

Open Access Policy Alignment Strategies
for European Union Research

PASTEUR40A



**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

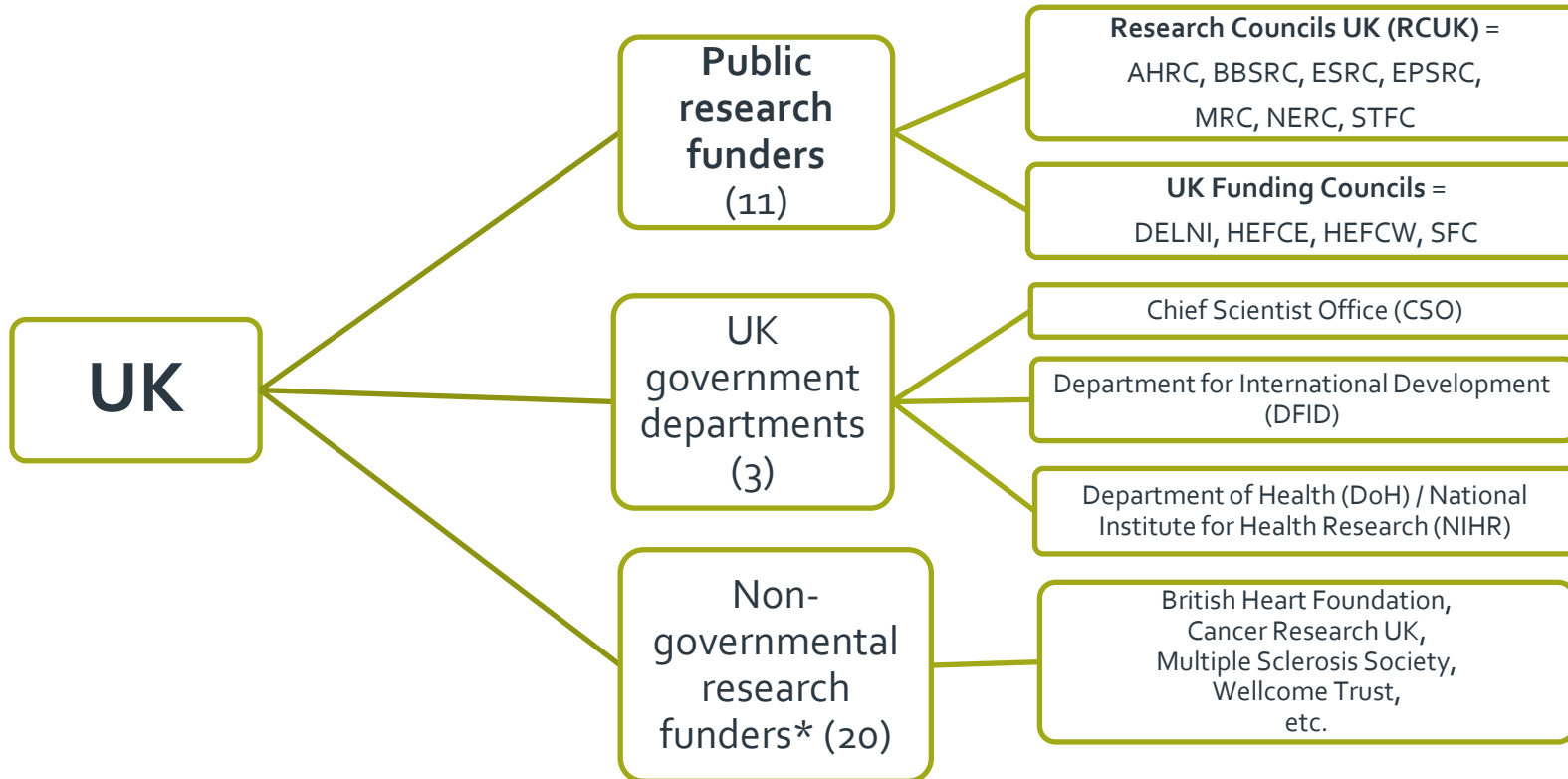
- » Public research funders
- » Government departments
- » Non-governmental research funders

(see [SHERPA/JULIET](#))



Map source: http://www.tradett.com/country_profiles/UK/United_Kingdom.html

UK Open Access policies by research funder type





- » 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

- » 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

- » 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)

Similarities and differences between public funders policies

	RCUK (link)	Funding Councils (link)
Green OA	Green OA is accepted	Green is required
· Deposit date	Immediate deposit or by the end of policy's specified embargo	As soon as possible after the point of acceptance and no later than 3 months after this date (effective date: 1 Apr 2016); Deposit on acceptance requirement (effective date: 1 Apr 2017).
· Version of item to be deposited	Final accepted manuscript/author's manuscript/author's accepted manuscript/ postprint	Author's accepted and final peer-reviewed text/accepted author manuscript/final author version/post-print version
· Embargo period	6 months (BBSRC, EPSRC, MRC, NERC, STFC) / 12 months (AHRC, ESRC)	12 months (STEM) / 24 months (HASS)
· License	CC BY (Creative Commons Attribution License)	CC BY NC ND (Attribution + Noncommercial + NoDerivatives)
Gold OA	Gold OA is preferred	Gold is accepted [requirement to deposit gold OA outputs in repositories]
· APCs	APC payments are available	[no information expressed in policy]
· Fund to pay APCs	Block grants made available to institutions	[no information expressed in policy]
· Embargo period	Embargo periods can apply if there are no funds to cover for APCs: 6 months (MRC), 12 months (BBSRC, EPSRC, NERC, STFC), 24 months (AHRC, ESRC)	[no information expressed in policy]
· License	CC BY	[no information expressed in policy]

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)

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

» 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](#)

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Open Access Policy Implementation and Effectiveness

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- » 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

» 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

» 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!

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