Finch und die Folgen

Open Access in Großbritannien nach 2012

Dr Wolfram Horstmann
The Bodleian Libraries
With thanks to Sally Rumsey and Sian Dodd
Open access is the future of academic publishing, says Finch report

Transition to open access could cost £60m a year but bring benefits for UK economy and increase efficiency of research.

Responding to the Finch report, science minister David Willetts said the UK could lead the way on open access to scientific research. Photograph: Chris Radburn/PA

Report calls on government to back open access science

A group of experts has urged funders of UK research to encourage scientists to publish their results in journals that offer free public access to findings.

A report by Dame Janet Finch argues that there is a powerful "moral" case for publicly funded research to be freely available.

Dame Janet also states that there could be considerable economic benefits if industry has free access to research.

Currently the results of publicly funded research are restricted and have to be paid for.
First there was Finch

Accessibility, sustainability, excellence: how to expand access to research publications

Report of the Working Group on Expanding Access to Published Research Findings

Main points:

• Supports move to OA to publicly funded research outputs
• Supports mixed economy but strongly favours gold
• Indicates cost might be an additional £50-60 million p.a. for UK HE sector

http://www.researchinfonet.org/publish/finch/
Then came the government response

We are firmly committed to improving access so the Government accepts the proposals in your report, except for one specific point on VAT


19 June 2012

Note:
The Higher Education Funding Council for England is currently considering making open access published research the basis for the Research Excellence Framework from 2014 ie REF 2020
With RCUK hot on its heels

The policy applies to all research papers whose work was funded by RCUK being submitted for publication from 1 April 2013 until further notice.

July 2012

RCUK Expectations of researchers
- The Research Councils expect authors of research papers to maximise the opportunities to make their results available for free.
- Peer reviewed research papers which result from research that is wholly or partially funded by the Research Councils:
  - 1. must be published in journals which are compliant with Research Council policy on Open Access (see section 4).
  - 2. 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.

http://www.rcuk.ac.uk/research/Pages/outputs.aspx
A £10 million Government investment announced today by Universities and Science Minister David Willetts will help universities with the transition to open access to publicly-funded research findings.

The investment will enable a number of research-intensive UK institutions to kick-start the process of developing policies and setting up funds to meet the costs of article processing charges (APCs). This is in line with the recommendations of the Finch report on open access, published in June.
RCUK announces block grants for APCs

The block grants, which will be provided by the Research Councils from April, are to fund article processing charges (APCs). Research Councils are committed to providing funding for APCs in the long term; however, funding levels are only specified at present for an initial period of two years from 1 April 2013 to 31 March 2015. There will be an interim review in 2014 to consider how the system is working and to determine the level of funding to be provided in the next Spending Review period post 2014/15.

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<tr>
<th></th>
<th>Year-1</th>
<th>Year-2</th>
<th>Year-3</th>
<th>Year-4</th>
<th>Year-5</th>
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<tr>
<td>RCUK APC fund</td>
<td>£17m</td>
<td>£20m</td>
<td>To be determined</td>
<td>To be determined</td>
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<td>Expected % of papers in Gold OA</td>
<td>45%</td>
<td>53%</td>
<td>60%</td>
<td>67%</td>
<td>75%</td>
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Money matters

<table>
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<tr>
<th>RCUK pump prime OA</th>
<th>Block grant for APCs</th>
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<tr>
<td>• Oxford share of BIS £10m</td>
<td>• From 1st April 2013</td>
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<td>• £879,000 for Oxford</td>
<td>• To be spent mainly on APCs – concession</td>
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<tr>
<td>• [First thought to be spent by</td>
<td>• Parts for reporting and green</td>
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<td>1st April 2013]</td>
<td>infrastructure &amp; Services</td>
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<td>• No restriction on APC spend</td>
<td></td>
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<td>• Programme funding confirmed 7th Nov 2012</td>
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RCUK OA policy (2013 revisions)

- **Articles** published in peer-reviewed journals or conference proceedings
- Papers must include **details of the funding** that supported the research
- **[Gold]** must be published in journals compliant with Research Council policy on Open Access ie immediate and unrestricted access; deposit in other repositories without restriction on re-use; **CC-BY licence**
- **[Green]** Deposit Accepted Manuscripts that include all changes resulting from peer review (but not necessarily incorporating the publisher’s formatting), without restrictions on non-commercial re-use and within a defined period; Max embargo **6 months** from on-line publication: **AHRC and ESRC max 12 months** embargo
- Applies to all research papers whose work was funded by RCUK being **submitted for publication from 1 April 2013**
- Researchers strongly encouraged to comply **as soon as possible**
Other Highlights

• No non-peer reviewed material, books or monographs.

• Researchers should... be free to publish the results of their work in the most appropriate journal...

• A statement on how underlying research materials can be accessed.

RCUK guidance paper
Universities respond  Russell Group

• ...we remain **concerned** about the overall business case for the Government’s open access (OA) policy that is predominantly focused on a relatively rapid move to **Gold** OA.
• Where funding is required to deliver the Government’s OA policies this must be **additional money**, not re-purposed research funds.
• The **Green** route is a simple, genuine and cost effective way of delivering OA.
• **Embargo periods** still need to be agreed and could be phased with the intention to deliver shorter periods over time.
• Greater freedom could be given on **CC-BY** licensing requirements to help keep costs down and ensure researchers aren’t overly restricted in where they can publish.
• OA policy is effectively being **extended far beyond** research funded by the Research Councils, without any additional support being made available to cover these costs.
• ...indeed, implementation of OA policy could be **detrimental** to our standing and **restrict academic freedoms**.
Professor Walmsley said that in the worst-case scenario, full gold open access could see the University of Oxford's expenditure on publishing rise by a "staggering" 350 per cent.

Costs for top universities would be exacerbated by the particularly high article fees charged by the high-prestige journals in which their researchers typically publish, he added.

"The increased costs accruing to UK researchers will likely have to be borne at the expense of research itself, but the cost-benefit ratio of this has not been assessed,"

Professor Walmsley said the professional society publishers he had worked with considered green open access with a 12-month embargo to be "perfectly acceptable". He was unconvinced that universal gold open access would be a significant advance.
INSTITUTIONAL EFFECTS

e.g. Oxford
University Policy

• Two key policies
  – the University of Oxford’s open access policy
    • ‘Statement on Open Access at the University of Oxford’
  – distribution and management of the forthcoming RCUK block grant
    • ‘Allocating the RCUK Open Access Block Grant.’

• OA as a major topic at University Council
University Strategy

- Inclusion in new strategic plan 2013-2018

media, and other innovative modes of transmission.

11 'Oxford Open Access' will enhance the Oxford Research Archive (ORA) as a permanent and secure online archive of research materials produced by members of the University. Copyright permitting, these materials will be made freely accessible by the Bodleian Libraries.

12 Oxford is both a national and an international resource for education. A
OAO Programme: Four themes

- Academic Leadership and University Policy
- Practical advice, guidance and support for researchers
- Digital technologies to support OA
- Gold OA funds
Some Numbers

• Institutional RCUK gold cost difficult to predict
  – £90,000 < £869,000 > £4,500,000

\[ APC_{\text{annual}} = o \cdot APC_{\text{average}} \cdot a \cdot b \cdot c \]

- \( o \): Total annual journal
- \( APC_{\text{average}} \): Average annual APC
- \( a \): Fraction of APCs borne by institutional authors (annual)
- \( b \): Fraction of APCs eligible for institutional funding (annual)
- \( c \): Uptake rate, i.e. fraction of articles paid by institutional funds

• Gold OA without RCUK doubled in 3 years
  – Conservative estimate

Figure 2: Articles in DOAJ listed journals found in ISI over publishing year (2009 – 2012)
Library

- Role in research information services
  - Publication output, author identification, reporting
- Central clearing of invoices
  - Approval process through departments
- Subject Librarians support specific cultures
- Cross-Institutional knowledge exchange
PUBLISHING LANDSCAPE
‘Finch-Effects’ in Publishing

• Specific Offers for UK Research
• Strengthening the Golden arm
  – New OA Journals
  – Stronger OA Journals
• FundRef: simplifying reporting
• Intensified ‘Double Dipping’ discussion
• OA Monographs business
• New publication models, e.g. data
SUMMARY AND DISCUSSION
Summary: Dramatic Developments

- 12 June 2012: Finch report published
- 19 June 2012: Government response [BIS]
- July 2012: RCUK revised policy
- 07 Sept 2012: BIS £10m “pump priming” announced
- 21 Sept 2012: Institutions receive “pump-priming” FY 12/13
- 05 Oct 2012: Institutional deadline for submitting OA plan
- 08 Nov 2012: Block grants announced to come 1 April 2013
- Late Nov 2012: Institutions receive block grants
- RCUK guideline revisions in response to HEIs, publishers, RLUK, Russell Group, SCONUL etc
- 2013 Continuing discussions
Next Steps

• Discussions and feedback to BIS

• Finch group to reconvene and review

• HEFCE consultation – REF post 2014
  – Percentage targets or only OA?
  – Specific Role for Institutional Repositories
  – Which notice period?
A personal prediction

• Finch makes history as an example of rapid policy development
• Canceling hybrid funding and adding price caps
• Enhanced subject differentiation, including Monograph programme
• Effect on researchers weaker than expected
• Novel publication methods take over
• Academic freedom stays paramount