

Dear Ministry of Business, Innovation & Employment,

In November 2022, you introduced the Kaupapahere Rangahau Tuwhera - Open Research Policy for all new MBIE-funded research. It has now been two years since the policy's release. I am seeking detailed information regarding the level of compliance with this policy with respect to publications and how you are monitoring adherence.

AgResearch response in blue font.

### Section A: Open Access Publications

Since the release of the policy:

AgResearch comment: MBIE's policy applies to:

- research partially or fully funded by MBIE from 1 January 2023, and to
- peer reviewed articles and peer reviewed conference proceedings.

1. How many peer-reviewed publications arising from fully or partially MBIE-funded research have been made available with Open Access?

AgResearch: 85

2. What is the increase in Open Access publications compared to the three years preceding the policy's introduction?

AgResearch: 2020-2022: 25% publications Open Access; 2023-2024: 75% publications Open Access; increase in Open Access publications: 33%

3. How many MBIE-funded research publications were made available through fully Open Access journals (i.e., Gold OA) since the policy was released?

AgResearch: 41

4. How many MBIE-funded research publications were made available through Hybrid Open Access journals since the policy was released?

AgResearch: 39

5. How many publications were made available as Green Open Access since the policy was released?

AgResearch: 4

### Section B: Open Access and Crown Research Institutes (CRIs)

1. Please provide a list of CRIs with fully operational Institutional Repositories.

AgResearch: <https://agresearch.figshare.com/>

2. For each CRI

How many publications have been **deposited in the repository** since the policy's introduction? (i.e., Postprints, Author's Accepted Manuscript/AAM, Publisher's Version/Version of Record/VoR)?

AgResearch: 414 (283 articles; 131 conference contributions) have been deposited in our Figshare repository.

How much has been spent on Article Processing Charges (APCs) for Gold Open Access or Hybrid Open Access in the last calendar year?

AgResearch: estimated at \$286K

3. If a Crown Research Institute does not have an operational Institutional Repository, please provide the reasons for this.

Not applicable to AgResearch.

### Section C: Monitoring Compliance

1. How is MBIE monitoring and auditing compliance with the Kaupapahere Rangahau Tuwhera - Open Research Policy among CRIs and universities?

AgResearch: MBIE to answer this question.

2. What resources (FTE) are allocated by you to compliance monitoring and auditing?

AgResearch: MBIE to answer this question.

3. What is the degree of compliance by CRIs and universities with the policy? Please provide numbers for:

- Fully compliant institutions
- Partially compliant institutions
- Non-compliant institutions.

AgResearch is partially compliant, aiming for full compliance.

4. What actions has/does MBIE take in cases of partial or non-compliance?

AgResearch: MBIE to answer this question.

5. And what penalties have been/can MBIE impose for partial or non-compliance by an institution or a Principal Investigator/Program Leader? And has this happened and for which institution(s)?

AgResearch: MBIE needs to answer this question.