

# Open Access Publishing and Research Evaluation: new roles for research libraries

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1. UK Context
2. Gold APCs
3. HEFCE Policy developments
4. University Presses
5. Conclusions



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## Context

- ❑ [Finch Report](#) (2012) painted a future for Gold OA for British research outputs
- ❑ Report was accepted by David Willetts, Minister of State for Universities & Science
- ❑ [RCUK policy](#) (2012) also showed a preference for Gold OA outputs



Responding to the Finch report, science minister David Willetts said the UK could lead the way on open access to scientific research. Photograph: Chris Radburn/PA



## Policy positions

### Finch Report

- ❑ Clear policy direction should be set towards support for publication in open access or hybrid journals, funded by APCs, as the main vehicle for the publication of research, especially when it is publicly funded



- ❑ The Research Councils UK (RCUK) policy supports both 'Gold' and 'Green' routes to Open Access, though RCUK has a preference for immediate Open Access with the maximum opportunity for re-use



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## Strategy

- ❑ UCL OA strategy at <http://www.ucl.ac.uk/library/open-access/>
- ❑ Cost of APCs should not be a barrier to OA publication
- ❑ UCL has OA mandate at <http://www.ucl.ac.uk/library/publications-policy.shtml>
- ❑ Monies from
  - ❑ UCL Research budget
  - ❑ RCUK, Wellcome, ERC
- ❑ Managed by UCL Library Services

## OPEN ACCESS at UCL

[open-access@ucl.ac.uk](mailto:open-access@ucl.ac.uk)



## Policy Developments

- ❑ Main stumbling block to Gold OA is cost of APC (Article Processing Charges)
- ❑ Finch estimated average APC as £1450 per article
- ❑ Government now (31/1/14) calls for publishers to reduce subscription rates at institutional level

### Willets calls for publisher offsetting to encourage open access

31 JANUARY 2014 | BY PAUL JUMP

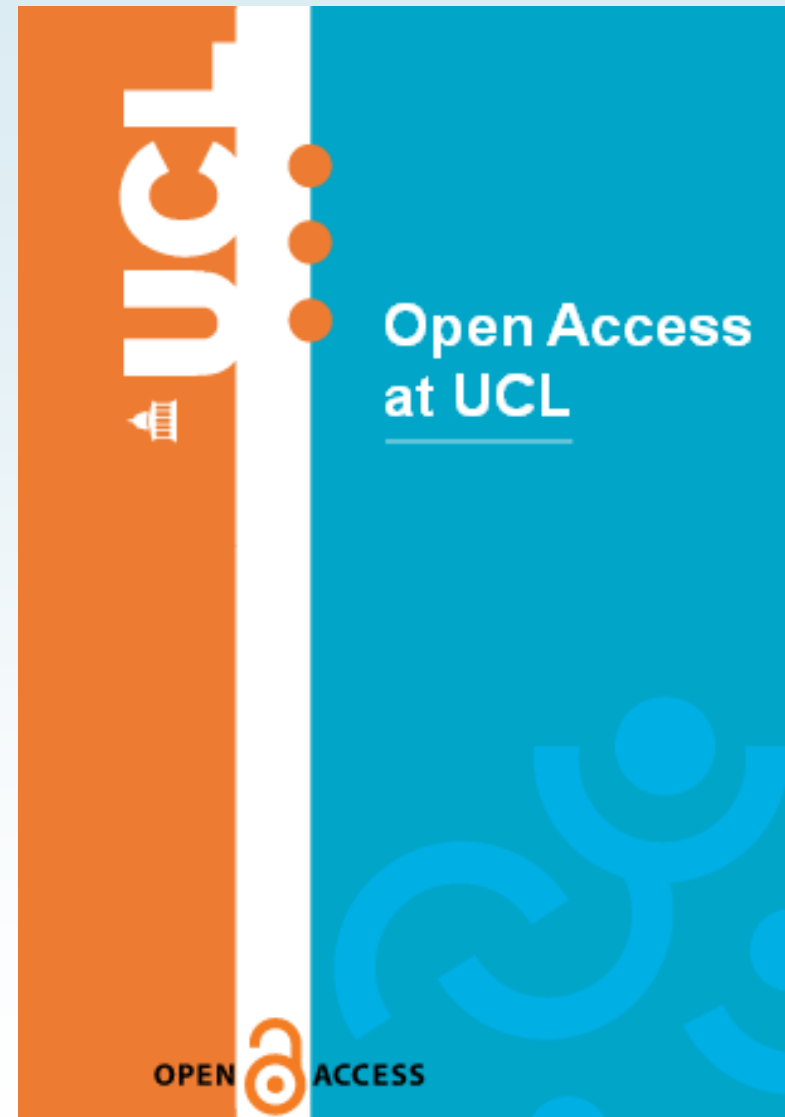
Publishers should encourage adoption of gold open access by reducing individual universities' subscription charges as they pay more in article fees.





## Who pays?

- Funders
- UCL
- Decision Tree at <http://www.ucl.ac.uk/library/open-access/> plots path for individual researchers
- General OA Guide also available



## APC payments

- ❑ JISC Collections trialling a shared service to UK universities
- ❑ OAK will manage OA funds held in universities
- ❑ And payments for APCs for Gold OA publishing

### Jisc APC pilot project



Jisc APC aims to provide a pilot service for UK higher education institutions and relevant publishers in the area of managing Gold OA article processing charges. The development of an online administration platform will enable universities, researchers, funders and publishers to manage APCs. The service is being led by Jisc Collections and delivered in partnership with **Open Access Key (OAK)**, with OAK providing the underlying technical infrastructure and customer service, and JISC Collections managing all aspects of the payment cycle; this will include securely holding funds for institutions, making timely payments to publishers and providing the financial reports designed to help manage funds effectively, as well as publisher engagement and participation.

# RCUK workflow process

## RCUK open access process (excluding MRC-funded articles)

[open-access-funding@ucl.ac.uk](mailto:open-access-funding@ucl.ac.uk)



UCL member of staff or research postgraduate submits an article based on research funded in whole or in part by RCUK

Is article peer-reviewed research article (including non-commissioned review articles) or proceedings paper?

No

There is no open access requirement. If you would like Gold open access (see below), UCL can fund the article processing charge. Otherwise, submit the article to [UCL Discovery](#) if the publisher permits

Yes

Consider whether you prefer the Gold or Green route. If the journal is fully open access, follow Gold.

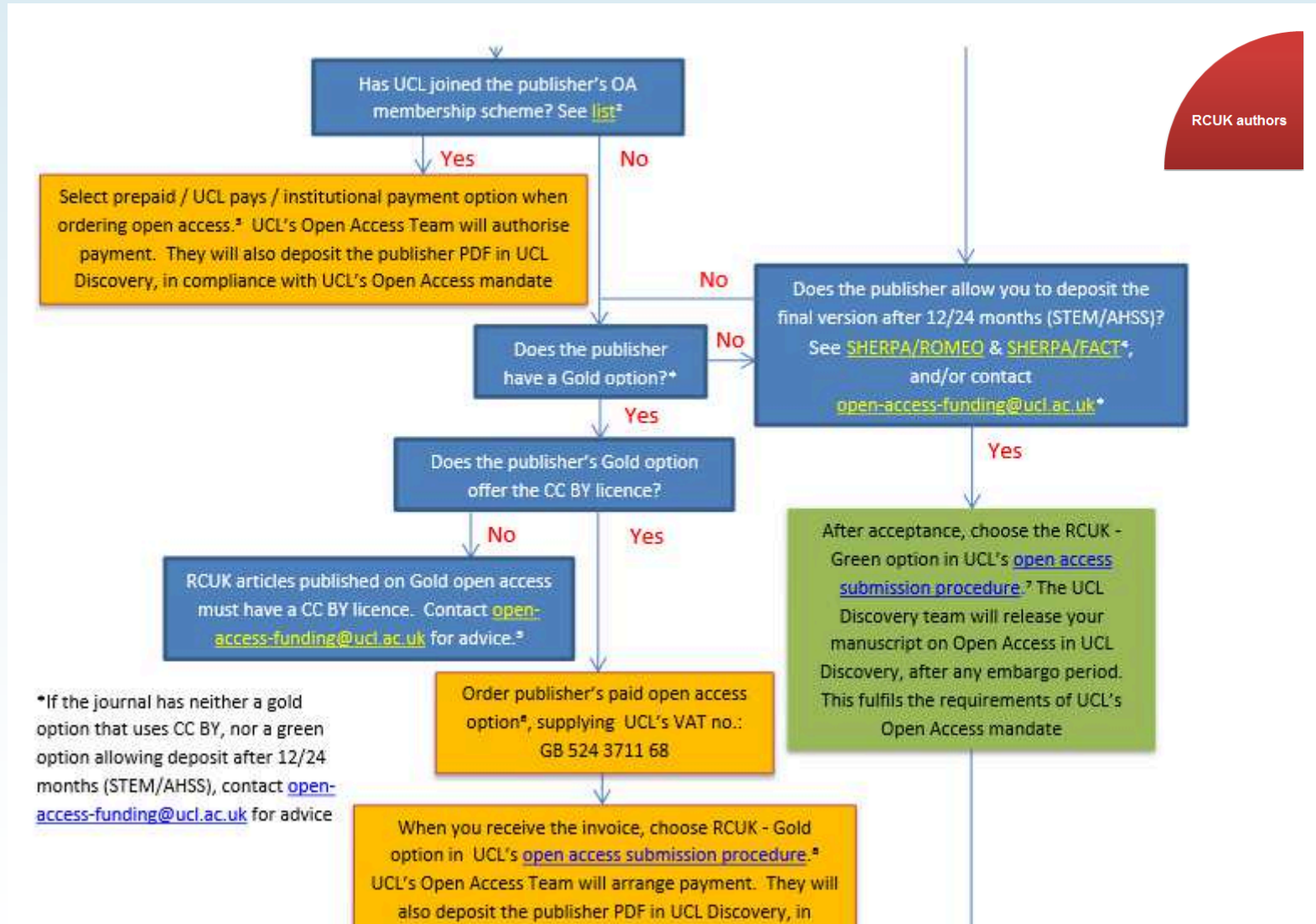
**GOLD**  
UCL, using RCUK funds, pays an article processing charge. The article is made open access on the publisher website immediately. UCL's Open Access Team deposits the publisher PDF in UCL Discovery

**GREEN**  
The author deposits the final manuscript in UCL Discovery. It is released on open access, usually after an embargo period

IF YOU PREFER GOLD

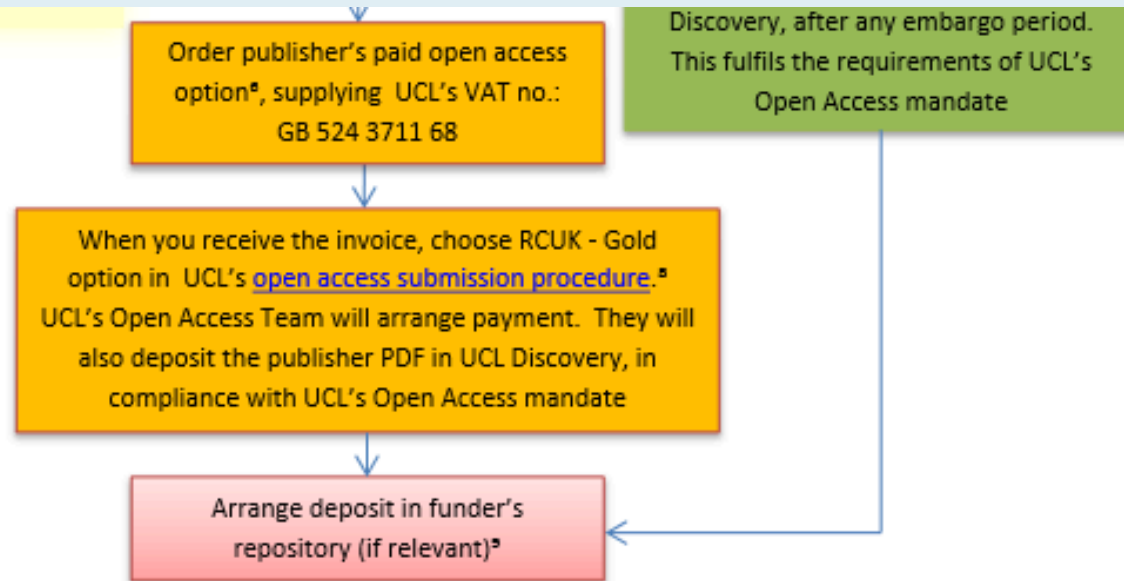
IF YOU PREFER GREEN

Has UCL joined the publisher's OA membership scheme? See [list](#)



\*If the journal has neither a gold option that uses CC BY, nor a green option allowing deposit after 12/24 months (STEM/AHSS), contact [open-access-funding@ucl.ac.uk](mailto:open-access-funding@ucl.ac.uk) for advice

\*If the journal has neither a gold option that uses CC BY, nor a green option allowing deposit after 12/24 months (STEM/AHSS), contact [open-access-funding@ucl.ac.uk](mailto:open-access-funding@ucl.ac.uk) for advice



- ❑ Gold APC payments represent a challenge for researchers to meet funder requirements, but a real opportunity for research libraries to support them



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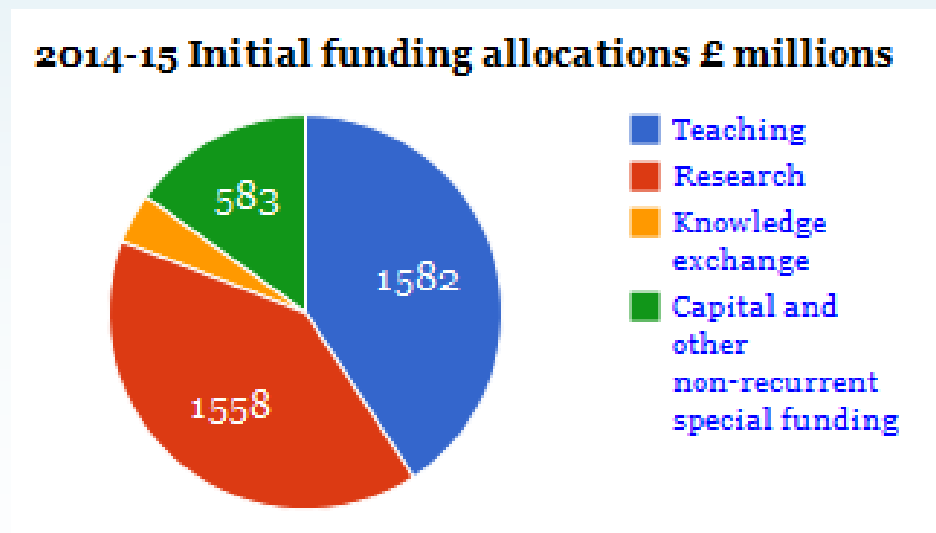
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## HEFCE policy for REF 2020

- ❑ Research Excellence Framework (REF) is a system for assessing the quality of research in UK higher education institutions (HEIs)
- ❑ Funding bodies use the assessment outcomes to inform the selective allocation of their research funding to HEIs



## REF 2020

- New [HEFCE](#) policy mandates OA for all research outputs submitted to REF 2020
- Journal articles and Conference Proceedings are in scope
- Monographs are out of scope

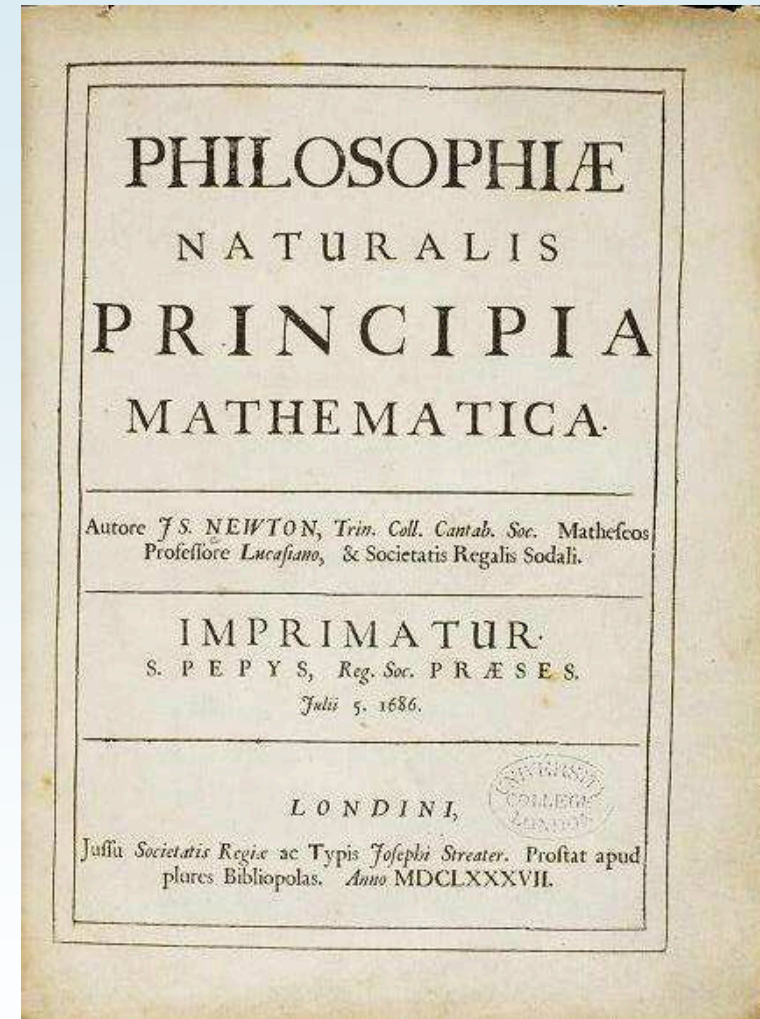
### OPEN ACCESS at UCL

[open-access@ucl.ac.uk](mailto:open-access@ucl.ac.uk)



## REF 2020

- Full text has to sit in, or be accessible from, a subject or institutional repository
- Green or Gold equally acceptable
- Embargo periods are the same as those stipulated by RCUK
- Deposit is at the point of acceptance by the publisher, *not* date of publication



UCL Special Collections, Sir Isaac Newton:  
*Principia Mathematica*, 1<sup>st</sup> ed. (London,  
1687)

## REF 2020

### Open access for the post-2014 REF

The [open access policy for the next REF](#) applies to journal articles and conference proceedings accepted after 1 April 2016. To be eligible for REF submission, the author's final manuscript must have been deposited in an institutional or subject repository.

In preparation for the REF, UCL encourages authors to deposit copies of all research in UCL Discovery, in compliance with UCL's existing [Publications Policy](#). If you are choosing paid open access, the Open Access Team will deposit your published paper in UCL Discovery. [Contact the Open Access Team](#) to arrange payment. Otherwise, upload your final manuscript using [RPS](#).

Mandate kicks in on 1 April 2016, but...



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## The view from Arts and Humanities?

### Not So Fast on 'Open Access'

September 24, 2012

By [Scott Jaschik](#)

The movement toward "open access" publishing -- in which scholarly journal articles are available free -- is taking off without consideration of the impact on humanities scholarship, says [a statement](#) being released today by the American Historical Association.

[http://blog.historians.org/2012/09/aha-statement-on-scholarly-journal-publishing /](http://blog.historians.org/2012/09/aha-statement-on-scholarly-journal-publishing/)

Much of the statement questions the logic of the "[Finch Report](#)," released in Britain and endorsed by the government there, which calls on all journals to shift to open access. Those recommendations go well beyond the push in the U.S. to require open access for federally supported research. The historians' statement particularly takes issue with the Finch Report recommendation that one way to phase out subscriptions would be to charge authors (or their institutions) a publication fee.

## Monograph Publishing

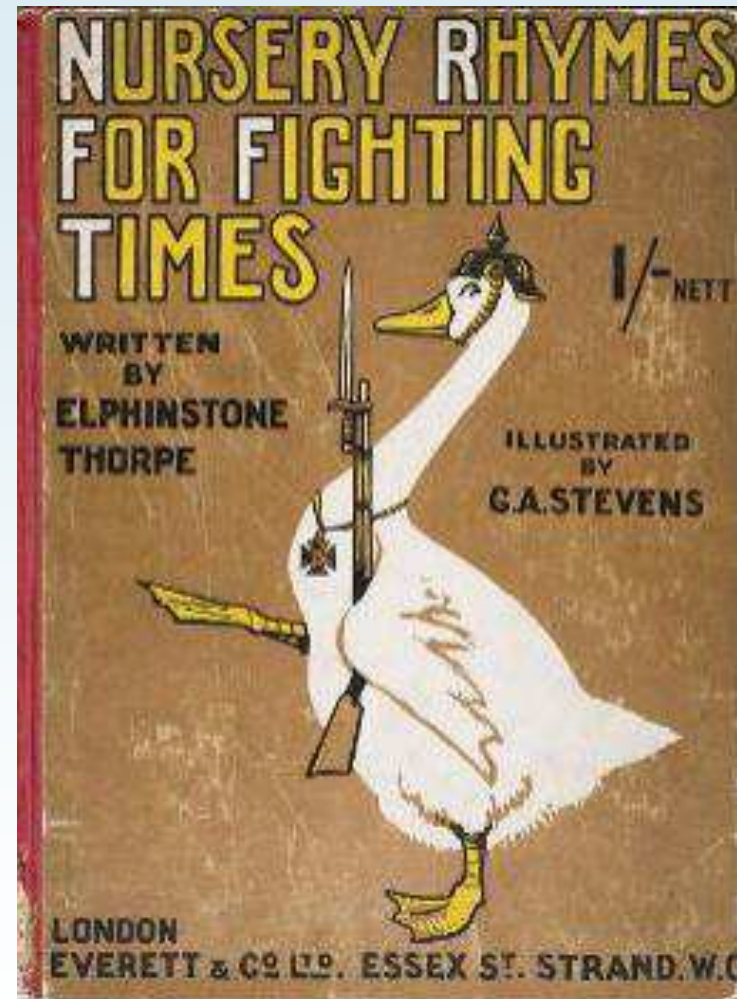
- ❑ Is Open Access a solution to broken Business Model?
- ❑ University Press takes on role as monograph publisher
- ❑ Long form monographs, peer reviewed
- ❑ Short monographs in AHSS – new publishing format?



UCL Special Collections, 15<sup>th</sup> century Book of Hours, with 19<sup>th</sup> century additions. MS. Lat. 25

## UCL Press

- UCL Press was (re-)born on 1 August 2013
- Department of UCL Library Services
- Open Access Press
  - Research monographs in Arts, Humanities, Social Sciences
  - Journals
  - Textbooks



UCL Special Collections, E. Thorpe, Nursery Rhymes for Fighting Times (London, 1916)



## Textbooks

- ❑ Successful in a JISC funding for OA e-textbooks
- ❑ 2 exemplars will help build e-textbook infrastructure
  - ❑ Public Archaeology, based on curriculum at UCL
  - ❑ Burns, Plastic and Reconstructive Surgery, based on UCL M.Sc course
- ❑ E-Textbooks suitable for UK curricula difficult to source
- ❑ Universities can publish their own

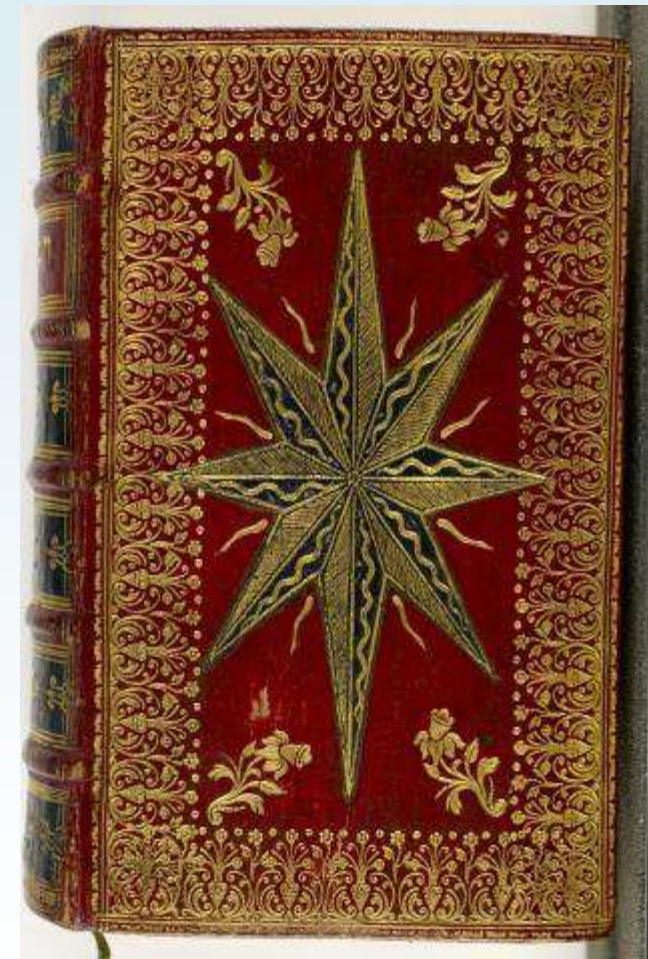


UCL Special Collections, Hans von Gersdorff, Feldtbuch der Wundartzney (Strassbourg, 1530)



## Shared European infrastructure for monographs?

- ❑ 19 European partners, led by UCL
- ❑ European universities can become publishers themselves
- ❑ Shared publishing infrastructure with Open Access business models
- ❑ Research monographs in the Arts, Humanities and Social Sciences
- ❑ OAPEN to provide some technical infrastructure
- ❑ To be launched from UCL in 2014



UCL Special Collections, Pentateuch, 1666.  
STRONG ROOM MOCATTA Q B 12 TAR

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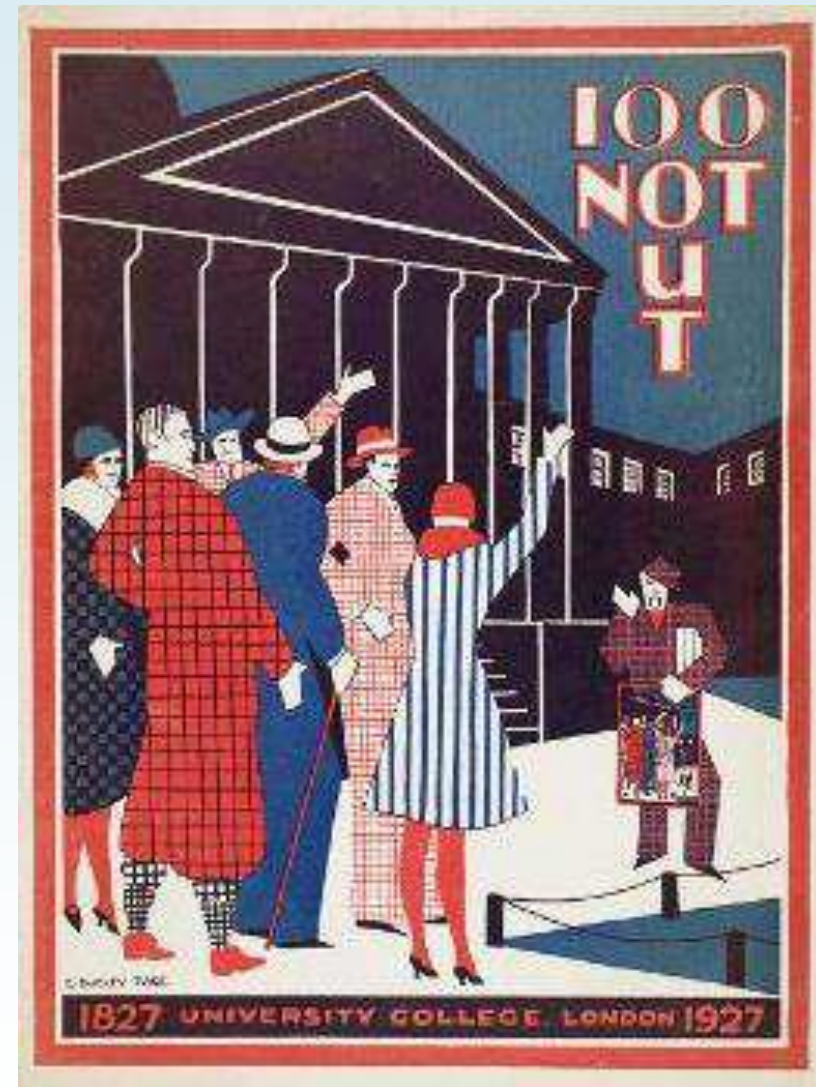
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## Conclusions

- ❑ Scholarly Communication places the Library at the heart of the research and education process
  - ❑ Supporting OA dissemination, especially via Gold APC payments
  - ❑ Research Evaluation exercises (such as REF) make the repository, managed by the Library, a central service
  - ❑ University-based publishing can transform the role of the Library, not simply now a storekeeper but a producer of knowledge outputs



UCL Special Collections, the Centenary edition of the College Magazine, June 1927



## And finally...

- Thanks for listening
- Happy to answer any questions

