

Terms of Reference for the 2014 Review of the Implementation of the RCUK Policy on Open Access

[The review will not review the desirability of open access publishing, nor review the Government's policy, except potentially to comment on whether changes to the policy might be beneficial].

The review will cover the period 1 April 2013 to 31 July 2014:

1. To undertake an interim review of the effectiveness of RCUK Policy on Open Access, as specified below;
2. To assess the impact of the RCUK policy on:
 - a. the transition of RCUK funded outputs (both extramural and intramural) to open access
 - b. different disciplines
 - c. learned societies
 - d. how academic publishers have responded to the policy
 - e. collaborations between researchers both within the UK and internationally
 - f. HEIs and how they administer OA funds
 - g. the wider OA landscape in the UK and internationally
 - h. the cost of OA publishing;
3. To review the amount of funding allocated by the Research Councils to support Open Access during 2013/14 to 2015/16 and the algorithm used to distribute this fund;
4. To advise on the size of the Open Access fund for 2016/17 and 2017/18, and on any changes to the algorithm for calculating the size of individual grants to HEIs and other eligible research institutions;
5. To review compliance with green OA embargo periods mandated by the policy, and to advise on whether the embargo periods should be modified;
6. To review the current expectation that there will be 100% compliance with the policy by March 2018, and that of this 75% will be via the 'gold' mechanism;
7. To assess the impact of the RCUK requirement for Creative Commons licensing, in particular CC-BY licences for 'gold' OA, on particular discipline areas;
8. To advise on the timings of future reviews (provisionally set for 2016 and 2018) and what those reviews might cover;
9. To review how effectively the policy has been communicated and identify any further engagement that is required (nationally and internationally);
10. To provide an interim report to the RCUK Executive Group by Christmas 2014, and a final report in the early part of 2015.

Modus Operandi/Timetable for the Review

The Review Committee will report to RCUK EG. The Committee itself will be independent; however it is suggested that EG should act as a Steering Committee and receive an interim report on which to comment.

The Committee should begin its business in June/July 2014 in order to i) agree its terms of reference, review and agree the data to be made available by HEIs on compliance with the

RCUK policy and on how the RCUK block grants have been spent, and iii) agree the other evidence to be collected.

It is suggested it should then meet in early October and again in December, and then early in 2015 (to approve final report). Other meetings may be necessary, including possibly by teleconference.

Call for evidence – proposals

The review will not include a consultation, but rather a targeted/public call for evidence (not opinions), which will be structured according to a number of headings (to be determined by the committee). It will be for the Review Committee to decide exactly what evidence it would like to consider and what should therefore be invited to be submitted. Invitations (via email and the website) will be sent out no later than summer 2014 with an appropriate deadline.

Those specifically invited to respond will include:

- HEIs
 - Russell Group
 - University Alliance
 - Million+ Group
 - UUK
 - Independent ROs (eg museums)
 - RCUK (Research Libraries UK)
- Funding Councils
- Learned Societies
- Academies (Roy Soc, BA, AMS, AcSS, Roy Academy of Engineering)
- Publishers
- BIS
- Parliamentary Committees (Lords S&T, Commons BIS and S&T)

The Review Committee will then consider the evidence from the call for evidence and the material provided by HEIs to draw its conclusions, with a final report being considered by RCUK EG and issued in the early part of 2015.

Membership

The membership should include people from various stakeholders, but not formally representing an organisation/body.

Professor Sir Robert Burgess	Chair
Panel:	
Paul Ayris (UCL) Chris Hale (UUK)	<i>University Sector</i> (nominated by UUK)

Stuart Taylor Professor Chris Wickham FBA (University of Oxford) Professor Susan Wray FMedSci (University of Liverpool) Dr Rita Gardner CBE	Royal Society British Academy Academy of Medical Sciences Academy of Social Sciences
Dr Steven Hill (HEFCE) Robert Kiley	Funding Councils Wellcome Trust
Richard Mollet Dr Catriona MacCallum (PLOS)	Publishers Association Open Access Publishers Association
Dr Stella Butler (University of Leeds)	<i>Libraries (nominated by RLUK)</i>
Dr Michael Jubb	<i>Research Information Network</i>
Neil Jacobs	JISC
Professor Douglas Kell (University of Manchester)	<i>Former RCUK</i>
Dr David Lipman (NIH)	<i>International 'ex officio' advisor</i>
Tony Peatfield (RCUK OA Policy Lead) Mark Thorley (Convenor, RCUK Research Outputs Network) Alexandra Saxon (Head, RCUK Strategy Unit)	<i>Observers / secretariat</i>
Total (excluding Observers)	14

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