

UK Open Access Policy – Principle and Practice

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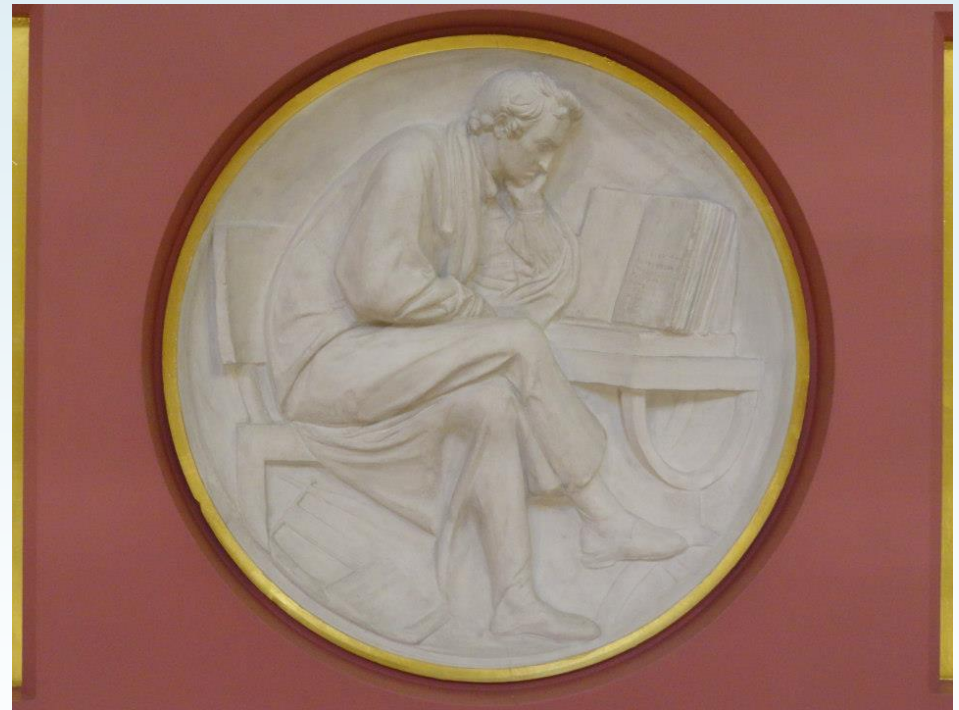
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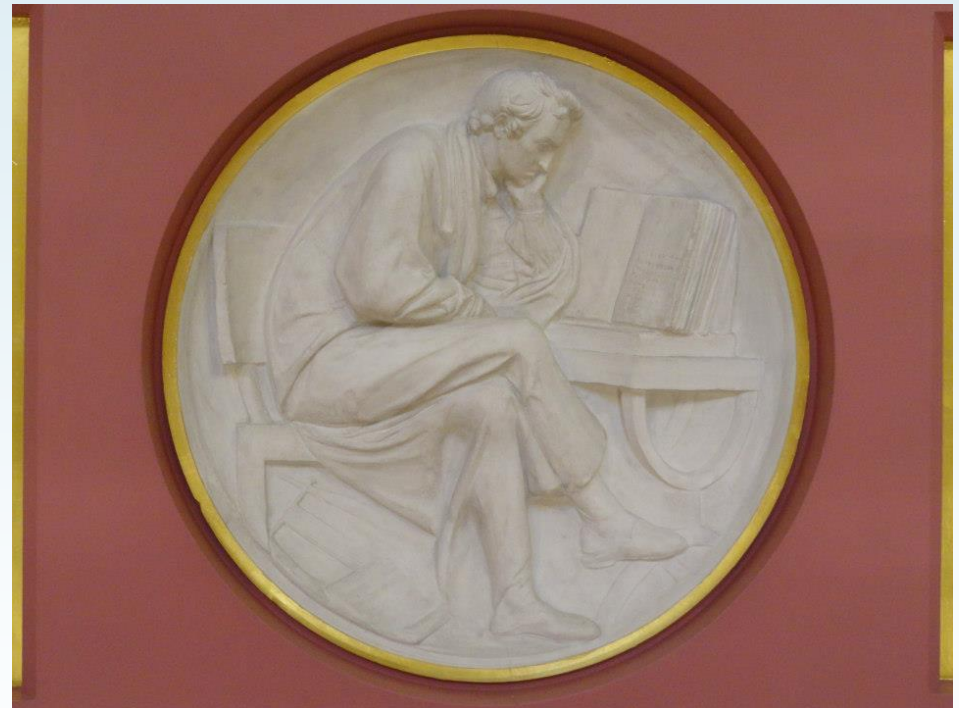
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2. Policy positions
3. OA implementation at UCL
4. Next Steps



Plaster Relief by John Flaxman, Flaxman Gallery, UCL

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Sandy Dekker, State Secretary of Education, Culture and Science

- ❑ Sander Dekker, recently launched a call at the APE 2014 Conference in Berlin for a concentration on the Gold route to Open Access:
- ❑ *'For me, the Green Road is like coming fourth in a major championship. A great achievement, without doubt, but if you are going for gold, fourth place is the most frustrating place you can achieve. Ultimately, it is only the winner that everyone remembers.'*

LERU (League of European Research Universities) response

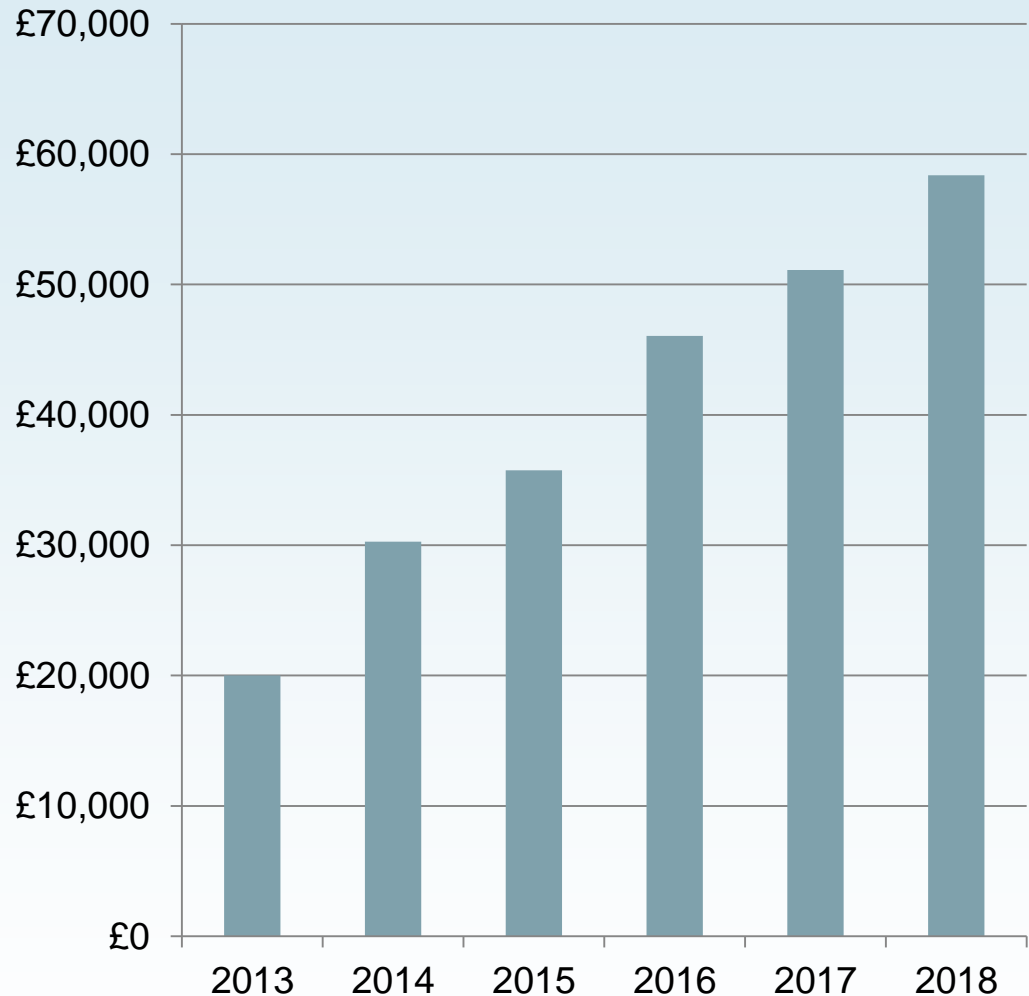
- ❑ Good to see such a strong position on Open Access, but...
- ❑ [UCL Discovery](#) - in January 2014, 7 of the top 10 downloads were for PhD theses
- ❑ PhD theses receive far more consultations as OA outputs online than the paper equivalents would have received
- ❑ [DART-Europe](#) provides access to the full text of **552,457** open access research theses from [566](#) Universities in [28](#) European countries

Paying Twice for Gold

- ❑ A movement for Gold has to address the questions of ‘total cost of ownership’
 - ❑ *‘The [UK] government therefore “looks to the publishing industry to develop innovative and sustainable solutions”. ... [T]his should involve a “meaningful proportion of an institution’s total [article charges] with a publisher” being “offset against total subscription payments with that publisher” on a sliding scale up to a set limit.’*
 - ❑ David Willets, UK Minister of State for Universities and Science
- ❑ See <http://www.openaccess.nl/news/429-paying-twice-for-gold#.Uwcm61HNcgM.twitter>

A never-ending story....

What happens when you just add APC costs to subscriptions?



Assumptions

□ Assume:

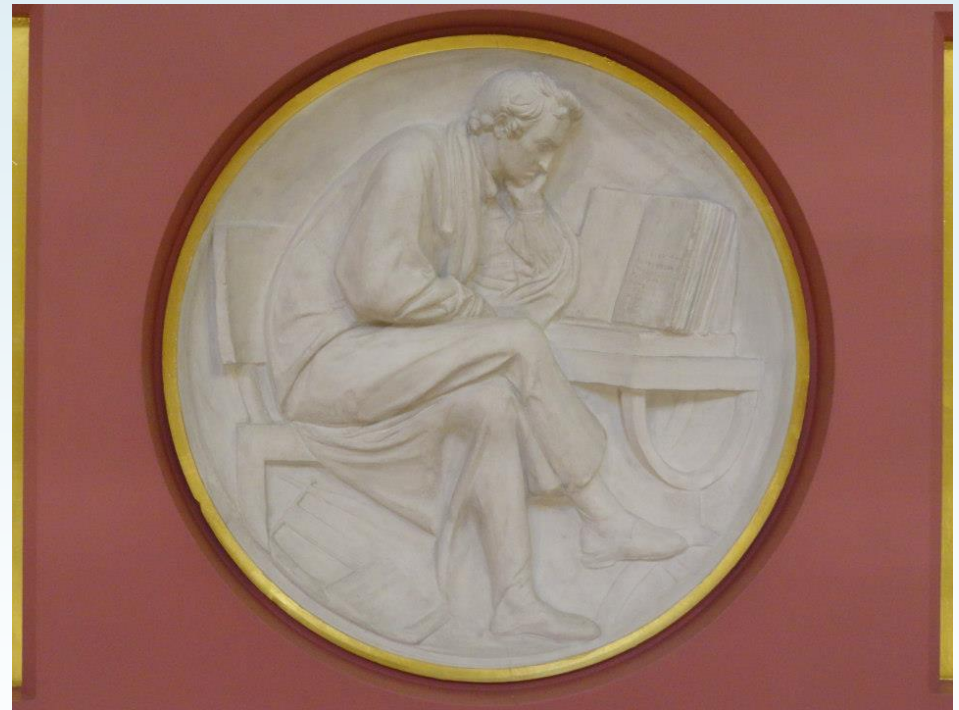
- An Institution spends £20,000 per year in subscription fees with a publisher and applies an annual 3% price increase cap
- The Institution has typically published 11 articles based on RCUK-funded research each year with that publisher
- The publisher's APC is £2,200 per article
- The Institutional compliance with the RCUK mandate is 40% in year 1, 60% in year 2 and 100% year 3 and on

Ways forward on total cost of ownership

- Do nothing
 - always an option (full cost of subscriptions + full cost of APCs)
- Vouchers to spend on APC charges
 - the number of vouchers is based on Institutional Subscription (“Gold for Gold”)
- Vouchers to spend on subscriptions
 - the value of which is based on Institutional spend on APCs
- Uncap subscription prices but reduce cost of APCs to zero
- Traditional subscription, with annual fixed charge for APCs, both capped for annual increases

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Finch Report

Accessibility, sustainability, excellence: how to expand access to research publications



- ❑ Finch Report recommends the Gold route as the directions of travel
 - ❑ <http://www.researchinfonet.org/publish/finch/>

- ❑ *‘a clear policy direction should be set towards support for publication in open access or hybrid journals, funded by APCs, as the main vehicle for the publication of research, especially when it is publicly funded’*

RCUK Policy



- RCUK policy supports both Gold and Green routes to Open Access, though RCUK has a preference for immediate Open Access with the maximum opportunity for re-use
- Funding for Open Access arising from Research Council-supported research will be available through a block grant awarded directly to research organisations
- Covers journal articles and conference proceedings

RCUK Policy



- Embargo periods
 - STEM subjects – 6 months
 - AHSS – 12 months
 - Subject to review in the current review of the RCUK policy
 - PA a member of the Review group
 - Biomedicine – 6 months
 - Longer periods allowable where APC funding is not available
- CC-BY licence recommended
- Institutional or Subject repositories in scope

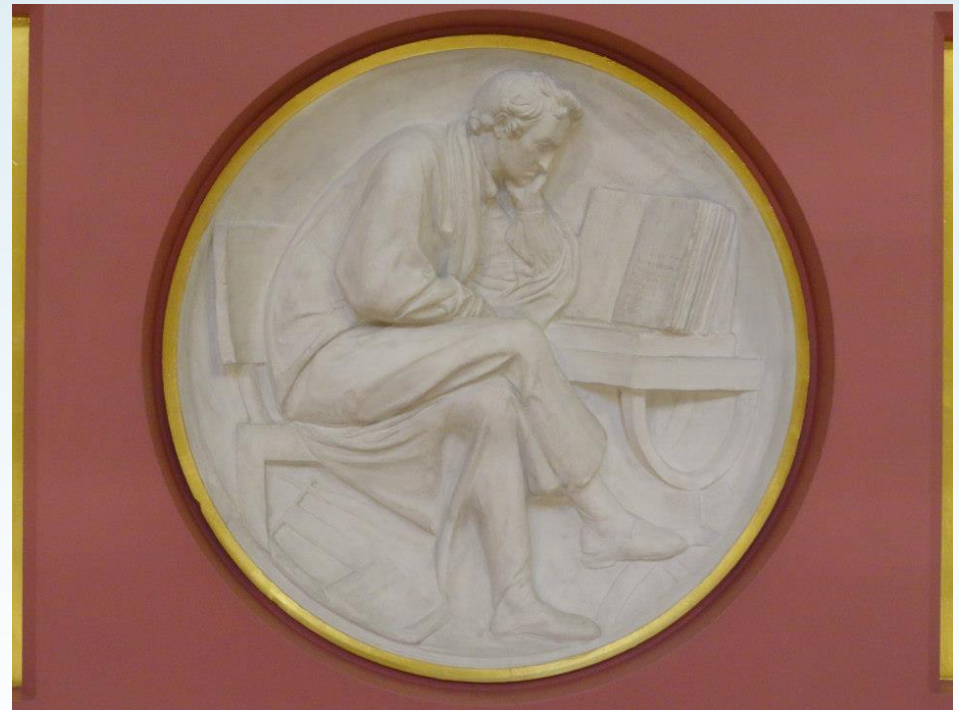
RCUK Policy



- Transition period to OA - 5 years (from 2013)
 - Year 1: 45% of RCUK-funded outputs to be OA
 - Year 2: 53% of funded outputs should be OA
 - By Year 5: 75% of funded outputs should be OA
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- Universities should establish Institutional Publication Funds to manage the RCUK Block Grant and to fund OA for unfunded authors

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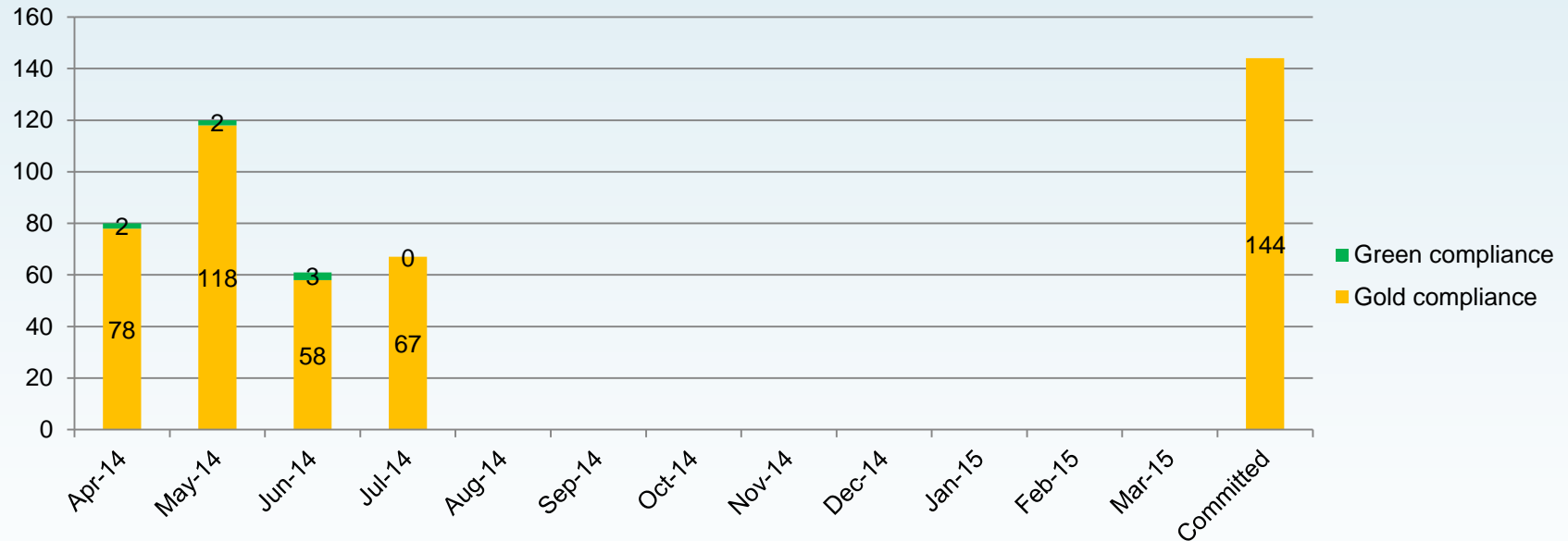


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RCUK Compliance

Target, April 2014 – March 2015: 815 OA papers

Current performance: 472 papers (58% of target)



Year 1 final out-turn: 797 papers (115% against target)

July data incomplete. 'Committed' figure includes known pre-paid APCs yet to be confirmed in publisher reports



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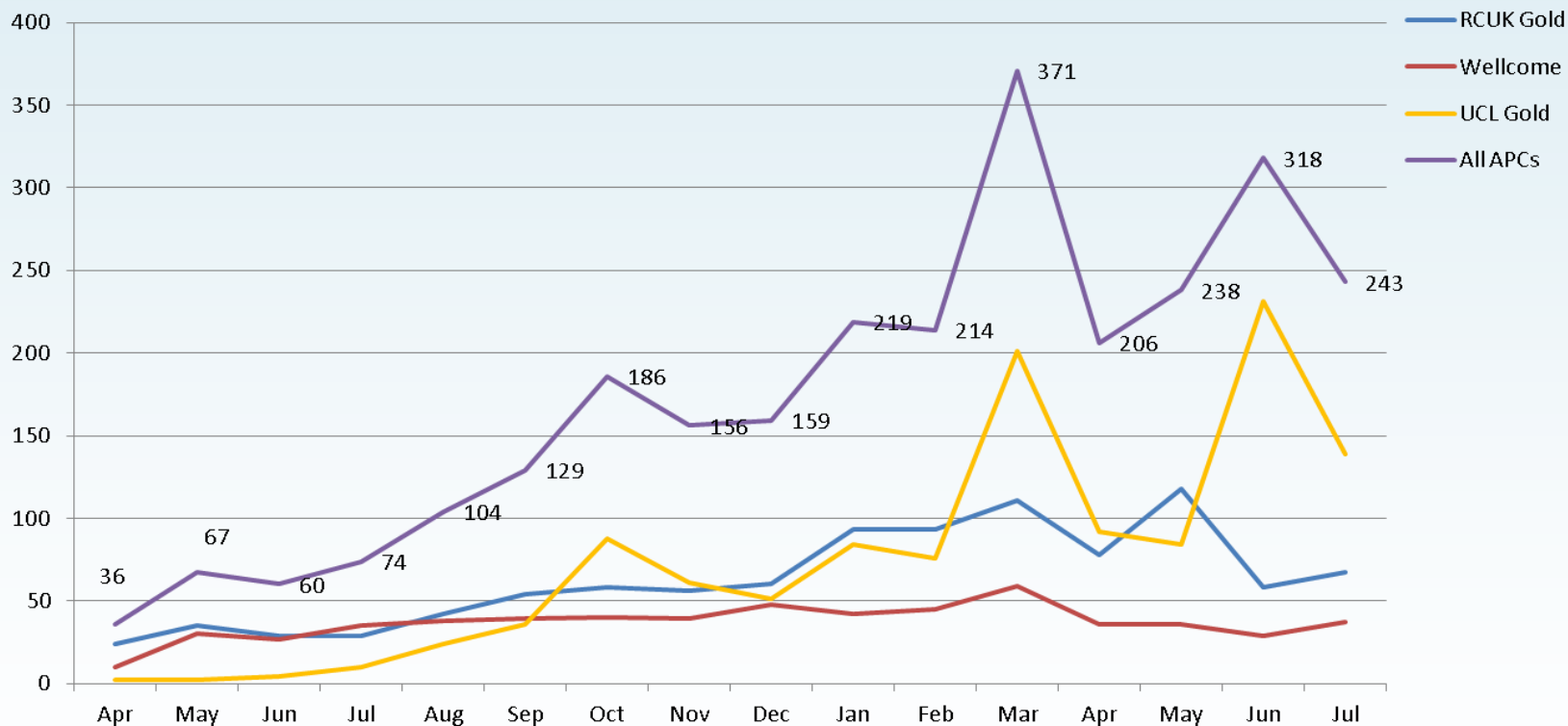
All APCs

3,137 APCs processed since April 2013

RCUK: 1,362

Wellcome: 590

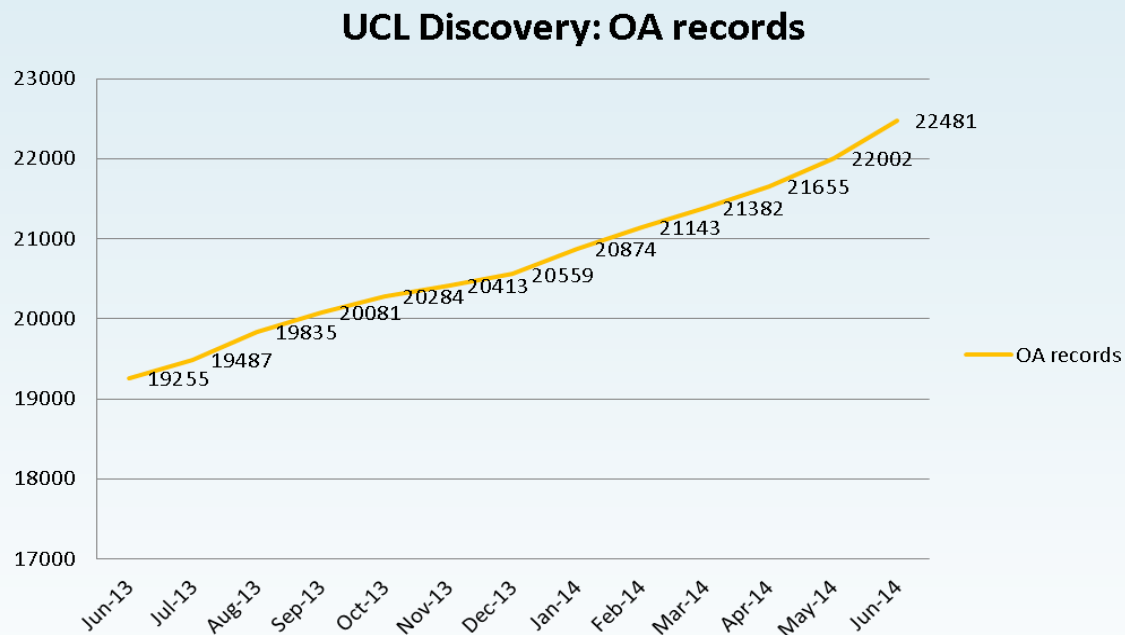
UCL Gold: 1,185



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UCL Discovery: Open Access records



- To end June 2014
- UCL's OA availability via UCL Discovery: 22,481 outputs.

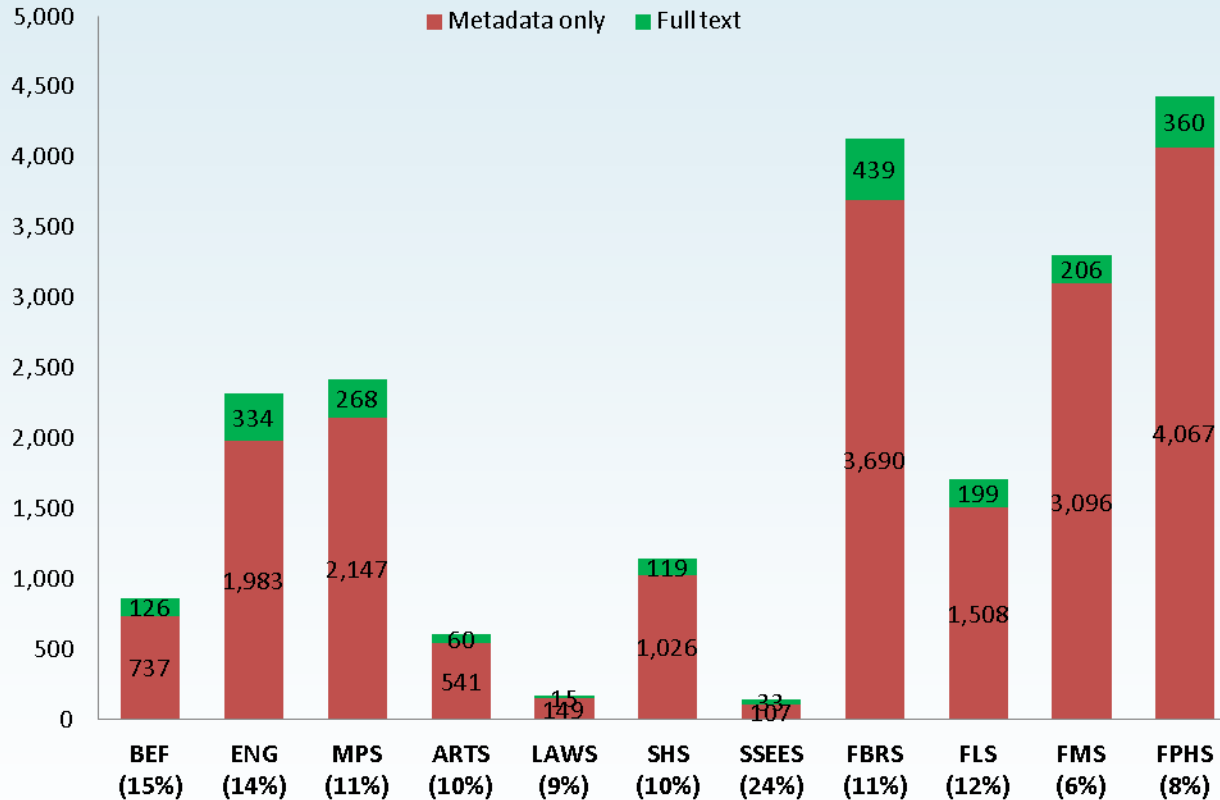
Figures comprise local Green full text, and records with links to externally-held OA full text

UCL Discovery OA coverage, 2011 -

Publication Year	Total records in Discovery	OA records in Discovery	OA records pending	Total OA	OA as % of all records
2011	16,731	2,007	47	2,054	12%
2012	16,428	2,199	75	2,274	14%
2013	16,219	1,796	341	2,137	13%
2014	5,463	496	918	1,414	26%

- Snapshot at 16 July 2014
- Includes OA 'pending', mainly comprising outputs for which Gold APC has been paid, but article is awaiting upload by Library team.
- Recent Gold retro-conversions largely account for current 'pending' backlog

Full text by Faculty, publications 2013-date



Snapshot at 17 July 2014

Excludes theses



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UCL Discovery downloads

Full-text downloads to 17 July 2014

	Q1	Q2	Q3	Q4	Total
2014	430,828	468,646	75,452		
2013	334,159	343,262	320,162	379,428	1,377,011
2012	213,402	245,836	229,864	349,688	1,038,790
2011	146,748	155,152	107,601	175,464	584,965
2010	117,514	133,024	128,924	146,690	526,152

Lifetime downloads (from Feb 08):	4,988,490
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Game Changer



- REF 2020 has set new OA policy
 - <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/>
- Author's peer-reviewed manuscript must be deposited in an institutional or subject repository
 - And no later than 3 months after acceptance
- Applies to journal articles and conference proceedings
- Respect embargo periods set by publishers
- Some exceptions to OA requirement allowed
- CC BY-NC-ND licence recommended

Game Changer



- ❑ Embargo periods should not exceed the following maxima
 - ❑ 12 months for REF Main Panel A and REF Main Panel B
 - ❑ 24 months for REF Main Panel C and REF Main Panel D
- ❑ Any output submitted to the post-2014 REF that falls within the scope of this policy but does not meet its requirements or exceptions will be treated as non-compliant
- ❑ In 2014-15 HEFCE distribute £1.6 billion quality-related research (QR) funding

And finally...

- Thank you for listening
- Happy to hear comments and questions



UCL (University College London)