The Open Access Policy Landscape in the UK: Research Funders Policies

27 October 2015
The UK’s Open Access policy landscape

» 85 institutional OA policies
  › Imperial College London, University College London (UCL), University of Bristol, University of Edinburgh, University of Nottingham, etc.
    (see ROARMAP)

» 34 research funders OA policies
  › Public research funders
  › Government departments
  › Non-governmental research funders
    (see SHERPA/JULIET)

Map source: http://www.tradett.com/country_profiles/UK/United_Kingdom.html
UK Open Access policies by research funder type

UK

Public research funders (11)

- Research Councils UK (RCUK) = AHRC, BBSRC, ESRC, EPSRC, MRC, NERC, STFC
- UK Funding Councils = DELNI, HEFCE, HEFCW, SFC

UK government departments (3)

- Chief Scientist Office (CSO)
- Department for International Development (DFID)
- Department of Health (DoH) / National Institute for Health Research (NIHR)

Non-governmental research funders* (20)

- British Heart Foundation, Cancer Research UK, Multiple Sclerosis Society, Wellcome Trust, etc.
Public funders: RCUK’s Open Access policy

- **RCUK’s policy** on open access applies to publication of RCUK funded peer-reviewed articles and conference proceedings.
- Supports both Gold and Green OA but has a preference for **Gold OA**.
- **Block grant** funding for OA publishing available to universities from April 2013 for RCUK-funded research.
- Journey towards full OA is “a process and not a single event” – **transition period** of 5 years towards full implementation of OA policy.
- RCUK is “mindful that the impact of its policy on different disciplinary areas is different and likely to be varied” and has allowed for **different embargo periods** across disciplines.
Public funders: RCUK’s Open Access policy

» RCUK has a preference for **immediate OA** (Gold OA) and recognises a journal as being compliant with their OA policy if:

› The journal provides, via its own website, **immediate** and unrestricted access to the final published version of the article, which should be made available using the Creative Commons Attribution license (**CC BY**)

› And, it allows **immediate deposit** of the final published version in other repositories without restriction on re-use

› This may involve the payment of an **Article Processing Charge** (**APC**) to the publisher to make the article immediately available online
Public funders: RCUK’s Open Access policy

Where a journal does not offer immediate OA option (Gold OA), the journal must allow what is **effectively Green OA**:

- **Deposit** of the final **Accepted Manuscript** in any repository, without restriction on non-commercial re-use and within a defined period.

- Through this model, **no ‘Article Processing Charges’** are paid to the publisher.

- Embargoes of **6 months** between online publication and the article becoming available on open access are allowed (**12 months** for articles in HASS).
The **Funding Councils** policy on open access for post-2014 REF is applicable to:

- **Journal articles** and
- **Conference proceedings** with an ISSN
- Accepted for publication after **1 April 2016**

The policy favours **green** unpaid open access via deposit in a repository

But it also **accepts** immediate open access (**Gold OA**)
For a **research output** to be eligible for the post-2014 REF:

- It must be **deposited** in a repository
- As soon after the point of acceptance as possible, and no later than **three** months after acceptance (1 Apr 2016 - 31 Mar 2017)
- It must be the author’s **accepted and final peer-reviewed** text
- Embargoes of **12 months** for STEM and **24 months** for HASS are allowed
- Bibliographic or **metadata** record must be **discoverable** as soon as possible
- **CC-BY-NC-ND** licenses are recommended
- **Gold** articles must also be deposited (published version)
- Some **exceptions** are allowed (deposit, access, technical)
<table>
<thead>
<tr>
<th></th>
<th><strong>RCUK (link)</strong></th>
<th><strong>Funding Councils (link)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Green OA</strong></td>
<td>Green OA is <strong>accepted</strong></td>
<td>Green is <strong>required</strong></td>
</tr>
<tr>
<td>Deposit date</td>
<td><strong>Immediate</strong> deposit or by the end of policy’s specified embargo</td>
<td>As soon as possible after the <strong>point of acceptance</strong> and <strong>no later than 3 months</strong> after this date (effective date: 1 Apr 2016); Deposit on acceptance requirement (effective date: 1 Apr 2017).</td>
</tr>
<tr>
<td>Version of item to be deposited</td>
<td>Final accepted manuscript/author’s manuscript/author’s accepted manuscript/postprint</td>
<td>Author’s accepted and final peer-reviewed text/accepted author manuscript/final author version/post-print version</td>
</tr>
<tr>
<td>Embargo period</td>
<td>6 months (BBSRC, EPSRC, MRC, NERC, STFC) / 12 months (AHRC, ESRC)</td>
<td>12 months (STEM) / 24 months (HASS)</td>
</tr>
<tr>
<td>License</td>
<td>CC BY (<a href="#">Creative Commons Attribution License</a>)</td>
<td>CC BY NC ND (<a href="#">Attribution + Noncommercial + NoDerivatives</a>)</td>
</tr>
<tr>
<td><strong>Gold OA</strong></td>
<td>Gold OA is <strong>preferred</strong></td>
<td>Gold is <strong>accepted</strong></td>
</tr>
<tr>
<td>APCs</td>
<td>APC payments are available</td>
<td>[no information expressed in policy]</td>
</tr>
<tr>
<td>Fund to pay APCs</td>
<td>Block grants made available to institutions</td>
<td>[no information expressed in policy]</td>
</tr>
<tr>
<td>Embargo period</td>
<td>Embargo periods can apply if there are no funds to cover for APCs: <strong>6 months</strong> (MRC), <strong>12 months</strong> (BBSRC, EPSRC, NERC, STFC), <strong>24 months</strong> (AHRC, ESRC)</td>
<td>[no information expressed in policy]</td>
</tr>
<tr>
<td>License</td>
<td>CC BY</td>
<td>[no information expressed in policy]</td>
</tr>
</tbody>
</table>
UK government and non-governmental research funders Open Access policies

» UK government departments OA policies (CSO, DoH, DFID):
  › Apply to peer-reviewed articles
  › Require deposit of publisher's version and/or author's final version in online repository - EuropePMC (CSO, DoH), R4D (DFID)
  › Authors must ensure open access to the deposited publication within a maximum of 6 months
  › CSO encourages whereas DoH and DFID prefer immediate open access via publication in open access or hybrid journals (Gold OA)

» Non-governmental research funders OA policies (e.g. Wellcome Trust):
  › Apply to peer-reviewed articles
  › 17 funders require and 3 encourage deposit of publisher's version and/or author's final version in online repository - EuropePMC
  › 18 funders require that deposited articles are made available in open access within 6 months
  › 12 funders encourage and 7 require immediate open access through publication of articles in open access or hybrid journals (Gold OA)
UK research funders Open Access policies: challenges

1. Achieving compliance
   › Funding Councils: deposit in repositories
   › RCUK and Wellcome Trust: payment of APCs to publishers for publication in journals

2. Constraining costs
   › Total expenditure on journals by universities and funders (subscriptions + OA)
   › Administrative burden:
     – New workflows for OA, e.g. paying APCs, reporting on compliance
     – New models, e.g. offsetting agreements with publishers

3. Realising the benefits
   › Maximising visibility of research
   › Tracking reach and use and, where possible, impact
UK research funders Open Access policies: outcomes

» Outcomes so far:
  › General increase in the number of peer-reviewed articles available on open access
  › Overall increase in visibility and usage of institutional, subject and funder repositories
  › Some research funders APC funding schemes are increasing the number of peer-reviewed articles that become immediately available on open access

» Future outcomes:
  › Funding Councils Open Access policy will become a requirement for the post-2014 REF assessment: ALL universities will have to comply with it
List of UK non-governmental research funders

» Action on Hearing Loss
» Arthritis Research UK
» Brain Tumour Trust
» Breakthrough Breast Cancer
» Breast Cancer Campaign
» British Heart Foundation
» Cancer Research UK
» Children with Cancer UK
» Dunhill Medical Trust
» Leukaemia & Lymphoma Research
» Marie Curie Cancer Care

» Motor Neuron Disease Association
» Multiple Sclerosis Society
» Myrovlytis Trust
» National Centre for the Replacement, Refinement and Reduction of Animals in Research (NC3Rs)
» Parkinson's UK
» Stroke Association
» Wellcome Trust
» Worldwide Cancer Research
» Yorkshire Cancer Research

For more information on the UK research funders Open Access policies go to SHERPA/JULIET
Open Access Policy Alignment Strategies for European Union Research

Open Access Policy Implementation and Effectiveness

27 October 2015
Open Access policy development and implementation

» PASTEUR4OA supports the development and reinforcement of Open Access policies in alignment with the EC’s Recommendation on Access to Scientific Information and the Open Access Policy for Horizon 2020

» PASTEUR4OA’s activities involve:
  › Establishing a network - Knowledge Net - of national centres of expertise who work collaboratively to monitor and champion an aligned policy environment
  › Perform evidence-based research to inform effective policymaking
  › Develop a programme of engagement aimed at policymakers
  › Create a suite of advocacy resources to be disseminated to policymakers
Open Access policy effectiveness

» PASTEUR4OA study of 120 Universities Open Access policies identified what policy elements that contribute to policy effectiveness:

- Articles must be deposited
- Deposit cannot be waived
- Articles must be made Open Access
- Deposit of articles is linked to research evaluation
- Where the policy stipulates that authors should retain relevant rights, this cannot be waived

» Policies of this type include:
- The University of Liège Open Access policy
- The EC Horizon 2020 Open Access policy
Further information

» **PASTEUR4OA** advocacy resources include:
  › Templates and guidelines for the development of Open Access policies ([link](#))
  › National Open Access case studies ([link](#))
  › Institutional Open Access case studies ([link](#))
  › Brief on Open Access ([link](#))
  › Brief on Article Processing Charges (APCs) ([link](#))
  › Brief on Open Access policy effectiveness for research institutions ([link](#))
  › Brief on Assessing the readiness for Open Access policy implementation across Europe ([link](#))
  › Brief on Research impact measurement in Higher Education ([link](#))
Thank you for listening!

Mafalda Picarra
PASTEUR4OA & OpenAIRE
Project Officer

mafalda.picarra@jisc.ac.uk
www.pasteur4oa.eu