

# UKRI open access policy technical requirements: overview of next steps

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The [UKRI Open Access Policy](#) outlines technical requirements for research articles. Publishing and repository systems need to support the requirements so the necessary requirements for access and curation are applied to the research articles in scope of the policy.

As outlined at [implementing our open access policy](#), UKRI commissioned [MoreBrains Cooperative](#) to undertake an analysis to inform how far these requirements are currently adopted. This has helped to identify actions that are necessary to improve the metadata landscape and to fully enable the requirements to be implemented. The final report of this analysis is available at [roadmap for the open access research information landscape](#).

UKRI is now taking forward work to support implementation and we are working with MoreBrains Cooperative over the next year to support necessary developments. MoreBrains will work with UKRI to:

- consult the repository and publishing communities on their current state of readiness to meet policy requirements
- develop best practice and technical guidance to coordinate with relevant community initiatives to improve support for specific components of the policy
- establish any ongoing programmes of support needed to extend the coverage and capabilities of the platforms and schemas in use to meet policy requirements.

**Table one** in this document sets out at a high level the activities the project will encompass.

**Table two** sets out in more detail which policy requirements will be focused on at which stage, and which community or initiative will be consulted or prioritised for action.

Enquiries about this work can be directed to [openresearch@ukri.org](mailto:openresearch@ukri.org).

**Table 1: Project activities**

Actions	Description	Timing
Community consultation on readiness and options	We will facilitate community engagement to explore implementation challenges raised by the technical requirements of the policy, such as Data Access Statements or the selection and use of specific persistent identifiers. This will comprise focus groups and virtual information sessions, engagement with relevant international initiatives, and ongoing discussions with a task and finish group made up of experts from across the UK OA community.	September 2022 - September 2023
Additional research to understand state of technical readiness	We will gather and synthesise information about relevant standards, services, and initiatives to meet community information needs, focusing on those practical issues already identified and extended by the findings of our community consultations. We will focus on issues such as the collection of authenticated ORCID IDs that have been flagged as a concern.	November 2022 - June 2023
Develop best practice and implementation guidance	We will identify and prioritise community information needs, resulting in the specification of information resources. The team will then prepare guides and FAQs to ensure that there is clarity about the implications of the policy, and the range of feasible options to support implementers in meeting its requirements.	April 2023 - December 2023
Create technical specifications and guidance	We will develop a range of detailed resources to provide consistent, scalable approaches for implementers to address such challenges as persistent identifier adoption, metadata curation, and non-article level requirements such as OpenDOAR registration and preservation location.	April 2023 - December 2023
Coordinate with relevant community/sector initiatives to support metadata requirements for policy	Having identified several areas where existing schema do not support the necessary fields to enable alignment with the policy, or where existing standards are not yet widely enough adopted, we have identified initiatives and communities which will be targeted to specify the necessary improvements to the landscape to reduce the technical load and effort needed to meet the policy requirements.	November 2022 - June 2023
Support for schema revision, extension, and adoption	Where there are specific gaps in the schemas available, and updates to systems needed to extend those schemas, we will work with organisations like Crossref, DataCite, Jisc, Research Data Alliance, publishing associations, and UKCoRR to ensure that the information infrastructure is aligned with the policy, and designed to simplify the process of gathering and sharing metadata.	December 2022 - December 2023



<p>Develop support programme</p>	<p>Working with Jisc and other partners, we will roll out targeted activities to ensure that repositories and community initiatives are appropriately resourced and equipped to extend or update their systems and schemas to provide a low-friction, low-burden route to alignment with the policy. This will take a mix of forms, with some short-term tightly focused interventions to address specific standards or technical needs, and longer term implementation and integration plans.</p>	<p>April 2023 - December 2023</p>
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**Table 2: Actions and policy requirements matrix**

Actions	Policy requirement*																	Timeline
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	
Community consultation on readiness and options																		September 2022 - September 2023
Repository community																		
Publishers and publishing associations																		
Additional research to understand state of technical readiness																		November 2022 - June 2023
Develop best practice and implementation guidance																		April 2023 - December 2023
Create technical specifications and guidance																		April 2023 - December 2023
Coordinate with relevant community/sector initiatives to support metadata requirements for policy																		November 2022 - June 2023
CLOCKSS																		
Crossref																		
DataCite																		
JATS4R																		
Jisc																		
NISO																		
Open Citations																		
ORCID																		
Portico																		
Publishers and publishing associations																		
Repository providers																		
Research Activity Identifier (RAiD)																		
Research Data Alliance																		
Research Organization Registry (ROR)																		
RIOXX																		
Scholix																		
Support for schema revision, extension and adoption																		December 2022 - December 2023
Develop support programme																		April 2023 - December 2023

**\*Policy requirements key:**

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. ORCID ID authenticated
8. Licence (non-proprietary format)
9. Preservation location (Portico etc.)
10. Self-archiving policy (registered in SHERAP-Romeo)
11. Citation data in I4OC
12. Repository registered in OpenDOAR
13. PID for funders
14. PID for research performing organisations
15. PID for grant
16. PID for project
17. Final version or AAM