RCUK OA Policy: Insights from independent review of implementation

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E·S·R·C ECONOMIC & SOCIAL RESEARCH COUNCIL

bbsrc biotechnology and biological sciences research council

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MRC Medical Research Council

EPSRC Engineering and Physical Sciences Research Council

NERC SCIENCE OF THE ENVIRONMENT

Science & Technology Facilities Council

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Why 'open' ?

- Public good agenda.
- Support for innovation and growth:
  - remove barriers to access;
  - get the stuff out there and get it used.
- Research transparency and integrity.
- Expectations of a digital age.
- Data intensive science.

The challenges of research in a digital age

Life was so much simpler in the 'good old days'

Laurentius de Voltolina - Liber ethicorum des Henricus de Alemannia
See: http://commons.wikimedia.org/wiki/File:Laurentius_de_Voltolina_001.jpg

The digital & networked world is a real game changer

- Expectations and opportunities have changed.
- We are in a world where:
  - The expectation is 'I want it now and I want it for free';
  - Anybody can 'publish' anything on the web;
  - People expect to develop services based on other people's material;
  - Experts have to earn trust.
- Funders are responding to these drivers.

RCUK Policy in a nut-shell

- Authors must publish in RCUK Open Access compliant journals.

- Journal achieves compliance through:
  - Gold CC-BY, else
  - Green, 6(12) months embargo, author accepted manuscript, CC-BY-NC or equivalent.

- RCUK preference is for Gold, though choice is with authors and their institutions.

- Five year transition to 75% Gold.

- Longer 12(24) month embargo in transition.

Compliance and block grant

	Year-1	Year-2	Year-3
% compliance	45% (√)	53% (?)	60% (?)
APC fund	£17M	£20M	£23M
Potential gold	10k	12k	14k

Future funding depends on OA review and CSR

Initial year-5 target 100% compliance

75% Gold to 25% Green.

Flexibility on how OA funding spent

- RCUK provide flexibility on how block-grant spent:
    - Expectation that primarily for payment of APCs;
    - Has also been spent on repository development, staff for advocacy and training etc;
    - Up to institutions to decide, provided can justify that the spend helps deliver the requirements of RCUK OA policy;
    - Innovative activity encouraged eg flip-deals, support of HEI press etc - provided institution can justify this delivers policy requirements.

How much OA?

- Expectation for year-1 of 45%
  (mix of green and gold).

- Many institutions 'seem' to have achieved this
  (though data are sparse / estimated).

- Will be reviewing year-2 data closely to see if 53%
  target met and if OA funds are being spent
  effectively.

- Year-2:
  - Reporting period: August 2014 to July 2015;
  - Report by September 2015.

2014 Independent Review

- Report to be published week beginning 23 March.
- RCUK will formally respond to recommendations.

- Key issues from the evidence provided to RCUK:
  - The administrative cost of implementing OA;
  - Confusion and miscommunication over many aspects of policy and its implementation;
  - Many institutions don't have data on publications they produce.
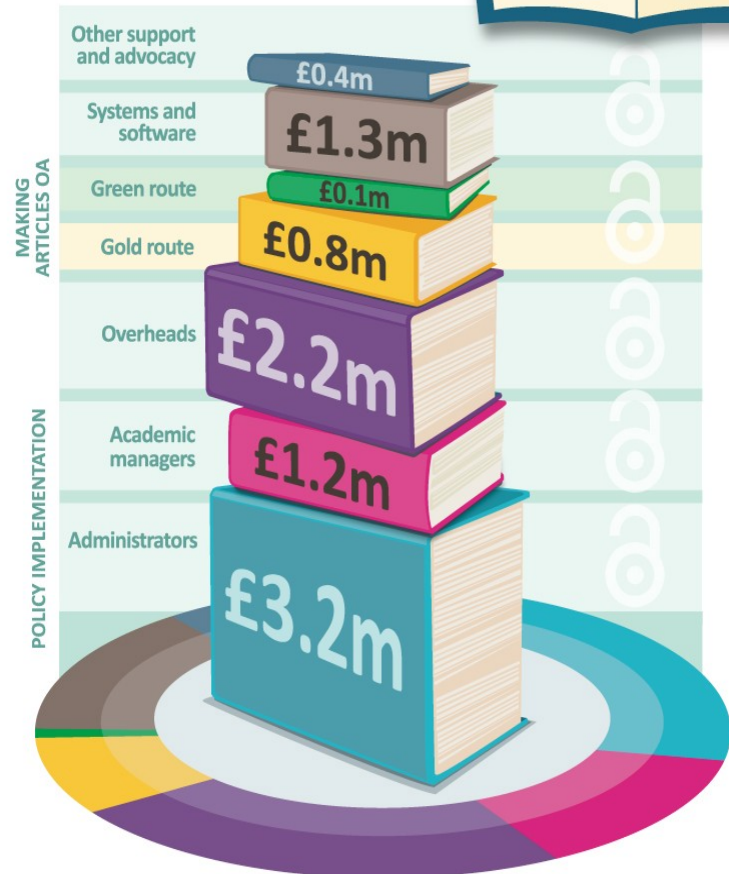
The administrative cost of implementing OA

- Effort to gather necessary compliance data.
- Some organisations had to re-construct outputs data.
- Time spent providing advice and guidance.
- Time spent dealing with publishers.

Compliance Cost of the RCUK Open Access Policy

A Snapshot of Costs to UK Research Organisations in 2013/14

£9.2 MILLION

MAKING ARTICLES OA
- Other support and advocacy — £0.4m
- Systems and software — £1.3m
- Green route — £0.1m
- Gold route — £0.8m

POLICY IMPLEMENTATION
- Overheads — £2.2m
- Academic managers — £1.2m
- Administrators — £3.2m

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Can dispute the exact figures.

However, need to reduce the costs.

Confusion and miscommunication

What exactly is the RCUK OA policy?

Is this journal compliant?

What monitoring data are required?

How can the block grant be used?

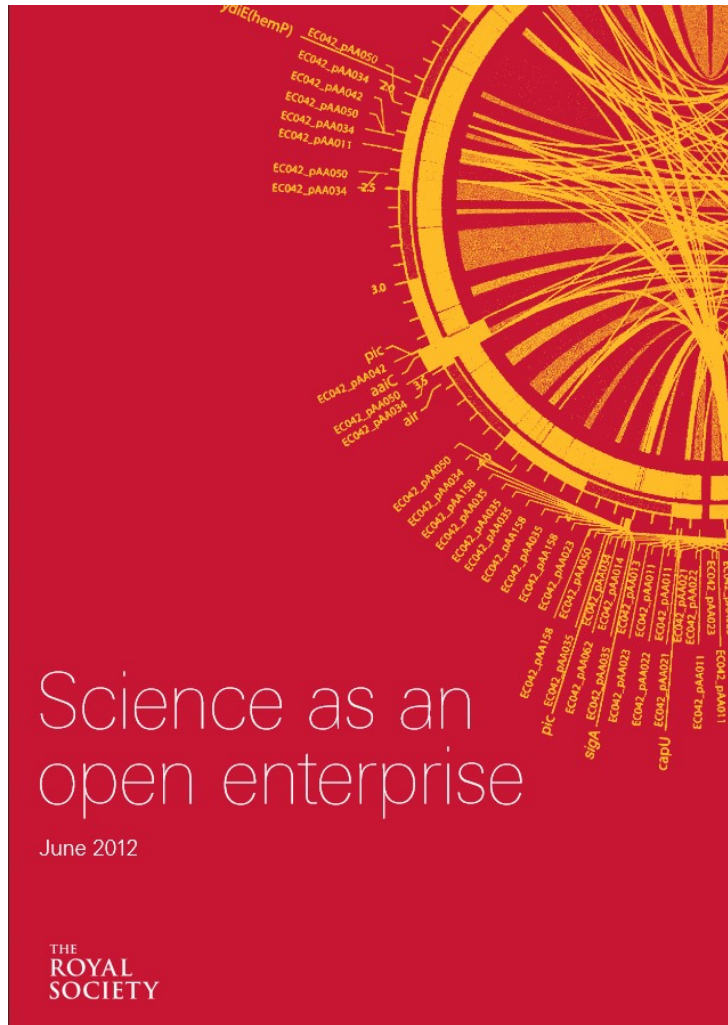Why is RCUK different from the REF policy?

Need to reduce the admin burden

- More efficient payment of APCs.
- Easier ways to measure compliance.
- Better ways of reporting block grant spend.

- Support for:
  - JISC Monitor;
  - RIOXX;
  - CASRAI OA reporting workgroup.

Looking ahead

- Great majority of journals *are* compliant with RCUK OA policy:
  - Misplaced concern with non-compliance. Monitoring is at institutional level, not article level, so it's not individual decisions but their cumulative effect that matters;
  - More focus on repository deposit.
- Consistent and significant underspend of block grant and/or other indications of systemic 'non-compliance' could be cause for serious concern…

QUESTIONS ?