

UKRI Open Access Policy Stakeholder Forum

Meeting 2 summary

9 February 2023, 10:00-12:00, virtual

Item 1 – Welcome

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

Torie Eva was introduced as the Publisher's Association new nominated member.

Suzanne Stewart was introduced as UK Reproducibility Network's (UKRN) nominated member.

Item 2 – Matters arising

The Forum reviewed actions from the last meeting.

The Association of Learned and Professional Society Publishers (ALPSP) and Jisc have been considering collaboration opportunities, including a possible event for learned societies on transitional agreements. The Open Access Scholarly Publishing Association (OASPA) were interested in participating.

UKRI will be speaking to Research Libraries UK (RLUK) about issues raised around definitions of outputs in scope of the UKRI Open Access Policy. For further information, please see: [RLUK OAPP - Research Libraries UK](#).

Item 3 – UKRI policy implementation activities update and forward look

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

- development of research articles technical requirements roadmap to inform both UKRI and the wider sector.
- open access block grant process dates.
- development of guidance for authors and researchers for the long-form outputs policy and associated exceptions.
- development of the ring-fenced open access fund for long-form outputs.
- an overview of 2023 activities preparing for the long-form outputs 2024 start date.
- development of a monitoring and evaluation framework for UKRI' policy, which will cover policy impacts, policy compliance and funding assurance.

Further details are noted in the presentation slides, included as Annex 2.

Information is also provided on UKRI's website at [implementing our open access policy](#).

The Forum discussed considerations about funding support for alternative models to book processing charges.

ACTION: UKRI to share final book fund process with Forum members for brief comment
ACTION COMPLETED.

The Forum noted that there had already been consultation with stakeholders as part of the development process.

Item 4 – Update on Jisc open access activities

Anna Vernon (Jisc) presented an update on Jisc's activities supporting the implementation of UKRI's Open Access Policy. Key points included:

- there are various ongoing Jisc activities spanning data collection, monitoring and evaluation, licensing and stakeholder engagement; a particular focus is open access books, ahead of UKRI's new requirements applying in 2024.
- observed that through the collective efforts of Jisc, publishers and research organisations, 95.7% articles and 90.8% of journals that UKRI authors publish in are compliant and eligible for use of UKRI funds (22% increase since April 2022); good levels of compliance are observed across different subject areas too.
- Jisc is working with its strategic groups to understand where it should focus its licensing efforts in relation to open access books; priorities include ensuring value for money, equitable and inclusive agreements, and being informed by data on where UKRI authors publish;
- Jisc is working with publishers and research organisations to look at supporting different open access models, including fostering institutional publishing via university presses.
- As part of its wider work on open access, Jisc is considering how it can support infrastructure for open access books.

Further details are noted in the presentation slides, included as Annex 3.

UKRI acknowledged the significant work by Jisc and the sector to progress implementation of its policy and open access.

It was noted that Jisc is analysing performance of transitional agreements and considering implications post-2024/2025, when some cOAlition S funders will stop supporting these, including with respect to compliance and sustainable open access for different disciplines and the long tail of venues that publish few articles. While hybrid transition is a current focus, Jisc is also looking at overall levels of open access and support for fully open access models. It will be consulting with the sector as this work progresses. Hey

It was noted that UKRI is funding Jisc over a two-year period to support implementation of its long-form publications open access policy, such as to enable Jisc to scale up its engagement with a diversity of publishers on behalf of the sector.

Roheena Anand (representing OASPA) highlighted that fully open access publishers would be happy to feed into Jisc's work and help develop a framework for fully open access publisher agreement monitoring and development.

ACTION: Jisc to circulate information about how it categorises different compliant open access models. **ACTION COMPLETED:** Please see: [Licence subscriptions manager \(jisc.ac.uk\)](https://www.jisc.ac.uk/our-services/licence-subscriptions-manager)

Item 5 – Stakeholder feedback

UKRI addressed points for feedback from forum members about the implementation of its open access policy.

UKRI open access funding for Horizon Europe Guarantee grants

UKRI is considering use of the open access block grant for Horizon Europe Guarantee funding and will clarify as soon as possible.

ACTION: UKRI to update forum on open access funding position for Horizon Europe Guarantee grants. **ACTION COMPLETED:** Please see our [updated FAQs](#), A11.

Transitional arrangements

Regarding the [cOAlition S timeline for support of transitional agreements and transformative journals](#), which acknowledges international differences, UKRI noted its position remains as published in the open access policy FAQs – that its open access funding terms and conditions will remain the same until end of financial year 2024-25. Any change will be contingent on advice from sector via Jisc's strategic groups. UKRI will update its FAQ soon and Jisc will be clarifying key decisions and milestones in its guidance and strategic group activities.

[Post-meeting update: [UKRI published an update](#) about its position on transformative journals on 24 May 2023].

Elizabeth Newbold (representing RESCOLINC) raised some disciplinary-specific complexities where transitional agreements and transformative journals are not options and implementing self-archiving can be challenging. Anna Version (Jisc) highlighted current discussions with publishers about ensuring a choice of open access routes are offered.

It was asked if there was best practice regarding when corresponding author status should be applied in relation to accessing transitional agreements. It was noted that Jisc and publishers are discussing this issue and that Jisc has published a briefing paper setting out challenges, see: [Working with transitional agreements | Jisc](#).

Future Research Assessment Programme

Regarding alignment between the UKRI open access policy and the separate UK higher education funding bodies open access requirements for the next research assessment exercise,

which are yet to be determined, the position remains as outlined in the [UKRI open access policy FAQs](#). It is expected further details on the [Future Research Assessment Funding Programme](#) will be published Spring 2023.

The importance of ensuring researchers understanding the difference between the two policies was highlighted.

Support for smaller research organisations, and institutional rights retention strategies

Nicola Dowson (representing UKCORR) provided some feedback on issues being discussed in research sector discussion forums. Topics have included institutional rights retention strategies, including some differences between research intensives and smaller research organisations, how rights retention might feature in the next research assessment exercise and how self-archiving would fit if there was a flip to full open access.

UKRI noted it was important to consider specific issues for smaller and less research-intensive research organisations.

Anne Rossiter (representing SCONUL) highlighted that SCONUL was thinking about this and potential event targeting smaller institutions, but that overall implementation progress appears positive, and challenges relate to resourcing rather than issues with the content of UKRI's policy.

Valerie McCutcheon (representing ARMA UK) suggested the organisations represented on the forum could work together to provide more advice and training smaller institutions.

ACTION: SCONUL, UK CORR, ARMA and Jisc to discuss opportunities to support smaller research organisations with open access implementation.

It was also suggested the forum be used to support information sharing about different activities relating to rights retention and self-archiving.

Licensing requirements

Suzanne Stewart (representing UKRN) noted some community feedback about CC BY-SA and welcomed clarification on why this licence is not permitted in UKRI's policy.

Action: UKRI to share rationale for licensing requirement with Suzanne Stewart. **ACTION COMPLETED.**

Item 6 – Horizon scanning

Forum members were invited to highlight any other open access issues or activities relevant to the communities represented.

Members noted the [Researcher to Reader Conference](#) happening 21-22 February 2023.

[OASPA has published some blog posts](#) on the open access market and is convening some groups consider the health of the open access market.

Item 7 – Future meetings, AOB, close

UKRI will consult forum members on dates for further meetings in May/June 2023 (virtual) and October 2023 (potentially in person with a workshop element).

Annex 1: Meeting 2 agenda and participants

| Item | Time | | Item | Lead |
|------|-------|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| 1 | 10:00 | 5 mins | <p>Welcome</p> <p>To note:</p> <ul style="list-style-type: none"> Torie Eva has replaced David Ross as the Publishers Association's nominated member. Suzanne Stewart has joined as the UK Reproducibility Network's nominated member. | Rachel Bruce |
| 2 | 10:05 | 10 mins | <p>Matters arising</p> <p>Summary of Meeting 1: https://www.ukri.org/publications/open-access-policy-stakeholder-forum/</p> <p>Actions from Meeting 1:</p> <ol style="list-style-type: none"> UKRI and representatives from Jisc and Publishers Association to follow up on possible rights retention/licensing statements stakeholder discussion. (In progress). Representatives from ALPSP and Jisc to follow up on open access models for small society publishers. (In progress). UKRI to consider further engagement with the Forum/stakeholders on data access statement standards and guidance. (In progress). Members are invited to share additional implementation feedback via email. (Complete). UKRI will consider feedback raised and follow up with members on specific issues, where needed. (Complete). UKRI to confirm 2023 meeting dates with members. | Rachel Bruce |
| 3 | 10:15 | 30 mins | <p>UKRI policy implementation activities update and forward look</p> <p>Including updates on:</p> <ul style="list-style-type: none"> Research articles technical requirements | Sara Ball and Tahia Zaidi |

| | | | | |
|---|-------|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| | | | <ul style="list-style-type: none"> • Open Access block grant • Monographs, book chapters and edited collections • Monitoring and evaluation <p>Presentation with opportunity for questions. Slides will be shared after the meeting.</p> <p>Latest published 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/</p> | |
| 4 | 10:45 | 20 mins | Update on Jisc open access activities | Anna Vernon |
| | 11:05 | 5 mins | BREAK | |
| 5 | 11:10 | 30 mins | <p>Stakeholder feedback</p> <p>Opportunity for members to provide feedback and raise issues and discuss.</p> <p>Feedback/issues can be shared in advance with paul.richards@ukri.org.</p> | Rachel Bruce |
| 6 | 11:40 | 15 mins | <p>Horizon scanning</p> <p>Opportunity to highlight community activities and developments.</p> | Rachel Bruce |
| 7 | 11:55 | 5 mins | Future meetings, AOB and close | Rachel Bruce |

Forum members

| <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 | |
| Rachel Bruce (Chair) | UKRI | UKRI | |
| Paul Boyle | Universities UK | Swansea University | Apologies. |
| Oliver Burnham | Universities UK | Universities UK | Standing in for Paul Boyle. |
| Alison Danforth | Society Publishers' Coalition (SocPC) | British Sociological Association | |
| Nicola Dowson | Society of College, National and University Libraries (SCONUL) | The Open University | |
| Anne Dixon | Research Councils Library Information Consortium (RESCOLINC) | British Geological Survey | |
| Deborah Dixon | Association of Learned and Professional Society Publishers (ALPSP) | Oxford University Press | |
| Torie Eva | Publishers Association | Elsevier | |
| Adam Goodger | Department for Health and Social Care (DHSC) / National Institute for Health and Care Research (NIHR) | DHSC | |
| Ruth Harrison | Research Libraries UK (RLUK) | Imperial College London | |
| Azhar Hussain | Jisc | Jisc | Standing in for Liz Bal. |
| Beverley Jones | UKCORR | University of Sheffield | Standing in for Alison Sutton. |
| Caren Milloy | Jisc | Jisc | Apologies. |
| Valerie McCutcheon | Association of Research Managers and Administrators (ARMA UK) | University of Glasgow | |
| Elizabeth Newbold | RESCOLINC | Science and Technology Facilities Council (STFC) | |
| Nick Plant | Russell Group | University of Leeds | Apologies. |

| | | | |
|-----------------|-----------------------------------------------------------|------------------------------|----------------------------------|
| Sarah Priston | Guild HE | Bath Spa University | |
| 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. |
| Anna Vernon | Jisc | Jisc | Standing in for Caren Milloy. |
| Christie Walker | ARMA UK | Royal College of Art | Apologies. |
| Kirsty Wallis | RLUK | University College London | Apologies. |

UKRI staff

Sara Ball
Paul Richards (Secretariat)
Tahia Zaidi

Further information regarding membership and terms of reference:
<https://www.ukri.org/publications/open-access-policy-stakeholder-forum/>.

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



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UKRI open access policy implementation – update and forward look

Sara Ball, Strategy Lead

Tahia Zaidi, Senior Strategy Advisor

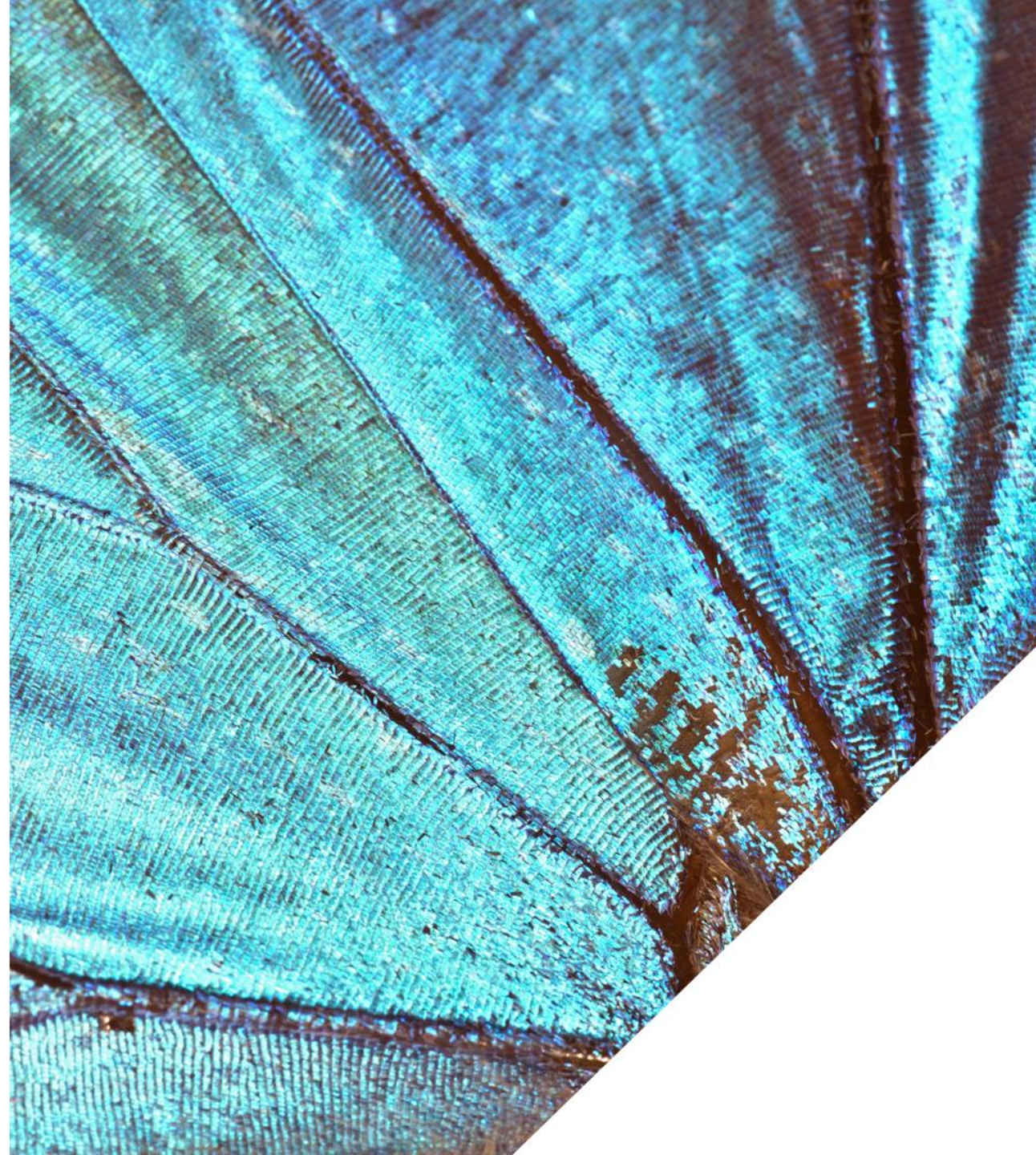
Contents

1 Research articles technical requirements

2 Block grant

3 Monographs, book chapters and edited collections

4 Monitoring and evaluation

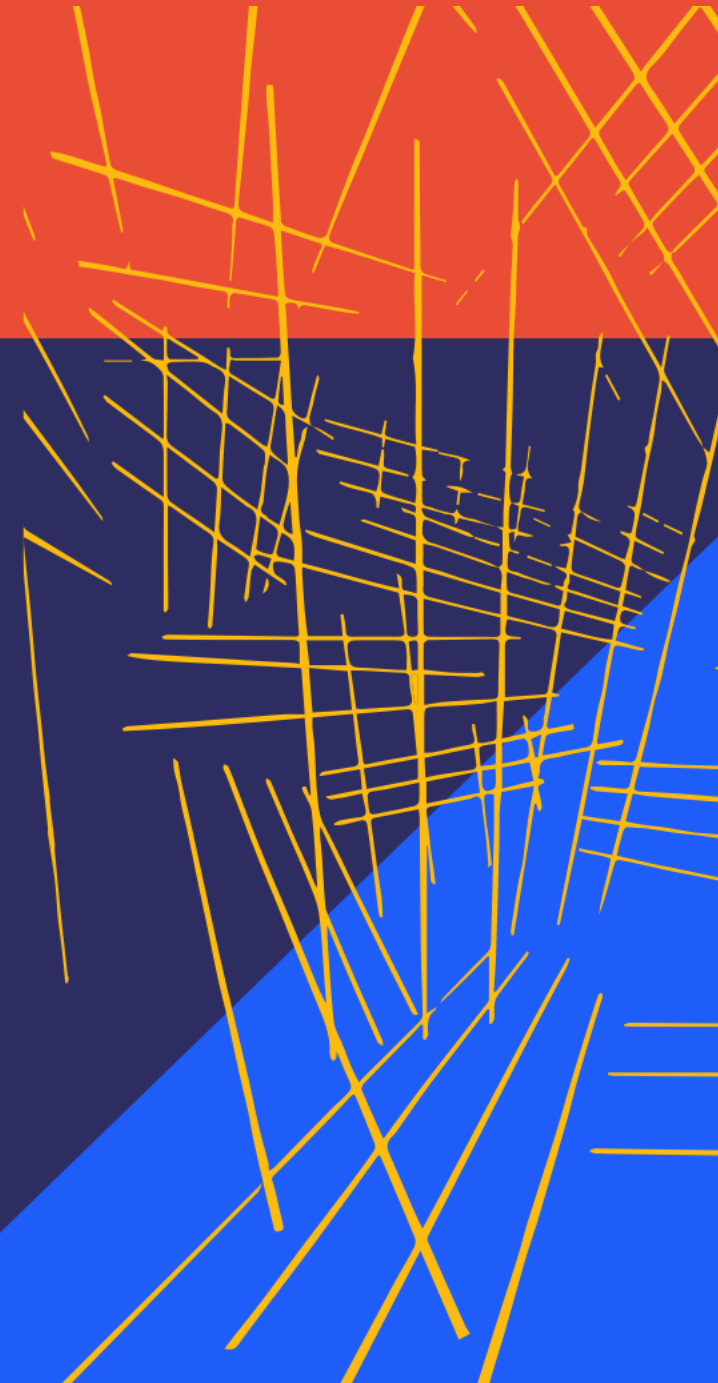




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Research articles technical requirements

Further information can be found on our webpage:
[Implementing our open access policy – UKRI](#)



Technical requirements for research articles

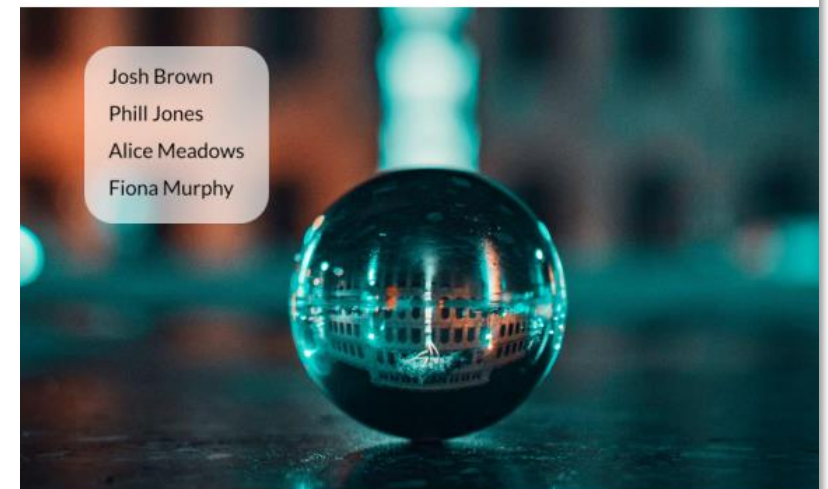
- Metadata landscape does not currently fully support implementation of policy requirements
- Phased approach to full adoption necessary
- Next steps: roadmap for improvements to the open access research information landscape, to guide UKRI's work and that of repositories, publishers and service providers
- Expert project group to support its development as well as engaging more widely with other stakeholders



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](https://doi.org/10.5281/zenodo.7386901)

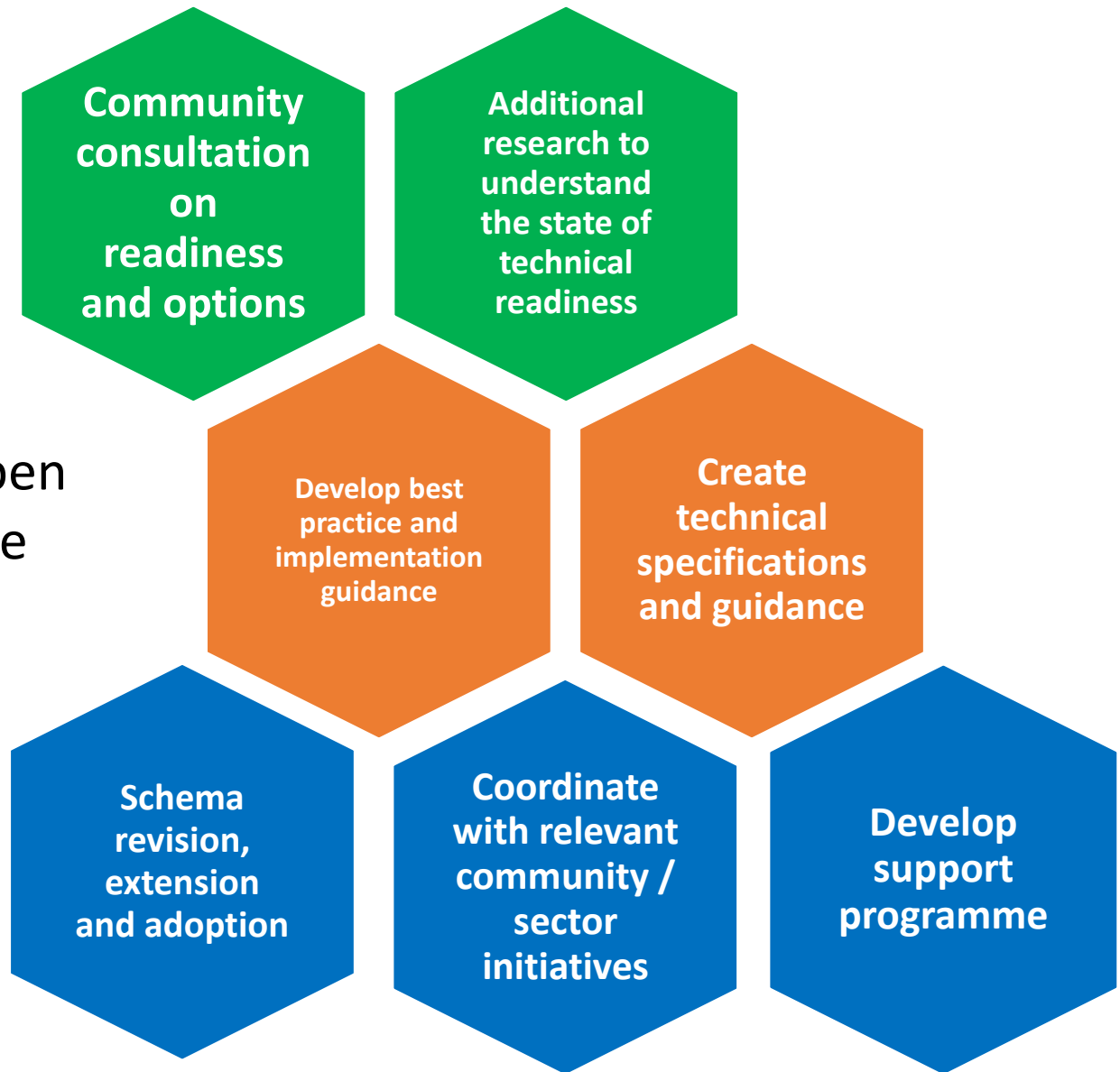
Roadmap for improvements to the open access research information landscape

| 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 |
| <i>Repository community</i> | | █ | | | | | | | | | | | | | | | █ | |
| <i>Publishers and publishing associations</i> | | | | | | | | | | | | | █ | █ | | | | |
| 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 |
| <i>Crossref</i> | | | █ | █ | | █ | | █ | | █ | | █ | █ | █ | █ | | █ | |
| <i>DataCite</i> | | █ | █ | █ | | | | | | | | | | | | | | |
| <i>JATS4R</i> | | | █ | | | | | | | | | | | | | | | |
| <i>Jisc</i> | | | | █ | | █ | | | | █ | | | | | | | █ | |
| <i>NISO</i> | | | █ | | | | | █ | | | | | | | | | | |
| <i>Open Citations</i> | | | | | | | | | | █ | | | | | | | | |
| <i>ORCID</i> | | | | | | █ | █ | | | | | | | | | | | |
| <i>Portico</i> | | | | | | | | | █ | | | | | | | | | |
| <i>Publishers and publishing associations</i> | | | █ | | | █ | █ | █ | | █ | | █ | █ | █ | | | | |
| <i>Repository providers</i> | | █ | | | | | | | | | | | | | | | | |
| <i>Research Activity Identifier (RAiD)</i> | | | | | | | | | | | | | | | | █ | | |
| <i>Research Data Alliance</i> | | | █ | | | | | | | | | | | | | | | |
| <i>Research Organization Registry (ROR)</i> | | | | | | | | | | | | | █ | █ | | | | |
| <i>RIOXX</i> | | █ | █ | █ | | | | | | | | | | | | | | |
| <i>Scholix</i> | | | █ | | | | | | | | | | | | | | | |
| 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

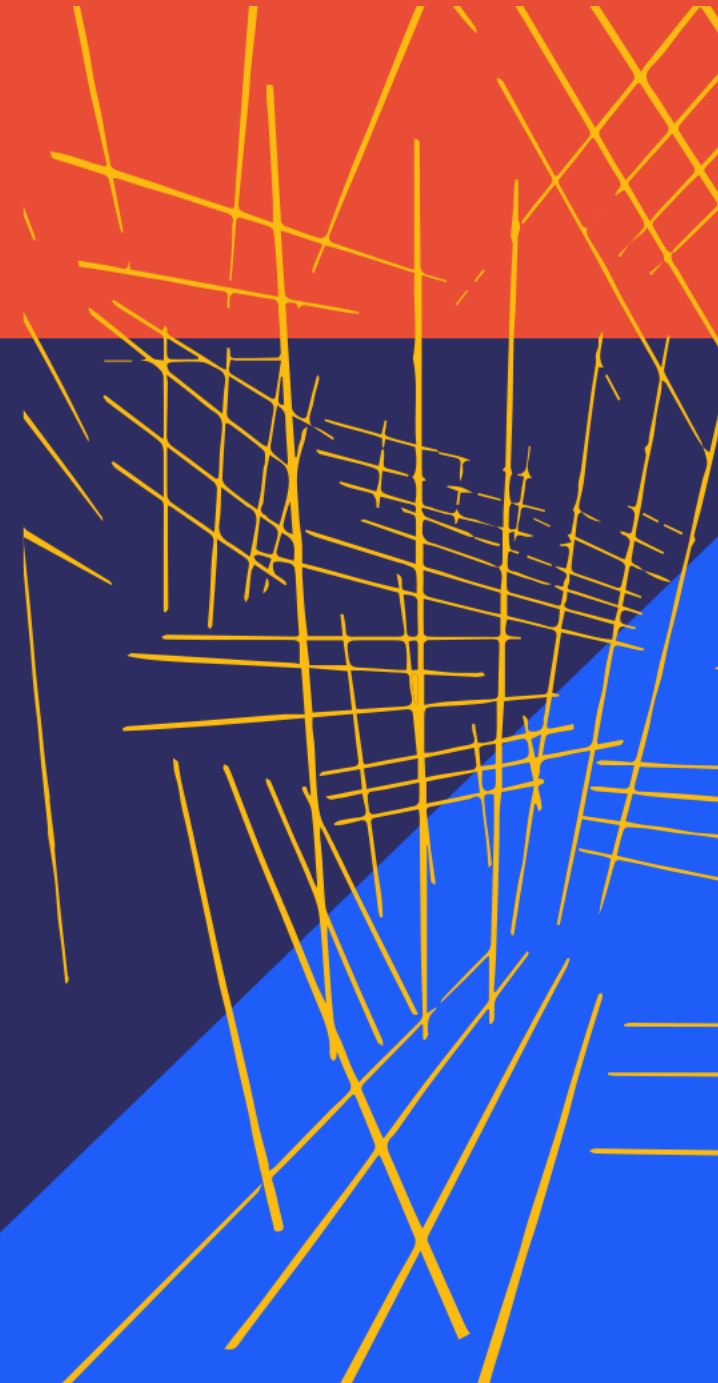
Roadmap for improvements to the open access research information landscape





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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
- Grants run 1st April – 31st March
- FES issued 31st March, return within 3 months



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Monographs, book chapters and edited collections



Activities so far...

- Roundtables to hear about the key issues and challenges on implementing the policy requirements for longform publications with publishers, representative bodies, research organisations, libraries, and mission groups
- Workshop on managing exemption to the policy where the only suitable publisher does not have an open access programme with researchers, librarians, and research managers
- Internal and external workshops & discussions on funding, including testing a draft approach and discussions to understand workflows & costs
- Scoping infrastructures and tools needed to aid compliance – informed by a gap analysis by OAPEN for UKRI

Supporting authors and their organisations

As part of policy implementation we are working to put in place a number of key assets to support authors and their institutions, this includes:

- an information pack for researcher that includes advice and guidance from UKRI on how to comply with the policy – designed in a way so libraries and research offices can support their staff
- guidance on how to determine if your output could be exempt from the policy
- providing a ring-fenced fund to contribute to open access costs for in-scope outputs.

In addition, we are working with Jisc who is enhancing the Sherpa services to include books so authors can identify publishers who offer a policy compliant route to publish – a key recommendation from the report produced for UKRI by OAPEN

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. **We are defining the process and the details.**

So far stakeholders have advised us that:

- all organisations should be able to access the fund
- authors and their organisations will wish to have confirmation before an author signs a contract that the output can be supported by UKRI's fund
- the process for applying for the fund should include the author as a key agent as they have the relationship with the publisher
- sometimes a contracted book never materialises. A book will definitely be published when the author's final manuscript is accepted by the publisher for publication and goes into production. This is also the **point at which payment is needed**



Draft proposal

A **staged application** process where:

- **Stage 1:** The **research organisation (RO)** registers an output with UKRI for funding. UKRI processes the application and confirms to the RO 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.
- **Stage 2:** The **RO supplies evidence** that the manuscript has been produced, has been accepted by the publisher, is due to be published, and provides payment information. UKRI processes this information and releases the funds.

We are defining **how** organisations will apply to UKRI for the funds and are trying to ensure as far as possible at the administrative burden to request and administer these funds is proportionate to the level of funding requested.

Stage 1 v Stage 2

Stage 1

- The publication is not ready to be published.
- A contract may not be signed between the author and their publisher
- UKRI confirms if the output is eligible to be supported via the fund
- UKRI does not release funds

Stage 2

- The publication has been written and is either in production to be published or due to be published
- A contract has been signed
- If a publication has gone through Stage 1, UKRI does not need to check eligibility of funding.
- UKRI releases funds

Supporting different models for open access funding

We are developing scenario based use cases that will explain how research organisations can use this fund to participate in collective model agreements and pursue institutional approaches to publish open access.

Forward plan – key milestones





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Monitoring and Evaluation

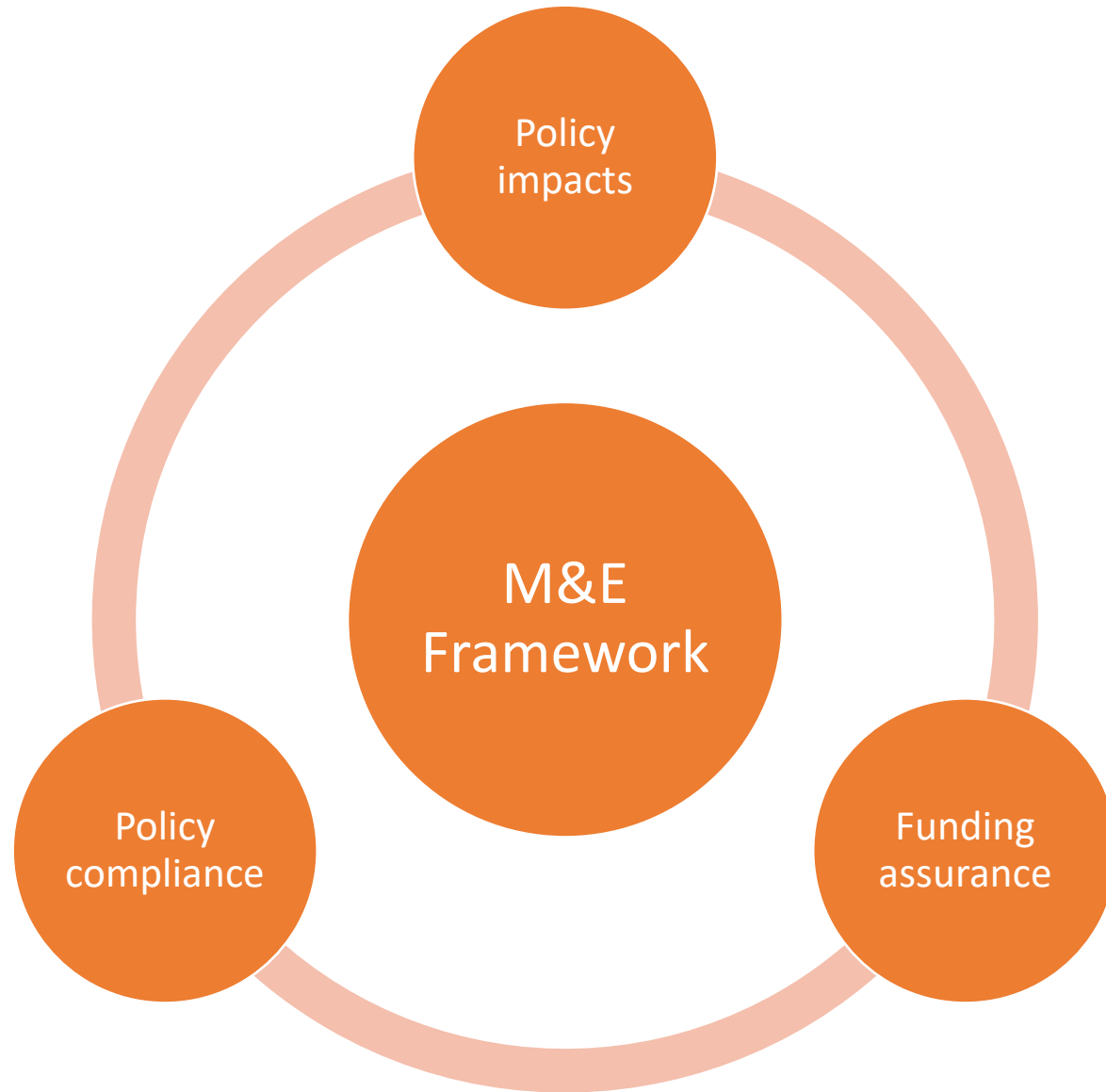
Further information can be found on our webpage and FAQs:

[Implementing our open access policy – UKRI](#)

[UKRI-301122-Final-for-publication UKRI-Open-Access-Policy-FAQ.pdf](#)

Monitoring and Evaluation enables us to...





- 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

Reporting requirements - previous process

- 65% of consultees from HEIs felt that it could be improved
- Administrative burden and requires duplicate information to be drawn from multiple sources
- Concerns over accuracy of data
- Majority of consultees supported more automated and centralised systems
- **Research organisations no longer need to submit an annual open access compliance form**

UKRI Open Access Review: Consultation

Published: 13 February 2020

Updated: 25 March 2020



A blue pen with a silver tip is positioned diagonally across the left side of the slide. Below the pen, a bar chart with several blue bars is visible on a white background with a grid. The right side of the slide is a white area containing text and a list of bullet points.

Reporting requirements

- 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.
 - We would be keen to discuss our approach with ROs and set up a meeting to do this mid-late March
- 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.
- 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.

Forward look



The [Research Consulting](#) project will complete early 2023 and we will consider outcomes in developing our final M&E framework. They have conducted interviews and workshops with a diverse set of experts and stakeholders.



Small pilot with a range of research organisations to understand how OA funding can be integrated with UKRI's existing funding assurance programme.



Final M&E framework will publish later in 2023 and we will provide further information in our next round of communication.



Planned review points for the policy will take place 2 years from the date of implementation

2024 – research articles

2025 – longform publications

Thank you



@UKRI_news



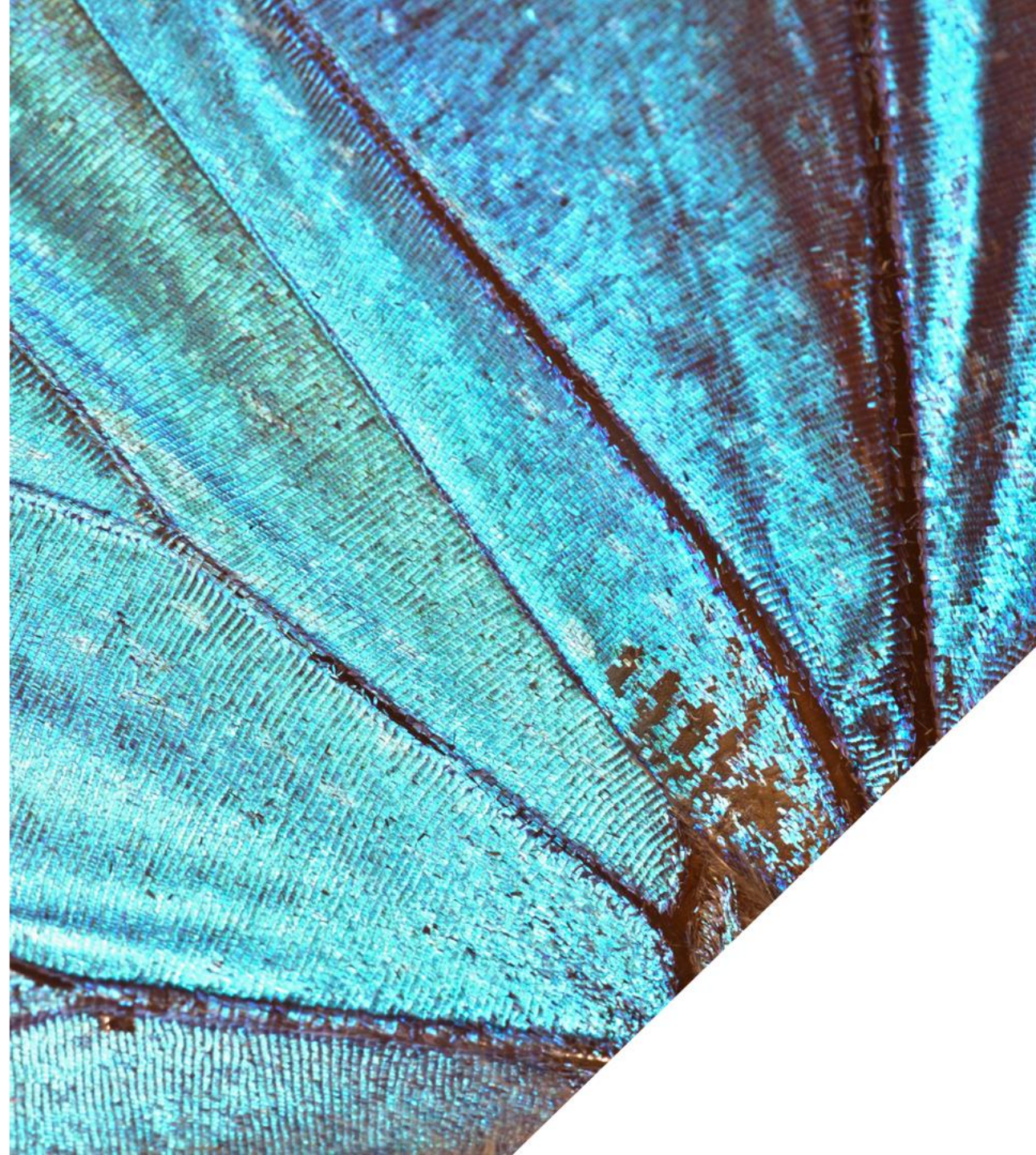
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Annex 3: Item 4: Update on Jisc open access activities (slides)

Supporting the UKRI OA policy implementation

UKRI open access forum Feb 2023

Anna Vernon, Jisc Licensing

Supporting the UKRI policy

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

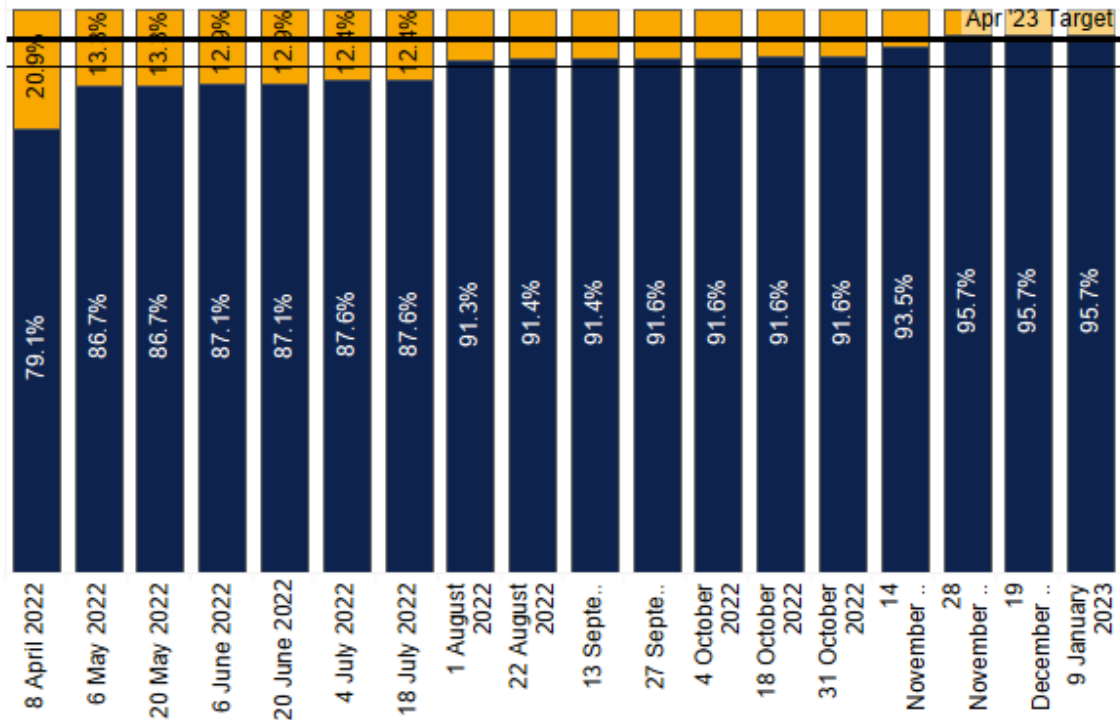
Licensing. Rapid scaling of open access journal and monograph negotiation and licensing activity with publishers and societies,

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

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

Engagement: identify and address sector needs - pre and post policy implementation.

High level progress – journal articles



Overall Compliance & Eligibility Status

Not compliant or eligible

Compliant and eligible

95.7% articles compliant and eligible for use of UKRI funds

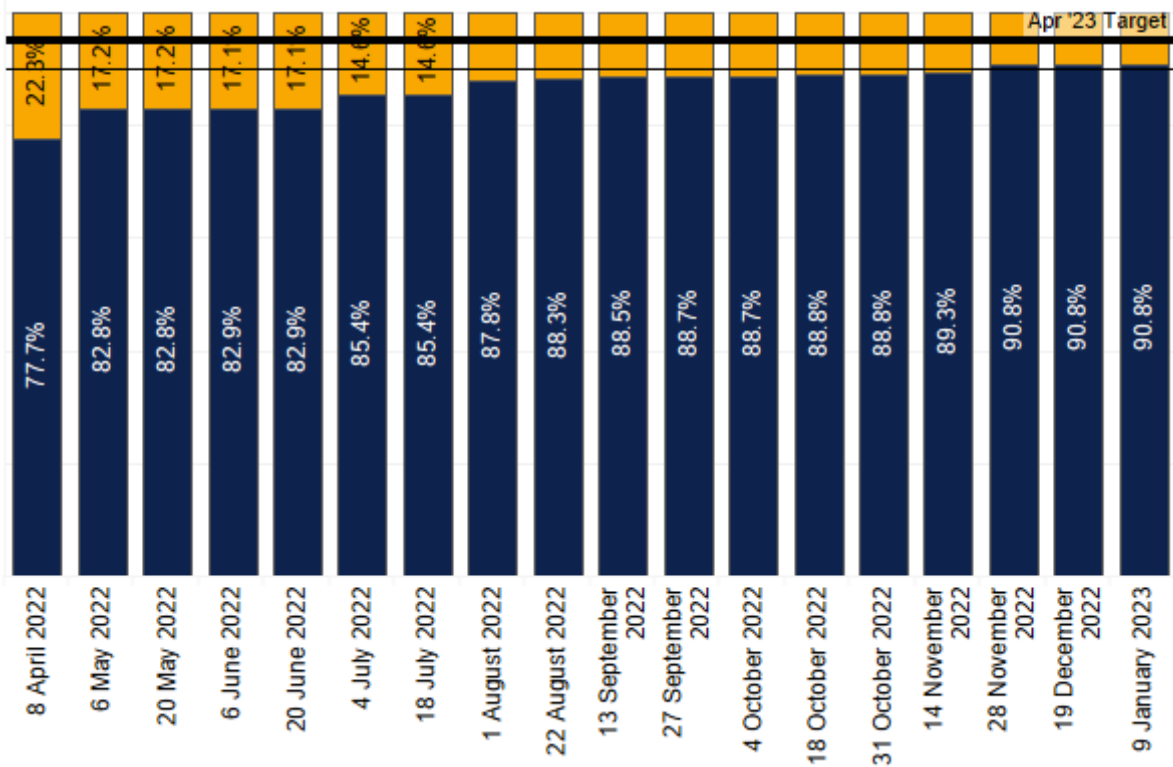
Increase of +22.3% since 1 April 2022

* Figures are limited to articles (and their associated journals) published between 2017 and 2021, which were funded by one of the UKRI funding bodies; journals listed are based on the journals in which the aforementioned articles were published in.

Data Source: Dimensions**; Jisc website; Crossref; Journal Checker Tool; KB+; Sherpa Romeo; internal reports on applications for TJ status by exception; internal reports on licensing negotiations progress.

** Data sourced from Dimensions in April 2022, an inter-linked research information system provided by Digital Science (<https://www.dimensions.ai>). Due to licensing and copyright restrictions, the content of this report should not be reproduced for any purpose other than non-commercial use by Jisc and its member institutions without permission. Where reproduced appropriately, please ensure the appropriate acknowledgement of the use of Dimensions data is used. Figures correct as of 9 January 2023.

High level progress - journals



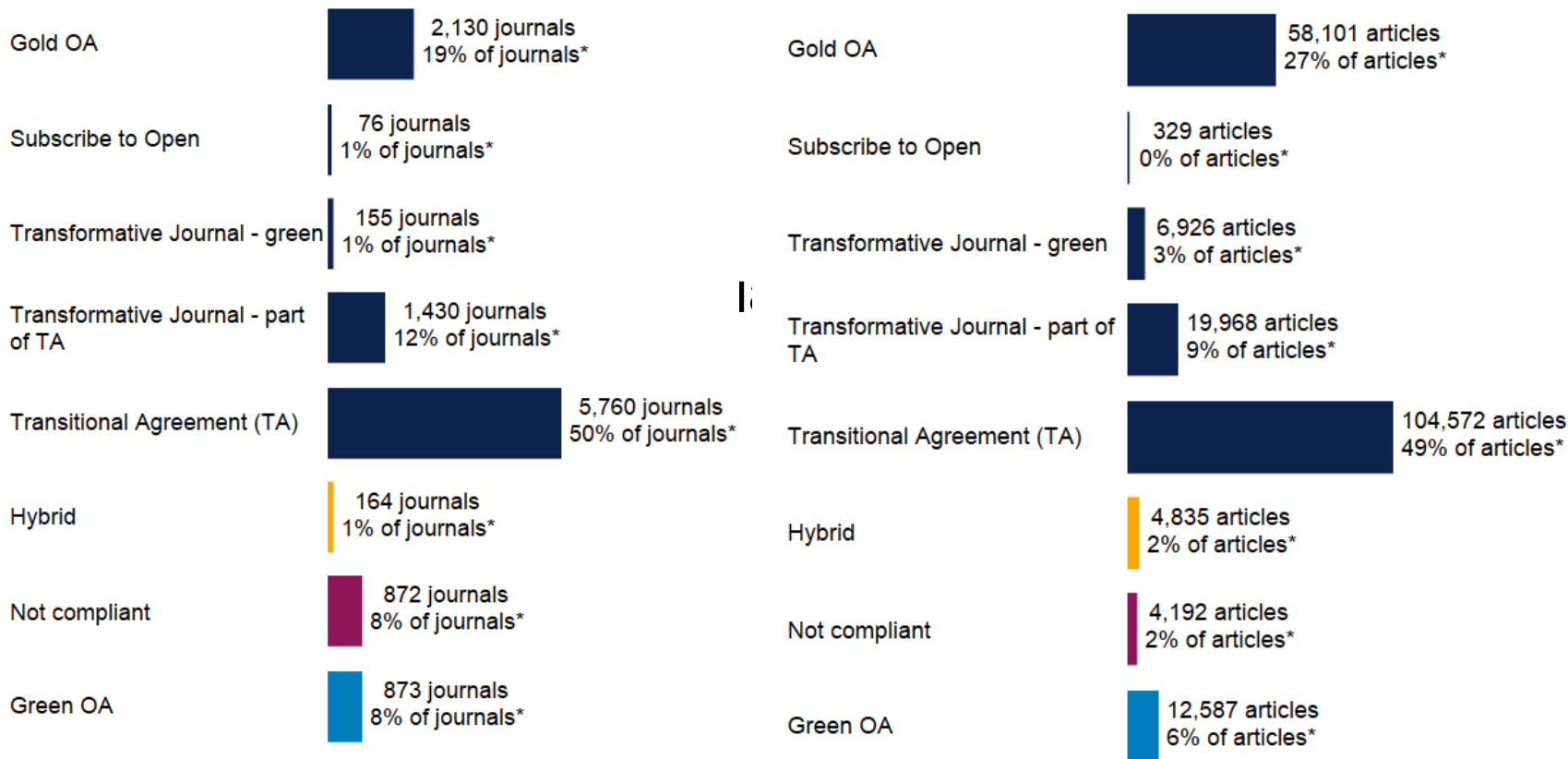
Overall Compliance & Eligibility Status
■ Not compliant or eligible
■ Compliant and eligible

90.8% journals compliant and eligible and green compliant – 28th November

Increase of +16.7% since 1 April 2022

* Figures are limited to articles (and their associated journals) published between 2017 and 2021, which were funded by one of the UKRI funding bodies; journals listed are based on the journals in which the aforementioned articles were published in.
 Data Source: Dimensions**, Jisc website; Crossref; Journal Checker Tool; KB+; Sherpa Romeo; internal reports on applications for TJ status by exception; internal reports on licensing negotiations progress.
 ** Data sourced from Dimensions in April 2022, an inter-linked research information system provided by Digital Science (<https://www.dimensions.ai>). Due to licensing and copyright restrictions, the content of this report should not be reproduced for any purpose other than non-commercial use by Jisc and its member institutions without permission. Where reproduced appropriately, please ensure the appropriate acknowledgement of the use of Dimensions data is used.
 Figures correct as of 9 January 2023.

Routes to compliance - overview



Participation in open access agreements



199 unique organisations are subscribing to Jisc negotiated OA agreements
(+4 on July 2022)

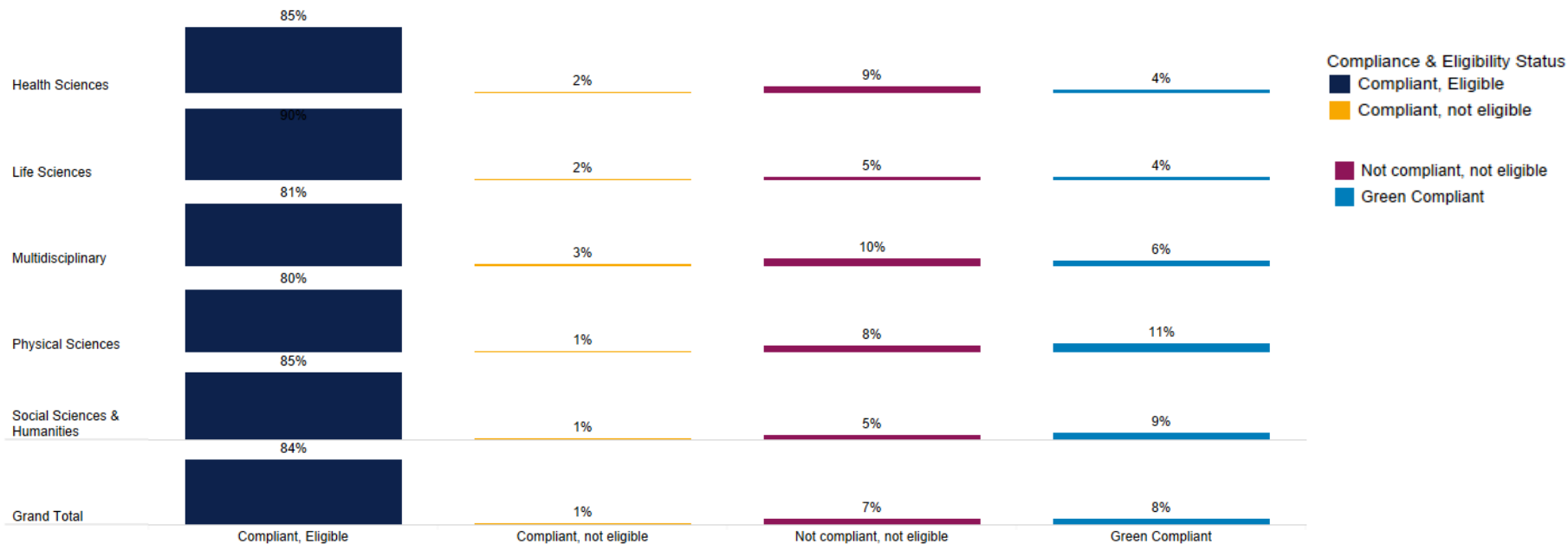


88% of HE institutions are subscribing to Jisc negotiated OA agreements
(+2% on July 2022)



75% of HE institutions participate in 4 TAs, 88% in 1 TA

Compliance status by subject area



* Figures are limited to articles (and their associated journals) published between 2017 and 2021, which were funded by one of the UKRI funding bodies; journals listed are based on the journals in which the aforementioned articles were published in.

Data Source: Dimensions**; Jisc website; Crossref; Journal Checker Tool; KB+; Sherpa Romeo; internal reports on applications for TJ status by exception; internal reports on licensing negotiations progress.

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Monographs and our engagement activities

Long form publications – our objectives

Help research organisations, publishers and societies prepare for the policy - outreach, guidance and support

To make it easy for authors and their institutions to navigate compliant routes and to find and reuse OA monographs / chapters

To put in place mechanisms for the collation, monitoring and reporting of data

Engage with international partners to support alignment and interoperability of infrastructure and policies

To put in place affordable and sustainable routes to publish in compliance with the policy.

1. Prioritise equitable, inclusive, fair and affordable agreements with academic book publishers

In consultation with the sector negotiate agreements in key subject areas for UKRI funded authors under a variety of models that return value for institutions and from the ringfenced fund. E.g. smaller collections under non BPC based models or publisher pilots for book chapters

Work with not-for-profit aggregators to support small scholar-led publishers and help them scale in the UK and globally.

Work with international consortia to shore up global support for supporter/diamond models

2. Foster institutional publishing via university presses

Engagement to build capacity, networks and to understand barriers

Put in place framework agreements with organisations like the Association of University Presses and the Library Publishing Coalition to provide a streamlined route to institutional evaluation and financial support for presses.

Series of [webinars](#) with UK university presses and the [Open Access Books Network](#) explore myths and to work through and remove barriers to OA publishing.

3. Support open infrastructure underpinning open access academic books

Increase support for open infrastructure for monographs and develop a model to leverage investment to deliver value. For example. Negotiation of infrastructure services agreements to allow institutions to support existing and new open infrastructure services

Ensure that the UK is represented and joined into international open infrastructure services and projects in order to create a network of open infrastructure.

Considerations

Open licensing of long form publications delivers research to a global audience and extends the impact and reach of funder's investment.

But we are in a financial crisis - need to maximise ROI whilst supporting diversity.

Open access book publishing models and standards vary and are immature compared to the well-established and familiar journal publishing models.

Not all titles are suitable to be published OA – this is acknowledged in the exceptions. Our approach does not (yet) address this, e.g. trade books, specialist art titles

Key engagement activities



Open access monographs – strategy and priorities for next phase



Corresponding authors task and finish group with research organisations & publishers.



Supporting Route 2 implementation



Data support in monitoring and evaluation to remove admin burden from institutions

Discussion / Questions