uk/innovation/projects/implementing-the-new-ukri-open-access-policy

https://www.jisc.ac.uk/open-research/our-role-in-open-access

Implementing our open access policy – UKRI

openresearch@ukri.org

help@jisc.ac.uk

Annex 3: Item 4 and 5: Workshop and discussion on UKRI In Flight (Light Touch) Review

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UKRI Open Access Policy - In-Flight Review for Research Articles

Sara Ball, Strategy Lead

UKRI Open Access Stakeholder Forum

5th October 2023

Key updates on monitoring and evaluation

- Published the research consulting report which is an input to the final M&E framework to be published in the autumn
- Completed workshops to decide on the key topics for the framework and the evaluation questions to be addressed
- Further developed approach for the in-flight review for research articles

Further background on our M&E work can be found at Implementing our open access policy – UKRI

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Key distinctions between the M&E framework and in-flight review

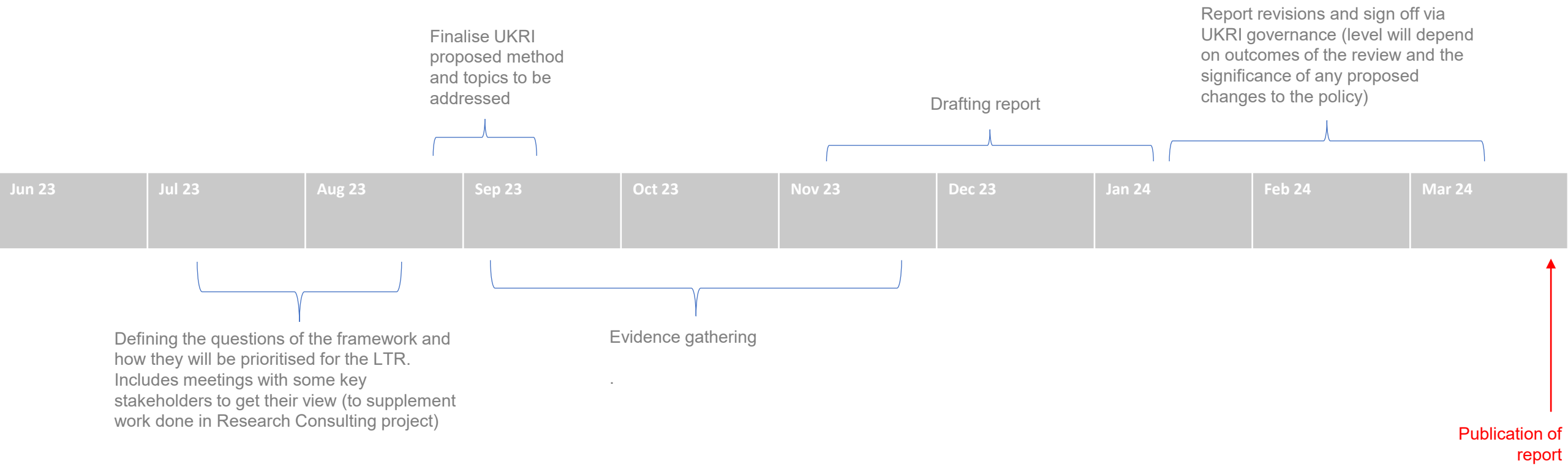
	M&E framework	In-flight review

Key aims	• To ensure the policy delivers on its aims
	• Evidence base for effective decision making e.g.
	  • identify issues or risks and take timely action to address them
	  • realise benefits
	  • future policy and other priorities
	• Celebrate and communicate success and drive positive developments in the research and innovation landscape
	• Ensure public money is spent in accordance with its aims
		• Evidence to assess progress and identify issues / risks early on
		• Identify changes needed to the design / delivery of the policy
		• Communicate the findings by April 2024 and any planned actions

Key topics of focus	• The core aims of the policy:
	  • Enhance research, societal and economic benefits by improving access to research outputs, including full and immediate open access for research articles
	  • Sustainable support for open access and better value for public investment in research
	  • Joined-up policy that 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 nationally and internationally
	• Key considerations of the policy:
	  • Affordability and balance of costs to the sector
	  • Sustainability of publishing
	  • Author choice
	  • Potential impacts on EDI
	  • Ease of policy implementation
		• Most aspects of the framework relevant
		• Prioritise the key considerations
		• Consider core policy aims
		• Lighter methods proposed

Scope	• 3 aspects to the framework: policy impacts, policy compliance and funding assurance • Policy compliance = at the RO level; UKRIs actions in response to non-compliance • Funding assurance = assessment of the block grant incorporated into UKRI's standard funding assurance processes • Research articles and long-form publications	• Only considers policy impacts, not compliance or funding assurance • Research articles only

In-flight review - timeline for key activities



Topics to be addressed as part of the in-flight review and prime methods for evidence gathering (note - topics will be covered by multiple methods)

Methods	Topics to be addressed
Internal analysis using existing data (possibly also including Jisc data)	• Affordability for research sector • Process evaluation – has UKRI delivered the policy as intended
Externally commissioned piece of work to follow on from Research Consulting project, using existing data	• Levels of compliance of individual outputs (possibly including use of route 2 licensing statement) • Patterns of (inter)national collaboration
Stakeholder focus groups and survey	• Reasons for non-compliance • Supporting open access more widely & innovation • Is the policy as easy as possible to follow • Stakeholder views on challenges / opportunities including unintended impacts
Research organisation interview / survey & internal review of financial expenditure statements	• Affordability for research sector • Process evaluation - are funding levels appropriate
Publisher interview / survey	• Publisher sustainability
Internal desk-based	• Supporting open access more widely
Review of UKRI open research inbox	• Stakeholder views on challenges / opportunities incl. unintended impacts • (possibly maps to other topics depending on findings)
Review current publishing landscape and what's on the horizon	• Indications of publisher sustainability • Indications about supporting open access more widely & innovation • Author choice • Developments in the wider landscape that pose risks / provide opportunities

In-flight review for research articles - workshop questions

Question 1: Is the policy supporting full and immediate open access? Is it supporting this adoption in the wider UK / internationally?

Question 2: Is the policy consistent, clear, and as easy as possible to follow and implement?

Question 3: What are the positive / negative impacts on the research environment arising from the policy? Including around, for example: equity, disciplinary differences, types of research organisations and publishers, research evaluation and careers.

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Note: questions relate to both the design and delivery of the policy

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UKRI Open Access Policy Stakeholder Forum

Workshop on in-flight review for research articles - summary

5 October 2023, virtual and in-person at the Royal College of Art, London

Background

Monitoring and evaluation helps UKRI and the sector assess open access progress, levels of compliance with the policy and its effectiveness. UKRI is developing a monitoring and evaluation framework for its open access policy with input from stakeholders in the research and publishing sectors. When the policy was announced in 2021, UKRI committed to carry out an in-flight review 2 years after the start date, to take the opportunity to consider whether adjustments are necessary. For research articles this review point is April 2024. The in-flight review sits within the context of UKRI's wider work on monitoring and evaluation and will inform the framework.

The aim of the workshop was to help shape the in-flight review and highlight issues for consideration. Forum members discussed the following three question sets in smaller discussion groups facilitated by UKRI staff:

- Is the policy supporting full and immediate open access? Is it supporting this adoption in the wider UK / internationally?
- Is the policy consistent, clear, and as easy as possible to follow and implement?
- What are the positive / negative impacts on the research environment arising from the policy? Including around, for example: equity, disciplinary differences, types of research organisations and publishers, research evaluation and careers.

Members were encouraged to consider the core aims of the policy as part of their discussions:

- Enhance research, societal and economic benefits by improving access to research outputs
- Sustainable support for open access and better value for public investment in research
- Joined-up policy that 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 nationally and internationally

Further engagement with the UKRI Open Access Policy Stakeholder Forum on the in-flight review is planned via focus groups and/or a survey.

Workshop summary

Progress to open access

- Stakeholders stated that broadly the policy is supporting full and immediate open access and there are increased levels of sector engagement, awareness, and communication

around the policy and open access more generally. Examples given were increased engagement between libraries and researchers, as well as more conversations around different types of open access models, “green” open access and rights retention.

Funding and costs

- There are concerns around inequalities in access to UKRI funding for open access. This can occur when authors do not have access to a transitional agreement and is linked to the issue where transitional agreements are put in place based on corresponding author, but the UKRI open access policy applies to all authors. There is a Jisc and Publishers Association task and finish group looking into this issue.
- Inequalities in access to UKRI funding for open access can also occur for small research organisations that do not receive a block grant, but also for research organisations that receive a block grant, administrative issues can make it difficult to distribute that funding fairly.
- Stakeholders were unsure whether transitional agreements are being effective at controlling costs. Research organisations have their own institutional strategies for managing funding for open access, including how much to contribute to transitional agreements. Whilst the flexibility around UKRI’s terms and conditions of funding for open access is welcome, some research organisations do not spend all their allocation, possibly due to a lack of understanding or confidence around how to interpret the terms and conditions. It was suggested it would be valuable for research organisations to share experiences on this. Some publishers shared that transitional agreements were working well, but there was a lot of detailed, behind the scenes, management required.

Research practice and researchers

- Stakeholders raised that disciplinary differences in adoption of open access remain, and so the policy will have a greater impact in some communities than others. Examples given were humanities, creative disciplines, and those with niche publishers. That UKRI is introducing a policy for longform outputs, starting in January 2024, is seen as a positive and a way to make the policy more inclusive, though there is anxiety around this.
- Some researchers are worried about compliance, and it was noted that transitional agreements may be driving publishing behaviour, with more articles published via route 1 (gold) route.
- Stakeholders were asked whether the policy supports sufficient author choice of publication venue since this was an important consideration in the previous review. This was not raised as a significant concern, though anecdotally the new requirements may be impacting collaborations, in particular when co-authors are based overseas.

- Stakeholders were also asked about the CC BY-ND exception subject to justification and how this is working in practice. There appears to be little evidence of the exception being used, though stakeholders noted this may be because the policy is relatively new.

Research organisations

- Stakeholders stated that generally the policy is clear and easy as possible to follow, however, there are challenges implementing it in a complex landscape. It was recognised that we are still in a "bedding in" period, and that processes and cultures need to change.
- For example, open access publishing is not integrated into all researcher workflows and sometimes the research organisation doesn't hear about publication plans until it is "too late". It was noted there is an opportunity to engage with early career researchers so open access publishing becomes BAU.
- Another example is that local workflows are not currently taking advantage of the opportunities presented by transitional agreements to reduce some of the burden in managing UKRI open access funding.
- Support staff within research organisations were seen as critical for effectively implementing the policy, and that it is challenging for research organisations without. There are concerns that smaller research organisations are not well resourced and find it difficult to implement the policy including activities such as investing in supporting technology.
- Generally, research organisations are concerned about compliance, and stakeholders raised that UKRI could be clearer on its expectations in this respect, in particular, how the policy fits with UKRI's broader aims for open research and culture change. There is an opportunity for UKRI to advocate this wider change agenda to research organisations. Stakeholders raised that cross-organisational networks, included those represented on the forum, are also instrumental in sharing good practice.

Publishing landscape

- Stakeholders noted that there has been effort from publishers in terms of signposting to authors and making the process as efficient as possible. There may be opportunities to work with publishers to increase standardisation and reduce complexity, and therefore make the policy easier to implement.
- Some smaller learned society publishers are finding it challenging to implement the policy, in terms of the resources, skills need to pivot to different business models. It will also be a challenge to responding to emerging innovative models.

Supporting guidance / tools

- Stakeholders felt that overall, the guidance provided by UKRI is useful but there could be an opportunity to streamline it e.g., the FAQs. In terms of how the guidance is used, largely this is by staff at research organisations rather than by authors directly.

Research organisations typically develop their own guidance to engage their researchers which can be tailored to the institutional context.

- In terms of tools to support policy implementation, some research organisations are also investing in their own. There wasn't much evidence that the journal checker tool was being used a lot, with stakeholders stating that it can be used as a starting point but some of the text and information is confusing. UKRI would be keen to gather specific examples as part of the in-flight review and feed this in via cOAlition S.

Wider research and innovation environment

- Stakeholders noted that cultural change towards more responsible research assessment needs to happen, and currently this is a barrier to moving towards more open models of publishing. Research should be assessed on its own merits rather than according to the venue in which it is published, as well as recognising the diversity of research outputs and not just publications.
- A core aim of the UKRI open access policy is to encourage the development of new models of open access publishing. However, stakeholders did not feel the policy has achieved that in the past two years.
- Stakeholders raised that the policy has supported engagement with the wider open research agenda, including elements of the policy such as the requirement for data access statements. However, they also raised the possibility that too much focus on the open access policy may have detracted from the wider open research agenda. Related to an earlier point, there is an opportunity for UKRI to better articulate how the policy fits with UKRI's broader aims for open research and culture change.
- Stakeholders noted the importance of supporting the adoption of open access in developing countries as well as aligning with Europe and the US.