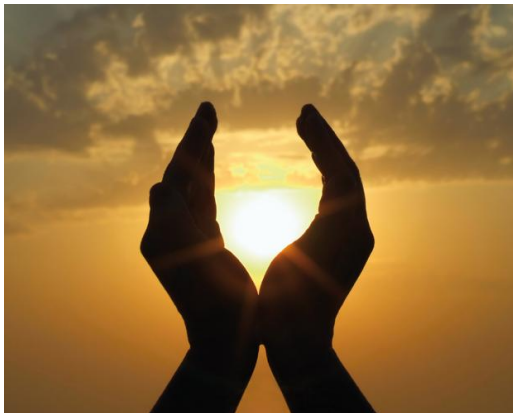


# The RCUK Policy on Access to Research Outputs – implementation and monitoring

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# Summary

- RCUK's Previous OA Policies
- The UK Government's Transparency agenda
- The RCUK OA Policy (2012)
- Implementation & Monitoring of the Policy
- Research Information Management Initiatives

*Research is essential to the growth, prosperity and wellbeing of the UK. Ensuring the widest possible access to research, both within and outside of the research community, will mean that the ground-breaking discoveries made in science and research can have a greater impact on our lives.*

Doug Kell, RCUK EG 'Champion' for Information Management,  
May 2011.

# OA has been around a long time in the UK..

- *“Academic authors currently lack sufficient motivation to self-archive in institutional repositories. We recommend that the Research Councils and other Government funders **mandate their funded researchers to deposit a copy of all their articles in their institution’s repository** within one month of publication or a reasonable period to be agreed following publication, as a condition of their research grant.”*



House of Commons  
Science and Technology  
Committee

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## Scientific Publications: Free for all?

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Tenth Report of Session 2003-04

*Volume I: Report*

# RCUK Position Statement - 2005

- Four key principles:
  - **Accessibility to publicly-funded research;**
  - **Rigorous quality assurance;**
  - Efficient and cost-effective access mechanisms;
  - Long-term preservation and accessibility of outputs.

# RCUK Key Principles

- **Accessibility to publicly-funded research;**
  - Ideas and knowledge derived from publicly-funded research must be made available and accessible for public use, interrogation and scrutiny, as widely, rapidly and effectively as practicable.
- Rigorous quality assurance;
- Efficient and cost-effective access mechanisms;
- Long-term preservation and accessibility of outputs.

# RCUK Key Principles

- Accessibility to publicly-funded research;
- **Rigorous quality assurance;**
  - Published research outputs must be subject to rigorous quality assurance, through effective peer review mechanisms.
- Efficient and cost-effective access mechanisms;
- Long-term preservation and accessibility of outputs.

# Which means .....

- Research outputs must be accessible to enable exploitation;
- Research funders have a responsibility to ensure accessibility;
- Dissemination is part of the research process and has to be paid for;
- Publishers have a key role to play in the process.



# Implementation since 2005

- Individual Research Council policies:
  - required that ‘current’ copyright and licensing policies, such as embargo periods, are maintained by publishers and respected by authors;
- Overall, poor compliance:
  - Sub-optimal funding mechanisms;
  - Authors don’t do deposit in repositories;
  - Lack of compliance monitoring.

# But previous agreements have had little traction

- *“This work was supported by the Medical Research Council [grant number xxxx].”*
- *“This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Natural Environment Research Council [grant number zzzz]; and the Economic and Social Research Council [grant number aaaa].”*
- *“This research received no specific grant from any funding agency in the public, commercial, or not-for-profit sectors.”*

## Acknowledgement of Funders in Scholarly Journal Articles

Guidance for UK Research Funders,  
Authors and Publishers

### RCUK & Publishers

February 2008



[www.rin.ac.uk](http://www.rin.ac.uk)

# Transparency agenda

*Transparency is at the heart of the Government's agenda, and this also applies to published research. In a recent discussion with members of the research community and publishers I stressed the importance of open access to this information for everyone, and I'm delighted that the Research Councils and HEFCE have committed to taking this forward.*

David Willetts, Minister of State for Universities and Science,  
May 2011.

# Growing openness

- UK Government's commitment to openness and transparency;
- Make the results of publicly funded research open, accessible and exploitable;
- Transparency and openness to drive innovation and growth.

*Get the stuff out there and get it used!*

# RCUK Policy on Access to Research Outputs

- Developed in parallel with and informed by the recommendations of Finch;
- RCUK implementation of Government's policy;
- Formally announced 16<sup>th</sup> July 2012.

# RCUK Policy

- Defines what RCUK means by Open Access;
- States RCUK's expectations of Researchers and the publication options available to them;
- Sets out criteria for assessing whether any particular Journal complies with the policy;
- Applies to all peer-reviewed research publications submitted for publication from 1<sup>st</sup> April 2013.
- Wholly or partial funded by Research Councils.

# RCUK definition of 'Open Access'

Unrestricted, on-line access to peer reviewed and published scholarly research papers.

Specifically a user must be able to do the following free of any publisher-imposed access charge:

1. Read published research papers in an electronic format.
2. Search for and re-use (including download) the content.

Allows unrestricted use of manual and automated text and data mining tools, as well as unrestricted re-use of content with proper attribution (as defined by CC-BY).

## And more ....

- Authors must include:
  - Details of funding that supported the research;
  - Statement on how the underlying research materials – data, samples & models – can be accessed.
- This has been overlooked in the gold vs green discussion of the policy.



# Journal compliance

- Gold with CC-BY;
  - Or if the publisher will not offer Gold CC-BY then they must offer:
- Green (at least post print) with a maximum embargo period of 6(12) months, and CC-BY-NC.

# Funding

- Research Councils will provide funding for APCs through block grants to institutions;
- Institutions must establish Publication Funds and the processes and procedures for payment of APCs;
- Announcement soon on size of fund and the mechanism to distribute it between institutions;
- ‘Light touch’ guidance – use the money to best deliver RCUK Policy.

# Next steps

- Announcement on APC funding mechanism (November);
- Engagement with universities about implementation of policy, especially on guidelines for how funds can be used (November);
- Continuing assurance the RCUK policy means both Gold and Green (RCUK Blog).
- Sherpa-Romeo API on RCUK Compliant journals
- Agreement on monitoring & reporting

# Monitoring & Reporting

- Annual report from ROs on OA Block Grant expenditure (APCs & submission charges)
- Review of Block Grant system in 2014
- Collection of OA metrics in ROS and ResearchFish
- Inclusion of Funder and ProjectID in Extended DC and CERIF (JISC RIOxx Project)
- Fundref and Elsevier Funder Name API and
- CrossRef/CrossMark (Publishers) to include OA metrics
- UKPMC link to ResearchFish for OA and Funder info
- Web of Science - Web Services Premium Edition
- Repository Aggregation Services (e.g. MIMAS-IRS) should introduce faceted searches for “Funder” etc.

# OA Metadata Standards

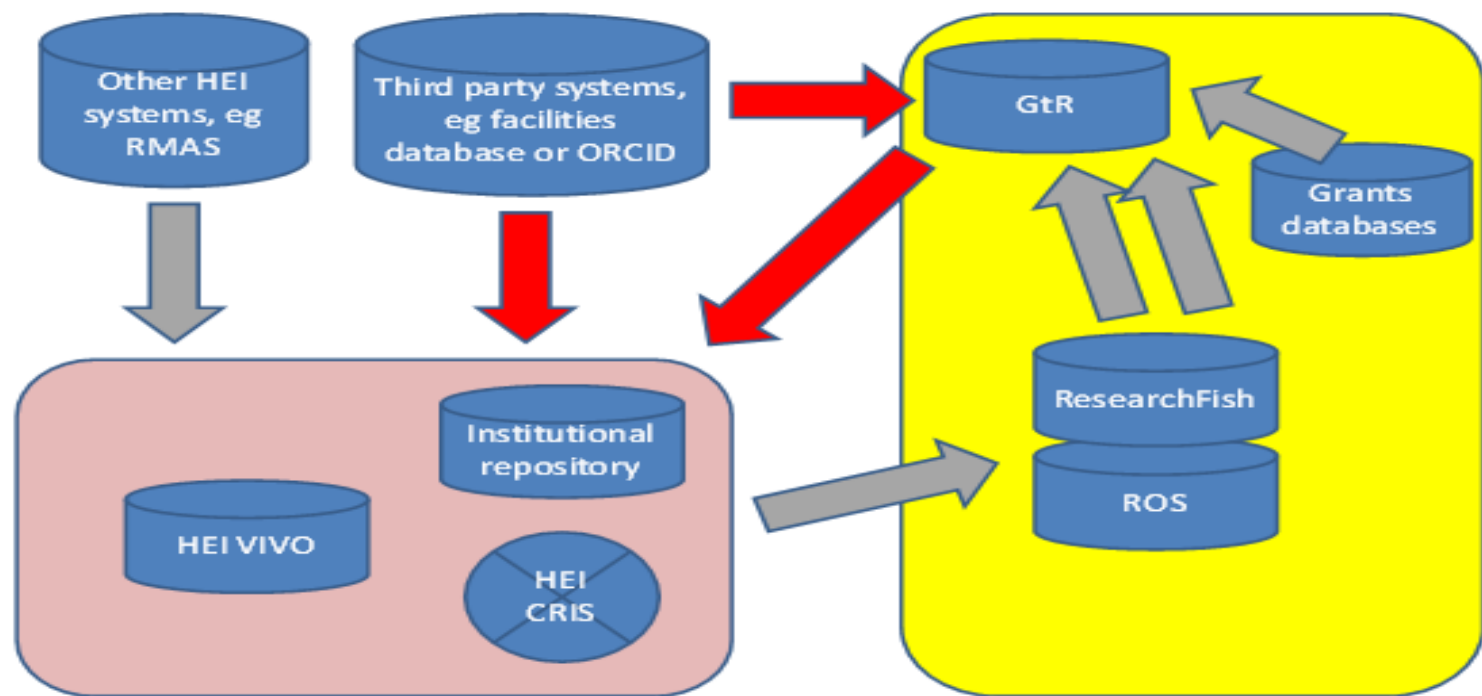
- OA Status
  - Green preprint
  - Green postprint
  - Green Publishers version
  - Gold Free
  - Gold APC
- Green Embargo Period (months)
- Reuse Rights (Creative Commons types)
- APC Currency; APC Cost
- APC Paid by ... (needs RO authority file)

# Need for International “Authority Files”

- **Funders** (Elsevier & Thomson Reuters) and implemented through FundRef)
- **Researchers & Students** (ORCID)
- **HE Institutions** (national names authorities – e.g. HESA)
- **UK Departments** (HESA Campus Survey)
- **Datasets** (e.g. DataCite)
- **Publications** (CrossRef DOIs and standard metadata)
- **EU Research Organisations** (PIC Codes)
- **Grants** (a possible new UK names authority)

# Research Information Sharing

HEIs are increasingly using Current Research Information Systems (CRIS). RCUK, JISC and HEIs need to work together to exchange information (**including about Open Access**) – and include 3<sup>rd</sup> party and perhaps HESA/HEFCE databases. This could replace formal reporting. The RCUK Gateway to Research (GtR) portal and API will play a big part.



## Further information

- **RCUK Policy**  
<http://www.rcuk.ac.uk/research/Pages/outputs.aspx>
- **Finch Group report**  
<http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf>
- **Royal Society Report**  
<http://royalsociety.org/policy/projects/science-public-enterprise/report/>
- **JISC RIOxx Project**  
[http://www.jisc.ac.uk/whatwedo/programmes/di\\_researchmanagement/repositories/rioxx.aspx](http://www.jisc.ac.uk/whatwedo/programmes/di_researchmanagement/repositories/rioxx.aspx)
- **JISC OA Metadata Project**



# QUESTIONS ?

