

UKRI Open Access Policy Stakeholder Forum

Meeting 7 summary

14 October 2024, 13:00 – 16:00 Virtual

Item 1 – Welcome

Rachel Bruce welcomed members to the seventh meeting of the UKRI Open Access Policy Stakeholder Forum. The purpose of the meeting was to discuss findings during UKRI's bedding in period for the open access policy requirement for monographs, book chapters, and edited collections. UKRI also provided an update on the ongoing light-touch review of the policy for research articles. Members also heard from Jisc about their involvement in activities and initiatives relevant to open access for monographs.

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

Rachel Bruce 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:

- With respect to the open access block grant, future commitment to award this is subject to the outcome of the ongoing government spending review exercise. The current financial commitment is up to the 2024-2025 financial year, under the previous spending review settlement.
- research organisations will not be able to use their block grant for transformative journals after 31 December 2024. Use of UKRI funding for transitional agreements remains permitted. UKRI's approach will be informed by the UK's needs via relevant Jisc (& UUK /sector) governance. UKRI will provide due notice of any changes.
- UKRI is finalising a report on the light-touch review, with the aim to publish in Jan/Feb 2025, this will include an overview of the findings and analysis.
- with respect to ongoing projects on open access, UKRI provided updates on the capacity building projects to develop tools and resources for stakeholders for open access to longform publications, technical requirements, and monitoring and evaluation.
 - Two of the capacity building projects (1) to case studies for researchers on the experiences of researchers who have successfully published open access and including benefits to authors and; (2) a toolkit to help learned society, subject association, and smaller specialist publishers transition to open access, are being finalised and will report in due course, with most deliverables this side of

the new year. The project to develop implementation strategies and establish a forum for good practice exchange in research organisations is in the initiation stage.

- UKRI has published baseline data for open access research articles and clarifications on the technical requirements for research articles. The report is available at [Monitoring and evaluation of UKRI's open access policy – UKRI](#)

Item 4 – Update from Jisc

Anna Hughes (Jisc) presented an update on Jisc's activities to support the implementation of the policy and open access for longform publications more generally. Further details are in the presentation slides at **Annex 3**. Key points from the presentation and subsequent discussion included:

- an overview of international initiatives where Jisc represents the UK, including:
 - OPERAS, the Research Infrastructure supporting open scholarly communication in the social science and humanities in the European Research Area.
 - OPERAS PLUS, a current EU funded project preparing OPERAS to become a European research infrastructure ecosystem (ERIC). Jisc is the UK node of OPERAS and will launch OPERAS UK in due course.
 - DIAMAS, which focuses on diamond open access.
- PALOMERA, a European Commission funded project investigating why open access for longform publications is not widely mandated in the European Research Area. Members noted that this project has developed a Knowledge Base that contains approximately 650 policy and policy related documents across 39 countries. The project recommendations are available at [PALOMERA Deliverable 4.2 - The PALOMERA Recommendations for Open Access Books](#)
- an overview of initiatives launched by the COPIM project that are being further developed under its successor, the Open Book Futures project. Both COPIM and Book Futures are Research England and Arcadia funded projects. Members noted the initiatives launched by the projects, including:
 - Open Book Collective which brings together publishers, institutions to support non-BPC models.
 - Opening the Future, which funds BPC-free open access publishing and subscription to closed content.
 - Thoth, an open metadata and dissemination platform to make open access books discoverable and distributable.

Some members noted that they are cognisant of the projects and are researching diamond open access and the role of libraries in facilitating this through library-led publishing. Members also noted that cOAlitionS, which primarily focuses on journals and research articles, is discussing the inclusion of books in its future activities, building on the work of existing projects and outcomes.

Item 5 – Bedding in period

UKRI is assessing the effectiveness of its policy operation and guidance at the end of the policy bedding-in period. UKRI launched the policy with a bedding in period to give authors and research organisations opportunity to establish practice, including where appropriate form new

working relationships with departments and authors, and mechanisms for operation of the policy and funding, as well as allowing UKRI to adjust to the new policy. The bedding in period ended in September 2024. Tahia Zaidi presented the findings from the assessment of the bedding in period on the known issues. Further details are in the presentation slides at **Annex 4**. Members discussed the issues that have emerged during the bedding in period.

The issues are:

1. Definitions of publication types that are in-scope of the policy for longform publications
2. Reducing bureaucracy in the operation of UKRI's fund
3. Supporting open access more broadly through diamond and non-BPC models
4. Researchers previously funded by UKRI but no longer based at a research organisation eligible for UKRI funding

With respect to definition of publication types that are in-scope of the policy for longform publications, there was general consensus among members that the definitions do not need further refinement. Following discussion on handbooks and companion works, which are out of scope of the policy however commonly submitted to UKRI's fund as edited collections, one member noted that planned publications are reviewed as part of a grant application by peer-reviewers. As such, a peer-review panel may deem that a handbook or companion is an appropriate output of the project. Members also noted that not all publications will be known at the time of an application.

With respect to reducing bureaucracy in the operation of UKRI's fund, there was general consensus among members that Stage 1 valuable as it is facilitating discussion between the library and authors on open access and helps provide some assurance to finance departments that funds can be recouped. Members shared their organisations and authors preferred the case-by-case nature of Stage 1.

With respect to supporting non-BPC charges, members discussed author practice, institutional requirements and workflows, and UKRI's classification of diamond and non-BPC models.

- On author preference, a member noted that authors first decide their preferred publisher and then consider the mechanism by which they can publish open access with their preferred publisher. On the UKRI project to develop case studies about the experiences of authors who have published open access, members noted that interviewees have shared that their books were funded through grants, prizes, and waivers. Some authors sought publishers who did not levy BPCs and were able to find financing elsewhere. Members noted that that the case studies are not directly related to UKRI's policy or fund. Instead, they look at open access more generally.
- On institutional requirements and workflows, some members shared that they would like to support diamond models in principle, however they find that UKRI-funded researchers at the institution are not publishing with publishers who offer these. A member noted that there is a need for the institution to think outside of the box to support the non-UKRI authors who wanted to publish in a non-BPC model. It was noted that this could be a discussion for the PALOMERA funder forum. One member noted that for subject-specific organisations the participation in diamond models does not align with institutional needs. Where researchers from the organisation have not published using any diamond models, it is challenging to justify institutional participation for procurement. Another member noted that descriptions of collections within diamond models do not align with acquisition needs, and institutions have limited funds to participate in these.

- On UKRI's classification of diamond and non-BPC models, one member raised that the current explanation of diamond and non-BPC models is confusing for institutional presses who charge BPCs but waive these for institutional researchers. One member offered the clarification that a BPC supports the production of a book whereas diamond models support the operation of a press. **Action: UKRI to clarify the funding available for institutional publishing.**
- On UKRI's maximum contribution towards non-BPC/diamond models, UKRI clarified that it has different maximum contributions for non-BPC/diamond models than the maximum contribution for BPCs because available data shows that there are different levels of costs, and they operate with different levels.

With respect to researchers previously funded by UKRI but no longer based at a research organisation eligible for UKRI funding, members noted that this situation had not materialised to date at their organisations. Members also suggested including a dedicated section on UKRI's existing guidance for such researchers.

UKRI clarified the relationship between the end of the bedding in period and UKRI's monitoring activities. Members noted that monitoring activities will be informed through the monitoring and evaluation framework, which is being developed. In the event of non-compliance, UKRI's interest is to remedy issues that lead to non-compliance instead of sanctions. UKRI has not defined any sanctions in relation to non-compliance with its policy mandate. Members noted that any activities related to monitoring are subject to the monitoring and evaluation framework which is being developed. **Action: UKRI will update its FAQs to communicate that the end of the bedding in period means early issues related to the implementation of the policy are assessed and resources will be updated accordingly to provide clarifications on the policy and monitoring and evaluation.**

Item 6 – Updates from members

No updates were provided.

Item 7 – Future meetings, AOB, close

Rachel informed members that this is the final meeting of the Forum in 2024. UKRI will contact members to canvass availability for meeting dates in 2025.

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	13:40	Update from Jisc	Anna Hughes
	13:50	BREAK	
5	14:00	Discussion: bedding in period for the open access policy for books	Tahia Zaidi
	15:15	BREAK	
6	15:30	Update from members	All
7	15:50	Future meetings, AOB and close	Rachel Bruce

Attendees

UKRI

Rachel Bruce (Chair)
Tahia Zaidi
Emma Devine

Participants

Name	Representing	Affiliation	Notes
Anne Dixon	Research Councils Library Information Consortium (RESCOLINC)	British Geological Survey	
Alison Sutton	United Kingdom Council of Open Research and Repositories (UKCORR)	University of Reading	
Caroline Mackay	Jisc	Jisc	Deputising for Caren Milloy
Christie Walker	Association of Research Managers and Administrators (ARMA)	Oxford Brookes University	
Claudia Catelin	Publishers Association	Publishers Association	Deputising for Victoria Eva
Anna Hughes	Jisc	Jisc	Deputising for Caren Milloy
Holly Limbert	Serif	University of Derby	
Jelena Raystanovnik	Jisc	Jisc	Deputising for Caren Milloy

John Edwards	Open Access Scholarly Publishing Association (OASPA)	PLOS	Deputising for Roheena Anand
Kirsty Wallis	Research Libraries UK (RLUK)	University College London	
Lara Speicher	OASPA	UCL Press	
Lisa McLaren	Society of College, National and University Libraries (SCONUL)	SCONUL	Deputising for Ann Rossiter
Elizabeth Pickford	Department for Health and Social Care (DHSC)	DSHC	
Nick Plant	Russell Group	University of Leeds	
Nicola Dowson	SCONUL	The Open University	
Niels Stern	OAPEN	OAPEN	
Ruth Harrison	RLUK	Imperial College London	
Sarah Priston	GuildHE	Bath Spa University	
Thom Blake	UKCORR	University of York	
Suzanne Stewart	UK Reproducibility Network	University of Chester	
Valerie McCutcheon	ARMA	University of Glasgow	

Annex 2: Slides from item 3



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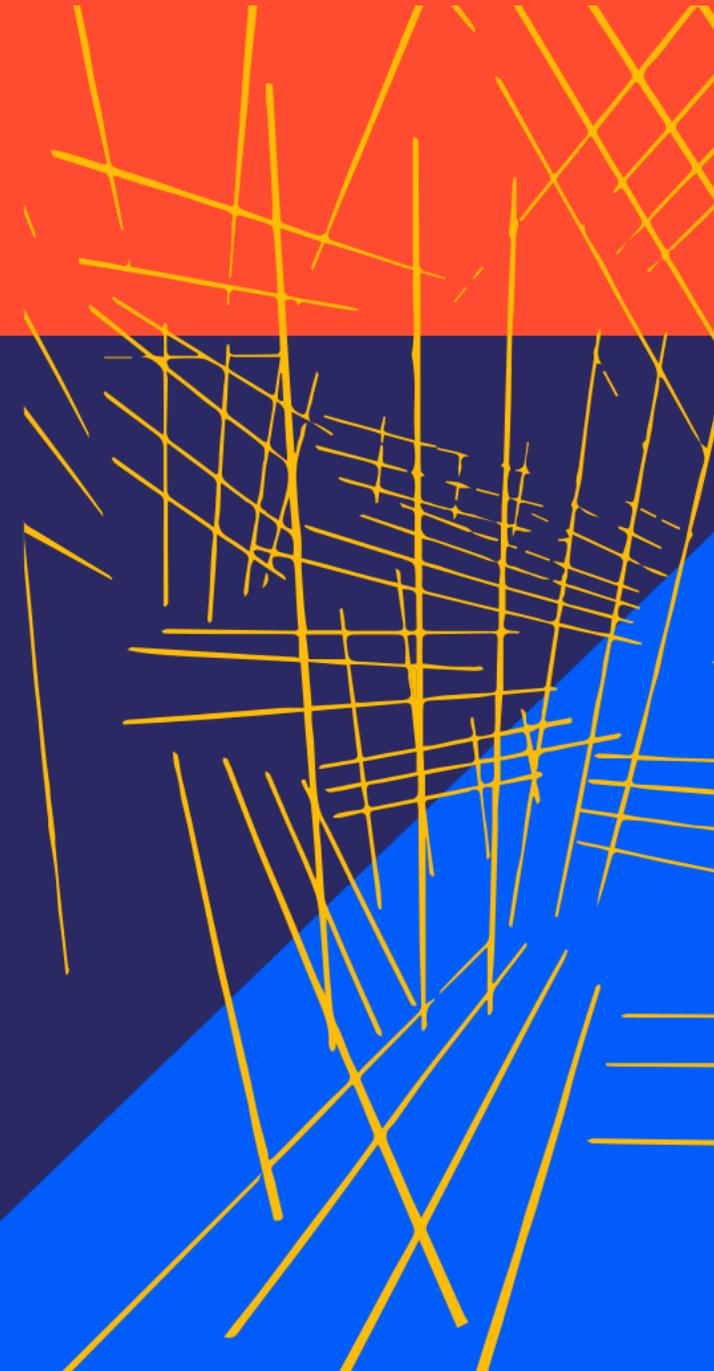
UKRI open access policy update

Rachel Bruce, Head of Open Research
Tahia Zaidi, Senior Strategy Advisor



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Research articles



Key updates

Monitoring and Evaluation

- In September, we published an externally commissioned [report](#) on the development of a set of baseline values for open access research articles.
- Light touch review will publish January 2025.
- Workshop on monitoring research organisation compliance planned for early 2025 (TBC).

Technical Requirements

- In September, we published [clarifications](#) on policy technical requirements. This is part of an ongoing project, and we are aiming to publish the final outputs later in 2024.

Block grant

- We intend to **continue open access block grant funding for the foreseeable future**; however, this is subject to spending reviews.
- Current financial commitments are up to 24/25 via the previous spending review.
- Research organisations will not be able to use their block grant for **transformative journals** after 31 Dec 2024 (in line with the cOAlition S timetable)
- For **transitional agreements**:
 - UKRI funding can be used for TAs.
 - We are not aligning with the cOAlition S timetable and instead taking an approach that aligns with the UK open access environment. cOAlition S recognises there are different contexts and time-tables.
 - Our approach will continue to be informed by the views of the research and university sector, informed via the relevant Jisc governance structures, and due notice would be provided.



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Monographs, book chapters and edited collections



Open access fund for longform publications

- 335 publications have been confirmed eligible at Stage 1
- 12 publication have been submitted to Stage 2 and all have been approved.
- Grants will be awarded to organisations in December 2024 for all publications from Stage 2 that are approved by 14 October 2024.
- The next pay run will be in June 2025

The end of the bedding in period

We are considering key issues that have emerged to determine if amendments are needed to policy guidance and operations.

We are discussing what we have learned with the Forum at Item 5.

We will provide an update on this activity by the end of November, with the aim of communicating whether there will be amendments, what these are, and timescales.



Capacity building for open access for longform publications

We have launched projects to build capacity among major stakeholders to practice open access for books.

- For **researchers** case studies that demonstrate the benefits of open access to researchers.
- For **research organisations** support to develop implementation strategies, and establish a forum for good practice exchange.
 - This project is currently in its initiation phase.
- For **publishers** a toolkit that can support learned society, subject association, and smaller specialist publishers to transition to open access business models.

Capacity building projects: case studies on author experiences

The project is delivered by Insights Media, and has developed 16 case studies on researchers who have published academic books open access.

The project is nearly complete and we plan to publish the resources on Zenodo.

They will be reusable for any stakeholders who wish to use them for raising awareness about publishing academic books open access.

Some themes surfaced by the project on publishing open access include:



Benefits to authors

Visibility, Profile, Citations,
Awards



Benefits to research

More illustrations and graphs,
Digital opportunities like
multimedia content,
Speculative reading, Equity



Challenges

Perception, Funding,
Managing third-party
copyright



Lessons

Finding an open access
press, What to look for in
quality standards

Capacity building projects: supporting smaller, specialist, learned society and subject association publishers

The project, delivered by Information Power, is developing a toolkit to help smaller specialist, learned society and subject association publishers transition to open access business models.

The project is overseen by a steering group comprising representatives from UKRI, OASPA, ALPSP, and the British Academy to validate findings.

Deliverables to date include:



Draft background report on the challenges faced by publishers in scope of the project, and provides recommendations



Vision statement which lays out what a transition to open access should look like



Case studies on publisher experiences of open access publishing



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Questions?



Draft slides

Retained on the off chance this information is needed for future slide decks – not to be presented at forum meeting

Background report: findings and draft recommendations

Findings

- Book processing charges are not affordable, sustainable, or likely to result in a broader transition to open access
- The supply chain is not set up to support the diamond and non-BPC models and infrastructure is needed to help bridge the communication gaps between publishers and libraries to support these
- The supply chain is also challenging for retrospective open access where publications are flipped to open access post-publication

Draft recommendations

Identify where different stakeholders can take steps to address challenges

- All stakeholders should support diamond and other consortia / collective models for open access
- Librarians could align local acquisition requirements with open access
- Publishers should provide central place to find, browse and pledge/subscribe to diamond models; invest in creation of open metadata and updating metadata for retrospective open access

Vision

To get to a desirable end state where:

- stakeholders are:



Rewarded



Affordable and
accessible



Enabled



Sustainable



Transparent

- open access books are:



Quality-assured



Findable and
interoperable



Reusable



Preserved

Annex 3: Slides from item 4

Update on Jisc' role in Open Access

Supporting the implementation of the UKRI OA monographs policy through successful progress of Open Access funded projects

UK, European and international policy

We are partners in several projects, and members of highly influential organisations and networks

- Open Book Futures (OBF)
- Open Scholarly Communication in the European Research Area for Social Sciences and the Humanities (OPERAS)
- Policy Alignment of Open Access Monographs in the European Research Area (PALOMERA)
- Developing Institutional Open Access Publishing Models to Advance Scholarly Communications (DIAMAS)

(Copim) Open Book Futures



A community working to build a fairer, more open future for scholarly books

Jisc is a partner in the Open Book Futures (OBF) project that launched in May 2023.

- Open Book Collective (OBC)
- Opening the Future (OtF)
- Thoth Open Metadata
- Accessibility
- Experimental Publishing Group
- Archiving & Digital Preservation

For more details about the Copim community, the OBF project, its aims and the consortium, visit the [COPIM website](#).

OPERAS is the Research Infrastructure supporting open scholarly communication in the social sciences and humanities (SSH) in the ERA

Mission

To coordinate and federate resources in Europe to efficiently address the scholarly communication needs of European researchers in the field of SSH.

Vision

OPERAS' aim is to make Open Science a reality for research in the SSH and achieve a scholarly communication system where knowledge produced in the SSH benefits researchers, academics, students and more generally the whole society across Europe and worldwide, without barriers.

DIAMAS will deliver an aligned, high-quality, and sustainable institutional OA scholarly publication ecosystem for the ERA, setting a new standard for OA publishing, shared and co-designed with all stakeholders

- Understanding the landscape of Institutional Publishing Service Providers (IPSPs) in the ERA
- Improving coordination, quality and sustainability of IPSPs
- Formulating policy and strategy recommendations: dissemination, engagement & impact

PALOMERA

PALOMERA has the overall objective of speeding up the transition to open access for books to further promote open science, divided into five specific sub-objectives:

1. To develop and coordinate a Knowledge Base with qualitative and quantitative data on the OA book policy landscape in Europe.
2. To understand the challenges preventing research funding and research performing organisations from developing and aligning on policies for OA books.
3. To engage relevant stakeholders in the validation of the collected data and the analyses, and the evidence-based, actionable recommendations on how to further advance alignment, diversity, equity, and inclusion in OA book policies and strategies.
4. To help research funding and research performing organisations develop policies and strategies that will advance the transition to OA books through the establishment and operation of the Funder Forum.
5. To learn from and share experiences with research funding organisations outside of the ERA who have developed OA book policies.

European and international policy

We also participate in a few more highly influential networks which directly our members to participate in open research:

- Knowledge Exchange – current focus is on Alternative Publishing Platforms, small publishers transitioning to open access and working with scidecode science consulting to investigate persistent identifiers (PIDs)
- The European Open Science Cloud (EOSC) is a European Commission (EC) initiative to support the development of open science and the digital transformation of research in Europe and further afield
- We are also a partner in the OpenAIRE project and are the UK National Open Access Desk (NOAD)



Our role in open access

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

4 Portwall Lane, Bristol,
BS1 6NB

help@jisc.ac.uk

[jisc.ac.uk](https://www.jisc.ac.uk)



Annex 3: Slides from item 5



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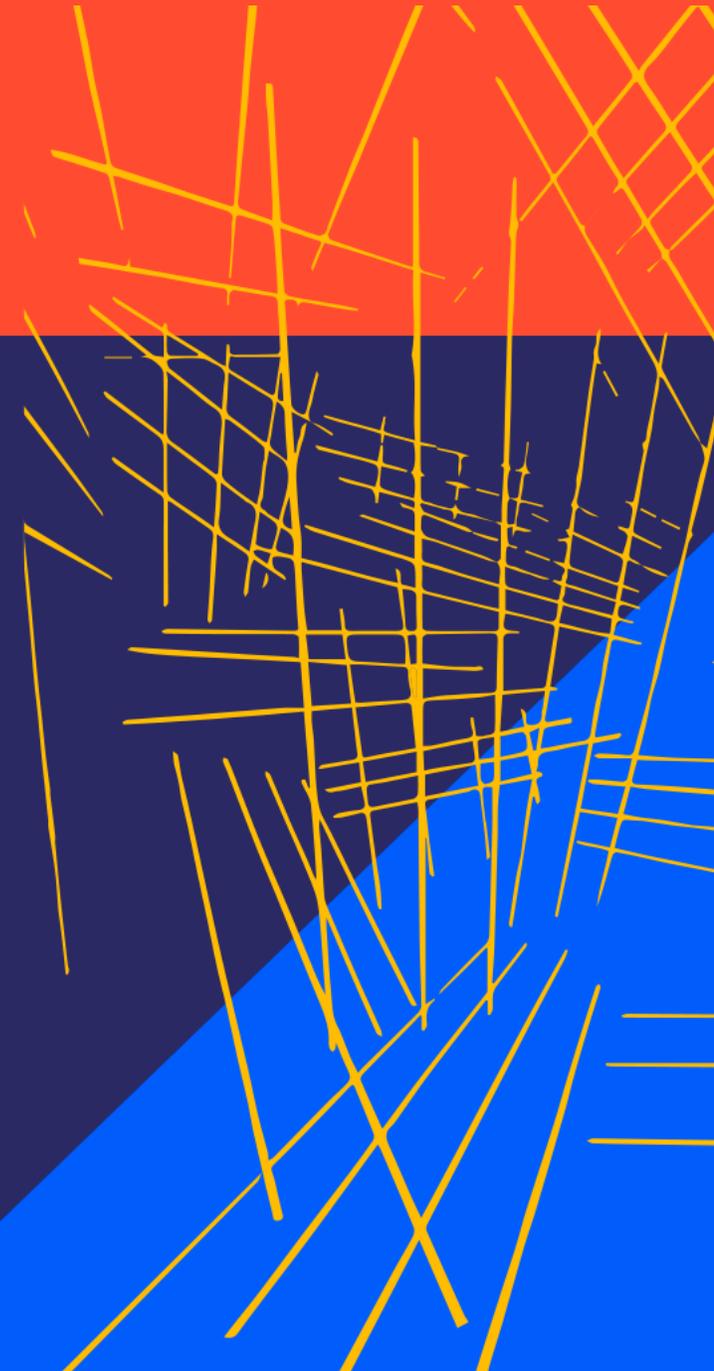
Bedding in period for the open access policy for monographs, book chapters and edited collections

Tahia Zaidi, Senior Strategy Advisor



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Background and aims



Background

- As this policy requirement is an entirely new one, we treated the first nine months of the policy as a bedding in period.
- We are assessing what we have learned in this period on policy implementation. This is not a full policy review.
- Following this assessment, we will consider if we should adjust our guidance and operations.

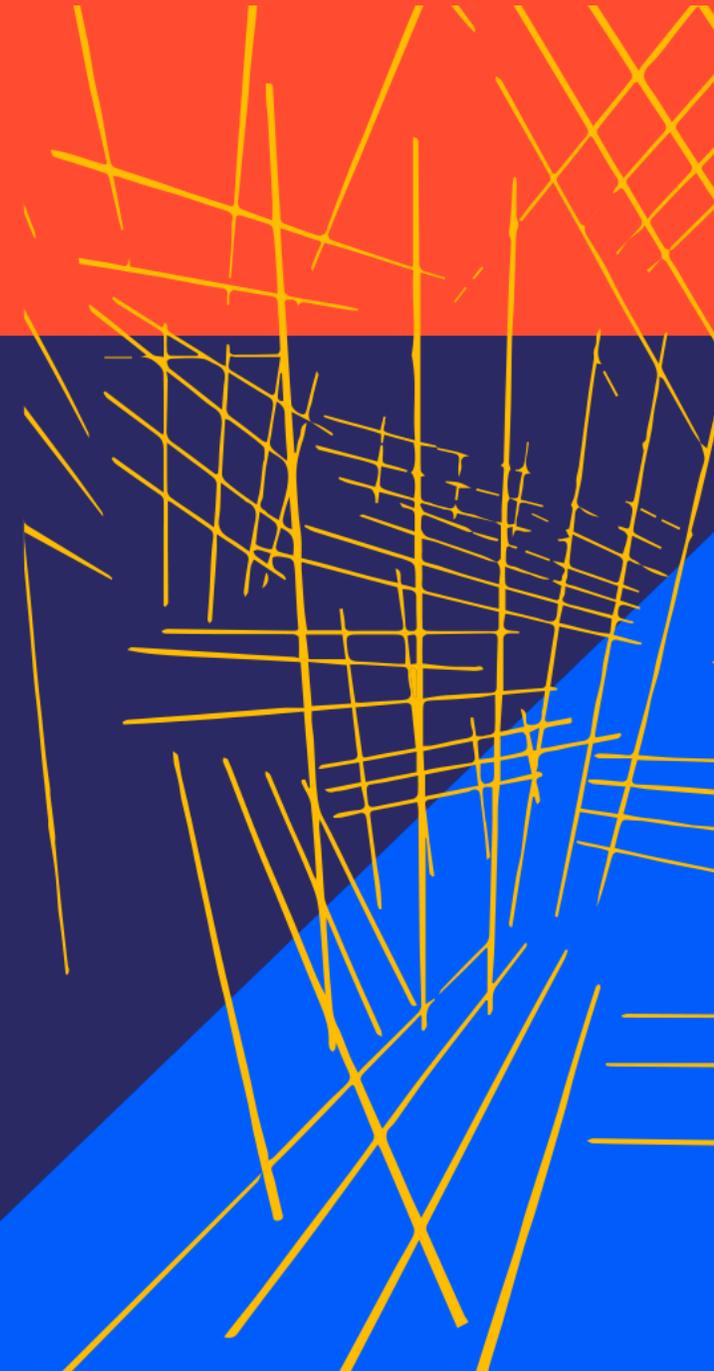
Aims

- The issues we are focused on for this assessment are those that were regularly raised during the final development and early implementation of the policy.
- For this discuss we ask you to consider:
 - the key issues, and options for next steps
 - whether the issues and considerations align with your/your organisations experience
 - possible options for next steps
 - if there are other key issues UKRI should be considering at this stage (noting the current exercise is not a full policy review but a near-term opportunity to make some improvements to ease implementation).



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Issues and considerations from early implementation



Topics

- The topics we are considering as part of the bedding in period are:
 - Clarifications on the policy
 - Bureaucracy of our funding process
 - Supporting diamond and non-book processing charges
 - Researchers no longer affiliated with an organisation eligible to receive UKRI funds

Methodology

- UKRI's shared mailbox
- Questions asked at previous UKRI webinars on the longform policy
- Applications to UKRI's fund at stage 1 and stage 2
- Insights generated from stakeholder engagement, such as the Stakeholder Forum and other meetings

Clarifications on the policy

Definitions

- **Monograph:** Defined as a long-form publication that communicates an original contribution to academic scholarship on one topic or theme and is designed for a primarily academic audience. It may be written by one or more authors
- **Edited collections:** Defined as a written scholarly output in which individual chapters or contributions have been written by different authors, and whereby the contributions from each author are intellectually distinct. This includes edited book collections arising from conferences.

An edited book collection may arise from a conference, but it is constructed as a publication in its own right rather than reproducing the proceedings of the conference.

Considerations

- For **monographs:** what is an original contribution to scholarship?
- For **edited collections:** under the current definition, any multi-author book with editorial curation that is the result of UKRI research funding could be an edited collection.
- It is unlikely that any definition will cover monographs and edited collections across all disciplines
- Amending the definitions could reduce the publication types the policy applies to and be a barrier to sharing the outputs of publicly funded research

Reducing bureaucracy on the operation of our fund

335 of 351 publications submitted to UKRI at Stage 1 have been confirmed as eligible (~95%). We are interested in understanding if there are options for simplifying the process of our fund

Pros of the current Stage 1 process

- (started to) generate definitive data on publications arising from UKRI funding that are in-scope of the policy
- indicates the demands on our fund and when the spend is anticipated to allow for planning
- facilitating the contact between authors and their organisations on complying with our policy

Cons of the current Stage 1 process

- bureaucratic – 95% confirmation rate shows there is generally good understanding among libraries and open access teams about what is in scope (subject to the aforementioned clarification points)
- the indicative data supplied at Stage 1 does not translate to actual practice
 - 226 of the publications approved at Stage 1 provided and anticipated date of publication in 2023-24 and 2024-25
 - UKRI has received publications for 12 (to date)

Supporting diamond and non-BPC models

- During policy development we heard from stakeholders that UKRI should support diamond and non-BPC models.
- Although we have sought to support these, to date we have not seen monographs or edited collections that are in scope of our policy within Diamond/non-BPC models claim from our fund at Stage 2 and it is not possible to determine if a publication could be supported under a Diamond or non-BPC model at Stage 1.

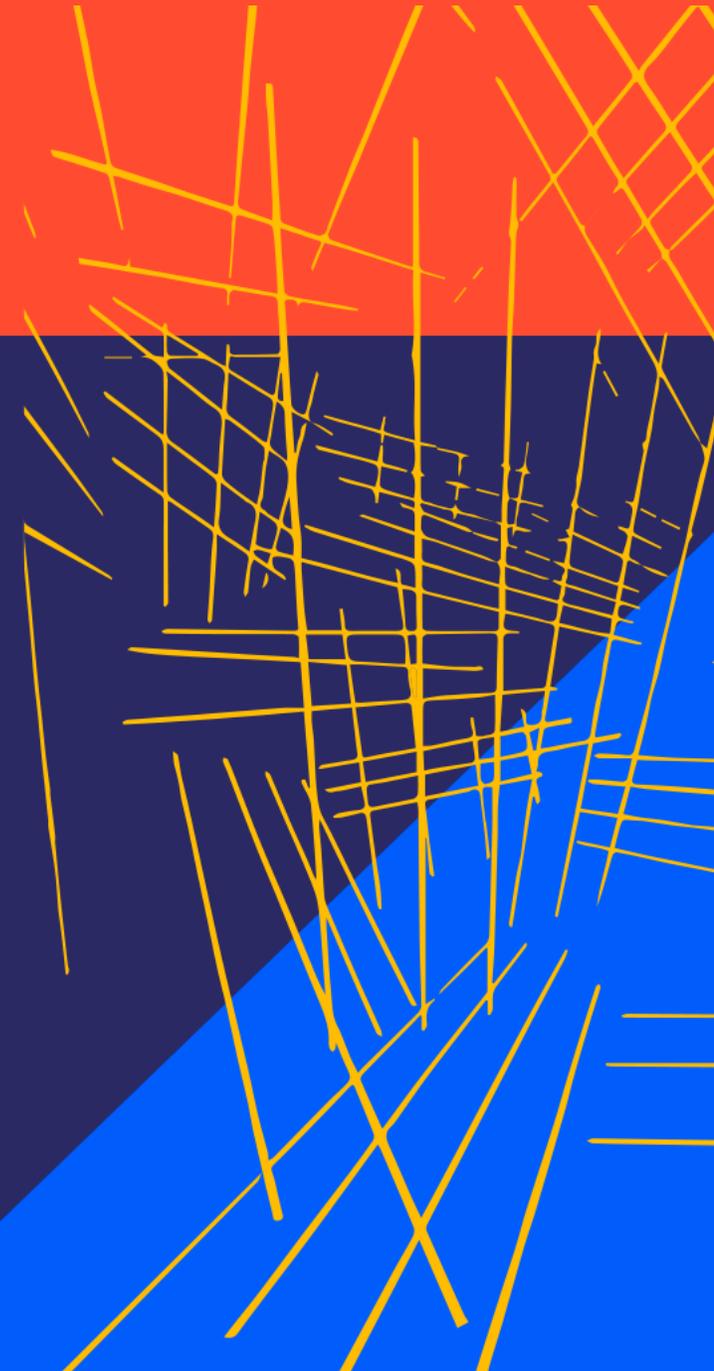
Supporting authors not affiliated with organisations eligible for UKRI funding

- UKRI can only award funds to eligible organisations.
- Data shows that researchers who are publishing outputs arising from UKRI funding who are no longer affiliated with an organisation that is eligible for UKRI funding are interested in practicing open access.
- We are developing a guide on how we can support the open access costs for such researchers, which explains our process for paying a publisher directly
- We are interested in understanding if other guidance and resources on our website could be clarified or shared via other conduits to better support such researchers



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Discussion



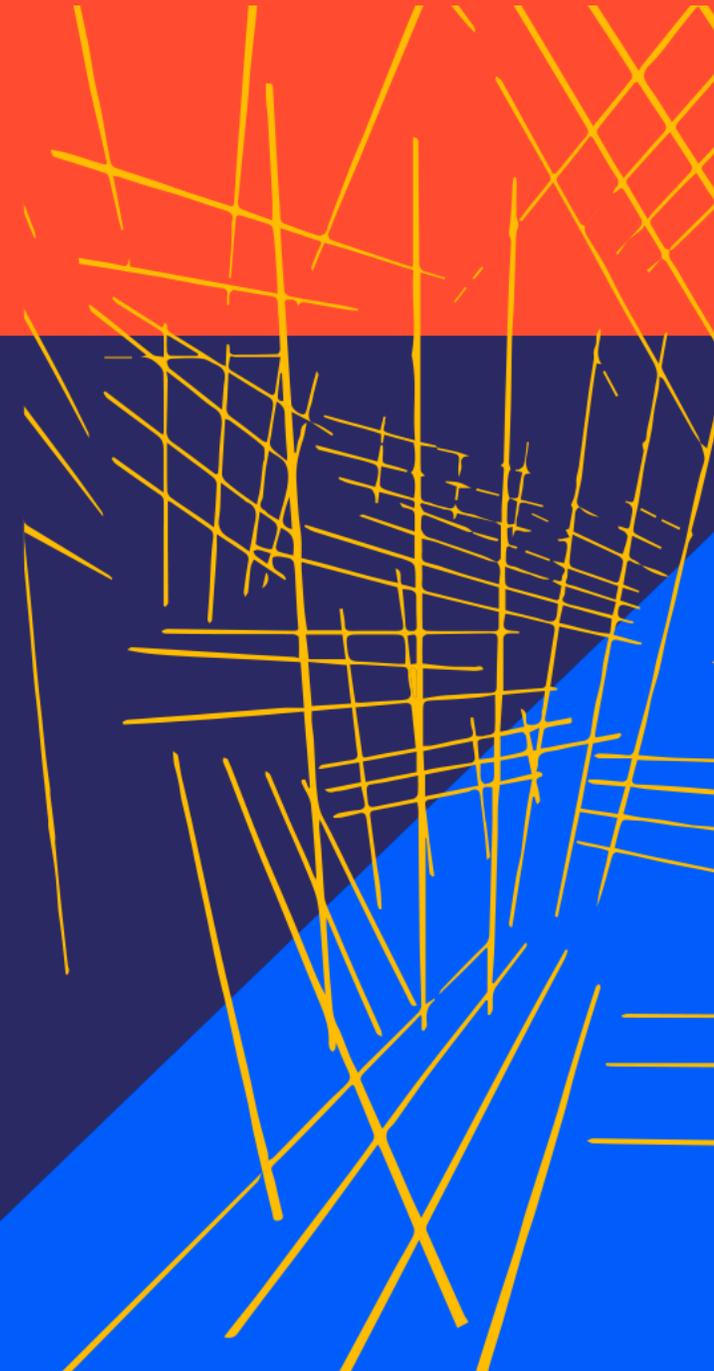
Discussion questions

Topics	Questions
Clarifications on the policy	<p>What are the opportunities to clarify the definitions?</p> <p>Can we maintain balance and avoid limiting the scope of the policy too narrowly?</p>
Reducing bureaucracy around the operation of our fund	<p>What are members views about Stage 1? Is it valuable?</p> <p>Are there options to make it simpler?</p>
Supporting diamond and non-BPC models	<p>Do you have any feedback and reflections, we would welcome hearing from Forum members on your experiences and knowledge of engagement in Diamond models from the perspective of research organisations, UKRI authors and publishers?</p>
Researchers previously funded by UKRI but no longer based at a research organisation eligible for UKRI funding	<p>Have you engaged with such researchers on UKRI's policy?</p> <p>What could be clearer in our guidance and resources?</p> <p>Could we be using other conduits for disseminating information?</p>
Other	<p>Is there anything else that we have missed that you would like to raise with us or discuss with other members of the forum?</p>



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Next steps



Next steps

We will use the outcomes of this discussion to inform any decisions around changes to policy guidance and operations.

We will provide a progress update in November 2024.

We plan to engage directly with researchers who are no longer based at a research organisation eligible for UKRI funding to hear direct feedback.



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Questions?

