



Open Access policy – a journey not an event

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Finch Report – July 2012

Key Recommendations for RCUK:

- Policy support for publishing in OA and hybrid journals, including public funders establishing more flexible and effective arrangements to meet costs
- Eliminate as far as possible restrictions on use/re-use
- Negotiations on subscriptions to take into account the shift to open access
- Funders' limitations on embargoes to be considered carefully
- Clear requirements on universities to establish publication funds and associated policies

RCUK policy in a nut-shell

- Effective from 1 April 2013
- Authors must publish in a RCUK Open Access compliant journal
- Journal achieves compliance through Gold CC-BY, or else Green, 6(12) months, post-print, 'CC-BY-NC'
- RCUK preference is for Gold. However, choice is with authors and their institutions
- Block grants provided to institutions
- Five year transition to 100% OA

Additional requirements

- Acknowledgement of funding
- Statement on access to the underlying research materials
- Helps support the transparency, integrity and robustness of the research process

“Science’s powerful capacity for self-correction comes from this openness to scrutiny and challenge”.

Science as an open enterprise
Royal Society, June 2012

Funding - Block grant to cover APCs

- Institutions must establish Publication Funds and the processes and procedures for payment of APCs
- Block grant estimate is that 26k publications per year are issued from Research Councils' funding
- Average APC estimated in Finch = £1727 + VAT, paid at 80% fEC = £1658

HEI publications	Year-1	Year-2	Year-3	Year-4	Year-5
% Gold	45%	53%	60%	67%	75%
APC fund	£17M	£20M	£23M	tbc	tbc

Response of major publishers to funders' mandates

- Majority have adapted embargo periods and there is no evidence of economic consequences
- New models are being developed to help offset subscription costs
- Still a need to streamline processes for submission, payment, and making sure that what has been paid for is being delivered
- Enable new initiatives such as PeerJ and Open Library of Humanities, as money flow not restricted to subscriptions anymore

Europe PMC and biomedical research funders' approach

Working together has enabled the MRC to:

- make an efficient use of resources and economy of scale to develop a subject repository
- harmonise the funders' approaches (RCUK block grant, COAF)
- present a united voice in dialogue with stakeholders, including publishers
- enable integration of research literature within the wider research information ecosystem (ORCID, Dryad, OpenAire, cloud platform for Text and Data Mining)

UKPMC has grown into becoming Europe PMC

(Funders' Group has grown from 8 to 27 since 2007)



Building the evidence base (1)

‘Developing an Effective Market for Open Access Article Processing Charges’ (March 2014)

- OA market growing by 30% a year
- Mega journals are the fastest growing segment
- Overall APC revenue approx. \$182m in 2012 and growing at about 34% annually
- APC price: OA journal ~\$1,418 vs hybrid ~ \$2,727
- Funders considering various scenarios, such as capping funding for hybrid
- Mechanisms for offsetting need to be developed to avoid ‘double-dipping’

Building the evidence base (2)

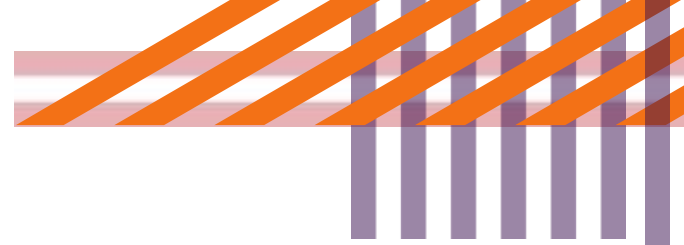
Evolution or revolution? Publishers' perceptions of future directions in research communications and the publisher role (April 2015)

- Issue of sustainability in the light of the continuing growth in research outputs
- Need for system efficiencies (submission, payment, etc.)
- APCs price is set on cost, value and market competition
- Publish or perish - change reward mechanisms
- Evidence base is limited for length of Green embargoes
- Confidence in OA: establish agreed criteria and standards

Burgess Review 2015

- Independent panel, chaired by Professor Sir Bob Burgess (former vice-chancellor)
- Early stage review helpful in providing a baseline for future
- Will need to return to some areas, such as use of licences and length of embargoes, when there is more evidence.
- RCUK will continue to monitor compliance with the policy (including to assess the rate and cost of transition to OA)
- Useful improvements can be made to areas such data collection to help future reviews.
- Further engagement across sectors is needed at a practitioner level to further embed implementation.

Burgess Review – Issues identified



- **Licences** - still an area of concerns – divergence of experience between STEM and HASS
- **Embargoes** - Substantial concern remains around possible shortening of embargoes post-transition period.
- **Costs** - Transition to open access proving substantial ‘burden’ on resources to the sector.
- **Communications** – introduction of the policy led to considerable confusion in the sector

What the future looks like?

- RCUK to implement recommendations from the Burgess review
- HEFCE policy – key requirement to upload metadata in repository within 3 months of publication (not acceptance)
- Wellcome Trust – recent evidence that hybrid journals represent 75% of articles, and need clear strategy to address ‘double-dipping’, higher costs and lack of delivery of services paid
- More united action by funders on requirement for offset schemes
- HEIs – negotiating – with JISC Collections support - new deals with publishers (eg Springer)
- New UK Minister of State for Universities and Science has commissioned a short review by Prof Adam Tickell (?Jan 2016)



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