

So did it work? Considering the impact of Finch 5 years on

London Information International
6 December 2017

<http://info-international.com/>

#LII2017

SLIDES: <https://www.repository.cam.ac.uk/handle/1810/269913>

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Cambridge University Library





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Cast of characters

- Main characters
 - Libraries – specifically academic libraries
 - Publishers – played by large commercial organisations
- Supporting cast
 - Finch report
 - Research Councils UK
 - Hybrid publishing
 - Article processing charges
 - New creative charges
 - Publishing embargoes
- Explainers
 - Open Access terminology
 - Creative Commons licenses



It all started here



- “The principle that the results of research that has been publicly funded should be freely accessible in the public domain is a compelling one, and fundamentally unanswerable”.
 - *Accessibility, sustainability, excellence: how to expand access to research publications: Report of the Working Group on Expanding Access to Published Research Findings, July 2012 (The Finch Report)*
<https://www.acu.ac.uk/research-information-network/finch-report-final>





- Outputs of RCUK funded research must be open access. Green OA is permissible if the embargo period is <6 months for STEM and <12 months for HASS. Otherwise funds are provided to pay for gold OA. From 1 April 2013.
 - <http://www.rcuk.ac.uk/documents/documents/rcukoopenaccesspolicy-pdf/>
- The amount the RCUK made available for the second half of 2017-2018 year is over £8 million
 - <http://www.rcuk.ac.uk/documents/oadoocs/june2017oapayments-pdf/>



This raised warning bells at the time

Finch inquiry's open access tune won't resonate in Australia

June 22, 2012 2.31am BST

The global movement towards open access publishing has taken another step with the release of the Finch report. Flickr/likennevalo

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30

A committee convened to examine how UK-funded research could be made more accessible released its [report](#) this week. The committee, chaired by Dame Janet Finch, was set up [last year](#) by Minister for Universities and Science, David Willetts.

The main thrust was: "The principle that the results of research that has been publicly funded should be freely accessible in the public domain is a compelling one, and fundamentally unanswerable". This has been universally welcomed.

That's the good news.

The bad news is that the Committee, which included universities, librarians and publishers among others, has favoured the "gold" approach for facilitating access to research. It downplays the less costly option of making work available through public databases - called repositories. This is often referred to as the "green" route to open access.

Publishers' tail wags the research dog

Authors



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Disclosure statement

Colin Steele is Emeritus Fellow and Danny Kingsley is Manager, Scholarly Communication at the Australian National University. Neither work for, consult to, own shares in or receive funding from any company or organisation that would benefit from this article.

Danny Kingsley does not work for, consult, own shares in or receive funding from any company or organisation that would benefit from this article, and has disclosed no relevant affiliations beyond their academic appointment.



<https://theconversation.com/finch-inquirys-open-access-tune-wont-resonate-in-australia-7768>

Two months later

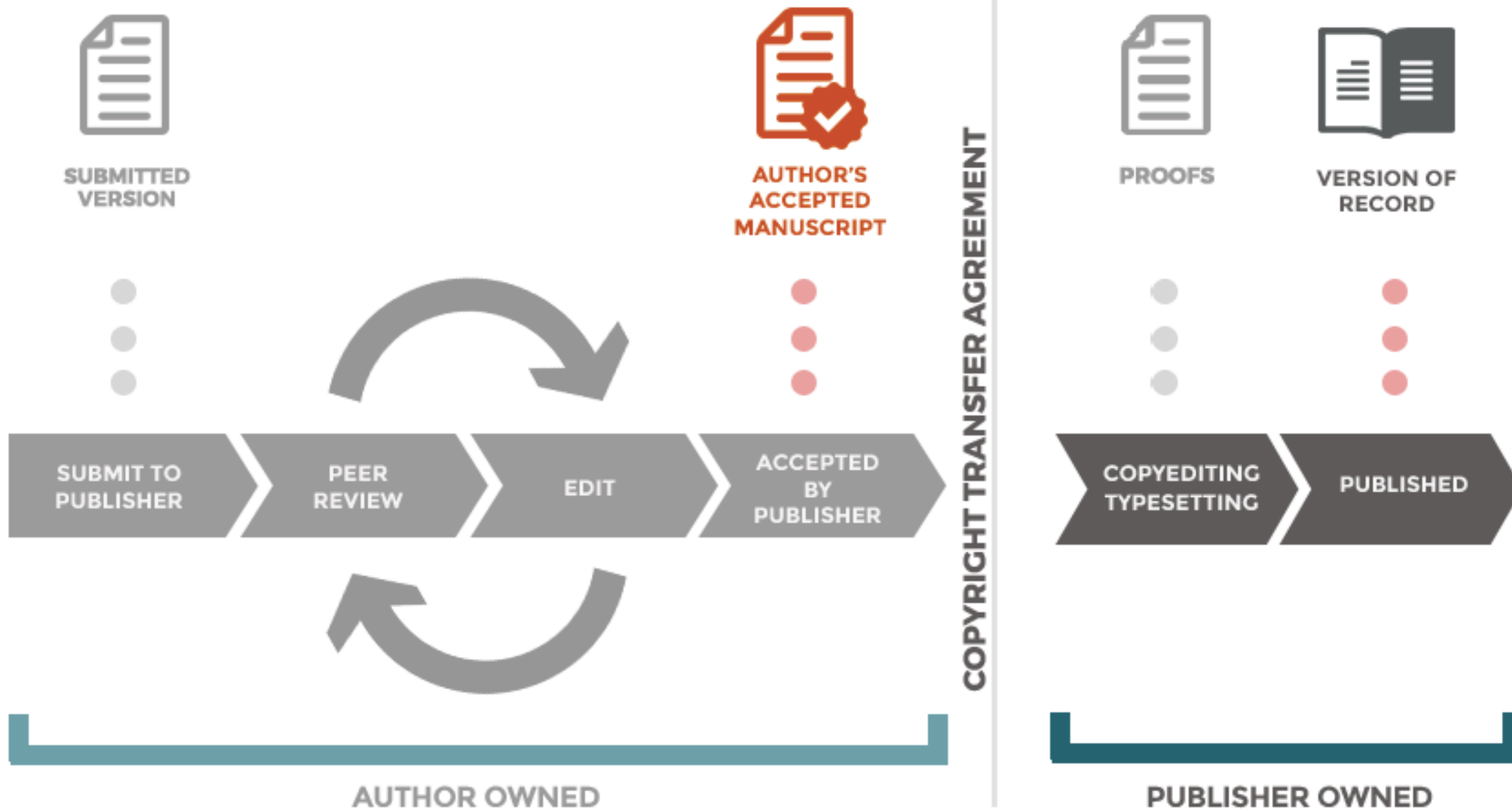
The screenshot shows the website www.parliament.uk. The navigation menu includes 'Home', 'Parliamentary business', 'MPs, Lords & offices', 'About Parliament', and 'Get involved'. The 'Parliamentary business' section is active. Below the navigation, there is a breadcrumb trail: 'You are here: Parliament home page > Parliamentary business > Committees > All committees A-Z > Commons Select Committee > News > Government mistaken in focusing on Gold as route to full open access'. The main content area features a green header for 'Commons Select Committee' and a title 'Government mistaken in focusing on Gold as route to full open access'. Below the title is a photograph of a laptop and books. The article text states: '10 September 2013 The Government's commitment to increasing access to published research findings, and its desire to achieve full open access, are welcome, says the Business, Innovation and Skills Committee in a Report published today. However, whilst Gold open access is a desirable ultimate goal, focusing on it during the transition to a fully open access world is a mistake, says the Report.' At the bottom of the article, there are three links: 'Report: Open Access', 'Report: Open Access (PDF 2.44 MB)', and 'Inquiry: Open Access'. A sidebar on the left contains a list of links for the committee, including 'Role of the Committee', 'Membership', 'News', 'Inquiries', 'Other work', 'Publications', 'Formal Minutes', 'Contact us', 'BHS inquiry', and 'Sub-Committee on Education, Skills and the Economy'.

House of Commons Business, Innovation and Skills Committee

<http://www.parliament.uk/business/committees/committees-a-z/commons-select/business-innovation-and-skills/news/on-publ-open-access/>



Explainer - Versions



Explainer – Green vs Gold



- **Green Open Access**

- AKA: Self-archiving
- Accepted manuscript
- Deposited in OA repository
- No fees
- Usually embargoed

- **Gold Open Access**

- Version of Record is OA upon publication
- Gold OA can be considered to be ‘born Open Access’
- Usually have to pay (APC)



Explainer - Types of journals



Subscription Journals

- Articles are behind a paywall.
- May allow you to archive a version of your paper (**Green OA**)

Fully OA Journals

- Content is immediately available to read by anyone (**Gold OA**)
- Usually charge fee (APC)

Hybrid Journals

- Subscription journals that charge an extra fee to make a specific article Open Access (**Gold OA**)
- ALWAYS charge fee (APC)





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UK is an outlier in supporting gold OA

- “The UK’s profile of OA take-up is significantly different from the global averages:
 - its use of OA in hybrid journals and of delayed OA journals is **more than twice** the world average in both cases
 - its take-up of fully OA journals with no APC (Gold-no APC) is **less than half** the world average and falling.”
 - *Monitoring the transition to open access (2015)* <https://www.acu.ac.uk/research-information-network/monitoring-transition-to-open-access>



The hybrid problem



- Worldwide, over 50% of funds that support OA do not allow payment for hybrid open access charges
 - “Who is paying for hybrid?” – 24 October 2016
<https://unlockingresearch.blog.lib.cam.ac.uk/?p=1002>
- The hybrid journal market is ‘highly dysfunctional, with very low uptake for most hybrid journals and a relatively uniform price in most cases without regard to factors such as discipline or impact’
 - “Developing an effective market for open access article processing charges” (2014)
<https://wellcome.ac.uk/sites/default/files/developing-effective-market-for-open-access-article-processing-charges-mar14.pdf>



80% of our spend is on hybrid



OPEN@PC

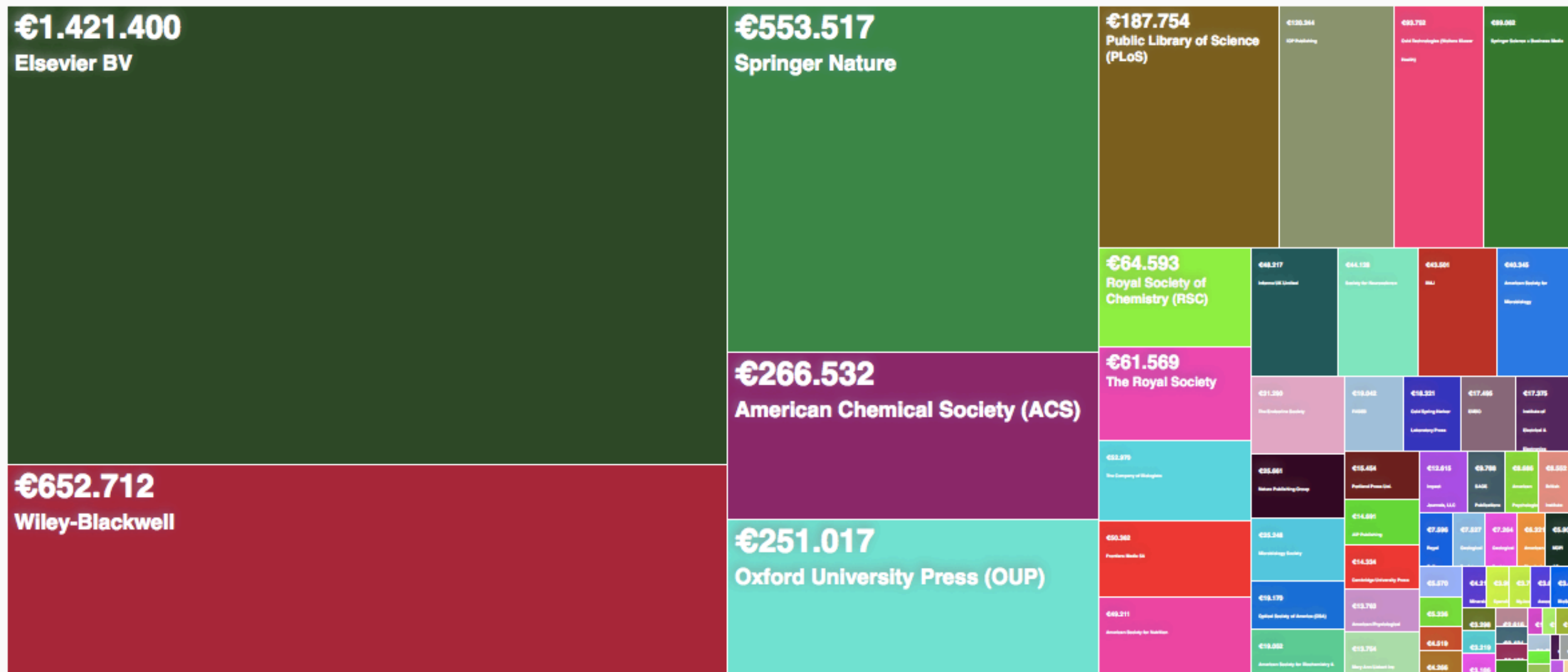
ABOUT OLAP SERVER GITHUB INTACT

56429235-MIT.pdf

UNIVERSITY OF CAMBRIDGE

View: Publisher Data & Embed

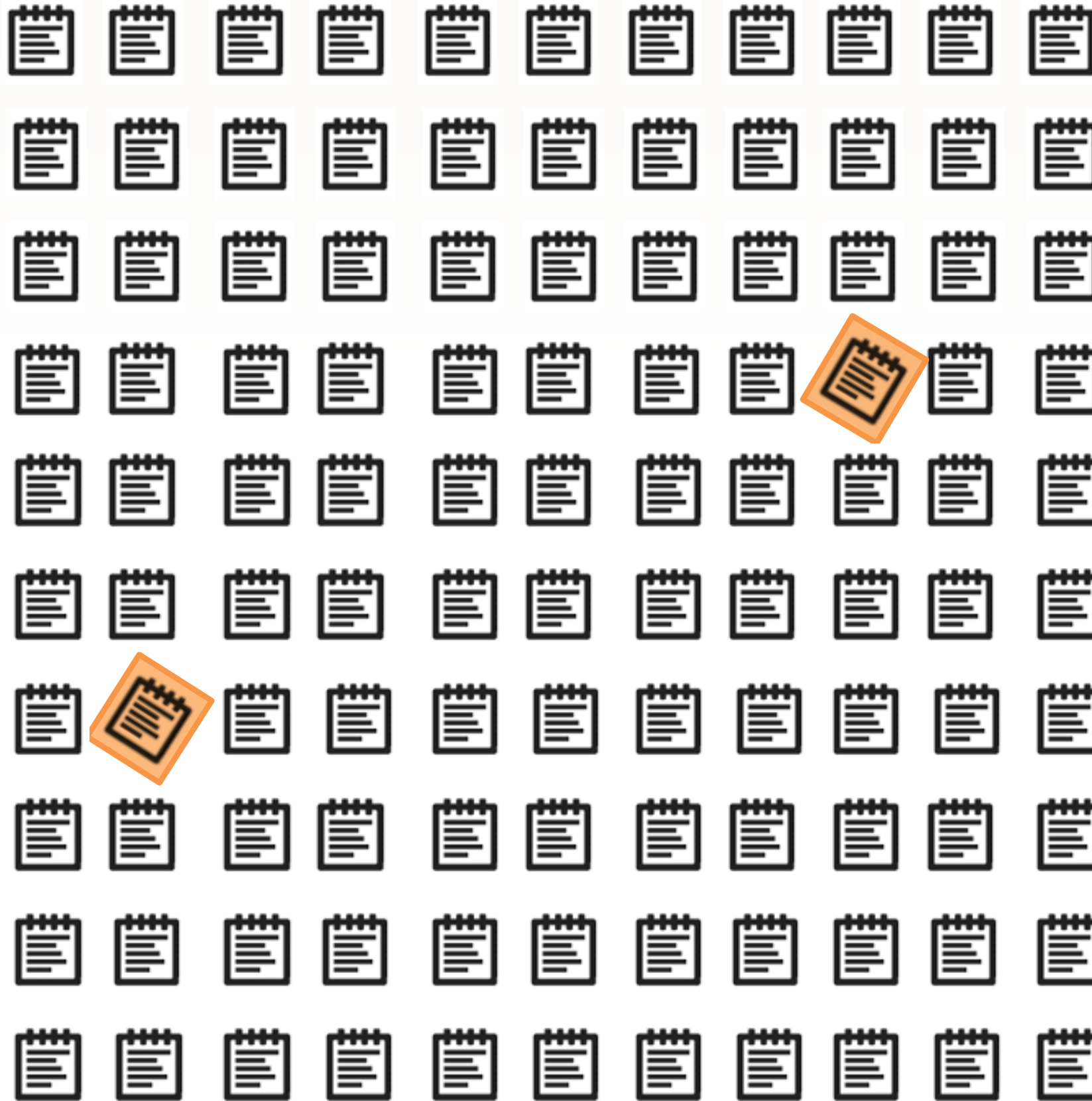
Filter: Year: All Hybrid Status: All



<https://treemaps.intact-project.org/apcdata/cambridge-u/>



The 'flipping' plan has failed



Only 42 of Elsevier's 2,300 active journals flipped from toll access to open access in the period 2013-2017 (one in 55 journals)

https://figshare.com/articles/Elsevier_embargo_periods_2013_2015/1554748/11





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APCs = what the market will bear

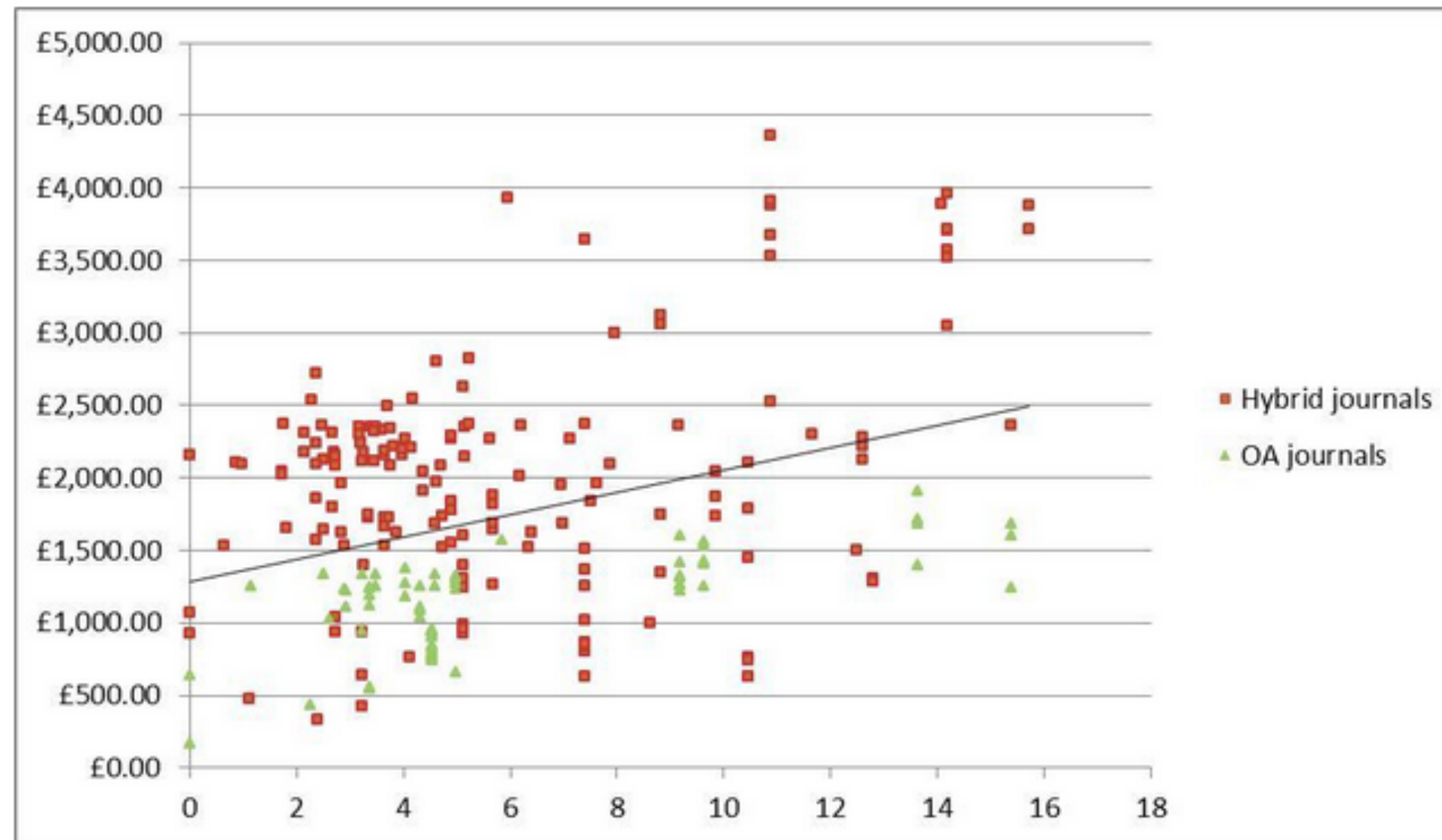


Figure 1: Graph showing cost of article processing fee plotted against journal impact factor

Andrew Theo (2012) "[Gold Open Access: Counting the Costs](http://www.ariadne.ac.uk/print/issue70/andrew)", published in Ariadne, 3 December
<http://www.ariadne.ac.uk/print/issue70/andrew>

Hybrid APCs are very expensive

- The average APC levied by hybrid journals is 64% higher than the average APC charged by a fully OA title
 - The Reckoning: An Analysis of Wellcome Trust Open Access Spend 2013 – 14 (3 March 2015)
<http://blog.wellcome.ac.uk/2015/03/03/the-reckoning-an-analysis-of-wellcome-trust-open-access-spend-2013-14/>
- The article processing charges for hybrid Open Access were ‘significantly more expensive’ than fully OA journals, ‘despite the fact that hybrid journals still enjoyed a revenue stream through subscriptions’
 - Research Councils UK 2014 Independent Review of Implementation (March 2015)
<http://www.rcuk.ac.uk/research/openaccess/2014review/>



And guess what?



- ‘The two traditional, subscription-based publishers (Elsevier and Wiley) represent some 40% of our total APC spend’
 - The Reckoning: An Analysis of Wellcome Trust Open Access Spend 2013 – 14 (3 March 2015)
<http://blog.wellcome.ac.uk/2015/03/03/the-reckoning-an-analysis-of-wellcome-trust-open-access-spend-2013-14/>
- ‘Publishers Elsevier and Wiley have each received about £2 million in article processing charges from 55 institutions as a result of RCUK’s open access policy’
 - ‘Publishers share £10m in APC payments’, Times Higher Education (16 April 2015)
<https://www.timeshighereducation.co.uk/news/publishers-share-10m-in-apc-payments/2019685.article>



Offsetting



- Cambridge offsetting and membership agreements <https://osc.cam.ac.uk/open-access/open-access-policies/paying-open-access/publisher-agreements-memberships>
- These are complex, uneven and difficult to manage - <https://unlockingresearch.blog.lib.cam.ac.uk/?p=1458>



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New creative charges



Textile Research Journal = subscription with SAGE Choice option

+ Subscribe	
Individual Subscription, Print Only	
£379.00	BUY NOW
Institutional Subscription, E-access	
£1,753.00	BUY NOW
Institutional Subscription, Print Only	
£1,909.00	BUY NOW
Institutional Subscription & Backfile Lease, E-access Plus Backfile (All Online Content)	
£1,948.00	BUY NOW
Institutional Subscription, Combined (Print & E-access)	
£1,948.00	BUY NOW
Institutional Subscription & Backfile Lease, Combined Plus Backfile (Current Volume Print & All Online Content)	
£2,143.00	BUY NOW
Institutional Backfile Purchase, E-access (Content through 1998)	
£9,898.00	BUY NOW
Individual, Single Print Issue	
£21.00	INFO
Institutional, Single Print Issue	
£87.00	INFO



<https://uk.sagepub.com/en-gb/eur/journal/textile-research-journal#PublicationCharge>

This is a new one...

- **2.6 Publication charge**
- To help **support the cost of wide dissemination of research**, the author is required to pay a publication charge.
- The publication charge is currently US\$775 per article +VAT where applicable. Payment of this charge **entitles an author to access to 50 complimentary e-prints**. Additional reprints can be purchased and timely payment of publication charges is expected.
- No charge will be imposed for publishing constructive criticism of an article that has previously appeared in the ***Textile Research Journal*** or any rebuttal comments. **There is no extra charge for pictures, graphs, and text to appear in color online** however additional charges will be imposed for color pictures, graphs, and text in print when requested by the author.
- SAGE may choose to publish selected articles prior to payment however publication of the accepted article does not constitute waiving of the fees. **SAGE reserve the right to refuse future submissions if there are outstanding payments due.**
- An invoice will be sent to your nominated billing address. Payment terms are 30 days from the invoice date. If you would like to pay by credit card please contact us at credit.control@sagepub.co.uk for further information .



<https://in.sagepub.com/en-in/sas/journal/textile-research-journal#submission-guidelines>



Explainer - Licenses



Creative Commons licenses

	CC BY	Attribution - Distribute, remix, tweak and build upon your work as long as they credit you for the original creation
	CC BY-SA	Attribution ShareAlike - Remix, tweak, and build upon your work even for commercial purposes, as long as they credit you and license their new creations under the identical terms
	CC BY-NC	Attribution-Non-Commercial - Remix, tweak, and build upon a work non-commercially, and although their new works must also acknowledge you and be non-commercial, they don't have to license their derivative works on the same terms
	CC BY-NC-SA	Attribution NonCommercial ShareAlike - Remix, tweak, and build upon a work non-commercially, as long as they credit you and license their new creations under the identical terms
	CC BY-ND	Attribution NoDerivates - Redistribution, commercial and non-commercial, as long as it is passed along unchanged and in whole, with credit to you
	CC BY-NC-ND	Attribution NonCommercial NoDerivatives - Only allowing others to download your works and share them with others as long as they credit you, but they can't change them in any way or use them commercially



<https://osc.cam.ac.uk/copyright/creative-commons>

Taking advantage?



Publisher	OA Charge	Surcharge for CC-BY
American Association for the Advancement of Science (<i>Science Advances</i>)	\$3692 (CC BY-NC)	\$1230
American Chemical Society	\$4000 (custom)	\$1000
American Society for Nutrition	\$3000 (custom)	\$2000
Optical Society of America (<i>Biomedical Optics Express</i>)	\$868 (custom)	\$750
Oxford University Press (<i>Cerebral Cortex</i>)	£2100 (CC BY-NC)	£263

These are the premiums charged for papers to have the license that is required by their funding body (which is providing funds for the purpose)

- “Flipping journals or filling pockets? Publisher manipulation of OA policies” – 26 October 2017 <https://unlockingresearch.blog.lib.cam.ac.uk/?p=1726>





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The embargo problem



- There were very few embargos in place before 2011
- The chairman of the BIS Committee, Adrian Bailey, noted in 2013 that: “Current UK open access policy risks incentivising publishers to introduce or increase embargo periods.”
 - <http://www.parliament.uk/business/committees/committees-a-z/commons-select/business-innovation-and-skills/news/on-publ-open-access/>
- The UK creates 6% of the world’s research but publisher policies affect everyone



Coincidence?



Publisher	Before 2013	After 2013	url
Elsevier	2004 – 2011 no embargo 2011-2013 'special arrangements'	10 of 2732 journals within the 6 month maximum allowed by RCUK	https://www.elsevier.com/_data/assets/pdf_file/0011/78473/EmbargoPeriods_2.pdf
Springer	No embargoes	12 months for all their journals (NOTE now Springer Compact)	https://poynder.blogspot.co.uk/2013/06/open-access-springer-tightens-rules-on.html
Wiley		12 months for STEM and 24 months for HASS	http://eu.wiley.com/WileyCDA/PressRelease/pressReleaseld-108053.html
SAGE		12 months for all their journals	https://us.sagepub.com/en-us/nam/node/1385056
Emerald	No embargoes	24 month (NOTE recently reverted back to zero)	https://poynder.blogspot.co.uk/2013/06/open-access-emeralds-green-starts-to.html



No evidence for the need for embargoes

- “No persuasive evidence exists that greater public access as provided by the NIH policy has substantially harmed subscription-supported STM publishers over the last four years or threatens the sustainability of their journals”
 - Committee for Economic Development Digital Connections Council *The Future of Taxpayer-Funded Research: Who Will Control Access to the Results?* 2012
<https://www.ced.org/reports/single/the-future-of-taxpayer-funded-research-who-will-control-access-to-the-resul>
- “We saw no evidence that short embargo periods harm subscription publishers.”
 - Business, Innovation and Skills Committee - Fifth Report: Open Access, 2013
<http://www.parliament.uk/business/committees/committees-a-z/commons-select/business-innovation-and-skills/news/on-publ-open-access/>
- "The evidence fails to justify publishers' demand for longer embargo periods on publicly-funded research".
 - *Impact of Social Sciences*. 2014
<http://blogs.lse.ac.uk/impactofsocialsciences/2014/01/14/suber-embargoes-on-publicly-funded-research/>
- “But let’s get something straight. There is no evidence that permitting researchers to make a copy of their work available in a repository results in journal subscriptions being cancelled. None.”
 - ‘Half life is half the story’ 16 October 2015
<https://unlockingresearch.blog.lib.cam.ac.uk/?p=331>



Complex and time consuming



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news
Association of College & Research Libraries

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Scholarly Communication

Leila Sterman

The enemy of the good

How specifics in publisher's green OA policies are bogging down IR deposits of scholarly literature

Leila Sterman is scholarly communication librarian at Montana State University, email: leila.sterman@montana.edu

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In the evolving landscape of scholarly communication, librarians not only spend countless hours educating researchers about copyright, subscription licensing, classroom use, author's agreements, and open access, but they also pay enormous subscription fees to publishers. This is potentially the reality of a system in flux, the fact of being in the middle of a change: we work for reform and enforce the current system in the same breath. Librarians tend to be risk averse, and rightly so, but this caution should not mean that librarians are pacifiers instead of change agents, that we educate while accepting publisher's models without question or action.

<http://crln.acrl.org/index.php/crlnews/article/view/16699/18181>

AOASG
Australasian Open Access Strategy Group


NEWS & UPDATES ABOUT THE AOASG ABOUT OPEN ACCESS RESOURCES LATEST BLOG

Walking in quicksand – keeping up with copyright agreements

MAY 23, 2013 DANNYKINGSLEY 13 COMMENTS

As any repository manager will tell you, one of the biggest headaches for providing open access to research materials is complying with publisher agreements.

Most publishers will allow some form of an article published in their journals to be made open access. There is a very useful site that helps people work out what the conditions are for a given journal or publisher, called Sherpa RoMEO*.



In many institutions the responsibility for copyright checking is taken by

Search ...

Recent Posts

Not just available, but also useful: we must keep pushing to improve open access to research November 7, 2017

Open access medical content and the world's largest encyclopedia

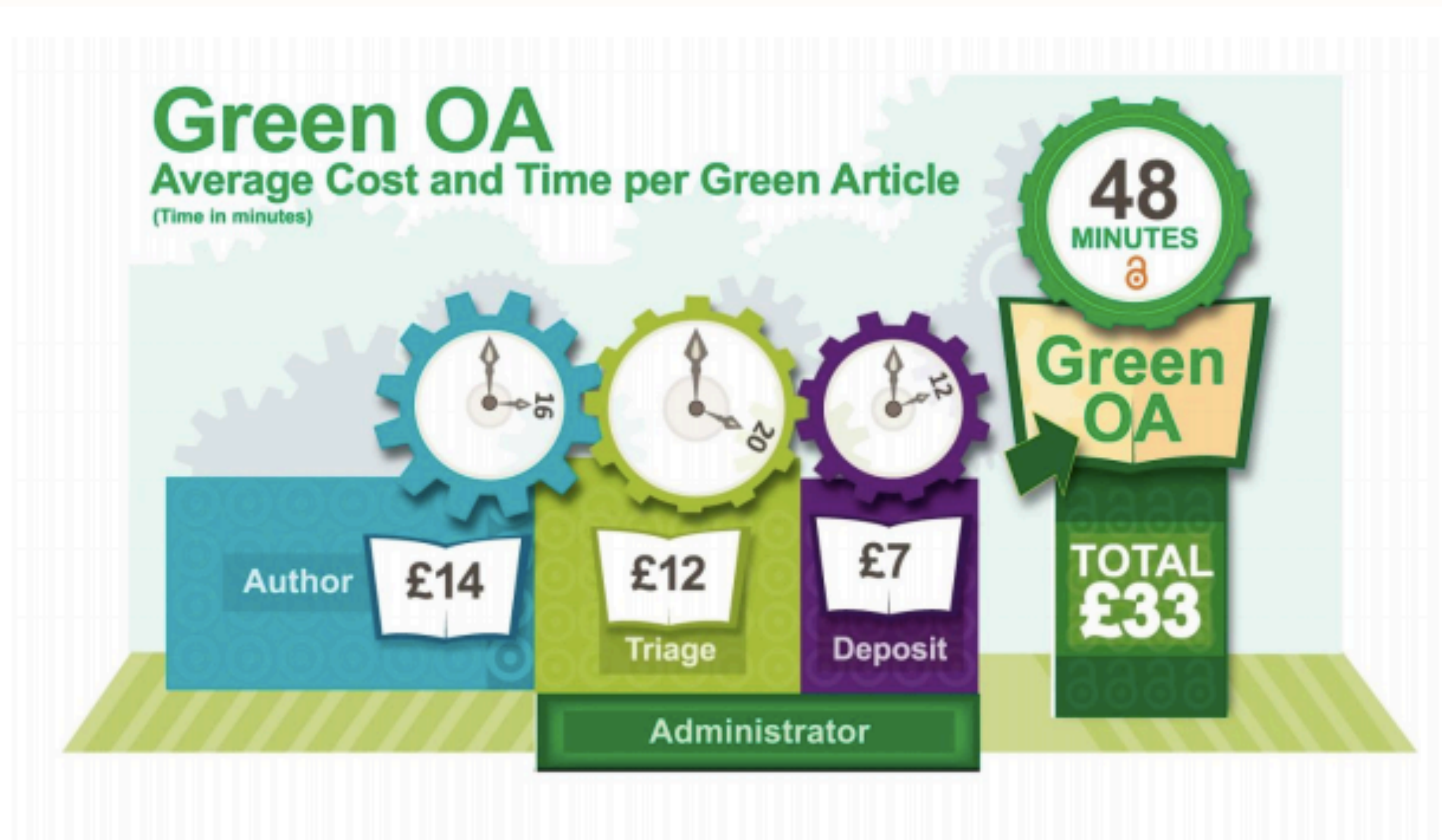
<https://aoasg.org.au/2013/05/23/walking-in-quicksand-keeping-up-with-copyright-agreements/>



This is expensive!



Cambridge processes ~8,000 articles annually into the repository



“Counting the cost of Open Access” Nov 2014 <http://www.researchconsulting.co.uk/wp-content/uploads/2014/11/Research-Consulting-Counting-the-Costs-of-OA-Final.pdf>



Sustainable?

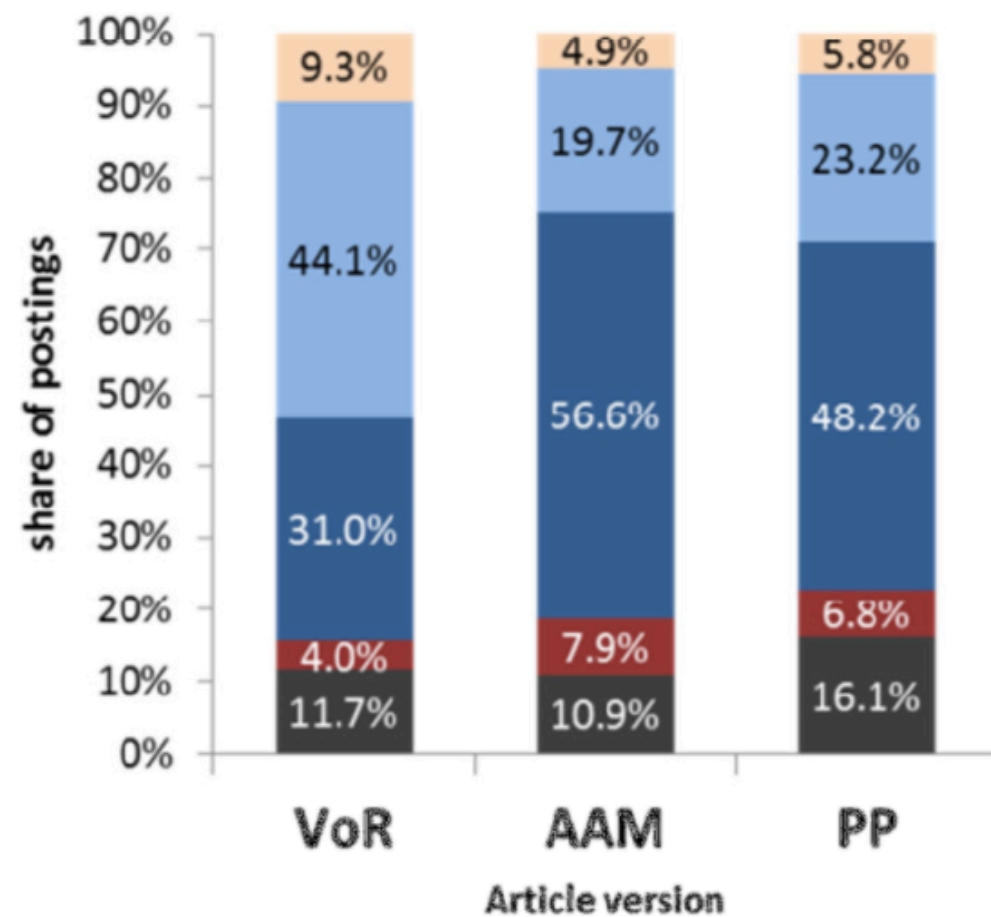


- Embargos are in place to ‘ensure publisher sustainability’
- Managing embargoes is not sustainable for libraries
- Of all the ways researchers share their work, institutional repositories are one of the very few that observe embargoes

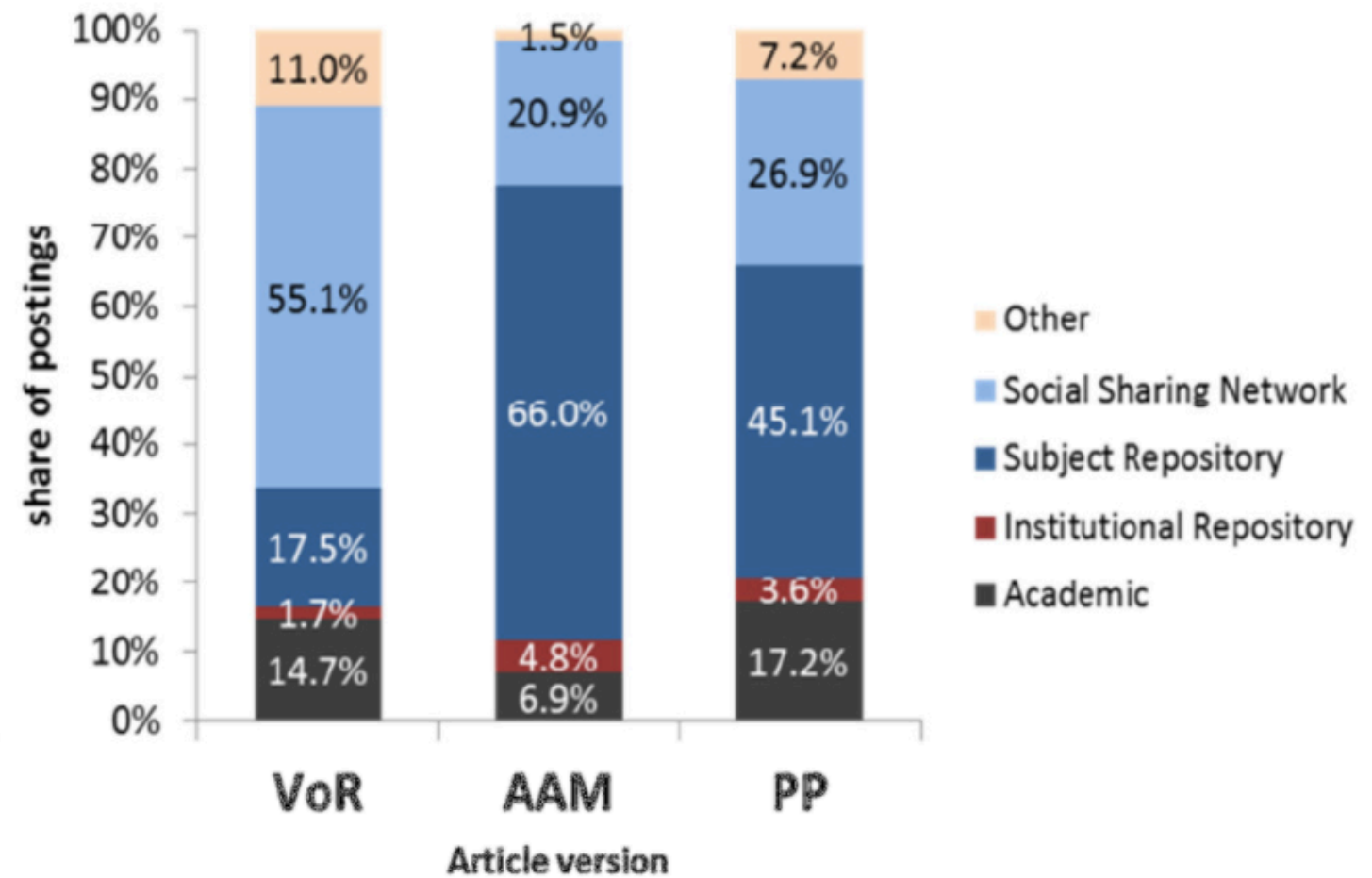


Let's get some perspective

UK Online postings by location



Global Online postings by location



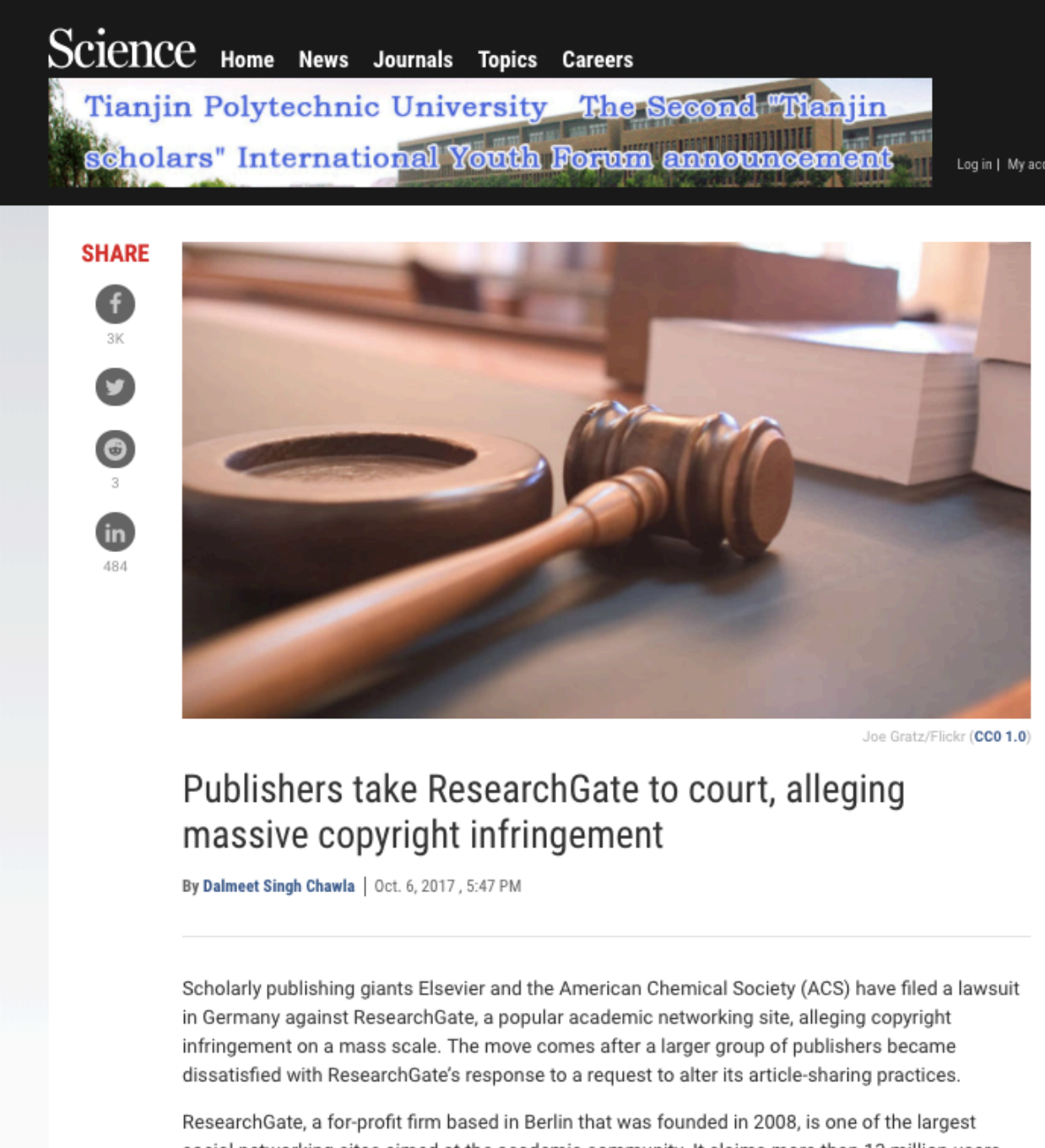
“Monitoring the transition to open access” 2015

<https://www.acu.ac.uk/research-information-network/monitoring-transition-to-open-access>



The threat is elsewhere

- ResearchGate is an academic social sharing network
- “All care, no responsibility” attitude to copyright
- 100+ million publication pages, 14+ million researchers, and 700k+ projects




The screenshot shows a Science magazine article. At the top, there is a navigation bar with 'Science' and links for 'Home', 'News', 'Journals', 'Topics', and 'Careers'. Below this is a banner for 'Tianjin Polytechnic University The Second "Tianjin scholars" International Youth Forum announcement'. The main content area features a photograph of a wooden gavel on a desk. To the left of the photo are social media share buttons for Facebook (3K), Twitter (3), and LinkedIn (484). The article title is 'Publishers take ResearchGate to court, alleging massive copyright infringement' by Dalmeet Singh Chawla, dated Oct. 6, 2017, 5:47 PM. The text of the article begins with 'Scholarly publishing giants Elsevier and the American Chemical Society (ACS) have filed a lawsuit in Germany against ResearchGate, a popular academic networking site, alleging copyright infringement on a mass scale. The move comes after a larger group of publishers became dissatisfied with ResearchGate's response to a request to alter its article-sharing practices. ResearchGate, a for-profit firm based in Berlin that was founded in 2008, is one of the largest social networking sites aimed at the academic community. It claims more than 13 million users'.

<http://www.sciencemag.org/news/2017/10/publishers-take-researchgate-court-alleging-massive-copyright-infringement>



Forget AAMs – the VoRs are out there

- Sci-Hub is an online resource which hosts VoR texts that have been lifted from academic log-ins
- It is illegal but it is easy to use
- Many users are people who have legal access to the material



The screenshot shows a Science magazine article. At the top, there is a navigation bar with 'Science' and links for 'Home', 'News', 'Journals', 'Topics', and 'Careers'. Below this is a blue banner for 'THE KAVLI PRIZE' with a call for nominations from Sept. 1 to Dec. 1, 2017. The main content area features a world map with red dots indicating Sci-Hub activity on February 5, 2016. To the left of the map are social media share buttons for Facebook (14K), Twitter, Google+, and LinkedIn (488). Below the map, the article title reads 'Sci-Hub's cache of pirated papers is so big, subscription journals are doomed, data analyst suggests'. The author is Lindsay McKenzie, and the article was published on July 27, 2017, at 7:00 AM. Credits at the bottom right of the map area state: '(DATA) SCI-HUB; (IMAGE/AUTOPLAY VIDEO) ADAPTED BY J. YOU/SCIENCE'.

<http://www.sciencemag.org/news/2017/07/sci-hub-s-cache-pirated-papers-so-big-subscription-journals-are-doomed-data-analyst>



Five years on from RCUK policy



Yes, a much larger amount of UK research is OA and there is one publisher (Springer) who is trialling a new model but:

- No other country has joined the push for gold OA
- We have spent literally millions on hybrid articles
- Journals have not flipped and are unlikely to
- We now have a considerably more complex system in relation to embargoes (very expensive in terms of manpower)



Flickr: [Thomas Hawk](#) Fail - Attribution-NonCommercial-NoDerivs 2.0 Generic (CC BY-NC-ND 2.0)



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How do we get out of this mess?

UK Research and Innovation



UK Research and Innovation

Operating across the whole of the UK with a combined budget of more than £6 billion, UK Research and Innovation will bring together the seven Research Councils, Innovate UK and a new organisation, Research England. Research England will work closely with its partner organisations in the devolved administrations.

UK Research and Innovation intends to be an outstanding organisation that ensures the UK maintains its world leading position in research and innovation. We will ensure that the UK maintains our world-leading research and innovation position by creating a system that maximises the contribution of each of the component parts and creates the best environment for research and innovation to flourish.



<https://www.ukri.org/>

Questions/Discussion

Thanks!

Dr Danny Kingsley @dannykay68

Office of Scholarly Communication

Cambridge University Library

SLIDES: <https://www.repository.cam.ac.uk/handle/1810/269913>

