

# Open Access and UK universities: an introduction

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# Open Access definitions

## 1. Budapest Open Access Initiative (2002)

"By '**open access**' to [the **peer-reviewed journal literature**] we mean its **free availability** on the public **internet**, permitting any users to **read, download, copy, distribute**, [...] the full texts of these articles [...] **without financial, legal, or technical barriers** other than those inseparable from gaining access to the internet itself. The only constraint [...] and **the only role for copyright** [...] should be to give authors control over the integrity of their work and **the right to be properly acknowledged** and cited."

# Open Access definitions

## 2. RCUK (2012)

- Open access is “unrestricted, on-line access to peer-reviewed and published research papers. Specifically a user must be able to do the following free of any access charge:
  - Read published papers in an electronic format
  - Search for and re-use the content of published papers both manually and using automated tools... provided that any such re-use is subject to full and proper attribution...”

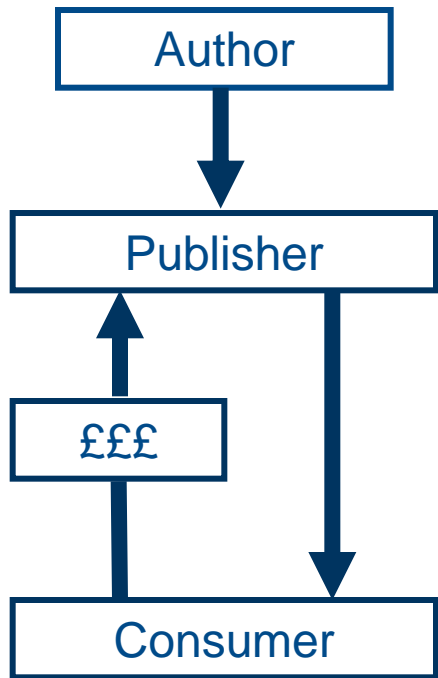
# Some OA terms



- APC = Article Processing Charge
- CC = Creative Commons licence
  - CC-BY = licence permitting any commercial or non-commercial re-use, requiring only attribution to author
  - CC-BY-NC = as above but “non-commercial” (excluding commercial re-use)
  - CC-BY-NC-ND = as above but also “non-derivative” (permitting no alteration, transformation, or building on the work)
- Repository = an online store for the deposit, management, dissemination and preservation of digital files (may be institutional or disciplinary)
- “Gold” and “Green” OA publishing...

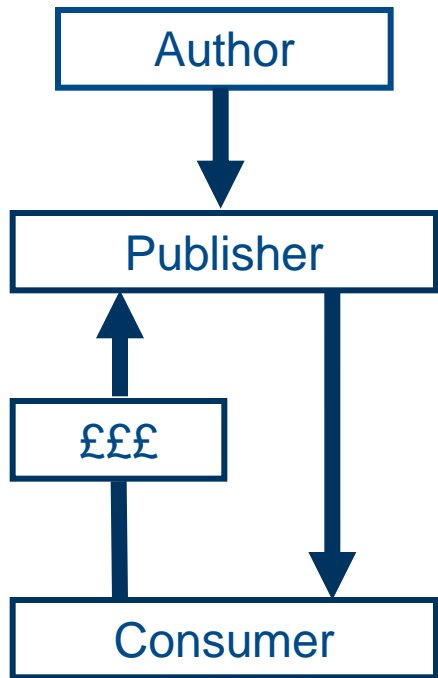
# Publishing models

## Traditional

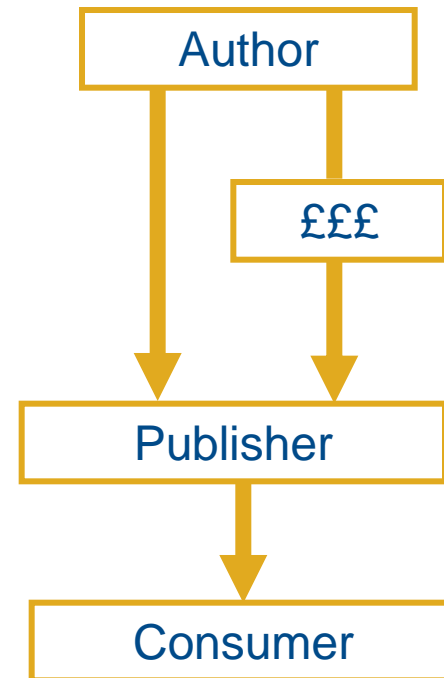


# Publishing models

## Traditional



## Gold Open Access



# “Green” self-archiving

- The author (or agent) deposits copies of pre-prints and/or published papers in a digital institutional or disciplinary repository
- The repository is Internet-accessible via Google etc. and conforms to metadata standards
- Papers are freely available to all and licensed for re-use
- Papers may be subject to an embargo before becoming accessible

# Open Access publishing

- Pure OA journals
  - e.g. PLoS (Public Library of Science), BMC (Biomed Central),
- Hybrid OA/conventional journals
  - e.g. SpringerOpen, Wiley-Blackwell OnlineOpen, Maney MORE OpenChoice
- OA books
  - e.g. Bloomsbury Academic, Open Book Publishers, SpringerOpen



# The “Academic Spring” of 2012

- Increased media focus on OA
- Individual academic campaigns against existing subscription system
- Public backlash in US against proposed anti-OA legislation
- Widespread acceptance of the principle that “free and open access to the outputs of publicly-funded research offers significant social and economic benefits”
- Government’s “transparency” agenda

# The Finch Report

- Commissioned by David Willetts in October 2011
- Group chaired by Dame Janet Finch (Univ of Manchester)
- 14 members representing universities, learned societies, librarians, publishers, funders
- Task: “to develop a model, which would be both effective and sustainable over time, for expanding access to the published findings of research”
- Reported 19 June 2012
- Recommendations immediately accepted in full by Willetts

# Finch recommendations

- Research should be published in OA or hybrid journals, funded by APCs (= Gold OA publishing)
- RCUK & other public sector funders should improve arrangements to meet the costs of publishing in OA and hybrid journals
- Policies should minimise restrictions on (a) rights of use and re-use, especially for non-commercial purposes, and (b) the ability to use tools and services to organise and manipulate text and other content
- Further work should be undertaken to experiment in OA publishing for scholarly monographs
- Disciplinary & institutional repository infrastructure should be developed to complement formal publishing, especially for data & grey literature

# RCUK OA policy

- RCUK issued new Finch-based OA policy & guidance on 16 July 2012
- Applies only to papers submitted for publication from 1 April 2013
- Applies only to peer-reviewed research articles and conference proceedings (not monographs) that acknowledge RCUK
- Supports both Gold and Green OA options but with a preference for Gold (= immediate access and maximum opportunity for re-use)
- Preferred Green embargos: max. 6 months (STEM) & 12 months (A/H/SS) – but 12 /24 months are acceptable during transition period
- Funding for OA costs (APCs, page charges, etc.) arising from RCUK-funded research will be provided through block grants to universities
- 5-year “journey” to OA with reviews of progress in 2014 and later

# Compliance with RCUK OA policy

- Researchers are expected to publish in journals that are compliant with RCUK's OA policy
- A journal is compliant if it provides a Gold OA option, including the CC-BY licence. This may involve payment of an APC to the publisher.  
or
- The journal permits the final accepted manuscript to be deposited in any repository, without restriction on non-commercial re-use and with a defined period. No APC will be payable to the publisher.
- *“The choice of route to OA remains at the discretion of the researchers and their research organisations” (RCUK Guidance, 8/4/13)*
- Universities required to submit annual reports on compliance (target is 45% compliance in year 1)

# Other developments

- Transitional funding awarded by BIS to help universities prepare
- HEFCE endorsed RCUK policy and approved QR expenditure to supplement RCUK funding
- Wellcome Trust modified its OA policy to include monographs
- House of Lords Sci & Tech Select Cttee enquiry criticised RCUK for inadequate consultation
- BIS Select Cttee enquiry in progress
- RCUK modified its guidelines twice (but not its policy)
- HEFCE launched consultation on “OA and Submission of Outputs to a post-2014 REF”

# Library issues

- OA as an antidote to journal price increases?
- Potential long-term savings v extra short-term costs
- Predatory publishers (“double-dipping” in hybrid journals, discount deals, APC inflation, licence charges)
- Repository management
- Library role in OA grant administration

# Points for further discussion

- Freedom of choice in selecting a journal
- Disciplinary differences (formats, embargoes, licences)
- Internal university procedures for admin of OA funds
- What happens if the block grant runs out?
- RCUK-funded papers submitted before 1 April 2013
- University policy for research papers not funded by RCUK
- Multiple authors (all UK or UK + international)
- Open data
- Freedom to retain/assign copyright
- “Modernising Copyright” and content-mining rights
- Other countries' OA policies (esp. EU, USA)