Briefing on mandatory open access policies

Acknowledgments

About SCONUL

The Society of College, National and University Libraries (SCONUL) represents all university libraries in the UK and Ireland, irrespective of mission group. It promotes awareness of the role of academic libraries in supporting research excellence and student achievement and employability, and represents their views and interests to governments and regulators. It helps academic libraries collaborate to deliver services efficiently including through shared services, and to share knowledge and best practice.

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Preface

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Those of us leading academic libraries in the UK have been long-term proponents of greater open access to the outputs of academic research. We welcomed the Government's engagement with this issue and support their view that removing barriers to accessing taxpayer funded research will have real economic and social benefits.

While the debate over the benefits of the "Gold" versus "Green" approach to Open Access will undoubtedly continue, the introduction of new requirements from research funders has brought a series of immediate practical challenges. This briefing has been produced to support SCONUL members in meeting those challenges. It does not consider or debate the wider political and economic questions about the future of open access policy but instead delivers guidance and practical experience in meeting funder requirements.

It includes a short history of Open Access developments; provides a clear statement of funder requirements and lists further resources which SCONUL members may find helpful. It highlights learning from a survey of members and case studies. These provide insight into how peer institutions are changing their policies and processes to meet the new requirements.

Given the university library's central place in institutional life it is unsurprising that our survey and case studies suggest that it is libraries that are taking the lead in setting up the systems and processes necessary within their own institutions. Library staff have a real depth of knowledge of academic publishing developed over years of handling payments to, and negotiations with, academic publishers. Libraries are also the repositories of significant expertise in handling the financial and bibliographic data which will be core to the new systems.

This knowledge has been at a premium within institutions faced with some continuing uncertainty over aspects of funder requirements and the need to set up new systems, in some cases from scratch, over a relatively short timescale. This is reflected in survey responses which talk about the need for continued reflection and adaptability. We hope that this briefing will be helpful for members in managing through that uncertainty.

Contents

1.   Introduction

1.1 Background

1.1.1   With the publication of the Finch Report in June 2012, changes in funding policy of the major UK research funders, including the UK Research Councils, the Wellcome Trust, the UK Funding Councils, the European Union, and others, are moving research communication into an era where outputs from publicly-funded research become freely available upon publication ('Open Access').

1.1.2   There are currently two primary routes to Open Access: the 'Gold' route, often funded by payment to the publisher of an 'article processing charge' (APC), leading to an electronic publication that is immediately available to all, free of charge. The 'Green' route is taken when the final peer-reviewed text of a published output is also deposited in an institutional repository or other repository where it is freely available, either immediately or after an imposed or agreed 'embargo' period. A variety of other models, including hybrid models currently exist.

1.1.3   SCONUL strongly supports the principle of open access publishing, in particular the benefits it delivers in terms of maximising access to the outputs of academic research and extending its reach to wider audiences. Considerable investment has been made over the past decade in building and developing a robust repository infrastructure, both in the UK and internationally, to support the dissemination of academic research and SCONUL advocates the continued development of repositories both as containers for research outputs and tools for the effective management and reporting of associated metadata.

1.2 About this briefing

This briefing is designed to support SCONUL members in the following areas:

1.2.1   Section 2: Background to The Finch Report and Key Outcomes

This provides a brief overview of the Finch Report and background to the developments of mandatory open access policies of UK research-funding bodies which have come about in the months since its publication.

1.2.2   Section 3: Guide to the main open access policies for publicly-funded research in the UK

This provides a concise but comprehensive guide to the mandatory open access policies of the principal UK research funding bodies and the implications of these for SCONUL members, the researchers they serve and UK HEIs. It also outlines the key requirements of each policy and directs

members to the full policy statements and, where available, to related guidelines and supporting documents.

1.2.3 Section 4: Thematic summary of case study findings

This section looks at how the main mandatory UK OA policies are currently being implemented within UK HEIs, through a series of case studies which detail the activities of eight SCONUL member institutions in relation to compliance with, and implementation of, UK mandatory open access policies. These provide insight into a variety of approaches and options, pitfalls and problem areas, knowledge, experience and practice.

1.2.4 Section 5: Survey on Open Access

SCONUL surveyed its members in May 2013 to establish how OA policies are being implemented and to take a snapshot of preparedness. This section summarises the survey findings.

1.2.5 Section 6: Managing APCs: Emerging third-party services

This section includes a brief overview of emerging third-party services which support institutions and their libraries in complying with, and implementing, UK policies.

1.2.6 Appendices

Appendix 1: A list of resources for further reading to support SCONUL members as they explore, and engage in, the on-going discussions and developments surrounding mandatory open access policies for research outputs both in the UK and internationally.

Appendix 2: A directory of other large research funding bodies with mandatory open access policies with a brief guide to the key points of each plus links to the full policy document/website.

Appendix 3: Selected open access resources

Appendix 4: The full text of the case studies

Appendix 5: Open access survey questionnaire

Appendix 6: A glossary of key terms

2.   Background to The Finch Report and Key Outcomes

2.1   The Finch Report: brief background

2.1.1   The Working Group on Expanding Access to Published Research Findings chaired by Dame Janet Finch (hereafter the 'Finch Group') was established in October 2011 to examine how UK-funded research findings can be made more accessible.

2.1.2   Membership of the Finch Group was comprised of staff from universities, funding bodies, learned societies, publishers and UK academic libraries. It was convened as part of the Government's agenda on transparency and openness, driving innovation and growth, but worked independently of government.

2.1.3   The Finch Group was tasked with: *"…proposing a programme of action and making recommendations to government, research funders, publishers and other interested parties on how access to research findings and outcomes can be broadened for…researchers, policy makers and the general public.*"[1]

2.1.4   The Finch Group concentrated on academic journals since these are the main vehicle for communicating research results and findings[2]. It also focussed solely on publicly-funded research.

2.1.5   In June 2012 the Finch Group produced a report entitled *Accessibility, sustainability, excellence: how to expand access to research publications: Report of the Working Group on Expanding Access to Published Research Findings* (hereafter the 'Finch Report').

2.1.6   The recommendations of the Finch Report are far-reaching, requiring significant changes in policy and practice by all stakeholders in the research communication process: researchers, policy-makers, funders, university managers, librarians, publishers and other intermediaries.

2.2   The Finch Report: key outcomes

2.2.1   The overall conclusion from The Finch Report is: "the UK should embrace the transition to Open Access and accelerate this process in a measured way which promotes innovation but also what is most valuable in the research communications ecosystem.[3]"

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[1]   Research Information Network website, cited April 2013: http://www.researchinfonet.org/publish/finch/wg/
[2]   The Finch Report (140 pages) including an Executive Summary (11 pages): http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf
[3]   The Finch Report, page 7

2.2.2   Finch lists 10 recommendations to support the above statement and 18 key actions which government and stakeholders – including SCONUL members – need to undertake in its implementation.

2.2.3   A key recommendation is that a clear policy direction should be set towards support for publication in open access or hybrid journals, funded by APCs[4], as the main vehicle for the publication of research, especially when that research is publicly funded.

2.2.4   A further recommendation is that the Research Councils and other UK public sector funding bodies should establish more effective and flexible arrangements to meet the costs of publishing in open access and hybrid journals.

2.2.5   In an important section called *What Will Change*[5], Finch describes the significant change it foresees throughout the research communication ecosystem. SCONUL members seeking more detail on the impact of the Finch Report are strongly advised to consult this section of the report.

2.3   Government response to Finch (July 2012)

2.3.1   In the Government's response[6] to the Finch Report (July 2012), David Willetts, UK Minister for Universities and Science, accepted all but one of the Finch Group proposals[7] including:

- financial support for publicly-funded research institutions will be needed to pay the cost of APCs and that this funding will need to be found within existing research funds

- funding bodies will include provision for the funding of APCs with precise details to follow

- simpler, more flexible and transparent mechanisms will be implemented [by RCUK] allowing institutions to set up funds to pay for APCs for any article resulting from RCUK funding

- RCUK will monitor compliance with its policies at grant level through its outputs systems.

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[4]   Article Processing Charges, also known as publication charges or publication fees. In common with Finch, the abbreviation APC and the term Article Processing Charge are used throughout this briefing.

[5]   The Finch Report, pages 11-12

[6]   http://www.bis.gov.uk/assets/BISCore/science/docs/L/12-975-letter-government-response-to-finch-report-research-publications.pdf

[7]   The proposal that e-journals move to a reduced or zero VAT rating was not accepted by Willetts.

2.4 RLUK/SCONUL response to Willetts (July 2012)

2.4.1 In a response[8] to Willetts' letter, RLUK and SCONUL welcomed the overall commitment of the UK Government to ensure that access to publicly-funded research be made available for anyone, free of at the point of use. However, these groups voiced a number of concerns both about the Finch Report and the Government's response to it as summarised below.

2.4.2 The Government has not announced any new funding, assuming instead that any additional costs will be met using existing budgets; this will slow the rate of transition and reduce the budget available for new research.

2.4.3 Not all countries are moving towards OA at the same speed which means for a period the UK will be paying to make UK research OA while continuing to purchase subscriptions to research from the rest of the world.

2.4.4 To ensure public funds are spent effectively, there is a need for monitoring mechanisms to be put in place to ensure institutions do not pay twice with hybrid journals[9], through APCs and subscriptions. The Government response indicates no intention to address this issue.

2.4.5 Both Finch and the Government response give low priority to the role of UK repositories in particular where these ensure access to non-gold OA research[10].

2.4.6 It indicated strong support for the revised open access policies announced by RCUK which fully recognise the importance of Green OA.

2.4.7 It advocated more modelling of potential transition scenarios and call upon the Government to undertake this as a next step following the Finch Report.

2.5 Government response to the Finch Report (September 2012)

2.5.1 In a statement dated September 2012[11], the UK Government announced investment of £10 million to help universities with the transition to Open Access to publicly-funded research findings.

2.5.2 The investment was allocated to 30 research-intensive UK institutions[12] to enable them to kick-start the process of developing policies and set up funds to meet the costs of APCs in line with Finch.

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[8] http://www.rluk.ac.uk/content/rluksconul-response-bis-statement-access-publicly-funded-research

[9] i.e. for hybrid journals - journals which have a subscription price and offer an OA option for authors, typically through payment of an APC - over time, the subscription prices should be adjusted downwards to reflect the amount of author-paid content.

[10] e.g. where such options don't exist, fees are excessive, or funding is not available

[11] http://news.bis.gov.uk/Press-Releases/Government-invests-10-million-to-help-universities-move-to-open-access-67fac.aspx

2.6 Comment from Dame Janet Finch since the Finch Report

2.6.1 A two-day conference in November 2012[13] looked at the implementation of the recommendations of the Finch Report. At this meeting, Dame Janet corrected some misunderstandings about the Report's recommendations which are worth noting:

2.6.2 The main recommendation was for a mixed economy between 'author pays' and subscriptions; the balance between the two will shift over time but will be mixed for the foreseeable future.

2.6.3 Gold OA requires a different business model which needs to be sustainable for all in the ecosystem. If it isn't, the situation will be destabilised.

2.6.4 Different disciplines will move at different speeds. It is important that Humanities and Social Science are not harmed by the transition to Open Access and that the quality of research and publications are not undermined; however, it is also important that they are not left out of the changes.

2.6.5 Further reading including commentary on, and analysis of, the Finch Report, is included in Appendix 1.

2.7 Business, Innovation and Skills Select Committee Open Access report

2.7.1 On 10 September 2013, the BIS Select Committee[14] published a report entitled *Open Access*[15]. The report is a strongly worded critique of Government and RCUK policy.

2.7.2 The report argues that "the major mechanism through which the UK has achieved its world leading status (Green open access) has been given inadequate consideration on the formation of Government and RCUK policies".

2.7.3 It recommends that Government take an active role working with Jisc and OAIG to promote standardisation and compliance across subject and institutional repositories.

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[12] http://www.rcuk.ac.uk/media/news/2012news/Pages/070912.aspx

[13] Organised by the Academy of Social Sciences, 29-30th November 2012. Full details, video presentations and summary: http://www.socialsciencespace.com/2012/12/implementing-finch-conference/#oa&utm_source=twitterfeed&utm_medium=twitter

[14] The Committee is appointed by the House of Commons to examine the expenditure, administration and policy of the Department for Business, Innovation and Skills and is made up of 11 MPs representing each of the main three political parties. Select Committee findings are influential but not binding on their respective Departments.

[15] http://www.publications.parliament.uk/pa/cm201314/cmselect/cmbis/99/99.pdf

2.7.4   It states that "the major mechanism of transition must be Green open access, specifically through strong, immediate self-archiving mandates set by funders and institutions".

2.7.5   It is heavily critical of the cost involved in a transition to gold open access and says "it is unacceptable that the Government has issued, without public consultation, an open access policy that will require considerable subsidy from research budgets in order to maintain journal subscriptions and cover APCs." It calls on Government and RCUK to mitigate against the impact on university budgets and states that "The Government must not underestimate the significance of this issue."

2.7.6   It is supportive of HEFCE's approach to open access and the post-2014 REF.

2.7.7   It argues that:

- "*implementation of the Government and RCUK policies will make the situation worse*" with regards to dysfunction within the scholarly publishing market, particularly around lack of transparency and competition. It also argues that the current policy approach may reduce rather than increase access.

- there has been a lack of consultation by RCUK and Government, and states that "*The Finch Report's conclusions are recommendations were therefore made without a detailed up to date assessment of the existing open access policies in the UK*." It also suggests the use of the same economists by government and the Finch Group "*draws the independence of the Finch Report and its economic analysis into question.*"

- "*the Finch Report, the Government and RCUK have failed to assess adequately the existing levels of APCs that are charged by a range of open access journals*" and suggests that "*the figures it [Finch] used in its modelling undoubtedly created a risk that publishers would see these as a benchmark*".

- there is evidence that publishers are extending embargo periods as a result of RCUK and Government policy.

- RCUK should "withdraw its endorsement of the decision tree" for authors produced by the Publishers Association as this "does not represent RCUK's position" following changes in RCUK policy.

- "*Government should work to introduce a reduce VAT rate for e-journals*".

3 Main open access policies for publicly-funded research in the UK

3.1 Research Councils UK (RCUK)

Brief background

3.1.1 RCUK has had a policy on Open Access in place since June 2005[16] under which grant applicants were allowed to include the anticipated costs of OA publications; a 2006 revision[17] stated that these costs could be included as part of an institution's indirect costs, passing responsibility for making payments for APCs to institutions.

3.1.2 Following publication of the Finch Report, RCUK reviewed their OA Policy and announced changes in June 2012.

3.1.3 Significant reaction from the research community indicated that clarification was needed and on 8th April 2013, RCUK published the document RCUK Policy on Open Access and Supporting Guidance[18], (hereafter 'RCUK OA Policy'), the latest version of its OA policy which came into effect on 1st April 2013.

3.1.4 The House of Lords Science and Technology Committee wrote[19] to RCUK welcoming the publication of its revised policy but calling for three further changes to ensure absolute clarity.

3.1.5 RCUK acknowledged there was some unintended outstanding confusion around the policy and its implementation and on 24th May 2013[20], introduced a Frequently Asked Questions document[21] to accompany and clarify RCUK OA Policy. The changes featured in this FAQ are noted below[22].

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[16] http://www.rcuk.ac.uk/documents/documents/2005statement.pdf

[17] http://www.rcuk.ac.uk/documents/documents/2006statement.pdf

[18] http://www.rcuk.ac.uk/documents/documents/RCUKOpenAccessPolicy.pdf (includes guidelines supporting interpretation, compliance and implementation; there is also a useful FAQ: http://www.rcuk.ac.uk/documents/documents/OpenaccessFAQs.pdf.

[19] http://www.parliament.uk/business/committees/committees-a-z/lords-select/science-and-technology-committee/news/open-access-response-to-rcuk/

[20] The April wording of the RCUK OA Policy gave rise to concern as to whether policy applied to RCUK-funded papers accepted for publication after 1st April 2013 (but submitted before this date), or only to papers submitted after 1st April. In the May clarification, RCUK states that, "As written, the policy applies to those peer reviewed journal articles that were submitted for publication but not necessarily accepted after the 1st April. However, during the transition period, we are happy to be flexible with this and allow the block grant to be used for papers submitted for publication before the 1st of April but only where costs for APCs were not included within the grant."

[21] http://www.rcuk.ac.uk/documents/documents/OpenaccessFAQs.pdf

[22] For further reading and response to the latest iteration of the RCUK OA Policy see Appendix 1, Section 2.

Key policy elements

3.1.6   The key elements of the current RCUK OA Policy with most relevance to SCONUL members are summarised below. SCONUL members may wish to familiarise themselves with the full RCUK OA Policy and Guidance Notes.[17, 18,23]

3.1.7   The RCUK OA Policy aims to achieve immediate, unrestricted, online access to peer-reviewed and published research papers, free of any access charge.

3.1.8   The policy applies to peer-reviewed research articles (including review articles not commissioned by publishers), which acknowledge Research Council funding, that are submitted for publication from 1st April 2013, and which are published in journals or conference proceedings.

Journal compliance

3.1.9   To be compliant, a journal must either:

- "…provide, via its own website, immediate and unrestricted access to the final published version of the paper…using the Creative Commons Attribution (CC BY)[24] licence, and allows immediate deposit of the final published version in other repositories without restriction on re-use. This may involve payment of an 'Article Processing Charge' (APC) to the publisher."

   Or:

- "…consent to deposit of the final Accepted Manuscript in any repository, without restriction on non-commercial re-use and within a defined period. No APC will be payable to the publisher."

- Where a journal does not offer an immediate open access option, in STEM[25] disciplines, RCUK will accept a delay of no more than six months between online publication and the final Accepted Manuscript becoming Open Access. In the case of papers in the arts, humanities and social sciences (mainly funded by the AHRC and the ESRC), the maximum embargo period will be twelve months. Research papers in biomedicine should be published immediately, or with an embargo period of no longer than six months[26]. Where funding for APCs is

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[23]   SCONUL members may also wish to familiarise themselves with RCUK's Common Principles on Data Policy: http://www.rcuk.ac.uk/research/Pages/DataPolicy.aspx

[24]   http://en.wikipedia.org/wiki/Creative_Commons_license; Crucially, the CC BY licence removes any doubt or ambiguity as to what may be done with papers, and allows re-use without having to go back to the publisher to check conditions or ask for specific permissions.

[25]   Science, technical, engineering, medical

[26]   This has been the Medical research Council's mandated policy since 2006

unavailable to an author during the transition period, longer embargo periods will be allowable.

- The May update to the RCUK OA Policy FAQ mentions there being "…more flexibility over embargo periods during the transition period…where a journal offers a gold option, but the author does not have access to APC funding, we will accept Green with longer embargo periods in line with Govt. policy and as outlined in the Publishers Association 'decision tree' [below]. This allows for up to 12 months for STEM subjects and up to 24 months for Arts, Humanities and Social Sciences (HASS)." Biomedical research remains the exception and, in all cases, embargo periods for Green must be no more than 6 months.

Block grants

3.1.10   From 1st April 2013 the payment of APCs and other publication charges related to Research Council-funded research are supported through a RCUK OA block grant[27] provided to eligible research organisations. RCUK expects the primary use of the block grant will be for payment of APCs.

3.1.11   RCUK have stated that the OA block grant will be increased over the next five years until all published peer-reviewed papers deriving from RCUK funding are Open Access (whether via gold or green routes)[28].

3.1.12   Eligible research organisations in receipt of RCUK OA block grants are expected to establish institutional publication funds, and processes to manage and allocate the funds available for OA charges and other publication costs.

3.1.13   Current RCUK guidance says that the payment of colour charges and page charges may also be taken from the block grant at the discretion of the managing research organisation.[29]

3.1.14   Institutions may use the block grant in the manner they consider will best deliver the RCUK Policy on Open Access in a transparent way that allocates funds fairly across the disciplines and across researchers at different stages in their careers.

3.1.15   For research organisations that receive Research Council funding which are not in receipt of an RCUK OA Block Grant, if evidence can be provided that

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[27]   Further detail on how the block grant is allocated and the level of funding can be found in RCUK's Nov 2012 announcement: www.rcuk.ac.uk/media/news/2012news/Pages/121108.aspx

[28]   Reflects RCUK's estimate of time needed for researchers, institutions and publishers to make the transition to a fully OA model.

[29]   SCONUL members may wish to note the RCUK FAQ states: "…it is unclear why such charges are sometimes levied in addition to the APC, especially as such costs apply mainly to printed journals. RCUK (and others) will be monitoring this practice and we will review our position as part of the 2014 review."

this is causing significant problems, RCUK will consider this within the 2014 Review.

3.1.16   If a research organisation has no public funding available to pay APCs, then its researchers will be able to publish under the green model with longer embargo periods.

Institutional compliance

3.1.17   RCUK has a preference for immediate, unrestricted OA (Gold) and has an expectation that the majority of the OA block grant funding will be used to support the payment of APCs for Gold.

3.1.18   In year one, research organisations are expected to ensure that a minimum of 45% of their RCUK-funded research papers are published Open Access, via either gold or green routes. This rises to 53% in year two. The choice of route to Open Access, as long as it complies with the RCUK policy, remains with the author and their institution.

3.1.19   At the end of the transition period RCUK expects full compliance with the policy, i.e. 100% of research papers arising from RCUK-funded research published in journals compliant with RCUK OA Policy. The Policy Guidelines also state the aim that, by the end of the five-year transition period, 75% of open access papers from the research funded by RCUK will be delivered through immediate, unrestricted, on-line access with maximum opportunities for re-use (Gold).

Monitoring and review

3.1.20   RCUK expects research organisations in receipt of an RCUK OA Block Grant to comply with the monitoring arrangements that will be put in place by the RCUK for this policy. RCUK will undertake a comprehensive, evidence-based review of the effectiveness and impact of its open access policy in 2014 and periodically thereafter (probably in 2016 and 2018).

3.1.21   RCUK accepts that research organisations may use resources other than the block grants to support Open Access: for example, Funding Council QR allocations.

3.1.22   Figure 1 illustrates possible routes to publication mandated under the RCUK Open Access Policy.

Figure 1: Open Access 'decision tree' by the Publishers' Association[30] taken from Guidance for the RCUK Policy on Open Access & Supporting Guidance[31]

3.2 The Wellcome Trust open access policy

Brief background

3.2.1   In 2006, the Wellcome Trust announced its open access policy requiring all research papers funded in whole or in part by the Wellcome Trust to be made available via the Europe PubMed Central[32] repository as soon as possible and in any event within six months of publication date.

3.2.2   Research in 2011 found that only 55% of Wellcome Trust funded papers were in compliance with this Policy and in June 2012[33], the Trust made its OA policy mandatory by introducing three steps[34] which have been applied to research articles published from 1 October 2009 onwards.

Key Current policy elements

3.2.3   Wellcome expects authors of research papers to maximise the opportunities to make their results available for free. It requires electronic copies of research papers accepted for publication in a peer-reviewed journal and supported by the Wellcome Trust funding to be made available through

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[30] http://www.publishers.org.uk/index.php?option=com_docman&task=doc_download&gid=780&Itemid=

[31] http://www.rcuk.ac.uk/documents/documents/RCUKOpenAccessPolicy.pdf

[32] Formerly UK PubMed Central: http://europepmc.org/

[33] http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002766.htm Wellcome also provides a range of further information and support relating to their OA Policy, including guidance for authors and publishers and an FAQ about CC-BY, the Creative Commons Attribution licence which, from 1 April 2013, is the mandatory licence wherever Trust funds are used to pay APCs.

[34] (i) withholding final grant payments in cases of non-compliance; (ii) discounting non-compliant publications at the point of grant renewal or new grant application; (iii) requiring Trust-funded researchers to prove compliance before any funding renewals or new grant awards would be activated.

Europe PubMed Central as soon as possible and in any event within six months of the official date of final publication.

3.2.4   It will provide grant-holders with additional funding, through their institutions, to cover open access charges, where appropriate, in order to meet the Trust's requirements.

3.2.5   It encourages, and where it pays an open access fee, requires (see next point), authors and publishers to license research papers so they may be freely copied and re-used (for example, for text- and data-mining purposes), provided that such uses are fully attributed.

3.2.6   Effective 1st April 2013, where open access fees are paid with Wellcome Trust funds, articles must be made available through the Creative Commons Attribution license (CC-BY)[35]. This means publishers must make such articles freely available to copy, share or otherwise use, including commercially.

3.2.7   The Wellcome Trust has announced that it is to extend its open access policy to include scholarly monographs and book chapters written by its grantholders as part of their Trust-funded research.[36] The policy will become effective for holders of grants awarded after 1 October 2013 and for existing grantholders from October 2014.

3.2.8   SCONUL members may wish to download and familiarise themselves with the current full position statement and policy from the Wellcome Trust[37].

3.3   UK Funding Councils

Brief background

3.3.1   The UK Funding Councils[38] provide block grants to UK universities predicated on the size of the research community in each and the quality of research each produces.[39]

3.3.2   In a statement issued July 2012[40], HEFCE allowed that: "…institutions can use the funds provided through HEFCE research grants to contribute towards

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[35]   http://www.wellcome.ac.uk/stellent/groups/corporatesite/@policy_communications/documents/web_document/WTVM055715.pdf

[36]   http://www.wellcome.ac.uk/News/Media-office/Press-releases/2013/WTP052746.htm

[37]   http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002766.htm

[38]   Comprised of: the Higher Education Funding Council for England (HEFCE) [http://www.hefce.ac.uk/], the Scottish Funding Council [http://www.sfc.ac.uk/], the Higher Education Funding Council for Wales [http://www.hefcw.ac.uk/ and the Department for Employment and Learning, Northern Ireland [http://www.delni.gov.uk/].

[39]   Quality-related or "QR" funds, as determined in the Research Assessment Exercises (RAE) and now the Research Excellence Framework (REF): http://www.ref.ac.uk/

[40]   http://www.hefce.ac.uk/news/newsarchive/2012/statementonimplementingopenaccess/

the costs of more accessible forms of publication, alongside funding from other sources."

3.3.3   In the same statement, HEFCE announced that it would: "…develop proposals for implementing a requirement that research outputs submitted to a REF[41] or similar exercise after 2014 shall be as widely accessible as may be reasonably achievable at the time."

Key policy intentions

3.3.4   On 24 July, HEFCE published its *Consultation on Open Access* in the post-2014 REF[42] which seeks views on its proposals for the implementation of an open access requirement in the post-2014 REF. A similar consultation has been issued by the Higher Education Funding Council for Wales (HEFCW)[43] and the Scottish Funding Council (SFC) is hosting a series of consultation events in support of the HEFCE consultation.[44]

3.3.5   The proposals they contain are based on responses to an earlier consultation by HEFCE: its *Call for Advice* published on 25th February 2013. A summary of responses has now been published.[45] At the same time, in an accompanying letter on Open Access and submissions to the REF post-2014, the UK Funding Councils also announced:

- "*…the intention to introduce a requirement that all outputs submitted to the post-2014 Research Excellence Framework (REF) exercise are published on an open-access basis where this is reasonably achievable and where…the concept of 'open access' applies."*

- "*…institutions can use our funds provided for research towards the costs of accessible forms of publication…we propose to accept material published via either gold or green routes as eligible, recognising that it is not appropriate to express any preference in the context of research assessment.*"

3.3.6   The July consultation states that the funding bodies propose to treat as open access outputs which fulfil all of the following criteria:

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41   Research Excellence Framework (REF): http://www.ref.ac.uk/

42   http://www.hefce.ac.uk/media/hefce/content/pubs/2013/201316/Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf

43   http://www.hefcw.ac.uk/documents/publications/circulars/circulars_2013/W13%2026HE%20Consultation%20on%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf

44   http://www.sfc.ac.uk/funding/FundingOutcomes/Research/ResearchExcellence/REFConsultation Event.aspx

45   http://www.hefce.ac.uk/media/hefce/content/whatwedo/research/infrastructure/openaccess/summary_advice_open_access.pdf

- accessible through a UK HEI repository, immediately upon either acceptance or publication (to be decided, as outlined in paragraph 29), although the repository may provide access in a way that respects agreed embargo periods

- made available as the final peer-reviewed text, though not necessarily identical to the publisher's edited and formatted version

- Presented in a form allowing the reader to search for and re-use content (including by download and for text-mining), both manually and using automated tools, provided such re-use is subject to proper attribution under appropriate licensing.

3.3.7   SCONUL will respond to this consultation, the closing date for which is 30 October 2013 and would be happy to receive comments from members to inform its response. These can be sent to ann.rossiter@sconul.ac.uk.

3.3.8   See Appendix 2 for a guide to the other main large funders of UK research with mandatory open access policies (including a brief overview of their OA policies) and see Appendix 3 for selected open access developments and resources.

4 Thematic summary of case studies

4.1 Introduction

4.1.1 As well as the potential benefits of wider and easier access to research outputs, the introduction and/or strengthening of open access policies by UK funding bodies also brings numerous and significant challenges to all involved in research communication.

4.1.2 Institutions face a range of specific challenges and in order to support SCONUL members, this section provides a guide to how the main mandatory UK OA policies are currently being implemented within UK HEIs.

4.1.3 In particular, this section will seek to build SCONUL members' awareness and practical understanding of the specific challenges, issues and questions surrounding current and future compliance with, and implementation of, mandated OA policies. This is done through a series of case studies through which the experiences of eight SCONUL member institutions are shared.

4.1.4 Each of the eight has made significant progress in developing processes and adapting work practices to take account of the new requirements from research funders. The case studies were supplied by:

- Bangor University
- University of Dundee
- University of Hertfordshire
- Lancaster University
- University of Portsmouth
- University of Manchester
- Royal Holloway University of London
- University College London (UCL).

4.1.5 The full text of the case studies, included in Appendix 4, provides an in-depth exploration of a range of topics, issues and concerns surrounding policy compliance and implementation, including:

- communication and awareness-raising in relation to mandated funder policies
- current levels of compliance and implementation, and areas for further work
- institutional policies, processes and operations, in place or planned, for managing mandated funder policies
- detailed description of the policies and procedures for all aspects of APC management

- changes to staffing, roles and responsibilities including changes to existing roles, new staff and temporary secondments, in the library and elsewhere, in support of the above
- lessons learnt: knowledge, practice and experience worth sharing; hurdles, pitfalls and mistakes worth acknowledging and/or avoiding
- advice and suggestions for funders
- thoughts on existing, planned and potential roles for third parties
- remaining issues and challenges, for each institution and for the wider HE sector in the context of funder policies and research outputs.

4.2 Institutional awareness and understanding of research funders' OA policies

4.2.1   Responses indicate a relatively uniform picture in relation to knowledge of the requirements of new OA policies within case study institutions including high levels of awareness and understanding amongst key library and other staff, and a growing awareness within academic departments and among individual academics.

4.2.2   For example, UCL reported that awareness and understanding were high amongst dedicated library and other staff, as did Royal Holloway for key library and research services staff. Lancaster noted that progress was being made across the whole institution; Portsmouth reported high levels of awareness in general while Dundee said knowledge was growing, but was still uneven, and Manchester and Hertfordshire reported significant progress whilst recognising the need for further work.

4.2.3   It was noted that Wellcome-funded researchers are particularly well informed (UCL and Dundee).

4.3 Promoting understanding and awareness

4.3.1   At all case study institutions, considerable effort is being expended to promote awareness and understanding, in most cases led by the library, usually in collaboration with research offices and often also covering other research-related issues such as research data management. This is often in addition to incorporating open access content within existing training and briefings for post-graduates and others.

4.3.2   Hertfordshire is undertaking targeted sessions for specific groups of researchers and UCL is providing training for authors including by incorporating it within in-department sessions organised through subject librarians and by the Open Access Funding Manager. At Lancaster, the library is going to be holding workshops as part of a broader development day for researchers; Portsmouth has held a workshop which included finance department staff and Royal Holloway held an event "OA for the perplexed" for one faculty which will be rolled out across the University. Manchester has held

more than 35 communication and advocacy events across its faculties and schools and Dundee is giving seminars for specific departments. Bangor is giving regular briefings on OA and held an Open Access week in April with a range of events and talks which it plans to repeat in October 2013. UCL is developing a comprehensive Open Access Communication Plan that will attempt to target all researchers, funded and otherwise, through a variety of different channels.

4.3.3   Several institutions reported making use of the library website or university intranet to provide resources, giving details of open access policies and often updated by the library (Bangor; Hertfordshire; Lancaster; Royal Holloway; UCL). At UCL this includes quick guides and flowcharts and at Royal Holloway, web pages have been used to back up an advocacy campaign.

4.4   Cross-institutional working

4.4.1   In each of the eight institutions, there is fairly extensive collaboration and coordination across the university in order to develop policy and raise awareness and understanding.

4.4.2   At Royal Holloway, the library is working closely with Research and Enterprise to broaden awareness and understanding among faculties and academic departments. At Lancaster, the Pro-Vice-Chancellor Research has held a series of informal discussions with academics and at Portsmouth, where cross-institutional working has been particularly strong, briefing is being led by faculty and departmental leads and university communications have been used to spread awareness. Portsmouth also has a nominated open access champion, responsible for tracking policy and keeping researchers and senior managers informed and the library has been working closely with the Research and Innovation Department as well as academic colleagues. At Hertfordshire and Bangor, policy development has been led by a cross-university Open Access Working Group, which at Hertfordshire is chaired by the Chief Information Officer and in Bangor's case, is chaired by the Director of Libraries and Archives reporting to the Research Strategy Task Group. At UCL, the Open Access Funding Team will be working with all the research communication networks in the institution to achieve effective communication.

4.4.3   When asked about which departments were important in developing or owning open access policy, case study institutions gave a wide range of answers: The University Research Committee or its equivalent was mentioned by Bangor, Hertfordshire and Royal Holloway and the Pro Vice-Chancellor for Research or their equivalent was mentioned by UCL, Bangor, and Lancaster. Research department or faculty leads were mentioned by Bangor, Hertfordshire, Lancaster, Manchester and Portsmouth and the research support office or officers by Bangor, Hertfordshire, Manchester, Royal Holloway, Portsmouth and UCL.

4.4.4   In all cases, the library is a key player, and in some cases has lead responsibility including at Bangor, Royal Holloway and UCL.

4.5   Staffing and skills

4.5.1   Several libraries have created new roles with specific responsibilities for Open Access, in most cases through repurposing roles rather than creating additional posts.

4.5.2   Portsmouth has recruited a Research Outputs Manager to take the lead on engagement and awareness-raising and to be responsible for monitoring APCs and subscriptions. Royal Holloway has a newly appointed member of staff responsible for research support with a focus on Open Access (Information Consultant – Research) who will also have responsibility for up-skilling other information consultants in the library team. UCL is making three new appointments: an Open Access Funding Manager; an Open Access Funding Assistant and an Open Access Compliance Officer. At Bangor, the requirements of meeting the open access agenda have informed an extensive library restructure which resulted in an increase in academic support staff and the new posts of Repository and Research Data Manager, Digital and Data Coordinator, E-licensing and Copyright Officer and an extra 0.5 Metadata post.

4.5.3   At Dundee, the Research Services Manager[46] is leading on open access issues, while at Lancaster, the subject librarian for humanities has the operational lead with support from other library staff including the University Librarian, Head of Academic Services and Assistant Librarian. At Royal Holloway, in addition to the new role referred to above, two other library staff members will lead on open access issues, the Associate Director, E-Strategy who chairs an Open Access Group and a Research Information Manager whose role involves supporting academics to prepare for the REF and ensuring all necessary bibliographic data is captured. Manchester reports having two FTEs split across four or five individuals managing the work going forward. At Portsmouth, in addition to the new post of Research Outputs Manager, other staff involved include the Associate University Librarian who is involved with procurement and with metadata. The Systems Manager and metadata team are involved in relation to the Institutional Repository. A research brief is taken on by the Faculty Librarian (Science) who briefs other faculty librarians on OA developments.

4.5.4   The primary focus across the case study institutions has been less on acquiring new skills than on ensuring that the library has sufficient knowledge to deliver good advice and shape institutional policies and procedures.

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[46]   The Research Services Manager is based within the Library, supported by other Library staff, and located within the Division of Research & Systems.

4.5.5   Portsmouth's response stressed the growing importance of bibliometrics in the context of OA while Royal Holloway referenced the importance of expertise in data and informatics. Several institutions mentioned the importance of influencing and advocacy skills in this context including Bangor, Manchester, Portsmouth, Royal Holloway and UCL.

4.6   Ensuring compliance with funder policies

4.6.1   All case study institutions reported good progress both in institutional compliance with OA policies and with the development of institutional systems, operational procedures and staffing to support compliance.

4.6.2   For example, Manchester, Hertfordshire and Bangor expect to reach comprehensive levels of compliance within the next six months. UCL reports that it has very high levels of support in place now, and that appropriate systems for managing compliance have been implemented by the Open Access Funding Manager.

4.6.3   However, it is recognised that ensuring compliance will be an on-going activity. Hertfordshire said that it is going to be developing activities to train research students and support early career researchers. While traditionally, support has been focused on pre-award processes, the institution recognises that there is now a need for post-award support to ensure compliance.

4.6.4   The significance of the Institutional Repository in delivering on funder policies is referred to by several respondents. Bangor expects preparedness and compliance to move forward significantly with further development of its Institutional Repository and the appointment of a Repository and Research Data Manager.

4.6.5   Unsurprisingly, institutions report that compliance with Wellcome Trust requirements tends to be further advanced because of the length of time these have been in place.

4.7   Institutional stance on Open Access

4.7.1   Two of the case studies reported that their institution promotes open access publishing as the principal channel for publication (Hertfordshire and Portsmouth) including through the requirement for deposit in the Institutional Repository.

4.7.2   The other six reported that their institution has made publication in the highest quality or most suitable journal the overriding principle that should apply, while also stressing the push for deposit in the institutional repository and / or their institution's support for OA requirements from funders (Dundee, Manchester Royal Holloway and UCL).

4.7.3   Four of the case study institutions have a published policy on Open Access (Dundee, Lancaster, Royal Holloway, and UCL). The remaining four institutions said that their policy was in development but was expected to be published shortly (Bangor, Manchester, Portsmouth, and Hertfordshire).

4.7.4   Dundee: http://www.dundee.ac.uk/library/research/openaccess/policy/
Lancaster: http://lancaster.libguides.com/content.php?pid=429121&sid=3509788#12686882
Royal Holloway: http://digirep.rhul.ac.uk
UCL: http://www.ucl.ac.uk/library/publications-policy.shtml

4.7.5   One of the case study interviewees (Portsmouth) reported that their institution had a preference for Green Open Access over Gold.

4.7.6   Four others (Bangor, Hertfordshire, Lancaster and Royal Holloway) said that while their institution did not have a formal preference for Green over Gold, they were actively promoting the green route in line with RCUK policy. Royal Holloway stated that their position was informed by a concern that the gold route is not financially sustainable.

4.7.7   The remaining three (Dundee, Manchester, UCL) said that their institutions were neutral over Green or Gold, reflecting the institutional position that choosing the most suitable outlet for publication was an academic decision for authors to make.

4.8   Internal processes for managing gold open access requests and APCs

4.8.1   All of our eight case study libraries have a central role in administration, monitoring and reporting in relation to funder open access policies and associated APC payments. All hold the APC fund or funds with the exception of Hertfordshire where is it is held by the Chief Information Officer in conjunction with the Research Office and the partial exception of Dundee where Wellcome Trust funding is devolved to the Life Science and Medicine, Dentistry and Nursing Colleges.

4.8.2   However, all are also clear that they do not have a role in approving publication of outputs except on the very limited basis of whether the proposed publication journal meets the funders' criteria for allowing Gold Open Access. Responsibility for approval based on quality and impact criteria lie with the appropriate academic lead.

4.8.3   Libraries do have an important role in providing authors with information about alternative green publication routes where this is appropriate, and may also, as is the case with Bangor, provide information about the range of pricing for APCs.

4.8.4   For all eight institutions, funds are allocated on a first come-first served basis with some relatively limited concerns expressed about whether funds will be adequate to meet demand.

4.8.5   Funding may be held in a single central fund, or in the case of Royal Holloway, split with allocations to specific faculties. Manchester has nominal allocations for each of its four faculties based on direct labour costs associated with RCUK funding which are reconciled retrospectively.

4.8.6   Bangor's fund is derived from the RCUK Block Grant and ESRC funds so applications are only available for RCUK funded project outputs. Dundee has a small additional fund available for researchers whose grants don't cover publication, and have also allocated additional institutional funds. UCL has a substantial, separate open access fund for non-RCUK, non-Wellcome articles.

4.8.7   For five of our case studies, applications are received from authors after they have been accepted for publication by a specific journal.

4.8.8   Portsmouth, Royal Holloway and Lancaster are the exceptions, requiring authors to make an application for an APC before they submit the article for publication.

4.8.9   In most cases, institutions require applications on a specific form which captures key data allowing for checks to be made on whether the journal is compliant with funder requirements. This also allows for metadata to be collected and fed through to the Institutional Repository and for invoices to be tracked. UCL has been using a web-based form successfully for Wellcome payments since 2008, but is now taking a more flexible approach. In the case of Dundee, this web form converts to a .csv file which is used to populate a spreadsheet. Manchester is using a web-based form which helps to directly populate the Institutional Repository metadata.

4.8.10   While RCUK is currently working on policy advice in relation to multi-institution authored publications, case study institutions are taking a pragmatic approach and in most cases expect to allocate charges to the lead author (Dundee, Hertfordshire, Lancaster, Portsmouth and UCL). Royal Holloway is taking the approach that the research project principal investigator's institution pays, but recognises that there may need to be room for flexibility if multiple publications arise from a single grant.

4.8.11   Libraries are also playing a key role in compliance and monitoring. There are two stages to ensuring compliance – first ensuring the journal is compliant with funder requirements at the point of submission or acceptance of an article, and second ensuring that the article is then made available on the basis agreed. For the majority of our case studies, the library has

responsibility for ensuring the former as part of the approval process for an APC application. The exceptions are Hertfordshire where the research office takes responsibility and Manchester where the author takes responsibility. In the latter case, the APC will not be paid if the journal is then found not to be compliant to avoid breaching funder requirements.

4.8.12   Five of our eight case study libraries take, or will in future, take responsibility for ensuring that the published article is available on an open access basis on time and with the approved licence (Bangor, Dundee, Portsmouth, Royal Holloway and UCL). At the remaining three institutions, responsibility for this will lie with the author (Hertfordshire, Lancaster and Manchester).

4.8.13   Libraries also expect to play a significant role in reporting back to funders on compliance. However, the current lack of clarity by RCUK on its reporting requirements is causing some difficulty. Dundee reports that it is recording a great deal of data to try and ensure it can meet whatever criteria funders eventually put in place.

4.8.14   A significant concern for institutions is so called "double-dipping" by publishers by which institutions pay twice for the same content, once through APCs and again through subscriptions. There is an expectation that forthcoming negotiations on subscription renewal will take account of the volume and charges for APCs.

4.8.15   Monitoring hybrid journals (Gold OA and subscription) is being actively undertaken by Bangor, Manchester and Portsmouth (in the latter case via a new post of Research Outputs Manager). Dundee is seeking to record it via their IR and CRIS systems and is also hoping that the Jisc APC service will help capture this data. Lancaster and Royal Holloway are considering and planning to do so respectively, and UCL's recording systems will allow this data to be recovered from their records.

4.8.16   Libraries are also looking at the costs associated with their involvement in open access processes. Bangor is logging staff time and Dundee, Hertfordshire and Portsmouth state they are planning to track time spent and monitor costs.

4.9   Reflections on what has worked well

4.9.1   The majority of case study institutions reflected that relationships with key partners within the university have been critical for success. Royal Holloway mentioned the importance of good relationships with their Research and Enterprise Department as did Portsmouth (with the Research and Innovation Department) and Bangor and Hertfordshire. UCL, Dundee, Portsmouth all mentioned academic colleagues specifically, as did Royal Holloway, where finding academic champions has been helpful, particularly in the arts and social sciences.

4.9.2 Dundee mentioned the importance of making sure research staff realise that their academic freedom to publish where they choose is not being compromised and of reassuring researchers by taking responsibility for ensuring that depositing in the Institutional Repository does not breach copyright.

4.9.3 UCL stressed the value of being pro-active including offering to attend departmental meetings and the importance of a flexible and responsive Open Access Team to encourage researchers to engage with open access.

4.9.4 UCL and Bangor both mentioned the importance of building links with their finance offices to ensure good reporting and payment systems.

4.9.5 External relationships are also regarded as important. Royal Holloway, Bangor and Dundee referred to the importance of sharing information with other institutions in shaping their own policy; Portsmouth said that its relationship with ARMA has been useful, while UCL mentioned the quality of its relationships with publishers which has helped the institution develop good reporting frameworks for prepayment schemes, thereby reducing administration costs.

4.9.6 Three institutions referred to mandates to deposit within the Institutional Repository as important to success. Manchester stated that having an internal mandate that a researcher must deposit metadata as a minimum has been helpful for compliance and reporting. Royal Holloway stated that linking approval for APC payments with metadata in the CRIS has been helpful, while Portsmouth has found useful the requirement that all research outputs must be deposited in the Institutional Repository to be eligible for the REF.

4.9.7 Other helpful factors mentioned include having good data on which to base policy and create reporting tools (Manchester and UCL); the capacity to repurpose staff to deliver on the new requirements (Royal Holloway); requiring approval for APCs before submission for publication (Lancaster) and asking authors to contact journals which do not seem to be compliant in regard of their use of the CC-BY licence (Lancaster) which has sometimes resulted in them agreeing to the CC-BY licence. UCL is keen to engage with publishers to persuade them of the importance of offering RCUK- and Wellcome-compliant options.

4.10 Reflections on challenges

4.10.1 Several institutions mentioned that expert staff in this area are at a premium, and that skilling-up or finding and then retaining expert staff is likely to be a challenge (Bangor, Portsmouth and Royal Holloway).

4.10.2   Financial sustainability was also discussed. Dundee referred to the challenge of meeting additional administration costs when funding generally is tight, although there is hope that the Jisc APC service will help reduce the administrative burden (Bangor, Dundee, Hertfordshire, and Royal Holloway). In UCL's view, this service will need to be able to interact effectively with publisher and library systems in order to be able to deliver added value and effective reporting, and to minimise administration for authors.

4.10.3   Both Royal Holloway and Portsmouth mentioned challenges around predicting and meeting the costs of APCs going forward. Concern about "double dipping" and the impact on library budgets is widespread. Both Lancaster and Bangor said that it would be helpful to see Jisc Collections become involved in monitoring and negotiating with regards to hybrid journals and APCs.

4.10.4   Information flows were discussed by Manchester, particularly the fact that publishers' practice of contacting authors directly makes it difficult to capture data and properly promote green options. UCL and Dundee mentioned that publishers' systems can be complex and unreliable.

4.10.5   There is demand for an authoritative source of information for the sector on publisher policies (Lancaster) with the Open Access Implementation Group mentioned as a potential information source by Bangor and Royal Holloway. Both Bangor and Manchester say that they are using SHERPA/FACT in this context; however Manchester stated that it doesn't work well at the moment.

4.10.6   Uncertainty over current and future policy is recognised as a major challenge, particularly the requirements for the 2020 REF (Dundee, Hertfordshire, Manchester, Royal Holloway and UCL). Bangor, Dundee, Lancaster Manchester and Portsmouth all said that frequent changes in policy by funders have been unhelpful and Royal Holloway said that more training and information by funders for key stakeholders when changes in policy take place would be useful. The lack of consistency between funders was also highlighted as a challenge (Dundee, Hertfordshire and Portsmouth) as was lack of clarity about compliance (Bangor, Hertfordshire and Lancaster). UCL made the point that institutions have responded to the RCUK mandate in different ways which may be an added source of confusion among academics.

4.10.7   Finally, academic engagement and culture change in relation to Open Access was identified by most institutions as a challenge. Lancaster, Royal Holloway and Hertfordshire mentioned the need to continue engagement and to embed open access processes in the culture of the institution. There was recognition that there will continue to be significant academic debate, with humanities academics more cautious than science (Royal Holloway). Bangor, Lancaster and Portsmouth identified concern among some Humanities and Social Sciences (HSS) researchers about potential uses of their work under the CC-BY licence as an issue that will need to be addressed.

5   Survey findings

5.1   Background

5.1.1   SCONUL conducted a survey of its members in May 2013 asking about institutional responses to open access requirements from research funders. Responses were received from 74 institutions (from a potential total of 162 relevant members) giving a response rate of 46%. Of the respondents: 15 were members of RLUK as well as SCONUL; 21 were from other institutions established before 1992 (excluding RLUK members); 30 were from post-1992 institutions; four were colleges of higher education and four were other types of institution.

5.1.2   The sample was broadly representative of the UK with the majority of the respondents (80%) from English universities; 11% from Scotland; 7% from Wales and one institution from Northern Ireland.

5.2   Levels of understanding of open access funder requirements among groups of staff

5.2.1   Respondents were asked to give their perception of levels of understanding of open access requirements among groups of staff within their own institution in relation to RCUK, the Wellcome Trust; funding council block grant (QR funding) and the REF. They were asked to rate perceived levels of understanding on a scale from one to five where one was low and five was high. The results across all respondents for the four funders are shown in Figure 2 below.

5.2.2   Research office and library staff are judged as having higher levels of understanding than authors in relation to all four funders. Comments supplied as part of the survey response suggest that in most cases, respondents are making a judgement about levels of understanding across the library or other department as a whole rather than thinking about specific groups of staff – approximately 20% of respondents provided a comment to the effect that there are groups of library staff with high levels of knowledge and expertise where their roles make this appropriate. For example, one respondent said:

> "*Scores on awareness are an average. For example, our repositories, research support, senior management and systems library staff are very aware (5) and have been involved in planning since July 2012. Other academic liaison staff have been kept up to date through meetings, emails and workshops. Other library staff however probably have very little awareness or interest (or need to).*"

5.2.3   Comments also suggest that levels of understanding and awareness with the academic community are quite mixed. For example, one respondent commented:

> "*Most parties within [the] university know there are mandates for OA, but academics do not fully understand differences of green/hybrid/gold and just assume money will automatically be made available to them if they need an APC. Academics rarely read publisher licenses properly or understand what they are being allowed to do under the agreements*".

5.2.4   Fourteen respondents included an assessment of the understanding and awareness of "others". Six named senior management within their institution within this context (Office of the Vice-Chancellor; University Executive etc.); three named research managers (research administrators/managers within the faculties; Departmental Research Committee Chairs) and three named specialist open access groups or expert groups of library staff.

5.2.5   A copy of the questionnaire is included as Appendix 5.
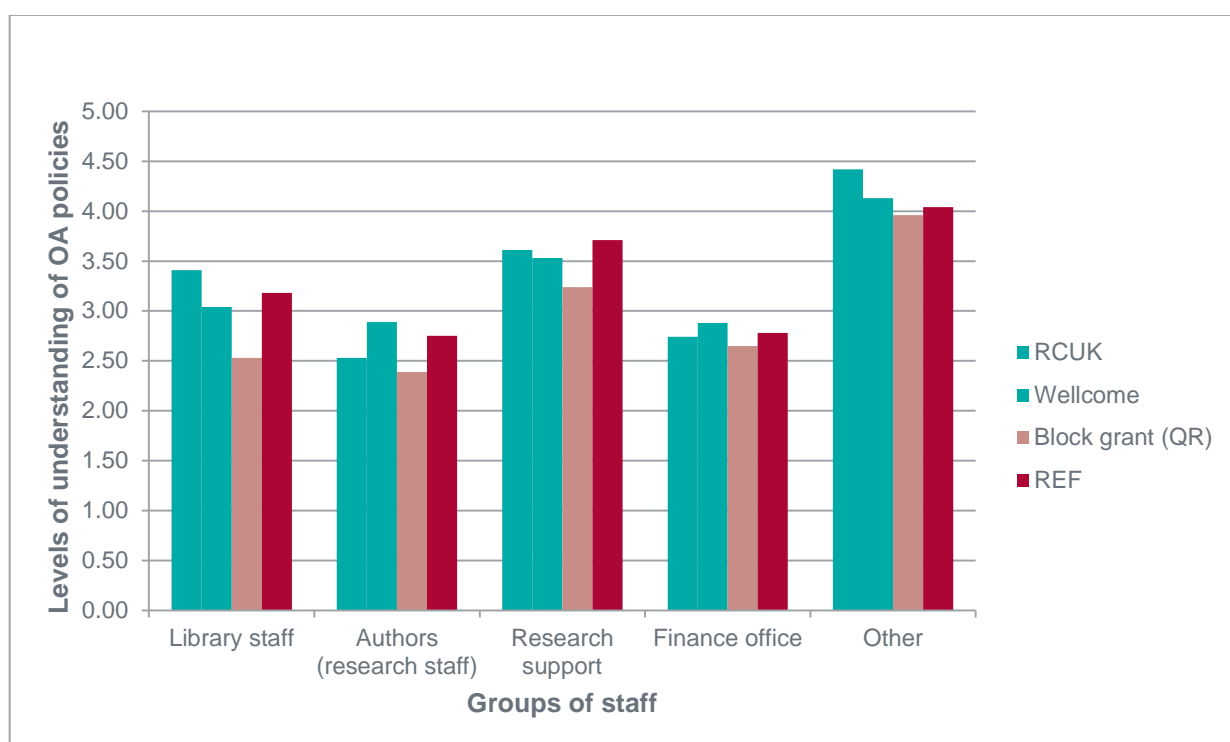
Figure 2: Levels of understanding of funder open access policies amongst groups of staff

5.3   Levels of compliance and preparedness within institutions in relation to funder open access policy

5.3.1   Responders were asked about their perception of the current levels of compliance and implementation within their institution in relation to RCUK,

The Wellcome Foundation and other funders' policies. Responses suggest that there is still work to do before institutions are fully compliant. This is unsurprising given that policy changes are still very recent and that in some cases, policy is still in flux. Findings suggest that a significant majority of institutions are either fully or partially compliant now, or expect to be within the next six months (i.e. before the end of the calendar year 2013). The figures are 74% for RCUK; 63% for Wellcome (where 23% are unsure of their institution's position) and 44.5% for other funding bodies (where nearly 40% are unsure of their institution's position). The data is provided below and illustrated in Figs 4 and 5 below.

	Full %	Partial %	Nothing currently and no known plans %	Expected/ planned within 6-12 months %	Expected/ planned within 12-24 months %	Not sure/don't know %
Research Councils UK	9.6	39.7	2.7	24.7	12.3	11.0
The Wellcome Trust	16.4	32.9	5.5	13.7	8.2	23.3
Other UK funding body or bodies	4.2	23.6	5.6	16.7	11.1	38.9

Figure 3: Perceptions of current levels of institutional compliance with mandatory open access policies of funding bodies
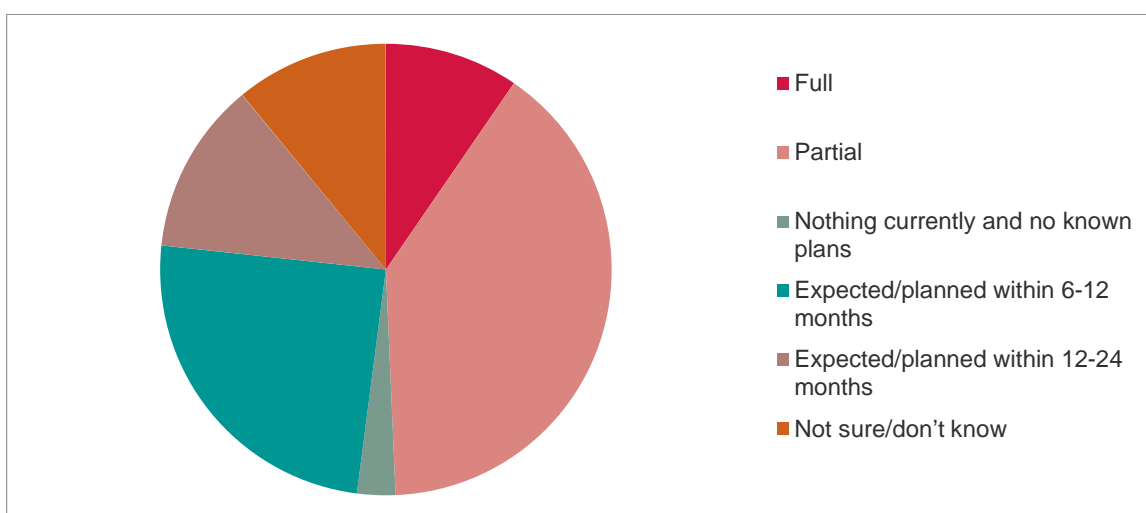
Figure 4: Perceptions of current levels of institutional compliance with mandatory open access policies of RCUK
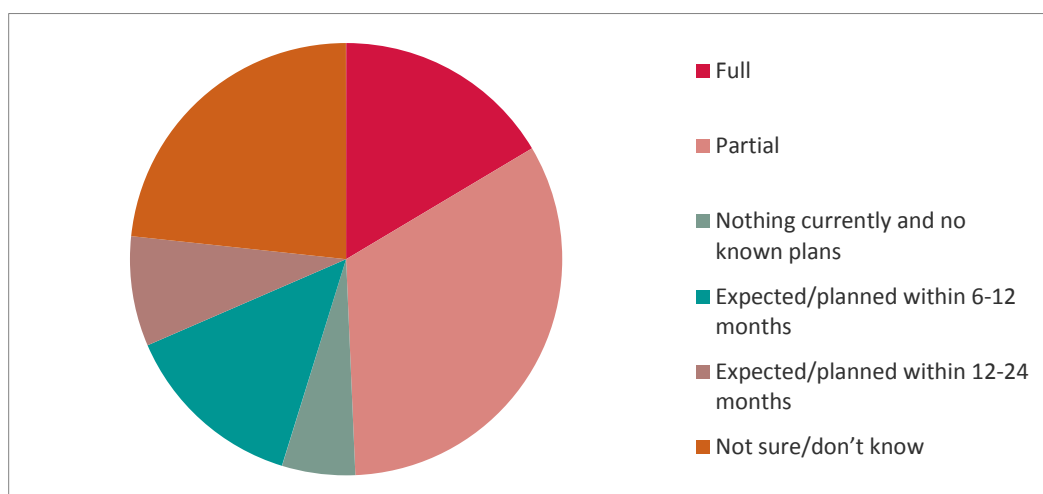
Figure 5: Perceptions of current levels of institutional compliance with mandatory open access policies of The Wellcome Trust.

5.3.2   Respondents were also asked about their perception of the current levels of preparedness (of systems, operational procedures and staffing) for the implementation of open access within their institution in relation to RCUK, The Wellcome Foundation and other funders' policies. Responses suggest that institutions are making good progress in putting in the appropriate structures and procedures in place. In relation to the RCUK open access policies, 78% of respondents said that their institutions are either fully or partially prepared now, or expect to be within the next six months (i.e. before the end of the 2013 calendar year). The figures for The Wellcome Foundation are 70% (where 15% are unsure of their institution's position) and 51% for other funding bodies (where nearly 28% are unsure). The data is provided below and illustrated in figures 6 and 7 below.

	Comprehensive %	Partial %	Nothing in place at present and no known plans %	Expected /planned within 6-12 months %	Expected/ planned within 12-24 months %	Not sure/don't know %
Research Councils UK	4.1	54.8	8.2	19.2	4.1	9.6
The Wellcome Trust	13.7	38.4	9.6	17.8	5.5	15.1
Other UK funding body/ies	1.4	31.9	11.1	18.1	9.7	27.8

Figure 6: Perceptions of current levels of preparedness (systems, operational procedures and staffing) in relation to funder policies on Open Access
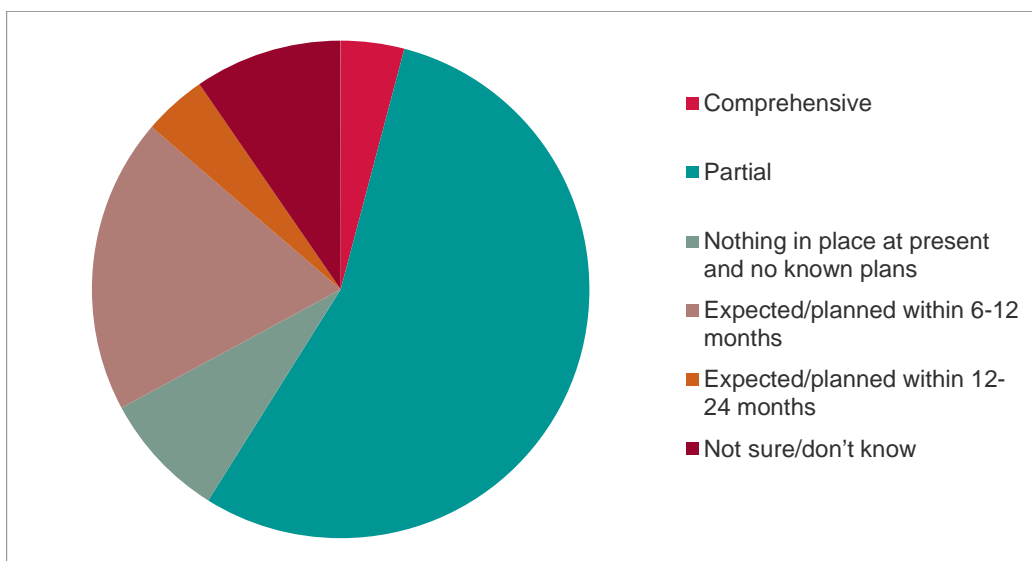
Figure 7: Perceptions of current levels of preparedness (systems, operational procedures and staffing) in relation to RCUK policies on Open Access
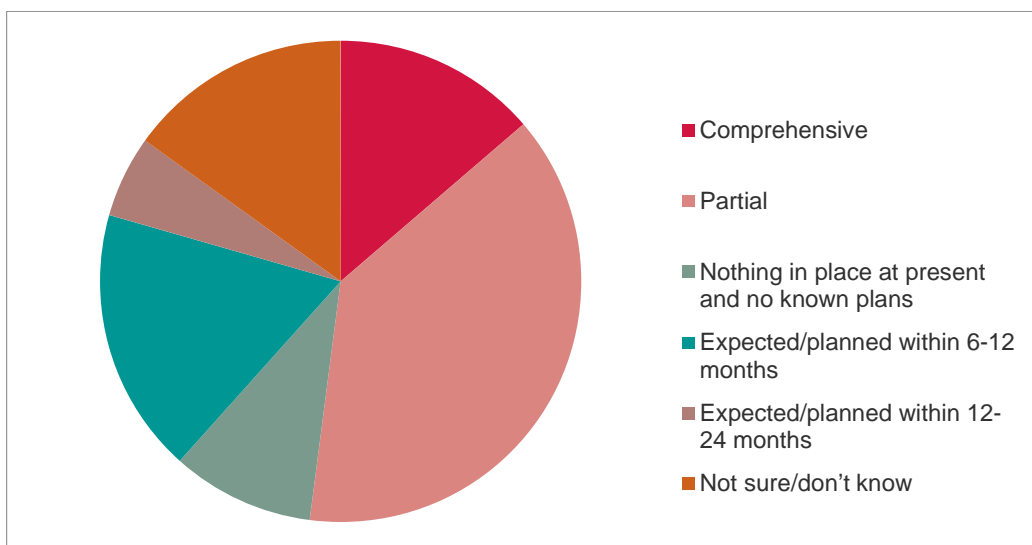
Figure 8: Perceptions of current levels of preparedness (systems, operational procedures and staffing) in relation to The Wellcome Foundation policies on Open Access

5.3.3   Over half of all respondents provided some commentary on the state of their institutions' compliance with, and preparedness for, funder open access requirements. Almost all emphasised that considerable effort was being undertaken in this area.

> "It will be some time before all aspects of compliance can be worked through, so although we have done a lot of work, we could not yet respond as anything other than partial."

"We are fully aware of the issues and are in the process of implementing appropriate policies and workflows to ensure compliance with mandatory OA policies form UK funding bodies."

"All of this is under development with green route fully implemented and gold route in place in an interim form but due to be enhanced by participation in Jisc Collections OAK project".

5.4   Institutional approaches to handling the RCUK block grant and APCs

5.4.1   The survey asked respondents for their assessment of the levels of experience and understanding of handling APCs amongst groups of staff within their institution. The responses show that library staff are regarded as the most experienced and as having the highest level of understanding, followed by research support staff. Comments provided as part of this response suggest that respondents are making a judgement of the levels of experience and knowledge across the library or research office as a whole, rather than of staff dealing directly with APCs or policy on Open Access as discussed above.
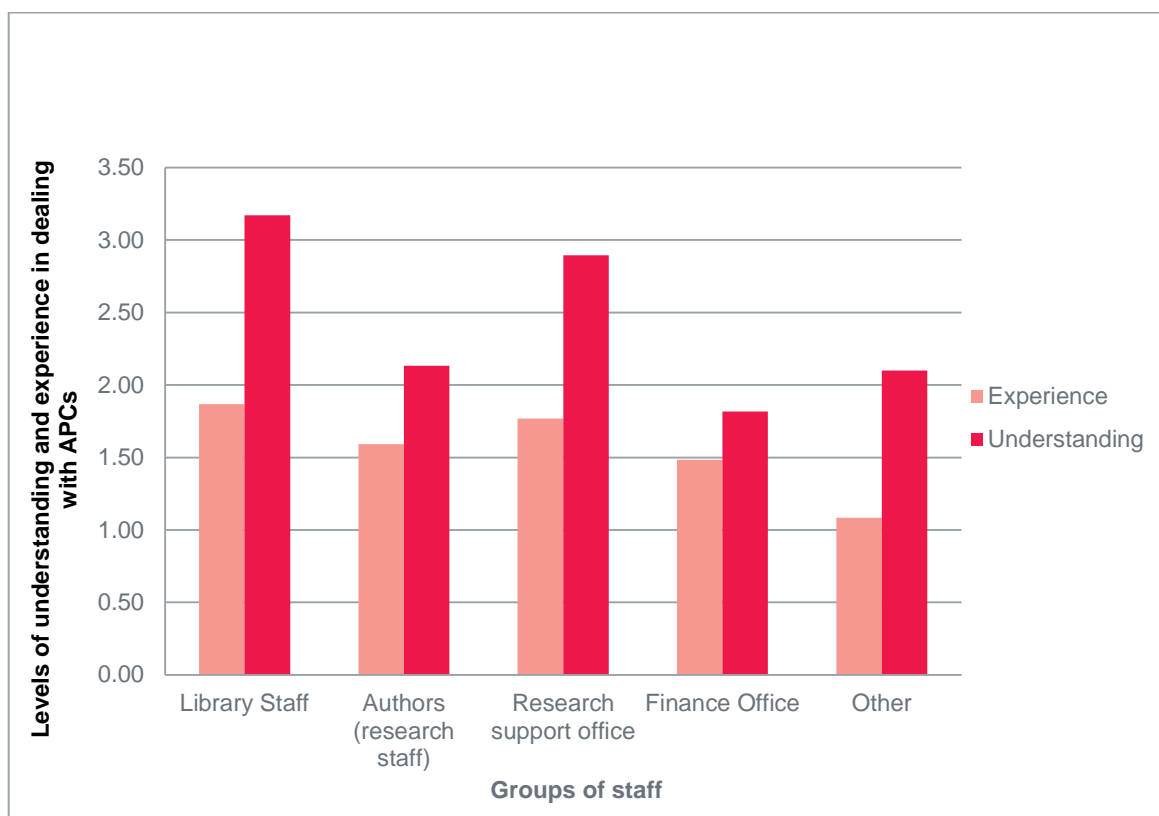
Figure 9: Perceptions of levels of (a) knowledge and (b) understanding of handling APCs among groups of staff

5.4.2   A number of obstacles to the effective handling of APCs were identified by respondents. Many of these were practical or administrative relating to the need to set up new systems and processes:

> *"[A] system will need to be set up from scratch; little knowledge and unknown sums of money."*

> *"Lack of [a] research information management system. Current changes within University means that APCs payments have not been addressed but Liaison Librarians have been contacted by academics about funds for gold access but [there is] no current direction within [the] University."*

> *"Lack of organisational support network (and difficulties of putting this in place); determining resource requirement for supporting APCs; software/technical solution to facilitate management of APC payments and maintaining a full awareness of all the various policies in place (high admin burden)"*

> *"Reaching agreement on the responsibility for paying APCs and on any related allocation of central funding."*

5.4.3   Respondents were also asked whether their institution was currently managing a block grant or other funding to support payment of APCs, with 65.2% saying yes, and 34.8% saying no. They were also asked which departments or groups are involved and were asked to rate their involvement on a scale with zero indicating no involvement; one indicates some involvement; and 2 indicating full involvement and/or overall responsibility. The results are shown in Figure 9 below. They suggest that in the majority of cases, the library has full responsibility or is taking the lead in managing the policy, but that the research support office are also taking a significant role, suggesting high levels of joint working and cooperation within institutions.

Fig 9: Levels of responsibility for handling the block grant amongst groups of staff

5.4.4　Respondents were also asked whether their institution was establishing a central fund to handle APCs and if so, how this fund is being administered. Just over half (56%) said that a central fund had been established.

5.4.5　27 institutions provided significant details of how the fund was being administered, with ten saying that it was being administered by the library and four saying that it was being administered by the research office. In the remaining 13 institutions, administration of the fund was being managed jointly between departments. Of these, in five cases the fund is managed jointly by the library and research office, and in the remaining eight by the library and by academics, often in a two stage approval process. The following comments are representative of the range of approaches described:

> "An author submits request to School Research Committee for funding. If the request is approved by the Committee, the Research Office will alert the library who manage fund and make payment to publisher."

> ""It [the central APC fund] is held by the Library as two separate budgets and will be administered by a new research support post. RCUK funded publications will come from a budget held for this purpose and comprising the block grant received. Other publications will go through an approval process (in which the Library is not involved) and will be paid from a budget made available centrally for this purpose."

> "The Research Office has overall responsibility for the allocation of the fund, and setting it up. The Library manages the fund and makes payments for APCs on behalf of authors."

> "The block grant is administered by the Library. Overall, it is steered by the Librarian, Head of the Research Office and Dean for Research."

5.4.6　Where the Library does have responsibility for administering the fund, respondents were clear that this did not involve any judgement about suitability for publication, or any infringement of academic freedom:

> "The Library has taken on full responsibility for managing this central fund, including the processes that support this. The Library is working with the University's finance office to ensure payments align with financial regulations. It is working with the University's research office to ensure funder compliance requirements will be met. It is working with academic departments to ensure authors are aware of the fund and are able easily to request payment of APCs. The Library will NOT make academic decisions on what articles receive APC payments where funds become limited. Academic faculties have agreed that this is their responsibility."

> "The Library holds the RCUK and Wellcome Trust block grants. We are at great pains to be totally transparent and not involve ANY academic

judgment. First-come, first-served, no criteria related to journal quality, price or business model. If you're compliant we will pay."

5.5 Changing internal structures and staffing

5.5.1 Respondents were offered an opportunity to make general statements about the introduction of Open Access within their institution. Several of the 30 institutions which commented referred to changes in internal structures or staffing which were taking place in response to the new requirements:

> *"The University is only in the initial stages of starting to address these issues. A proposal for the establishment of a 'scholarly publications office' to deal with implementation and guidance on OA is currently being prepared."*

> *"[There is a] current restructure of [the] University with the formation of new faculties and [the] creation of [a] Research Policy Unit (September 2014). Within each faculty it is more than likely that there will be responsibility at a senior level for research. OA Policy issues can then be addressed."*

> *"We anticipate closer working between Library and Research Support staff in managing these issues; and also more of a voice for the Library on the university's RKT Committee."*

> *"We have a post currently out for recruitment which will deal with research outputs and the management of [Open Access]."*

5.5.2 A number of respondents also referred to significant challenges in implementing the changes necessary to meet funder requirements, including tight deadlines; lack of additional funding to meet new demands and limited academic awareness.

> *"I think one major management issue is the short timeframe, and the lack of resourcing for staff to meet administration requirements. Currently, most HEIs are under pressure to cut unnecessary administration costs meaning it is difficult to get new posts and structures in place. Whilst the block grant from RCUK can be used for staffing, given the requirements to make articles OA the reality is that not much funding could be used to create new posts both practically or politically (where authors are already concerned there is not enough to meet the costs they are expected to pay in terms of both APCs and publications costs)."*

> *"Whilst we are attempting to keep the administration and bureaucracy surrounding OA publishing to a minimum, not least for the researchers themselves, it must be recognised that this will involve an increase in the amount of work for library and / or research support staff, which, in the current financial climate, is unlikely to result in additional staff resources being provided."*

"Awareness of this is very low as is staff capacity to develop policy and procedure."

"Explaining to researchers funder requirements and how to comply is difficult, especially in relation to embargoes and licences, because the policies are complicated and some elements of RCUK's lack clarity. Publisher policies are often hard to find and difficult to understand. Each publisher seems to have a different workflow, particularly in relation to authorisation of pre-paid APCs."

"[The] majority of our subjects are arts and humanities and discussions relating to these subjects areas are problematic and still on-going."

"There is a current risk that researchers will just ignore the policies due to lack of funds or a perception of an adverse impact on their publication preferences. Intervention will be crucial to bring researchers on board and help them understand the benefits and options they have."

5.5.3   Respondents also reflected on the fact that the policy requirements are new, some aspects are still uncertain, and that their own internal policies and procedures may require adaption and change in the light of experience and further knowledge:

"We see this first year as a pilot. Given that funder policies have changed on various issues over the last few months, publisher policies are changing on embargoes and licencing, and the actual payment from RCUK has not arrived, or was not communicated well, we consider a pilot service to be a reasonable way to discover the issues and firm up processes for year two."

"We are very much using the first year of the policy as a period for developing workflows and processes. We are starting simple and will develop processes to fill the gaps in our system."

5.6 Issues arising from the implementation of funder policies on Open Access

Criteria for deciding how many and/or which papers are to be supported by OA funding

5.6.1   Given that block grants and other APC funding is limited, the survey asked whether institutions are putting in place policies and/or procedures for determining which OA papers, or how many OA papers, are to be published. Given that this is a core issue, it is unsurprising that responses indicated high levels of clarity about this issue. Only 22% of respondents indicated that their institution was not addressing this issue, or didn't know whether their institution was addressing it. Responses from the remaining 78% suggested either that their policy was already decided (62%) or being developed (16%). Only a few responses suggested that formal limits were being placed on the number of OA articles being published, although some institutions are planning to monitor numbers and where some controls are in place,

responsibility for deciding which articles are published lies with academic departments. The following comments are representative:

"The responsibility will be devolved to Schools who will have their own policies. [The] aim is to have 45% APC to meet RCUK [requirements], but guidance to university research staff is that all papers should if possible be made Open Access. [It is] left to Schools to decide."

"[The] University felt instigating a review scheme whereby academics had to judge merit of one submission over another would be divisive and cumbersome. [The] Library has been asked to deal with the administration and keep it as simple as possible."

"It will be first come first served, at least initially, until actual levels of demand can be measured."

"We are currently monitoring the situation to see how far the funding stretches. There are no selective criteria in place to judge which papers should be funded by the block grant."

"At present we are operating a "suck it and see" operation. The lack of reliable information on previous levels of publication, particularly those where APCs were supported from elsewhere in the University make this a significant challenge for us."

Split payments

5.6.2   This is an area in which the majority of institutions responding have yet to develop a firm policy. Only 18 institutions (24%) indicated that they had clear internal processes for establishing how APCs will be paid when the authors come from more than one institution. 15 respondents said that this was an area the institution was actively considering (20%) while 27 institutions (36%) said that this was either something that the institution was yet to face or was yet to address. The remaining respondents indicated that they did not know.

5.6.3   Where there is a clear policy, responses illustrate a variety of approaches. A number of institutions will expect the lead author's institution to pay while others will deal with the matter on a case by case basis. The following comments are representative of the majority:

"Models for delivering this are currently being discussed by Research Services and Finance staff with Directors of Research".

"Each publication is being dealt with on a case by case basis initially. We have seconded an individual to deal with the workflow temporarily pending a more permanent arrangement in 2014."

"School level – discussion between author and School finance manager, no university wide system"

"This is unrealistic and operationally a nightmare to manage and organise. Our response is that the institutional lead UK author will pay the APC."

Additional charges

5.6.4   The majority of institutions are still yet to agree a final policy on handling additional charges from publishers (e.g. page charges, colour charges etc.) in addition to APCs. Funders may require these to be distinguished in any accounting/payment system. The responses from 22 institutions (32% of respondents) suggested that they did have a firm view on how these charges should be dealt with. A further 19 institutions (27%) are actively considering how this issue will be handled, and 18 (26%) said that this was either something that the institution was yet to face or was yet to address. The remaining respondents indicated that they did not know.

5.6.5   There does not seem to be a majority response from institutions in policy terms. Some are adopting the approach that these charges should not be met from the institution's OA funds, while others will allow them to be deducted from the central fund, but will attempt to capture this data. The following comments reflect the responses:

"If there are charges beyond the APC, then these have to be met by the author and not from the OA funds."

"I haven't encountered this yet, but for RCUK funded papers, we should be able to split out the costs in the Jisc APC system. Not sure how we are handling this for other funders."

"We are currently paying the extra charges from our block grant and accounting for them."

"Another nightmare. Very difficult to account for/track as each publisher invoices differently."

"Having seen my first APC breakdowns just last week, all I can confirm is that we are paying these, they are broken down, and they are extortionate!"

Monitoring of hybrid journals

5.6.6   Comments from respondents suggests that there is a high level of awareness of the potential for institutions to end up paying twice for the same content, through APCs and again through subscription fees to hybrid journals (sometimes referred to as 'double dipping'). Only 5 respondents were unaware of the institutional position on this issue, rather fewer than those who answered that they did not know how their institution was handling additional fees from publishers, or for handling split payments. Of the remaining respondents, one third (19) said their institution was yet to develop a formal

policy; one third (17) said that this issue was actively under discussion and the final third (18) said that a formal policy was in place.

5.6.7   Across respondents there were indications of a demand for action at a national level on this issue with seventeen of our respondents mentioning the need for a national service to capture this data and / or to ensure that APC expenditure is reflected in reduced subscription rates. The following comments are a cross-section of responses:

"We are aware of this issue and are in the process of developing mechanisms to ensure we are able to capture and monitor this information. The Library and Research Office [are] likely to lead.

"We monitor all payments and to whom. This information is available when renewing subscriptions, although we would expect the national APC payment data which HEFCE/RCUK will publish will be more useful in this instance. We have no policy in place for how this will be used."

"The plan is that our internal systems will indicate what payments have been made to which journals. It is certainly the intention of SHEDL to negotiate discounts on behalf of the consortium where significant levels of APC have been paid to subscribed resources"

"We can provide data on monitoring via our institutional repository in order to be able to report to funding bodies. However we would expect monitoring on this to be co-ordinated at a national level rather than each individual institution trying to do this on its own."

Compliance monitoring

5.6.8   Survey responses revealed a high level of awareness of the need to monitor compliance with funder OA requirements, and that appropriate mechanisms are being developed, but are not yet fully in place. 27 institutions (39% of those responding) indicated that they had a policy agreed and in place with a further 16 responses (24%) suggesting that the policy is in the process of being developed. However, there is also a recognition that policy may need to be adapted when there is greater clarity over requirements. A further 16 responses suggested that no policy was yet in place, with nine saying they did not know.

Of those responding, eight indicated that they either hoped or believed that the Jisc APC project or PURE would provide assistance in monitoring compliance.

"We are part of the Jisc OAK pilot and hope that this will be developed through that system as well as in-house records."

"We are aware that this is required and are educating our academics with help of Library staff and Research & Knowledge exchange staff, to include

this type of statement. We will probably spot check compliancy post publication"

"In order to do this we used some of the BIS funding to pay for a plug-in for Eprints which is under development and should be ready in the next 6-12 months. However there needs to be consensus across institutions on how this is made available in a machine readable format."

"The college is communicating this to staff but there is already such a great deal of confusion over OA in general that we anticipate this will be a long battle."

"This is something we are working towards, monitoring and reviewing in the first year so that we can build compliance into future policy and procedures."

Reporting requirements

5.6.9   It is not yet clear what requirements funders may put in place for increased reporting and this is reflected in survey responses. Only 36% of the responses received (24 institutions), referred to having a formal policy in place. 25% of responses (17) suggested that policy was in development, with a similar number (18) stating that no policy was in place. The remaining respondents said that they did not know what their institution was planning*.*

"[We are] keeping data in the internal Finance system for now, but awaiting more detail from RCUK as to what reporting they will require."

"Research Services and Information Services (Library) staff are monitoring the development of systems (for example OAK) which would provide this level of management information alongside the implementation of a CRIS."

"We are in the process of ensuring our existing systems are capable of capturing the information required by funders and producing reporting requirements."

"[This is] managed by University Research Manager in conjunction with University Finance Office."

"[We are] talking to Sympectic and Jisc APC about collecting evidence to report compliance and awaiting clearer guidance from RCUK about what information they will require."

"The details of this are yet to be defined, and further information from funders will be helpful in identifying what we need to do."

6. Managing APCs: A guide to emerging intermediary services

Introduction

6.1 In their report dated October 2012 entitled: *The Potential Role for Intermediaries in Managing the Payment of Open Access Article Processing Charges (APCs)*[47] *,* the Research Information Network[48] discusses the potential role for one or more intermediaries in managing the payment of APCs. In this report, RIN identify the following groups as having a potential role in this area[49]:

Subscription agents

6.2 Examples: Swets, EBSCO, LM Information and/or other leading agencies with an established business presence in the UK. Such groups could potentially provide services supporting various aspects of APC management including: fund management, APC request processing, invoicing and payments, policy compliance checking (potentially pre- and post-publication), reporting and more. Swets have recently announced an APC management service[50].

Reproduction rights organisations

6.3 Example: the Copyright Clearance Centre (CCC). The CCC's *Open Access and APC Management*[51] service, which was launched in October 2012, was designed specifically to manage payment of APCs and other charges. According to the CCC, this service enables publishers to quickly and effectively manage APCs as well as page and colour changes, submission fees and author reprints. The system also streamlines processes and increases efficiency for authors, institutions and research funders. Cambridge University Press has been an early adopter of this service[52].

6.4 In principle, the UK-based Copyright Licensing Agency[53] and Publishers Licensing Society[54] could both take a similar role (neither has, at the time of writing[55], made any announcement to this effect).

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[47] http://www.researchinfonet.org/wp-content/uploads/2012/11/APC-report-as-published.pdf

[48] RIN: http://www.researchinfonet.org/

[49] This section of the report draws heavily on the information provided in the RIN report.

[50] http://www.swets.com/open-access-services (announced July 10th 2013)

[51] http://www.copyright.com/content/cc3/en/toolbar/productsAndSolutions/open-access.html

[52] For more details, see: http://www.copyright.com/content/cc3/en/toolbar/aboutUs/newsRoom/pressReleases/press_2013/press-release-13-06-18.html

[53] www.cla.co.uk/

[54] www.pls.org.uk/

[55] July 2013

Collective procurement organisations

6.5 Example: Jisc Collections[56], established by the UK Higher and Further Education Funding Councils to support the procurement of digital content for education and research in the UK. Jisc Collections is arguably well set up in this area as it currently provides a consolidated licensing, negotiation and payment service to publishers on behalf of participating institutions (see next point below).

New intermediaries/start-ups

6.6 Open Access Key (OAK)[57] is a start-up company which has developed a web-based platform to manage, consolidate and process publication fees incurred in open access publishing on behalf of authors, institutions, consortia and publishers.

6.7 In January 2013, OAK and Jisc Collections announced[58] they would be running a 12-month pilot project, called Jisc APC, to test Jisc Collections' role in managing and processing gold OA article payment charges made by participating institutions.

6.8 The new Jisc APC service seeks to reduce the administrative burden on the various parties involved in processing and managing APC transactions.

6.9 An invitation to participate in the pilot has been issued by Jisc Collections to UK Institutions interested in joining the project and at the time of writing[59], 24 institutions have signed the agreement and are participating in the pilot with more to join over the summer. Discussions with publishers are also taking place at the same time.

6.10 Jisc Collections has also negotiated a small discount for its member institutions off the subscription fee for the OAK service, along with some modifications to OAK's standard terms and conditions of service[60].

6.11 SCONUL members wishing to find out more about the Jisc APC Pilot can contact Jo Lambert at Jisc Collections[61].

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[56] http://www.jisc-collections.ac.uk/About-JISC-Collections/

[57] http://www.openaccesskey.com

[58] http://www.jisc.ac.uk/news/jisc-collections-and-open-access-key-to-collaborate-on-uk-gold-oa-article-payments-pilot-23-jan

[59] June 25th 2013

[60] http://www.jisc-collections.ac.uk/Catalogue/Overview/index/1400

[61] j.lambert@jisc-collections.ac.uk

Appendix 1: Selected further reading and resources

1. The Finch Report: commentary and analysis

- The Finch Report[62] (140 pages); Executive Summary[63] (11 pages) *(June 2012)*.

- Government Response to The Finch Report *(David Willetts, Minister for Universities and Science – July 2012)*[64]

- Willetts' Response to the Finch Report: Oral statement to Parliament *Public access to publicly-funded research (May 2012)*[65].

- Further selected reporting, debate, commentary and analysis on the implementation of the Finch Report:

    o *Britain Aims for Broad Open Access*, Nature News, June 2012[66]
    o Guardian article: *Free access to British scientific research within 2 years? (July 2012)*[67]
    o RLUK response to the Finch Report[68]
    o RLUK/SCONUL Response to the Government[69] *(July 2012)*
    o *Why the UK should not heed The Finch Report*, opinion piece by Stevan Harnad, London School of Economics blog *(July 2012)*[70]
    o STM [International Association of Scientific, Technical & Medical Publishers] welcomes report of the Finch Group[71]
    o Further articles and comment pieces[72]
    o Implementing Finch, 2-day conference, Academy of Social Sciences *(Nov. 2012)*[73]
    o Notes from the meeting held to discuss implementation and guidance questions relating to the June 2012 RCUK Open Access Policy *(Nov. 2012)*[74]
    o Submission by RLUK to the House of Commons Business Innovation & Skills Committee: Inquiry into Open Access Policy *(Jan. 2013)*[75]
    o Foundation for Science & technology discussion of the Finch Report *(March 2013)*[76]

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[62] http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf

[63] http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-executive-summary-FINAL-VERSION.pdf

[64] http://www.bis.gov.uk/assets/BISCore/science/docs/L/12-975-letter-government-response-to-finch-report-research-publications.pdf

[65] https://www.gov.uk/government/speeches/public-access-to-publicly-funded-research

[66] http://www.nature.com/news/britain-aims-for-broad-open-access-1.10846

[67] http://www.guardian.co.uk/science/2012/jul/15/free-access-british-scientific-research

[68] http://www.rluk.ac.uk/content/rluk-reaction-finch-report

[69] http://www.rluk.ac.uk/content/rluksconul-response-bis-statement-access-publicly-funded-research

[70] http://blogs.lse.ac.uk/impactofsocialsciences/2012/07/04/why-the-uk-should-not-heed-the-finch-report/

[71] http://www.stm-assoc.org/industry-news/stm-welcomes-report-of-the-finch-group-into-expanding-access-to-research-publications-in-the-uk/

[72] http://www.scoop.it/t/finch-report-commentary

[73] http://www.socialsciencespace.com/2012/12/implementing-finch-conference/#oa&utm_source=twitterfeed&utm_medium=twitter

[74] http://www.rcuk.ac.uk/documents/documents/NoteRCUKOpenAccessWorkshop3-Nov-2012.pdf

[75] http://www.rluk.ac.uk/files/RLUK%20Lords%20Open%20Access.pdf

[76] http://www.foundation.org.uk/events/pdf/20130306_Summary.pdf

2. Recent commentary on the RCUK OA Policy

- April 2013: RCUK Policy on Open Access and Supporting Guidance[77]

- May 2013: RCUK Policy on Open Access Frequently Asked Questions[78]

- May 2013: uncorrected transcript of oral evidence to House of Commons Business, Innovations and Skills Committee (to be published as HC 99-i).[79]

- June 2013: Open and Shut Case? Blog commenting on the above evidence and examining the unintended but potential consequences of the May RCUK OA Policy update[80]

3. Selected open access websites

- Directory of Open Access Journals (DOAJ)[81] "aims to be THE one-stop shop for users of OA journals".

- The Open Access Directory (OAD)[82] is a compendium of simple factual lists about Open Access to science and scholarship

- Open Access Implementation Group (OAIG)[83]: Aims "…to add value to the work of the member organisations to increase the rate at which the outputs from UK research are available on OA terms." Members include: ARMA, Jisc, RLUK, RCUK, SCONUL and the Wellcome Trust.

- Open Access Scholarly Information Sourcebook (OASIS)[84] aims to provide an authoritative 'sourcebook' on Open Access, covering the concept, principles, advantages, approaches and means to achieving it. The site highlights developments and initiatives from around the world, with links to diverse additional resources and case studies.

- *Open*DOAR[85] (The Directory of Open Access Repositories): *Open*DOAR is an authoritative directory of academic open access repositories. It aims to provide a *quality-assured* list of academic repositories containing full-text materials that are openly accessible*.* As well as providing a simple repository list, *Open*DOAR allows users to search for repositories and search repository contents. It also provides tools and support to both repository administrators and service providers in sharing best practice and improving the quality of repository infrastructure.

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[77] http://www.rcuk.ac.uk/documents/documents/RCUKOpenAccessPolicy.pdf (includes guidelines supporting interpretation, compliance and implementation.

[78] http://www.rcuk.ac.uk/documents/documents/OpenaccessFAQs.pdf.

[79] http://www.publications.parliament.uk/pa/cm201314/cmselect/cmbis/uc99-i/uc9901.htm

[80] June 2013 http://poynder.blogspot.co.uk/2013/06/open-access-emeralds-green-starts-to.html

[81] http://www.doaj.org/

[82] http://oad.simmons.edu/oadwiki/Main_Page

[83] http://open-access.org.uk/news/

[84] http://www.openoasis.org/

[85] http://www.opendoar.org/

- PEER: Publishing and the Ecology of European Research[86] investigated the effects of the large-scale, systematic depositing of authors' final peer-reviewed manuscripts (green open access) on reader access, author visibility, and journal viability, as well as on the broader ecology of European research. The project was a collaboration between publishers, repositories and researchers and lasted from 2008 until 2012. Usage reports, the final project reports and presentations from the project completion meeting are available from the PEER website.

- PEERJ[87]: PeerJ is an open access publisher of scholarly articles. It aims "…to drive the costs of publishing down, while improving the overall publishing experience, and providing authors with a publication venue suitable for the 21st Century." See in particular for interesting membership and pricing/business models.

- SCOAP[3] [88] is a consortium [which] facilitates open access publishing in High Energy Physics by re-directing subscription money. Through the currently predominant subscription model, funding bodies support institutions to purchase journal subscriptions through their libraries so that that institution's authorised users can read articles. The vision of SCOAP[3] is for funding bodies and libraries to contribute to the consortium, which pays centrally for the peer-review service with articles made free to read for everyone.

- SOAP: the Study of Open Access Publishing[89] is a two-year project, funded by the European Commission, with the aims of studying the new open access business models that have emerged as a result of the shift from print to digital documents and informing the European Commission and all stakeholders about the risks, opportunities and essential requirements for a smooth transition to open access publishing.

4. Further Reading (i): selected articles and reports on mandated Open Access and related topics

- Emery, J., *Mining for gold: identifying the librarians' toolkit for managing hybrid open access*, Insights: the UKSG journal, UKSG, ISSN: 2048-7754 (Online); Volume 26, Number 2/July 2013; pages: 115-119[90];

- Gargouri,Y., Lariviere,V., Gingras,Y., Brody, T., Carr, L. and Harnad, S., (2012), *Testing the Finch Hypothesis on Green OA Mandate Ineffectiveness*, Open Access Week 2012[91]

- Gulley, N., *Creative Commons: challenges and solutions for researchers; a publisher's perspective of copyright in an open access environment*, Insights: the UKSG journal, UKSG; ISSN: 2048-7754 (Online); Volume 26, Number 2/July 2013; pages: 168-173[92];

- Harnad, S., (2012) *Hybrid gold open access and the Cheshire Cat's grin: How to repair the new open access policy of RCUK*[93]

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[86] http://www.peerproject.eu/
[87] https://peerj.com/pricing/
[88] http://scoap3.org/
[89] http://project-soap.eu/
[90] http://uksg.metapress.com/content/v757245422x57833/fulltext.pdf
[91] http://eprints.soton.ac.uk/344687/
[92] http://uksg.metapress.com/content/707100364221515l/
[93] http://eprints.soton.ac.uk/342582/

- Harwood , P., (2010), *Central administration of open access article fees on behalf of UK higher education,* presentation to ASA Annual Conference, February 2010[94]

- Houghton, J., & Swan, A., (2013), *Planting the Green Seeds for a Golden Harvest: Comments and Clarifications on "Going for Gold"* D-Lib Magazine, January/February 2013, Vol.19, No. 1/2

- Pinfield, S., (2010), *Paying for open access? Institutional funding streams and OA publication charges.* Learned Publishing 23 (1) January 2010[95]

- Middleton, C. and Pinfield, S., (2012), *Open Access Central Funds in UK Universities*[96] Learned Publishing, Volume 25, Number 2, April 2012 , pp. 107-116(10)

- Middleton, C., (2009), *Open access, hidden costs? Supporting open access publishing at a research-led University,* presentation at UKSG 1-Day Conference: *Let's Not Waste a Crisis*, November 2009[97].

- Research Information Network (2011), *Heading for the open road: costs and benefits of transitions in scholarly communications*[98]

- Research Information Network (2012), *The Potential Role for Intermediaries in Managing the Payment of Open Access Article Processing Charges (APCs).*[99]

- Research Information Network (2009) *Paying Fees for Open Access Publishing: New Guidance*, RIN Report[100]

- Solomon, DJ., & Björk, C., *A Study of Open Access Journals Using Article Processing Charges*, Journal of the American Society for Information Science and Technology, Volume 63, Issue 8, pages 1485-1495, August 2012[101]

- Sykes, P., *Open access gets tough*, Insights: the UKSG journal, UKSG, ISSN: 2048-7754 (Online), Volume 26, Number 2, July 2013[102]

5. Further reading (ii): guides to Open Access

- Research Information Network (2010), *Introduction to Open Access*[103]

- *Suber, P. (2013) Open Access*[104]. Free to download as PDF, ePub, HTML or Kindle format (or to buy as a paperback). [From the website]: "*A concise introduction explaining what Open Access is and isn't, how it benefits authors and readers of research, how we pay for it, how it avoids copyright problems, how it has moved from the periphery to the*

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[94] http:///www.subscription-agents.org/system/files/15.%20Harwood.pdf

[95] http://dx.doi.org/10.1087/20100108

[96] http://dx.doi.org/10.1087/20120205

[97] http://www.uksg.org/sites/uksg.org/files/PresentationMiddleton.pdf

[98] http://www.rin.ac.uk/our-work/communicating-and-disseminating-research/heading-open-road-costs-and-benefits-transitions-s

[99] http://repository.jisc.ac.uk/4949/

[100] http://www.rin.ac.uk/news/paying-fees-open-access-publishing-new-guidance

[101] Accepted Version available open access from: http://www.openaccesspublishing.org/apc2/

[102] http://uksg.metapress.com/content/u618l31436wm9v55/

[103] http://www.rin.ac.uk/our-work/using-and-accessing-information-resources/introduction-open-access

[104] http://mitpress.mit.edu/books/open-access

mainstream, and what its future may hold… It's particularly good on practical details of how various kinds of OA mandate work."[105]

- YouTube: A series of short videos aiming to promote wider awareness and understanding of OA.[106]

6. Selected discussion forums / websites

- Liblicence (http://liblicense.crl.edu/)

- Open Access Archivangelism (http://openaccess.eprints.org/)

- Open Access Writings of Peter Suber (http://legacy.earlham.edu/~peters/fos/overview.htm)

- Richard Poynder: Open and Shut? (http://richardpoynder.co.uk/index.html)

- Scholarly Kitchen (http://scholarlykitchen.sspnet.org/)

7. Other sources of influential reporting on Open Access

- Time Higher Education[107]

- Wired Campus from the Chronicle of Higher Education [108]

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[105] Mike Taylor, academic, library software programmer and OA advocate quoted in an interview with Richard Poynder on the latter's blog, Open & Shut, posted 1st July 2013, entitled: *Open Access: Where are we, what still needs to be done?* http://poynder.blogspot.fi/2013/07/open-access-where-are-we-what-still.html.

[106] http://www.youtube.com/openaccessnet

[107] e.g. http://www.timeshighereducation.co.uk/news/g8-science-ministers-endorse-open-access/2004820.article

[108] http://chronicle.com/blogs/wiredcampus/

Appendix 2: Other large research funding bodies with mandatory open access policies

This appendix provides examples of individual open access policies from some of the most prominent international research funders who fund UK researchers. It is intended as a guide to **many** of the most prominent funders (outside of RCUK, Wellcome and the UK funding councils) but it is not exhaustive[109].

To explore the OA policies of a comprehensive list of funding bodies, medical research charities and institutions, SCONUL members are referred to the directories listed in Appendix 3.

Australian Research Commission (ARC)

- The Australian Research Council (ARC)[110] introduced, with effect from the 1st January 2013, a new open access policy[111] which mandates that all ARC-funded research must be deposited into an open access institutional repository within 12 months from the date of publication.

Department for International Development (UK)

- The DFID Research Open and Enhanced Access Policy[112] applies to new research projects and programmes with grants or contracts awarded from this date. While not required, researchers holding DFID grants or contracts awarded prior to 1st November 2012 are encouraged to adopt the policy. The policy features a series of *Required* and *Encouraged* elements.

European Research Commission (ERC)

- The ERC launched its open access policy in December 2007. At the time of writing, the latest version of the policy is dated June 2012[113].

- The key policy point from the current ERC OA Policy is: "The European Research Council requires electronic copies of any research papers and monographs supported by ERC funding to be made publicly available as soon as possible, and no later than six months after the official publication date of the original article."

- The policy recommends ERC-funded researchers make their publications available on Open Access terms using recommended[114] discipline-specific repositories, institutional repositories or via their own webpages.

- Primary data as well as data-related products such as computer codes are covered.

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[109] Because of the constantly evolving nature of open access policy in relation to research communication, it is unlikely this list is exhaustive. SCONUL members are therefore encouraged to investigate the open access policies attached to current and future sources of research funding in their institutions. In case of doubt, to ensure compliance, direct dialogue with the funder in question is recommended.

[110] http://www.arc.gov.au/

[111] http://www.arc.gov.au/applicants/open_access.htm

[112] https://www.gov.uk/government/publications/dfid-research-open-and-enhanced-access-policy

[113] available here: http://www.eesc.europa.eu/?i=portal.en.int-opinions.24976

[114] The recommended repository for Life Sciences is Europe PMC (formerly UK PubMed Central; name change 1 November 2012); and for Physical Sciences and Engineering, ArXiv is recommended. The ERC Scientific Council is reviewing existing practices and open access infrastructures in Social Sciences and Humanities and will make recommendations in the future.

- Open access fees can be charged against ERC grants by ERC funded researchers. Host Institutions are encouraged to cover open access fees for any research papers and monographs that are supported by ERC funding which arise in the period up to 24 months *after* the end of a grant.

- SCONUL members are encouraged to download and familiarise themselves with the current Open Access Guidelines for Researchers funded by the ERC[115].

European Commission (EC)

- In August 2008, the European Commission launched the *Open Access Pilot in the Seventh Framework Programme (FP7)*[116]. The pilot aims "…to permit easy and free access to scientific information, in particular peer-reviewed scientific articles published in journals. Articles covered by the pilot will become accessible after an embargo period of 6 or 12 months, depending on the FP7 area."

Global Research Council

- The Global Research Council is a virtual organization, comprised of the heads of science and engineering funding agencies from around the world, dedicated to promoting the sharing of data and best practices for high-quality collaboration among funding agencies worldwide.

- In their *Action Plan Towards Open Access Publications*[117], published following the GRC's annual meeting in May 2013, the GRC lays out its plan to encourage open access to all outputs from publicly-funded research which originated from their funding. This relates specifically to journal articles.

- Research funders will provide support for their grantees to encourage and enable them to make their works openly accessible via suitable routes, e.g. through open access policies, through addressing copyright, or through dedicated open access funding.

National Institutes for Health (NIH)

- The NIH Public Access Policy[118] ensures that the public has access to the published results of NIH funded research by requiring scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central[119] *upon acceptance for publication* such that they are accessible to the public currently no later than 12 months after publication.

Science Europe

- Science Europe[120] is a Brussels-based association of 51 European national research organisations. In its latest position statement[121], Science Europe member organisations have agreed a set of common principles to support the transition to Open Access, the common goal

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[115] http://erc.europa.eu/sites/default/files/document/file/open_access_policy_researchers_funded_ERC.pdf

[116] http://ec.europa.eu/research/science-society/document_library/pdf_06/open-access-pilot_en.pdf

[117] http://www.dfg.de/download/pdf/dfg_magazin/internationales/130528_grc_annual_meeting/grc_action_plan_open _access.pdf

[118] http://publicaccess.nih.gov/policy.htm

[119] http://www.pubmedcentral.nih.gov/

[120] www.scienceeurope.org

[121] http://www.scienceeurope.org/downloads (dated April 2013)

of which is "…to shift to a research publication system in which free access to research publications is guaranteed, and which avoids undue publication barriers. This involves a move towards Open Access, replacing the present subscription system with other publication models whilst redirecting and reorganising the current resources accordingly."

United States Office of Science and Technology Policy (OSTP)

- The latest (February 2013) policy statement[122] states that the Office of Science and Technology Policy (OSTP) hereby directs: *"…each Federal agency with over $100 million in annual conduct of research and development expenditures to develop a plan to support increased public access to the results of research funded by the Federal Government. This includes any results published in peer-reviewed scholarly publications that are based on research that directly arises from Federal funds…".*

- Members may also wish to reference this article in the Library Journal[123] which describes the differences between the CHROUS and SHARE systems proposed by the publishing and library communities respectively and intended to support the capture of metadata pertaining to publicly-funded research articles in the US.

World Bank

- The latest World Bank open access policy[124] states: "The Bank requires that manuscripts published through the Bank, be both free to access online through the Bank's Open Knowledge Repository and free of restrictions on their use (libre OA) from the time of deposition of the content. These manuscripts shall be published under the CC BY license".

- "[The Bank]: Requires that manuscripts published through external publishers be free to access online, but with restriction on use (gratis OA), through the Bank's Open Knowledge Repository[125], preferably without delay. If an external publisher requires an embargo period, the Bank will respect the requirement, but every effort should be made to limit the duration of the embargo (ideally, no more than 18 months)."

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[122] http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf

[123] http://lj.libraryjournal.com/2013/06/oa/arl-launches-library-led-solution-to-federal-open-access-requirements/#_

[124] http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/04/03/000406484_20120403130112/Rendered/PDF/6783000PP00OFF0icy0Approved0April2.pdf

[125] https://openknowledge.worldbank.org/about

Appendix 3: selected related open access resources

BioMed Central[126]

- A directory of countries detailing each of the mandated open access policies currently active in each including links to the policy/ies in question and related information. See also UNESCO (below).

FundRef

- FundRef[127] is a collaborative project of scholarly publishers and funding agencies, facilitated by CrossRef[128], to provide a standard way of reporting funding sources for published scholarly research.

- FundRef benefits researchers, by simplifying inclusion of grant information in article submissions; publishers, who will be able to analyse the sources of funding for their published content; and funding organizations, who will be able to better track the results of their funding policies.

RIOXX[129]

- Supported by RCUK and the Jisc, and managed by UKOLN[130], the aim of RIOXX[131] is to develop a consistent approach to collecting and exposing metadata in the UK's open access repositories in response to the RCUK requirement to track research outputs.

- RIOXX enables funders to track open access research outputs associated with their grants by applying consistency to the metadata fields used to record research funder and project/grant identifiers. In this way it allows better information discovery and higher quality statistical reporting to institutions.

- RIOXX provides management information required at a national policy level, and saves time and effort in activities such as research reporting, compliance checking and gathering business intelligence. Jisc and RCUK anticipate that UK institutions will begin adopting and complying with the RIOXX Guidelines during 2013.

ROARMAP

- Hosted by the School of Electronics and Computer Science at the University of Southampton, ROARMAP[132] (the Registry of Open Access Repositories Mandatory Archiving Policies) is an

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[126]   http://www.biomedcentral.com/

[127]   http://www.crossref.org/fundref/ *(last accessed 25/6/13)*

[128]   http://www.crossref.org/ *(last accessed 25/6/13)*

[129]   http://www.jisc.ac.uk/whatwedo/programmes/di_researchmanagement/repositories/rioxx.aspx

[130]   University of Bath: http://www.ukoln.ac.uk/ *(last accessed 25/6/13)*

[131]   RIOXX is an extension of an earlier project looking at Repository Interoperability Opportunities (RIO). http://www.rioxx.net/ *(last accessed 02/7/13)*

[132]   The Registry of Open Access Repositories Mandatory Archiving Policies: http://roarmap.eprints.org/ *(last accessed 25/6/13)*

open, searchable database. It serves as a web directory of funder and institutional open access mandates which require deposit in one or more open access repositories as part of their policy.

- ROARMAP enables users to search by country and mandate type (e.g. institutional, funder etc.) to identify UK and international organisations which have an open access policy (providing this has been registered with ROARMAP).

- ROARMAP currently[133] lists 399 active mandates, over 30 of which are from UK Universities (and a further 31 proposed mandates).

- Because the open access landscape is changing, some of the data on ROARMAP is out of date[134]. We therefore suggest SCONUL members use it as a guide to which institutions and funders have registered an OA policy and then search the website and/or contact the individual institution/funder in question to gain access to the latest policy information.

SHERPA/FACT

- SHERPA/FACT is a tool to help researchers check if the journals in which they wish to publish their results comply with their funder's requirements for open access to research.

- It combines and interprets data from SHERPA/RoMEO, SHERPA/JULIET and other sources to provide guidance on compliance with Research Councils UK and Wellcome Trust Open Access policies, and offers advice on their available options.

SHERPA JULIET

- JULIET[135] is a searchable database of international funder policies concerning the self-archiving of journal articles on the web and in open access repositories.

- Each entry provides a summary of the funder's policy, including whether to archive, what version of an article must be deposited, when and where it must be published/deposited and any conditions attached to publication/deposit.

SHERPA RoMEO

- RoMEO[136] is a searchable database of publisher's copyright and self-archiving policies for pre-prints and post-prints in the context of self-archiving of journal articles on the web and in open access repositories.

- Each entry provides a summary of the publisher's policy, including what version of an article can be deposited, where it can be deposited, and any conditions attached to that deposit.

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[133] June 2013

[134] For example, at the time of writing, the Durham OA Policy cited on ROARMAP has been superseded by the *Open Access to Research Outputs* on the Durham University website (http://www.dur.ac.uk/research.office/open.access/)

[135] http://www.sherpa.ac.uk/juliet/ *(last accessed 25/6/13)*

[136] http://www.sherpa.ac.uk/romeo/ *(last accessed 25/6/13)*

UNESCO Global Open Access Portal (GOAP)

- GOAP[137] provides comprehensive summaries of the status of Open Access by country including key organizations engaged in OA in each country, funding and deposit mandates, thematic focus areas of OA, important publications on OA coming from different regions of the world, critical assessment of major barriers to OA in each country, potential of OA in UNESCO Member States and links to OA initiatives around the world.

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[137] http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/ *(last accessed 02/7/13)*

Appendix 4: Case Studies in full

The following is the full text of the interviews carried out with representatives from the case study institution libraries. A thematic summary of the case studies is included in Chapter 3.

Bangor University

1. Institutional profile

Bangor University	
Activities	Research Intensive and teaching
Focus	Full range of STEM and HSS disciplines
Number of FTEs (students)	ca. 9,500
Number researchers including academic and research support staff	ca. 1,000
Membership of mission group	None
Funders	RCUK; Wellcome TRUST; HEFCW; smaller charities and commercial funders;

2. Open Access at Bangor

2.1 Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2 Awareness-raising and engagement has been a key priority. We have developed a range of awareness raising events, meetings, senior management discussions at Executive and Research and Strategy Task Group. An Open Access Working Group was formed in order to examine open access issues, promote Open Access and ensure policies and procedures are in place. This is chaired by the Director of Libraries and Archives and reports to the Research Strategy Task Group. An open access website has been developed accessible from the Research and Library pages. This give details of funders policies and other information about Open Access. It is updated regularly by the library.

2.3 We held an open access week in April with a range of events and talks which covered what OA is, OA publishing and what it means for researchers. We covered management of research data at the same time. This event was organised by the Library and Archives Service in conjunction with the Research and Enterprise Office and a panel of academics heavily involved with research.

2.4 The events were well-attended and we are now considering more ways of engaging with research staff. For example, it has been suggested that we should work with our Research and Enterprise Office (REO) to set up regular meetings with research staff, covering a broad research engagement agenda, including OA.

2.5   In addition, the Library's academic support team has written a presentation about open access publishing which they are taking to key forums. They are also attending college and school meetings sharing information about open access, funder policies, journals and what compliance means – plus available support.

2.6   When we received our block grant from RCUK we informed researchers about the availability of these funds and they responded with a range of questions concerning the specifics and details of policy e.g. copyright, green options, licences etc. This was a good opportunity for us to engage on these issues and deepen understanding.

2.7   We will re-run our OA week to coincide with International OA Week in October. We are planning to invite publishers to attend to explain their approaches to Gold and Green and all other aspects of their position vis. OA. We are looking at a range of speakers. The University is currently establishing a new post-graduate centre bringing all of our PG students under one centre. All PG training will be organised centrally so it can be targeted at the specific needs of PG students and we have suggested that we include OA into our library training with PG students. We have recently been through a restructure in the Library and Archive Service which has increased our Academic Support Team. The Academic Support Librarians will now be able to offer more research support to academic staff. We are spending time getting as close as possible to the research process and explaining to research staff how and where we can help and support around OA, publication and so on. We have agreed new posts which include a Repository and Research Data Manager, Digital and Data Coordinator, Copyright and E-licence Coordinator and an extra Metadata Coordinator 0.5 post which will be in place soon.

2.8   Please indicate what you believe to be the levels of compliance & implementation – and systems, operational procedures and staffing supporting this – in relation to mandatory OA policies from major UK funding bodies:

Bangor University			
Institutional compliance & implementation of mandatory open access policies[138]		Institutional systems, operational procedures and staffing supporting compliance and implementation[138]	
Research Councils UK (RCUK)	Expected/planned within 6-12 months	Research Councils UK (RCUK)	Expected/planned within 6-12 months
The Wellcome Trust	Expected/planned within 6-12 months	The Wellcome Trust	Expected/planned within 6-12 months
Other UK Funding Bodies[139]	Expected/planned within 6-12 months	Other UK Funding Bodies[139]	Expected/planned within 6-12 months

2.9   Two significant developments are pending at Bangor which will change the above substantially: firstly, we will have Repository and Research Data Manager in post within the few months; second, a new university OA Publishing Policy has been written by the

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[138]   As at July 2013

[139]   e.g. government departments, medical research charities etc.

Library in conjunction with the Research Strategy Task Group. This will soon be ratified by the University Executive (expected this within 6-12 months)[140].

2.10   To date, we have concentrated mainly on the RCUK policy so in terms of other funders, we will need to look at these in much more detail from now.

2.11   We have found it difficult to navigate due to the seemingly many policy changes, particularly from RCUK. We have a *What's New* page as part of our general open access information website so that we can keep our researchers (and ourselves) up to date with the latest developments.

2.12   Does your institution currently promote open access publishing as the principal channel for research publication?

2.13   Yes. Bangor's stated Open Access Publishing Policy is in a draft stage and due to be signed off by Executive. It will require that a record of all new research outputs be deposited in Bangor University's institutional repository. From the Bangor website:

> *"For research outputs which have been published in the form of peer-reviewed journal articles, authors should retain the copyright of their papers wherever possible so that the full text can be deposited in the Repository without embargo. The Library can offer guidance for researchers on asserting personal copyright over material submitted for publication."*

2.14   A detailed procedural document is needed to supplement the policy and will be written this year.

2.15   Does your institution have its own written/declared policy statement?

2.16   Please see above section. We are working on this. It is not yet published.

2.17   Which group/s within your institution are the key driver/s around (mandatory) Open Access?

2.18   Research Strategy Task Group (RSTG) includes the PVC Research; one Director of Research per College (5); the University Director of Research; the Head of the Research Support Service; the Director of Library and Archives; Research IT Support Coordinator.

2.19   The Open Access Working Group reports to RSTG and discusses all aspects of Open Access and policies.

2.20   The Library and Archives Service is playing a key part in Open Access and has developed the draft Open Access Publishing policy (which goes to Executive soon) and the open access web pages with FAQs. We have also taken back responsibility for the repository and will develop a planned advocacy and promotion programme for Open Access and the repository. We will also look at a mandate for all open access outputs.

2.21   An important 'external' driver here is the requirement for (some level of) OA compliance in the next REF.

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[140]   At the time of writing i.e. July 2013

2.22   What is the current policy/position in Bangor regarding Green 'vs.' Gold Open Access?

2.23   We are actively promoting the green route and raising awareness of the Institutional Repository. In terms of Gold, we have been given the RCUK block grant and a top up from the ESRC and are therefore actively promoting and administrating "Gold" where appropriate.

3   Fund management

3.1   Does your institution have a central fund for APCs?

3.2   No. We currently only have the funder monies. There is no central fund provided by the University. For researchers who don't receive funding which supports publication, we advise them to post the correct version of their article in our institutional repository or investigate other avenues of funding.

3.3   We will be monitoring requests and keeping statistics about the number of requests for APC funding from researchers who have no access to funds.

3.4   We have recently received some additional funding from ESRC which can also be used to support APCs from RCUK funded researchers.

3.5   Who is responsible for managing the fund/s?

3.6   The Library and Archives Service has responsibility for the block grant working on a first come, first served basis.

3.7   We are currently managing this using an Excel spreadsheet as we estimate there will only be about 40 papers this year. Growth in APC requests is anticipated in the years ahead, particularly if we do get some kind of central funding.

3.8   From next month, we are going to be using the Jisc APC service to support all aspects of APC management. This will take away some of our administration burden as data about these APCs will be available online for reporting purposes.

3.9   Which (other) departments are involved?

3.10   Library and Archives staff; Research and Enterprise Office; Finance Office; authors (research staff). Our Finance Office has been involved in the whole of the APC process as they have a requirement to capture data for reporting purposes to support reporting to funders.

4   Mandatory funder OA policies: detailed management processes at Bangor

4.1   Please describe the processes you currently have in place for managing APCs within Bangor:

4.2   We have had to make it clear to researchers from the outset that we do not have a central fund with which to support APCs, other than the RCUK and ESRC grant money. So, where research is RCUK-funded, there is money to support publication. However

where there is no RCUK funding, we advise on alternative routes including discussion on Green Open Access.

4.3   The library provides details about the range of pricing of APCs across journals[141] and publishers but we are very clear that we are not recommending any journals or publishers. Nor do we mention any discounts we may have (through deals with publishers) when asked for advice. We will, however, highlight these deals and discounts at the point that we are about to pay the APC invoice. Academic freedom is paramount here.

4.4   If the green route offered by a publisher carries an embargo period, and this is significant, we will point this out to researchers. In such cases, Gold OA is discussed for papers which merit urgent publication.

4.5   At the point of APC request we check the following: that the researcher understands when they are in receipt of a grant which covers publication and when not; that IR policy is understood; that publications can be supported only if published after April 1st; we also check with the finance managers in our Colleges as we have decided to use the RCUK block grant ONLY for publication and not for colour, pages charges etc. Our colleges may have funds for these and where they do, this is discussed at this point.

4.6   Researchers are then asked to complete a short APC request form which captures: author details, grant details including grant number, publisher and journal etc. This form goes to the library and our Academic Support Librarians check all details are present and correct any errors. We also check compliance at this point (e.g. that a journal is OA and is using the compliant CC-BY licence etc.).

4.7   In cases where we need to consider split charges, this is done at School level via discussion between the author and the School's finance manager. There is currently no university-wide policy.

4.8   Metadata from the APC request is sent to our internal Publications Database managed by the Research and Enterprise Office. This will automatically feed into the Bangor Institutional Repository.

4.9   Our repository has not been updated for a time as there was no IR manager. We are currently recruiting for this post and, in their absence, the Research and Enterprise office has been tracking research outputs on our in-house developed CRIS. The significance of this is that our academics are now well-used to sending publication details to this database and we will most probably stick with this process for the short term as it is in place and working. There is currently very little full text on our IR but part of the new Repository Manager's responsibilities will include checking the full text version. More longer term we will be evaluating our Repository software and all workflows with the possible intention of procuring a new solution.

4.10   Publisher invoices are currently going to the author because publishers do not have the library as their point of contact currently. This will change when we join Jisc APC, as the

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[141]   We have logged all open access journals that we know of in our catalogue and are monitoring all publishers' free or subscription-based gold open access routes (updated on a regular basis).

publishers will send their invoices to this system and Jisc APC will correspond with the library. This will help us track things more easily.

4.11 Many of the publishers we deal with do not require payment before publication. Some do and this can cause delay before publication goes ahead so invoices are passed online to the Finance Office immediately in order for payment to take place quickly.

4.12 We are monitoring the number of APCs we pay to hybrid journals in order to monitor double dipping. We expect that when we renew subscriptions via the NESLI deals from the next academic year onwards that the volume of open access content per hybrid journal will be included in negotiations on price. We know that Jisc APC will also be collecting this data so that they can use it to look at APCs across different HEIs. We have also heard that KB+ (HEFCE and Jisc) are looking at recording some of this OA data.

4.13 In terms of reporting to funders this is an interesting one. Our Finance Office will report to RCUK but the latter have given little detail about what they want as yet. Our Finance Office is currently able to report on: what's been published and where and the average cost of an APC but they do not capture for example journal title or article title. We are hoping the Jisc APC service will help here. We are members of OAK and are working with our Finance Department and Research and Enterprise Office to look at all processes around this and how we report to RCUK and ESRC.

4.14 In terms of compliance monitoring (i.e. checking an article definitely carries the funder reference and is available OA on time with the approved licence), this will probably be undertaken by our Repository and Research Data Manager as they will be responsible for locating the full text. The task may fall to a database coordinator in the Research and Enterprise Office.

4.15 We have started to think about tracking the costs of managing OA in the library[142]. Looking at the policy conditions that came with the RCUK Block Grant (and the ESRC funds) the focus of the spend obviously has to be on paying for APCs although RCUK policy mentioned support to make the block grant work which could *potentially* include paying for hours of library staff time. We are logging the amount of time for the coming year in terms of FTEs and hours so we have a sense of what our costs have been.

5 Library roles & responsibilities

5.1 Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

5.2 We have undergone quite an extensive Library and Archives restructure which has resulted in the following changes: an increase in our Academic Support Team who also cover research support; a new post of Repository and Research Data Manager; a new post of Digital and Data Coordinator; a Copyright and E-licence Coordinator and a Metadata Coordinator 0.5 post. Each of these new roles will be effective either from now or within the next couple of months.

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[142] e.g. of managing block grants and other funds; making and monitoring transactions; of chasing and checking for compliance; managing memberships and prepaid accounts; ensuring payment, timeliness, control, accountability etc.

5.3   With reference to the new roles above, we have been doing a lot of this kind of work for quite a while on a smaller scale. The re-structure makes research support more focussed and formal.

5.4   At Bangor Library and Archives Service we are leaning more and more towards a Research Support function. For example, the Academic Support Lbrarians have traditionally worked with the schools and colleges but in the past with much more emphasis on supporting teaching (for example, resource discovery training, bibliographic training etc.). Now we have more staff, we are more able to focus on research support and see this very much as a key function of the Library and Archives Services as we move ahead.

5.5   Research Support is a key theme in our new Library and Archives Strategy. We intend to develop a specific Library Research Strategy which will clarify the role of the Library and Archives Service in Research Support, open access and research data.

5.6   What is the role of the library with regard to compliance and implementation of mandatory OA policy?

5.7   Very central. The Library is involved in the whole process as are the Research and Enterprise Office. We are leading this as library staff are becoming increasingly research-support oriented.

5.8   Which (other) staff members are involved?

5.9   All the Academic Support Librarians have a research support role and we have one member of staff who also coordinates research support.

5.10   All staff mentioned above plus the Collections and Digital Developments Team which includes e-resources staff;

5.11   In addition, all of our Customer Services staff have been given a general briefing so they can field any in-coming OA and related enquiries.

5.12   Which additional skills are (or will be) required amongst library staff?

5.13   We originally looked at the RLUK report *Reskilling for Research* and have based our skills needs on this. Our strengthened emphasis on supporting the university's researchers and research function was partly drawn from here and from discussion with the Digital Curation Centre around the skills needed.

5.14   Liaison, communication, relationship-building, advocacy, persuasion and influencing skills have always been important but these are needed now more than ever.

5.15   Looking at what's next in terms of skills and knowledge for our staff, we need to strengthen the understanding of the research process.

5.16   Associated with the above, we also plan to be more involved in the research task groups that academics are running within their schools and departments. For example we participate in the impact Task Group. We have participated in this and in similar groups in the past and found the information sharing and knowledge invaluable.

6   Shared practice and lessons learnt

6.1   Thinking about your institution as a whole – and the library specifically – what is working well and why?

6.2   Our re-structure has given us a higher profile in research support within Bangor and this has really helped. In the past we were not represented on any university wide research groups. This has now changed. We already have a role with the publishers, we know about copyright, we know about metadata and we know about purchasing information resources. Now we also have clearer roles in the service and a Library and Archives Strategy which addresses the gap in research support.

6.3   The awareness-raising we have done so far has been well received. We have had good support for events and suggestions for what to include in our planned October event which is a very good sign.

6.4   What if any problems and/or challenges are you encountering or do you foresee?

6.5   An on-going challenge is that the open access environment is so changeable. Publishers' policies change regularly as do research-funders' policies and so we are often working on the fly.

6.6   The policy changes have meant that things don't feel settled currently and this means we've found administration challenging as we don't yet know what RCUK will want in terms of reporting.

6.7   Now we have taken back responsibility for our IR, we need to re-define our priorities and workflows and this will take a little time.

6.8   We don't want to be heavy-handed about asking researchers for publication, article and funding details, as this can be sensitive; on the other hand we need this information for compliance and reporting.

6.9   Arts and Humanities staff are generally less clear about how any mandatory policy may impact them and there is some fear around commercial gain and creative commons licences (for example in the context of work being translated). There is also some confusion about which publishers are offering monograph OA publishing, what this means and whether the costs are affordable.

6.10   The monograph OA funding situation is still being discussed and this remains an issue.

6.11   The above said, this is essentially no different to administering anything else; it needs to be mapped out and tried. We are hopeful that Jisc APC will help.

6.12   Best practice: Based on the experience of you library/institution, please share any advice or comments for SCONUL members in relation to best practice and/or lessons learnt.

6.13   In our initial discussions with researchers we discussed establishing a system for approving funds for each publication but saw immediately that the potential threat to academic freedom meant it wouldn't work. It was rejected by all concerned.

6.14 The big thing for us is to have a good and growing relationship with our researchers so that we are focussed on them and are, as a service provider, requirements-led.

6.15 Although we are a small team we are engaged well with others such as Research and Enterprise Office and Finance Office and this has great benefits for collaborative working.

6.16 Otherwise, it's a bit early for us to share too much. If anything, we are referencing what other institutions are doing and we all want to share best practice.

6.17 It is good to have an Open Access Working Group in place to discuss open access issues and examine policy and procedures.

6.18 What are the key outstanding issues within Bangor – the library or institution as a whole – and how will you address them? What are the implications of these?

6.19 We will need to look at the Repository when our new Repository and Research Data Manager joins to ensure this is managed smoothly and that Green OA is promoted and advocated widely. We also need to examine all research outputs and include this as the next step in our policy.

6.20 We need to get our OA Policy approved by our Executive and then implemented.

6.21 We need to assess over the academic year what we are paying for APCs and where we have published. Where we have published substantially with one publisher, we will be looking at subscription pricing (the hybrid journal question) and participating in APC discount schemes.

6.22 More training is needed for library staff particularly around copyright and licensing with reference to green deposit (for example image content, permissions etc.).

7 Other issues

7.1 What do you see as the key remaining challenges in mandatory OA policy implementation for UK HEIs?

7.2 It's important to keep sharing as a community of practice and for us each to keep updating our websites to reflect the accurate and most up-to-date information.

7.3 The on-going work of libraries re-focussing and developing their research support role.

7.4 Monitoring APCs and negotiating with publishers for lower subscription costs.

7.5 Keeping up with the fast-paced changing OA movement.

7.6 Working with all appropriate bodies e.g. SCONUL, RCUK, RLUK to ensure that mandatory OA policy is promoted, knowledge shared and information updated as soon as possible.

7.7 What could funders do to improve awareness and understanding of, and compliance with, OA policy?

7.8 OA is evolving and funder policy is evolving which makes managing things a challenge

7.9 Policy wording is not always clear. For example the current AHRC policy wording on research data is complex and unclear.

7.10 Provide clear policy and guidelines ensuring consultation takes place at the appropriate time.

7.11 Third Party Support: Who can help (e.g. OAK, Jisc, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[143]

7.12 As stated, we are participating in the Jisc OAK APC Pilot and we will of course be monitoring this and evaluating the information and detail we need from the system.

7.13 We use OAIG resources and support.

7.14 We use the Sherpa tools such as Sherpa Fact.

7.15 We use RLUK resources and support.

7.16 Jisc could assist with regard to discussions with publishers over the wide variety of models for freely available OA as part of a subscription and with regard to the wide variety of costs for APCs.

7.17 Any other comments on any aspect of mandatory open access policy?

7.18 Research funders are asking researchers, when they deposit an article OA, to say where and how the associated research data can be accessed. Research data management is a therefore a key related area. We have a Strategic Alliance with Aberystwyth University and are working together on an Access to Data Project. The DCC have been assisting the project. The Library and Archives Service at Bangor has conducted the institutional audit of data here which is being followed up by an examination of specific research projects working with and employing PhD students. This work has been on-going for a year. As an institution we now have a Research Data Storage Policy and feel we are making headway.

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[143] (e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; reporting to funders etc.).

University of Dundee

1.   Institutional profile

University of Dundee	
Activities	Research Intensive and teaching.
Focus	Full range of STEM and HSS disciplines, emphasis in terms of research income = life sciences and medicine
Number of FTEs (students)	15,000
Number researchers including academic and research support staff	1,330
Membership of mission group	None known
Funders	Wellcome Trust, RCUK, Cancer Research UK, British Heart Foundation, Chief Scientist's Office, long tail of numerous smaller funders (e.g. Leverhulme, local authority, local industry etc.)

2.   Open Access at Dundee

2.1.   Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2.   Awareness of the Wellcome Trust policy is greater, probably due to the length of time the policy has been in place, the importance of Wellcome Trust funding to the University, and the increased vigour with which Wellcome are applying their policy.

2.3.   Level of RCUK policy is growing but still pockets unaware or not aware of the details and nuances of impact. Not helpful that there have been iterations of policy.

2.4.   Awareness-raising

2.5.   Seminars in departments – business, engineering, physics and maths so far – on OA and OA mandates, focussing principally on RCUK since the Wellcome Trust is irrelevant. OA webpages on all aspects of OA, separate research page news with RSS feed, any development noteworthy in research communication arena including OA; tied into training on IR; run sessions on this and staff development unit starting in October as part of overall staff development programme. Raising at research committees and meetings on an on-going basis.

2.6.   We are mindful that for the next REF all publications will need to be OA.

2.7.   Please indicate what you believe to be the levels of compliance & implementation - and systems, operational procedures and staffing supporting this – in relation to mandatory OA policies from major UK funding bodies:

University of Dundee			
Institutional compliance & implementation of mandatory open access policies[144]		Institutional systems, operational procedures and staffing supporting compliance and implementation[144]	
Research Councils UK (RCUK)	Partial	Research Councils UK (RCUK)	Partial
The Wellcome Trust	Full	The Wellcome Trust	Comprehensive
Other UK Funding Bodies[145]	Partial	Other UK Funding Bodies[145]	Partial

2.8. Dundee's medical and life science colleges are much more familiar with policy (and have established supporting systems and procedures) as the Wellcome Trust OA mandate has been in place for some years. Wellcome has been increasingly keen to ensure compliance in recent years.

2.9. Does your institution currently promote open access publishing as the principal channel for research publication?

2.10. No. Not as the principle or preferred channel. We have a policy statement outlining our institutional support for funder's OA mandates, and the requirement that staff comply. We encourage and advocate the open availability of research outputs from the institution, but are largely driven by funder requirements rather than internal Dundee policy.

2.11. There is also a requirement to deposit in our IR where copyright allows. The library takes an active role in supporting authors seeking to understand journal restrictions and options for depositing their work in the repository. We actively encourage outputs to be made available where possible, and do checks as part of our workflow.

2.12. Does your institution have its own written/declared policy statement?

2.13. Yes. This can be viewed at: http://www.dundee.ac.uk/library/research/openaccess/policy/

2.14. What is the current policy/position in your institution regarding Green 'vs.' Gold Open Access?

2.15. Neutral currently. We don't currently prescribe one over the other. If Green is preferred by the author then Green goes; likewise, if Gold is preferred and funds are available and the journal is compliant, then Gold goes. This may change over time if funds become tighter and demand grows.

3. Mandatory funder OA policies: logistics and management at Dundee

3.1. Please describe the processes you currently have in place for implementing mandatory open access policy and managing APCs within Dundee:

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[144] As at July 2013

[145] e.g. government departments, medical research charities etc.

3.2. The initial so-called 'pump-priming' funding we received from RCUK was used to retrospectively convert some key articles to OA. Doing this helped us to map the following procedures:

- Researchers are made aware of and invited to apply for APC support.
- Quality criteria amongst researchers are determined at the outset (the library offers support in terms of objective measures through IF's, altmetrics, usage etc.).
- A completed APC request-form comes to the Research Services Manager who makes an initial check that the selected journal is OA and compliant with funder policy requirements.
- The recommendation to publish is made to a group set up by the University Research Committee comprised of someone from the research office, one academic rep from STEM and one from HSS; this is conducted by email.
- The recommendation of the APC-supported gold route or a green route is based purely on compliance criteria – nothing more.
- Final say rests with the group described above; this group has not said No to date but funds are okay for now and APC requests not too numerous. This may become an issue if/when funds become tight. At the moment we are considering a policy for what happens should funds run out.
- Where a journal doesn't have an OA option at all, we advise staff to publish either non-OA through a traditional subscription-based journal or via the green route through our local IR.
- Once a paper has been approved for publication I contact the publisher, (via email or online form) and manage procedures thereafter.

3.3. The APC request is in the form of a web-form which is converted into a .csv file. The information from this is used to populate a spreadsheet and supplemented with costs, pricing, different currencies and the exchange-rate on the day (the latter is compared with the actual value when the invoice is paid and systems are updated accordingly).

3.4. At the moment, we are recording all details for RCUK because they haven't specified what they want in terms of reporting. This includes: journal and article titles, dates, payment amounts, all bibliographic data and invoice numbers. Better be safe than sorry.

3.5. The above is rather time-consuming and burdensome administratively because RCUK are unclear about what is needed. We are assuming this will be made clear over time.

3.6. All institutions want to avoid double-dipping, and need to be able to have a dialogue with the publishers to let them know how much has been spent with them on APCs with a request for commensurate discount from subscriptions. It's therefore helpful to be monitoring this side of things clearly to facilitate this dialogue. In this respect, it's useful to know which publishers we're dealing with (rather than individual journal titles).

3.7. The number of APC requests is not huge at the moment. Our initial pump-priming money solicited 80 applications for retrospective OA publishing with 70 or so of these going ahead.

3.8. In terms of the current block grant, we are processing around 2-3 articles a month at present. Growth is definitely anticipated due to the amount of RCUK-funded research at Dundee (particularly via the MRC and BBSRC).

3.9.   Please describe the processes you currently have in place for managing the following specified aspects of APC processing within the library at Dundee

Managing split charges:

3.10.   We have not encountered this thus far but the Jisc APC service, which we hope to adopt, should make management of this scenario possible.

3.11.   Informal discussions with some funders have indicated that the possible level of bureaucracy involved in managing split payments is such that they would be willing to accept the full cost of an APC.

3.12.   We believe as a consequence the APC should cover everything to keep things clean and simple. For the amount of money involved we don't believe splitting costs is sustainable.

Managing additional charges:

3.13.   Again, we have not encountered this to date but this is potentially even more of an administrative nightmare than the split payment scenario, and it is of course possible that both circumstances could be present within the same article.

3.14.   It's challenge enough for institutions to cope with this let alone publishers. As a consequence, again, we believe the APC should cover everything to keep things straightforward.

Reporting on hybrid journals:

3.15.   We are hopeful that the Jisc APC service will help in this regard but we would also like to be able to record such information within our Institutional Repository/Current Research Information System.

Determining how many papers are published supported by APCs:

3.16.   Academic staff have to be involved in this area of decision-making; library staff are simply not responsible for making such judgements. We already have an initial process in place (as described above).

3.17.   I have my doubts as to whether our current 'star chamber' of academics will wish to remain involved in the long term to determine whether or not each article will be published and where. My suspicion is things will devolve to a *de facto* first come, first serve basis determined purely on the nature of the journal in question and whether or not payment of an APC is appropriate or not.

Determining which papers are published supported by APCs:

3.18.   As above – determining the criteria for which papers will be supported is ultimately a decision for academic staff. Library staff can support the decision-making process by providing quantitative information on APCs, deposit schemes, and bibliometrics.

Policy/procedure for 'non-funded' researchers[146]

3.19.   The university has established a small institutional fund (see below) administered by library as a separate pot. This won't go terribly far but we have at least some provision here.

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[146]   Here meaning researchers whose funding does not cover publication.

3.20. Entirely unfunded research is not encouraged by Dundee. Generally, if funds are not available, then the green route would be the option.

Ensuring journal compliance[147]:

3.21. The ultimate responsibility for this rests with the researcher. Our view is that library staff can make the responsibilities clear, and provide a framework for realising them, but cannot compel researchers to ensure that they are in compliance. We may play a role in reviewing or auditing levels of compliance.

Coordinating timely payments; credit control; managing memberships, prepaid accounts; multiple and single transactions etc.

3.22. Invoices are passed to our Finance Office for payment; we monitor invoices as they come in against funds.

3.23. We are part of a Sage/SHEDL membership deal through which we get a significant discount on Sage APCs. Such deals cut down the administrative burden significantly and we are actively looking at others (e.g. Wiley, BMJ, Elsevier).

3.24. One point to note, consistency varies tremendously from publisher to publisher in terms of reporting back to us. Springer, for example, publish OA before the payment comes to them whereas other publishers may delay 3 months with an invoice and not allow the article to go OA until the print version is available (effective embargo).

Tracking the costs of managing OA in the library[148]

3.25. We are not currently looking at this but we will be. Responsibility currently sits with me, as Research Services Manager in the library. As and when things mature, I will be able to roll out responsibilities amongst colleagues.

3.26. That said, leaving aside the actual grant costs, the costs in staff time are quite high currently. It's also not a sealed process contained within the library: it impacts other staff including researchers.

Monitoring compliance and management reporting[149]

3.27. We haven't done any reporting back to RCUK as yet but, as mentioned, we are gathering all data at this stage to pre-empt whatever they might request.

3.28. We are hopeful that our CRIS (Current Research Information System) will be able to supply all of the information required. We will begin reporting in September as our new FY starts and periodically thereafter.

3.29. Our Life Science and Medical Colleges report to Wellcome periodically and regularly check that published papers are available and compliant in support of this. Their expertise and experience has been helpful to our learning around data-collection for RCUK and other funders.

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[147] Some funders require increased reporting around e.g. progress of grant-funded publications; visibility and access to same; policy compliance.

[148] e.g. of managing block grants and other funds; making and monitoring transactions; of chasing and checking for compliance; managing memberships and prepaid accounts; ensuring payment, timeliness, control, accountability etc.

[149] e.g. for/from finance office, research support office, repository manager; contracts office; strategic bidding office, library services, funding bodies etc. (around e.g. progress of grant-funded publications; visibility and access to same; policy compliance etc.).

4. Fund management

4.1. Does your institution have a central fund for APCs?

4.2. Yes. We have a central fund from the RCUK Block Grant. We also have a separate small institutional fund which enables researchers to publish whose grants don't cover publication. Our Wellcome Trust funding is devolved out to our Life Science and Medicine, Dentistry and Nursing Colleges.

4.3. Other funders such as Cancer Research UK require Open Access but don't provide funds for this within their research grants as they expect the institution to support publication. We use the small university fund mentioned above for this category.

4.4. Other funders such as Leverhulme don't currently have a policy re. OA and so don't specify a particular publication process in their funding.

4.5. Who is responsible for managing the fund/s?

4.6. The Library & Learning Centre is responsible for the administration of the RCUK Block Grant, and for our small institutional fund. Payment is not made according to department i.e. all STEM and HSS RCUK-funded articles get paid from the one RCUK pot.

4.7. For RCUK funds, our panel of academics and research office staff authorise publication (and therefore payment). As mentioned, over time this may change, in the interests of fairness and balance amongst schools and departments. I know for example, Edinburgh is devolving the funds to schools. I don't know how they're managing things thereafter but it's a different approach.

4.8. For the Wellcome funds, the College of Life Sciences and the College of Medicine, Dentistry & Nursing are each responsible for the administration of their allocations from the Wellcome Trust's block grant. Research administrators maintain spreadsheets and check that articles are in PubMed and have indeed been made available OA through the selected journal. The payment function is also is devolved to these colleges.

4.9. Which (other) departments are involved?

4.10. The only other department involved is our Finance Department which does much of the actual physical payment. Invoices are preferred for tracking purposes but credit card payments from the library are used for some publishers as they can charge extra – up to $35 per article! – for an invoice.

5. Library roles & responsibilities

5.1. What is the role of the library with regard to compliance and implementation of mandatory OA policy?

5.2. For compliance pre-publication, see the process described above. For compliance post-publication (e.g. available by a certain date, CC-BY licensed etc.), this is not formally policed at the moment for RCUK-funded research. The responsibility is with the researchers and their managers and I suppose ultimately the Deans of Research. In time, the library may play a supporting role in auditing compliance.

5.3.   Which staff members are involved?

5.4.   The administration is restricted to the Research Services Manager currently as the area matures and processes are defined.

5.5.   Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

5.6.   My role has expanded to encompass OA administration for now although this won't be the case in the long run. Because it's new and there's a budget for it, we needed someone reasonably senior to manage it and deal with the publishers. Over time, it will depend on the procedures available/in place. If Jisc APC works, we can devolve a certain amount for example with invoicing being passed on to one or more colleagues. This support would come from existing staff within the library.

5.7.   Which additional skills are (or will be) required amongst library staff?

5.8.   Familiarity with Jisc APC if and when we take it on in earnest; familiarity with the nuances of Green and Gold OA publishing and publications; familiarity with the nuances of each funder policies, particularly those which are mandatory; knowledge about how publishers are set up e.g. OA policy, journals, discount schemes, memberships, all of which are different; and knowledge and skills around the workings of institutional repositories.

6.   Shared practice and lessons learnt

6.1.   Thinking about your institution as a whole, what is working well and why?

6.2.   Management and reporting around our Wellcome Trust funding is working well (run by LS and Medical colleges) primarily because this has been up and running for at least 3 years. It also helps that this policy hasn't changed (other than around Wellcome's increased activities around enforcement). The administrators and the researchers know what's required. It may be easier for these groups because they are centralised within each college and so can establish good contacts between PI's, researchers and administration.

6.3.   It's difficult to say otherwise, we're in a learning-by-doing phase. We are dependent on other people's systems, particularly the publishers; some are good and some are very ill-equipped currently. I've never found it so difficult to give money to publishers!

6.4.   What if any problems and/or challenges are you encountering or do you foresee?

6.5.   Whilst we are attempting to keep the administration and bureaucracy surrounding OA publishing to a minimum, not least for the researchers themselves, it must be recognised that this will involve an increase in the amount of work for library and/or research support staff and, in the current financial climate, this is unlikely to result in additional staff resources being provided.

6.6.   A source of frustration is that APC payment is made and publishers say supported articles will be deposited in PubMed and made available OA and quite often they're not.

We are not monitoring this in the library presently as it is too labour-intensive. We will be doing this in the library for RCUK funds but this is time-consuming as it's a manual case-by-case intervention. Also we won't necessarily have a one-stop shop such as PubMed for all of our outputs.

6.7. As things mature we will request periodic reports from the various publishers, possibly as part of institutional agreements (those which feature discounted APCs for example) as a statement of account so that we can track this. In principle, this is the sort of service a subscription agent could offer. We hope Jisc will be doing this but that depends on which publishers participate with Jisc APC.

6.8. HSS staff tend to be more resistant because where OA needs to be supported by an APC, the money often isn't there. The library is trying to educate HSS research staff about green options and routes using post-prints on the IR to satisfy the institutional mandate but we are experiencing some opposition currently.

6.9. Shared practice: Based on the experience of your library/institution, please share any advice or comments for SCONUL members in relation to best practice and/or lessons learnt:

6.10. It is important to reassure researchers that their academic freedom to publish where they see fit is not compromised, and also to ensure that early career researchers are not overlooked when the allocation of funds is being determined.

6.11. We have and continue to 'borrow shamelessly' for example from other institutions such as Nottingham for best and shared practice. We will contribute back to the library community through publicly available documentation, and conference attendance when we are in a position to do so.

6.12. There is considerable dialogue for example we are meeting with other Scottish Universities at the end of this month to exchange our experience of OA; this is an on-going thing.

6.13. What are the key outstanding issues within your library (or institution) and how will you address them? What are the implications of these?

6.14. There is also an important role for the green OA option and here we have encountered both confusion and reluctance on the part of researchers concerning their options. This often depends on the discipline. LS and Medicine are generally less relaxed about making pre- or post-prints available whereas computer science staff tend to be quite happy (due to their experience with arXiv).

6.15. There is still great confusion around language and terminology: for example, post-print seems to have at least 4 different definitions.

6.16. Researchers continue to have questions, for example: *Am I going to be infringing copyright if I put this article on our IR? Will I jeopardise future publishing with a publisher if I infringe copyright?* Etc. The library is doing as much as possible to allay such fears. When any kind of research output is submitted to the Dundee IR, the library will check it for compliance with copyright and takes full responsibility for this. We want to take away as much of the pain and administration around this as possible as this is part of our job.

7.   Other issues

7.1.   What do you see as the key remaining challenges in OA policy implementation for UK HEIs?

7.2.   Researchers wondering why (and so not always complying when) they have to deposit with the IR when they have already deposited an article somewhere else e.g. PubMed. Ideally, we'd like to streamline this by saying put it in the IR and we will ensure it gets to other repositories as needed. This could be automated through metadata (i.e. an article funded by MRC would automatically deposit on ResearchFish and/or PubMed) using CERIF as the data transfer language/protocol.

7.3.   HEFCE indication is that for the next REF exercise they are expecting everything to be accessible from a repository. Whether this is the full text of the metadata plus DOI is as yet unclear but either way things have to be recorded in a repository. Compliance will therefore be critical.

7.4.   What could funders do to improve awareness and understanding of, and compliance with, OA policy?

7.5.   For the major funders such as RCUK and Wellcome, policies are reasonably straightforward. RCUK have muddied the waters somewhat by changing wording around embargo periods and university funds.

7.6.   When it comes to the other funders, it would make life easier to simply put their policy somewhere visible on their websites or in a central place. SHERPA-Juliet might be the solution only, from my point of view, with a bit more detail.

7.7.   Simplify policy wording: too many 'Ifs' and 'Whens' just confuse: it's much easier to say (for example): *When you're using funds from us, we expect you do A, B and C.*

7.8.   Who can help (e.g. OAK, Jisc, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[150]

7.9.   We have signed up for the Jisc APC pilot and we hope to extend this to our Life Science and Medicine, Dentistry and Nursing Colleges so that Dundee has one common APC management support system. We're still waiting (patiently!) for things to happen with Jisc.

7.10.   At the moment, we are using existing systems to manage APC payments and recording details within Excel. It is hoped that the Jisc APC services will greatly simplify the process, and provide comprehensive reporting options.

7.11.   We've had one approach from a subscription agent offering to manage APCs on behalf of Dundee. There were two issues with this: firstly, they don't currently have the expertise in the areas where we need it most i.e. deep understanding of, and contact with, researchers. Second, they are offering support around the payment piece with publishers

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[150]   (e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; reporting to funders etc.).

and I think Jisc APC will offer more here, with services supporting earlier stages in the process e.g. application, reporting, compliance etc.

7.12. Any other comments on any aspect of mandatory open access policy?

7.13. It is noticeable that some publishers are better placed to manage the demands of an open access policy than others.

7.14. Embargo periods have risen for some publishers.

7.15. It's unhelpful when different journals belonging to the same publisher have different administrative procedures.

University of Hertfordshire

1. Institutional profile

University of Hertfordshire	
Activities	Research and teaching
Focus	Full range of STEM and HSS disciplines
Number of FTEs (students)	ca. 20,870
Number researchers including academic and research support staff	1,067
Membership of mission group	University Alliance
Funders	EU; RCUK; QR funds; NIHR; long tail of other funders

2. Open Access at Hertfordshire

2.1. Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2. Established Institutional Repository (IR) and CRIS. IR supported by the CRIS. Over 500 research staff trained to use CRIS in last 2 years.

2.3. Established University data and document management policy including research. Further work in progress on archiving and retention schedule for research projects.

2.4. Jisc-funded 18 month research data management project just completing. This has significantly enhanced broader awareness and engagement across the institution's research community and helped with our understanding of the requirements for guidance, business processes and systems.

2.5. Policy, principles and practical arrangements for taking advantage of Open Access in the light of the Government and funding body policies have recently been agreed. These were developed by a cross-university Open Access Working Group established by our university research committee (with representation from research institutes, research support office, and CIO's teams).

2.6. We need to target raising understanding and awareness further at all levels. Targeted sessions for specific groups of researchers works well in our environment. This is done jointly by our RSO and CIO teams.

2.7. We also use the university intranet/online learning environment to provide guidance and information about Open Access including links to useful national and international sources such as the SHERPA RoMEO and JULIET databases.

2.8.   Please indicate what you believe to be the levels of compliance & implementation - and systems, operational procedures and staffing supporting this – in relation to mandatory OA policies from major UK funding bodies:

University of Hertfordshire			
Institutional compliance & implementation of mandatory open access policies[151]		Institutional systems, operational procedures and staffing supporting compliance and implementation[151]	
Research Councils UK (RCUK)	Expected/planned within 6 months	Research Councils UK (RCUK)	Expected/planned within 6 months and on-going
The Wellcome Trust	Expected/planned within 6 months	The Wellcome Trust	Expected/planned within 6 months and on-going
Other UK Funding Bodies[152]	Expected/planned within 6-12 months	Other UK Funding Bodies[152]	Expected/planned within 6-12 months

2.9.   We are interested in embedding OA into what we do around research support so in terms of the above, the right-hand box isn't so much a timescale for completion as we need to ensure on-going activities. With research staff coming and going, new PIs, our duties training research students and supporting early career researchers, we need to provide consistent, relevant support.

2.10. As an example, we have already amended the custom template we use for costing funding applications pre-award to ensure researchers pick up on the difference between funders who allow the inclusion of APC costs in a bid and those who don't. It's a good way of embedding this into our systems with guidance notes so that people think about publication from the outset.

2.11. We have also gone through all of the main funding body policies and documented key points in a table so that researchers have a quick at-a-glance guide. This of course needs to be kept updated.

2.12. For the EPSRC for example we have quite a detailed roadmap for working with their requirements. With the Wellcome Trust we know there are penalties if we don't comply.

2.13. Most support has traditionally been focussed on pre-award processes but we now need to also put focus on post-award support as this is becoming more important in terms of compliance with, and reporting on, funding body OA policy and conditions. Some of the conditions may not be met until sometime after the lifetime of the project is complete.

2.14. Does your institution currently promote open access publishing as the principal channel for research publication?

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[151] As at July 2013

[152] e.g. government departments, medical research charities etc.

2.15. We believe everything should be available Green OA wherever possible. You must deposit in the Herts IR. That said, we recognise that we will exist in a mixed economy with Gold and traditional subscription journal publishing routes as well.

2.16. We also encourage our researchers to think about their publications strategy and give some thought about where they will publish at the outset. This of course varies across subject disciplines. There can also be a tension between maximising potential citations on the one hand, and achieving world class recognition through targeting specific high impact journals. In some cases these two criteria align and in some they don't. Our PVC Research has asked the research institutes to identify key publication channels for their disciplines.

2.17. Does your institution have its own written/declared policy statement?

2.18. University policy and regulations are all published on the University website at www.herts.ac.uk. The open access policy will be included for the 2013-2014 year.

2.19. Which groups within your institution are the key drivers with regard to (mandatory) Open Access?

2.20. University Research Committee; Reps from research institutes; RSO; CIO.

2.21. What is the current policy/position in your institution regarding Green 'vs.' Gold Open Access?

2.22. We believe everything should be available Green OA wherever possible. We have had a mandate for several years at Herts for deposit in the IR. In the last two years, we've installed a CRIS and this feeds our IR. Our preference is for full text or metadata with a link to the full text wherever this may be located. Not all entries currently have full text availability.

2.23. Deposit in the IR is one of the criteria for eligibility for APC payment from the University APC fund.

3. Mandatory funder OA policies: detailed management processes at Hertfordshire

3.1. Please describe the processes you currently have in place for implementing mandatory open access policy and managing APCs within Hertfordshire:

3.2. Institutional policy with responsibility for implementation is at local level through research institutes and centres. Advice and support is available from the RSO and CIO's team, but is primarily provided within the appropriate research group.

3.3. The decision of where to publish remains an academic one.

3.4. The University has established an APC fund with pilot arrangements for the 2013-14 year. Eligibility for APC payment from this fund is dependent on a number of criteria that an academic/researcher can self-declare using an online form if the APC requested is less than £2,000[153]. No further sign-off is currently required. The author declares compliance with the agreed criteria on a form.

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[153] This amount was decided upon based on the average fees being paid out by Herts being around £1,500.

3.5. If the APC is more than £2,000 in total (i.e. including pages and colour charges), a business case and authorisation from the appropriate Director of Research Institute is also required. This is the only time when we require another signature in the application process.

3.6. The APC fund is administered by the Research Office (backed up by a person in the CIO office in case of holiday or illness). The RO administrator will query anything which is unclear and process approved applications. The author remains responsible for submitting his/her paper to the publisher as usual.

3.7. Data from all APC requests is collated for institutional-level reporting and deposited into the Herts CRIS. APC payments will be managed through the Jisc APC service (live in pilot this month[154]).

3.8. The above will be reviewed and amended in light of practice.

3.9. **Please describe the processes you currently have in place for managing the following specific aspects of open access policy compliance and APC management within the library at Hertfordshire – Managing split charges**

3.10. We believe keeping this simple: the principle we would like to work to is not having to split charges. If the lead author is at Hertfordshire, we will take responsibility; if the LA is elsewhere we would expect them to do so. Otherwise the cost of splitting the charge could be greater than the charge itself. It would be helpful if SCONUL and/or other national bodies could lobby against such complexities that add cost and not benefits to institutions and the sector.

Managing additional charges:

3.11. Again, the same applies. It would be helpful if SCONUL and other national bodies could lobby against such complexities that add cost and not benefits to institutions and the sector.

Reporting on hybrid journals:

3.12. We did an exercise to map the overlap between the journals we subscribe to as an institution and where our outputs are being published to see how much correlation there is currently. There was a higher overlap than anticipated, but even so the number of journals where our outputs are published was a very small percentage of the overall total number of journals in university library collections.

Determining how many papers are published supported by APCs:

3.13. We believe it is important to ensure publication remains an academic decision and not an administrative one. See above for our pilot process which is being tested during 2013-2104.

Determining which papers are published supported by APCs:

3.14. As above. Policies and processes agreed for implementation in 2013-2014.

Agreeing policy/procedure for 'non-funded'[155] researchers:

3.15. A separate fund has been provided by the university this year for the first year. The intention is for this funding to be repeated in subsequent years based on usage in the

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[154] July 2013

[155] Here meaning APCs cannot be claimed from any grant funding provided.

pilot. A big part of the pilot is about assessing demand and using this as an evidence-base. In the past some APC charges have been funded through various other budgets.

Ensuring compliance[156]:

3.16. Processes are in place to ensure this. They are still being tried and tested. The table we have created of funder requirements has been set up to help researchers with their compliance.

Coordinating timely payments; credit control; managing memberships, prepaid accounts; multiple and single transactions etc.:

3.17. This will be fully tested through the Jisc APC pilot.

Tracking the costs of managing OA to Herts[157]:

3.18. We will be monitoring the amount of time this takes up. The reason we are trying to streamline things is to minimise the amount of time taken. We don't currently have any additional staff; having an FTE for post-award support would be helpful but we need the evidence to support such a staffing request. We always have to look at what can we stop doing because something new or developing (such as mandatory OA) needs to be prioritised.

Providing reporting and management information[158]:

3.19. Post award support arrangements are being finalised including data-gathering to support external reporting requirements. Our APC request forms will contribute to this process. We don't know what all the reporting requirements are but it's about pre-empting what might be needed and being best prepared for this.

4. Fund management

4.1. Does your institution have a central fund for APCs?

4.2. Yes. We are piloting a central fund for 2013-2014.

4.3. The Research Office will ensure that OA articles are charged to the right funds e.g. RCUK spend against RCUK funds and non-RCUK spend against the university fund. The APC payment request form requires inclusion of the funding body and grant reference.

4.4. Funds will be allocated on a first come, first served basis.

4.5. We don't know enough to notionally allocate funds to Research Institutes/Schools etc. We do not expect the use of the fund to be evenly spread given the different publication patterns and requirements for different subject disciplines. We think it better to focus on a central fund and review when we have built up an evidence-base of actual usage.

4.6. We have a very rigorous process of monthly accounts with quarterly forecasts etc. for monitoring funds.

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[156] e.g. clearly labelled as OA; compliant re. use and re-use rights; metadata-compliant; available in the expected timeframe; repository deposit; CC-BY etc. Also some funders require increased reporting around e.g. progress of grant-funded publications; visibility and access to same; policy compliance.

[157] e.g. of managing block grants and other funds; making and monitoring transactions; of chasing and checking for compliance; managing memberships and prepaid accounts; ensuring payment, timeliness, control, accountability etc.

[158] e.g. for/from finance office, research support office, repository manager; contracts office; strategic bidding office, library services, funding bodies etc. (around e.g. progress of grant-funded publications; visibility and access to same; policy compliance etc.).

4.7. Overall, our view is there are some risks around this but you have to start somewhere.

4.8. Who is responsible for managing the fund/s?

4.9. The APC fund is administrated by the Research Office (backed up by a person in the CIO office in case of holiday or illness). The RO administrator will query anything which is unclear and process approved applications.

4.10. Which other departments are involved?

4.11. At senior level : CIO; Pro VC Research

5. Library roles & responsibilities

5.1. What is the role of the library with regard to compliance and implementation of mandatory OA policy?

5.2. See the above process.

5.3. Which staff members are involved?

5.4. At senior level: CIO; Pro VC Research. At an operational level: staff of Chief Information Officer's (CIO) office; staff of the Research Support Office (RSO).

5.5. Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

5.6. One person in each of the above areas – CIO and RSO – has picked up administration of APCs as part of their existing roles – no additional hours;

5.7. Which additional skills are (or will be) required amongst library staff?

5.8. We need to know about the changing OA landscape and in particular (changing) funding body requirements, and we need the skills and abilities to cascade this knowledge effectively across the institution.

6. Shared practice and lessons learnt

6.1. Thinking about your institution as a whole, what is working well and why?

6.2. Our Working Group has been very helpful and worked really well. The partnership between the RSO and the CIO's office is also working well.

6.3. What if any problems and/or challenges are you encountering or do you foresee?

6.4. It's an on-going challenge to make things easy and embed OA processes into the culture of the university.

6.5. Raising and maintaining awareness is a challenge because people are naturally focussed primarily on the research itself.

6.6. There is also a big challenge internally around copyright management and the cultural shift to considering copyright retention with licensing for publication.

6.7. Based on the experience of you library/institution, please share any advice or comments for SCONUL members in relation to best practice and/or lessons learnt:

6.8.   If you establish or have a working group, it is helpful to be very clear about what you're seeking to achieve, and very clear in your declared terms of reference and scope. By deliberately stating we were not going to debate the 'politics' of OA (e.g. whether or not OA is a good thing, or whether the Finch Report was correct or not), we were able to focus on the practical arrangements we needed for the university.

6.9.   Keep in mind that this is a journey and not a destination: you will need to be prepared to change over time as things develop so flexibility and a longer-term approach are useful.

6.10. It has been helpful to sign up to the Jisc APC pilot as we've had to think about the processes we want people to follow. This is another good example of where we've tried to make it easy for people whilst retaining some control.

6.11. What are the key outstanding issues within your library (or institution) and/or the wider HE landscape and how will you address them? What are the implications of these?

6.12. Everything we've discussed! We will learn a lot in the coming 12 months.

6.13. It's a changing landscape: whatever we've put in place it will have to change; the BIS enquiry has not yet reported; RCUK may change their policy; HEFCE is still to consult about Open Access post REF2014.

6.14. This is an international agenda and not just a national one, and good practice needs to be shared internationally.

7.   Other issues

7.1.   Funders: What could funders do to improve awareness and understanding of, and compliance with, OA policy?

7.2.   Providing clarity about policy and requirements. It would also be helpful if policies could be consistent because wide variance makes for unnecessary increased workloads.

7.3.   Third Party Support: Who can help (e.g. OAK, Jisc, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[159]

7.4.   We have signed up for the Jisc APC/OAK service and are looking forward to seeing how this will go.

7.5.   Any other comments on any aspect of mandatory open access policy?

7.6.   There are still some challenges around licensing arrangements. We should all be using something which is readily recognisable and internationally credible. We are looking at Creative Commons in these terms but haven't ruled out the Harvard model either.

7.7.   Other than that, our initial policy and management arrangements will be kept under review during the next year. It's a challenging area and we are taking the view that watching brief and adapting as things develop.

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[159]   (e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; reporting to funders etc.).

Lancaster University

1.   Institutional profile

Lancaster University	
Activities	Research Intensive with teaching
Focus	Full range of STEM and HSS disciplines
Number of FTEs (students)	11,443 FTE students
Number researchers including academic and research support staff	1500 PGR students (1012 as FTE) 1030 staff (research and research/teaching) 2530 in total.
Membership of mission group	1994 Group
Funders	RCUK; HEFCE

2.   Open Access at Lancaster

2.1.   Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2.   It will be some time before all aspects of compliance can be worked through, so although we have done a lot of work, we could not yet respond as anything other than 'partial'. We have prepared a web-based Open Access Lib-Guide (see 4 below) which is proving popular and useful. Our Pro-VC Research initiated a series of informal discussions with academics which are on-going. We also have workshops planned for September within a slot on a development day for researchers. The plan is then to provide training/awareness to academic staff through the rest of the coming academic year.

2.3.   Please indicate what you believe to be the levels of compliance & implementation — and the readiness of systems, procedures and staffing to support this — in relation to mandatory OA policies from major UK funding bodies:

Lancaster University			
Institutional compliance & implementation of mandatory open access policies[160]		Institutional systems, operational procedures and staffing supporting compliance and implementation[160]	
Research Councils UK (RCUK)	Partial	Research Councils UK (RCUK)	Partial
The Wellcome Trust	*Not funded by WT to date*	The Wellcome Trust	*Not funded by WT to date*
Other UK Funding Bodies[161]	Partial	Other UK Funding Bodies[161]	Partial

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[160]   As at July 2013

2.4. Does Lancaster currently promote open access publishing as the principal channel for research publication?

2.5. Yes.

2.6. Does your institution have its own written/declared policy statement?

2.7. Yes, this is accessible at: *http://lancaster.libguides.com/content.php?pid=429121&sid=3509788#12686882*

2.8. Which group/s within your institution are the key compliance and implementation driver/s?

2.9. PVC Research; Library; Associate Deans for Research; Research Support Office.

2.10. What is the current policy/position in your institution regarding Green 'vs.' Gold Open Access?

2.11. At Lancaster, the implied preference is for Green but there is currently no explicit policy statement to this effect. The advice in the Lib-Guide from the Pro-VC Research is that researchers use Lancaster's (PURE) Institutional Repository.

3. Mandatory funder OA policies: logistics and management at Lancaster

3.1. Please describe the processes you currently have in place for managing APCs within Lancaster:

3.2. Researchers wishing to make an application for APC funding need to obtain approval from their Head of Department. The approved application is sent to a central OA email address which is monitored and managed by library staff. Library staff are also responsible for managing the APC fund.

3.3. Library staff check to ensure that the journal the researcher has selected is compliant with funder policy. SHERPA-FACT is used as the starting point for checking[162].

3.4. If the journal is approved and sufficient funds are available, the library refers the paper to the appropriate Associate Dean for Research for approval to publish. The AD Research's decision may include quality considerations. Once approved, the AD Research lets the library know and the library contacts the researcher prompting them to pursue publication.

3.5. At this stage, the library also reminds the researcher of how and why they should comply with funder policy (e.g. the licence must be CC-BY and must be honoured; the article must be deposited in PURE, Lancaster's IR; where RCUK-funded, the article must comply with RCUK's requirement to include a wording which states how this research will be accessible). The library also explains the procedure for payment to the author at this stage.

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[161] e.g. government departments, medical research charities etc.

[162] http://www.sherpa.ac.uk

3.6.   In addition, the library checks with the Research Support Office that grant details included on the APC application/journal paper are correct.

3.7.   Where an invoice comes in to the library, it is passed to the library-based departmental officer who pays by credit card. Numbers of papers to date have been relatively low making this method efficient. Lancaster has established a separate fund for APCs with its own cost code. Most OA articles to date at Lancaster have been processed in this way.

3.8.   In terms of monitoring how APC funds are being used, this is currently being done on a first come, first served basis without prior allocation. Again, numbers of APC applications to date have meant funds are not currently under threat of being used up quickly.

3.9.   **Please describe the processes you currently have in place for managing the following specific aspects of APC processing within the library at Lancaster.**

Managing split charges:

3.10. We have not encountered this yet but we expect to seek to avoid unnecessary administrative costs if possible. If/when this does come up, Lancaster has determined that funding will normally be allocated to the lead author, but as long as some of the authors are based at Lancaster, funds will be allocated (first come, first served).

Managing additional charges:

3.11. We have not encountered this yet however we have included an FAQ on Lancaster's LibGuide for this[163]. We are aware that RCUK allows these charges to be taken from the block grant and we would permit this within reason.

Reporting on hybrid journals:

3.12. We currently maintain a spreadsheet recording OA output from Lancaster including monitoring and recording publications used. We don't currently record whether a journal is hybrid or not although we may start doing this.

Determining how many papers are published supported by APCs:

3.13. We are operating and will continue to operate on a first come, first served basis. The numbers involved, in terms of applications, are not sufficiently high for this to be an issue foreseeably.

Determining which papers are published supported by APCs:

3.14. There is an approval process via Associate Deans for Research in place (see above).

Agreeing policy/procedure for 'non-funded' researchers:

3.15. The University allocated £25,000 this year for non-RCUK-funded research which can be seen as further evidence of Lancaster's commitment to OA. The library is managing this fund with a separate code so that usage can be monitored and reported.

Ensuring journal compliance[164]:

3.16. Primary responsibility for this lies with the grant recipient. Library staff send email reminders reminding authors about policy compliance when they correspond re. APC fund confirmation.

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[163] Viewable at: http://lancaster.libguides.com/content.php?pid=429121&sid=3510114#12748385

[164] e.g. clearly labelled as OA; CC-BY compliant; metadata-compliant; available in expected timeframe; compliant for repository deposit etc.

Ensuring policy compliance information:

3.17. In the first instance, the responsibility for including this information lies with the grant-recipient. In terms of monitoring, this is currently being undertaken quite informally through manual checks, for example to establish publication date and/or to ensure a CC-BY licence has been included with a published article.

Coordinating timely payments; credit control; managing memberships, prepaid accounts; multiple and single transactions etc:.

3.18. As soon as an invoice is received either from an academic or directly from a publisher, these have been paid using a credit card. We have some publishers listed as suppliers which means the invoices can be processed through the Finance Department. We are monitoring the availability of pre-paid accounts and memberships with publishers and will consider these if and when the numbers of OA articles from Lancaster researchers increase.

Tracking the costs of managing OA in the library[165]:

3.19. This is not currently being monitored. Set-up costs involved senior staff time. On an on-going basis, the cost is, broadly speaking, a percentage of the time of one member of library staff.

Providing reporting and management information[166]:

3.20. All of the required information in the latest iteration of the RCUK OA Policy is captured by the library, currently within a spreadsheet, and can be pulled out for reporting to funders as needed. The level of publicly-funded research grants at this institution is relatively low. If additional management information is required in future, we expect that the scale here would not prevent retrospective collection of reporting information.

4. Library roles & responsibilities

4.1. Other than those mentioned above, are there any other roles in which library staff are engaged with regard to compliance with, and implementation of, mandatory OA policy?

4.2. As detailed above, our principle roles are giving guidance to researchers on compliance, checking compliance and fund management.

4.3. Library staff also make suggestions for Green publication options, for example if a targeted or proposed journal is not compliant with funder policy (quite often at the moment due to lack of compliance with the CC-BY licence). The advice to authors has been to contact the journal in question and see if compliance is possible (this has met with some success) or to choose a different publishing route e.g. publish with a compliant journal.

4.4. Which staff members are involved?

4.5. Subject librarian for humanities (operational lead); Support group of other library staff includes subject librarian for sciences; University Librarian; Head of Academic Services; assistant librarian (technical support for IR).

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[165] e.g. of managing block grants and other funds; making and monitoring transactions; of chasing and checking for compliance; managing memberships and prepaid accounts; ensuring payment, timeliness, control, accountability etc.

[166] Some funders require increased reporting around e.g. progress of grant-funded publications; visibility and access to same; policy compliance.

4.6. Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

4.7. Adjustments made to Subject Librarian responsibilities to release up to 0.5 FTE to lead the administration of APC applications and invoices and provide advice and guidance to academic staff.

4.8. Most of the know-how and skills here have been learnt on the job and by sharing information and best/shared practice with other institutions. Exeter's website and library colleagues in particular have been very helpful. We have also found it useful to share with other UK universities.

4.9. There may be further development of existing roles as OA develops.

4.10. Which additional skills are (or will be) required amongst library staff?

4.11. The gap is not about skills but about sufficient knowledge and confidence to discuss OA issues with academic staff from an informed point of view, and the capacity to keep abreast of a constantly-evolving debate.

5. Shared practice and lessons learnt

5.1. Thinking about your institution as a whole, what is working well and why?

5.2. What we're doing seems to be working well enough for the current level of need at this institution. The Lib-Guide[167] in particular has proved useful and has had positive feedback.

5.3. People are allocated funding on the basis of having established a journal's compliance before they submit to a publisher which means if they are accepted, they can definitely publish. Had we done this the other way round, authors might submit to non-compliant journals and become frustrated when funds could not be allocated.

5.4. We have had some success advising authors to contact journals which do not appear to be compliant in regard to their use of the CC-BY licence. When authors have queried whether this can become possible, some publishers have agreed.

5.5. Problems & challenges: What if any problems and/or challenges are you encountering or do you foresee? *(Also mistakes you would wish others to avoid).*

5.6. We are currently working on improving the printed form authors use to make an APC application. This is currently completed and emailed as a Word document and we are looking into whether we can make this an online form and/or automatically populate the tracking/management spreadsheet for greater efficiency.

5.7. Outstanding issues: What are the key outstanding issues within your library (or institution) and how will you address them? What are the implications of these?

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[167] http://lancaster.libguides.com/openaccess

5.8. We would welcome Jisc Collections (or similar) taking on the monitoring of hybrid journals and checking whether CC-BY has been implemented or not by the publisher.

6. Other issues

6.1. What do you see as the key remaining challenges in OA policy implementation for UK HEs?

6.2. Career reward for academics for OA publishing becoming comparable to that in the current system.

6.3. A sufficient number of academics embracing the ideals behind OA.

6.4. Reluctance from academics involved with learned societies whose activities are subsidised/supported by traditional publishing.

6.5. Publishers becoming 100% reliable in terms of their compliance with and implementation of CC-BY in accordance with funders' requirements.

6.6. Funders: What could funders do to improve awareness and understanding of, and compliance with, OA policy?

6.7. It was frustrating initially that RCUK policy changed several times. It's more workable now that things have settled. Funders should constantly promote the benefits of OA, at every stage of the grant application process, and should identify means of recognising and rewarding OA publication.

6.8. Clarity on options for OA compliance. The definitions of green/gold routes outlined by the Publishers' Association have been widely adopted but obscure viable "Green" alternatives. The green/gold terminology should be dropped.

6.9. Funders could probably do more themselves to monitor the outputs from the grants they award, rather than placing this burden on institutions. A great deal of "middleman" activity could be cut out of the process if the monitoring was directly between funding body and the PI grant recipient.

6.10. Who can help (e.g. OAK, Jisc Collections, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[168]

6.11. As identified above. A single authoritative and continually-updated national source of information on publisher policies and compliance is needed for the whole sector.

6.12. Any other comments on any aspect of mandatory open access policy?

6.13. We have put in place a framework which will be modified as we gain experience and encounter real rather than hypothetical situations.

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[168] e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; reporting to funders etc.

University of Manchester

1. Institutional profile

University of Manchester	
Activities	Research Intensive with teaching
Focus	Broad range of STEM and HSS disciplines
Number of FTEs (students)	40,000
Number researchers including academic and research support staff	5,700
Membership of mission group	Russell Group
Funders	Funders include RCUK, Wellcome, HEFCE, CRF, BHF, NHS and many more

2. Open Access at Manchester

2.1. Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2. There is a general awareness of OA policies amongst authors, however there is some confusion over the details. This has in part arisen because of the changes in statements as part of the consultation periods and mixed messages from certain stakeholders, in particular publishers.

2.3. The University of Manchester Library is leading a project with a significant communication and advocacy component to raise awareness and address the details in OA funder policies. This will be completed 31st July 2013 and we anticipate greater awareness as a consequence. The signs so far are very encouraging.

2.4. To develop awareness and understanding, we have undertaken between 35-40 communication and advocacy events in each of our four faculties and 27 schools, at board meetings and away days to try and get as many academics involved as possible. We try to present an objective statement of the facts so that we don't get bogged down in rhetoric, myths and half-truths.

2.5. Our Associate Deans of Research are also putting OA on their agendas as a standard item which ensures consistent and on-going discussion amongst academics.

2.6. Please indicate what you believe to be the levels of compliance & implementation - and the readiness of systems, procedures and staffing to support this — in relation to mandatory OA policies from major UK funding bodies:

University of Manchester			
Institutional compliance & implementation of mandatory open access policies[169]		Institutional systems, operational procedures and staffing supporting compliance and implementation[169]	
Research Councils UK (RCUK)	Expected/planned within 6-12 months	Research Councils UK (RCUK)	Expected/planned within 6-12 months
The Wellcome Trust	Partially compliant now	The Wellcome Trust	Comprehensive now
Other UK Funding Bodies[170]	Expected/planned within 12-24 months	Other UK Funding Bodies[170]	Expected/planned within 12-24 months

2.7. With reference to the above time-scales, interim measures and solutions are in place now to support the policies of the major funders (apart from HEFCE whose policy is currently in consultation). We are testing them to see what works well and what needs further development. We have devised these interim measures and solutions so that they will scale as volumes of APC requests increase.

2.8. To date[171] we have spent £250,000 on APCs processing 120-125 article requests. This sum includes monies we have paid in advance to publishers for memberships and other 'upfront' accounts.

2.9. Our average APC is just under £1,700 including VAT. There is quite a spread ranging from zero up to £3,500. The distribution curve is skewed to the left with a lift at the higher range and the lower. We will continue to monitor this to build our evidence-base here. Our interim solutions for processing APC requests and payments will go into full operational service in August 2013.

2.10. Does Manchester currently promote open access publishing as the principal channel for research publication?

2.11. We have developed position statements as follows[172]:

- The University is committed to ensuring as wide an audience as possible can access and read the outputs of its research and scholarship.
- The University supports the principles of OA and the efforts of its researchers to disseminate their research findings as widely as possible.
- The University affirms that its academic researchers retain the freedom of choice to decide the content, form and outlet for publishing their research findings and are best positioned to do this.
- Furthermore, the University will use the intrinsic merit of the work (exhibited by academic rigour, innovation and level of scholarship) and not the publishing outlet, when making quality judgements.

2.12. In terms of compliance with funder policies, the University will monitor and report the adoption of Green and Gold OA by its researchers. It will work towards applicable targets and report compliance levels in line with funder requirements.

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[169] As at July 2013

[170] e.g. government departments, medical research charities etc.

[171] July 2013

[172] From the *Open Access at Manchester Factsheet* http://www.openaccess.manchester.ac.uk/factsheet/

2.13. Does your institution have its own written/declared policy statement?

2.14. We have a Factsheet[4] which provides guidance at this time. We are developing a policy and have notional agreement about what should be in this now. I expect policy this to be ratified and active within the next 12 months.

2.15. We do have a policy for open access for theses at:
https://www.escholar.manchester.ac.uk/etd/index.html

2.16. Which group/s within your institution are the key driver/s of the above?

2.17. Library; Research Support Office; PVC Research; Associate Deans for Research (Faculty, School and individual researchers).

2.18. What is the current policy/position in your institution regarding Green 'vs.' Gold Open Access?

2.19. We believe the choice between Green or Gold is for the academic to make. Our position is that they should publish via the gold route where money is available and the journal fits, and publish via the green route if no money is available or a green journal option is more suitable. Either way, it is always the author's choice.

2.20. We have a requirement that the full text from each piece of research output from Manchester be deposited in an open access repository. This needn't necessarily be the Manchester IR – for example it could be PubMed or ArXiv. With regard to Manchester's IR, we do not require full text but we do require the metadata including the URL of the deposited copy wherever that resides.

2.21. It is worth saying that some of our academics prefer green outlets on the principle that they do not wish to pay publishers. Others prefer Gold because they prefer the publisher does the work. Some researchers have no preference.

3. Mandatory funder OA policies: detailed management processes at Manchester

3.1. Please describe the processes you currently have in place for implementing mandatory open access policy and managing APCs within Manchester:

3.2. The library is tasked with ALL back-end processes connected to the management of APCs.

3.3. If we start with information and awareness, the library has developed comprehensive support materials and web pages[173] and has a dedicated telephone number and email address so that we provide a single contact point for academics (see also above).We also seek to explain what Open Access is to our researchers particularly the fact that different publishers interpret this differently.

3.4. Our message to date has been that academics at Manchester can effectively continue publishing where they have been for at least for the next two years because we are

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[173] www.manchester.ac.uk/openaccess

currently already meeting funders' criteria in terms of our portfolio of journal outlets and the degree to which these comply with funders' policies (Gold and Green).

3.5. With reference to 'non-funded' researchers, no research at Manchester is unfunded. However if there is no funder *publication policy* in place, the university policy on publication will apply and publishing via the green option will be acceptable in this case. Using QR funds to support publication is also a possible option and under consideration.

3.6. To reiterate, our researchers choose the journals they wish to publish in at this point. The decision about Gold or Green if the option exists is their choice.

3.7. In terms of which APCs are paid, Manchester is running a 'first-come, first-served' model. Numbers of request are being monitored and will be reviewed quarterly. The University will pay APC's where funds remain available. We have tried to keep the APC request process as simple as possible. We have developed a web-based form which populates in part our IR so we will get a 'light' record in the IR from the start. This reduces duplicate entry of metadata.

3.8. The whole process is database-driven such that we can draw off reports from the IR for both internal and external use. APC requests feed into the part of our institutional finance system. At Manchester we give each APC request a unique identifier which enables tracking through PO to invoice to payment, and we require that publishers include this number in their invoice for auditing purposes.

3.9. We strongly prefer that the library is informed about a request for an APC *at the time of acceptance for publication* by the publisher. Otherwise, it's difficult for us to manage funds. We understand that different publishers have different systems and workflows but it is important that we are kept in the loop. Some publisher APC application forms encourage direct and exclusive dealing between author and publisher. For example, one publisher's current forms effectively bypass the library/administration function forming a 'closed loop' between author and publisher. This is unhelpful when funds and associated reporting are managed by the library. Indeed, we only know about such spending because the publisher in question sends a monthly report. At this time we believe this needs to be improved. There needs to be greater and more immediate transparency in such publisher processes.

3.10. In terms of managing additional charges, we are recording as part of an author's APC request whether or not this includes other publication charges. As a result, we will be in a position to report this.

3.11. In terms of ensuring journal compliance[174], this is down to the academic. The library performs manual checks after the requests for APCs that we know about. If we discover in this process that a journal is not compliant - for example with regard to green availability, use of CC-BY licence etc. - we will not pay (because funder policy is very clear about this). Such articles typically end up in the 55% non-compliant group.

3.12. If journals are chosen which are non-compliant we also share details of the Wellcome Trust OA Policy with researchers as the consequences explained therein are explicit –

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[174] e.g. clearly labelled as OA; compliant re. use and re-use rights; metadata-compliant; available in the expected timeframe; repository deposit; CC-BY etc.

they will withhold the last percentage of their fund. We may also mention that RCUK have often followed Wellcome in mandatory OA policy and recommend strongly that it is therefore better to comply now. Reminding/sharing that HEFCE are favouring a high percentage of articles submitted to the 2020 REF being Green also has a galvanising effect (i.e. because we can't predict which articles will go into the REF, it makes sense to be 100% Green somewhere).

3.13. When the block grant income is activated we have allocated this to our four faculties on a notional basis according to direct labour costs associated with RCUK funding. As we spend, we draw from the single pot and reconcile retrospectively at year-end against each faculty and school for reporting purposes.

3.14. We have processed some credit card payments but would prefer not to do this due to (for example) currency issues and VAT i.e. credit card payments are upfront when VAT may not be known or included and currency conversion at point of processing will not be known. We much prefer to wait for an invoice but of course we make sure in so-doing we do not hold up the publication process.

3.15. The only thing to date which has held up APC payment is publishers neglecting to include our unique identifier for auditing purposes. Most publishers have recognised this and adjust their practices accordingly. We anticipate publishers will get more used to this as we go on.

3.16. In terms of monitoring and reporting on hybrid journals, we report APC payments to our Library Content Budget Group who oversee subscription payments and will inform senior management where double-dipping behaviour is indicated.

3.17. In terms of reporting[175], we draw data off our IR to report to funders. This works well although we anticipate and have planned for an element of curation at year-end to make good incomplete records/deposits from authors.

3.18. We report to our senior research leads at Faculty level on a quarterly basis; we also work closely with all of the research offices and researchers to ensure optimal understanding and smooth running.

4. Fund management

4.1. Does your institution have a central fund for APCs?

4.2. Yes.

4.3. Who is responsible for managing the fund/s?

4.4. The library takes responsibility for the block grant in its entirety. Notionally we have allocated sums to each of the four large faculties at Manchester as virtual budgets so for example Engineering and Physical Sciences "gets" 56% of the block grant.

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[175] e.g. for/from finance office, research support office, repository manager; contracts office; strategic bidding office, library services, funding bodies etc. (around e.g. progress of grant-funded publications; visibility and access to same; policy compliance etc.).

4.5. We had some debate about breaking things down (again notionally) beyond faculty into schools and departments however we quickly realised that if we did this, sums for some departments would become very small which means moving money around becomes inevitable - and bureaucratic/administrative overheads result. Generally our attitude is, we are being monitored at an institutional level and so we manage and report at this level.

4.6. One of our faculties did ask us early on for "their" proportion of the block grant to be given to them to manage but they came to accept the above position agreeing that the library is very well-placed and well-skilled in terms of managing APC procedure. It also adds significant value.

4.7. The Library is working with the University finance office to ensure payments align with financial regulations. It is working with the University's research office to ensure funder compliance requirements will be met. It is working with academic departments to ensure authors are aware of the fund and are able to easily request payment of APCs. The Library will NOT make academic decisions on what articles receive APC payments where funds become limiting. Academic faculties have agreed that this is their responsibility.

4.8. In terms of how fund management works, we have adopted a first come, first served approach for the present as any other approach was deemed to be unnecessarily complex and likely to generate anxiety. For instance, we didn't want to get into telling researchers where they can and cannot publish as we don't see this as appropriate.

4.9. As a consequence of the above, we know we are going to have to monitor the way funds are spent closely but based on our initial analysis - I've plotted a graph looking at the rates of APC requests and spend and this is fairly linear with a few steps probably correlating to periods of awareness-raising - we do not expect to over-spend in the first year and we are monitoring and reporting, and reviewing things quarterly.

5. Library roles & responsibilities

5.1. What is the role of the library with regard to compliance and implementation of mandatory OA policy?

5.2. Generally speaking, absolutely central with regard to all aspects of administration and monitoring and reporting (see above). Our Director of Research takes the view that the library has taken a pro-active role in tackling the funder OA mandatory issue head-on and presented the institution with a workable solution. Senior academic heads have been impressed with this and are looking for more from the library in future which we consider to be a great opportunity.

5.3. Which staff members are involved?

5.4. During the RCUK 'pump-priming' phase, Manchester had the equivalent of 5 FTEs developing and managing operations around compliance and implementation and we have in the region of 2 FTEs split across 4-5 individuals managing these activities going forward.

5.5. Over the last 18 months we have phased out the subject librarian models and our staff now work as service librarians across particular functional areas e.g. academic engagement librarians, research services and teach ing and learning,. In Research Services, we have librarians managing specific workflow areas such as publishing, bibliometrics, research data management, monitoring and reporting etc. Things are no longer subject- or discipline-specific but targeted at a part of the life cycle of the academic and teaching function, and aligned with university strategic goals.

5.6. There may be an issue of scale if for example research data management goes large as we expect it to. That said, we have built our current structure to be scalable. We do have some concerns about the scalability of this resource in particular areas but believe this structure is now a better fit to the University's needs than the traditional subject-based librarian structure.

5.7. Thinking about tracking the costs of the above staffing and processes in the library[176], we are not currently doing anything formally here. The staff restructuring which happened was going to happen anyway in terms of re-purposing remits more towards supporting research. If you add up the total staff numbers engaged in the above processes, it probably comes to 2-3 FTEs spread across staffing departments within the library. For example Collections Management staff are tracking double-dipping to inform subscription negotiations. So there is re-skilling and shift in many roles. More emphasis on supporting researchers making decisions and choices around where best to publish and good publishing practices.

5.8. Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

5.9. No new staffing as yet (or planned foreseeably) but we did second some library staff to assist with the pump-priming money. Changes to roles preceded the emergence of new OA policies, and meant we were already well-placed to respond.

5.10. Which additional skills are (or will be) required amongst library staff?

5.11. Understanding the OA landscape. Whilst this isn't rocket science, we need in-depth knowledge and expertise i.e. do the reading, follow the tweets and blogs and understand the nitty-gritty. This of course requires on-going time and effort and a long-term commitment to engage.

5.12. Clear and cogent discipline-specific expertise when talking with academics. We've found it is critically important to be able to convincingly counter entrenched views, scepticism and uncertainty.

5.13. We have found there is also a need for 'softer' skills, for example around confident communication and presentation, advocacy and persuasion all in the specific context of OA.

5.14. Some of the staff who were engaged in our pump-priming efforts didn't come with an OA background and did a good job of learning whilst doing.

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[176] e.g. of managing block grants and other APC funds; making and monitoring transactions; of chasing and checking for compliance; managing memberships and prepaid accounts; ensuring payment, timeliness, control, accountability etc.

6. Best practice and lessons learnt

6.1.   Thinking about your institution as a whole, what is working well and why?

6.2.   Certainly analysing the publishing practices of the institution (using SCOPUS, WoK, own data) ahead of any local policy development gave us an evidence-base to inform our discussions and strategic decisions

6.3.   This analysis suggested there were in broad-terms sufficient funds to support payment of APCs to meet RCUK's 45% compliance requirements but not enough funds to cover all RCUK attributed publications.

6.4.   Using Sherpa-Romeo data we were also able to establish how much publishing was potentially gold and green. We discovered Manchester is already publishing in enough compliant outlets to meet the 45% threshold requirement. As targets go up we will have to monitor things.

6.5.   Having an internal mandate that researchers must deposit metadata as a minimum into our IR has been important. The Manchester IR consequently captures a lot of metadata about University outputs which is helpful for compliance monitoring, reporting and so on.

6.6.   Communicating at senior level is good but don't expect this information to be cascaded; get into the community and engage with faculty schools, talk face to face and one on one within their schedule and meetings; get half an hour on their agenda rather than setting up roadshows and workshops.

6.7.   What if any problems and/or challenges are you encountering or do you foresee?

6.8.   Publisher models are very confusing around embargo periods in particular. We tend not to worry academics with this by describing it in too much detail. We say if in doubt ask for help.

6.9.   Publishers contacting authors directly causes us pain as we have to counter what they're saying: for example, some do not mention any green options, instead pushing gold payments.

6.10. SHERPA FACT, which has been designed to make it easier to identify journals which are RCUK policy-compliant, doesn't work well for us at the moment. We want something much more simple and 'lighter' in terms of detail.

6.11. Based on the experience of your library/institution, please share any advice or comments for SCONUL members in relation to best practice and/or lessons learnt:

6.12. See above. In addition, I would say the Library at Manchester was keen to take this whole area on. We are looking for opportunities to engage with the academic community and offer services that they will value. We believe supporting researchers generally, and Open Access/publication specifically, are significant ways of delivering value.

6.13. It is helpful to build an evidence base as this can allay unfounded fears. Even if the evidence from any work you undertake seems weak it is still of value in off-

setting/countering the many myths and monsters around OA, for example people worrying that funds would run out.

6.14. Set priorities – keep in mind all of the time who and what are you serving when managing mandatory Open Access.

6.15. Keep the scope of what you're doing focussed, for example we did not look at research data management, books or monographs. Nor did we worry about HEFCE since we don't know their policy yet. This level of focus is very helpful.

6.16. Connected to the above, look to simplify things, for example the terms 'Gold' and 'Green' are enough (e.g. there is no need to add new terms like 'Platinum').

6.17. Don't forget to remind yourself of some important encouraging messages, particularly when the going gets tough: e.g. OA is good; we are only in transition.

6.18. What are the key outstanding issues within your library (or institution) and how will you address them? What are the implications of these?

6.19. We now have all of the foundations in place and early evidence is that things are working well. However, we need to run a full academic year, maybe two, to see what will come up for us to work through.

7. Other issues

7.1. What do you see as the key remaining challenges in OA policy implementation for UK HEs?

7.2. It is very difficult to predict what impact of HEFCE will have particularly with regard to the 2020 REF but I'm sure we'll deal with this accordingly when policy is announced. There is much interest in Manchester relating to OA monographs, and we have an academic on the HEFCE group which has recently been set up to examine this.

7.3. What could funders do to improve awareness and understanding of, and compliance with, OA policy?

7.4. Improve SHERPA Fact – we will have to do something locally ourselves as this tool is not fit for purpose yet. This could be addressed by RCUK funding.

7.5. Who can help (e.g. OAK, Jisc, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[177]

7.6. We were going to go with the OAK pilot but on the scale at which we are operating, we believe it wouldn't help us. We have the staff and infrastructure and we're happier to manage things ourselves as this gives us control, for example around reporting and customisation. This is not to say we wouldn't consider them in the future.

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[177] (e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; reporting to funders etc.).

7.7.   We have also had conversations with other suppliers with similar offerings but we feel we need to understand the processes in detail more ourselves before committing to use an external broker. This may take one or two years.

7.8.   Any other comments on any aspect of mandatory open access policy?

7.9.   If embargo periods are too long in compliant journals, Manchester is considering developing its own licence which will supersede the publisher's licence and enable us to comply with funder policies. This follows the Harvard model. We do see that instances may arise where without such a mechanism we will not be able to reconcile academic freedom, funder's and publisher's requirements and an institutional publication policy and licence would help in these cases. We anticipate such instances will be rare. We will participate very energetically in discussions with colleagues in other research libraries, with Jisc Collections and with publishers to ensure that policies are observed, and costs and embargo periods are reasonable.

University of Portsmouth

1.   Institutional profile

University of Portsmouth	
Activities	Teaching-focussed, with centres of international research excellence
Focus	Full range of STEM and HSS disciplines
Number of FTEs (students)	22,700
Number researchers including academic and research support staff	400
Membership of mission group	University Alliance
Funders	RCUK Block Grant; Wellcome Trust; government bodies; European Commission; many smaller charities

2. Open Access at Portsmouth

2.1.   Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2.   This can be hard to determine when based in the library but generally institutional awareness of OA policies from major funding bodies is high. University Directorate has been briefed on existing and developing policies, research active staff have been informed of RCUK, HEFCE and EC policies through Faculty and Departmental research leads, and an OA workshop was held to coincide with the launch of the RCUK OA policy. It was good to see a member of the Finance Department at the OA workshop also as this spreads understanding across the wider organisation

2.3.   We (the University) have a nominated Open Access Champion whose role is to follow policy developments and keep researchers and senior management informed about anything which could have institutional implications. University communications have been used to spread awareness e.g. via newsletters and emails.

2.4.   The Library delivers workshops each year for research PGs which cover OA and publications policy. These days we include mention of OA and related policy in most of our information sharing and engagement activities delivered from the Library as well as building awareness around our Institutional Repository (IR).

2.5.   We are also currently recruiting a Research Outputs Manager post and I expect this person to take the lead on engagement and awareness-raising

2.6.   We have a system of Faculty Librarians who work closely with their Faculties. One of these - the Science Faculty Librarian, as this Faculty attracts the lion's share of University funding - has a research support brief across the institution.

2.7. Please indicate what you believe to be the levels of compliance & implementation - and systems, operational procedures and staffing supporting this - in relation to mandatory OA policies from major UK funding bodies:

University of Portsmouth			
Institutional compliance & implementation of mandatory open access policies[178]		Institutional systems, operational procedures and staffing supporting compliance and implementation[178]	
Research Councils UK (RCUK)	In progress	Research Councils UK (RCUK)	In development
The Wellcome Trust	Full	The Wellcome Trust	Full
Other UK Funding Bodies[179]	Full	Other UK Funding Bodies[179]	Full

2.8. Does Portsmouth currently promote open access publishing as the principal channel for research publication?

2.9. Yes, we are committed to ensuring that research outputs are easily accessible. We have not taken such a hard line approach as some universities however (where deposition in an IR is linked into processes such as appraisal and promotion).

2.10. We are currently developing an OA Policy which confirms the University preference for deposition of the final peer-reviewed text plus metadata in Parade our IR (or other repository where it will be freely accessible). This will hopefully be ratified and implemented by the end of this year. We have a preference for Green over Gold as we believe the latter will be too expensive in the medium-long term.

2.11. Does your institution have its own written/declared OA policy statement?

2.12. No, but we expect to have one by the end of 2013 – see above.

2.13. Which group/s within your institution are the key driver/s around (mandatory) Open Access?

2.14. We have an Open Access Task Group which includes the Open Access Champion (the Associate Dean for Research in the Science Faculty); Director of Research; a senior member of the Research Support Office; members of the Research Finance Team, as necessary, and me (University Librarian). This group is the main driver for developing policy and processes for OA and for communicating funders' policies to the research community.

2.15. What is the current policy/position in your institution regarding Green 'vs.' Gold Open Access?

2.16. We are currently developing an OA Policy which confirms our preference for Green i.e. mandatory deposition of the final peer-reviewed text of published outputs in Parade, our Institutional Repository.

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[178] As at July 2013

[179] e.g. government departments, medical research charities etc.

2.17. At present, around 29% of what is in our IR includes full text. A more typical deposit is the metadata linking to the post-print wherever this resides. Whilst this is not optimal, it is acceptable.

3. Mandatory funder OA policies: detailed management processes at Portsmouth

3.1. Please describe the processes you currently have in place for implementing mandatory OA policy and managing APCs within Portsmouth:

3.2. At the start of the coming academic year, detailed guidance and information will be available through our website based on the Policy mentioned above.

3.3. The University has made provision for a central APC fund, in addition to the RCUK Block Grant we have received and the monies already available in grants from funders with mandatory (Gold) OA policies. The University OA funds cover articles arising from RCUK-funded research and research funded by other funding bodies. We will give priority to those outputs likely to be considered for REF submissions.

3.4. Academics are asked to complete an APC request form which will be available online. The requests are logged by Library staff and metadata is supplied and/or checked, as is a target journal's OA status and impact factor, before forwarding to the relevant REF Unit of Assessment Co-ordinator or Research Lead who will indicate approval or otherwise to the Associate Dean (Research) for the Faculty. This decision is relayed to the Library and the academic.

3.5. We hold that it is not the library's role to judge with regard to quality of research outputs.

3.6. The Library is responsible for the payment of an approved APC and for keeping records. It is the responsibility of the academic to contact the publisher and submit the article to them according to the publisher's preferred process.

3.7. When an article has been accepted and invoiced, the library records payment locally and passes the invoice to the Finance Office for payment.

3.8. Please describe the processes you currently have in place for managing the following specific aspects of open access policy compliance and APC management within the library at Portsmouth:

Managing split charges:
3.9. Where there are authors from more than one institution our expectation is that the lead/corresponding author's institution pays. This is in accordance with ARMA[180] proposals (made by ARMA on behalf of the sector to the HEFCE consultation on OA post-REF 2014).

Managing additional charges:
3.10. We don't fund page charges etc. currently. Again, we will review this as things develop.

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[180] http://www.arma.ac.uk/

Hybrid Journals:

3.11.   We are aware of the potential problem and will be monitoring this, managed by a new post – the Research Outputs Manager (see below) - located in the Library. In time, this should help mitigate 'double-dipping'.

How many papers?:

3.12.   In terms of determining how many papers are published which are supported by APCs, there is no limit to the number of applications allowed currently.

Which papers?:

3.13.   As described above, all approval will take place in line with our new policy and decisions will be taken by academic staff – not the library. All publishing of research outputs from Portsmouth, of whatever type, will be subject to our IR deposit mandate.

Ensuring journal compliance[181]:

3.14.   The library does this at present. The metadata that academics deposit goes into a holding area and we check it manually. There is some tension here in that as an institution, we don't want researchers to be forced to publish in any particular journals; on the other hand, mandatory policies demand that journals comply to certain criteria, which may (and does) exclude some journals at present. (See below also).

Monitoring and reporting policy compliance[182]:

3.15.   We are monitoring all aspects of policy compliance through the metadata records maintained in our IR. We (in the Library) haven't reported to funders as yet but we understand some of what we will need to do here, for example reporting sums spent.

3.16.   The numbers of APC-funded papers won't be huge for Portsmouth so we will be using spreadsheets to manage this rather than a more bespoke or dedicated system at the beginning. This approach will change if needed but foreseeably this scales. As an institution we are looking at implementing a Research Information System over the next year or so which will change processes and make them more efficient.

Coordinating timely payment of APCs:

3.17.   We haven't processed any payments yet as we've only just received our block grant. Again, this will be something the Research Outputs Manager will manage when s/he starts. We have a strong preference for payments to invoice to help us control costs (e.g. we will know about VAT and currency charges upfront) and auditing.

Tracking the costs of managing OA in the library[183]:

3.18.   It's early days for us and we would have to consider how we'd go about this. It's straightforward where there are dedicated staff but estimating how much time the Systems Manager (for example) would spend on developing the IR might be more of a challenge as it will currently be relatively small but may grow.

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[181]   e.g. clearly labelled as OA; compliant re. use and re-use rights; metadata-compliant; available in the expected timeframe; repository deposit; CC-BY etc.

[182]   Some funders require increased reporting around e.g. progress of grant-funded publications; visibility and access to same; policy compliance.

[183]   e.g. of managing block grants and other funds; making and monitoring transactions; of chasing and checking for compliance; managing memberships and prepaid accounts; ensuring payment, timeliness, control, accountability etc.

3.19. As a library, we plan to look at the cost of processes over time and it may be that at some point we consider APC-payment and/or OA policy compliance as part of this however I think we are unlikely to interrogate the costs associated with these processes over other costs and processes which are more central to the institution and/or which occur more frequently.

4. Fund management

4.1. Does your institution have a central fund for APCs?

4.2. Yes. The University is in receipt of an OA block grant from RCUK and has made provision for a separate fund covering 2013-15 to support publication in high-impact journals for researchers whose grants do not include financial support for Gold OA publication. The next two years will be a transitional period when policies will develop.

4.3. Who is responsible for managing the fund/s?

4.4. Both funds mentioned above are managed within the Library as two separate budgets; both will be administered by the new Research Outputs Manager (see below).

4.5. There was a strong feeling that the Library should hold and administer the budgets for APCs as we have detailed knowledge of journals, subscriptions and publication charges and manage the IR.

4.6. Which (other) departments are involved?

4.7. Our Research Support Office has been leading on this working closely with the Associate Deans for Research and the Director of Research.

5. Library roles & responsibilities

5.1. What is the role of the library with regard to compliance and implementation of mandatory OA policy?

5.2. Our principal roles are around the management of funds, ensuring payment and helping academics ensure their choice of publications comply with funder policy. We will also be involved in reporting to funders when the time comes.

5.3. Which staff members are involved?

5.4. Librarian; research brief has been given to our Faculty Librarian (Science) who briefs the other Faculty Librarians on OA developments; Associate University Librarian involved with procurements and metadata ; Systems Manager also has a role with the IR as a system; the new Research Outputs Manager when s/he joins; member of the Metadata Team has responsibility for the IR on an operational basis

5.5. Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

5.6.   We are currently recruiting for a new post of Research Outputs Manager to work with the Research Support Office and Library, probably co-located between these two places so they can get to know both groups of staff.

5.7.   The post is a 2-year fixed-term post funded centrally (although we hope and expect this contract to be extended).

5.8.   We have decided that library qualifications are not required for this post as understanding of the research process and landscape is deemed at least as important if not more so. We are finding there is currently high demand for this mix of knowledge and skills.

5.9.   The Research Outputs Manager will also be tasked with monitoring APCs and subscriptions, both in terms of packaged deals (i.e. where a subscription bundle comes with a reduction in APCs fees), pre-paid accounts and memberships with publishers, and hybrid journals.

5.10. Beyond this post, we cannot justify further new staff due to the size of our institution and the amount of research undertaken here.

5.11. In general there is on-going creation of a more flexible structure in the library with some re-purposing of roles to meet new conditions like mandatory OA. For example, we have shifted the emphasis in the role of our Faculty Librarians to have much more of a research support brief; in general this mirrors a wider trend in our library of moving staff away from traditional library processes towards academic/research support activities.

5.12. In addition, we also anticipate that the amount of work we do connected with the IR will also increase.

5.13. Which additional skills are (or will be) required amongst library staff?

5.14. Having an in-depth knowledge of the OA landscape is important particularly in the context of different subject areas. Things are very different between STEM and HSS and within disciplines within this. For example, researchers in life sciences and medical disciplines are often very used to OA publishing procedures – although not all comply with the detail of policy yet – whereas in some HSS disciplines, researchers may be more wary of OA, in some cases due to concerns about copyright and the terms of the CC-BY licence.

5.15. Bibliometrics are becoming very important, e.g. understanding Impact Factors and altmetrics, knowing where to find them, how to interpret them and 'translate' them to researchers etc.

5.16. Skilled spreadsheet manipulation.

5.17. Research Data Management (which at Portsmouth will be within the remit of the new Research Outputs Manager).

5.18. Influencing and advocacy skills have always been important but are becoming particularly so in the mandated OA arena.

6. Shared practice and lessons learnt

6.1. Thinking about your institution as a whole, what is working well and why?

6.2. Having strong leadership from the Director of Research has been very helpful. For example, when we established an IR many years ago it quickly received about 100 deposits but this remained the case for many years without growth. There was no mandate or sense of imperative so there was no real incentive for researchers to deposit. Having somebody who is a high profile researcher leading on this (as opposed to a library staff member with less influence in this area) has been very helpful.

6.3. Clear local policy also helps: for example, once Portsmouth determined all research outputs had to be in our IR to be eligible for the REF, we had a dramatic increase in deposits. We now have 8,000 items in our IR which is the result of having a high profile champion and significant incentive. OA mandates from funders will, I think, have a similar impact by making (some form of) open access publication compulsory.

6.4. Our Task Group, which is comprised of people from different departments, has been very helpful giving us a joined up view of what's going on across the institution. The group bought a useful mixture of skills and knowledge particularly as everyone has their own external networks which has meant a lot of valuable information and experience can be bought back 'in house' and shared.

6.5. Having links to ARMA has helped enormously too by giving us access to the expertise from this group, opportunities to share best practice across the sector and the possibility of contributing to national consultations on OA.

6.6. In terms of fully utilising our IR, we have trained faculty depositors (administration staff based within Faculty and trained by the Library) with a remit to support academic staff by making deposits, so we no longer have to rely on the researchers to self-archive.

6.7. What if any problems and/or challenges are you encountering or do you foresee?

6.8. Estimating the amount of university funding we might need to make provision for the future is a challenge in this a still developing area. APC charges are quite high so we will have to monitor this closely.

6.9. Continuing to ensure all research outputs are deposited.

6.10. Making sure researchers' journals of choice are policy compliant.

6.11. Getting best value from publishers, for example in terms of APC and subscription payments; memberships; bundled deals which feature APC discounts etc.

6.12. Skilling up staff and having to put more staff into this area

6.13. Finding good people as the mix of skills and knowledge around the library-research support interface are (in our experience) in very high demand right now.

6.14. Based on the experience of your library/institution, please share any advice or comments for SCONUL members in relation to best practice and/or lessons learnt:

6.15. See above, particularly concerning strong leadership from a senior research staff member, having a dedicated task force and an institutional policy that endorses HEFCE's proposals that eligibility of articles for the REF will be dependent upon deposit in the Portsmouth IR.

6.16. What are the key outstanding issues within your library (or institution) and how will you address them? What are the implications of these?

6.17. Probably in common with many institutions, we're at the beginning of a learning-by-doing process. Getting the new post filled and getting stuck in is the main challenge for us foreseeably.

6.18. Research data management is also a big challenge for us and we will be addressing this in earnest next year. Some funder policies are likely to require that this be available OA but it is currently unclear how this can best be managed.

6.19. Timescales have been very short which is a problem particularly for a library which has not had such a history of supporting research; for example, we have an on-going concern about whether we are giving the best and/or most timely advice to our researchers, but we are doing our best to make sure that we do.

7. Other issues

7.1. Challenges: What do you see as the key remaining challenges in OA policy implementation for the wider UK HE landscape?

7.2. The HSS problem needs addressing[184]. Some HSS researchers are not happy with CC-BY for example as they are concerned about copyright and what will happen to their works under the terms of this licence.

7.3. The size of APCs: these are generally too large to be sustainable; not reasonable. Embargo periods need to be standardised and made transparent.

7.4. Why not have one IR for the UK? Or a series of subject repositories across the UK which still record by institution thus enabling local researchers and others to view and report on their institution's outputs.

7.5. We have some residual concerns that mandatory funder policies are effectively channelling researchers towards journals which may not be central to their community. This is a problem of having a UK-centric but high-level, broad requirement for compliance in an arena where many (most?) other international funding bodies currently make fewer or no demands.

7.6. Funders: What could funders do to improve awareness and understanding of, and compliance with, OA policy?

7.7. Stop changing the 'rules'.

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[184] See: https://www.jisc-collections.ac.uk/JISC-Collections-events/oabooksconf/

7.8. Have reasonable policies for example be open to Green rather than only Gold, allowing linking to an external repository rather than having to also deposit in own IR, having reasonable timescales.

7.9. Join things up i.e. if one funder requires Green, it would helpful if all funders could require Green and on the same terms. The more everything is different, the more difficult it is to comply, making things off-putting and expensive. There is also more scope for wider confusion in the research community.

7.10. Third Party Support: Who can help (e.g. OAK, Jisc Collections, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[185]

7.11. I'm not sure we'd have the amount of traffic to warrant this. Certainly any service would have to be affordable for us in this regard otherwise we'll just manage this in house.

7.12. Any other comments on any aspect of mandatory open access policy?

7.13. Working out how we can get the best deals from the different publishers for example where publishers give discounts on APCs when bundled in with subscription and varying terms on memberships and pre-paid accounts. This is a headache.

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[185] (e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; providing timely data for reporting to funders etc.).

Royal Holloway University of London

1.   Institutional profile

Royal Holloway University of London	
Activities	Research and Teaching (one of the UK's leading research-intensive universities, with 19 academic departments spanning the arts and humanities, sciences, social sciences, management and economics.)
Focus	Humanities, Social Sciences, Management and Economics, Sciences (no medical or engineering schools)
Number of FTEs (students)	8,618
Number researchers including academic and research support staff	1,168 PhD students; 600 researchers
Membership of mission group	1994 Group
Funders	Wide range of funders (national and international) including RCUK, HEFCE, Government, EU, Wellcome, Leverhulme, Jisc, private sector/industry etc.

2. Open Access at RHUL

2.1.   Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2.   There is a high degree of awareness and expertise in certain members of Library and Research Services staff although the level of knowledge across the board varies considerably. The Research & Enterprise Department is fully conversant with policy requirements and there is a growing awareness among academic departments and individual academics.

2.3.   Working with Research and Enterprise and through the College's Research Committee, we have been taking steps to broaden awareness and understanding among Faculties and academic departments.

2.4.   We have produced a policy around managing APCs which has been approved by the Research Committee, chaired by the Vice Principal, Research. A strong advocacy campaign, targeted at academic departments and individual academics, is about to commence through an information-sharing drive by Library staff, accompanied by web pages and web presence.

2.5.   We have a newly appointed member of staff in the Library who has responsibility to provide research support, with a focus on Open Access, self-depositing, complying with funders' policies and research data management.

2.6.   Faculty boards are more aware as policy impacts practice. We recently organised an information-sharing event with the Faculty of Arts Research Committee entitled 'OA for

the Perplexed' which was successful and similar events are planned for the other two faculties.

2.7.   Please indicate what you believe to be the levels of compliance & implementation - and systems, operational procedures and staffing supporting this - in relation to mandatory OA policies from major UK funding bodies:

Royal Holloway University of London			
Institutional compliance & implementation of mandatory open access policies[186]		Institutional systems, operational procedures and staffing supporting compliance and implementation[185]	
Research Councils UK (RCUK)	In place now (subject to amendment in line with any further changes from RCUK)	Research Councils UK (RCUK)	Currently finalising procedures (subject to amendment in line with any further changes from RCUK)
The Wellcome Trust	At present Library does not check academics' compliance with funding body.	The Wellcome Trust	Library does check whether article version complies with publisher policy on which version can be archived
Other UK Funding Bodies[187]	At present Library does not check academics' compliance.	Other UK Funding Bodies[187]	Library does check whether article version complies with publisher policy on which version can be archived

2.8.   Does your institution currently promote open access publishing as the principal channel for research publication?

2.9.   No. The leading principle at RHUL is to ensure that publications are published in the highest quality and/or most suitable journal.

2.10.   We have 2 complementary Policies – an *"Open Access Publications Policy"* and a "*Policy on Article Processing Charges",* which require the deposit of research outputs in the RHUL Institutional Repository (Royal Holloway Research Online (RHRO) [http://digirep.rhul.ac.uk] subject to copyright, embargoes etc.

2.11.   Both Policies are mandatory rather than voluntary – although we recognise that some articles cannot be made available in OA due to patent applications, embargo periods, and lack of Gold OA funding etc.

2.12.   The RHUL policy on Article Processing Charges is designed to reflect current RCUK Guidelines and is likely to be updated in the light of changing requirements.

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[186]   As at July 2013

[187]   e.g. government departments, medical research charities etc.

2.13. If yes, does your institution have its own written/declared policy statement?

2.14. Royal Holloway's Open Access Publications Policy is available online at: http://www. rhul.ac.uk/iquad/collegepolicies/documents/pdf/research/royalhollowayoapp.pdf

2.15. Which group/s within your institution are the key driver/s of the above?

2.16. The College's Library Services Department has overall ownership of the RHUL Publications Policy ("*Policy on Article Processing Charges*"), working in close collaboration with the College Research and Enterprise Department. This includes responsibility for leading on advocacy and the implementation of the Policy. The management of the Policy is through the College Research Committee.

2.17. In terms of policy management we have developed a team as follows:

- Senior Responsible Officer, Library, is our Associate Director of eStrategy and Technical Services (also Head of Open Access Group)
- Senior Responsible Officer, Research and Enterprise - Head of Research Services
- Library Process Lead – Research Information Manager
- Library Advocacy Lead – Information Consultant (Research Support)

2.18. What is the current policy/position in your institution regarding Green 'vs.' Gold Open Access?

2.19. We endorse Gold where appropriate i.e. where a gold-compliant journal is the best vehicle for a prospective article, but endorse the green route for the longer term as at present we are not convinced that Gold is financially sustainable. It is also true that the best or most appropriate journal may not be gold-compliant. In other words, our practice at Royal Holloway reflects the RCUK policy, following its open access guidelines, where there is support for both gold and green routes to Open Access, although RCUK has a preference for immediate Open Access with the maximum opportunity for re-use. When an appropriate gold OA route is not available or when a prospective author cannot indicate a gold OA journal that meets his/her needs, the Library consults then on alternative green OA options.

3. Mandatory funder OA policies: detailed management processes at RHUL

3.1. Please describe the processes you currently have in place for implementing mandatory open access policy and managing APCs within RHUL:

3.2. We did not receive any of the so-called 'pump-priming' funds and, given the relatively small block grant budget, and the potential administrative burden in managing it, it has been agreed that funds will be allocated on the basis of straightforward principles which are a)division of the block grant notionally into three separate amounts, one for each of RHUL's three Faculties, to enable us to identify and track spending by each Faculty (the notional division of funds being proportional to the RCUK Research Grant Funding received by each Faculty) and b) a first come, first served basis, with the Library carrying out administrative support.

3.3.   The process works as follows:

- Authors make an application to the Library for an APC to be funded by the block grant *prior to* submitting an article for consideration by a Journal or Conference Proceeding.
- Decisions on awarding funds for APCs are not based on academic criteria but only on verification that the essential criteria listed here have been met[188]:
- An application for APC must be made prior to a paper being submitted to a Journal or Conference Proceeding, as there is no guarantee that funding is available.
- Details of the forthcoming paper must be entered into the College's Research Information System, Pure, with a link made between the Research Output and the appropriate Research Grant.
- No APCs will be covered on papers where the related Research Grant has already funding allocated within the grant application to cover publishing costs.
- The PI for the related Research Grant must support the APC application for the paper. The paper must include details of the funding that supported the research, and a statement on how the underlying research materials – such as data, samples or models – can be accessed.
- APCs will only be covered for articles being submitted to gold open access journals which conform to a CC-BY licence[189].
- In terms of authorising the funding, a number of people are involved: our Associate Director, Information Consultant (Research), and Research Information Manager.
- Once the above criteria have been met, the Library checks that funds are available in the block grant budget for the appropriate Faculty and approves the request.
- In cases where funds are not available, unsuccessful applicants will be placed on a waiting list, with funding being awarded if and when it became available.
- Recipients of block grant funds would need to update the Library if/when their article is accepted for publication or not. If the article is not accepted for publication then the funds are released back in to the block grant budget for the appropriate Faculty to be awarded to the next applicant (or the first person on the waiting list).
- If no block grant funds are remaining, and therefore an APC cannot be covered, the Library provides advice to the author on alternative publication routes that would be in line with the RCUK Guidance, specifically via the green open access route.
- All articles in receipt of APCs must be made available in Royal Holloway's Institutional Repository after publication. Articles can be added in to the Repository using the College's research information system, Pure.

3.4.   During the first year of operation the process will be reviewed on an on-going basis, with the Library providing regular updates to the Research Committee. The purpose of these reviews will be to ensure that the Policy aims are being met and updates, in the light of changing requirements, are being made.

3.5.   The rate with which the block grant is being spent will also be monitored, and reported on to Research Committee.

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[188]   Any additional criteria identified by individual Research Councils need to be adhered to when necessary. For example some Research Councils, such as MRC and ESRC, have a requirement that papers must be deposited in specific repositories, such as Europe PubMed Central and the ESRC Research Catalogue.

[189]   Creative Commons licence which allows commercial and non-commercial redistribution, as long as it is passed along unchanged and includes appropriate attribution

3.6. If it is considered appropriate to allocate APC block grant funds on alternative criteria, i.e. on academic or impact criteria, then the decision process will require an additional strata (presumably the Faculty Dean or their nominee) as this would lie outside of the Library's area of expertise and remit. This option would be considered by Research Committee if necessary.

3.7. The above processes are managed within the Library as suggested above. The Open Access Key[190] service will be used to streamline the processes as far as possible.

3.8. **Please describe the processes you currently have in place for managing the following specific aspects of open access policy compliance and APC management within the library at RHUL:**

Managing split charges:

3.9. The policy recommendation is that a Royal Holloway staff member who is the Principal Investigator on the grant related to the publication should apply for APC funding and we encourage this approach when PIs are at other institutions. There should, however, be room for flexibility in instances of multiple publications related to a single grant and a decision may, in fact, be determined by which of the collaborating HEIs has exhausted their block grant provision.

3.10. RCUK (in collaboration with the Research Information Network) are currently working on guidelines on how to divide up the APCs of articles with multiple authors, and it is recommended that the Royal Holloway policy should be amended in the light of these.

Managing additional charges:

3.11. RHUL policy at present states that additional publishing costs, such as colour page charges and image charges, will not be covered by the [RCUK Block] grant. Academics should seek alternative funding for these costs. The policy of not covering additional publishing costs from the block grant will be reviewed at the end of year one.

Reporting on hybrid journals:

3.12. We aim to put in place a process to deal with this in due course.

Determining how many papers are published supported by APCs:

3.13. This is covered in the policy and procedures as shown above.

Determining which papers are published supported by APCs:

3.14. Policy and procedures have been defined and have been signed off by Research Committee.

Compliance monitoring[191] and reporting to funders[192]:

3.15. We have considered both in our policy/procedures and intend to monitor compliance very closely over coming months. The Library will play a key role in this.

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[190] http://www.openaccesskey.com/

[191] e.g. clearly labelled as OA; compliant re. use and re-use rights; metadata-compliant; available in the expected timeframe; repository deposit; CC-BY etc.

[192] Some funders require increased reporting around e.g. progress of grant-funded publications; visibility and access to same; policy compliance.

4. Fund management

4.1. Does your institution have a central fund for APCs?

4.2. We received a single block grant from RCUK and it is managed as (i.e. invoices are paid from) a single central 'pot' within the framework of the Library budget. The block grant is divided notionally into three separate amounts, one for each of RHUL's three Faculties, to enable us to identify and track spending by each Faculty. This notional division of funds is proportional to the RCUK Research Grant Funding received by each Faculty.

4.3. Within the above framework, APC funds are currently allocated on a first come, first served basis. If/when the money runs out, we don't have funds to top up the block grant and there are no plans to do this at this stage. In the event of exhaustion of block grant funding, the case for any additional funding would be referred to the Research Committee.

4.4. Apart from the RCUK Block Grant the Library does not have any other fund for APCs. We are aware of examples of other universities that have such funds, e.g. the members of the "Compact for Open-access Publishing Equity" (COPE)[193] fund and the University of Nottingham's Open Access Publishing Fund.

4.5. Who is responsible for managing the fund/s?

4.6. It was agreed by the Research Committee that the Library should lead in administering the APC block grant, ensuring that mechanisms are in place to receive internal applications for use of the block grant and verifying that applications meet the identified essential criteria.

4.7. Which (other) departments are involved?

4.8. Funds are managed and monitored by the Library in conjunction with the Research and Enterprise Department and a nominated Finance Officer from the Finance Department.

5. Library roles & responsibilities

5.1. What is the role of the library with regard to compliance and implementation of mandatory OA policy?

5.2. See above. Pre-publication, articles have to be linked into our research information system Pure and the Library is responsible for ensuring this. The Library also takes responsibility for ensuring compliance post-publication with publishers.

5.3. Which staff members are involved?

5.4. With reference to the Library, our Associate Director, E-Strategy, chairs an Open Access Group; we have just appointed an Information Consultant (Research) whose main role will be to advocate to research academics and colleagues and to train and up-skill other information consultants in the Library team around the agenda of research support and OA. We also have a Research Information Manager whose role it is to support

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[193] http://www.oacompact.org/

academics to prepare for the REF, ensuring all necessary bibliographic data is recorded on the systems. Together these 3 people are working together to manage APC policy and processes.

5.5.   We have an Information Assistant who supports this work in part of her time.

5.6.   The Director of Library Services also has a role and is often spokesperson on these matters when it comes to internal senior level meetings and committees as well as within external professional library service meetings and fora.

5.7.   Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

5.8.   No new posts or staff. Staff roles have been repurposed to ensure that we have a) a Research Information Manager now in a permanent role, b) an Information Consultant (Research), since June 2013, who are playing and will play key roles in this area; and c) information assistant support - again part of an existing role which has been refocused.

5.9.   Which additional skills are (or will be) required amongst library staff?

5.10.   Knowledge is really key here around the general OA landscape, and specifically around funder policy, mandates, changes and developments etc.

5.11.   Also strong skills of advocacy, persuading, getting out there and engaging with academics (you've got to know what's going on, as academics want confident and clear responses, based on fact and evidence, and they may be resistant/want to push back).

5.12.   Library staff will need some up-skilling particularly with regard to research data and its management.

5.13.   Expertise in data and informatics. We are finding that people with these skills are very marketable.

5.14.   Supporting the research agenda is fundamental to the future of libraries such as ours so knowledge and skills which fulfil this need are crucial. This could be in regard to the 2020 REF and what comes after but also applies to general research support. Whether these people should be based in the Library is a matter for debate.

6. Shared practice and lessons learnt

6.1.   Thinking about your institution as a whole, what is working well and why?

6.2.   Requesting academics to deposit metadata of the forthcoming publication in the research information system Pure upon making APC application was very important and galvanising for researchers.

6.3.   Having a very good relationship with our Research & Enterprise Department has been very helpful; it has bought a closer understanding and collaboration, benefitting the College as a whole, particularly in terms of roll-out/awareness.

6.4. We've been able to define/refine our policies and processes by looking at what others are doing (seminars, sharing informally) and hope to continue to do this.

6.5. We recognise this is a key area and we have identified staff to repurpose and focus on it; the College has been very supportive in making this happen.

6.6. Decision-making chains are quite short at Royal Holloway and we can react quite quickly to change. Also, our strong research culture makes us optimistic that we will adapt and manage whatever develops.

6.7. Finding academic champions is helpful. Certainly having these in the Art and Social Sciences Faculty has been very important. Getting buy-in from researchers generally is helpful as we have had challenges around being perceived as the Library trying to impose its policy on research. We still get some of this resistance but we've tried to make processes as easy as possible and to help people see the benefits and to realise that it's not coming from the Library but is a College requirement. It's also true that compliance is compulsory so it's a question of getting this message over in a form in which it can be received.

6.8. What if any problems and/or challenges are you encountering or do you foresee?

6.9. On-going and effective academic engagement.

6.10. What do we do when the funding runs out – can we top it up?

6.11. Could staff expertise be lost to a bigger institution?

6.12. Shared practice: Based on the experience of you library/institution, please share any advice or comments for SCONUL members in relation to best practice and/or lessons learnt:

6.13. See 16 above. 1994 Group libraries are sharing best practice.

6.14. Outstanding issues: What are the key outstanding issues within your library (or institution) and how will you address them?

6.15. Strong academic debate continues in the institution around Open Access and mandates and varies according to subject e.g. humanities more cautious than science etc. Academics are looking ahead to REF 2020 and the impact of Open Access on that. This will be a vibrant, challenging and interesting journey - or rollercoaster, as one Vice Principal has described it.

7. Other issues

7.1. What do you see as the key remaining challenges in OA policy implementation for UK HEs?

7.2. The big unknown is what the 2020 REF is going to look like. Everyone is a bit nervous about its parameters and what will be needed to address that challenge.

7.3. Academic engagement – getting people to engage and implement and comply

7.4. Double-dipping issue – impact on library budgets – publishers *claim* they will revise and review subscriptions and this is critical from a library perspective. The challenge is that we will need to continue to buy journals (for example where the gold route is not compulsory) to get the international content and we may not be able to afford all of the information our users want.

7.5. Some large publishers lack clarity in their terminology around double-dipping and on the timing of any subscription cost reduction benefits to their customers. Sometimes, they use unhelpful wording and jargon such as 'cost corrections'

7.6. Academic debate, particularly in HSS, around the Finch Report, going for Gold and the impact on learned societies, academic integrity; and how this will work in the international context where other countries do not have these demands or policies.

7.7. Funders: What could funders do to improve awareness and understanding of, and compliance with, OA policy?

7.8. They should consult more with researchers before rolling out policies.

7.9. When funders introduce new policies, or when they amend their policy terms, they should provide more training/seminars to the key stakeholders in their universities. These face-to-face meetings will allow the raising of questions and facilitate the correct interpretation of the policy.

7.10. Third Party Support: Who can help (e.g. OAK, Jisc, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[194]

7.11. Royal Holloway is participating in the pilot from Jisc Collections and Open Access Key (OAK) and it is hoped that this can provide support in some of the administration of APCs. We have signed the agreement and been given a test login so we can start to use the Jisc APC system.

7.12. The Open Access Implementation Group[195] can also include content in their webpages which can serve as an information guide and run events related to the topic.

7.13. Any other comments on any aspect of mandatory open access policy?

7.14. We are on a learning curve and a journey in this area. There is significant and growing expertise across the institution and we are working well together under the auspices of Research Committee. Policies and procedures are being put in place; once these are fully rolled out, there will be a strong drive towards advocacy among academic departments and individual academics.

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[194] e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; reporting to funders etc..

[195] http://open-access.org.uk/

UCL (University College London)

1.   Institutional profile

University College London	
Activities	Research and Teaching
Focus	Full range of STEM and HSS disciplines
Number of FTEs (students)	ca. 25,000
Number researchers including academic and research support staff	ca. 6,000
Membership of mission group	Russell Group
Funders	RCUK; Wellcome Trust; HEFCE; Cancer Research UK; British Heart Foundation; NHS; Arthritis Research; Leverhulme;

2.   Open Access at UCL

2.1.   Please summarise what you believe to be the levels of institutional awareness and understanding in relation to mandatory OA policies from major UK funding bodies:

2.2.   Levels of awareness, particularly pertaining to RCUK and Wellcome funding, are high amongst certain dedicated library staff. In general, though, awareness is limited. We have a programme of training sessions for authors and library staff to alert them to the funder policies.

2.3.   UCL's Wellcome-funded researchers are in general reasonably confident about our procedures for open access payments; we have had robust systems in place for these funds since early 2008. Compliance increased when the Wellcome strengthened its approach to enforcement. Certain UCL departments are key users of this service.

2.4.   UCL launched a suite of new webpages on Open Access for RCUK and Wellcome authors in March. Quick guides, in the form of flowcharts, distil the more detailed guidance in our Implementation Guidelines and full guides. We are in the process of simplifying the interface to make it more user-friendly. Other forms of publicity include bookmarks, which give our contact details and a brief summary of the help we offer.

2.5.   Training sessions in departments, organised through subject librarians and informal academic contacts, have been reasonably well-attended. Some departments have included Open Access in all-staff department meetings. Engagement varies, inevitably, depending on the prevailing attitude to Open Access in the department. Giving advice on specific journals and publishers, within a general context, is ideal.

2.6.   Please indicate what you believe to be the levels of compliance & implementation - and systems, operational procedures and staffing supporting this - in relation to mandatory OA policies from major UK funding bodies:

University College London			
Institutional compliance & implementation of mandatory open access policies[196]		Institutional systems, operational procedures and staffing supporting compliance and implementation[196]	
Research Councils UK (RCUK)	Comprehensive implementation of policies; growing compliance amongst academic community	Research Councils UK (RCUK)	Comprehensive
The Wellcome Trust	Comprehensive implementation of policies; substantial (and growing) compliance amongst academic community	The Wellcome Trust	Comprehensive
Other UK Funding Bodies[197]	Under review	Other UK Funding Bodies[197]	Partial but growing

2.7. UCL has clear policies and procedures in place, and a set of guidelines and flowcharts for different authors, depending on their funding source.

2.8. Inevitably, given how long the Wellcome Trust policy has been in place, Wellcome Trust compliance is far higher than RCUK. However, our programme of training sessions, and the general interest in OA that the RCUK (and forthcoming HEFCE) policy has prompted, mean that RCUK compliance is likely to grow quickly.

2.9. Our webpages include general advice on other funding bodies' open access requirements, but we will be developing this to make it comprehensive soon. We provide a great deal of advice on a case-by-case basis; this is vital, given how complicated and confusing different funders' policies, and publishers' permissions, can be.

2.10. Does UCL currently promote open access publishing as the principal channel for research publication?

2.11. UCL's Publications Policy mandates deposit in UCL Discovery (UCL's institutional repository), copyright permissions allowing.

2.12. It is a condition of UCL paying an APC that the publisher allows us to deposit the publisher PDF in UCL Discovery. We discuss any difficulties with CC BY with publishers. The open access team manages deposit where an APC is paid.

2.13. Some academics actively avoid non-compliant journals of their own volition.

2.14. Does your institution have its own written/declared policy statement?

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[196] As at July 2013

[197] e.g. government departments, medical research charities etc.

2.15. UCL's Publications Policy[198] has been in place since 2009, and researchers are constantly reminded of the need to comply. Compliance is monitored and the results shared with UCL committees, Schools, Faculties and Departments.

2.16. UCL's Implementation Guidelines set out the RCUK's requirements, and describe how UCL is implementing the policy. We also have separate guides and flowcharts for RCUK, Wellcome Trust and the Medical Research Council. We have guidelines and flowcharts for other key UCL funders. Our redesigned webpages will feature eye-catching links to guidance for (i) WT; (ii) RCUK; and (iii) Other funders (iv) Non-funded publications.

2.17. Which group/s within your institution are the key (mandatory) open access driver/s?

2.18. Vice-Provost for Research and senior library staff.

2.19. What is the current policy/position in your institution regarding Green 'vs.' Gold Open Access?

2.20. The choice of Green or Gold is a decision for our academics. APCs for gold OA publishing will be met, whether or not the researcher has been funded by an external funder.

2.21. The Library's Open Access team can advise on relevant considerations, including (i) OA on the publisher site as well as in UCL Discovery; (ii) which version will appear in UCL Discovery; (iii) embargo periods; (iv) press releases and public interest in the article; (v) the availability of prepaid funds via a publisher's membership scheme.

2.22. Our current institutional guidelines currently specify that Green after 6 months for MRC, 24 months for ESRC/AHRC and 12 months for other Research Councils comply with the RCUK policy. This reflects the current statements on embargoes in that policy.

2.23. UCL holds that "individual UCL academic researchers are directly responsible for providing and maintaining details of their publications in relevant UCL databases so as to support both Open Access and the requirement for UCL to keep an accurate record of its research outputs".

2.24. The requirement to deposit full text copies of research in UCL Discovery (UCL's IR) is monitored by periodic reporting (broken down by academic department) of the proportion of recorded research outputs which are held in full text.

3. Fund management

3.1. Does your institution have a central fund for APCs?

3.2. Yes. This principally comprises monies from the RCUK Block Grant and our Wellcome Trust funds. These are maintained as separate budgets.

3.3. UCL also has a separate core fund provided by the university to support publications which are not otherwise funded.

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[198]   http://www.ucl.ac.uk/library/publications-policy.shtml

3.4. UCL has joined a number of publisher membership schemes. Typically they offer discounts on APCs, reduced administration and invoicing, and regular reporting. They are funded from our RCUK and UCL core funds, with adjustments where payments from the schemes are made for Wellcome articles. We are developing approaches for achieving streamlined financial reporting. Currently we have memberships with: BMC, BMJ, Elsevier (RCUK only), IEEE, RSC and Wiley, with more coming. We would like PLoS to develop a prepayment scheme.

3.5. Who is responsible for managing the fund/s?

3.6. Library Services manages UCL's RCUK, Wellcome Trust and core UCL funding for APCs.

3.7. Which (other) departments are involved?

3.8. Research Services receives grant funds and provides end of grant reporting to funders. Library Services' Open Access team liaises with Research Services on financial matters. UCL Accounts Payable pays invoices. Publisher membership schemes reduce invoicing and thus administration. Library Services' Open Access team processes invoices on UCL's Financial Information System and liaises closely with Library Accounts and UCL Finance.

4. Mandatory funder OA policies: detailed management processes at UCL

4.1. Please describe the processes you currently have in place for implementing mandatory open access policies and managing APCs within UCL:

4.2. The payment process often starts with a query from an author, usually in response to an acceptance e-mail received from a publisher. We advise on the options available to the author (Green/Gold, publisher compliance and so on).

4.3. If s/he chooses Gold, we arrange an invoice (unless we have a prepayment scheme in place, in which case we authorise payment.) If the author is familiar with the gold process, s/he can use our claim form to send us the invoice and grant details.

4.4. The Open Access team records all payments, both from prepayment funds and via invoices, in a spreadsheet. Where we have a publisher membership scheme in place, we check reports (on an ad hoc basis, but at least monthly.)

4.5. We receive notifications whenever a new article is added to our account. See also below.

4.6. Please describe the processes you currently have in place for managing the following specific aspects of open access policy compliance and APC management within the library at UCL:

Managing split charges:

4.7. We have two funds for the RCUK and Wellcome Trust, and are splitting payments between budgets accordingly. We are using prepaid funds for certain publishers in the case of both RCUK and Wellcome articles, including where payment needs to be split, and will adjust our budgets quarterly to take account of the fact that these prepayments have been made from UCL/RCUK funds. The Wellcome has authorised this approach.

4.8. We prefer to pay invoices in whole, rather than arranging split payments with other institutions.

Managing additional charges:

4.9. UCL pays additional publication charges on behalf of RCUK authors, and records them comprehensively.

Reporting on hybrid journals:

4.10. At present we do not specifically record each journal's hybrid/fully OA status. We could recover this information from our records, though, and will add it as a field if necessary.

Determining how many papers are published supported by APCs:

4.11. This information is recorded in our master records, and is summarised in monthly reports. If an academic pays an APC from departmental, grant or personal funds, we do not have a record unless we are asked to make a reimbursement.

Determining which papers are published supported by APCs:

4.12. As above.

Agreeing policy/procedure for 'non-funded' researchers[199]:

4.13. UCL's policy is that the choice of Green vs. Gold is an academic decision for authors. Funds are available to pay APCs on behalf of non-funded researchers.

Ensuring journal compliance[200]:

4.14. Before processing any payment, UCL's open access team checks the publisher's licence terms, contacting the publisher where necessary to request CC BY. Publishers often offer a choice of CC licences; we advise authors to choose CC BY. If they choose a different CC licence, we request that it be changed, if possible, but do not insist. Where Gold is chosen, the publishers must allow us to deposit the publisher version in UCL Discovery. SHERPA/ROMEO and SHERPA FACT provide useful links to publisher policies, but it is vital to check the publishers' websites for the most comprehensive information.

Policy compliance, monitoring and reporting[201]:

4.15. Our RCUK and UCL reports are an expanded version of our original Wellcome Trust reporting. The Wellcome Trust has specific criteria for annual reports. The Open Access team compiles a monthly report for internal UCL use.

Tracking the costs of managing OA in the library[202]:

4.16. These are now being tracked monthly, and a reporting framework is being established.

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[199] Here meaning researchers whose funding does not cover publication.

[200] e.g. clearly labelled as OA; compliant re. use and re-use rights; metadata-compliant; available in the expected timeframe; repository deposit; CC-BY etc.

[201] Some funders require increased reporting around e.g. progress of grant-funded publications; visibility and access to same; policy compliance.

[202] e.g. of managing block grants and other funds; making and monitoring transactions; of chasing and checking for compliance; managing memberships and prepaid accounts; ensuring payment, timeliness, control, accountability etc.

5. Library roles & responsibilities

5.1. What is the role of the library with regard to compliance and implementation of mandatory OA policy?

5.2. Very central and has become more so; we are doing more and more outreach to research colleagues such that we are increasingly providing a research support role.

5.3. Which staff members are involved?

- Open Access Funding Manager
- Open Access Funding Assistant
- Open Access Compliance Officer
- Director of UCL Library Services

5.4. Please describe any changes to existing roles or any new staffing you have put in place to accommodate OA mandates within the library:

5.5. Open Access Funding Manager: includes managing UCL's open access and publication funds, promoting and developing UCL's gold open access services, overseeing advice to UCL authors, managing gold open access reporting, negotiating UCL's agreements with publishers, working with third parties and funders

5.6. Open Access Funding Assistant: includes advising authors, checking publisher policies, processing payments, liaising with other library staff (including UCL Discovery, Library Accounts)

5.7. Open Access Compliance Officer: includes monitoring, enforcing and reporting compliance with the RCUK, Wellcome Trust and UCL open access policies.

5.8. Which additional skills are (or will be) required amongst library staff?

5.9. Skills required to use UCL's Financial Information System. Otherwise, other appropriate skills to carry out the tasks above.

6. Shared practice and lessons learnt

6.1. Thinking about your institution as a whole, what is working well and why?

6.2. UCL's Open Access team has developed excellent relationships with academics, and has a reputation for being extremely helpful, flexible and efficient. We are committed to relieving academics of administrative burdens where at all possible. We have received very good feedback on presentations to departments – planning, clarity of message and willingness to adapt to departments' needs are key to this.

6.3. We have excellent relationships with publishers, too, and have developed good reporting frameworks where we have prepayment schemes in place. Prepayment schemes reduce administration and give us better value for money. We are clear about our requirements in negotiating with publishers.

6.4. Our experience with Wellcome Trust open access funding enabled us to collect the right data from the start, and to develop comprehensive and flexible reporting tools.

6.5. The open access team has developed a strong relationship with colleagues in Library Accounts and UCL Accounts Payable, enabling us to achieve an efficient system of processing and monitoring payments.

6.6. What if any problems and/or challenges are you encountering or do you foresee?

6.7. We are awaiting the appointment of the Open Access Funding Assistant and Open Access Compliance Officer. When we have a full complement of staff, we will be able to develop our services further.

6.8. Reporting on green compliance may not be comprehensive, because academics can deposit their manuscripts in UCL Discovery without using our RCUK deposit route. We will work with UCL Discovery to try to address this, and to monitor developments in IR software.

6.9. Publishers' systems and policies are many and varied. The same is true of funders' requirements. Institutions have responded to the RCUK mandate in different ways. This makes the landscape very confusing for academics – so we will continue to promote our services robustly.

6.10. Third party systems such as OAK need to be able to interact effectively with publisher and library systems in order to provide comprehensive data and reliable payment systems. When they do, they may be very useful tools.

6.11. Publishers' systems cannot yet collect all the data that we need. Where a publisher is flexible enough to adapt to our requirements (reporting, discounts and so on), we can work with them in a membership scheme. In developing their systems, it is vital that publishers take account of libraries' needs; most seem to be willing to do so.

6.12. FundRef may assist with enabling funding data to be captured more efficiently, reducing the need for us to ask academics for funding information relating to particular papers.

6.13. Shared practice: Based on the experience of you library/institution, please share any advice or comments for SCONUL members in relation to best practice and/or lessons learnt:

6.14. Advocacy is very important: attend department meetings, offer informal and formal sessions (with a clear message), be pro-active and flexible, and liaise with publishers on behalf of academics where necessary. If HEFCE mandates open access for the next REF, this will be an important driver for academic engagement with open access.

6.15. Develop clear guidelines on the basis of your institutional policy, as well as quick reference guides.

6.16. Establish strong relationships with publishers, and with the other stakeholders in your institution.

6.17. Set out clear reporting requirements, and collect the data you need as early as possible in the APC payment process.

6.18. What are the key outstanding issues within your library (or institution) and how will you address them? What are the implications of these?

6.19. See above.

7. Other issues

7.1. Challenges: What do you see as the key remaining challenges in mandatory OA policy implementation for UK HEs?

7.2. Monographs, including the new Wellcome mandate[203] shortly to come into effect.

7.3. Differences in emphasis and interpretation between institutions.

7.4. How RCUK's reporting requirements are defined.

7.5. Funders: What could funders do to improve awareness and understanding of, and compliance with, OA policy?

7.6. Communicate with researchers about open access requirements at the most relevant stages of the grant process. Direct grant holders to their institution's open access teams.

7.7. Third Party Support: Who can help (e.g. OAK, Jisc, CCC or similar, subscription agents etc.) and what services can they most usefully offer?[204]

7.8. UCL is on the steering group of Jisc APC, but is not currently using the service. Third party systems need to be able to interact effectively with publisher and library systems in order to provide comprehensive data and reliable payment systems. When they do, they may be very useful tools.

7.9. Any other comments on any aspect of mandatory Open Access policy?

7.10. Nothing further at this stage.

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[203] http://www.wellcome.ac.uk/News/Media-office/Press-releases/2013/WTP052746.htm

[204] e.g. management of APC funds on behalf of institutions; aggregation of payments to publishers; ensuring compliance of articles with funder policy; reporting to funders etc..

Appendix 5: Survey questionnaire

Open Access: SCONUL Membership survey
Contact details

1. Name:

2. Job Title

3. Institution

4. E-mail:

5. Telephone:

Mandatory Open Access policies for research outputs – institutional awareness

6. RCUK Open Access Policy Under the terms of the current RCUK Open Access Policy researchers are expected to publish peer-reviewed research papers which acknowledge RCUK funding in journals that are compliant with RCUK OA Policy. RCUK are supporting the payment of Article Processing Charges (APCs) for such articles published from 1st April 2013 through block grants to universities. Thinking about your institution, using a scale of 1-5 (where 1 is low and 5 is high), please indicate what you believe to be the current levels of understanding in relation to the current open access policy of RCUK:

	1	2	3	4	5	Don't know/ not sure
Library Staff	☐	☐	☐	☐	☐	☐
Authors (research staff)	☐	☐	☐	☐	☐	☐
Research support office	☐	☐	☐	☐	☐	☐
Finance office	☐	☐	☐	☐	☐	☐
Other (please indicate)						

7. The Wellcome Trust From its Open Access Policy Statement, publication of articles funded by The Wellcome Trust must be published either through an open access or a hybrid journal or through deposit in a repository; deposit in UK Pub Med Central is also required. Thinking about your institution, using a scale of 1-5 (where 1 is low and 5 is high), please indicate what you believe to be the current levels of understanding in relation to the current open access policy of The Wellcome Trust:

	1	2	3	4	5	Don't know/ not sure
Library Staff	☐	☐	☐	☐	☐	☐
Authors (research staff)	☐	☐	☐	☐	☐	☐
Research support office	☐	☐	☐	☐	☐	☐
Finance office	☐	☐	☐	☐	☐	☐
Other (please indicate)						

8. QR Funds The four Higher Education Funding Councils for the United Kingdom provide block grants to UK universities (Quality-related or 'QR' funds, determined in the Research Assessment Exercises and now the Research Excellence Framework) to support research activities. In a July 2012 statement the Higher Education Funding Council for England (HEFCE) made clear that universities could use QR funds alongside other funds to meet the costs of APCs. Thinking about your institution, using a scale of 1-5 (where 1 is low and 5 is high), please indicate what you believe to be the current levels of understanding in relation to the statement on open access from HEFCE:

	1	2	3	4	5	Don't know/ not sure
Library Staff	☐	☐	☐	☐	☐	☐
Authors (research staff)	☐	☐	☐	☐	☐	☐
Research support office	☐	☐	☐	☐	☐	☐
Finance office	☐	☐	☐	☐	☐	☐
Other (please indicate)						

9. Research Excellence Framework In a letter dated February 2013, the UK Funding Councils announced their intention to "…to introduce a requirement that all outputs submitted to the post-2014 Research Excellence Framework (REF) exercise are published on an open-access basis, where this is reasonably achievable and…the concept of 'open access' applies." Thinking about your institution, using a scale of 1-5 (where 1 is low and 5 is high), please indicate what you believe to be the current levels of awareness in relation to this intention:

	1	2	3	4	5	Don't know/ not sure
Library Staff	☐	☐	☐	☐	☐	☐
Authors (research staff)	☐	☐	☐	☐	☐	☐
Research support office	☐	☐	☐	☐	☐	☐

Finance office ☐ ☐ ☐ ☐ ☐ ☐

Other (please indicate)

10. Please use this space to make any comments about levels of understanding within your institution in relation to any mandatory OA policy/ies from major UK funding bodies

Mandatory OA policies for research outputs – compliance and implementation

11. Considering the current mandatory Open Access policies of the funding bodies named below, which option best describes your perception of the current levels of compliance and implementation within your institution.

Current levels of compliance and implementation within our institution

Research Councils UK (RCUK)

The Wellcome Trust

Other UK Funding Body/ies e.g. government departments, medical research charities etc.

(please specify)

12. Considering the current mandatory Open Access policies of the funding bodies below, which option best describes your perception of the current levels of systems, operational procedures and staffing supporting policy compliance and implementation within your institution.

Current levels of systems, operational procedures and staffing within our institution

Research Councils UK (RCUK)

The Wellcome Trust

Other UK Funding Body/ies e.g. government departments, medical research charities etc.

(please specify)

13. Please use this space to make any comments about your institution's compliance with, and implementation of, mandatory OA policy/ies from major UK funding bodies:

Open Access: Additional Management Issues

Below is a list of some of the more significant management issues facing research institutions in connection with implementation of, and compliance with, the mandatory Open Access policies of UK funding bodies.

In a sentence or two, please describe how each is currently being managed within your institution. (If an issue is not currently being addressed, please say so).

14. Split payments
    Where a publication arises from work authored by the same lead author, but is funded by more than one research grant and/or by different funders, funders require the author's institution to be able to split payments proportionately between the relevant funds and/or funders.

15. Other charges
    Where a publisher levies charges (e.g. page charges, colour charges etc.) in addition to APCs, a funder may require these to be distinguished in any accounting/payment system.

16. Monitoring of hybrid journals
    An institution may wish to monitor what it is paying out in APCs and subscription fees to hybrid journals to avoid paying twice (sometimes referred to as 'double dipping').

17. Defining the number of papers to be supported by OA funding
    Given that block grants and other APC funding is limited, institutions may require policies/procedures for determining and managing the number of OA papers to be published.

18. Selecting which papers will be supported by OA funding
    Given that block grants and other APC funding is limited, institutions require policies/procedures for determining which papers will be supported.

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19. Policy compliance monitoring
As required by The Wellcome Trust and RCUK. Ensuring grant-supported papers are (e.g.): clearly labelled as OA, compliant re. use and re-use rights; metadata-compliant; available in the expected timeframe etc.

<div style="border:1px solid #888;min-height:100px;"></div>

20. Management information
Funders may require increased reporting around e.g. progress of grant-funded publications; visibility and access to same; policy compliance.

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21. Other
Please use this space to comment on any other OA Policy management issues within your institution.

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Payment of Article Processing Charges (APCs)

Under the terms of UK funder OA policies, institutions are responsible for managing the payment of Article Processing Charges (APCs), typically through the provision of block grants to institutions.

22. Using a scale of 1-5 where 1 is low and 5 is high, please indicate what you believe to be the current levels of understanding and practical experience within different groups in your institution in relation to payment of APCs:

	Current levels of understanding about paying APCs.	Current levels of experience of paying APCs.
Library Staff	☐	☐
Authors (research staff)	☐	☐
Research support office	☐	☐
Finance office	☐	☐
Other (please indicate)		

23. Is your institution currently managing a block grant or other funding to support payment of APCs?

```
[                                                              ]
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24. Which departments/groups are involved? (for each, please indicate level of involvement using a scale where: 0 indicates no involvement; 1 indicates some involvement; and 2 indicates full involvement and/or overall responsibility).

	0	1	2
Library Staff	☐	☐	☐
Authors (research staff)	☐	☐	☐
Research support office	☐	☐	☐
Finance office	☐	☐	☐
Other department	☐	☐	☐
(please indicate name)			

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[                                              ]
```

25. Has your institution set up a single central publication fund for the payment of APCs?

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[                                                              ]
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26. Please describe in 2-3 sentences how this central fund is administered and which department/s is/are responsible for its management.

```
[                                                              ]
```

27. Please indicate whether there are plans for such a central fund in the following time-frames:

☐ 3-6 months

☐ 6-12 months

☐ 12-24 months

☐ Don't know/not sure

☐ Other (please specify)

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[                                                              ]
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28. Please describe in 2-3 sentences how your institution is currently administering its block grant and which department/s is/are responsible for its management (please respond unsure/don't know if this is the case).

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[                                                              ]
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29. What do you see as the main obstacles to managing APCs payments within your institution?

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30. Please use this space to make any comments in relation to the management of APC payments within your institution.

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31. Please share any other comments or points you would like to raise with regard to any aspect of any mandatory open access policy.(e.g. challenges, concerns, benefits, opportunities)

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Appendix 6: Glossary of key terms

Article Process Charge (APC): the fee charged by a publisher to cover the costs of making an article immediately open access.

Gold Open Access: the payment of publication costs is shifted from readers (via subscriptions, typically but not exclusively met by their affiliate institution) to authors. These costs are usually borne by the university or research institute to which the researcher is affiliated, increasingly via individual and block grants supplied by the agency funding the research.

Green Open Access: in general, the published article or the final peer-reviewed manuscript is archived by the researcher in an online repository before, after or alongside its publication. Access to this article is often delayed ('embargo period') at the request of the publisher so that subscribers retain an added benefit. This model allows for certain variations. The length of the embargo period and the version that may be archived at different moments in time vary depending on the requirements of funding bodies and agreements between publishers and authors. Online repositories are managed either by academic institutions or funding bodies. Most cover all output from that institution or funder whilst some are organised around specific subjects.

Hybrid journals: journals where a subscription is paid for online access, but some, typically APC-supported, articles are made available as Open Access for anyone to view whether or not a subscription has been paid.

Institutional Repository: electronic archive of documents, research papers and other types of publications originated by academics/students/researchers belonging to one organisation, in the context of this briefing, typically a University.

Mandate: requirement to make published research available in a repository. For example, UK research funding bodies may mandate that publicly-funded research is made available through one or more open access channels. Similarly, researchers may be mandated by their host university to deposit copies of their research articles in that university's Institutional Repository.

Open Access: "Free availability on the public internet, permitting any user to read, download, copy, distribute, print, search, or link to the full text of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose."[205]

Paid for/subscription based journal: traditional journal publishing business model where a fee/subscription is paid to receive on-line and / or printed copies of a journal.

Self-archiving: authors depositing copies of their own work in a repository. The ability to self-archive and the versions deposited are dependent on the policies of publishers towards self-archiving expressed in the licence or contract to publish agreed between publisher and author.

Subject repository: electronic archive of documents, research papers and other types of publication focussed on a single topic or discipline, typically hosted/sponsored by a leading research organisation within the same field.

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[205] From the Budapest Open Access Initiative: http://www.budapestopenaccessinitiative.org/read