UKRI Open Access Policy Stakeholder Forum

Meeting 4 summary

5 October 2023, 13:00 – 15:45 Hybrid (virtual and in-person at the Royal College of Art, London)

Item 1 – Welcome

Rachel Bruce, Head of Open Research at UKRI, welcomed members to the fourth 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 for longform outputs, and to hold a workshop with Forum members discussing the implementation of the policy for research articles.

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. UKRI staff provided updates on in progress activities, noting that these should be completed shortly.

Item 3 – Update on Jisc and UKRI long form open access policy and activities

Sara Ball (UKRI) and Caren Milloy (Jisc) presented a shared update on UKRI's open access policy for longform publications, and the activities being undertaken by UKRI and Jisc to support the implementation of the policy. Further details are in the presentation slides at **Annex 2**.

Caren provided an update on Jisc's current activities. Key points included:

- Jisc negotiations will focus on immediate open access via the diamond, or free to publish, free to read, route, and Jisc are actively seeking agreement with the top 20 major commercial publishers.
- Seventeen diamond monograph agreements have been negotiated, along with seven infrastructure agreements.
- The Open Access Community Framework 2023 has resulted in three diamond monograph agreements from new university presses.
- Jisc are also collaborating with international partners.
- Jisc's recent survey of library members looking at preferred OA revenue models has highlighted that there is enthusiasm for community frameworks, with the least preference for the BPC route. Library members were keen that a green backstop is always in place.
- There will be an update on SHERPA services at the end of October 2023

Sara provided an update on UKRI's implementation activities for the policy for longform outputs and provided further details about the ring-fenced fund. This will be held centrally by UKRI and

will be open to research organisations who can apply for funding on behalf of authors. Sara noted that the fund will support a variety of models, and UKRI will shortly be providing an update on outstanding issues, such as the funding limits and the time limit beyond which the policy will not apply. She noted that for books and chapters, UKRI is likely to provide a single contribution with a maximum limit. For alternative models, UKRI will provide a contribution and the limits are currently being decided.

Sara then updated the Forum on communications around open access and the policy for longform outputs, noting that:

- With support from Jisc, UKRI held a webinar on the open access policy on the 15 June. The recording of the event can be accessed online, and slides and a summary of questions are available on our website.
- UKRI will shortly publish a guide on third-party copyright on the website
- UKRI will be sending out letters to research organisations and grant holders about the implementation of the policy for longform outputs.
- Alongside updates to the UKRI website, we will also publish an updated version of the slide deck for organisational use.
- A further webinar is planned for the 8 November for UKRI-funded researchers and their organisations, which will involve presentations and discussions sessions. Registration will open shortly.
- UKRI are also considering a further webinar in early 2024.

Caren noted that Jisc are also providing advice and guidance to organisations, including roundtables, FAQs, the OAPEN OA Books toolkit, a series of short guides on different aspects of open access and a new university press toolkit.

Forum members raised questions about the most appropriate landing page on the Jisc website for monographs offers, and Caren confirmed that this would be investigated, and details shared with the group.

Further questions were raised about rights retention and the funding availability for monographs, and Sara confirmed UKRI's position that the ring-fenced fund is not intended to be competitive, and that UKRI will monitor demand closely. There was also discussion around the need for further consideration of different funding models, and a request for further discussion around derivative works.

ACTION: Caren Milloy to investigate the most appropriate landing page on the Jisc website for monographs offers. Details will be forwarded to group members if a page is identified, or Caren will ensure that a page is created if one does not currently exist.

ACTION: UKRI to arrange a meeting with Torie Eva regarding derivative works.

Item 4 and 5 – Workshop and discussion on UKRI In Flight (Light Touch) Review

Sara introduced the activity by providing the Forum with some background to the in-flight review. When the new open access policy was launched in 2021, UKRI committed to carry out a review two years after the start of the policy (April 2022 for research articles). The in-flight review

is an opportunity to consider whether adjustments in the design or delivery of the policy are necessary.

Sara gave further information on the aims, topics of focus, and scope of the in-flight review and the relationship to UKRI's wider monitoring and evaluation activity (monitoring and evaluation framework). Sara also covered the proposed timeline and methods for the in-flight review. Further details are in the presentation slides at **Annex 3**, which were shared with Forum members ahead of the meeting. Sara noted that the methods in the slides are the prime methods for the topics to be addressed but in practice issues will be covered by multiple methods. The aim of the workshop was to help shape the in-flight review and highlight issues for consideration. Forum members discussed the following three question sets in smaller discussion groups facilitated by UKRI staff:

- Is the policy supporting full and immediate open access? Is it supporting this adoption in the wider UK / internationally?
- Is the policy consistent, clear, and as easy as possible to follow and implement?
- What are the positive / negative impacts on the research environment arising from the policy? Including around, for example: equity, disciplinary differences, types of research organisations and publishers, research evaluation and careers.

Members were encouraged to consider the core aims of the policy as part of their discussions:

- 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

Topics that emerged from discussion groups included: funding and costs; impacts on researchers and research practice; challenges for research organisations; impacts on the publishing landscape; supporting guidance and tools and how these could be improved; and impacts of the policy on the wider research and innovation environment. A detailed summary of the workshop is provided in a separate document circulated alongside this meeting note.

Sara thanked Forum members for their valuable insights and noted that further engagement with them on the in-flight review is planned via focus groups and/or a survey.

Sara encouraged Forum members to share the slides with colleagues and to forward any additional feedback.

ACTION: Forum members to share the slides as appropriate and to share any additional feedback with Sara Ball.

Item 6 – Future meetings, AOB, close

Rachel noted that UKRI will send a selection of meeting dates to Forum members to determine the dates for the 2024 meetings, which will likely be held in March, June, and October. The format of the meetings (virtual, in-person and hybrid) will also be considered.

ACTION: UKRI to send a selection of meeting dates for 2024 to members via a Doodle poll.

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

Annex 1: Meeting agenda and participants

Agenda

Item	Time		Item
1	**13:00**	5 mins	**Welcome**
2	**13:05**	5 mins	**Matters arising** Summary of Meeting 3: These have previously been shared with colleagues and have been approved, and a finalised version will be available online shortly - weblink tbc. Summary of Actions: See Annex 1
3	**13:10**	30 mins	**Update on Jisc and UKRI long form open access policy and activities** Presentation with opportunity for questions. Slides will be shared after the meeting. Latest published UKRI 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/
4	**13:40**	55 mins	**Workshop and discussion on UKRI Light Touch Review**
	14:35	10 mins	**BREAK**
5	**14:45**	55 mins	**Workshop and discussion on UKRI Light Touch Review**
6	**15:40**	5 mins	**Future meetings, AOB and close**
	15:45		**Close**

Attendees

UKRI

Rachel Bruce (Chair)
Sara Ball
Emma Devine
Joanna Jacklin
Paul Richards
Claire Symeonides

Participants

Name	Representing	Affiliation	
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	
Paul Boyle	Universities UK	Swansea University	
Alison Danforth	Society Publishers' Coalition (SocPC)	British Sociological Association	
Anne Dixon	Research Councils Library Information Consortium (RESCOLINC)	British Geological Survey	
Deborah Dixon	Association of Learned and Professional Society Publishers (ALPSP)	Oxford University Press	
Nicola Dowson	Society of College, National and University Libraries (SCONUL)	The Open University	
Torie Eva	Publishers Association	Elsevier	
Ruth Harrison	Research Libraries UK (RLUK)	Imperial College London	
Holly Limbert	sherif		Apologies
Valerie McCutcheon	Association of Research Managers and Administrators (ARMA UK)	University of Glasgow	
Lisa McLaren	SCONUL		Standing in for Ann Rossiter
Caren Milloy	Jisc	Jisc	

Elizabeth Newbold	RESCOLINC	Science and Technology Facilities Council (STFC)	
Nick Plant	Russell Group	University of Leeds	
Sarah Priston	GuildHE	Bath Spa University	
Ann Rossiter	SCONUL	SCONUL	Apologies
Niels Stern	OAPEN	OAPEN	
Suzanne Stewart	UK Reproducibility Network (UKRN)	University of Chester	
Alison Sutton	UKCORR	University of Reading	
Inesa Thomson	DHSC / NIHR	DHSC	
Christie Walker	ARMA UK	Royal College of Art	
Kirsty Wallis	RLUK	University College London	

Annex 2: Item 3: Update on Jisc and UKRI long form open access policy and activities

(slides to be added)

Annex 3: Item 4 and 5: Workshop and discussion on UKRI In Flight (Light Touch) Review

(slides to be added)