

UKRI Open Access Policy Stakeholder Forum

Meeting 6 summary

10 June 2024, 13:00 – 15:00 Virtual

Item 1 – Welcome

Rachel Bruce welcomed members to the sixth meeting of the UKRI Open Access Policy Stakeholder Forum. The purpose of the meeting was to provide updates to on the implementation of UKRI's policy, including UKRI's approach for monitoring and evaluation and the baseline figures, hear from Jisc about the transition to open access and hear from members about activities, initiatives, and considerations relevant to open access.

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

Item 2 – Matters arising

The minutes from the last meeting were agreed as an accurate record via correspondence.

The Forum discussed and updated on actions the previous meetings, noting that these have either been completed or are in progress.

Item 3 – Update UKRI open access policy implementation

Sara Ball and Tahia Zaidi presented an update on UKRI's open access policy. Further details are in the presentation slides at **Annex 2**. Key points included:

- 2024/25 award letters for the open access block grant which supports UKRI's policy requirement for research articles have been issued and the grants have started. A member queried the possibility of grant letters being issued sooner. UKRI clarified that the process for the block grant is being considered as part of the ongoing in-flight review of the policy.
- UKRI is building on the discussion from the previous meeting of the Forum on its approach for monitoring compliance. Areas for further investigation include how the data aligns with any internal compliance monitoring undertaken by research organisations and if there are any implications research organisations for resource or capacity. UKRI will have follow up discussions with some organisations followed by a workshop and provide an update at the next meeting of the Open Access Stakeholder Forum in October.
- With respect to the policy requirements for longform publications, it was noted that the first nine months of the policy is a bedding in period. At the end of this period, UKRI will consider what it has learned so far with proposed adjustments for feedback from the Forum. It was highlighted that considerations include bureaucracy, the funding limit for non-book processing charges, and UKRI-funded researchers based overseas. UKRI will include this as a discussion item for the next meeting of the Open Access Stakeholder Forum in October. Members were interested to know more about the scale of engagement and calls on funding for longform, it was noted that the sector is engaging

with UKRI's fund for longform publications; the calls on the fund thus far are lower than estimated, however UKRI has both upper and lower bound estimates for the publications arising from its research funding.

- UKRI shared that it has commissioned a series of projects to develop tools and resources for stakeholders and that the deliverables of these projects will be shared with the Forum. The projects are to:
 - develop case studies for researchers on the experiences of researchers who have successfully published open access, including benefits to authors;
 - develop implementation strategies and establish a forum for good practice exchange in research organisations. For further information about this project see [Helping learned societies transition to Open Access and explore Plan S-compliant business models - information power](#);
 - to develop a toolkit to help learned society, subject association, and smaller specialist publishers transition to open access. It is expected that the deliverables of this project will be relevant for all types of publishers.

Item 4 – Update from Jisc

Caren Milloy (Jisc) presented an update on Jisc's activities to support the implementation of the policy. Further details are in the presentation slides at **Annex 3**. Key points from the presentation and subsequent discussion included:

- Through Jisc's negotiation and brokerage with over 400 publishers and societies, 93% of UKRI funded articles have a compliant route available to them – of these, 63% are compliant through inclusion in a Jisc-negotiated Transitional Agreement.
- The Jisc review of transitional agreements included an analysis of UK levels of open access compared to global. The UK has achieved 4% higher number of UK Open articles compared with number of global Open articles, much in part due to the transitional agreements put in place.
- Jisc will continue to support the sector's transition to open research, with financial sustainability and equity core to the achievement of research dissemination models. Jisc is presently engaging the sector to determine requirements for future negotiations.
- For longform publications, Jisc currently has 20 agreements in place to support open access. Eight of these agreements are with top 20 publishers with whom UKRI funded researchers are publishing, according to Stage 1 application data. Members noted that the Jisc content negotiations strategy group will review the data and identify if research organisations are using agreements and if any opportunities for link up were missed. Members noted that UKRI has dashboards on the applications and can share anonymised data to inform discussions. **Action: UKRI to consider sharing anonymised data on Stage 1 applications with the stakeholder forum for information.**
- Jisc is integrating its SHERPA services into a singular one and plans to fully launch the open access books tool in November, which is currently being piloted. A member noted there may be opportunity to work with Jisc to ensure the service surfaces policy information in a way that is easy to find for a smooth user experience. Action: Jisc will share this feedback with the Sherpa team.

- In 24/25 academic year, Jisc's priorities include using equity and sustainability indicators to support decision making to maximise value from the next generation of open access agreements, working with partners in scaling up initiatives for longform publications, continuing work with at an international level on standards and open infrastructure and supporting the reduction of research bureaucracy.
- Members noted that open access models that do not levy a pay to publish fee (diamond, collective models, or non-BPC models) can be challenging for research organisations to support and understand the direct impact of their financial contribution. Members noted that UKRI has guidance on how the fund can support different models ([Guidance for UKRI's open access fund for long-form publications – UKRI](#)) and Jisc ran a webinar on collective models ([Supporting open access publishing for books: Collective funding models event summary - Research \(jiscinvolve.org\)](#)). Another member suggested that a training session on how research organisations can participate in these models could be helpful. It was noted that business cases and assessment from other organisations on why such models should be supported may be helpful. **Action: Jisc to consider training session on how research organisations can participate in non-BPC models.**

Item 5 – Update on the in-flight review of UKRI open access policy for research articles and baseline monitoring data

UKRI is undertaking a light-touch review of its open access policy for research articles, two years after the April 2022 start date, to take the opportunity to consider whether adjustments are necessary while the policy is “in-flight”. Sara delivered a presentation on the in-flight review, which is planned to report in September 2024. It was noted that due to issues of capacity and resource the timeline has shifted.

The review is gathering data from several data sources, including gathering baseline data to understand the impact of the policy. The presentation shared the methodology and findings from the project to gather baseline data. Members noted that the data gathered has been enriched with open access variables that UKRI is interested in querying and assigning an open access classification. The data will be published in Summer 2024.

Members noted that UKRI will decide on the future use of the model that has been used with the baseline data after comparing it with other methods. This links to the further engagement and workshop with research organisations covered under item 3. Members discussed the findings and classification. Key points raised were:

- The final report should clarify definitions and terminology.
- the baseline data assigns open access compliance into four different classifications, with licence and embargo periods noted as a ‘secondary classification’ which risks presenting a value judgement on what is considered open access. UKRI agreed to present the data consistently with the terminology in the policy, which includes compliant licences and zero embargo part of the definition of open access. Members noted that sub-types are being considered for a richer picture of the transition to full and immediate open access.
- There can be caveats where a publication is made open access by self-archiving the author's accepted manuscript as the baseline figures count what is first made available.

This means that only author's accepted manuscripts that were peer-reviewed at deposit are counted.

- The approach used open data sources and scripts so the methodology is reproducible, however if one wished to query different parameters then effort would be required to adjust scripts and data set accordingly.

Item 6 – Updates from members

Members provided updates and raised issues related to open access. Key points raised were:

- It was noted that the STM Association has an open access dashboard that updates the global figures on open access. The data from 2023 data shows the proportion of gold open access is 38% compared to 11% in 2013. Members noted that data from Jisc shows information around transition in sector more broadly, whereas the STM dashboards looks at the level of open access. Jisc are happy to look at the STM data and consider it.

Action: Victoria Eva to share link to the dashboard with UKRI and Jisc.

- Members discussed the impact of artificial intelligence (AI) with respect to open access content. A member raised that research organisations are considering this for content in repositories that is being used to train AI tools. Another member noted that researchers publishing under CC BY licences have queried the implication of the licence for large language models where attribution may not be given. It was noted that there are probably lessons from the text and data mining experience. Members noted that the issue of AI is a discussion among the library consortia and Jisc is considering this as part of its licensing activity on behalf of the research sector and would be happy to discuss with any research organisations.
- A member raised that libraries are becoming the first point of call on many issues and may benefit from skills and training to adequately support researchers on questions of AI for example. UKRI noted that this connects with UKRI's wider activities around research culture, beyond open access to deliver research and innovation. Members noted that SCONUL and RLUK are also looking at skills gaps and how to bridge these. Another member noted that the tools that publishers are developing should also be considered alongside any guidance provided by research organisations.

Item 6 – Future meetings, AOB, close

Rachel informed members that UKRI is reflecting on how Stakeholder Forum is working and how colleagues can stimulate discussions with and within the Forum. At end of the in-flight review, there will be an opportunity for stakeholders to think about how to support progress towards open access. UKRI will have conversations with representatives on the forum to discuss.

Rachel noted that the next meeting of the Forum will be on 14 October 2024.

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

Annex 1: Meeting agenda and participants

Agenda

Item	Time	Item	Lead
1	13:00	Welcome	Rachel Bruce
2	13:05	Matters arising	Rachel Bruce
3	13:10	Update on UKRI open access policy implementation	Sara Ball Tahia Zaidi
4	13:25	Update from Jisc	Caren Milloy
	13:45	BREAK	
5	14:00	Update on UKRI in-flight review	Sara Ball Bianca Kramer
6	14:30	Update from members	All
7	14:50	Future meetings, AOB and close	Rachel Bruce

Attendees

UKRI

Rachel Bruce (Chair)
Sara Ball
Tahia Zaidi

Guest Speaker

Bianca Kramer (Sesame Open Science)

Participants

Name	Representing	Affiliation	Notes
Anne Dixon	RESCOLINC	British Geological Survey	
Antonia Seymour	Publishers' Association	IOP Publishing	
Beverley Jones	UKCORR	University of Sheffield	Deputising for Thom Blake
Caren Milloy	Jisc	Jisc	
Christie Walker	ARMA	Oxford Brookes University	
Deborah Dixon	ALPSP	Oxford University Press	
Elizabeth Newbold	RESCOLINC	STFC	
Emma Butler	Sherif	University of Derby	Deputising for Holly Limbert
Jamie Humphrey	ALPSP	Royal Society of Chemistry	
John Edwards	OASPA	PLOS	Deputising for Roheena Anand



Kirsty Wallis	RLUK	University College London	
Lara Speicher	OASPA	UCL Press	
Leigh Stork	UKCORR	University of Strathclyde	
Lisa McLaren	SCONUL	SCONUL	Deputising for Ann Rossiter
Nicola Dowson	SCONUL	The Open University	
Ruth Harrison	RLUK	Imperial College London	
Suzanne Stewart	UKRN	University of Chester	
Valerie McCutcheon	ARMA	University of Glasgow	
Victoria Eva	Publishers' Association	Elsevier	

Annex 2: Slides from item 3



UK Research
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UKRI open access policy update

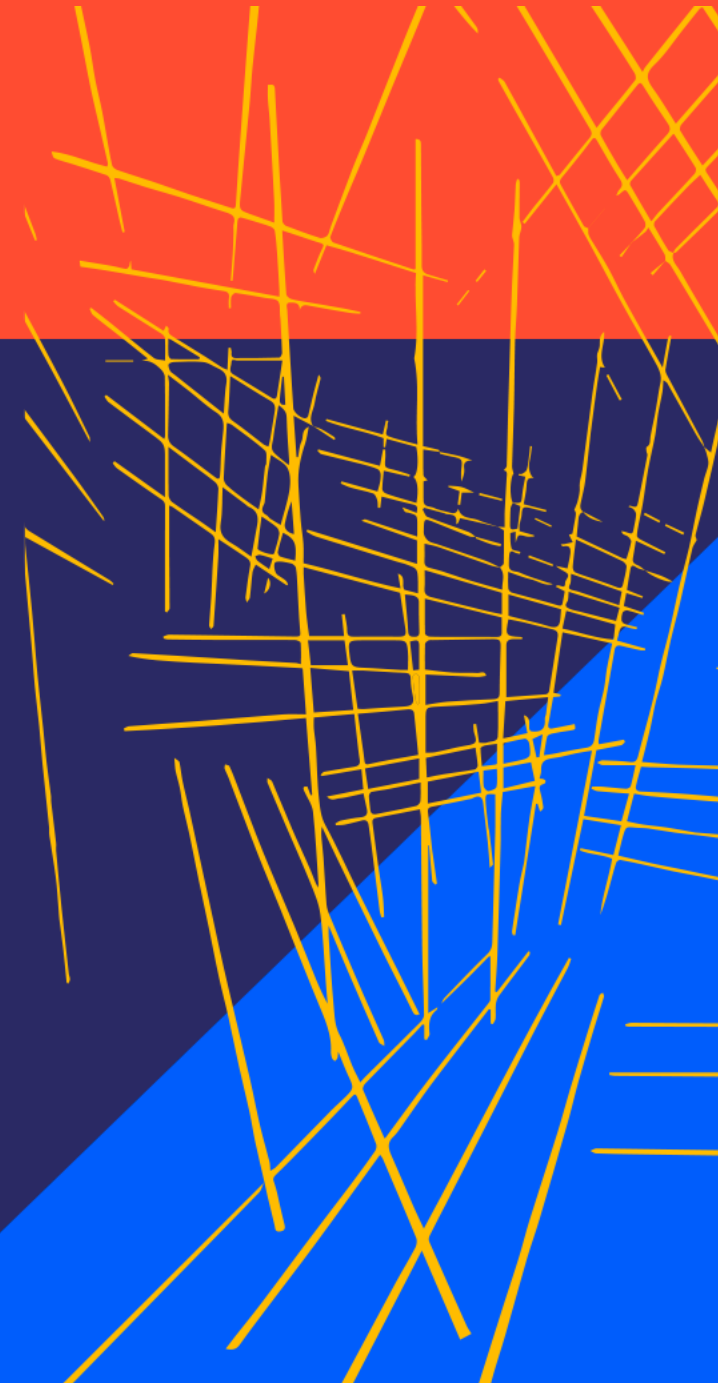
Sara Ball, Strategy Lead

Tahia Zaidi, Senior Strategy Advisor



UK Research
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Research articles



Key updates

- Block grant awards for 2024/25 financial year have been issued
- Open access research information landscape
 - Anticipate final report in July (TBC)
 - Communications piece based on clarification of issues raised in workshops
- Monitoring and evaluation
 - In-flight review (agenda item 5)
 - Research organisation compliance

Research Organisation compliance

- At the previous meeting we presented the approach developed so far for monitoring compliance of ROs with the policy
- Key areas to investigate further with ROs:
 - How the data aligns with any internal compliance monitoring undertaken by ROs
 - Any implications on RO e.g. resource / capacity
- Follow-up discussions with some individual ROs July-Aug
- Propose workshop with ROs w/c 16 or 23 Sep
- Update at the next Forum meeting



UK Research
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Monographs, book chapters and edited collections



Observations on policy implementation so far

Stakeholders are aware of the policy however in some cases there is lack of clarity e.g.,:

- embargo for version of record is permitted
- one UKRI funded chapter does not mean the entire collection needs to be open access
- funding is only for immediate open access
- exemptions are available. (Researchers/their organisations are reporting exemptions via the relevant form)

Good awareness of funding available

- Stage 1: 242 monographs and edited collections; 36 book chapters
- Stage 2: one edited collection

Approaching the end of the bedding in period

As this policy requirement is an entirely new one, the first nine months of the policy are a bedding in period.

We will consider what we have learned so far on policy implementation from stakeholders but would also like to understand directly from forum members how things are going within organisations and ask members to share their experiences for the next meeting. **This will be a discussion item for the next meeting of the forum.**

Some of the topics we are considering include:

- bureaucracy
- non-book processing charge rates
- overseas researchers

Post-bedding in period

We will be making any adjustments to support the policy.

Managing projects to build capacity and capability in the sector. We want to work with the forum to ensure the deliverables from these projects are implemented so benefits can be realised:

- for **researchers** we are developing case studies that demonstrate the benefits of open access to researchers.
- for **research organisations** we are supporting them to develop implementation strategies, and establish forum for good practice exchange
- for **publishers** we are developing a toolkit that can support learned society, subject association, and smaller specialist publishers to transition to open access business models

Annex 3: Slides from item 4

UKRI forum: Jisc update

Jisc negotiations

Removing friction and achieving high levels of compliant OA

93%

Of UKRI-funded articles have a compliant route available to them – of these, 63% are compliant through inclusion in a Jisc-negotiated TA.

92%

Of TAs (35) include workflows where a Creative Commons CC-BY licence is presented as the default licence to authors.

+4%

Higher number of UK Open articles compared with number of global Open articles.

+30%

UK saw a 30% increase in overall proportion of Open articles and a 25% decrease of Closed between 2014 and 2022 compared to 25%/ 20% globally

Constraining costs for research institutions

Jisc negotiated transitional agreements delivered actual cost savings of £16.7m in their first year and cost avoidance of £42m to subscribing institutions in 2022

£143m

Read-only subscriptions and APCs

Without TAs, read-only agreements would have cost £110m (according to model).

On top of read-only subscriptions, publishing non-funded articles as OA through payment of APCs would have cost an estimated £66m.

But, if 50% of those went via Green instead, the cost would be £33m less.

£110m

Read-only modelled cost

£66m

Non-funded articles cost

-£33m

Non-funded APCs avoided via Green route (modelled)

£101m

TA modelled cost

In comparison, TAs are modelled to have cost £101m.

£42m

Total costs avoided

The modelled cost of read-only subscriptions and APCs is £42m more than TAs.

Transitional agreements have achieved a lot but clear that we are approaching their limits

Pace, Financial Sustainability, Equity



Confidence is low
Pace is not acceptable nor affordable
Transparent and evidenced roadmaps are needed



An article growth economy is not sustainable
TA's / alternatives need to bridge the gap and drive equity, diversity and inclusion



Enabling divestment to support the future of research dissemination is essential

Jisc monograph agreements

Currently have 20 agreements in place, with 2 more due to be released before end of July

Focus has been facilitating compliance with the UKRI policy and encouraging bibliodiversity through negotiating collective funding agreements under a variety of models.

63 institutions subscribe to at least one agreement, covers all Jisc bands

Many agreements can be supported for less than the average cost of one BPC

Of the top 20 publishers appearing in a stage 1 applications, we have agreements with X amount.

Sherpa

- OA for Books feature launched as a pilot, released in January. The service has been refined following user feedback and is being scaled up with the aim of full launch in November.
- Transitional Agreement Lookup Tool and Compliance Checker tool available.
- Soon New Sherpa: Sherpa Romeo, Juliet and FACT will be launched as one integrated service on 1 November. Journal, book, funder policies and tools in one place.
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Priorities for 24/25

In discussion with our members:

- Defining and applying equity and sustainability indicators
- Next generation OA agreements
- Working with partners to scale up OA monograph initiatives
- Continuing our work internationally on open infrastructure and standards
- Supporting the reduction of research bureaucracy

Questions