

# 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

Alok Jha, science correspondent  
guardian.co.uk, Tuesday 19 June 2012 07.00 BST

Jump to comments (30)



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

# UK government earmarks £10m for open access publishing

The money for scientists to publish their research in open access journals will come out of the existing science budget

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19 June 2012 Last updated at 04:53

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# Report calls on government to back open access science

COMMENTS (108)



By Pallab Ghosh  
Science correspondent, BBC News

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

## higher education network

Advice, insight and best practice from the community

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# There's no justifying Research Council UK's support for gold open access

Higher education institutions are currently subsidising publishers at the expense of both the general public and the future standing of UK research, says Stevan Harnad

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# First there was Finch

12 June 2012

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

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

<http://www.researchinfonet.org/publish/finch/>

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

# Then came the government response



Department  
for Business  
Innovation & Skills

**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

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

<http://news.bis.gov.uk/Press-Releases/David-Willetts-comments-on-the-Finch-Group-report-on-expanding-access-to-published-research-findings-67b77.aspx>

19 June 2012

# 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>

# Then some money appears



Department  
for Business  
Innovation & Skills

7 Sept 2012

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.

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

# Money matters

## RCUK pump prime OA

- Oxford share of BIS £10m
- £879,000 for Oxford
- [First thought to be spent by 1<sup>st</sup> April 2013]
- No restriction on APC spend
- Programme funding confirmed 7<sup>th</sup> Nov 2012

## Block grant for APCs

- **From 1<sup>st</sup> April 2013**
- **To be spent mainly on APCs – concession**
- **Parts for reporting and green infrastructure & Services**

# 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.

# 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**.

The screenshot shows the top portion of a news article from Times Higher Education. The logo 'THE' is in large, colorful letters (red, purple, blue). Below it is a navigation bar with links: HOME | CONTACT | COMMENT | NEWS | CULTURE | RANKINGS | EXTRAS. A dark 'ADVERTISE' button is on the left. The article title is 'Finch's open-access cure may be 'worse than the disease'' in bold black text. Below the title are social media icons for Facebook (Like 6), Twitter, and YouTube (29). The date '28 June 2012' and author 'By Paul Jump' are listed. A sub-headline reads: 'Research elite say cost of gold plan could cripple the sector as publishers profit. Paul Jump writes'.

Prof Ian Walmsley, PVC (Research), University of Oxford interviewed for Times Higher Education, 28 June 2012

<http://www.timeshighereducation.co.uk/story.asp?storycode=420392>

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

e.g. Oxford

# **INSTITUTIONAL EFFECTS**

# 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.

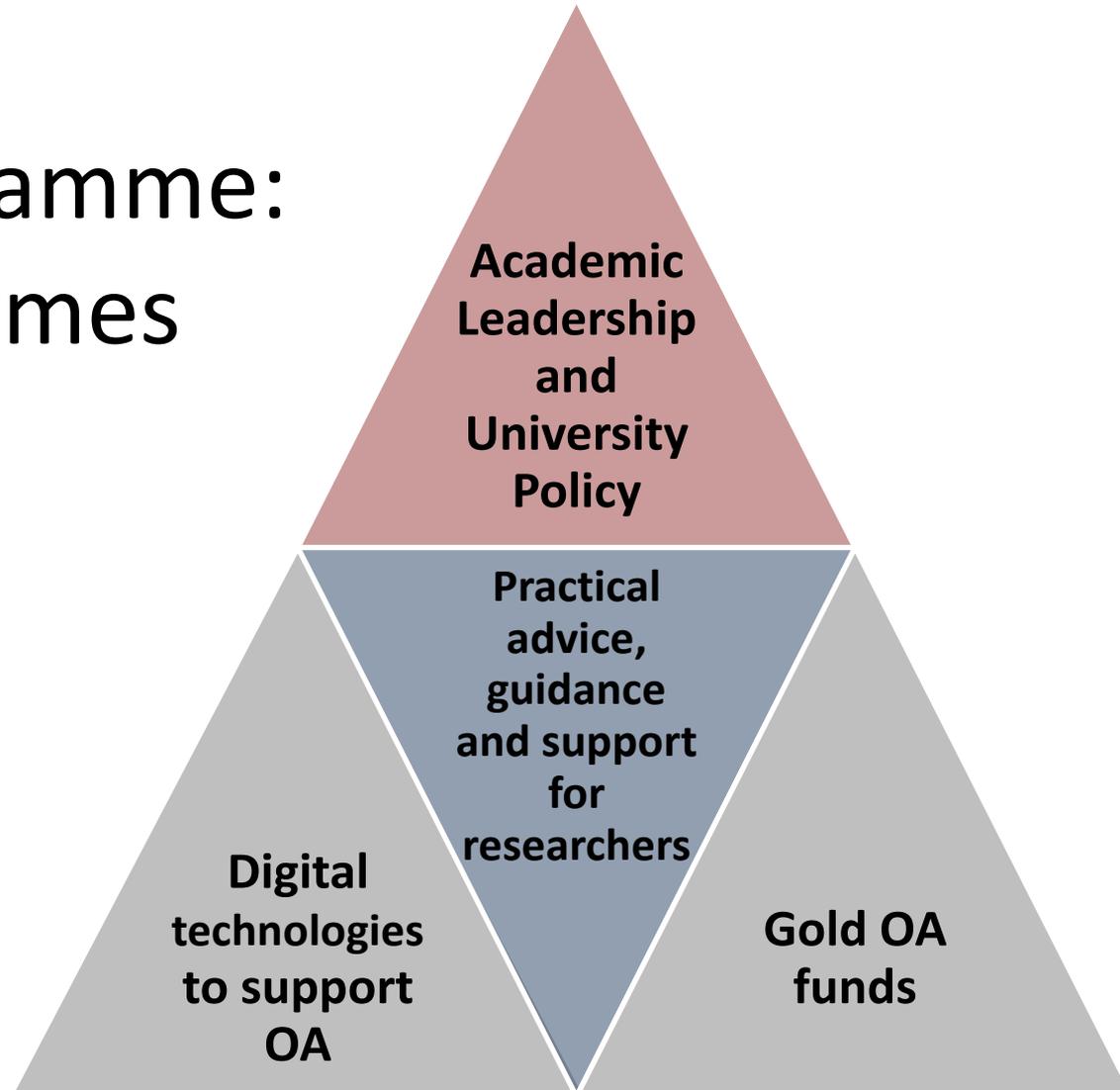
**11** 'Oxford Open Access' will enhance the Oxford Research Archive (ORA) as a permanent and secure online archive of research materials produced by members of the University. Copyright permitting, these materials will be made freely accessible by the Bodleian Libraries.

**12** Oxford is both a national and an international resource for education. A

postgraduate  
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**16** Share  
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# OA0 Programme: Four themes



# Some Numbers

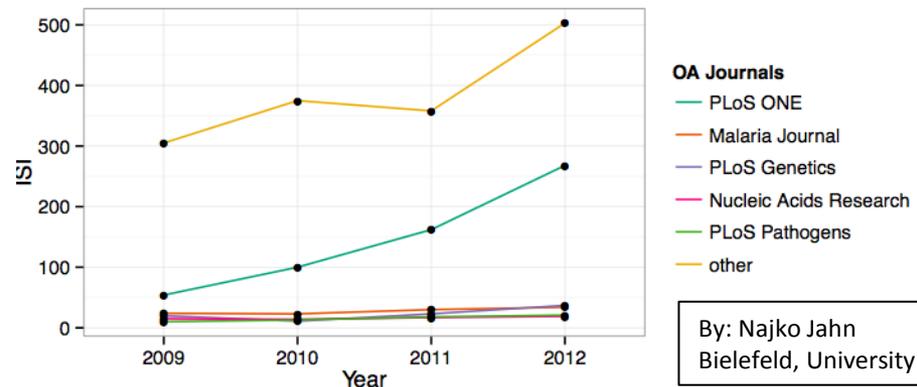
- Institutional RCUK gold cost difficult to predict
  - £90,000 < £869,000 > £4,500,000

$$APC_{annual} = o \cdot APC_{average} \cdot a \cdot b \cdot c$$

<i>o</i>	Total annual journal
<i>APC<sub>average</sub></i>	Average annual APC
<i>a</i>	Fraction of APCs borne by institutional authors (annual)
<i>b</i>	Fraction of APCs eligible for institutional funding (annual)
<i>c</i>	Uptake rate, i.e. fraction of articles paid by institutional funds

- Gold OA without RCUK doubled in 3 years
  - 2009: 428, 2012: 882
  - 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