

## Open Access Publication Decision-Making

### A. Background

1. Senior Management Group discussed Open Access at its meeting of 4 March 2013, and agreed that decisions relating to what to publish, where and when should remain academic decisions, under the oversight of each School.
2. The following principles were agreed, for journal and conference articles, as covered by the RCUK policy<sup>1</sup>:
  - a. Schools are responsible for ensuring that relevant publications comply with the funder's requirements.
  - b. Schools should make the academic judgements relating to the timing of the publication and the appropriateness of the journal or conference, ensuring the quality of the article and taking into consideration the career stage of the author(s).
  - c. Schools should also determine whether the article should be published on a Green, Gold or other basis.
  - d. The criteria for decisions about use of RCUK (and School) funds should be defined and transparent, and be centred around the quality of the output. A quality threshold should be set by each School. The Head of School will be responsible for establishing an appropriate process for making these decisions. Outputs not meeting the quality threshold should be published on a Green basis.
  - e. Schools are responsible for any charges over and above the RCUK funds allocated and for the OA charges for the publications arising from any other funded or unfunded research not covered by the project itself.
3. Implementing this requires an institutional approach, that can be flexed and expanded by each School to reflect its own disciplinary areas. The generic approach to making publication decisions in an OA context is provided in the following section.

### B. Publication Decisions

4. The University's approach to publication decisions is as follows:
  - a. Research outputs should be published in the most appropriate venue (i.e. journal, conference, etc.), reflecting their topic and quality.
  - b. Where it is available for the preferred venue, a compliant Green route should be selected (i.e. one that meets the relevant funder's terms).<sup>2</sup>
  - c. Where a compliant Green route for the preferred venue is not available, Gold should be used, up to the available funds.

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<sup>1</sup> <http://www.rcuk.ac.uk/documents/documents/RCUKOpenAccessPolicy.pdf>

<sup>2</sup> The compliance of a journal with a funder's requirements can be checked via the Sherpa FACT service: <http://www.sherpa.ac.uk/fact/>.

- d. Once the funds available for Gold OA have been exhausted, the Green route with an extended embargo period (i.e.12/24 months) may be considered (noting the funder's acceptance of this).
- e. Where there are no available compliant OA options for the appropriate venue(s), then the subscription model may be used, noting that this option will not be available longer-term, and may restrict the ability of the University to include the output in future Research Excellence Frameworks.

**C. Workflow**

- 5. A workflow incorporating advice from the Library, relevant data capture for reporting purposes, and payment of APCs is currently being developed. It will be operated for 12 months, and will be subject to review.
- 6. Schools will wish to understand the publication commitments and plans of their researchers, in particular of those funded by RCUK and other funders who require OA publication as part of their terms of funding. Current information in this respect has recently been provided to Schools.

IMC/KI  
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## School of Psychology

Strategy Committee discussed this University policy for the funding of open access publishing at its meeting on 15<sup>th</sup> May 2013. The School then discussed the policy at its May 29<sup>th</sup> 2013 meeting.

The School noted the five principles set out in the paper and has adopted the following procedure.

RCUK funded research within the School comprises projects directly funded by Research Councils and the work of RC funded doctoral students. The School has two income streams to support publication for such research. The first is directly from RCUK to support open access publishing. The School share is likely to be between £12 – 15k per year. The School can also support such publications from its own Research fund, which has a total budget of about £30k per year.

Point 2d above requires that the School has a transparent procedure for funding open access publication. The School will consider the following points to attain this goal:

1. All members of the School should adopt a publication strategy that maximises the impact of their research by using appropriate open access routes.
2. In order to allow for budget planning, faculty would be asked each Spring to estimate their likely need for publication funding in the following financial year (C2 above). These figures could then be fed into the annual planning process.
3. All publications for which School funding is requested should be subject to brief internal review prior to submission. This will be the responsibility of research group leaders. Manuscripts should be graded 1\* to 4\* using REF 2014 definitions (2b and d above).
4. Where research has been funded by a UK Research Council and the manuscript has been graded at 3\* or 4\*, then the School will normally expect publication by an appropriate Green route. If no Green route is available that satisfies the research funder's requirements, and if there are no funds available to the researcher for Gold, then the School should normally cover the publication charge for Gold. Researchers will be asked to confirm that they have checked the cost implications of the possible outlets that they have considered for their work, and that there is no journal that (a) is an equally suitable outlet for the research in their judgement, and (b) offers a Green route that would comply with their research funder's requirements.
5. Where research has been funded by a UK Research Council and the manuscript has been graded at 2\* or below, the School will not normally contribute to publication costs and a Green route should be used, even when the journal is not considered optimal by the researcher.
6. Where research has been funded by a non-RCUK external source, or has been internally funded, contribution to open access publication costs will be contingent on grading at 3\* or better. However, in the event of a budget shortfall, RCUK funded research will receive priority.
7. Exceptionally, and regardless of funding source, Gold route publication will be supported for any publication graded as likely 4\*, where it can be argued that it is in the strategic interest of the School.
8. Researchers can also fund open access publication costs, in whole or part, from devolved funds.
9. This procedure will be re-evaluated at Summer School meeting 2014, as the budgetary implications become clearer.