

## Open Access Briefing

September 2013



The briefing has been produced to support SCONUL members meet the challenges involved in delivering new requirements from research funders

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“It is libraries that are taking the lead in setting up the systems and processes necessary within their own institutions.”

### The briefing includes

- a short history of Open Access developments
- a clear statement of funder requirements
- learning from a survey of members and case studies
- further resources which SCONUL members may find helpful.



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### Key learning points:

- Considerable effort is being expended to promote awareness and understanding, in most cases led by the library and usually in collaboration with research offices. Levels of understanding and awareness within the academic community are quite mixed.
- There is fairly extensive collaboration and coordination across the university. In all cases, the library is a key player, and in some cases has lead responsibility.
- Several libraries have created new roles with specific responsibilities for Open Access. However, the primary focus has been on ensuring that the library has sufficient knowledge to deliver good advice and shape institutional policies and procedures.
- Good progress is reported both in institutional compliance with OA policies and with the development of institutional systems, operational procedures and staffing to support compliance, is recognised that ensuring compliance will be an on-going activity.
- One case study institution reported that their institution had a preference for Green Open Access over Gold; four 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. The remaining three 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.
- In 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. Libraries are also playing a key role in compliance and monitoring.
- For all eight institutions, funds are allocated on a first-come, first-served basis. For five of our case studies, applications are received from authors after they have been accepted for publication by a specific journal. The other three require authors to make an application for an APC before they submit the article for publication.
- 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.
- A significant concern for institutions is so called “double-dipping” by publishers. There is an expectation that forthcoming negotiations on subscription renewal will take account of the volume and charges for APCs.