UKRI Open Access Policy
Open Access Monographs: Making Mandates Reality

Rachel Bruce, Head of Open Research, UKRI, 23rd June, 2022
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.
Research & innovation culture

Supporting change in the research and innovation system

Equality, diversity & inclusion

Open Research

Research integrity

Research & innovation culture
UKRI championing open research

Open culture
Open access
Open data

Embedded in our principles for change, strategic objectives and priorities
“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. “

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

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

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

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

**Variety of publishers, specialist publisher exception**

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

**Biblio-diversity, Innovation, tracking funding**

**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

<table>
<thead>
<tr>
<th>Workstream</th>
<th>Activities in train</th>
<th>Target completion date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Core Monographs Policy</strong></td>
<td>• Project on managing trade book &amp; third party materials exception.</td>
<td>Update in July and November</td>
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<tr>
<td></td>
<td>• Workshops and engagement to define suitable publisher exception</td>
<td>Full guidance on exceptions:</td>
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<tr>
<td></td>
<td>• Copyright &amp; licence guide</td>
<td>March 2023</td>
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<tr>
<td></td>
<td>• Guidance on exceptions</td>
<td>Copyright guide: November 2022</td>
</tr>
<tr>
<td></td>
<td>• Copyright &amp; licensing guide</td>
<td>General advice &amp; guidance:</td>
</tr>
<tr>
<td></td>
<td>• Policy advice &amp; guidance</td>
<td>March 2023</td>
</tr>
<tr>
<td><strong>Funding</strong></td>
<td>• Scoping out the mechanism, options, and eligible costs</td>
<td>Update in July, November and April 2023</td>
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<tr>
<td></td>
<td>• Analysing different models</td>
<td></td>
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<tr>
<td></td>
<td>• Workshop to help develop this</td>
<td></td>
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<tr>
<td><strong>Comms &amp; engagement</strong></td>
<td>• Engagement meetings</td>
<td>Ongoing</td>
</tr>
<tr>
<td></td>
<td>• Planning</td>
<td>Stakeholder forum for monographs est. March 2023</td>
</tr>
<tr>
<td><strong>Infrastructure</strong></td>
<td>• Considerations based on report undertaken and in consultation with Jisc and a workshop with stakeholders</td>
<td>2023- 2024</td>
</tr>
<tr>
<td><strong>Monitoring &amp; evaluation</strong></td>
<td>• Just appointed consultants</td>
<td>November 2022</td>
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Thank you
Jisc and the funding landscape

Caren Milloy, Director of Licensing, Jisc
Our goals

• To help our members prepare for the policy, engaging to identify required guidance and support

• To put in place affordable and sustainable routes to publish in compliance with the policy – supporting bibliodiversity

• To make it easy for authors and their institutions to understand which publishers offer compliant routes and to find OA monographs / chapters

• To reduce the administrative burden for authors and institutions by collecting, verifying and evaluating data to support monitoring and reporting

• To continue to engage with international partners to support the alignment and interoperability of infrastructure and policies
Engagement: Overcoming the challenges

• We have been working in the OA academic books space for over 10 years
  • OAPEN-UK
  • Institution as e-textbook publisher project
    • https://www.jisc.ac.uk/guides/institution-as-e-textbook-publisher-toolkit
  • Knowledge Exchange OA monographs
    • Towards a Roadmap for Open Access Monographs
    • Investing in the Open Access Book infrastructure - A call for action

We outlined the landscape in a 2018 briefing paper:
• https://scholarlycommunications.jiscinvolve.org/wp/category/briefing-paper/
Affordable sustainable routes to publish

No single model.....

• The diversity of academic book publishing would be threatened if Book Processing Charges (BPCs) were to become the dominant model

• The development and adoption of alternative models to the BPC are necessary to support the long tail and the diversity of AHSS research and its funding streams....but reliant on institutional support

• There are significant opportunities to harness including the increasing number of university presses, scholar led presses alongside international infrastructure
# Affordable sustainable routes to publish

## Licensing agreements

<table>
<thead>
<tr>
<th>Model</th>
<th>Publishers / Presses</th>
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<tbody>
<tr>
<td>Supporter membership (publishing pot for new OA titles)</td>
<td>Punctum Books, Open Book Publishers</td>
</tr>
<tr>
<td>Back collection fees support new front list OA content</td>
<td>MIT Press, Opening the Future (CEUP, Liverpool University Press)</td>
</tr>
<tr>
<td>Fund to Mission (convert 75% of titles to OA)</td>
<td>University of Michigan Press</td>
</tr>
<tr>
<td>Subscribe/Purchase to Open (flips new content to OA if target met)</td>
<td>De Gruyter</td>
</tr>
<tr>
<td>Open Access Community Framework</td>
<td>OpenUP (6 presses), University of Westminster Press, University London Press, White Rose University Press</td>
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Institutions can support many of these agreements with a modest annual budget of £5k to £10k – this is often less than one BPCs
Affordable sustainable routes to publish

Licensing agreements

Number of Subs (104 total)

# participating insts (54 total)
Advice from members

Suzanne Tatham, Associate Director, Library, University of Sussex

“Libraries have an important role to play in helping to build capacity for OA monograph publishing. One way to do this is by redirecting acquisition budget from pay-to-access to pay-to-publish. This necessitates a different approach to evaluation. As monograph publishing shifts to OA, book processing charges (BPCs) will become increasingly unaffordable for institutions, so they will need to act collectively to support new collective subscription models.”
Advice from members

“You’ve really got to tell people what you’re going to do, make it central to your policy mission, publish it so they can’t complain when you do it”. Peter Barr, Head of content and collections, The University of Sheffield

“This direct line of sight across the university, in terms of the entire investment in open science will ultimately allow for a more strategic direction for us.” Scott Taylor, Head of library research services and the office for open research, The University of Manchester
What about book chapters?

We recognize that Open Access for book chapters is an important area of the UKRI policy.

• Introducing Chapter Processing Charges (CPCs) is problematic due to costs
• There is potential for a ‘green’ route for Author Accepted Manuscripts (AAMs)

We are exploring the potential for AAMs for book chapters

• Roundtable events for publishers and institutions to discuss challenges of AAMs for book chapters
• Up to 3 pilots to explore the policy in this area
• Investigating metadata requirements for book chapters
• Understanding infrastructure requirements to create an efficient workflow and reporting and to aid discovery
Our next steps

• Strategic objectives for the Content Negotiation Strategy Group
• Sector requirement for OA monographs and chapters
• Scaling our engagement and negotiations
• Continuing to supporting community led publishing
Infrastructure

- We need a connected infrastructure to underpin funder policy and support our members
- Informed by the UKRI Gap Analysis of Open Access Monographs Infrastructure
  - [https://doi.org/10.5281/zenodo.5771945](https://doi.org/10.5281/zenodo.5771945)
- The infrastructure landscape contains mature services, such as OAPEN and DOAB, but the network is disjointed for books
- We are looking at existing Jisc services to cater for open access books and book chapters in addition to talking to existing and emerging infrastructure providers to take a more joined-up approach
Making it easier and reducing bureaucracy

“There are shortcomings in the use of metadata and standards for OA books that limit interoperability and discovery, affecting the wider ecosystem around OA books”.

UKRI Gap Analysis of Open Access Monographs Infrastructure  
https://doi.org/10.5281/zenodo.5771945

We will contribute to sector development of metadata and responsible metrics in order to:

• Make it easier to find compliant routes, potentially Sherpa
• Make it easier to find OA monographs and chapters, with Library Hub
• Including the Library Hub team to ensure discovery of long form publications and book chapters

Contribute to a joined-up approach with infrastructure services

Reduce the administrative burden for our members regarding monitoring and policy compliance
Understanding your challenges, advice and guidance

• Libraries and PVCr’s
  • Organizing high level briefings and workshops over the next 2 years
• Authors
  • Planning a series of myth busting webinars for the autumn
  • Contributing to the OAPEN OA books toolkit for researchers
  • Involved in the OA Books Network which is open to authors, researchers, libraries etc.
• Publishers and Learned Societies
  • Series of roundtable events
• Institutional publishers
  • New University Press toolkit
  • Investigating the feasibility of a community of practice for UK OA university presses
  • Participation in the Horizon Europe funded DIAMAS project
## Engagement plans

<table>
<thead>
<tr>
<th>Theme</th>
<th>Event</th>
<th>Date / link</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Institutional publishing</strong></td>
<td>Community of practice of UK OA university presses</td>
<td>TBC</td>
</tr>
<tr>
<td><strong>Author engagement</strong></td>
<td>OAPEN OA books toolkit for authors</td>
<td><a href="https://www.oabooks-toolkit.org/">https://www.oabooks-toolkit.org/</a></td>
</tr>
<tr>
<td><strong>Author engagement</strong></td>
<td>OA Books Network</td>
<td><a href="https://openaccessbooksnetwork.hcommons.org/">https://openaccessbooksnetwork.hcommons.org/</a></td>
</tr>
<tr>
<td><strong>Author engagement</strong></td>
<td>Myth busting webinars</td>
<td>White Rose University Press and the OABN</td>
</tr>
<tr>
<td><strong>Publisher engagement</strong></td>
<td>Roundtable events for publishers and institutions to discuss challenges of AAMs for book chapters</td>
<td>Provide report on workflows and barriers</td>
</tr>
<tr>
<td><strong>Publisher engagement</strong></td>
<td>Roundtable events for publishers and institutions to discuss challenges of AAMs for book chapters</td>
<td>Hold larger event to discuss the outcomes of the pilots and best practice guide</td>
</tr>
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International collaboration

• We are working with international projects, groups and service providers to ensure a collaborative approach to open access for books
• Action Plan for Diamond Open Access signatory
• OPERAS (open scholarly communication in the European research area for the social sciences and the humanities) Executive Assembly member and leading the OA Business Models SIG
• Horizon Europe DIAMAS project (Developing Institutional open Access publishing Models to Advance Scholarly communication) partner
• Community-led Open Publication Infrastructures for Monographs (COPIM) Project partner
• OA eBook Usage (OAeBU) Data Trust Board of Trustees
• Library Publishing Coalition strategic affiliate
• Member of the IFLA Library Publishing SIG
Thank you
International partnership

Libraries,
Universities,
OA book publishers,
Researchers,
Infrastructure providers.

£3.6m

COPIM is funded by the Research England Development Fund (REDFund) as a major development project in the Higher Education sector with significant public benefits, and by Arcadia, a charitable fund of Lisbet Rausing and Peter Baldwin.
Awaiting the REF Review

- Current allocated funding for projects
- If REF follows suit: £19.2m to move to OA monographs
- Transition from acquisition to ScholComms
- BPC models are problematic
- The money is not in the right places
Three strata
Library subscription models

Larger academic presses

Small to medium-sized academic presses
Low risk, no threshold models like Opening the Future

Scholar-led born-OA presses
Open collectives working together to provide combined offers
Piloting Opening the Future

Liverpool University Press & Central European University Press
Opening the Future as membership funds accrue, the next book can be published OA, a rolling process.

Note: the OA modelling here is based on an average membership of £700 per year (our medium-size band pricing). Appraising the cost per book/per library is only possible once we've had time to accrue members. This is a pilot project.
"We Need Experiments"

- OK, but we then need participation
- If everyone just waits, experiments will fail
- There are not that many models
- Experiments are affordable...
- ... but we need long-term transition
How to Appraise Investment?

- "Local Teaching Need"
- "Local Research Environment (OA)"
- "Researcher Output"
- "Usage Metrics"
- "Global Collection for Everyone"
Experiments to "Business as Usual"

The acquisitions budget must change

Models have acquisition components

Care around metrics

Library leadership is key
Stay in touch

- martin.eve@bbk.ac.uk
- copim.ac.uk
- openingthefuture.net
- thoth.pub
- @OpenBookCollect
IS USAGE DATA RELEVANT FOR OA CONTENT?
IMPACT:
THE DEMONSTRABLE CONTRIBUTION THAT EXCELLENT RESEARCH MAKES TO SOCIETY AND THE ECONOMY

Definition: Economic and Social Research Council
IMPACT METRICS

Citations → Usage → Altmetrics
RETURN ON INVESTMENT

\[
\text{Spend} \div \text{Unique\_Item\_Requests} = \text{Cost per use}
\]
OPEN = GLOBAL
GLOBAL USAGE METRICS

- **Total usage**
  - Linked or not linked to an institution
- **Attribution**
  - OA, paywalled, free to read
- **Access Type**
MONOGRAPHS
CORE COUNTER REPORTS

Platform Report
• Top-level summary

Title Report
• Granular usage by book
• Book-specific views
KEY METRICS

- Investigations and Requests
- Denials
- Searches
INVESTIGATIONS AND REQUESTS

What
- Investigations metadata records
- Requests full content

When
- Total every use of every item within and between sessions
- Unique deduplicated counts per item, per user, per session

Where
- Title rolled up to book level
- Item granular at chapter level
GLOBAL COUNTER USAGE REPORTS FOR UNIQUE_TITLE_REQUESTS CAN HELP SHOW IMPACT AND RETURN ON INVESTMENT FOR OA BOOKS
Consistent, credible, comparable

Used as part of a suite of metrics!
MULTIPLE DATA SOURCES

Direct metrics
- Cost per use
- Citations
- Altmetric

Downstream
- Research collaborations
- Grant funding
- Patents
THANKS FOR LISTENING

QUESTIONS?
PLEASE CONTACT
TASHA.MELLINS-COHEN@COUNTERUSAGE.ORG
An ancient university open to all

Simon Bains
University Librarian

@simonjbains
we are working for a University that is ‘open to all’, so what is preventing us from fulfilling our Foundational Purpose when it comes to maximising the reach our research?

We, and our funders, are committed to open research. Now is the time to be bold in the face of any resistance from private sector organisations who do not share our mission.

https://www.abdn.ac.uk/news/opinion/posts-by/simon-bains/
@simonjbains
Am I putting my money where my mouth is...?
So we are building it...
...but will they come (and do we even know?)
BOOK

Poverty, Inequality and Policy

2017

Available Online

View Online

Full text availability

DOAB Directory of Open Access Books

Unrestricted access

Details

Title: Poverty, Inequality and Policy
Publisher: IntechOpen
Date: 2017
Language: English
ISBN : 953-51-3560-0
Source: Library Catalog
Scottish declaration on Open Access

So long as one hundred of us are left alive we will yield in no least way to publisher dominion

Derek Law paraphrases the Declaration of Arbroath, 2005
Embedding Open at York

Sarah Thompson
Head of Content and Open Research
University of York
Our new Library roadmap

In response to the new University strategy, and its vision of York as a University of Public Good, we will reaffirm our commitment to open:

Provide leadership and expertise in open research at the university, and work collaboratively with the wider sector to develop and support sustainable open research initiatives and infrastructure

Have an even stronger focus on supporting open access publishing and open educational resources, and invest in the development of White Rose University Press and repositories

NB: wording still in draft!
Our Collection Policy statements

1. We are committed to developing diverse and inclusive collections that reflect the richness of thought, ideas and experience from across our user communities
2. We provide content in the most appropriate format for the purposes of improved accessibility and availability
3. We manage our collections to ensure they align with University learning, teaching and research needs
4. We collaborate with our user communities and use feedback to help us develop our collections

5. **We are committed to the principles of open access publishing and open research, and incorporate open content into our collections**

6. We take advantage of innovations in search and discovery tools in order to facilitate improving access to our collections
7. We manage our existing collection strengths and develop new strengths in order to maintain their national or international importance
8. We proactively promote our collections in order to communicate their value to our user communities
9. We engage in cooperative decision-making with other libraries and within library consortia
10. We balance the requirement for space for physical resources against the space required for learning and scholarship
Supporting bibliodiversity
Advocacy and information for authors

Concerns about OA monographs

– Misunderstandings (BPCs are the only model they have heard of)
– Mistrust in untried and untested publishers
– Worried about loss of prestige, and REF
– Comfortable with the status quo, why change
– Disciplinary differences in research culture and open research practices

Positive messages about OA monographs

– Alternative models – the Open Book Collective and Jisc’s OACF should help
– Experiences of high profile authors in their subject disciplines
– UKRI funding pot, more information about the specifics would be welcome
Ongoing support for open monograph initiatives

Libraries are committed to open

– Our values align
– Willing to demonstrate that commitment financially
– However, we still need to prioritise and be selective – we can’t support everything

What we expect in return for our investments

– Good quality content and publishing opportunities
– Open and transparent governance
– Open and transparent finances and business plans
Changing the Library from within

Is Open truly embedded and integrated across all relevant library services?

– Strategies and policies
– Purchasing decisions
– Tools and infrastructure
– Catalogues and discovery services
– Team structures
– Roles and responsibilities
– Internal training and awareness raising
– Skills training for students and academics