

QUT Library Collection Development Manual

3. Practices

3.1. General

3.1.5 Open Access Publishing

Identification Block

| QUT Library Collection Development Manual 3.1.5 Open Access Publishing | |
|---|---|
| Contact Officer | Associate Director, Library Services (Information Resources and Research Support) |
| Approval Authority | Library Leadership Team |
| Approval Date | 5 August 2014 |
| Date of Next Review | 5 August 2017 |

Policy Statement

1. Introduction / Background
2. Benefits of Open Access
3. QUT Library as an active supporter of Open Access
4. Funding

3.1.5 Open Access Publishing

1. Introduction / Background

Publishing is an important part of the research process in that it disseminates research findings, helps to speed the research cycle and develops the body of knowledge. The Australian Commonwealth Government assesses the research conducted at universities in Australia by measuring the quantity and quality of their research publications. Publishing is also important to researchers who need to get their work and themselves widely known, and want to achieve recognition, impact, prestige and status.

Unfortunately, the traditional scholarly publishing model, by which universities pay for the costs of research, and then give their researchers' publications away for free, to be peer reviewed and published in high-cost journals which are then bought by the University Library, has likely reached its peak in development. The academic journal market is dysfunctional and anti-competitive. Price rises of the past two decades are unsustainable. The high cost of journals in particular is limiting access to scholarly information to those with privileged affiliation to the wealthier institutions with access to scholarly information.

The research cycle is being constrained by inequitable and restricted access to scholarly information. Not all researchers are members of libraries with subscriptions to the published research literature they need, and not all libraries can afford subscriptions to a wide variety of published resources. Citation counts for individual papers are not reaching their potential when access is restricted. Institutions are not receiving the full benefits of their research efforts in terms of impact, ranking and prestige.

The open access movement¹ promotes the free and open availability of scholarly information by removing the cost barrier to access at least one version of published information resources. As a long term solution to the 'access problem', it promotes the possibility of separating the peer review process (conducted free of charge by academics employed by universities) from the traditional publishing processes and services, such as copy-editing and journal presentation, supplied by publishers. In a scenario where all peer reviewed manuscripts are freely accessible, readers would be able to choose whether or not to pay for the publisher's value added version and journal publishers would need to price their services at a level that represented value for money to attract author submissions.

There are two main accepted methods of providing open access:

- a) The *green road* by which authors place a version of their paper on open access via an institutional or subject repository, while the publisher makes the published version available to consumers (libraries, business, individuals) for a subscription / purchase price.
- b) The *gold road* by which the publisher makes the entire content of the journal available to consumers for free while the authors (in some cases) pay a fee to cover the cost of the publishing services provided by the publisher.

A variant of the gold road is known as *hybrid* open access. Under this model, the publisher of a subscription journal agrees to make individual articles open access provided the author pays a fee to cover the cost of the publishing service. QUT does not support the hybrid model as a method of providing open access.

Between 2007-2009, the Australian Commonwealth Government funded the development of institutional repositories to increase the visibility and accessibility of Australian research publications and to provide a mechanism for the dissemination of open access copies of Australian research publications. Globally, it is becoming increasingly common for research funding agencies to oblige grant recipients to disseminate an open access copy of all publications arising from the grant. In Australia, the National Health and Medical Research Council (NHMRC) implemented a mandate in 2012 which requires dissemination of an open access copy within twelve months of publication. The Australian Research Council (ARC) implemented a similar open access mandate at the beginning of 2013.

2. Benefits of Open Access

QUT is an active participant of the open access movement for the many benefits it brings, including:

- Publically funded research outputs and other scholarly information is more readily available
- Publically funded research outputs and other scholarly information is available for free
- Scholarly information may be available earlier
- The citation count of QUT research outputs is increased
- The research cycle is accelerated

¹ Hanard, S., Open Access, available at URL: <http://www.eprints.org/openaccess/>

- The research reputation of the institution is promoted
- Having the choice to favour openly accessible resources instead of publisher licensed version of the same content (journal databases, open textbooks)
- Publishers are subject to some competition and pricing pressure from similar versions of research outputs available for free on open access.

3. QUT Library as an active supporter of Open Access

QUT is an active supporter of open access by both the green road and gold road methods.

QUT Library actively supports the green road by:

- Its policy [MOPP F/1.3 QUT ePrints repository for research outputs](#), which states QUT authors must place the author's accepted manuscript version of refereed research articles and conference papers in the repository; and may place author submitted manuscripts, books and book chapters, un-refereed literature, creative works with a research component, and research datasets into the repository
- Actively encouraging authors to self-deposit their accepted manuscript versions of peer reviewed research outputs into QUT ePrints
- Making QUT ePrints available to the world, and indexed by Google, Scientific Commons, Trove (the National Library of Australia's discovery service) and other online search services
- Managing and hosting the [OAKList Database](#) which provides information about publishing agreements and publishers' open access policies and which is designed to support the establishment and populated of open access repositories.

QUT Library actively supports the gold road by:

- Hosting QUT published open access journals on the Open Journal Systems platform
- Being a founding financial member of the Knowledge Unlatched consortium for the publication of scholarly monographs
- Providing financial support for the payment of article processing charges (APCs), for QUT researchers who publish in reputable open access journals. Note: This is a 'safety net' option for researchers who have no alternative source of funding. Articles related to ARC and NHMRC grants are not eligible as both of these funding agencies allow researchers to use a portion of the grant for publishing expenses.

The following criteria will be used to determine eligibility for financial support:

- ACCESS: The full content of the journal is open access immediately on publication (i.e. readers do not need a subscription or password).
- QUALITY: The journal holds a refereed status in [Ulrichsweb](#) plus one or more of the following must apply;
 - the journal is indexed by [Scopus](#) | [Sciverse](#) or [Thomson Reuters](#) | [Web of Science](#) or is included on the ERA journal list.
- COST: The article processing charge does not exceed A\$3,000 per article.
- QUT AFFILIATION: The Lead / Corresponding author must have a QUT affiliation on the paper (or, alternatively, the number of QUT authors on the paper must exceed the number of external authors).
- HERDC eligibility: The article satisfies the [HERDC definition of research](#)

In addition to the above criteria, the following also apply:

- QUT authors must include Queensland University of Technology in the by-line (affiliation).
- Support is not retrospective (i.e. there is no reimbursement for paid invoices).
- The Library will not engage in co-payments due to the complexity this would incur.

-
- Hybrid open access 'options' offered by subscription journals are not supported.
 - The Library will not cover article processing charges where there is a grant which could be used to pay these charges.
 - The Library will conduct due diligence checking to ensure that the publisher is a bona fide scholarly publisher.

The Library also supports the gold road by providing the services outlined in [CDM 3.4.7 eJournal Hosting Service](#), by which the Library assists academic journal publishers at QUT with the design and delivery of peer reviewed open access academic journals hosted on the Library's instance of the PKP Open Journal Systems (OJS) platform.

Another way the Library supports open access is by being a founding financial member of the [Knowledge Unlatched](#) consortium which introduced a business model to revolutionise the publication of scholarly monographs. Knowledge Unlatched uses a library financial contribution model to cover the fixed costs incurred by publishers of publishing monographs and provide openly available ebook copies of books and then provided value added copies of enhanced ebooks or print for sale at cost.

4. Funding

QUT Library uses the Library Resource Allocation budget to pay for associated costs. Support for paid gold open access publishers is reviewed annually.

Modification History

| Date | Sections | Source | Details |
|-----------------|-----------------------------|---|--|
| 6 July 2009 | All | ADIRRS | Initial draft |
| 21 July 2009 | All | ADIRRS, DLS | Incorporating feedback from Information Resources Committee |
| 27 October 2009 | All | Library Leadership Team | Approved |
| 8 June 2012 | All | Paula Callan, Stephanie Bradbury, Sue Collins | Revised incorporating feedback from Paula, Stephanie |
| 23 July 2014 | 2. Supporter of open access | Paula Callan, ADIRRS | |
| 1 August 2014 | All. | PA to Associate Directors, Library Services | Format overhaul in accordance with new Library look and feel |