**Open Access Research Publications: Past, Present and Future**

**Brief description of the paper**
This paper sets out the University of Edinburgh’s activities in the field of Open Access over the last ten years and reports on current activities across the institution. The paper goes on to identify some new developments which will affect the way the University engages with Open Access in the future, with regards to enabling, verifying and reporting on Open Access activities.

**Action requested**
For information

**Resource implications**
Does the paper have resource implications? No

**Risk Assessment**
Does the paper include a risk analysis? No

**Equality and Diversity**
Has due consideration been given to the equality impact of this paper? Yes, the information in this paper will be examined for any potential positive or negative impacts or factors relating to any of the protected characteristics and any information acted on accordingly. New developments in this area which are to be put in place will receive as EqIA.

**Freedom of information**
Can this paper be included in open business? Yes

**Originator of the paper**
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1. Introduction

This paper sets out the University of Edinburgh’s activities in the field of Open Access over the last ten years and reports on current activities across the institution. The paper goes on to identify some new developments which will affect the way the University engages with Open Access in the future, with regards to enabling, verifying and reporting on Open Access activities.

Open Access (OA) means unrestricted toll-free online access to peer-reviewed scholarly research. Open access is primarily intended for scholarly journal articles and conference proceedings, but is also provided for a growing number of theses, book chapters, and scholarly monographs. The two ways authors can provide open access are:

1. Self-archiving their journal articles in an OA repository, also known as 'green' OA,
2. Publishing in an open access journal, known as 'gold' OA, often by paying an article-processing charge (APC).

With green OA authors publish in any journal and then self-archive a version of the article for public use in their institutional repository (at the University of Edinburgh this is PURE), in a central repository (such as PubMed Central), or on some other open access website. This is the University of Edinburgh’s stated preferred route to Open Access.

With gold OA, authors publish in open access journals, which provide immediate open access to all of their articles, usually on the publisher’s website. So-called "hybrid" journals are subscription journals that provide gold open access only for those individual articles for which their authors (or their author's institution or funder) pay an open access publishing fee.

2. Progress to Date

Open Access at the University of Edinburgh

The University of Edinburgh has been involved with Open Access for over ten years, having launched its initial institutional repository in 2003, one of the first in the UK. The University is seen as a centre
of expertise in Open Access and currently hosts institutional repositories for a number of other Scottish Universities through the Scottish Digital Library Consortium (SDLC)\(^i\).

The Library has managed payments of article-processing charges (APCs) to publishers for Wellcome Trust funded authors since 2008.

The University adopted a publications policy in 2009 requiring academics to submit copies of their research publications to the repository wherever possible.

\[\text{http://www.ed.ac.uk/polopoly_fs/1.14203!/fileManager/research-publications-policy.pdf}\]

Over the years between 2003 and 2012, interest in Open Access was steady, but it was only since RCUK strengthened its existing policy on Open Access in 2013, following the Finch Report\(^ii\), that there has been a significant increase in the adoption of Open Access.

To date, the University has received two packages of funding for Open Access:

1. £609,000 ‘pump-priming’ grant from BIS, which has been used to pay for ‘green’ Open Access (making copies of papers available via PURE).
2. £830,550 block grant from RCUK, which can only be used to pay for ‘gold’ Open Access. This has been used to pay for three publisher deals and ad-hoc article-processing charges (APCs) for eligible RCUK-funded authors, on a first-come, first-served basis.

The University will receive £977,000 from RCUK to cover ‘gold’ APCs in 2014/15. Funding for a further three years is also expected, though the amounts have not yet been confirmed, subject to the results of the spending review.

**Open Access Implementation Project**

During 2013, the University used the ‘pump-priming’ money from BIS for an Open Access Implementation Project, which focussed on employing staff across the three Colleges to upload versions of research publications to PURE where appropriate.

The project was a great success with over 16,000 documents being uploaded to PURE, which has provided evidence that the green route constitutes a cost-effective approach to achieving Open Access. As a rough comparison, 16,000 APCs at an average of £1500 per article would have cost £24M. Many other universities in receipt of the pump-priming money used it to pay for publisher deals rather than to upload document for green OA.

The project ended on December 31\(^{st}\) 2013. Residual funds have been redistributed to Colleges, with the agreement of Deans of Research, to continue the upload of documents to PURE.

\[\checkmark\text{16,000 documents were uploaded to PURE in 2013, making them Open Access using the preferred ‘green’ route. The equivalent cost of ‘gold’ OA would have been £24M.}\]
The overall number of items added to PURE increased significantly over the last year (as illustrated below), in line with the activities of College-based Publications Assistants. It is important that the University keeps up this momentum in the future.

![Graph showing the total number of full-text items in PURE by month](image)

**Figure 1: Total Number of Full-text Items in PURE by Month**

### 3. Current Activities

Building on the success of the Open Access Implementation Project, all three Colleges are currently using un-spent funds to continue the upload of papers to PURE on behalf of academics.

**Humanities & Social Sciences:** The College of Humanities & Social Sciences will continue to employ Dawn Hibbert as Open Access Advisor until May 2015. In addition, Dawn is looking after a team of 11 part-time Open Access Facilitators, who are working to make research publications available via PURE. This will continue until the end of July 2014.

**Medicine & Veterinary Medicine:** The College of Medicine and Veterinary Medicine has appointed Anna Krzak on a two-year contract in the role of Open Access Assistant. Anna is responsible for making research publications available via PURE in MVM and is assisting with preparations for reporting on OA-compliance to RCUK. In addition, Davies Adeloye and Manuela Marescotti are assisting on a part-time basis.

**Science & Engineering:** The College of Science & Engineering is adopting a school-by-school approach to uploading documents to PURE. Each School has one or more named administrators who are responsible for uploading publications to PURE as part of their day-to-day responsibilities for the foreseeable future.

How do we ensure that we can keep up the momentum for uploading documents to PURE once the project funding ends? What resources need to be put in place within Schools and Colleges, or centrally?
College Open Access Rates

The table below shows indicative rates of Open Access for journal articles and conference proceedings only, published during the period 01/04/13 – 31/03/14 based on information currently available in PURE. These figures show the Open Access rates for the period equivalent to the first year of the RCUK requirements (April 2013 –March 2014 incl.). This shows rates of Open Access for all journal articles and conference proceedings, regardless of funder. We would expect that rates for RCUK-funded papers would be much higher than this.

<table>
<thead>
<tr>
<th>Organisation</th>
<th>Total no. of articles/proceedings</th>
<th>No. of OA Articles</th>
<th>% OA Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHSS</td>
<td>1647</td>
<td>443</td>
<td>26.89%</td>
</tr>
<tr>
<td>CMVM</td>
<td>1768</td>
<td>725</td>
<td>41.00%</td>
</tr>
<tr>
<td>CSE</td>
<td>1591</td>
<td>586</td>
<td>36.83%</td>
</tr>
<tr>
<td>University</td>
<td>5006</td>
<td>1754</td>
<td>35.04%</td>
</tr>
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Reporting for RCUK

The Scholarly Communications Team in the Library understands that the University will be expected to make a report to RCUK on Open Access activities in July, and is making preparations for this. Further work needs to be undertaken to link publications to grant awards in PURE, to enable us to produce accurate report on Open Access compliance. The Scholarly Communications Team is working closely with administrators in Colleges and Schools to source this information.

It is imperative that academics and their proxies link all records of publications arising from funded research to those awards in PURE (whether the paper is Open Access or not), as this is the only way the University can accurately report on Open Access rates. The Scholarly Communications Team and College Open Access Advisors are currently undertaking a campaign of awareness-raising around this issue.

RCUK expect that 45% of the journal articles and conference proceedings arising from research they have funded are made Open Access in year one (2013/14). For year two (2014/15), this rises to 53%.

Once the linking has taken place, we will be able to report accurately on the University’s compliance rates.

☑️ The University of Edinburgh is well on its way to meeting its targets for RCUK compliance. The Scholarly Communications Team expects to report on this to RCUK in July 2014.

The Scholarly Communications Team will need the help of local administrators to assist with the matching of research funding to research publications in PURE. This is essential to prepare the forthcoming report for RCUK.
The University of Edinburgh has two funds to pay ‘gold’ Open Access fees to publishers (also known as article-processing charges, or APCs). These funds are provided by using external funding from RCUK and the Wellcome Trust. The RCUK fund is outlined in the table below. The Scholarly Communications Team is expecting to roll any unspent funds over to the 2014/15 budget.

**RCUK Open Access Fund**

<table>
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<th>Amount</th>
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<tr>
<td>Opening Balance</td>
<td>£830,550</td>
</tr>
<tr>
<td>Publisher Deals</td>
<td>£217,735</td>
</tr>
<tr>
<td>Staff Costs</td>
<td>£9,120 (Jan-April 2014)</td>
</tr>
<tr>
<td>APCs invoiced</td>
<td>£150,155</td>
</tr>
<tr>
<td>Remaining Balance</td>
<td>£437,539 of which £66,320 is committed to pay for papers in submission</td>
</tr>
</tbody>
</table>

Applications to use the RCUK fund have increased since the end of the 2014 REF period and as researcher awareness of the RCUK requirements on Open Access have increased. It is likely that applications to use the fund will continue to increase and that demand for the fund may match supply by the end of the second year (March 2015). Regular reports on this expenditure will be sent to Open Access Advisory Group.

### 4. Looking to the Future:

**HEFCE Open Access Requirements for the Post-2014 REF**

The four main UK higher education funding bodies, including the Scottish Funding Council (SFC) and the Higher Education Funding Council for England (HEFCE), have recently announced their policy for open access in the post-2014 Research Excellence Framework (REF).

The policy requires that all journal articles and conference proceedings accepted for publication on or after April 1st 2016 must be made Open Access via an institutional or subject repository in order to be submitted to the next REF. There are some very limited exceptions to this requirement, but such cases will be rare.

The Scholarly Communications Team realises that this policy will require a degree of cultural change and is keen to start work now to support Schools and Colleges with these requirements.

Members of the Scholarly Communications Team would be happy to make visits to departments to talk about these requirements in more detail and to provide support and guidance to academic and administrative colleagues. Further details can be found at:

[http://www.ed.ac.uk/schools-departments/information-services/research-support/publish-research/open-access/post-2014-ref-oa](http://www.ed.ac.uk/schools-departments/information-services/research-support/publish-research/open-access/post-2014-ref-oa)
Potential Implications

Every week, the Scholarly Communications Team receives applications for ‘gold’ Open Access payments from academics whose research was unfunded, or was funded by an organisation which does not make payments for ‘gold’ Open Access. In most cases, we would suggest that the author uses the ‘green’ route, as is the University’s preference.

In some cases, the author wishes to publish in an exclusively ‘Gold’ journal (such as Biomed Central or Public Library of Science), but has no means to do so. A good example of this was a researcher in the field of Music, who wished to publish in a science-based Psychology journal.

Over the coming months, the University may wish to consider whether any provision may be made to cover costs for such researchers. University College London has made provision to pay ‘gold’ Open Access fees to publishers for un-funded researchers, and those not funded by the likes of RCUK or the Wellcome Trust. Information on UCL’s approach can be found at http://www.ucl.ac.uk/library/open-access/. In addition to the £1.3M UCL received from RCUK to pay ‘gold’ APCs, a further £2.0M has been made available from institutional funds.

☑️ The Scholarly Communications Team is making arrangements to visit all Schools and Colleges to explain the latest Open Access requirements from RCUK and for the next REF.

The requirements for the next REF will affect the majority of researchers at the University of Edinburgh and we are anticipating increased demand for ‘gold’ payments, especially as more publishers change their models. The University should anticipate that there will be a demand for resources to pay such fees. In many cases using PURE provides the best, low-cost solution, but there may be an increase in cases where funding will need to be found to allow researchers to publish in their preferred journal.

As business models change and more publishers offer exclusively ‘gold’ models for publication, should we start to offer funding for APCs for authors who are not funded by the Wellcome Trust or RCUK?

Horizon 2020

The EU Framework Programme for Research and Innovation, Horizon 2020 has significant requirements to make research publications and data available in an Open Access format. These requirements will affect those researchers seeking funding from this source. The Scholarly Communications Team would be happy to provide advice about this. Further information can be found
5. Conclusions

i. The Open Access Implementation Project was very successful and demonstrated that investing in a modest amount of administrative support to make research publications Open Access via PURE provides a cost-effective means of complying with funder requirements.

ii. The Scholarly Communications Team is keen to ensure that there is ongoing support at College and/or School level because the project demonstrated that this approach is cost-effective and puts the University in a good position to be able to comply with RCUK requirements and those of any future funding streams such as Horizon 2020.

iii. It will be important that academics from all disciplines are made aware of the Open Access requirements regarding journal articles and conference proceedings for the next REF so the Scholarly Communications Team is stepping up its programme of outreach to talk about this at meetings with each School over the next few months.

iv. The Scholarly Communications Team is already working on reporting for RCUK, but will require the assistance of local administrators to match grant awards to research publications in PURE.

v. The existing funds for gold Open Access are proving popular and in many cases these provide an important alternative to green Open Access, especially when publisher-imposed embargoes mean that this is not a viable route for authors to comply with funder requirements. This is a particular issue in Biological Sciences and Medicine. Discipline differences will remain an important factor in decision making.

Contacts

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Further information about Open Access can be found at http://www.ed.ac.uk/openaccess. Enquiries regarding Open Access in general should be directed to openaccess@ed.ac.uk.

1 The Library Digital Development Team hosts DSpace Institutional Repositories for the University of Aberdeen, Robert Gordon University, St Andrews University, Abertay University, Heriot-Watt University and the Scottish Rural University College.

2 The Finch Report can be found in full at http://www.researchinfonet.org/publish/finch/