

Driving Change: funders as catalyst

STM Frankfurt Conference

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Overview: funder as catalyst for change

- Policy initiatives
 - RCUK, HEFCE, EU and beyond
 - Wellcome Trust
- Funder-led publishing initiatives
- Future role of funders in catalyzing change



A Christmas gift to OA

- Research Works Act
 - Sought to reverse NIH policy and stop any other Federal Agency developing similar policy
- Cost of Knowledge – the Elsevier boycott
 - Almost 13k signatories



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Comment

Academic publishers have become the enemies of science

The US Research Works Act would allow publishers to line their pockets by locking publicly funded research behind paywalls

Mike Taylor

guardian.co.uk, Monday 16 January 2012 12:13 GMT

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The free dissemination of lifesaving medical research around the world would be prevented under the Research Works Act. Photograph: LJSphotography/Alamy

This is the moment [academic publishers gave up all pretence of being on the side of scientists](#). Their rhetoric has traditionally been of partnering with scientists, but the truth is that for some time now scientific publishers have been anti-science and anti-publication. [The Research Works Act](#), introduced in the [US Congress](#) on 16 December, amounts to a declaration of war by the publishers.

The USA's main funding agency for health-related research is the National Institutes of Health, with a \$30bn annual budget. [The NIH has a public access policy](#) that says taxpayer-funded research must be freely accessible online. This means that members of the public, having paid once to have the research done, don't have to pay for it again when they

Academic spring

- OA has become mainstream
- Support at the highest levels of government
- “Our starting point is very simple. The Government believes that published research material which has been publicly financed should be publicly accessible – and that principle goes well beyond the academic community”
- David Willetts, Minister, BIS

Jenny Diski John Harris Polly Toynbee Aditya Chakraborty Hadley Freeman

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Wellcome joins 'academic spring' to open up science

Labour could bar MPs from mayoral polls to save cash

Research funding threat to journals that limit sharing

Mark Ho

For the world's biggest funders of science, the message is clear: if you want to get the most out of your money, you need to make sure that the research you fund is freely available to all. Wellcome, the largest UK funder of biomedical research, has announced that it will be joining the 'academic spring' to make its research freely available to all. The move is part of a broader effort to open up science to all, and is seen as a significant step towards making research more accessible to the public. Wellcome's move is part of a broader effort to open up science to all, and is seen as a significant step towards making research more accessible to the public.



David Byrne/Wellcome, showing of the 'Mind in Motion' exhibition at the Wellcome Trust, which is backing the campaign.

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French without

Political editor

Labour's move to bar MPs from mayoral polls is a significant step towards making research more accessible to the public. The move is part of a broader effort to open up science to all, and is seen as a significant step towards making research more accessible to the public.

The maid's tale: abused migrant worker's story revealed

Alen Dzuchas left her son and daughter in Ethiopia to look for work in a maid in Lebanon. **Carri N Chappell** learns how the journey had a tragic outcome

Alen Dzuchas left her son and daughter in Ethiopia to look for work in a maid in Lebanon. The journey had a tragic outcome. She was left alone in a foreign land, and her children were left behind in a remote village. The story is a heartbreaking one, and it highlights the plight of migrant workers who are often treated as second-class citizens in the countries they work in.

The story is a heartbreaking one, and it highlights the plight of migrant workers who are often treated as second-class citizens in the countries they work in. The journey had a tragic outcome, and it is a story that should be told to raise awareness of the issues facing these workers.

the easy way to buy a new sofa

RCUK Policy

- RCUK OA policy updated
 - Will provide block grants to universities to cover OA costs
 - Policy defined a “RCUK-compliant” journal
 - Licence terms defined



HEFCE – support for OA

- “The four UK HE funding bodies will develop proposals for implementing a **requirement that research outputs submitted to a REF ...after 2014 shall be as widely accessible** as may be reasonably achievable at the time”.
- Institutions can use the funds provided through our research grant to contribute towards the costs of more accessible forms of publication”

The logo for HEFCE (Higher Education Funding Council for England) is displayed in a blue, cursive script font. The letters are lowercase and connected, with a prominent flourish on the 'e'.

Government & DFID

- **BIS**
 - To pump prime OA, £10m made available from UK science budget to “research intensive universities”
- **DFID**
 - Researchers are required to make peer reviewed journal articles open access. Two routes are available: open access publishing (‘gold’ open access) or self-archiving (‘green’ open access). DFID’s preference is for the former



OA in Europe



- Commission will make open access to scientific publications a general principle of Horizon 2020
- As of 2014, all articles produced with funding from Horizon 2020 will have to be accessible:
 - immediately by the publisher ('Gold' open access) - up-front publication costs can be eligible for reimbursement by the European Commission; or
 - researchers will make their articles available through an open access repository no later than six months (12 months for articles in the fields of social sciences and humanities) after publication ('Green' open access).
- The goal is for 60% of European publicly-funded research articles to be available under open access by 2016

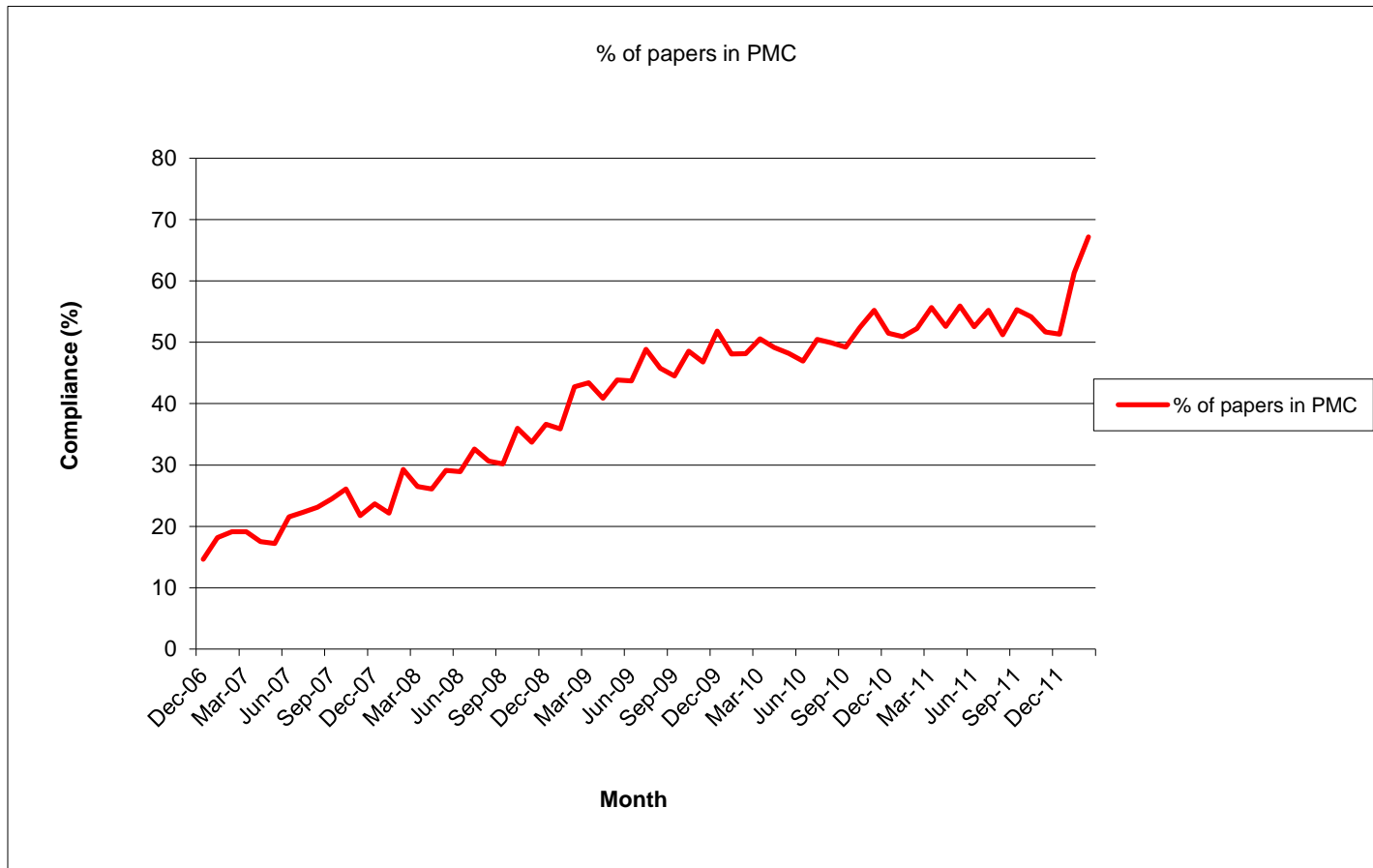
OA in the US and Australia



- NIH Public Access policy
 - **“Will NIH pay for publication costs? Yes.** The NIH will reimburse publication costs, including author fees.
 - Zerhouni estimated NIH spend \$100m a year on publishing fees (see: http://publicaccess.nih.gov/Collins_reply_to_Pitts121611.pdf)
- FRPPA reintroduced
- Whitehouse petition – 27k signatories in under 4 weeks
- Australia
 - NHMRC has OA policy
 - ARC will develop similar policy

Compliance with Wellcome mandate?

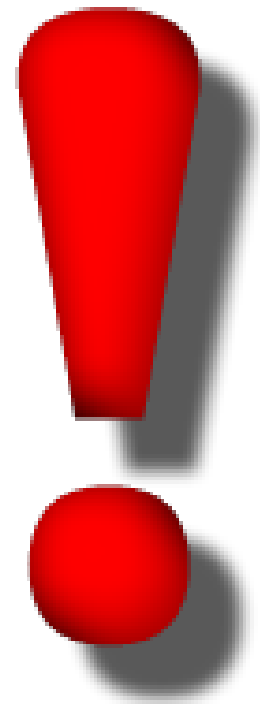
- Significant increase from 2006 – but still work to do...



Compliance – around 60%

New policy: sanctions for non-compliance

- Current OA compliance levels “unacceptable”
- New sanctions:
 1. In End of Grant Report all papers listed must be OA. If not the final payment on the grant (typically 10%) will be withheld
 2. Non-compliant publications will be discounted as part of a researcher’s track record in any renewal of an existing grant or new grant application
 3. Trust-funded researchers will need to ensure that all publications associated with their Wellcome-funded research are OA before any funding renewals or new grant awards will be activated
- Sanctions aimed at changing behaviour



Open access – policy requires CC-BY

- OA policy now specifies that research, for which an OA fee is paid, must be licenced using CC-BY
 - Trust believes that full research and economic benefit of published content will only be realised when there are no restrictions on access to, and reuse of, this information
- Will introduce this requirement from April 2013
 - Working with RCUK on this requirement
 - Survey indicates that publishers will offer this licence option



Developments in publishing – new OA options

- Provision of funding to meet OA costs has encouraged growth of new OA journals
 - PLoS One – biggest journal on the planet
 - “Rise of the clones”
 - The American Society for Microbiology’s [mBio](#)
 - The Genetics Society of America’s [G3](#)
 - [BMJ Open](#)
 - Company of Biologists [Biology Open](#)
 - Nature’s [Scientific Reports](#)
 - Cell Press’s [Cell Reports](#)
 - The Royal Society’s [Open Biology](#)
 - [SAGE Open](#)
 - Radical OA options
 - PeerJ

The logo for PeerJ, featuring the word "PeerJ" in a bold, blue, sans-serif font.The logo for open Biology, with the word "open" in a smaller, green, sans-serif font above the word "Biology" in a larger, bold, green, sans-serif font, all set against a light green rectangular background.The logo for mBio, featuring the letters "mBio" in a bold, black, sans-serif font, with a small red dot above the "i", and a grey triangle pointing to the right behind the text.The logo for PLoS one, featuring a blue globe icon with white lines to the left of the text "PLoS one" in a blue, sans-serif font, with "one" in a larger, bold font. Below the text is the website address "www.plosone.org" in a smaller, blue, sans-serif font.

...and the rise of intermediaries

- Other than funding, one of biggest problem researchers face when opting for OA is paying the APC
- Providers now stepping in to plug this gap – evidence that OA is maturing
 - Open Access Key
 - Copyright Clearance Center
 - EBSCO
 - ...probably others



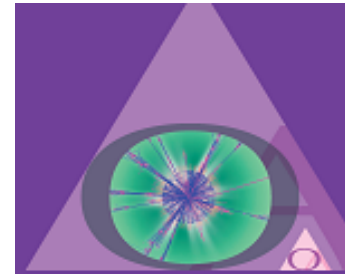
Funders as publishers: eLife

- Funder-led initiative, with HHMI and MPS and Wellcome Trust
 - Funders taking responsibility for publishing
 - Publication costs are research costs
- Not just about launching a new journal, but about driving innovation in the way research is communicated
- A sense that the current publishing system – particularly as it applied to the top tier journals – is not working in the best interest of researchers



Funders initiating new models: SCOAP3

- Funding bodies and libraries contribute to the consortium, which pays centrally for the peer-review service.
- Articles are free to read for everyone
- Contracts in place with 12 journals (and APC's determined)



Funding repository development

- 19 research funders supporting the running (and development) of UKPMC/Europe PMC
 - Includes ERC, FWF, MRC, Wellcome
 - Other life science funders interested in joining
 - ESF/EMRC Report concluded that *“stakeholders should work together to support the extension of Europe PubMed Central into a Europe-wide PubMed Central”*



Working collaborative with publishers

- FundRef
 - *a collaborative pilot project of scholarly publishers and funding agencies, to provide a standard way of reporting funding sources for published scholarly research*
- ORCID
 - *an organization created for the benefit of all stakeholders, including research institutions, funding organizations, publishers, and researchers to enhance the scientific discovery process and improve collaboration and the efficiency of research funding.*



Future role for funders in catalysing change - policy

- Greater collaboration on OA policy
 - Developing common position on “gold”
 - Ensuing that in the transition, “early adopters” do not end up paying more
 - Developing common position on licences
 - If WT/RCUK require CC-BY when paying APC’s...why not other funders
 - Developing common platforms
 - UKPMC has morphed into Europe PMC
 - ERC has joined, other funders are actively considering
 - EMRC recommendation for a single, Europe-wide life sciences repository



Future role for funders in catalysing change – research assessment

- Funders to be explicit that journal IF will not play any role in research assessment
 - Trust: *“affirms the principle that it is the intrinsic merit of the work, and not the title of the journal in which an author's work is published, that should be considered in making funding decision”*
 - HEFCE: *“Repeat. Repeat. Repeat. HEFCE will not be using Impact Factors*
- Encourage the development of alternative metrics



Conclusion

- Funders are catalysing change in scholarly communications
- Evident in both policy & publishing initiatives
- Need to do more – especially around encouraging the development of alternative metrics for measuring research impact
- Expect more.



innovation