UKRI Open Access Policy Stakeholder Forum

Meeting 5 summary

21 March 2024, 13:00 – 15:45 Virtual

Item 1 – Welcome

Sara Ball welcomed members to the fifth 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, to discuss UKRI's draft approach to monitoring compliance with the policy requirements for research articles and share emerging findings of the ongoing in-flight review of the research articles policy.

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

Item 2 – Matters arising

The Forum agreed the minutes from the last meeting as an accurate record.

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. Terms and conditions have been updated to clarify how transitional agreements can be costed to the grant, and that there are a wide range of eligible costs to enable organisations to meet the aims of the policy.
- The UKRI policy for longform publications went live on 1 Jan 2024. Prior to the policy start date UKRI published guidance and resources to help researchers and their organisations comply with the policy and launched its dedicated fund for longform publications.
- UKRI is initiating a series of projects to develop tools and resources for stakeholders. These include:
    - a project on developing case studies to communicate the benefits of open access to researchers;
    - a project on developing implementation strategies and establishing fora for good practice exchange in research organisations; and
    - a project that will develop a toolkit to help learned society, subject association, and smaller specialist publishers transition to open access.
- UKRI is developing a roadmap for the open access research information landscape, and this is expected to report in late Spring 2024.
- Jisc has launched a pilot to surface publisher open access policies for books on SHERPA services.
- UKRI's grant to Jisc to support the implementation of the policy will end in July 2024.

Item 3 – Update on Monitoring Compliance for the UKRI Open Access policy

Claire Symeonides and Andrea Chiarelli delivered a presentation on the approach developed so far for monitoring compliance with the policy. Further details are in the presentation slides at **Annex 3.** The approach builds on a previous discussion with some members of the Open Access Stakeholder Forum in September 2023. It is the intention for the data and code that UKRI will use to monitor compliance to be openly available. This would mean that organisations can locally run the code. UKRI clarified that this data is not linked to the block grant. UKRI has not yet determined the frequency with which the code will be run to monitor compliance. The data showed average levels of compliance with UKRI's policy to be approximately 65% . Members noted the caveats and limitations of the data are recognised and the data is enriched and validated using other sources.

Following the presentation members discussed the challenges, risks, and opportunities of the approach and the intended open availability of the data and the code. Members discussed:

- that some research organisations undertake internal compliance monitoring and there may be issues there this does not align with the data gathered and enriched through open sources by UKRI, particularly as sector-wide levels of compliance were understood to be higher by some members of the forum.
- risks that the open availability of this data and code may have unintended consequences by leading to a competitive compliance culture .
- that the data should be considered within context, for example open access is less mature in different subjects within disciplinary domains and the data may not readily represent this. Some members suggested the data that is made publicly available could be represented by subject or discipline instead of institutional levels of compliance.
- That UKRI should consider any implications on research organisations for example resource and capacity.
- that UKRI should consider the messaging about how the data and code is released and where possible drive the message of increased levels of open access in the UK.
- what UKRI's approach for addressing non-compliance will mean in practice. UKRI clarified that the usual practice, as well as the approach UKRI set out in its public consultation, is that any associated measures will be graduated and with the aim of supporting research organisations to address compliance issues. While authors and research organisations are expected to comply with the policy from the start date, UKRI will only act where there is clear evidence of a disregard by a research organisation regarding implementation of the policy. This may be, for example, where there is a pattern of repeated or extensive non-compliance, or evidence of research organisations not supporting researchers adequately. In such situations, UKRI may contact the research organisation to find a solution to help the organisation comply with the policy.

Item 4 – Update on the in-flight review of UKRI open access policy for research articles and presentation on key themes emerging from the stakeholder survey

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 and Claire delivered a presentation on the in-flight review, which is planned to report in May 2024, though this is to be confirmed.

The review is gathering data from a number of data sources, including stakeholder focus groups and a survey. The presentation shared the emerging findings of UKRI's survey, key themes related to navigating complexity, supporting different routes to open access, encouraging authors to publish open access and unintended consequences. Further details are in the presentation slides at **Annex 4**.

Members discussed the emerging findings from the survey and noted some particular challenges their institutions or the organisations they represent have faced. Key points raised were:

- that it can be difficult to plan ahead due to the annual nature of the block grant funding .
- there are concerns about the impact on smaller organisations, particularly those who do not receive the block grant. A member noted that if UKRI's open access block grant can support diamond models then smaller organisations who may not have access to the block grant will also be able to practice open access via the version of record.
- that Jisc's review of transitional agreements may be a useful source of data for the review. A member queried the methodology for Jisc's review.
- how will topics raised in the survey which are not directly linked to the UKRI open access policy be addressed by UKRI, such as data and software. UKRI noted that it is keen to understand links to the wider open research agenda and feedback on such topics is useful and will feed into UKRI's wider strategy. . At this stage UKRI is sharing the emerging outcomes of the survey and next steps is an ongoing consideration.

Item 5 – Future meetings, AOB, close

Sara noted that the next meeting of the Forum is 10 June 2024 and will be a hybrid meeting. The in-person component will take place in UKRI's London Office.

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

Annex 1: Meeting agenda and participants

Item	Time		Item	Lead
1	**13:00**	5 mins	**Welcome**	Sara Ball
2	**13:05**	5 mins	**Matters arising**	Sara Ball
3	**13:10**	30 mins	**Update on UKRI open access policy implementation**	Sara Ball Tahia Zaidi Sarah Roughley Barake (Jisc)
4	**13:40**	50 mins	**Update on Monitoring Compliance for the UKRI Open Access policy**	Sara Ball Claire Symeonides Andrea Chiarelli (Research Consulting)
	14:30	10 mins	**BREAK**	
5	**14:40**	20 mins	**Update on the in-flight review of UKRI open access policy for research articles and presentation on key themes emerging from the stakeholder survey**	Sara Ball Claire Symeonides
6	**15.20-15.30**	10 mins	**Future meetings, AOB and close**	Sara Ball

Attendees

UKRI

Sara Ball (Chair)
Tahia Zaidi
Claire Symeonides

Guest Speaker
Andrea Chiarelli (Research Consulting)

UK Research and Innovation

Participants

Name	*Representing*	*Affiliation*	*Notes*
Alison Sutton	UKCORR	University of Reading	
Anne Dixon	RESCOLINC	British Geological Survey	
Deborah Dixon	ALPSP	Oxford University Press	
Elizabeth Newbold	RESCOLINC	STFC	
Holly Limbert	Sherif	University of Derby	
Jamie Humphrey	ALPSP	Royal Society of Chemistry	
Kirsty Wallis	RLUK	University College London	
Lara Speicher	OASPA	UCL Press	
Lisa McLaren	SCONUL	SCONUL	Deputising for Ann Rossiter
Nicola Dowson	SCONUL	The Open University	
Niels Stern	OAPEN	OAPEN	
Paul Boyle	Universities UK	Swansea University	
Ruth Harrison	RLUK	Imperial College London	
Sarah Priston	GuildHE	Bath Spa University	
Sarah Roughley-Barake	Jisc	Jisc	Deputising for Caren Milloy
Suzanne Stewart	UKRN	University of Chester	
Thom Blake	UKCORR	University of York	
Valerie McCutcheon	ARMA	University of Glasgow	
Victoria Eva	Publishers' Association	Elsevier	

Annex 2: Slides from item 3

UK Research and Innovation

UKRI open access policy update

Sara Ball, Strategy Lead
Tahia Zaidi, Senior Strategy Advisor

UK Research and Innovation

Block grant to support open access research articles

Block grant

- The process for issuing the 2024/25 block grant awards is in train. Aim to issue these awards imminently.
- Can be used for a wide range of costs, except for publication charges in hybrid journals unless covered by a Jisc-approved transformative arrangement

UK Research and Innovation

Terms and conditions - clarifications

- Organisations may charge costs associated with Jisc-approved transitional agreements (TAs) to their OABG for fees due during the period of the OABG, irrespective of agreement dates or when articles are likely to be published open access.
- Removed the requirement for TA costs charged to the OABG to be proportionate to the UKRI publications supported through the agreement.
  - Organisations should charge reasonable costs to the block grant and review this annually as appropriate.
  - Where most publications supported through a TA arise from UKRI funding, then it may be appropriate to charge the entirety of the 'publish' element to the OABG.
- Eligible costs include the promotion of open access and the UKRI open access policy within organisations, including supporting actions that enable them to meet the aims of the policy. This includes:
  - improvements to digital infrastructure
  - infrastructure to support sustainable models of compliant open access
  - activities relating to enhanced technical standards
  - administration, communication, engagement, guidance, and advocacy.

UK Research and Innovation

Monographs, book chapters and edited collections

Policy and fund

- The policy requirements for longform publications apply from 1 January 2024.

- In late 2023 and early 2024, UKRI:
  - published guidance on what authors and their organisations should do to comply with the policy and hosted an event on the policy
  - published guidance on managing exemptions to the policy and launched a notification process for reporting use of exemptions
  - launched the fund and hosted webinars and demos of the funding process

- We continue to be available to the sector to provide advice and respond to queries via our inbox

- A bedding in period is in place until September 2024 to allow organisations establish and embed processes

UK Research and Innovation

Guidance and resources

Together with colleagues across UKRI and external experts we have developed resources and guidance for authors and their organisations to follow the policy. Some of these have been published on our website, and recently updated:

- Updated policy document and a supplementary FAQ
- Guidance for authors including Guidance on managing third-party copyright
- Information pack for research organisations to use to engage researchers
- Information on funding and how to apply to our dedicated fund
- Guidance and resources on open research on the Good Research Resource Hub
- A demonstration of our Stage 1 and Stage 2 application processes and Q&A
- Guidance for UKRI's open access fund for long-form publications, including guidance on diamond and non-BPC models
- A form and accompanying guidance on notifying UKRI of the use of exemptions to the policy for longform publications
- The Je-S Helptext

UK Research and Innovation

Investing in infrastructure and tools for open access to longform publications

- We are taking a whole system approach by initiating a series of projects to develop tools and resources for stakeholders:
  - for **researchers** we are developing case studies that demonstrate the benefits of open access to researchers. Aim to cover a range of disciplines, explore different angles about the positives of open access publishing
  - 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
- Jisc, as part of its work under UKRI's grant to support the implementation of our policy, has launched a pilot tool that surfaces open access policies for monographs, book chapters, and edited collections as part of their enhanced Sherpa services. We are providing feedback and Jisc is also getting feedback from users (including, publishers, researchers, research managers, and libraries)

UK Research and Innovation

Next steps

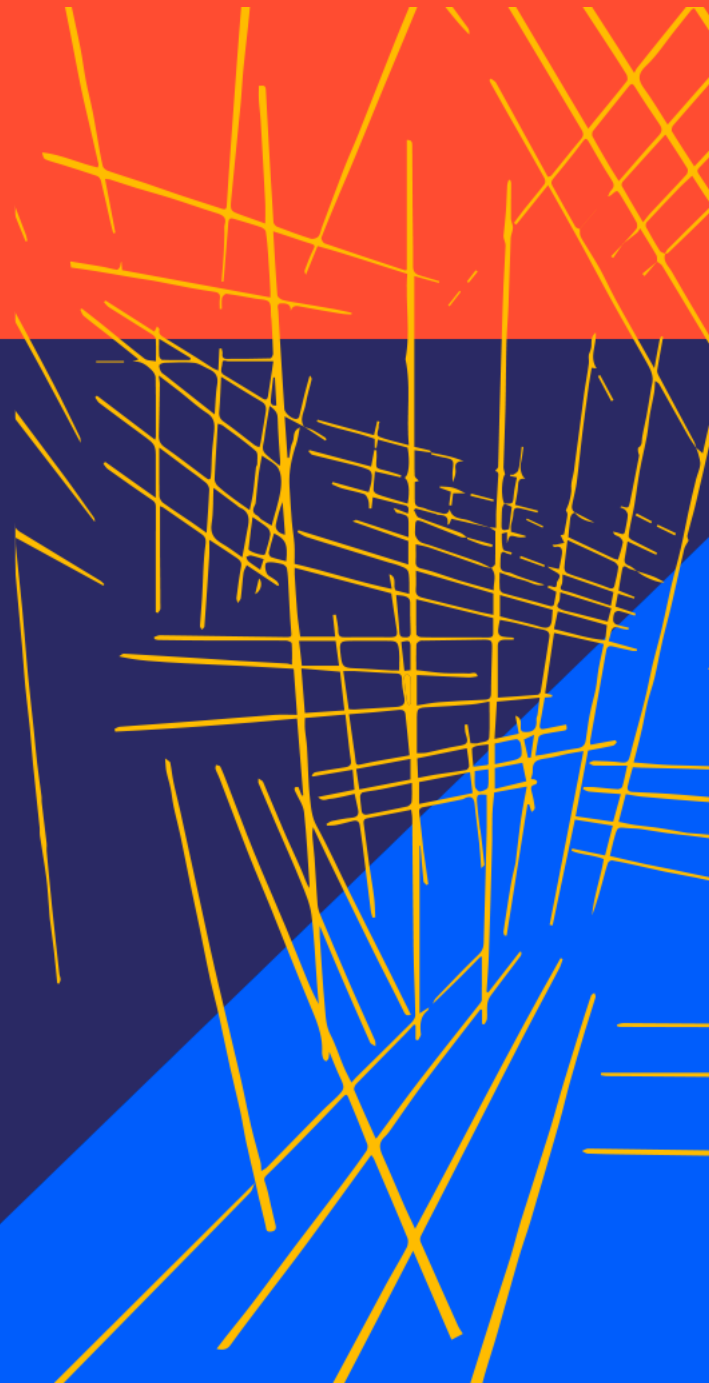
Next steps include ongoing activities to:

- delivery of the policy, including engagement across the sector to raise awareness.
- review of the queries coming into UKRI and the response to our policy for regular updates to our guidance and FAQs
- developing the monitoring and evaluation approach for longform publications
- manage applications to the fund, including monitoring demand and transferring to BAU internally within UKRI. So far:
  - 200+ stage 1 applications have been submitted to UKRI and most have been approved (those not approved were mistaken submissions for publications that are not in scope of the policy)
  - No stage 2 applications so far
  - we are also developing guidance on the process where UKRI will pay publishers directly as the author does not have a UK-based research organisation
- manage and steer commissioned projects

UK Research and Innovation

UK Research and Innovation

Other key areas of policy implementation



Other key areas of policy implementation

- Monitoring and evaluation
  - In-flight review of the UKRI open access policy for research articles (agenda item 5)
  - Developing a framework for assessing policy impacts
  - Policy compliance (agenda item 4)
  - Funding assurance
- Developing a roadmap for the open access research information landscape – reporting in April / May (TBC)
- Jisc grant (ending in July 2024)

UK Research and Innovation

Annex 3: Slides from item 4

CONFIDENTIAL - POLICY IN DEVELOPMENT

UK Research and Innovation

Monitoring Compliance for the UKRI Open Access Policy

Andrea Chiarelli, Principal Consultant, Research Consulting
Claire Symeonides, Lead Policy Analyst, UKRI
Sara Ball, Open Research Strategy Lead, UKRI

UKRI Open Access Stakeholder Forum
21 March 2024

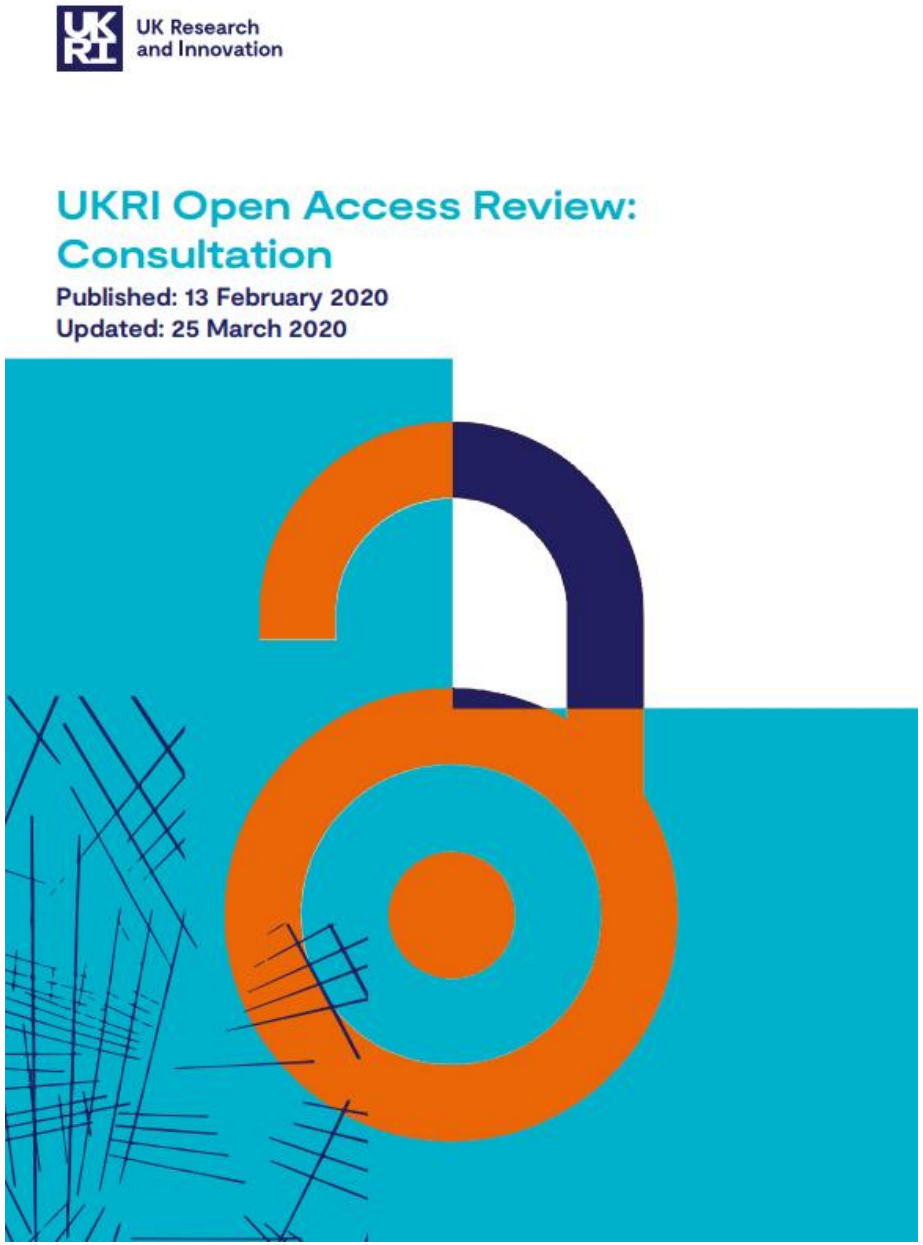
Monitoring Compliance for the UKRI Open Access Policy

Background and Approach

UK Research and Innovation

Background

- For the previous RCUK policy, high level data on compliance of research articles and spending of the block grant was collected via a dedicated form submitted annually.
- Assurance was sought that the block grant had been spent in line with its purpose. Further audit could be undertaken as part of funding assurance.
- Latterly a requirement for financial expenditure statements was introduced – this duplicated financial information on the reporting form.
- UKRI invited views on monitoring in its public consultation:
  - 65% of consultees from HEIs felt that compliance monitoring could be improved
  - Stakeholder said the process was an administrative burden and requires duplicate information to be drawn from multiple sources
  - There were concerns over accuracy of data
  - The majority of consultees supported more automated and centralised systems
- Note: For the new UKRI policy research organisations no longer need to submit an annual compliance form

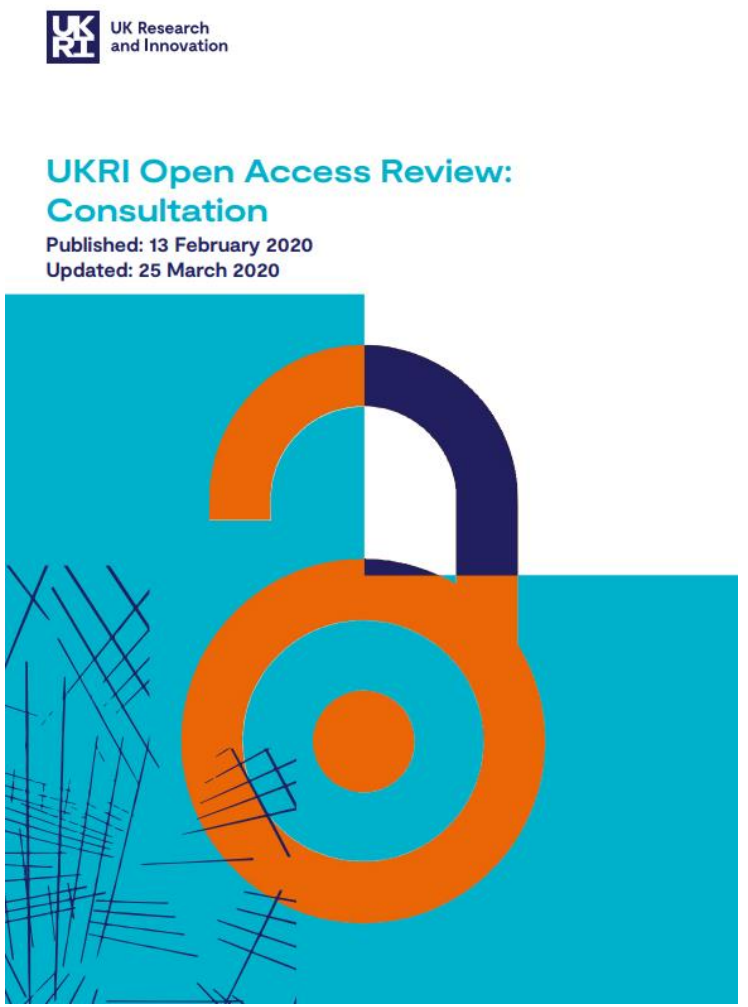


UK Research and Innovation

Background

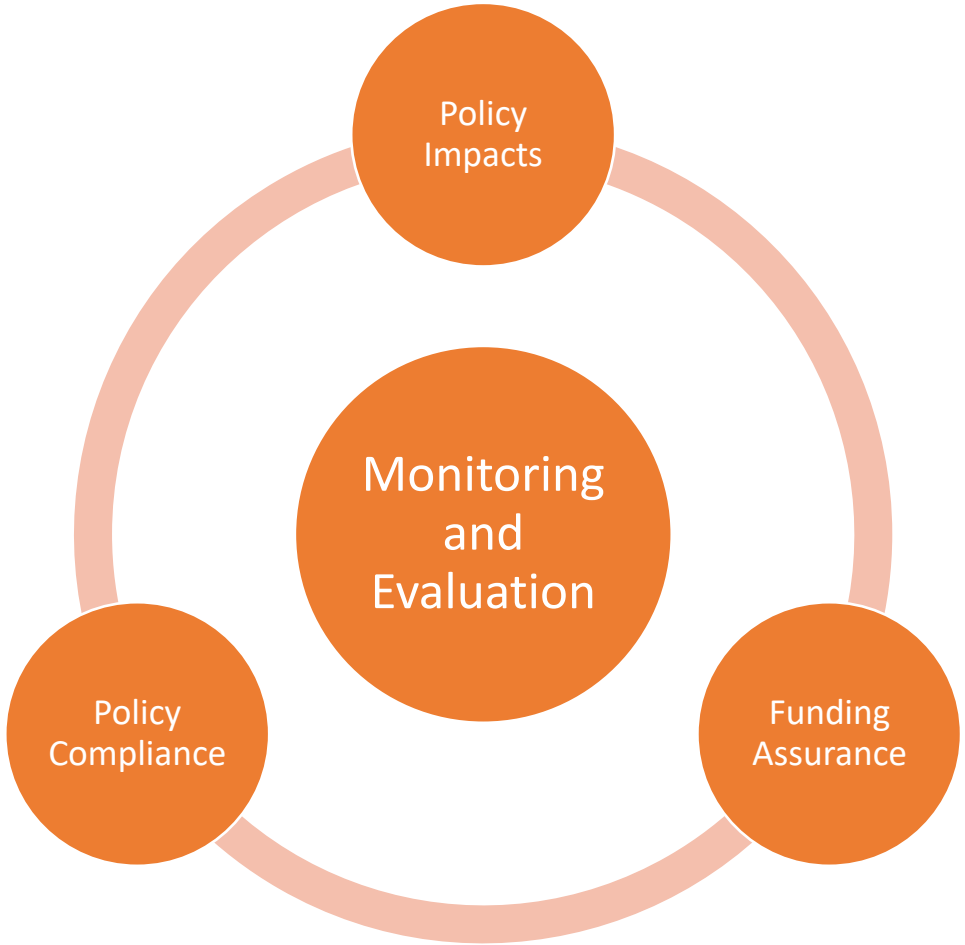
- UKRI reserves the right to impose financial sanctions and / or other measures in connection with a research organisation's failure to ensure compliance by the relevant grant holders
- However, in practice no sanctions for non-compliance with the RCUK policy have been applied.
- Relating to the block grant, UKRI may recover funding from research organisations where it has not been spent in line with its purpose.
- The consultation asked whether UKRI should introduce further sanctions and/or other measures to address non-compliance with its proposed policy:
  - Nearly half of HEIs and libraries, and two in five researchers agreed, as it supports embedding the policy and demonstrates seriousness of achieving open access.
  - The main reason for stakeholders opposing sanctions related to non-compliance at the level of individual outputs*.
  - Most consultees stated that sanctions should be a last resort. Efforts towards education and advocacy, as well as to understand and address the reasons for non-compliance, would be more beneficial. This would help identify and remove barriers and increase compliance in the long term.

**Note: UKRI's proposed approach relates to broad patterns at the level of the research organisation*



UK Research and Innovation

A framework for monitoring and evaluating the UKRI open access policy



UK Research and Innovation

Our approach for developing a process to monitor compliance

- Broad patterns of compliance at the level of the research organisation
- Compliance with key policy requirements only (OA route, licence, embargo period)
- Has been focused on research articles so far, however, aim to develop an approach for longform publications
- Based on recommendations in the Research Consulting report : "Monitoring and evaluating the effectiveness of UKRI's open access policy"
- Work undertaken so far suggests monitoring compliance can be done using existing data sources and there will be no reporting requirement for research organisations. However, further work is needed to look at feasibility, as well as any potential challenges around data and interpretation.
- We are currently working with Research Consulting and Sesame Open Science on a follow-on project to provide a baseline that can underpin our monitoring and evaluation, including compliance.
- We gathered feedback on our approach developed so far with some Forum members from research organisations in September 2023.

Monitoring Compliance for the UKRI Open Access Policy

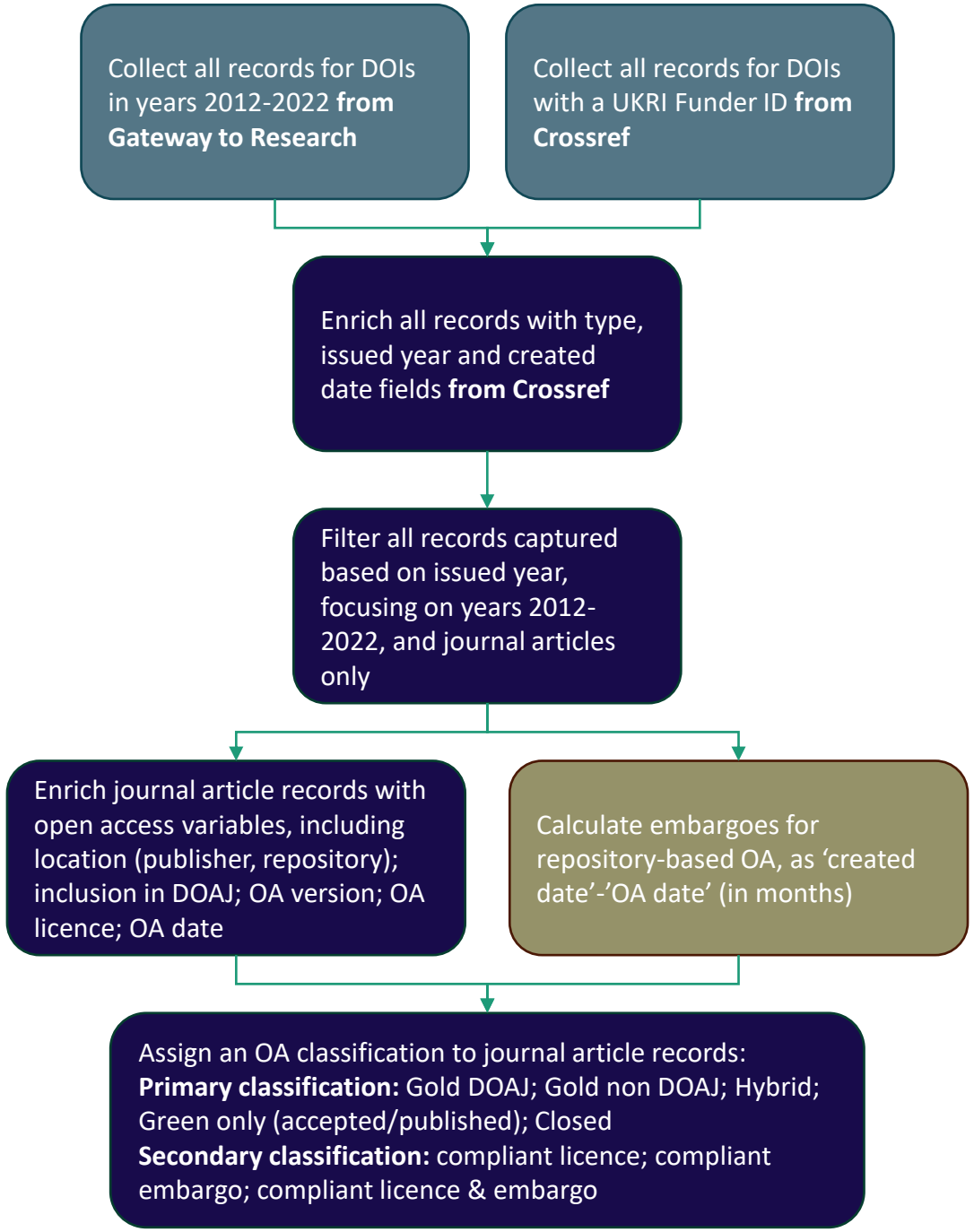
Method developed so far

UK Research and Innovation

Proposed approach for monitoring compliance of research organisations with the UKRI open access policy – data sources

Area	Data sources
UKRI-funded publications	Gateway to Research
	Crossref
Organisational identifiers	Research Organization Registry (ROR), mapped to UKRI internal data on organisations that received funding and Gateway to Research 'Lead ROs'
OA classification	Unpaywall
Author affiliations	OpenAlex

Proposed approach for monitoring compliance of research organisations with the UKRI open access policy – method part 1



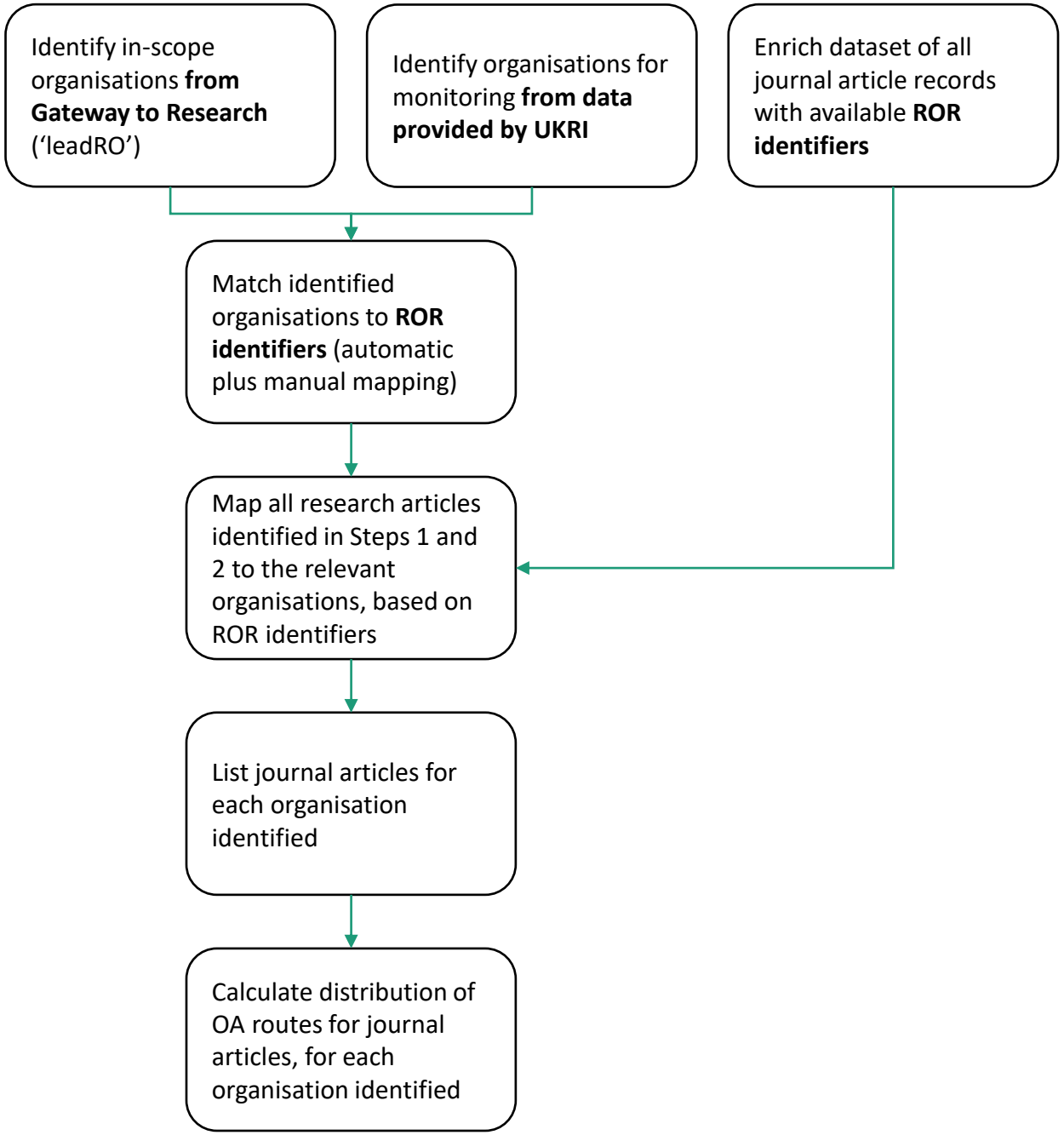
UKRI-Funded

All outputs

Repository OA only

UK Research and Innovation

Proposed approach for monitoring compliance of research organisations with the UKRI open access policy – method part 2

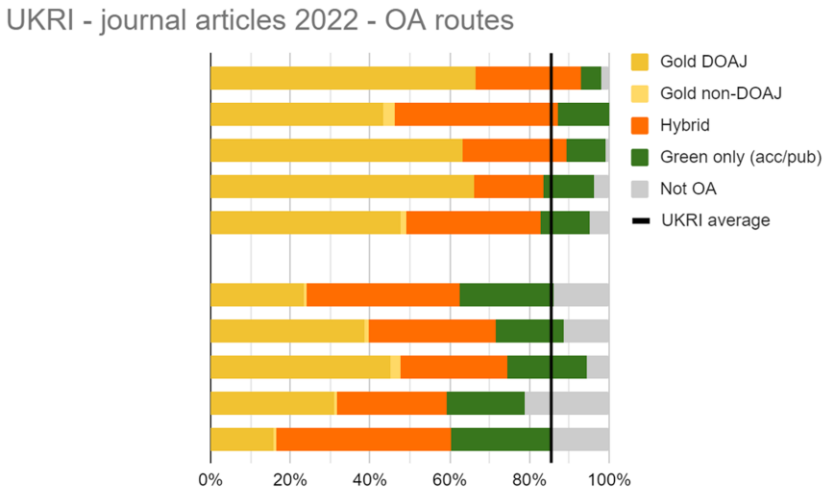


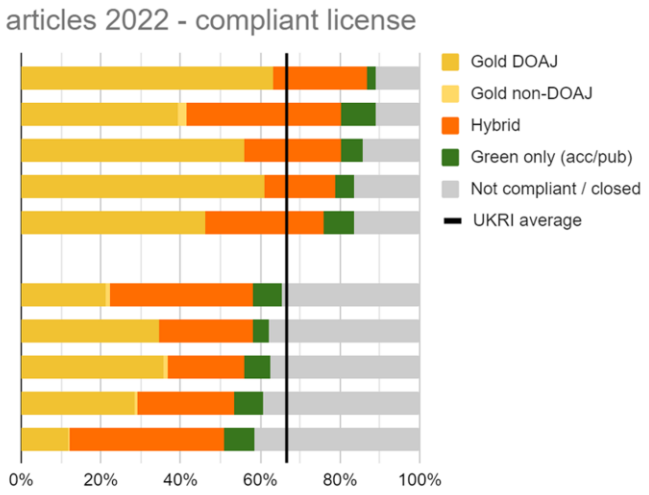
Caveat:
Currently, there is no mechanism to limit analysis to articles for which a given research organisation is responsible for open access compliance via terms and condition of grants.

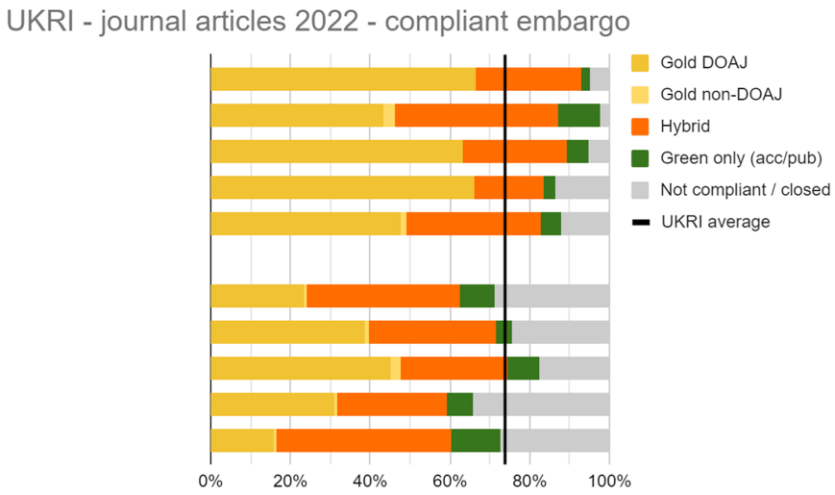
UK Research and Innovation

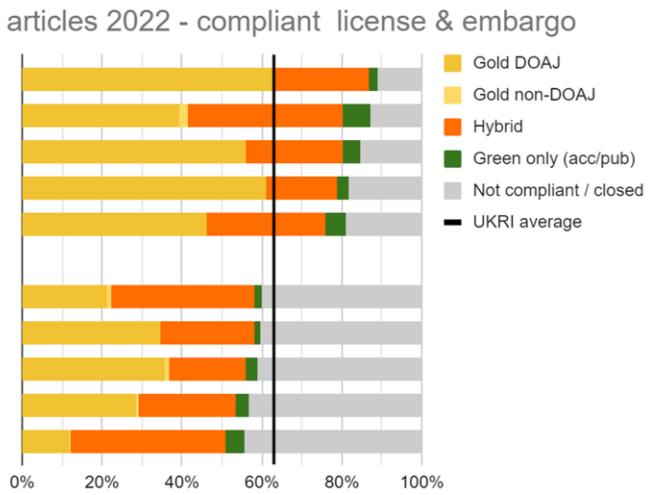
Results – illustrative example

- The graphs show the 5 UKRI-funded research organisations with the highest compliance and the 5 organisations with the lowest compliance in 2022
- Here compliance is defined as meeting all UKRI OA policy requirements (OA route, licence and embargo)
- Research organisations have been anonymised and ranked for illustrative purposes to show the range
- Note: if non-anonymised data was made publicly available it would not be ranked by compliance (e.g. could list research organisations in alphabetical order)









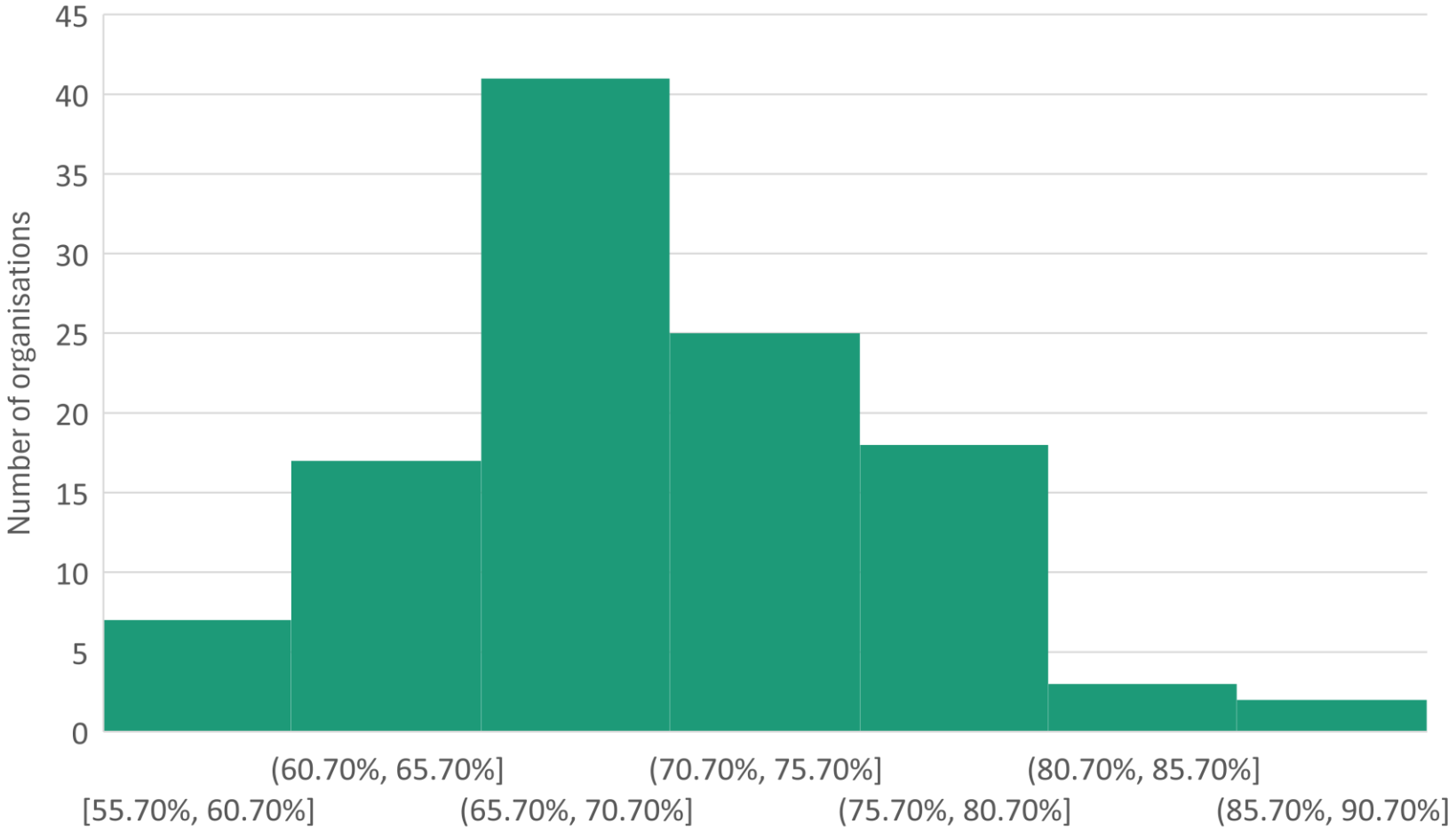
UK Research and Innovation

Monitoring Compliance for the UKRI Open Access Policy

How UKRI might use the data

UK Research and Innovation

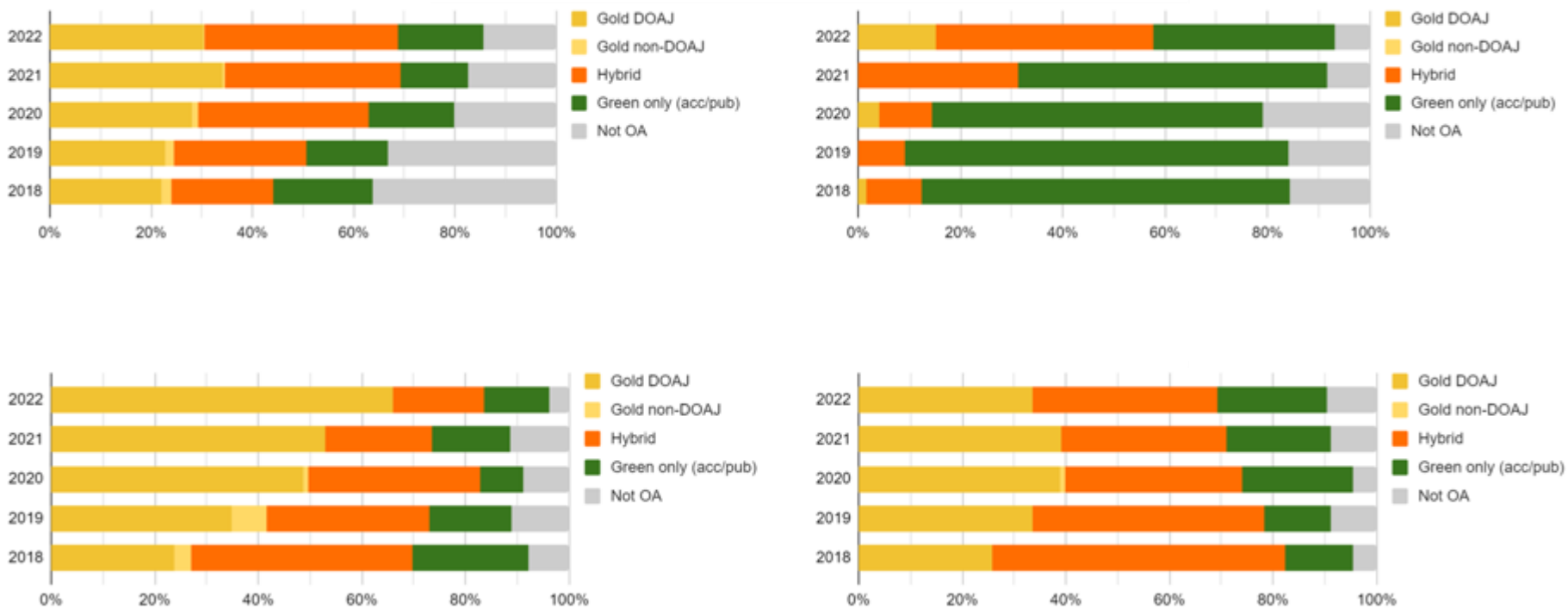
Illustrative example: using the data to identify research organisations of potential concern based on outliers



- This chart shows levels of compliance with all UKRI OA policy requirements (OA status, licence and embargo) for UKRI-funded organisations in 2022.
- Only UK organisations with at least 100 outputs are shown (n=113 organisations).
- The average level of compliance in our entire sample of organisations is 63.1% (for UKRI-funded articles in 2022).

UK Research and Innovation

Illustrative example: using the data to identify research organisations of potential concern based on downwards trend



The 4 graphs relate to 4 different research organisations (anonymised) and show trends in open access status over time

UK Research and Innovation

Actions for non-compliance – proposed approach

- Background:
  - Standard T&Cs of research grants are broad and do not provide information on the criteria UKRI will follow to determine when and what sanctions to impose.
  - There is scope for UKRI to develop a more detailed sanctions policy.
  - Sanctions can only be applied at the level of the research organisation; they should be proportionate and must be capable of putting the breach right and/or ensuring the breach does not recur.
- Policy breaches will be handled on a case-by-case basis, however, an example regime of the types of actions UKRI will take includes:
  - Discussion with the research organisation to understand issues and identify actions to be taken to improve systems and processes to support policy compliance.
  - Agree remedial action plan and monitor progress against this.
  - Apply financial sanctions as a last resort if the research organisation fails to follow the remedial action plan. This would involve recovering past funding or withholding future funding.
- Data is one tool UKRI could use to help inform this process, and not an end in itself.

Monitoring Compliance for the UKRI Open Access Policy

Group discussion

UK Research and Innovation

Guiding questions

- Are there any risks or opportunities with the proposed approach that UKRI should be aware of?

- There is support for the results of UKRI's monitoring and evaluation activity - including research organisation compliance - to be shared publicly, and for this to be presented as a positive learning opportunity. How can UKRI best do that, in your view?

- Are research organisations undertaking internal compliance checks? If so, how? And are there opportunities for more alignment?

- Are there any actions UKRI could take to support research organisations to put appropriate steps in place to promote compliance with the open access policy?

Annex 4: Slides from item 5

UK Research and Innovation

In-flight review of the UKRI open access policy for research articles and key emerging themes from stakeholder survey

UKRI Open Access Stakeholder forum

21 March 2024

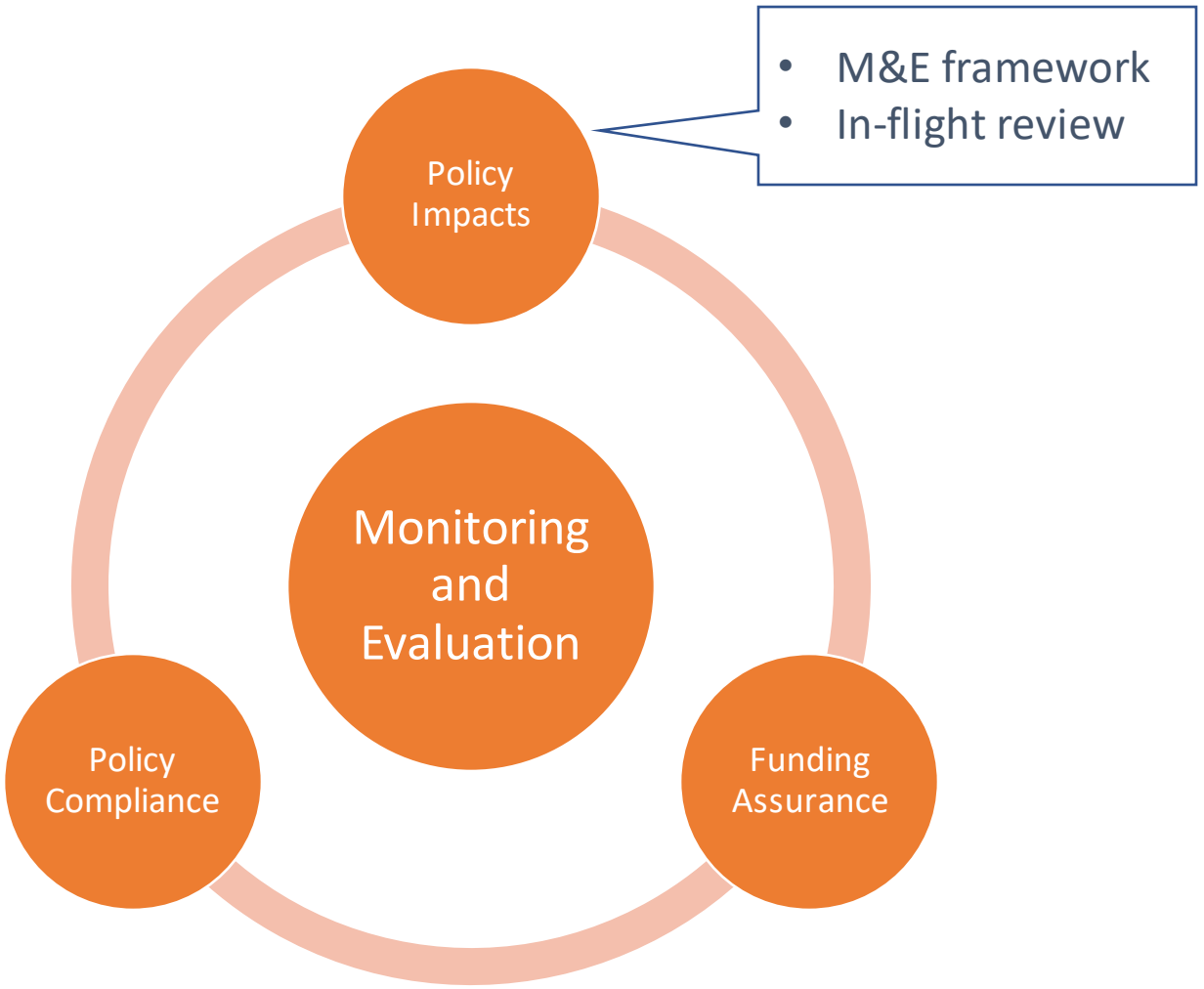
Claire Symeonides, Lead Policy Analyst, UKRI
Sara Ball, Open Research Strategy Lead, UKRI

In-flight review of the UKRI open access policy for research articles

Background

UK Research and Innovation

Monitoring and evaluating the UKRI open access policy



UK Research and Innovation

In-flight review: light-touch policy review two years after the start date to take the opportunity to consider whether adjustments are necessary while the policy is "in-flight"

Key distinctions between the M&E framework and in-flight review:

	M&E framework	In-flight review

Key aims	• To ensure the policy delivers on its aims
	• Evidence base for effective decision making e.g.
	  • identify issues or risks and take timely action to address them
	  • realise benefits
	  • future policy and other priorities
	• Celebrate and communicate success and drive positive developments in the research and innovation landscape
		• Evidence to assess progress and identify issues / risks early on
		• Identify changes needed to the design / delivery of the policy
		• Communicate the findings by May 2024 (TBC) and any planned actions

Key topics of focus	• The core aims of the policy:
	  • Enhance research, societal and economic benefits by improving access to research outputs
	  • Sustainable support for open access and better value for public investment in research
	  • Joined-up policy that is clear, unambiguous and as easy as possible to comply with
	  • Encourage the development of new models of open access publishing
	  • Support the adoption of open access nationally and internationally
	• Key considerations of the policy:
	  • Affordability and balance of costs to the sector
	  • Sustainability of publishing
	  • Author choice
	  • Potential impacts on EDI
	  • Ease of policy implementation
		• Most aspects of the framework relevant
		• Prioritise the key considerations
		• Consider core policy aims
		• Lighter methods proposed

Scope	• Research articles and long-form publications	• Research articles only

Topics to be addressed and prime methods (note some issues will be covered by multiple methods)

Methods	Topics to be addressed
Internal review of processes	• Process evaluation – has UKRI delivered the policy as intended • Known issues
Externally commissioned work with Research Consulting, Sesame Open Science and CORE	• Baseline data on compliance of individual outputs • Patterns of (inter)national collaboration • Use of route 2 licensing statement
Stakeholder focus groups and survey	• Stakeholder views on challenges / opportunities including unintended impacts • Supporting open access more widely & innovation • Is the policy as easy as possible to follow
Internal review of financial expenditure statements, and follow up discussion with some research organisations	• Affordability for research sector • Process evaluation - are funding levels appropriate
Review of UKRI open research inbox	• Stakeholder views on challenges / opportunities incl. unintended impacts • Known issues • (possibly maps to other topics depending on findings)
Review current publishing landscape and what's on the horizon	• Indications of publisher sustainability • Indications about supporting open access more widely & innovation • Author choice • Developments in the wider landscape that pose risks / provide opportunities

10 survey responses received - 2 from publisher representatives and 8 from research sector representatives

UK Research and Innovation

In-flight review of the UKRI open access policy for research articles

Key emerging themes from stakeholder survey

UK Research and Innovation

Key theme: navigating complexity

Responses cited difficulties relating to researchers and other stakeholders understanding the complexity of how to publish OA. This includes understanding the different routes (Gold, Green) and specific terminology, the different licensing options, and funding options (APCs, TAs, TJs, hybrid vs fully open access, diamond models etc) and which of these funding options are available to them in their situation.

Additionally, specific reuse permissions and rights around the use of images was noted as being particularly complex. This generally affects the Arts & Humanities disciplines more than it does for other disciplines.

The difficulties faced included in some cases, high resource requirements for Research Organisations, therefore the impact could potentially be greater for smaller ROs. It was noted that the Plan S Journal Checker Tool can be helpful, but many institutions report issues with data accuracy or misleading information. Similarly, there is scope to improve UKRI-provided guidance e.g. streamline FAQs.

Some authors are finding it difficult to navigate the various OA policies from different funding bodies.

Regarding the block grant administration, it was noted that rules should be as simple as possible, which includes expectations around TAs and TJs; for example, having eligible and non-eligible journal titles for UKRI block grant use adds additional bureaucracy to the process.

UK Research and Innovation

Key theme: supporting different routes to OA

Several respondents mentioned that UKRI could do more to support a range of OA routes, as it was seen that the policy is predominantly supporting Gold OA via R&P agreements, rather than the Green route or alternative models such as Diamond models.

Respondents from Research Organisations and Libraries generally cited concerns about the sustainability and equitability of Transitional Agreements in the long term, mainly due to increasing costs and lack of price transparency from their perspective. It was also noted that the VAT into the "publish" element also contributes to increasing costs.

It was noted that many journals have an embargo period in place, which limits author choice for the Green route. Many respondents also called for more support and guidance from UKRI on a Rights Retention Strategy, and for UKRI to directly support Diamond OA publishing models.

Alternative platforms were also suggested such as a UKRI platform, but it was noted that this would require strong support and encouragement for authors to publish there.

On the other hand, some respondents recognised that TAs have supported high levels of open access. Some stakeholders raised concerns that alternative models may be unproven or unsustainable.

It was noted that more clarity on the next steps for the Block Grant would be helpful for Research Organisations and Libraries. A multi-year block grant has also been suggested to facilitate improved financial planning for institutions, which includes allowing institutions to enter into multi-year agreements, make more strategic decisions for alternative open access models, allow for better internal resourcing, etc.

UK Research and Innovation

Key theme: encouraging authors to publish OA

A key barrier to implementation seems to be due to either a lack of understanding from researchers (as mentioned in previous slide on navigating complexity), a lack of awareness, or choosing not to comply.

Several respondents suggested that sanctions could be helpful to encourage adherence to the policy, though noted in one response that there might be unintended consequences of introducing these as they might disproportionately disadvantage certain types of institution or researchers at those institutions.

One response noted that an opportunity is the greater take-up of open research practices more generally, though acceptance of such practices needs to coincide with actual changes in funding/infrastructure to support them (including, for example, centralised curation platforms for all types of open research outputs including open access articles, open data, open materials, open code, etc.).

Key theme: unintended consequences

Collaborations: Difficulties for authors in navigating different publisher polices could discourage collaborations. It was also noted that international collaborations with certain types and locations of institutions, for example large US universities, may be advantaged because authors can potentially draw on those universities' read and publish agreements. Respondents noted however that they did not have evidence for any changing behaviour patterns or restrictions.

Smaller institutions: There is some anecdotal evidence that UKRI authors publishing OA might have a positive impact on other non-UKRI funded researchers at the organisation. On the other hand, it is also noted by respondents that at smaller institutions, authors who aren't funded by UKRI (or other external funders) can't always publish OA due to insufficient funds. As mentioned in the previous slide, a need for higher internal resource requirements may have a greater impact on smaller ROs.

Smaller publishers: A respondent mentioned that smaller publishers are being disadvantaged by not being able to offer Read and Publish deals. It was also noted that the impact of costs in the transition to OA is more pronounced for smaller and less-resourced publishers and for publishers operating across multiple territories due to the need to navigate various OA policies.

Disciplinary differences: A concern was raised by a respondent that large publisher agreements and UKRI funded research are also both more common within the STEM disciplines, creating different levels of open access publishing opportunity in STEM versus Arts, Humanities and Social Sciences.

Additionally, specific reuse permissions and rights around the use of images was noted as being particularly complex, which generally affects the Arts & Humanities disciplines more than it does for other disciplines.

UK Research and Innovation