

# UKRI Open Access Policy Stakeholder Forum

## Meeting 3 summary

5 June 2023, 13:30-15:30, virtual

### **Item 1 – Welcome**

Rachel Bruce, Head of Open Research at UKRI, welcomed members to the third meeting of the UKRI Open Access Policy Stakeholder Forum. The purpose of the meeting was to update on implementation activities for longform publications and monitoring and evaluation. There was also a discussion on technical requirements and an opportunity to hear from members about policy implementation.

Participants also noted that Emma Devine and Tahia Zaidi now form the Secretariat for this forum and will serve as the points of contact for members. Members also noted that Sara Ball leads the open access policy overall and Tahia Zaidi leads the workstream for longform publications.

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, subject to a minor correction on the list of participants.

The forum discussed and updated on actions the previous meetings, noting that most of these are closed or ongoing.

### **Item 3 – UKRI policy implementation activities update and forward look**

UKRI presented an update on its open access policy implementation activities, including:

- guidance, resources, and next steps for the implementation of the open access policy for longform publications
- development of UKRI's monitoring and evaluation framework.
- open access block grant process dates.

Further details are in the presentation slides at **Annex 2**. Information is also provided on UKRI's website at [implementing our open access policy](#).

Rachel Bruce thanked members for their input and feedback to date on the development of UKRI's ring-fenced fund to support the policy for longform publications, in particular.

On the policy for longform publications, members requested clarification on the status of secondary publications that are derived from original works that are in-scope of the policy.

**ACTION: UKRI will consider this and provide guidance.**

On monitoring and evaluation, UKRI clarified that it will be using open data sources where possible, however it is likely that it will be necessary to use proprietary data to answer some of the evaluation questions. UKRI will be as transparent as possible in its approach, for example sharing the methodology where closed data sources are used. UKRI raised that further engagement with the Forum is planned in developing the framework, for example, to test it with stakeholders and ensure the terminology is clear. More generally UKRI will be taking a consultative approach in its monitoring and evaluation of the policy, including stakeholder input to the upcoming light-touch review of the policy requirements for articles.

**ACTION: UKRI to share slides on monitoring and evaluation after the meeting so members can see the detail and feedback any initial reflections.**

On open access funding, transformative journals will be an ineligible cost for UKRI funding after 2024 in line with Plan S. Currently, UKRI is committed to support funding for transitional agreements until financial year 2024-25. UKRI has not released a date at which open access funding will end. UKRI will gather and monitor patterns as the policy is implemented and any changes to the rules of the fund or funding levels will be evidence based. If there are changes, these will be communicated in advance recognising the need for sector planning. As with all UKRI funding, availability of open access funding is subject to the spending review exercise.

#### **Item 4 – Research articles technical requirements**

Phill Jones (MoreBrains cooperative) delivered a presentation on a UKRI commissioned project on technical standards and metadata requirements in UKRI's open access policy. Key points included:

- activities are informed by a previous project that assessed the metadata landscape, available at: [Metadata to support the UKRI Open Access Policy: Landscape and community readiness analysis | Zenodo](#) It was noted that there have been some improvements since the report was published
- there are varying levels of compliance with the technical requirements and metadata defined in UKRI's policy and further engagement and technical support is needed to meet the requirements, making a phased implementation approach necessary.
- the basis of the implementation plan includes: technical support, encouraging community-led good practices and standardised processes and associated guidance and workflows, tools to integrate with existing system such as OpenDOAR, Portico etc., coordination with other funders, and outreach and engagement with publishers and publisher associations.
- the project will deliver a roadmap that will include technical integrations, workflows, best practice, and standards

Further details are in the presentation slides at **Annex 3**.

**Action: UKRI to share the slides after the meeting, and members to contact Sara Ball and the MoreBrains project team to share their perspectives on the challenges in meeting the**

**technical requirements in the policy, the highest priority, and suggestions for stakeholders to engage during the project. There are also longer-term engagements planned as part of the project.**

Members noted that authenticated ORCID's for all co-authors pose a challenge to the workflow and there is discussion about what is a reasonable expectation

On appropriate metadata schema and application profiles, research has shown there are two ways for repositories to improve their metadata (RIOXX and Dublin Core) and it will be an important part of the engagement for this project to understand what works for stakeholders.

#### **Item 5 – Update on Jisc open access activities**

Caren Milloy (Jisc) delivered a presentation on Jisc's activities in supporting the implementation of the UKRI Open Access Policy. Key points included:

- Jisc-led negotiations for research articles have resulted in 96.1% of venues that UKRI-funded authors historically published in to offer a route to publication that is compliant with UKRI's policy and eligible to receive open access funds from UKRI towards publication costs. Jisc is now focussing on the long tail of publishers and supporting them in offering compliant routes to publication. This includes engagement with over 300 publishers
- On research articles, Jisc and the Publications Association have convened a task and finish group to address the issue of non-corresponding authors accessing transitional agreements. The group has agreed a methodology to identify the scale to the issue to inform next steps. The minutes and notes from the task and finish group are available on Jisc's website.
- The current focus on securing open access options for monographs, book chapters, and edited collections, this includes engagement with smaller publishers to support biodiversity.
- Jisc is led by the sector's priorities for negotiations for longform publications, which include a focus on open access models that do not include a book processing charge.
- Jisc is working to provide routes to compliance ahead of the policy start date for longform publications in 2024 and communicate available routes via its planned revamp of its SHERPA services.
- A series of one-pagers are being drafted to support the research sector alongside guidance and resources developed by UKRI to aid compliance with the policy.

Further details are in the presentation slides at **Annex 4**.

Jisc clarified on the timetable for the corresponding author work, they anticipate something more concrete for the start of the next academic year.

#### **Item 6 – Stakeholder feedback**

Members were given the opportunity to provide feedback and raise issues for discussion. In particular, UKRI welcomed comments about:

- What's gone well, what hasn't gone so well and what could we do better around the implementation of the policy for research articles

### Issues for consideration for monographs, book chapters and edited collections **Monitoring and evaluation**

Members raised there is some anxiety in research organisations about the lack of guidance for monitoring compliance, reporting, and what actions UKRI will take in response to non-compliance. UKRI acknowledged that further clarity on these issues is needed, and this will be provided in the monitoring and evaluation framework published in the autumn. Members noted there may be great diversity in the information that has been captured and recorded across the sector and it would be beneficial for UKRI to understand these differences. UKRI clarified it will only take action in response to non-compliance where there is a clear disregard of compliance with the policy by a research organisation.

### **Transitional agreements**

Jisc clarified it is undertaking a review of transitional agreements, which were always intended as a temporary mechanism. The project will consider the effectiveness and performance of transitional agreements in order to inform the sector's discussion about next steps. The final report will be made available publicly.

### **Communications and engagement**

Members noted that the slides provided to support the policy are useful to engage researchers. The importance of timely communication was also noted, for example, the lead time given on the announcement of UKRI funding for transformative journals is welcome. On the other hand, there were some issues around notification of the 23/24 block grant. UKRI acknowledged and clarified that next year it will aim for the dates presented in the slides. Members noted that there is increased engagement around rights retention, and that UKRI's open access policy is helping to drive this.

### **Longform publications**

UKRI is taking into consideration the input from the Forum in defining the details for its ring-fenced fund. A member raised that there could be concerns around payment schedules (in particular, a single annual payment) depending on the financial systems and rules in research organisations, particularly in smaller organisations, and how to unpick non-open access costs from other publisher costs. UKRI clarified that the payment schedule is still a live consideration and they have heard similar concerns from other organisations.

### **ACTION: UKRI to schedule a discussion with RESCOLINC and GuildHE to understand feasibility issues of an annual payment via its ring-fenced fund.**

The Forum discussed that policy implementation for longform publications will be a learning experience for professionals in research organisations that support open access so they can support researchers. It was noted that longform publications are not priority outputs in some research organisations.

### **Infrastructures for longform publications**

UKRI clarified that it will be considering infrastructure and best practices for longform outputs but it is not yet clearly defined. Other areas where infrastructures play an important role that are priorities for UKRI are peer-review and accessibility. It was noted that OAPEN require publishers who deposit in the Directory of Open Access Books to define their peer-review process.

Members also discussed that the Community-led open access publications infrastructure for monographs (COPIM) is looking at metadata for open access books and how to push this into repositories.

**Item 7 – Future meetings, AOB, close**

UKRI is proposing to invite two additional representatives from the publishing community to the Forum and would welcome any comments on that. Members noted it might be useful to have representation from a University Press.

UKRI will host an in-person meeting of the Forum in October 2023.

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

**ANNEX 1: Meeting agenda and participants****Agenda**

<b>Item</b>	<b>Time</b>		<b>Item and Summary</b>	<b>Lead</b>
1	<b>13:30</b>	5 mins	<b>Welcome</b>	Rachel Bruce
2	<b>13:35</b>	5 mins	<b>Matters arising</b> <ul style="list-style-type: none"> <li>• Summary of Meeting 2</li> <li>• Review of actions</li> </ul>	Rachel Bruce
3	<b>13:40</b>	30 mins	<b>UKRI policy implementation activities update and forward look</b> <p>Including updates on:</p> <ul style="list-style-type: none"> <li>• Monographs, book chapters and edited collections</li> <li>• Monitoring and evaluation</li> </ul> <p>Presentation with opportunity for questions. Slides will be shared after the meeting.</p> <p>Latest published implementation information:  <a href="https://www.ukri.org/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/implementing-our-open-access-policy/">https://www.ukri.org/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/implementing-our-open-access-policy/</a> </p>	Sara Ball and Tahia Zaidi
4	<b>14:10</b>	20 mins	<b>Research articles technical requirements</b> <p>Presentation and group discussion with MoreBrains</p>	Phill Jones/Josh Brown (MoreBrains) and Sara Ball
5	<b>14:30</b>	5 mins	<b>BREAK</b>	
6	<b>14:35</b>	20 mins	<b>Update on Jisc open access activities</b> <p>Presentation with opportunity for questions. Slides will be shared after the meeting.</p> <p>Forum members have raised that they would like an update on the corresponding author issue, and this will be covered in Jisc's agenda item.</p>	Caren Milloy
7	<b>14:55</b>	30 mins	<b>Stakeholder feedback – discussion item</b> <p>Opportunity for members to provide feedback and raise issues and discuss.</p>	Rachel Bruce

			<p>Feedback/issues can be shared in advance with <a href="mailto:tahia.zaidi@ukri.org">tahia.zaidi@ukri.org</a> and <a href="mailto:emma.devine@ukri.org">emma.devine@ukri.org</a></p> <p>Structure of discussion:</p> <ol style="list-style-type: none"> <li>1. What's gone well, what hasn't gone so well and what could we do better around the implementation of the policy for research articles</li> <li>2. Monographs, books chapters and edited collections, issues for consideration</li> </ol>	
8	15:25	5 mins	<b>Future meetings, AOB and close</b>	Rachel Bruce

## Attendees

### UKRI

Rachel Bruce (Chair)  
Sara Ball  
Tahia Zaidi

### Participants

<i>Name</i>	<i>Representing</i>	<i>Affiliation</i>	
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	Apologies.
Alison Danforth	Society Publishers' Coalition (SocPC)	British Sociological Association	Apologies.
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	

Adam Goodger	Department for Health and Social Care (DHSC) / National Institute for Health and Care Research (NIHR)	DHSC	Standing in for Inesa Thomson
Ruth Harrison	Research Libraries UK (RLUK)	Imperial College London	
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	Apologies.
Ann Rossiter	SCONUL	SCONUL	
Ronald Snijder	Open Access Publishing in European Networks (OAPEN)	OAPEN	Standing in for Niels Stern.
Niels Stern	OAPEN	OAPEN	Apologies.
Suzanne Stewart	UK Reproducibility Network (UKRN)	University of Chester	
Alison Sutton	UKCORR	University of Reading	Apologies.
Richard Taylor	GuildHE	Bath Spa University	Standing in for Sarah Priston.
Inesa Thomson	DHSC / NIHR	DHSC	Apologies.
Christie Walker	ARMA UK	Royal College of Art	Apologies.
Kirsty Wallis	RLUK	University College London	Apologies.



# Matters arising

Actions from the last meeting	Update
UKRI to share final book fund process with Forum members for brief comment late February 2023.	<b>Closed:</b> A slide deck was shared in April and the feedback has been received and is being considered.
Jisc to circulate information about how it categorises different compliant open access models.	<b>Closed:</b> Information is available at <a href="https://subscriptionsmanager.jisc.ac.uk/about/68">https://subscriptionsmanager.jisc.ac.uk/about/68</a>
UKRI to update forum on open access funding position for Horizon Europe Guarantee grants.	<b>Closed:</b> UKRI has updated the policy FAQs.
SCONUL, ARMA, UKCORR and Jisc to discuss opportunities to support smaller research organisations with open access implementation.	<b>Closed:</b> Sally Rumsey is running some workshops next month for Jisc to scope the requirements.
UKRI to share rationale for licensing requirement with Suzanne Stewart	<b>Closed:</b> Rationale sent by Paul to Suzanne

## **Annex 2: Item 3: UKRI policy implementation activities update and forward look (slides)**



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# UKRI policy implementation activities update and forward look

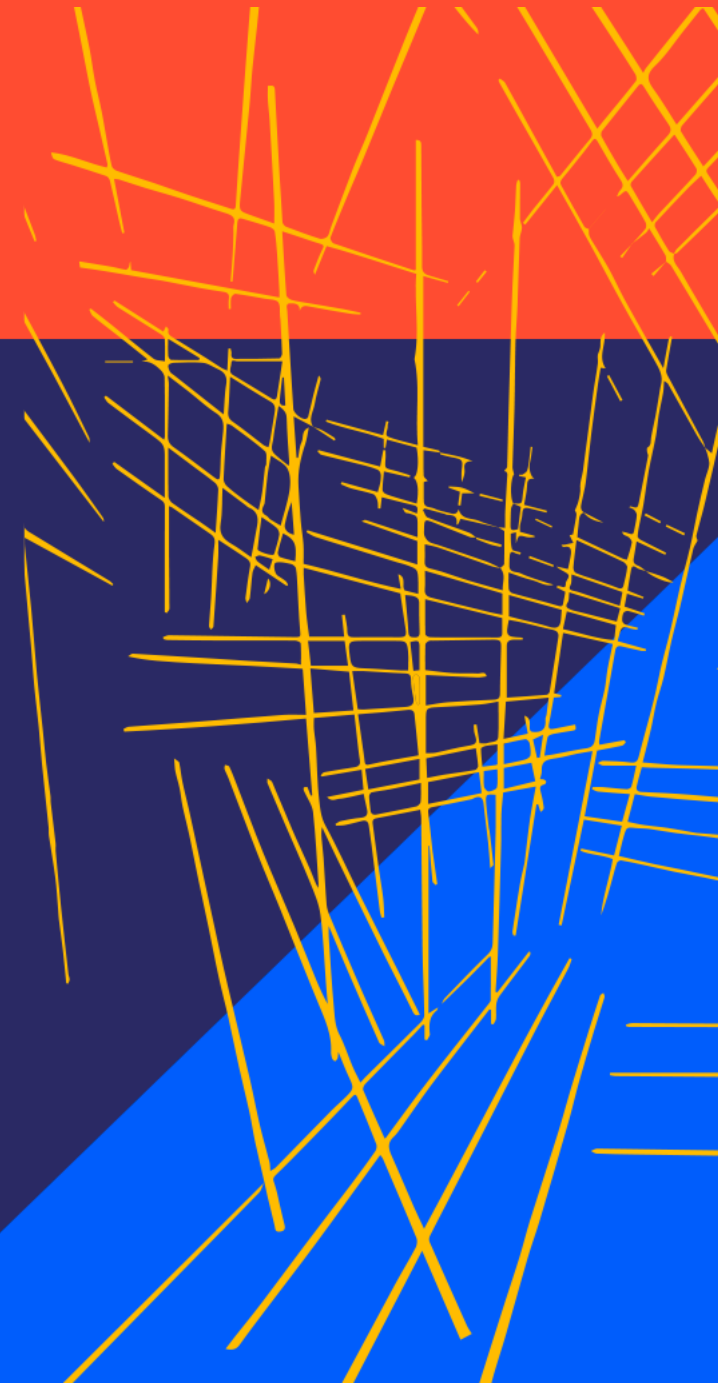
Sara Ball, Strategy Lead

Tahia Zaidi, Senior Strategy Advisor



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# Monographs book chapters and edited collections



# The UKRI Open Access Policy

Monographs, book chapters and edited collections published from 1 January 2024 that acknowledge UKRI funding must be available open access within 12 months of publication. Any Creative commons license is permitted.

This can be via the:

- **Version of record:** Publish the output via a publisher's website or publishing platform open access within 12 months of publication with a creative commons licence
- **Author's accepted manuscript:** Deposit the author's accepted manuscript in an institutional or subject repository within 12 months of publication of the version of record with a creative commons licence

# Exemptions for long-form publications

A monograph, book chapter or edited collection is exempt from the open access requirements where:

- the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy
- reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication
- the publication is a trade book
- the output arises from UKRI Training Grants
- a contract was signed before 1 January 2024 that prevents compliance with the policy

# Guidance and resources

Together with colleagues across UKRI and external experts we have developed 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](#)
- [Information on funding and reporting](#)
- [Guidance and resources on open research](#) on the [Good Research Resource Hub](#)

# 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.

Longform publications

## Long-form publications checklist

- Prior to submission of your book proposal, check your preferred publisher offers a compliant route and what open access funding is available to you.
  - If your preferred publisher does not have an open access programme, check for open access options and consider other publishers before considering an exemption.
  - Liaise with your library, research office, or equivalent to submit a Stage 1 application to UKRI's fund if complying via the version of record to confirm eligibility
- Inform your publisher, and any collaborators, (such as editor of a collection you are contributing to) about UKRI's open access requirements
- Make your version of record or accepted manuscript open access within 12 months of publication and with Creative Commons licence. For any third-party content within copyright, only include the content under the licence or terms under which the rightsholder has released it.
  - If applicable, submit a stage 2 funding application via your research organisation
- Comply with your research council's deposit requirements, where applicable.



Read UKRI's full open access [requirements and guidance](#)



# Open access funding

- From Autumn 2023, £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.
- The fund will support a variety of open access publishing models, such as:
  - book processing charges (BPCs)
  - chapter processing charges (CPCs)
  - diamond models / subscribe to open models (where there isn't a pay-per-output model)



# A two-stage process

- **Stage 1:** The research organisation **registers** an output with UKRI for funding. UKRI processes the application and confirms to the research organisation if the output is eligible for funding.
  - An output that is not eligible for funding is either out of scope of the open access policy, or eligible to be supported by the open access block grant.
  - The purpose of Stage 1 is to give the author and the research organisation assurance before a legal contract is signed that the output is eligible to be supported.
- **Stage 2:** The research organisation **supplies evidence** that the publication is available open access and provides payment information. UKRI processes this information and releases the funds.
  - The purpose of Stage 2 is the receipt of final confirmation of publication to allow the release of funds

**An organisation can collate multiple publications into Stage 1 and Stage 2 applications if they choose to.**

# Relationship to UKRI funding

- The policy only applies to publications that are required to acknowledge UKRI funding.
- Successful applications will need to demonstrate a substantial link between the publication and UKRI research funding as well as the between the author and UKRI research funding. So:
  - the author must have worked on a UKRI funded project
  - the publication should discuss the outcomes of UKRI funded research or UKRI funding must have enabled the author to produce the output e.g., paid for the research time
  - **if this link does not exist or cannot be evidenced then the output is not in scope of the policy**

# Application form

For each publication that the organisation is seeking funding for, the organisation needs to supply the below information at the relevant stages.

## Stage 1

- Name of research organisation
- UKRI funding reference
- Author name(s)
- Title of publication
- Name of publisher
- Estimated cost (if known)
- Statement about relationship of the output to the UKRI funded project or grant, including the authors role in this.

## Stage 2

- Date of publication (month and year)
- Confirmation of an approved manuscript
- Financial information (open access cost(s), invoices, statements)
- Any changes to the information provided at Stage 1

# Next steps

Finalising the details on our fund ahead of autumn 2023 when Stage 1 applications will open for application. Before this we will:

- clarify positions on the live issues that we consulted you on e.g., funding levels, time limits.
- publish the terms and conditions for the fund
- additional information to support researchers and their organisations apply to the fund, as well as guidance on when extenuating circumstances apply

We will publish a guide on third party materials to support authors manage copyright

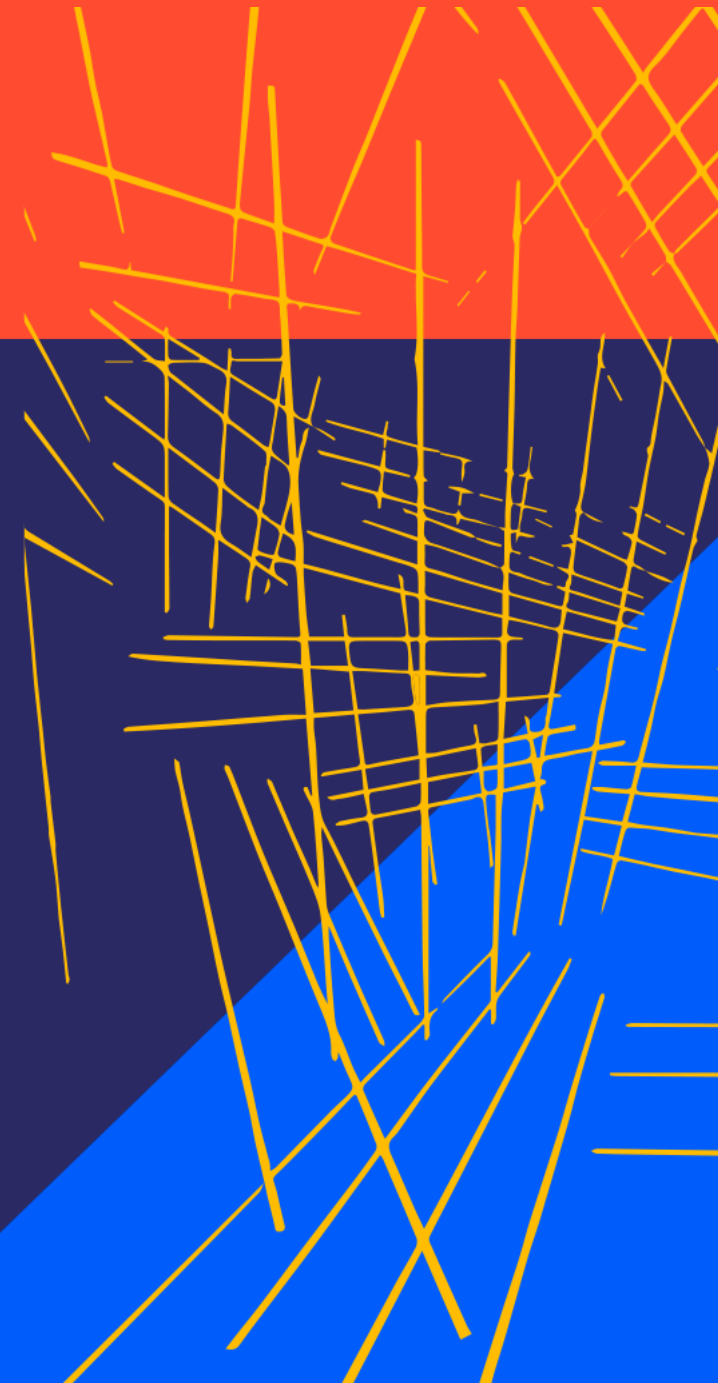
We are hosting a webinar on 15 June for research organisations.

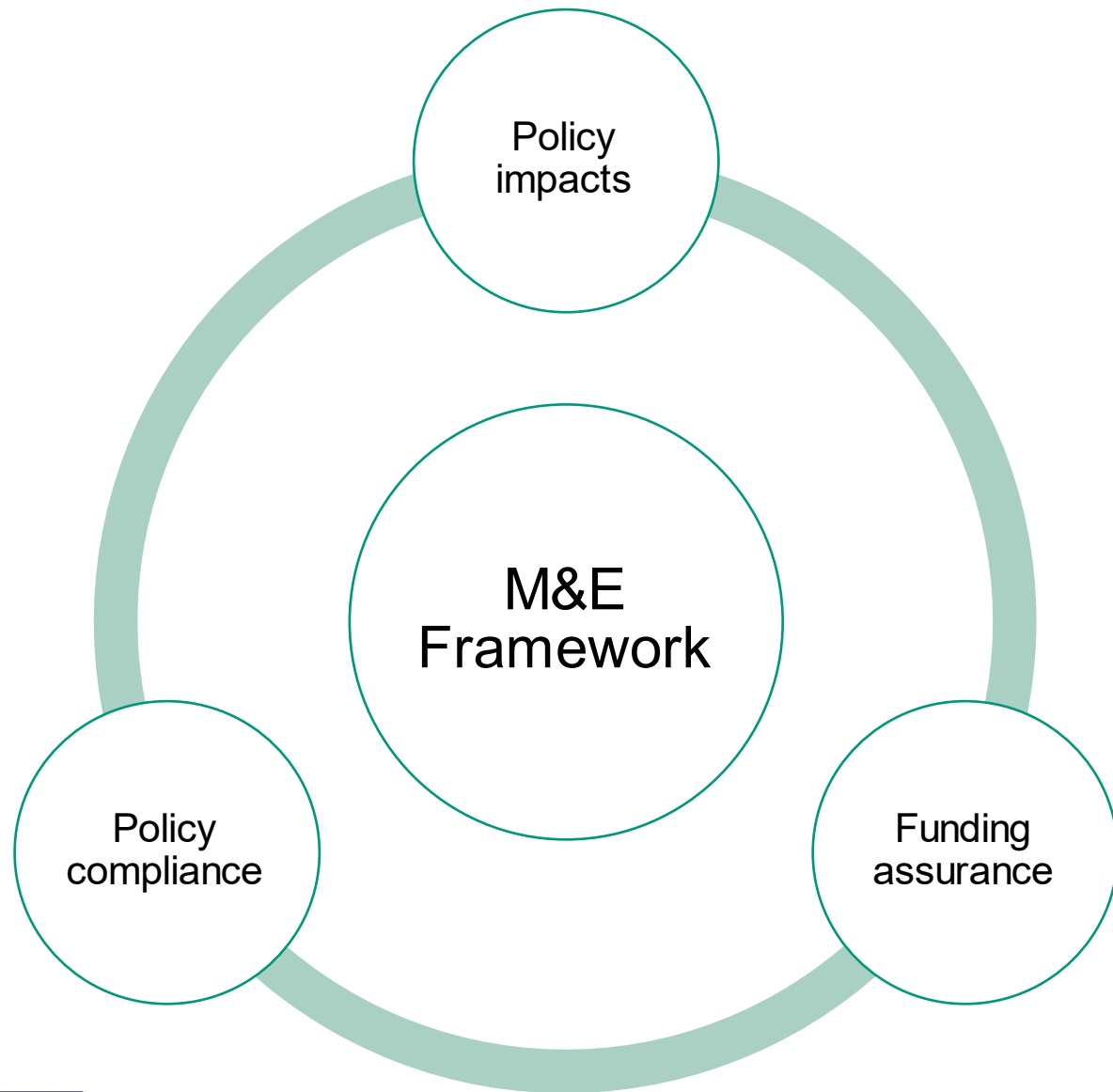
- We plan to host an additional webinar aimed at authors in the Autumn.



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# Monitoring and evaluation





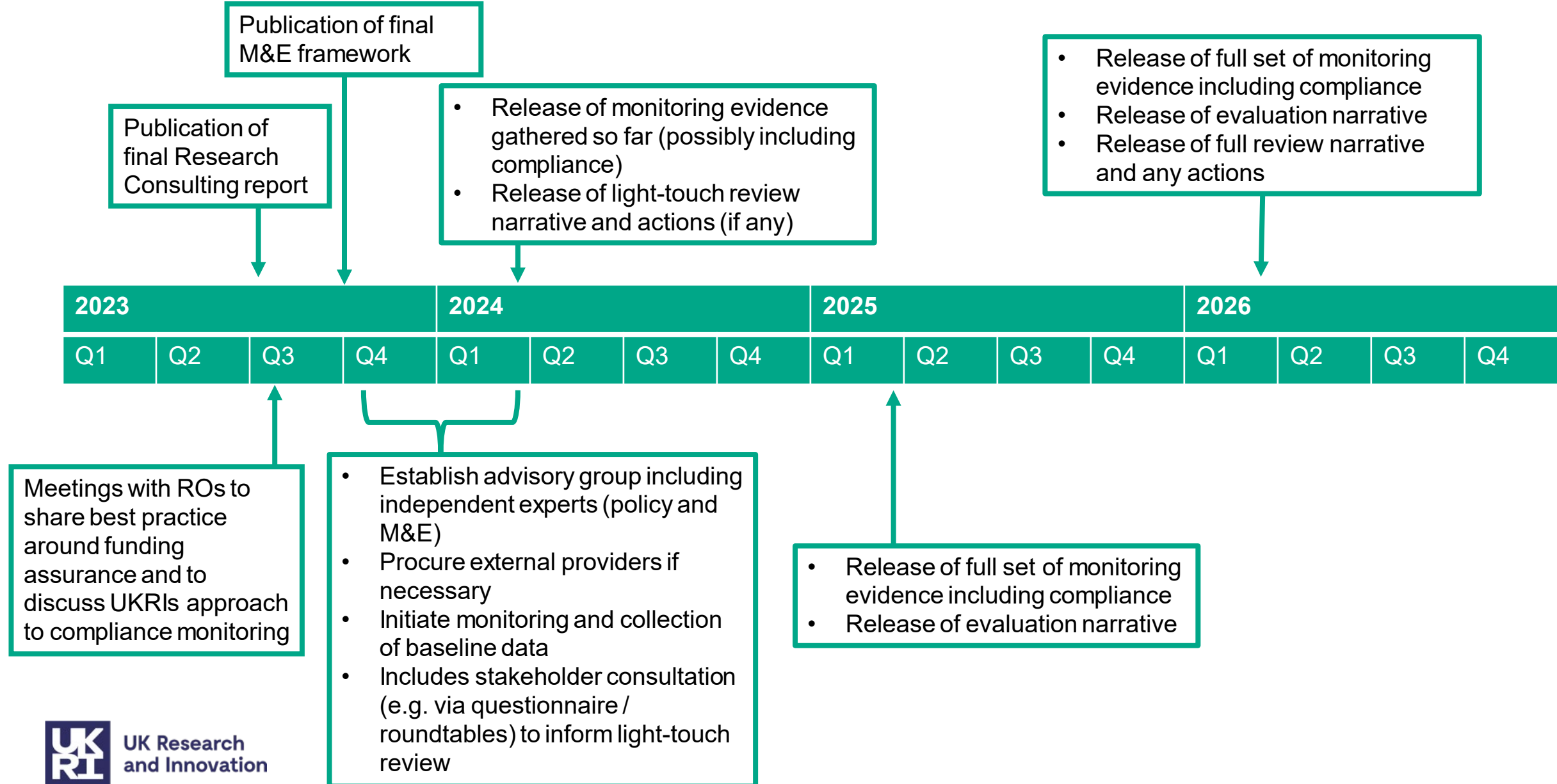
- Policy impacts = efficiency and effectiveness, but also unintended impacts
- Assessing feasibility and resource intensity
- Use open and existing data sources where possible
- Minimising unnecessary bureaucracy
- Co-designed with the community - commissioned Research Consulting to support the development of the framework and they have conducted workshops and interviews with a diverse set of experts and stakeholders.
- In May, Research Consulting released a [blog post on some of the findings so far](#), including a shortlist of evaluation questions and key recommendations.
- We will consider the project outcomes in developing our final framework.

# Strawman M&E activities - definitions

- **Monitoring:** collection of data to improve current and future decision making
- **Evaluation:** systematic assessment of the policy design, implementation and outcomes
- **Review:** assessment of whether change is needed after assessing results of an evaluation. Information from monitoring may also prompt a small review (i.e. the 2 year light-touch review), but a substantial review can only take place once a fuller evaluation has been completed.



# Strawman M&E activities - timeline (research articles)



# Strawman M&E activities (research articles)

## 2 year light-touch review: examples of potential questions

- Are the outputs of UKRI funded research more accessible and reusable?
  - To what extent are UKRI-funded publication compliant with the policy i.e. right time, right licence?
  - Has there been an increase in levels of open access for UKRI-funded research?
- Was the policy delivered as intended?
  - Are funding levels appropriate?
  - Is appropriate supporting guidance in place?
- Is the policy easy to implement for ROs / authors?
- Is academic publishing affordable and sustainable for the research sector (ROs and UKRI)?
- Is there a sustainable path to open access for publishers?
  - Are a significant number of publishers offering compliant routes to open access?
  - Is there sufficient author choice?
- To what extent have different groups been impacted in different ways, how and why?
  - For example, different disciplines, types of ROs, protected characteristics, ECRS, international researchers
  - Has there been any unintended consequences?
- How has the policy influenced the wider context?
  - Has the policy supported new and innovative models of open access publishing?
  - Is the policy supporting adoption of open access in the UK and internationally?
- Is there any way to improve the design or delivery of the policy “in flight”?
  - Are there opportunities e.g. emerging from ideal future state activities undertaken by the sector

## Examples of possible data sources

- Block grant expenditure statements
- Coverage of supporting guidance
- Stakeholder feedback via inbox queries and engagement activities over past 2 years
- Dedicated stakeholder questionnaire / roundtables
- Jisc data on ROs subscribed to transitional / open access agreements and cost savings
- Jisc critical review of transitional agreements



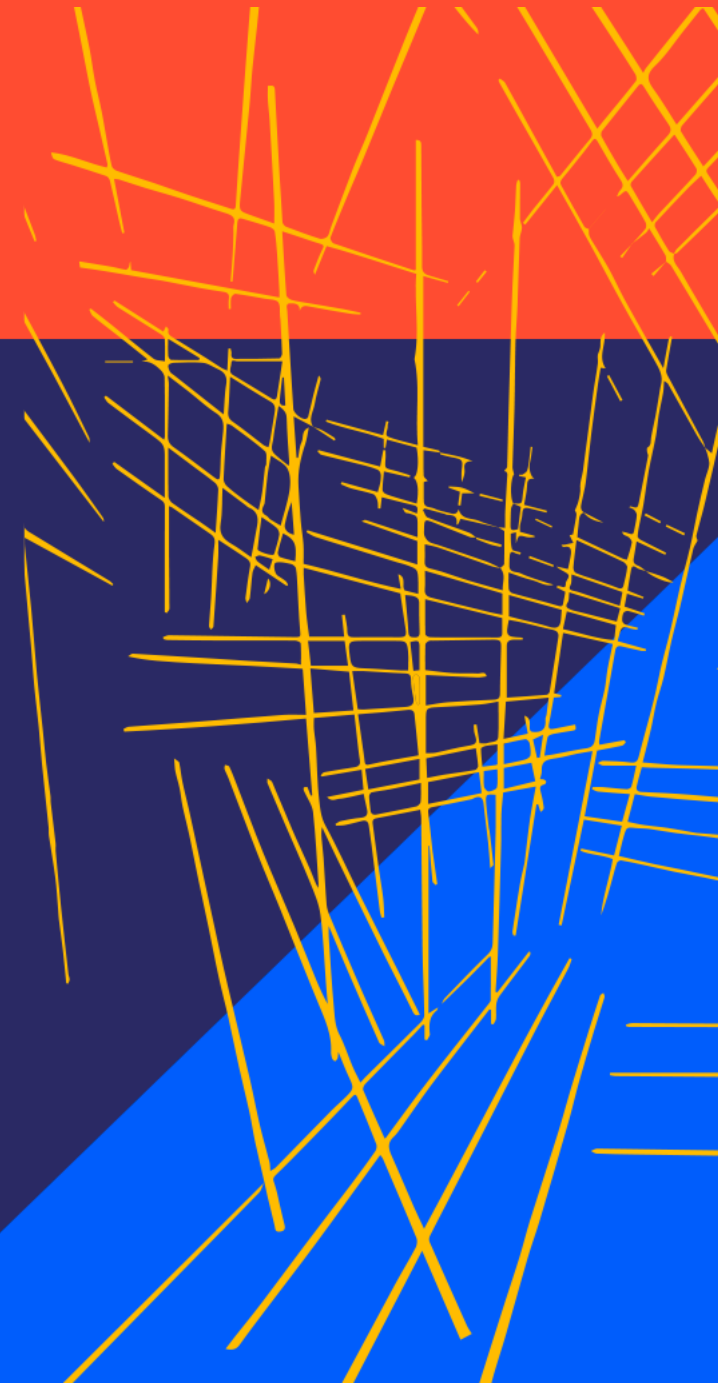
# Reporting

- For monitoring **policy compliance** of research organisations, work undertaken so far suggests this can be done using existing data sources and there will not be a reporting requirement.
- For monitoring **compliance with the T&Cs of OA funding**, research organisations will be required to provide a FES, and OA funding will be part of funding assurance reviews. We are currently developing the details and continue to advise research organisations that they should ensure costs are auditable. **Further details will be available on publication of our framework.**
- For understanding **policy impacts**, it is likely that some qualitative data collection will be needed e.g. via surveys, focus groups or interviews. However, this would not be a requirement on research organisations as a condition of funding.



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# Block grant



# Block grant

- Can be used for a wide range of costs, except for publication charges in hybrid journals unless covered by a Jisc-approved transformative arrangement
- Offer letter – late Feb / early March
- Issue grants – early / mid March
- Don't usually notify ROs the amount of the grant before issuing them
- Grants run 1<sup>st</sup> April – 31<sup>st</sup> March
- FES issued 31<sup>st</sup> March, return within 3 months
- We have not released a date open access funds will end. We will gather and monitor patterns as the policy is implemented and any changes to funding levels will be evidence based. If there are changes, these will be communicated in advance recognising the need for sector planning.

# Contact

- For any queries about UKRI's work on open access and open research please contact the team at [openresearch@ukri.org](mailto:openresearch@ukri.org)

## Thank you



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## **Annex 3: Item 4: Research articles technical requirements (slides)**

# Open Access Policy Engagement

Background and update on progress

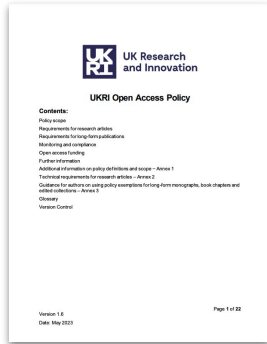


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**MORE+BRAINS**



# Project background



<https://doi.org/10.5281/zenodo.7386901>

- UKRI commissioned a report on sector readiness for technical requirements
  - MoreBrains, with support from CORE, and Coki
  - Analysis of technical requirements
  - Assessment of metadata schema
  - Sector-wide technical / standards readiness
- Follow-on work to develop an implementation plan commissioned by UKRI based on report recommendations
- Implementation plan designed with support from Technical Requirements Project Group (TRPG)
- Engagement to begin now:
  - 17 areas based on original recommendations
- Technical / schema development recommended for medium / long term

# Our approach: stages

1. Policy analysis: what metadata fields and PIDs are necessary to meet the requirements set out in Annex 2: technical requirements for research articles?
2. Capabilities: how well do certain select schemas and application profiles currently support the requirements?
3. Filling gaps: For those fields that are not currently well-supported, what are the mechanisms needed to add support, and what is the likely timeline?
4. Coverage: For those fields that are currently supported, how complete is the data at the moment?

# Our approach: sampling

We looked at 5 schemas or application profiles:

- Route 1: the Journal Article Tag Suite (JATS) and Crossref schema
- Route 2: RIOXX 3, the OpenAIRE Guidelines, and the DataCite schema

We sampled publisher metadata using Crossref metadata via the Curtin Open Knowledge Initiative (COKI) and repository data using CORE.

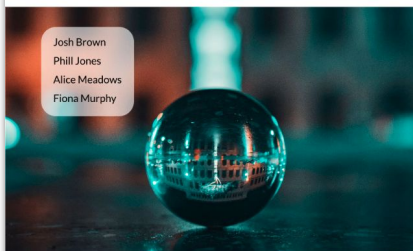
# Policy analysis



MOREBRAINS

Metadata to support the UKRI Open Access Policy:

Landscape and community readiness analysis



Josh Brown  
Phill Jones  
Alice Meadows  
Fiona Murphy

29 October 2021

Revised November 28 2022

DOI: 10.5281/zenodo.7386901

Req #	Requirement	Content type	for Publishers	for Repositories
1	Acknowledge UKRI funding	Articles	Mandatory	Mandatory
2	Date of deposit	Articles	NA	Mandatory
3	Data Access Statement	Articles	Mandatory	Mandatory
4	ISSN	Articles	Mandatory	Mandatory
5	Article level PID (DOI, URN, Handle)	Articles	Mandatory	Mandatory
6	ORCID ID (all authors)	Articles	Mandatory	Mandatory
7	Is ORCID ID authenticated	Articles	Mandatory	Mandatory
8	Licence (non-proprietary format)	Articles	Mandatory	Mandatory
9	Preservation location (Portico etc)	Articles	Mandatory	NA
10	Self-archiving policy (registered in Sherpa-Romeo)	Articles	Mandatory	NA
11	Citation data in I4OC ( <a href="http://opencitations.net/">http://opencitations.net/</a> )	Articles	Mandatory	NA
12	Repository registered in OpenDOAR	Articles	NA	Mandatory
13	PID for funders	Articles	Encouraged	Encouraged
14	PID for research performing orgs	Articles	Encouraged	Encouraged
15	PID for grant	Articles	Encouraged	Encouraged
16	PID for project	Articles	Encouraged	Encouraged
1	Acknowledge UKRI funding	Long-form	Mandatory	Mandatory
8	Licence (non-proprietary format)	Long-form	Mandatory	Mandatory
17	Final version or AAM	Long-form	NA	Mandatory

# Schema readiness

## Route 1: Version of Record is Open Access

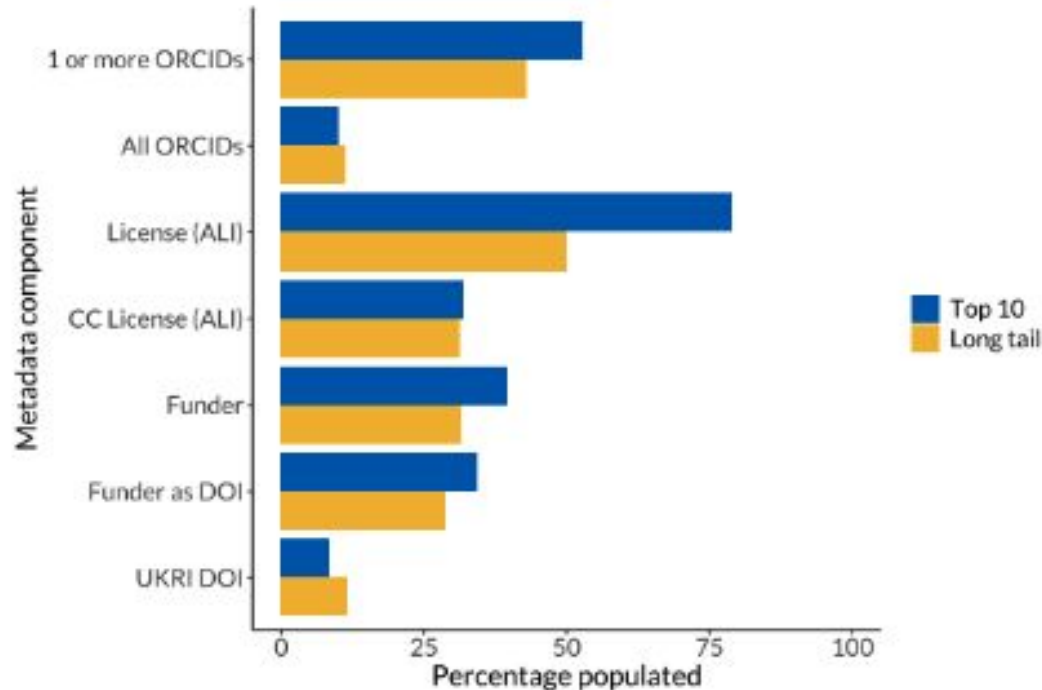
Req #	Requirement	Content type	for Publishers	JATS	Crossref
1	Acknowledge UKRI funding	Articles / Long-form	Mandatory	Yes	Yes
3	Data Access Statement	Articles	Mandatory	Yes	Yes
4	ISSN	Articles	Mandatory	Yes	Yes
5	Article level PID (DOI, URN, Handle)	Articles	Mandatory	Yes	Yes
6	ORCID ID (all UKRI-funded authors)	Articles	Mandatory	Yes	Yes
7	Is ORCID ID authenticated	Articles	Encouraged	Yes	Yes
8	Licence (non-proprietary format)	Articles / long-form	Mandatory	Yes	Yes
9	Preservation location (Portico etc)	Articles	Mandatory	No	Yes
10	Self-archiving policy (registered in Sherpa-Romeo)	Articles	Mandatory	No	No
11	Citation data in I4OC ( <a href="http://opencitations.net/">http://opencitations.net/</a> )	Articles	Mandatory	No	No
13	PID for funders	Articles	Encouraged	Yes	Yes
14	PID for research performing orgs	Articles	Encouraged	Yes	Yes
15	PID for grant	Articles	Encouraged	Yes	Yes
16	PID for project	Articles	Encouraged	No	No

## Route 2: A version of the publication is in an OA repository

Req #	Requirement	Content type	for Repositories	RIOXX	OpenAIRE	DataCite
1	Acknowledge UKRI funding	Articles / long-form	Mandatory	Yes	Yes	Yes
2	Date of deposit	Articles	Mandatory	Yes	Yes	Yes
3	Data Access Statement	Articles	Mandatory	No	No	No
4	ISSN	Articles	Mandatory	Yes	Yes	Yes
5	Article level PID (DOI, URN, Handle)	Articles	Mandatory	Yes	Yes	Yes
6	ORCID ID (all UKRI-funded authors)	Articles	Mandatory	Yes	Yes	Yes
7	Is ORCID ID authenticated	Articles	Mandatory	No	No	Yes
8	Licence (non-proprietary format)	Articles / long-form	Mandatory	Yes	Yes	Yes
9	Preservation location (Portico etc)	Articles	Mandatory	No	No	Yes
10	Registered in OpenDOAR	Articles / long-form	Mandatory	No	No	No
13	PID for funders	Articles	Encouraged	Yes	Yes	Yes
14	PID for research performing orgs	Articles	Encouraged	No	No	Yes
15	PID for grant	Articles	Encouraged	No	Yes	No
16	PID for project	Articles	Encouraged	No	No	No
17	Final version or AAM	long-form	Mandatory	Yes	Yes	No

# Levels of metadata availability

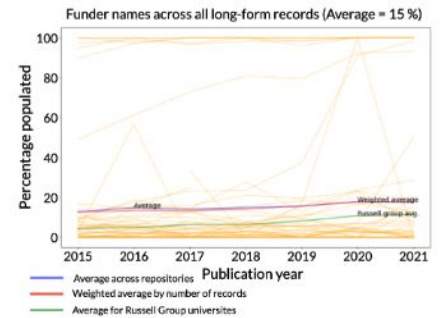
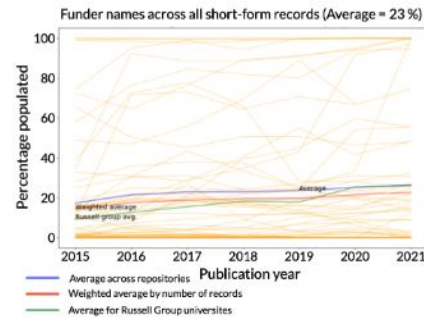
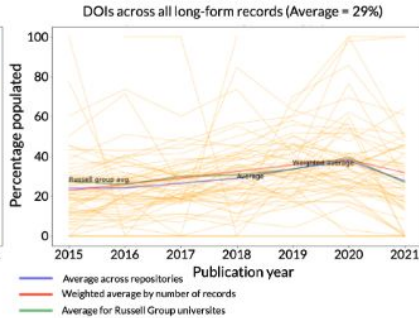
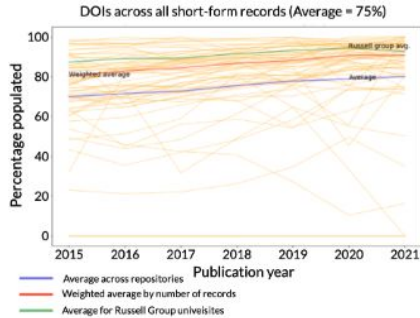
Route 1: Version of Record is Open Access (articles based on Crossref data)



# Levels of metadata availability

## Route 2: A version of the publication is in an OA repository

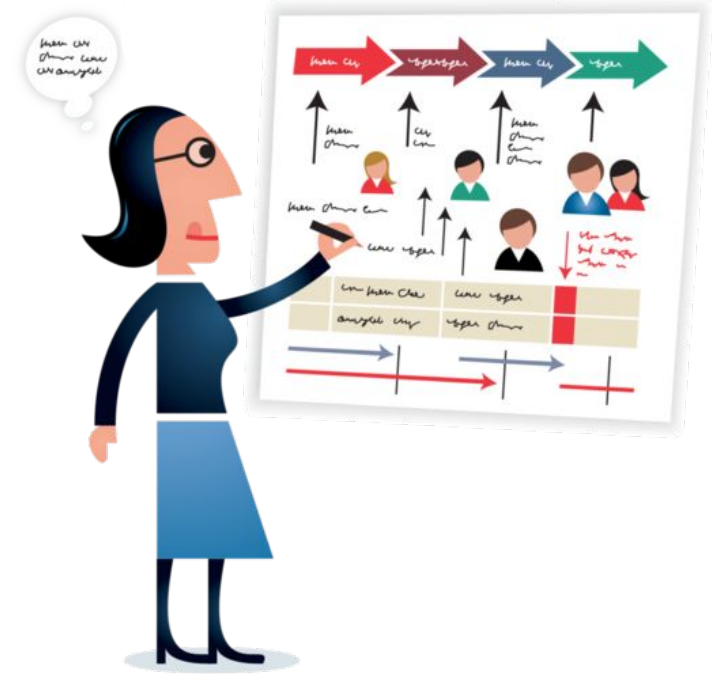
- 49% of 132 UK institutional repositories use the RIOXX application profile
- Of those that do not use RIOXX, metadata structure was too inconsistent to measure availability



- Use of DataCite as a metadata registry also potentially provides a pathway for some repositories
- How to improve metadata completeness and quality is a matter for further discussion

# Basis for the implementation plan

- Technical support required to assist repositories in meeting requirements
  - Repository plugins, CRIS and other metadata system integrations, etc.
  - Publications router etc.
- Encouraging the communities to develop best practices and standardise processes, to whatever degree is practical
- Tools needed to integrate with OpenDOAR, Portico, CLOCKSS, Sherpa-Romeo, etc.
- Guidance, documentation, workshops, socialisation etc. of requirements, best practices and workflows are needed
- Communications around the nature of projects (they are not grants) and coordination with RAiD (ARDC & Jisc) as it matures into a usable project ID
- Coordination with other funders, national and international
- Outreach and engagement publishers and publisher associations





# Getting started - Who do we need to hear from?

1 Acknowledge UKRI funding

2 Date of deposit

3 Data Access Statement

4 ISSN

5 Article level PID (DOI, URN, Handle)

6 ORCID ID (all authors)

7 Is ORCID ID authenticated

8 Licence (non-proprietary format)

9 Preservation location (Portico etc)

Self-archiving policy (registered in

10 Sherpa-Romeo)

11 Citation data in I4OC (<http://opencitations.net/>)

12 Repository registered in OpenDOAR

13 PID for funders

14 PID for research performing orgs

15 PID for grant

16 PID for project

17 Final version or AAM

Stakeholder	Policy requirement																
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
ARMA	█			█									█	█	█		█
ARDC									█	█							█
CLOCKSS																	
COAR					█	█						█	█				
CORE																	
Crossref	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
Current Research Information Systems provides																	
DataCite	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
Digital preservation coalition																	
Europe PMC																	
Funders																	
JATS4R																	
Jisc																	
NISO																	
Open Citations																	
ORCID																	
Portico																	
Publishing associations	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
Publishing workflow systems vendors	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
Repository service providers and developers																	
Research Activity Identifier (RAID)																	
Research Data Alliance																	
Research Organization Registry (ROR)																	
RIOXX Governance group																	
Scholix																	
UKCoRR	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█

# | Types of engagement meetings

- **Virtual meetings**
  - Small groups
  - Focus on a specific topic
  - Designed to confirm landscape assessments and agree actions
- **Virtual roundtables**
  - Large consultative groups
  - To include all participants in in-depth discussions to inform UKRI's next steps
  - e.g. State of the art - community readiness
- **In-person workshops**
  - Large mixed community
  - Complex, multi-stakeholder issues
  - Shared understanding is needed – of both the current and desired situation
  - Jointly agree a path forward
- **Virtual workshops**
  - Large mixed community groups
  - Currently no single clear path forward
  - Build a shared understanding of the problem

# Approximate timeline of engagement

We will be reaching out to stakeholders starting in June 2023



# | What will the roadmap cover?

Enabling policy compliance requires a more complete scholarly information ecosystem

Cross-stakeholder work will be needed on an ongoing basis

Roadmap = realistic timelines and scoping for the following areas of work:

Technical integrations

Workflows

Best practice

Standards

# Questions and discussion

- What are the challenges in meeting the technical requirements for the policy?
- What actions do you see as the highest priority?
- Which stakeholders need to be engaged with this work and can your network help?
- Is there anyone else already working on any of this e.g. groups developing guidance?

# | Scope of the OA policy

## Covers

- Short-form (articles) from April 2022
- Long-form (books, monographs) from January 2024

## Two routes to compliant open access:

- 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”
- 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”

Annex 2 sets out technical requirements for research article publishers and platforms

## **Annex 4: Item 6: Update on Jisc open access activities (slides)**

# Supporting the UKRI OA policy implementation

UKRI open access forum June 2023

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Caren Milloy, Director of Licensing



# Supporting the UKRI policy

**Data Collation, Monitoring and Evaluation.** Monitoring progress and impact of agreements in the context of the UK's ambition to achieve 100% OA

**Licensing.** Rapid scaling of open access journal and monograph negotiation and licensing activity with publishers and societies to enable UKRI funded authors to publish in compliance with policy via agreements and routes that meets the sector's requirements

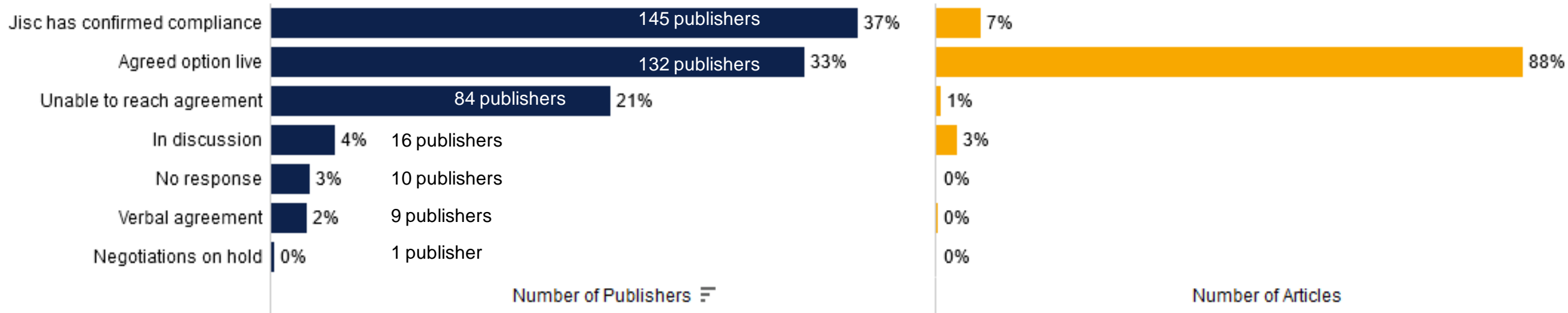
**Engagement:** Identify and address sector needs - pre and post policy implementation

Research articles  
submitted for  
publication **on or  
after 1 April 2022**

In-scope  
monographs,  
book chapters  
and edited  
collections –  
**Jan 2024**

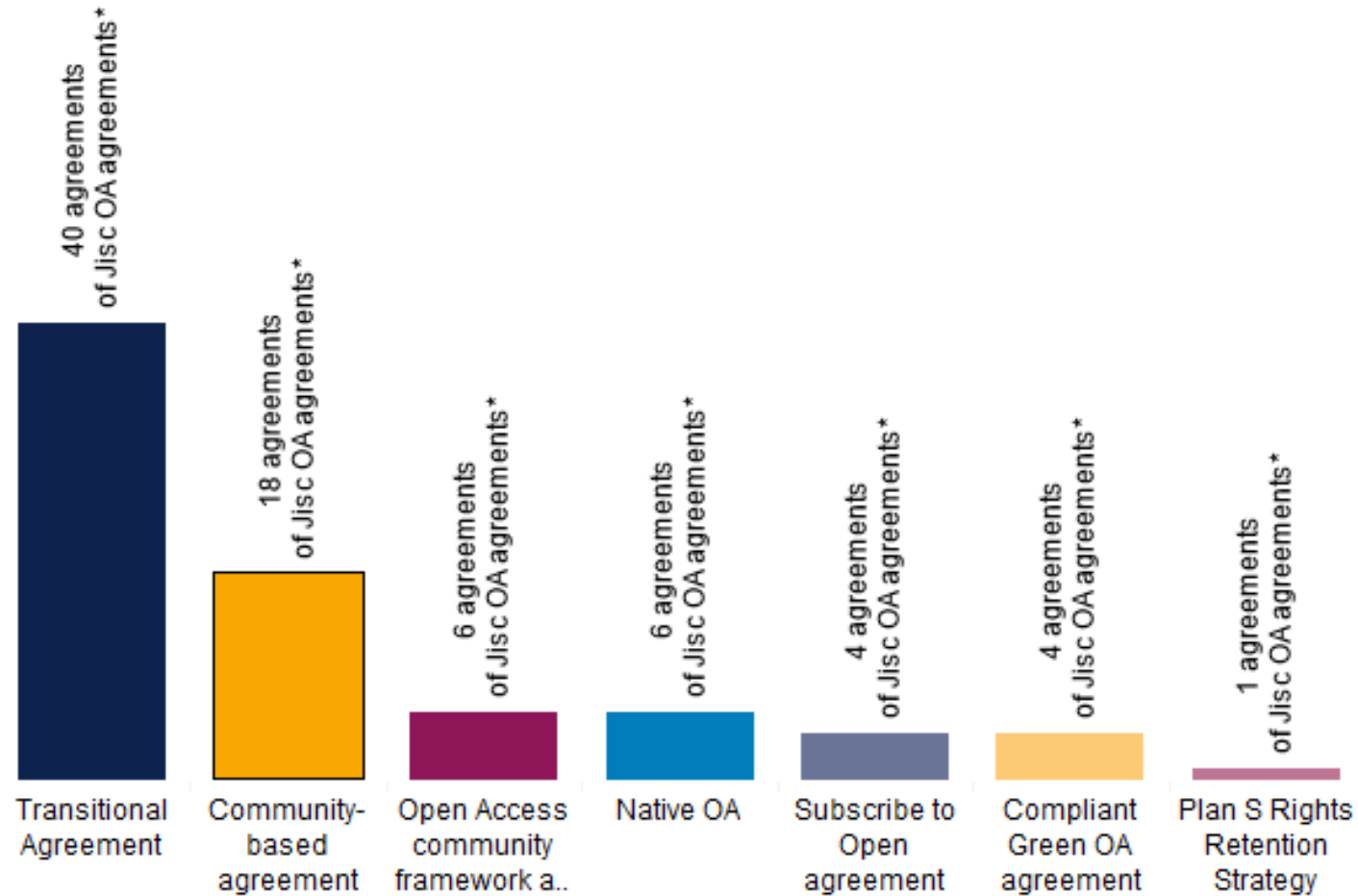
# UKRI OA Policy Negotiations

300 + publishers: May 23

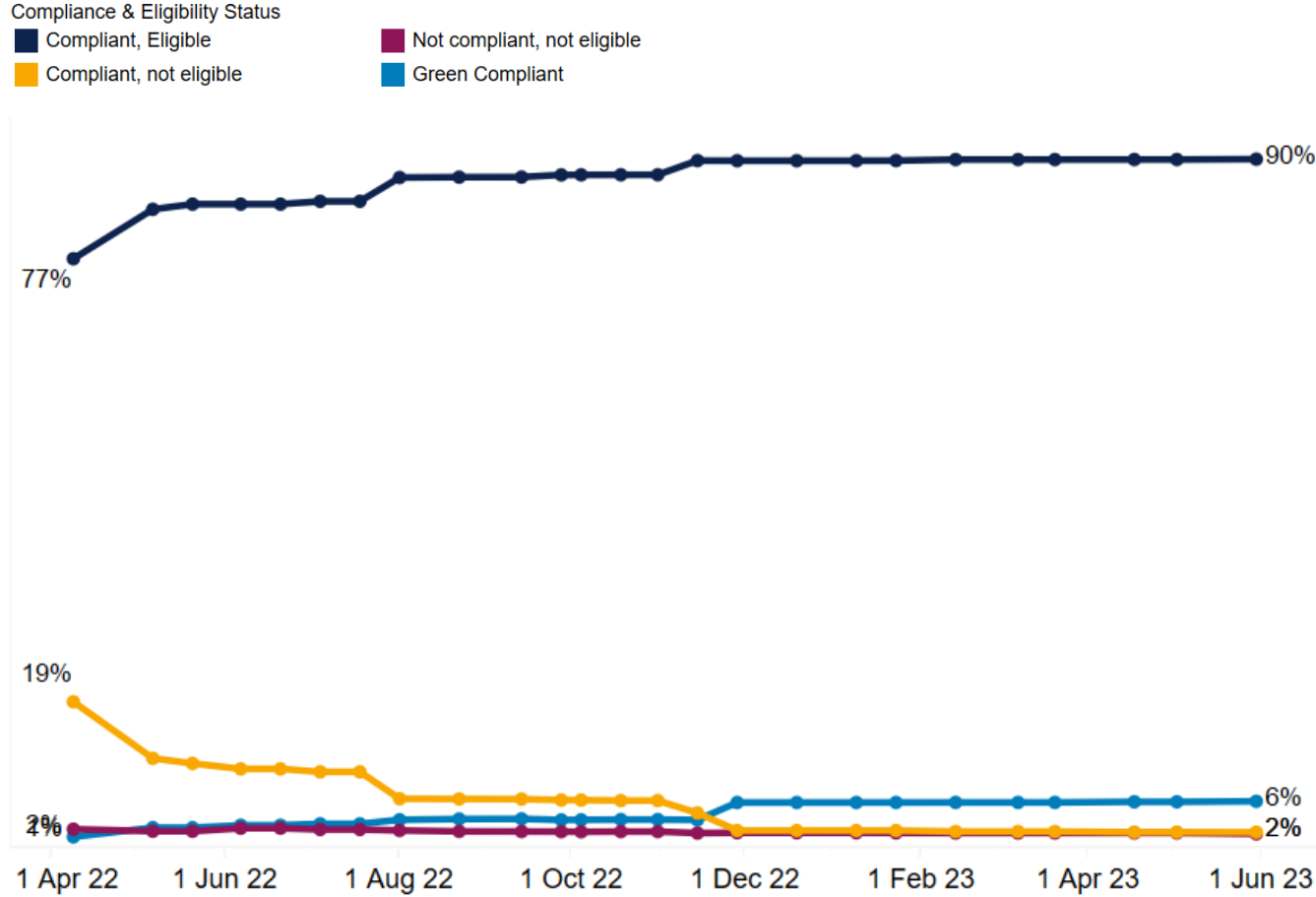


# UKRI OA Policy Negotiations

Jisc open access agreements in place: May 23



# UKRI policy compliance status – articles

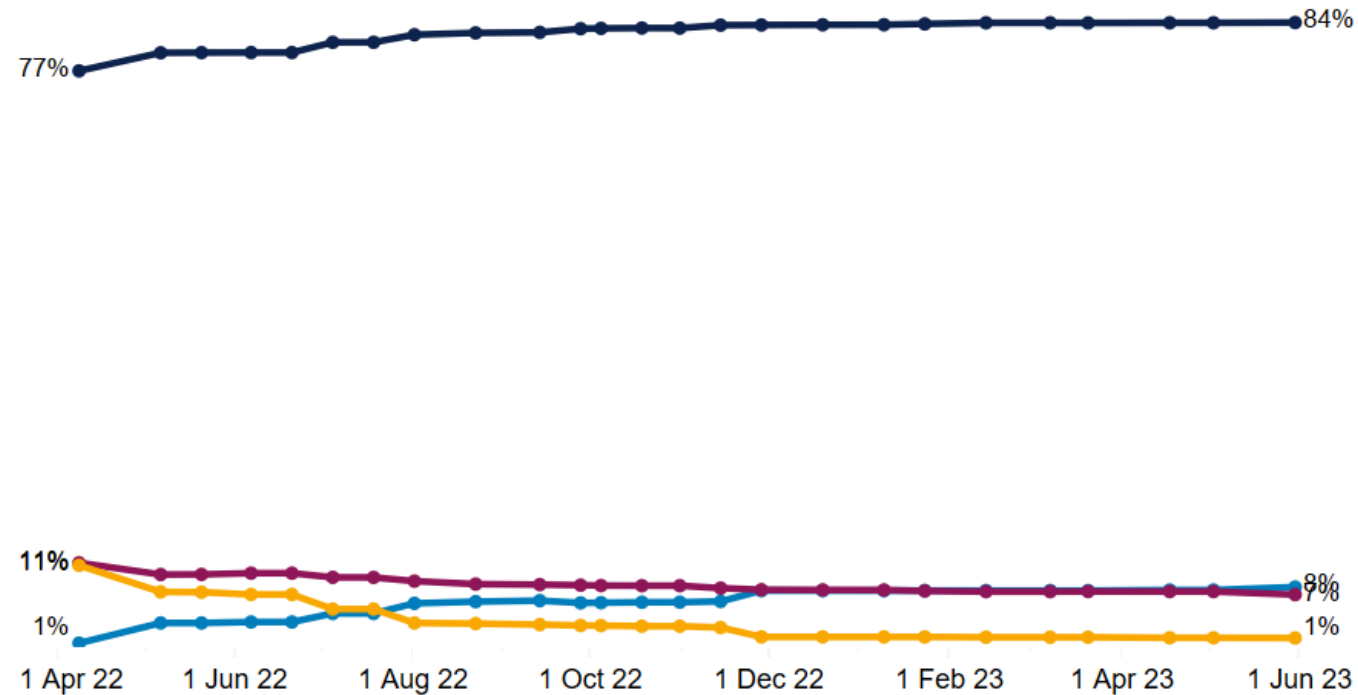


Articles	
Compliant & eligible for UKRI funds + green compliant	<b>96.1%</b>
Increase since 1 April 2022	+23% (37,653)
Not compliant, not eligible	3,931 articles = 1.86% of total articles

# UKRI policy compliance status - journals

## Compliance & Eligibility Status

- Compliant, Eligible
- Not compliant, not eligible
- Compliant, not eligible
- Green Compliant



<b>Journals</b>	
Compliant & eligible for UKRI funds + green compliant	<b>91.7%</b>
Increase since 1 April 2022	+17.8% (1,584 journals)
Not compliant, not eligible	810 journals = 7% of total journals

# UKRI OA Policy Negotiations

Proportion of ASJC Subject by Current Compliance



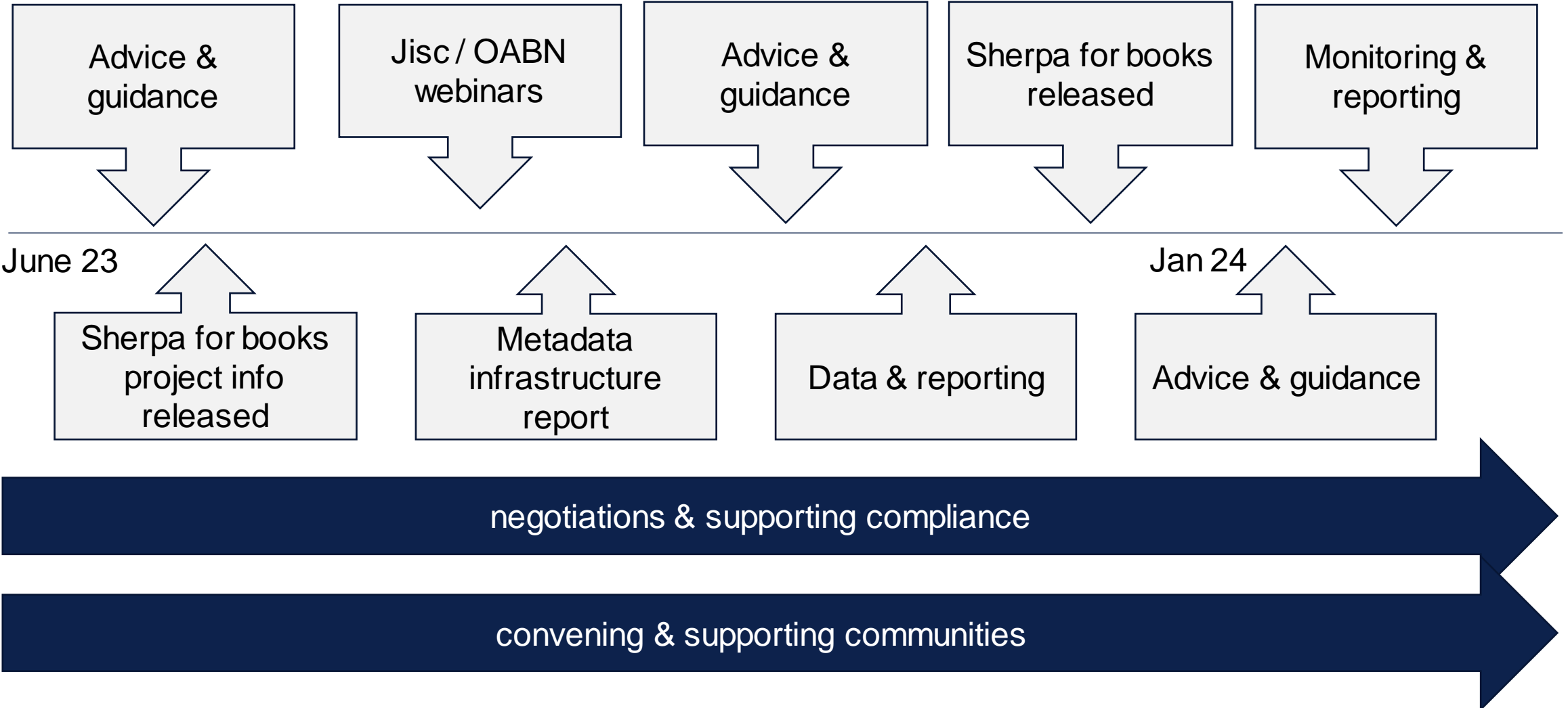
# **Monographs – objectives and engagement activities**

# 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 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



# Key activities



# Supporting UKRI policy

## Prioritising equitable, inclusive, fair and affordable agreements

13 diamond monograph agreements and 7 infrastructure agreements have already been negotiated.

9 agreements are currently under negotiation, including with major commercial publishers applying a diamond model.

New round of Open Access Community Framework will prioritise not for profit community led monograph agreements.

Strong preference for Green compliant routes from Library community due to funding, followed by non-BPC models

Collaborating with international partners such as Lyrasis, DIAMAS, PALOMERA and KOALA.

# 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 and supporting communities](#)
- Collective funding models for Open Access books webinars - [\(1\) publishers](#) (2) libraries (June/July 2023) (3) tbc (autumn 2023)
- Contributing to UKRI updated guidance and FAQs around monographs
- The [OAPEN OA Books toolkit](#) is currently being revised by its editorial advisory board. The board has strong representation from publishers, institutions, infrastructure providers including Jisc
- New project exploring how we could provide member HEIs with information, support, and guidance to implement and maintain an [Institutional Rights Retention Policy \(IRRP\)](#)
- Advising UKRI on next steps for TJs



## Supporting the UKRI OA policy 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>

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