UK Open Access Policy – Principle and Practice

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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
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/](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 in 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

- Universities should establish Institutional Publication Funds to manage the RCUK Block Grant and to fund OA for unfunded authors
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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
All APCs

3,137 APCs processed since April 2013

- RCUK: 1,362
- Wellcome: 590
- UCL Gold: 1,185
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 -

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

- 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

<table>
<thead>
<tr>
<th>Faculty</th>
<th>Metadata only</th>
<th>Full text</th>
</tr>
</thead>
<tbody>
<tr>
<td>BEF (15%)</td>
<td>737</td>
<td>126</td>
</tr>
<tr>
<td>ENG (14%)</td>
<td>1,983</td>
<td>334</td>
</tr>
<tr>
<td>MPS (11%)</td>
<td>2,147</td>
<td>268</td>
</tr>
<tr>
<td>ARTS (10%)</td>
<td>541</td>
<td>15</td>
</tr>
<tr>
<td>LAWS (9%)</td>
<td>1,026</td>
<td>45</td>
</tr>
<tr>
<td>SHS (10%)</td>
<td>119</td>
<td>145</td>
</tr>
<tr>
<td>SSEES (24%)</td>
<td>3,690</td>
<td>107</td>
</tr>
<tr>
<td>FBRS (11%)</td>
<td>199</td>
<td>439</td>
</tr>
<tr>
<td>FLS (12%)</td>
<td>1,508</td>
<td>3,096</td>
</tr>
<tr>
<td>FMS (6%)</td>
<td>206</td>
<td>812</td>
</tr>
<tr>
<td>FPHS (8%)</td>
<td>4,067</td>
<td>360</td>
</tr>
</tbody>
</table>

**Snapshot at 17 July 2014**  
**Excludes theses**
# UCL Discovery downloads

Full-text downloads to 17 July 2014

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

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

- REF 2020 has set new OA policy
  - [http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/](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