The University of Edinburgh

Library Committee

5 December 2012

Agendum 5 (Paper B)

Implementing RCUK Policy on Open Access

Brief description of the paper

This paper gives a summary report on the Research Councils UK new policy concerning access to research outputs. This paper outlines the programme to implement this policy, and covers both the pump priming transitional payment, and the first year of the block grant, up until the end of 2013.

Action requested

For information.

Resource implications

See report for full implications, including costings break-down and block grant income.

Risk Assessment

There is no risk assessment included in this report.

Equality and Diversity

Does the paper have equality and diversity implications? No

Freedom of Information

Can this paper be included in open business? Yes

Originator of the paper

Stuart Lewis - Head of Digital Library (Library & Collections, Information Services)
John Scally – Director of Library and Collections (Information Services)
December 2012
Implementing RCUK Policy on Open Access

Background
The Research Councils UK (RCUK) have published a new policy concerning access to scholarly research outputs in peer-reviewed journals. The policy comes into effect on 1st April 2013, and states that RCUK “expect authors of research papers to maximise the opportunities to make their results available for free”. This is achieved via one of two routes:

- **The Gold route:** Publish as normal, but with the payment of an Article Processing Charge (APC) directly to the publisher to make the paper freely available to all readers through their normal publishing channel (e.g. publisher website). APC charges typically fall between £1,000 and £2,500, with an average of £1741. Papers published this way must be licenced with a Creative Commons By Attribution licence (CC-BY) that allows unhindered access to the paper for any purpose provided that correct attribution is used. CC-BY allows commercial reuse.

- **The Green route:** Publish as normal, but deposit a copy of the final peer-reviewed manuscript into the University’s open access PURE Research Explorer portal. Publishers often allow this, subject to a six or twelve month embargo period. Papers published this way must be licenced with a Creative Commons By Attribution Non Commercial licence (CC-BY-NC) that allow unhindered access to the paper for non-commercial use, provided that correct attribution is used.

It should be noted that the majority of publishers provide RCUK compliant policies, and therefore papers can be published in the same publications as they have traditionally been.

In support of this requirement, the RCUK has provided the university with an initial pump-priming grant of £609,000 to assist in the development of new or revised local policies, new workflows, and systems that will prepare the University to begin compliance with the new policy from 1 April 2013. The pump-priming grant will be followed by annual block grants of £830,000 in 2013/14 and £977,000 in 2014/15 to be used specifically for the payment of APCs for RCUK funded or partially funded peer-reviewed scholarly outputs in journals.

The RCUK is adopting a phased approach towards full compliance over the coming five years. During this period, it is expected that the number of RCUK funded peer reviewed outputs will be published as follows:

<table>
<thead>
<tr>
<th>Year</th>
<th>2013/14</th>
<th>2014/15</th>
<th>2015/16</th>
<th>2016/17</th>
<th>2017/18</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gold</td>
<td>45%</td>
<td>53%</td>
<td>60%</td>
<td>67%</td>
<td>75%</td>
</tr>
<tr>
<td>Green</td>
<td>?%</td>
<td>?%</td>
<td>?%</td>
<td>?%</td>
<td>25%</td>
</tr>
</tbody>
</table>

2 £1741 is the average paid in the biomedical area, calculated using average APC amounts paid for papers funded by the Wellcome Trust
3 The RCUK state 25% in year 5 – years 1 to 4 are undefined
A Proposed Plan for the University to Address the RCUK Policy on Access to Peer-Reviewed Journal Outputs

This paper outlines a proposed programme to implement this policy, and covers both the pump priming grant, and the first year of the block grant, up until the end of 2013.

Scope

On average the university publishes over 4,000 peer reviewed papers per year, where the first named author is affiliated with the University of Edinburgh. However, the seven research councils comprising RCUK only fund between a quarter and a third of this total number. It is only the proportion funded by the RCUK that are covered by this policy. Other funders will have to develop their own response to the UK Government’s adoption of the Finch Review as its policy on access to scholarly research outputs. This implementation plan assumes 1,300 Edinburgh University scholarly outputs fall under the policy and therefore need to move towards compliance after 1 April 2013.

Block Grant Size

The size of block grant that the university will receive is £830,000 in year one (2013/14), and £977,000 in year two (2014/15). It is important to understand whether this is enough to cover the requirements of the RCUK policy:

<table>
<thead>
<tr>
<th>Year</th>
<th>One (2013/14)</th>
<th>Two (2014/15)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Block Grant</td>
<td>RCUK grant: £830,000</td>
<td>RCUK grant: £977,000</td>
</tr>
<tr>
<td></td>
<td>20% UoE contribution: £207,500</td>
<td>20% UoE contribution: £244,250</td>
</tr>
<tr>
<td>Estimated UoE Spend to fulfil RCUK requirements</td>
<td>1,300 papers @ £1,741: £2,263,300</td>
<td>1,300 papers @ £1,741 = £2,263,300</td>
</tr>
<tr>
<td></td>
<td>45% Gold compliance: £1,018,485</td>
<td>53% Gold compliance: £1,199,549</td>
</tr>
<tr>
<td></td>
<td>80% RCUK grant: £814,788</td>
<td>80% RCUK grant: £959,639</td>
</tr>
<tr>
<td></td>
<td>20% UoE contribution: £203,697</td>
<td>20% UoE contribution: £239,909</td>
</tr>
</tbody>
</table>

Based on these estimates, the RCUK block grants for both year one and year two are sufficient to cover the 45% and 53% Gold requirements.

Implementation Programme – Pilot (to April 2013)

A draft plan was submitted to the RCUK in October 2012 regarding plans to spend the £609,000 allocation provided to the university. The initial plan was based on an all-Green approach, however an alternative option could be taken with a hybrid Green/Gold approach that introduces an element of spend on APCs.
Programme Plan
The slide on page two outlines that overall programme of activities throughout the pilot phase. It includes the following activities:

- **RCUK**: Policy on Access to Research Outputs
- **Research Policy Group**:
  - Establish an Open Access Governance Group to oversee this and other OA initiatives
  - OA Governance Group to revise existing university publications policy
  - Develop RCUK Gold Fund ‘access criteria’ to describe which papers can be funded by the RCUK fund
- **ERI**: Provide RCUK grant and eligibility information to Information Service Open Access Programme, and to grant holders
- **Information Services**:
  - Employ an Open Access Programme Manager (Grade 7) and Assistant (Grade 5) to lead, advise, monitor, and report on the programme. In addition these staff will provide advocacy training to college staff.
  - Subscribe to Open Access Membership schemes to lower the cost of publishing with Gold publishers (such as BioMed Central, PLOS ONE).
  - Employ technical developers to work with PURE and the Research Explorer portal to ensure the best use of the Gold and Green information it contains.
- **GaSP and Information Services**: Fund Atira to undertake further development on PURE to ensure that it works effectively and efficiently to collect and present Green and Gold information for open access purposes, and for internal and RCUK reporting requirements.
- **Colleges**: Employ temporary project staff to work with authors to upload existing publications to populate PURE with a back catalogue of the University’s publications.

Implementation Programme – May 2013 onwards
There are different models that could be used for allocating resources from the RCUK block grants to fund Gold APCs. One is to award this on a pro-rata basis as a bonus to all RCUK award holders. Another is to follow the RCUK guidance and create an institutional publication fund. These options will be discussed by the Research Policy Group (and its Open Access Implementation sub-group). However, it seems fairly clear that RCUK expect all Universities in receipt of an APC block grant to hold it in a central publication fund to aid compliance monitoring and reporting back to RCUK. In addition, RCUK intend to publish a list of all scholarly outputs which it funds, including details of the APCs that have been paid, on its website in order to demonstrate to government that it is complying with the Finch Review recommendations.

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4 University of Edinburgh Publication Policy: [http://www.ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/research-publications](http://www.ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/research-publications)
**Related Issues**

Included in the RCUK Policy on the access to research outputs are requirements related to the area of Research Data Management, and to the acknowledgement of funding. Of particular note is:

- Papers must include details of the funding that supported the research, and a statement on how the underlying research materials – such as data, samples or models – can be accessed.

RCUK will now mandate that all authors acknowledge the research councils as the source or part source of the funding for their research. This policy was introduced a few years ago though compliance was uneven. It will now be mandated from 1 April 2013. The RCUK suggest following the guidance from the Research Information Network (RIN) regarding ‘Acknowledgement of funders in journal articles’.

This will require the development and provision of a university data asset register. This intersects with the University’s research data initiative and is included in the programme of work described in the Research Data Management Roadmap.

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30th November 2012

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Implementation Programme Outline

Policy support: Establish Open Access Governance Group
Revise existing Publications Policy

Good practice: University of Edinburgh Open Access Programme

RCUK Gold APC Fund & Subscriptions to Open Access Membership Schemes

RCUK Policy on Access to Research Outputs

Research Data Management Steering Group

Colleges
Library & Academic Computing Committee
10 December 2012
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