



**UK Research
and Innovation**

UKRI Open Access Policy

**Open Access Monographs: Making Mandates
Reality**

**Rachel Bruce, Head of Open Research,
UKRI, 23rd June, 2022**



UK Research and Innovation vision and mission



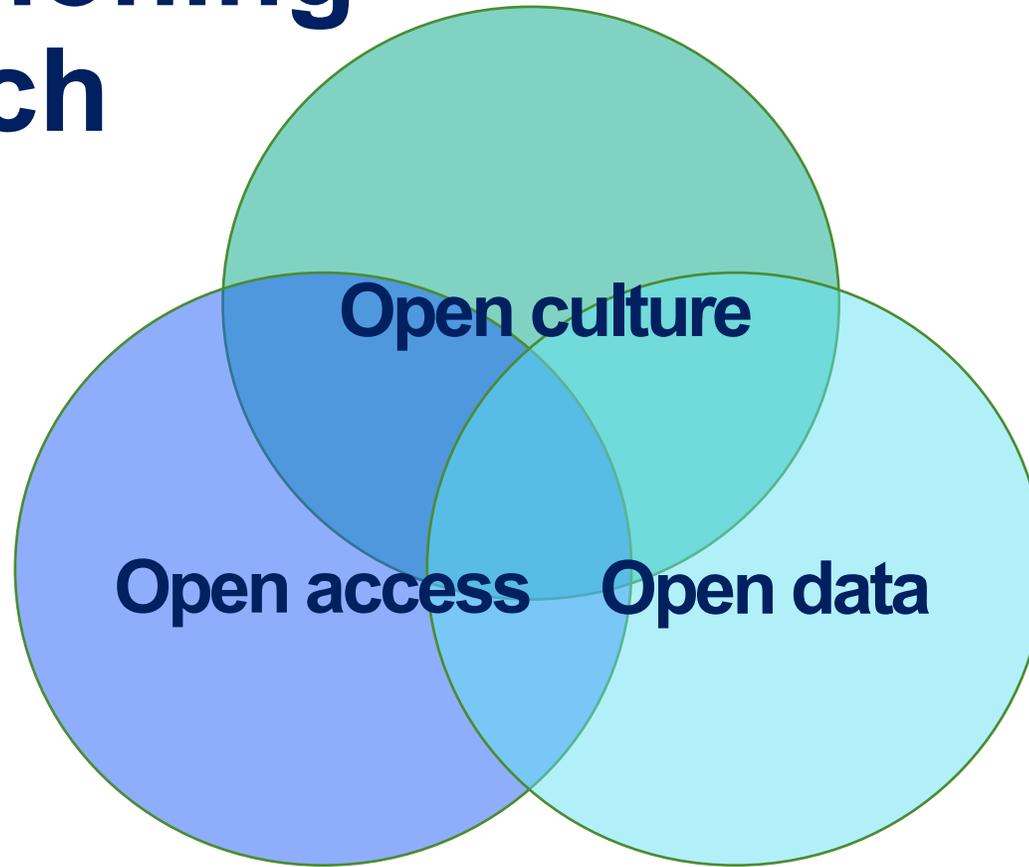
Our **vision** is for an outstanding research and innovation system in the UK that gives everyone the opportunity to contribute and to benefit, enriching lives locally, nationally and internationally.



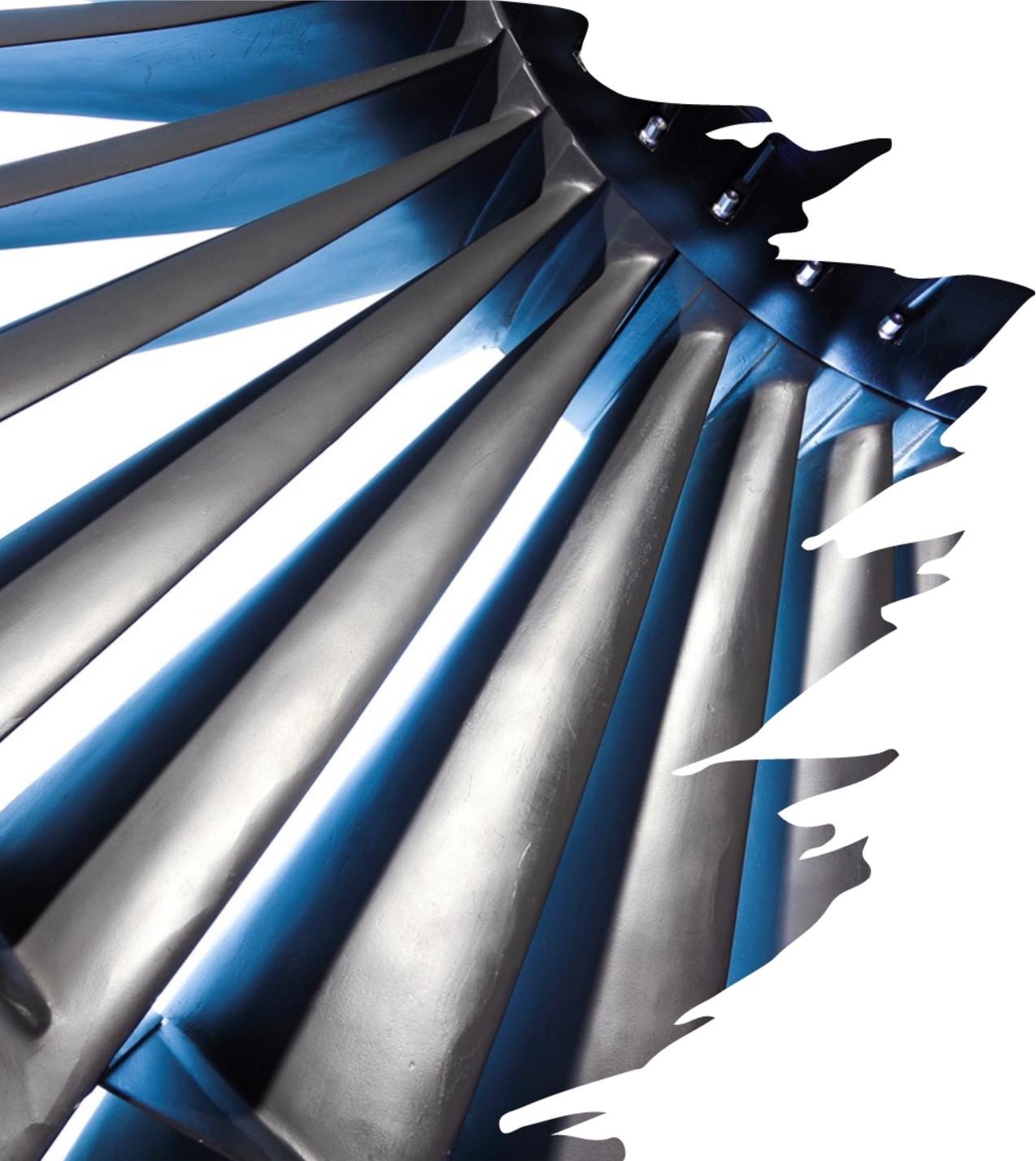
Our **mission** is to convene, catalyse and invest in close collaboration with others to build a thriving inclusive research and innovation system that connects discovery to prosperity and public good.



UKRI championing open research



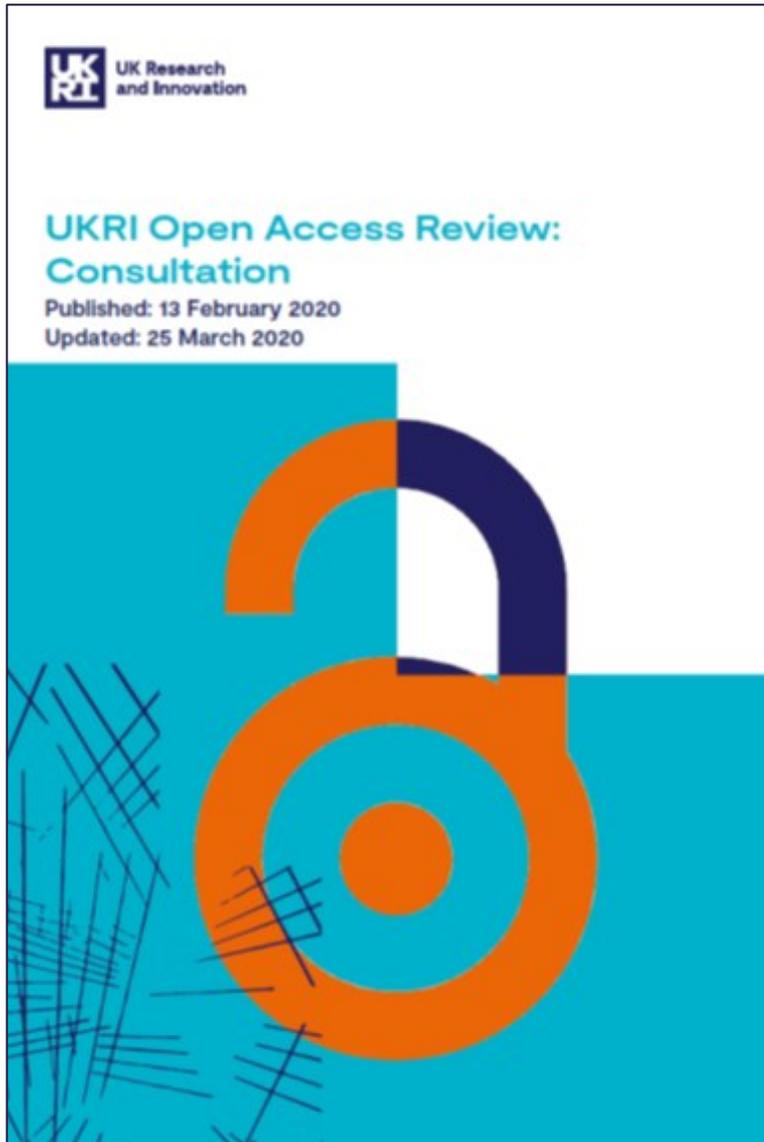
Embedded in our **principles for change, strategic objectives and priorities**



Govt. UK R&D Roadmap

“we must embrace the potential of open research practices by mandating open publication, strongly incentivising open data sharing where appropriate, ensuring more modern research outputs are recognised and rewarded, and considering the case for new infrastructure to enable more effective sharing of knowledge between researchers and with industry to accelerate open innovation where possible. “

<https://www.gov.uk/government/publications/uk-research-and-development-roadmap>



Open Access Review 2018 - 2021

- In 2018, UKRI launched its Open Access (OA) Review
- The Review process included:
 - Extensive engagement with stakeholders via roundtables and workshops
 - Evidence-gathering and analysis
 - Public consultation
 - Independent economic assessment
- Further information: [Shaping our open access policy – UKRI](#)



The policy applies to

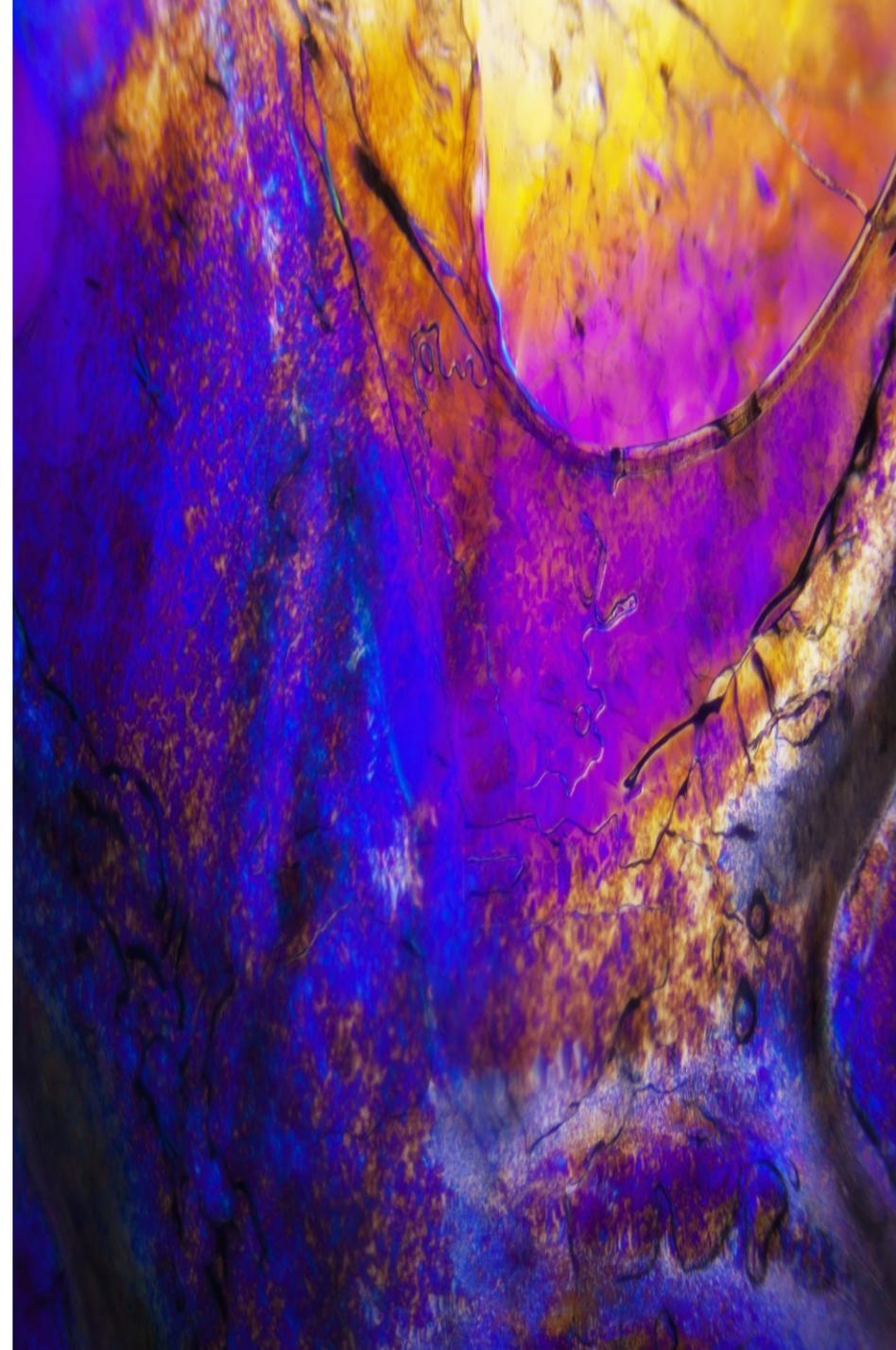
Research publications, as defined below, that need to acknowledge funding from UKRI or any of its councils, including Innovate UK and Research England.

- **Peer-reviewed research articles submitted from 1 April 2022**, including reviews and conference papers, that are accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or publishing platform.
- **Monographs, book chapters and edited collections published from 1 January 2024**
 - Unless a contract has been signed between the author and the publisher before this date that prevents adherence to the policy. However, UKRI strongly encourages authors and publishers to make publications open access.
 - In-scope long-form outputs are detailed further at [Annex 1 in the policy](#).

Requirement for research articles

*Immediate open access for in-scope publication types that acknowledge UKRI funding with a **CC BY** licence*

The policy requirement is permissive and agnostic to the route by which open access is achieved.



Requirements for long-form publications

- From 1 January 2024, the policy extends to in-scope monographs, book chapters and edited collections.
- Permissive approach via **Version of Record or the Author's Accepted Manuscript** to be open access under a **Creative Commons licence, within 12 months of publication.**
- Where the Author's Accepted Manuscript is deposited, it should be clear that this is not the final published version.
- Exceptions – third party materials where re-use permissions cannot be obtained and no suitable alternative; where the only suitable publisher cannot offer OA, and out of scope - exhibition catalogues, trade books, scholarly illustrated catalogues, fictional works, scholarly editions etc.



Key policy considerations

Author Choice

Estimated between 80% - 85% of compliance and eligibility at 1st April 2022

Variety of publishers, specialist publisher exception

Affordability

£20-£40m pa for UKRI-funded, TAs seeing some real savings and cost avoidance

Hard to predict due to relatively new area, seek a variety of models

Sustainability

UK 4% global market
UKRI is 1%
Economic analysis shows UKRI immediate OA small impact on profits

Biblio-diversity, Innovation, tracking funding

Equality

Potential to help address EDI via increased access, however existing inequalities might impact

Conscious of EDI impacts in implementation

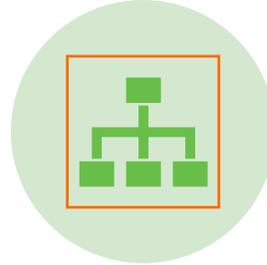
UKRI is funding Jisc to support the policy via -



NEGOTIATE
AGREEMENTS TO
FACILITATE OPEN
ACCESS FOR
LONGFORM
OUTPUTS



INFRASTRUCTURE
MONOGRAPHS
(E.G. IMPROVING
METADATA,
INFORMATION ON
COMPLIANT
ROUTES.)



COMMUNICATIONS
AND ENGAGEMENT
– ADVICE AND
GUIDANCE,
LEARNING ETC. .



ENGAGEMENT
WITH PUBLISHERS
TO OFFER THEM
OPEN ACCESS
AGREEMENTS

Monographs implementation

Workstream	Activities in train	Target completion date
Core Monographs Policy <ul style="list-style-type: none"> Guidance on exceptions Copyright & licensing guide Policy advice & guidance 	<ul style="list-style-type: none"> Project on managing trade book & third party materials exception. Workshops and engagement to define suitable publisher exception Copyright & licence guide 	Update in July and November Full guidance on exceptions: March 2023 Copyright guide: November 2022 General advice & guidance: March 2023
Funding <ul style="list-style-type: none"> Develop UKRI central mechanism Advice & guidance on accessing funds 	<ul style="list-style-type: none"> Scoping out the mechanism, options, and eligible costs Analysing different models Workshop to help develop this 	Update in July, November and April 2023
Comms & engagement <ul style="list-style-type: none"> Stakeholder engagement Regular updates Stakeholder forum 	<ul style="list-style-type: none"> Engagement meetings Planning 	Ongoing Stakeholder forum for monographs est. March 2023
Infrastructure	<ul style="list-style-type: none"> Considerations based on report undertaken and in consultation with Jisc and a workshop with stakeholders 	2023- 2024
Monitoring & evaluation	<ul style="list-style-type: none"> Just appointed consultants 	November 2022



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Thank you



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