

Gold Open Access UK-style

Issues around being an early mover

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The UK story

- A (very) little history and a few acronyms
- The cast of characters
- Finch WG recommendations
- (Current) policy positions
- Issues in play
- Unwanted consequences
- The road ahead?

The UK 'dual support' system

- Derives from the Haldane Principle (1918) that decisions about what to spend research funds on should be made by researchers rather than politicians
- The research infrastructure is funded by quality-related (QR) funding from the **Funding Councils** (HEFCE) based on the 6-yearly REF
- Research projects are funded by the seven autonomous **Research Councils** (MRC, ESRC ...) known collectively as RCUK

Some UK numbers

- 1% of global population
- 6% of published articles: 130k in 2012
45% life sciences, 45% physical sciences
- 11% of citations; 14% of top 1%
- UK science budget: £4.6bn (owned by BIS, the Department for Business, Innovation and Skills)
- RCUK budget: £2.7bn
- HEFCE QR funding: £1.9bn
- MRC funding: £700m; Wellcome: £700m

Events, dear boy, events

- 03-11: 1st Ministerial Roundtable: Access
- 09-11: Finch Group gets going
- 12-11: UK Innovation and Research Strategy commits to OA
- 06-12: Finch reports
- 07-12: UK Government endorses recommendations
- 07-12: RCUK policy (v1.0)
- 01-13: HoL Science & Technology Committee inquiry
- 02-13: 2nd Ministerial Roundtable: Implementation
- 02-13: Royal Society conference
- 02-13: HEFCE publishes 'developing intentions'
- 03-13: RCUK policy (v2.0)
- 04-13: RCUK FAQ
- 04-13: HoC BIS Select Committee inquiry



Professor Dame Janet Finch

Chair of the independent
working group

“This is a passionate world, but we need to speak to the evidence.

The outcome cannot be perfect for everyone.

Adapting the subscription model helps, but it is not enough for the success criteria.”



Rt Hon David Willetts MP

Minister for Universities and
Science

“There is a rustic integrity about Gold, it recognises that we must pay for the publication costs.

We don't see 6 months Green as viable, Gold is more honest.

Short term Green is the worst possible option

The world is changing. The UK needs to scale up ahead of the game.”



“We are looking to accelerate the transition to open access in an orderly way, aware of the tensions, the risks, and the global connections.”

Dr Michael Jubb

Secretary to the Finch Group

Director, Research Information Network



Professor Douglas Kell

Chief Executive,
Biotechnology and Biological
Sciences Research Council

RCUK Champion for Research
and Information
Management

“Our preference is for Gold but we recognise the mixed economy.

We need elasticity as the landscape moves.

Constraining researchers is unnecessary and not desirable.

Most journals of interest are already compliant [with RCUK policy].”



Lord John Krebs

Chair, HoL Science
Committee

Master of Jesus Oxford

“The lack of clarity in RCUK policy and guidance, and the consequent confusion, especially given the imminent start date, are unacceptable.

We recommend that RCUK ... state explicitly that it will take an incremental approach to compliance [in the five year implementation phase]

We recommend that RCUK gather evidence about the suitability of the CC-BY licence for different disciplines.”



David Sweeney

Director, Research
Innovation
and Skills,
Higher Education Funding
Council for England

“There is broad policy agreement, it’s about incentives now.

There is an unnecessary tension between Gold and Green.

There has been damage from ‘friendly fire’. It is time to move on.

Research is a process of investigation leading to new insights, effectively shared.”



Professor Sir Ian Diamond

Principal of Aberdeen

Chair of Research Policy
Network, Universities UK

“We are in an observational study, and it is unbelievably important that we have research going on over the next couple of years to understand how best to move forward in this arena.

We will not get the evidence unless we move forward [with OA]. We have to undertake the policy and do the action research at the same time.”



“Before this time last year we had 40% open access in the UK”

[35% Green 5% Gold]

Dr Alma Swan

Director of European Advocacy
SPARC Europe

The Finch Working Group

- Commissioned by Government, but independent
- Composed of senior representatives of key stakeholders (4/14 publishers)
- Recognized that different parties have different interests
- Developed “Success Criteria”
- Sought the “best fit” solution



The Working Group remit

Accessibility, Sustainability, Excellence

- How to expand access to published research findings
- ... to more people & organizations, immediately, free, with the ability to re-use
 - ... while avoiding the potential for damage to:
 - high standards of peer review,
 - quality of UK research,
 - commercial publishing industry,
 - learned societies

The drivers for change (Finch)

Change is inevitable ...

need to **recognize** this, **embrace** it, and **manage** it

Because ...

- Moral and political case
- Information and communications environment
- Digital revolution in research publishing
- Cost pressures of existing system
- International momentum

Finch: What does Success look like?

- **More** people getting **quicker** and **better access** to published outcomes of global research
- Financial **sustainability** for publishers, including learned societies
- **Affordable** for funders, universities and libraries
- Sustaining **high quality** research, and high quality services to researchers and authors

Adapting the subscription model

helps

but is not enough for the Success Criteria

The Open Access model

*Gives best fit with the Success Criteria
...but must be implemented gradually*

- **Research funders**
 - ...accept publication as part of research costs
 - ...pay those costs in appropriate way
 - ...require publication in OA format
- **Universities**
 - ...establish publication funds
 - ...develop a way of paying authors' costs
 - ...work together to negotiate charges (APCs)
- **Publishers**
 - ...develop more OA publications
 - ...negotiate APCs

Finch report: main recommendations

- Policy direction set towards open access
- But a mixed economy for the foreseeable future with subscription and open access
- 10 recommendations and 18 actions
- Estimated costs of transition

The Finch 'balanced package'

- Gold OA preferred, with grants for APCs
- Transitional support for licence extensions
- Publishers deliver the Public Library Initiative (free on-site access, opt-in licence via PLS)
- No short embargoes **if** Gold is on offer **but** no APC is available
- But if Gold is **not** on offer **and** an APC is available, journal is expected to comply with RCUK policy on Green embargoes (6 months, or 12 months HASS)

Government policy is ...

David Willetts to Janet Finch, July 2012:

“Embargo periods for publishers should be short where publishers have chosen not to take up the preferred option of their receiving an APC”

“Where APC funds are not available to the publisher then publishers could reasonably insist on a longer more equitable embargo period”

“Where APCs are paid to publishers, the Government would expect to see unrestricted access and use of the subject content”

The RCUK Policy

- Embargoes: 6/12 Green vs. 12/24 Green
- MRC (biomedical) carve out for 6 months Green
- The Gold licence: CC-BY
- The Green licence: CC-BY-NC (or similar)
- **Publication funds** in universities now the only source for Gold (APCs) [“simpler, more flexible and more transparent” (Willetts)] – researchers cannot use their grant funding
- Publication funds will be made up from **block grants** funded by RCUK and from HEFCE ‘QR’ funds

Six months is a long time in the life of a RCUK Policy

The post-Finch 'deal' with BIS for publishers was:

- funding for Gold (block grants for APCs)
- no unfunded short-term Green mandates
- publishers deliver the Public Library Initiative
- but no funds for licence extensions
- policy link-up: Finch, UK Government, RCUK, HEFCE, Wellcome Trust

Six months on

- Finch 'balanced package' eroded
- RCUK guidance still lacks clarity on Green embargoes
- Despite ...“Short embargo Green is the worst of all worlds” (Willetts)
- How much Green in with Gold to meet the target?

Meanwhile

And not forgetting



wellcometrust

raises the stakes

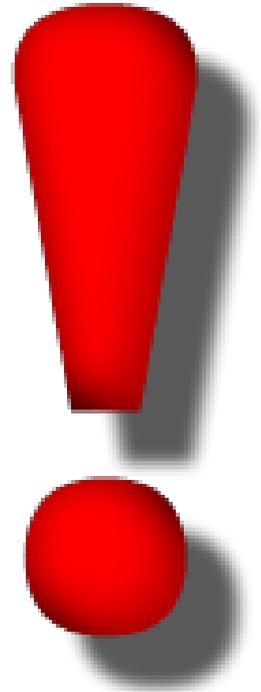
Open access – policy requires CC-BY [WT]



- Wellcome Trust 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**

New policy: sanctions for non-compliance [WT]

- 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



Then HEFCE enters the frame ...

- Preparing a formal consultation “later this year” for a Policy to apply for REF 2020, after 2014
- REF results impact QR research infrastructure funding
- Submissions for REF 2020 **must** be deposited **immediately** in author’s IR and available for re-use
- Puts no weight on the **impact factor** of journals
- Embargo periods allowed, in line with RCUK Policy
- Scope for exceptions: carve outs for monographs and data
- **Retrospective** deposit makes work **ineligible**

Some RCUK numbers

Output from RCUK funding estimated @ 26,000 papers p.a.

RCUK funding for Gold (via APC funds) and estimated %age of output

Year 1 (2013-14)	Year 2	Year 3	Year 4	Year 5 (2017-18)
45%	53%	60%	67%	75%
£17m	£20m	tbc	tbc	tbc

Year 1 (£17m)		@ £1727 + VAT
Cambridge	£1.15m	695 papers
Imperial	£1.15m	694 papers
UCL	£1.15m	693 papers
Oxford	£1.10m	665 papers
Russell and 1994 Groups (36 HEIs) receive 80%		

Issues for a Gold early mover

- Freedom to publish

- Delicate ecosystem, pressure not shocks
 - UK authors 'locked out' by their mandate
 - Opposition to CC-BY

- Compliance

- Stubbornly low, so far (Wellcome, PEER)
 - SHERPA-RoMEO look up site (but for journals?)
 - Flexibility built-in "Constraint not desirable" (Kell)

- Targets

- "RCUK targets are realistic. Aspirational targets are not helpful" (Sweeney)
 - Funding beyond 2015 subject to review

Issues, issues

- New market in APCs
 - Pressure to unbundle 'services'
 - Will those accepted pay for those rejected?
 - Can prestige brands charge an acceptable APC?
 - 'Race to the bottom'? (PeerJ)
- How long will UK subsidise RoW?
 - Which way will Science Europe go?
- Accusations of 'double dipping'
 - APCs for 6% plus subscriptions for 94%

Issues, issues, issues

- The licence for Gold
 - RCUK and Wellcome require CC-BY
 - 75% authors would not choose CC-BY, especially HSS
 - Use of third party content
 - Scope for “misuse of science”
 - The academy is paying for commercial gain
 - No more (publisher) aggregated copyrights
 - ‘Attribution stacking’?

Issues, issues, issues, issues

- The licence for Green
 - No formal discussion with publishers
 - “Non commercial re-use” = CC-BY-NC?
- Managing new funding flows
 - New cost burden on the universities
 - Fear of underfunding and rationing
 - Role for intermediaries? [OAK, CCC]
- Humanities and Social Sciences
 - The politics of access to APCs
 - Imposition of CC-BY

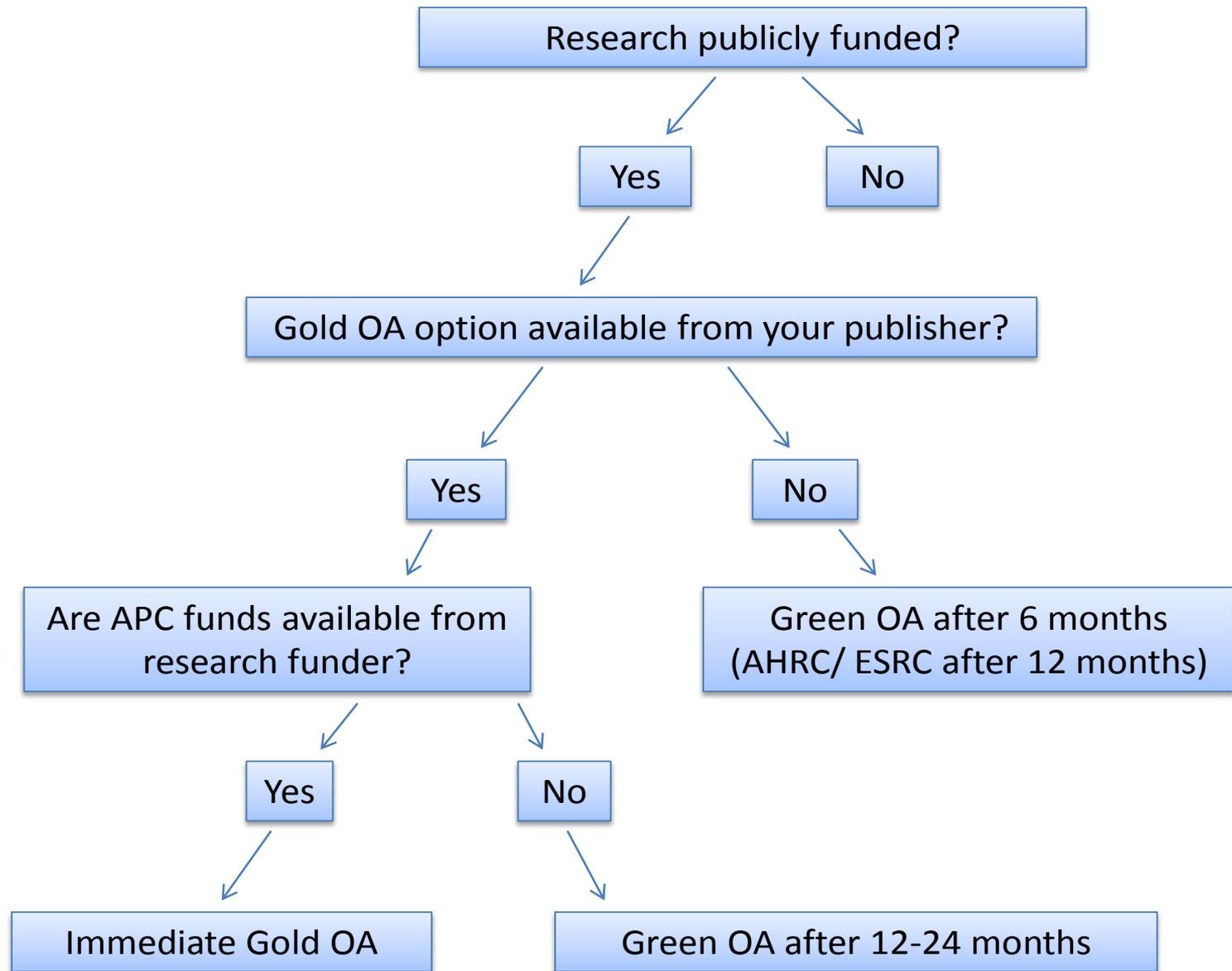
Issues, issues, issues, issues, issues

- Monitoring progress
 - Review of progress (Finch @ 09-2013)
 - Review of the issues (RCUK @ Q4-2014)
 - Indicators and metrics to use?
 - Access to (publishers') data
- Communication
 - Not yet got the message across to researchers
 - Dialogue and goodwill needed
 - Sharing expertise and good practice

The big issue: Embargoes

- For publishers, at least
- Prolonged and intense debate around RCUK policy (v1.0)
- 6 – 12 – 24 - 24+ : what works?
- Any evidence, either way?
- Perceived threat to learned societies
- French pushback to European Commission
- So where are we?

Funder	Date	Term (mths)	Status
MRC (UK)	July 2006	< 6	Green (EPMC)
	April 2013	< 6	Gold and/or Green (EPMC)
Wellcome Trust	October 2006	< 6	Gold and/or Green (EPMC)
UK Government	July 2012	'Short' (no Gold) < 12-24 (no APC)	Prefer Gold (after Finch)
RCUK (excl. MRC)	April 2013	6-12 (no Gold) 12-24 (no APC)	Prefer Gold Green allowed
HEFCE (REF 2020)	[2013]	[RCUK]	'Developing intentions' Green (via IRs)
European Commission (H2020)	[2013]	< 6 -12	Gold or Green
Australian Research Council	January 2013	< 12	Green (IRs as fall back)
NIH	January 2008	< 12	Green (PMC)
OSTP	[2013]	12	Public access gateways



And the **benefits** ?



What is the benefit, beyond the moral case?

- Learn, scale up, shape the debate, beyond the rhetoric
- New platforms, new models ... be there early
- Gold scales with research activity and is sustainable
- Gold delivers the Version of Record
- Lower barrier to entry for new entrants
- So brand authority even more important
- Delivers transparency on price
- Extends (already good) access
- Brings the Public Library Initiative
- Funders can lead, publishers will support
- **Someone** has to pay for the publishing industry

Unwanted consequences?

- Academics might avoid prestige journals (price)
- Universities operate publication quotas
- Overall funds in the market will reduce
- Cost of publishing rests on the universities
- Severe impact on learned society finances
- Misuse of science (life on Mars?)
- Enforcing what can't be afforded
- Research funding reallocated to 'dissemination' (1%)

Still work in progress ...

- Enabling text mining and data mining
- Licences for Green
- The Public Library Initiative
- The implications of publishing with CC-BY
- What happens when the publication (APC) funds run dry?
- SHERPA-RoMEO database of (journal?) policies
- Impact of the MRC carve-out

Where are we now?

- Publishers, in public at least, no longer see OA as an existential threat, apart from 6-month Green
- Publishers are getting on with implementing UK Government policy, while continuing to question elements of the RCUK implementation
- Does the post-Finch 'deal' with BIS still stand?
- Calls all round for effective cost-benefit analysis
- Policy is set, its about implementation now
- Going alone, or ahead of the crowd?



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