Be careful what you wish for - unexpected policy consequences

Dr Danny Kingsley

UKCoRR Members' Day 2015

4 September 2015

UNIVERSITY OF CAMBRIDGE
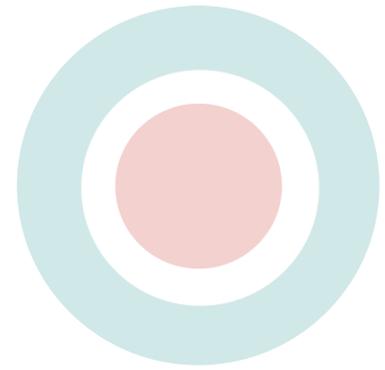
So what's it all about then?

What are we actually trying to achieve with open access policies?

Open access is 'A Good Thing'

http://aoasg.org.au/

UNIVERSITY OF CAMBRIDGE

Goals of open access

- Talk of the 'OA movement' is nonsense.
- There is no 'manifesto'
- We all disagree (sometimes violently!)
- But there are some general ideas:
  – Publicly funded research should be publicly available
  – Reducing the overall cost of disseminating results
  – Return on investment
  – Open access should facilitate research
  – Publishers should not be making so much money

UNIVERSITY OF CAMBRIDGE

The OA policy landscape

Three sets of rules in the UK.

They are all different.

The MEANS and the TIMING all conflict

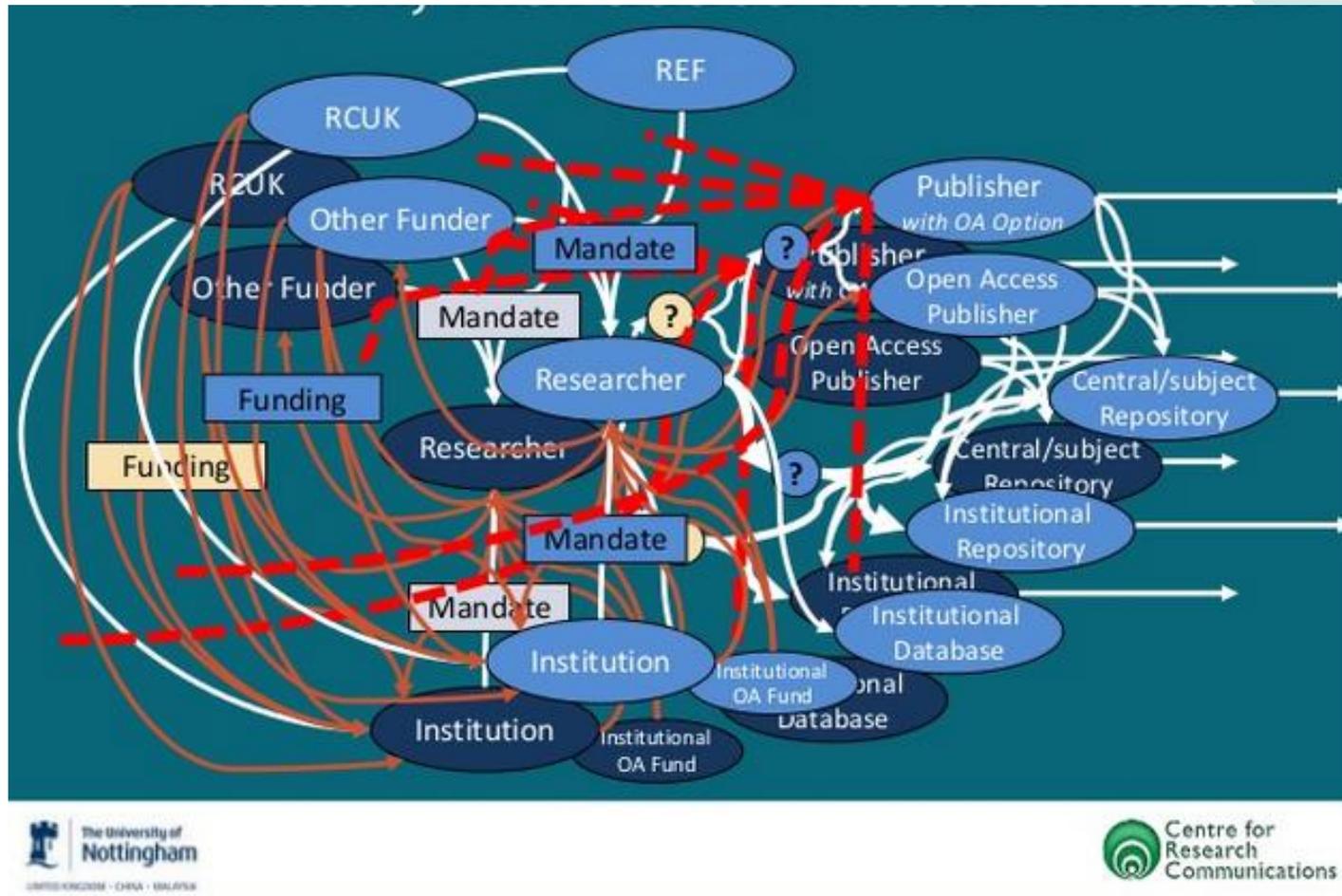RCUK – Green & Gold | HEFCE – Green only | COAF – Gold only

What the researcher hears

Office of Scholarly Communication

Consequence 1
Devaluing the open access 'brand'

There might not be a unified 'OA movement' but there is an OA brand

UNIVERSITY OF CAMBRIDGE

OA has become 'compliance'

- The role of open access managers has moved from a traditional focus on support and advocacy to a responsibility for enforcing compliance.

- Management of open access has become a centralised administrative function of the library/research office.

- In some cases the systems in place to manage compliance are doing this without the engagement of authors
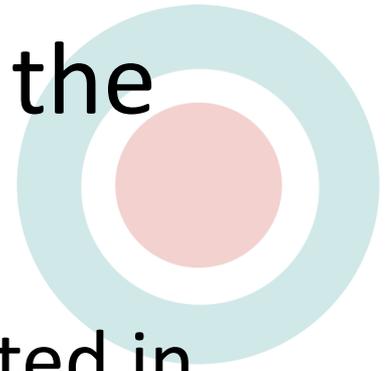
UNIVERSITY OF CAMBRIDGE

Consequence 2
OA practice is now administrative

'It would be ironic if the most significant open access policy development ended up taking OA practice away from authors'
Bill Hubbard *Policy compliance and author engagement* (12 June 2015)

UNIVERSITY OF
CAMBRIDGE

It was supposed to be led by the academic community

27 June 1994 – Stevan Harnad suggested in his "Subversive Proposal" that researchers could use FTP:

> *Paper publishers will then either restructure themselves … or they will have to watch as the peer community spawns a brand new generation of electronic-only publishers who will.*

http://eprints.soton.ac.uk/253351/1/subversive.pdf

UNIVERSITY OF CAMBRIDGE

It didn't catch on

- Persistent attempts to build the technology, and engage the academic community have failed over the past decade

- Why? Partly because the journal subscription model was a 'true market failure'
  - The library is the intermediary so the consumer (researchers) do not pay for the item and do not have any understanding of its cost
  - And the further we keep the authors away from the actual spend, the less likely they are to understand the 'why' of open access

UNIVERSITY OF CAMBRIDGE

A lost opportunity

Paying for APCs was a chance for authors to consider 'value'

JournalGuide	For biomedical researchers JournalGuide provides a matching service for authors to help them identify the right journal for their article. Information includes details about the journal's scope, speed of rejection or approval, publication speed and cost plus the journal's Open Access policy.
Quality Open Access Market	A European initiative, Quality Open Access Market aims to provide 'Journal Score Cards' ranking quality of service against price and also lists the publication fees of journals. Authors input rankings on Editorial information, peer review, process and governance.
Journal Openness Index	In Librarian, Heal Thyself: A Scholarly Commnunication Analysis of LIS Journals, Micah Vandegrifth and Chealsye Bowley propose a new metric to rank journals - the Journal Openness Index - which grades journals on how 'open' they are.

UNIVERSITY OF CAMBRIDGE

We are back to where we started

- If we have to wait for every researcher to come to their own personal epiphany about OA we will never get there

- I have been advocating:
'Stop trying to Engage - we need to Enable'

- But I am wondering if I WAS WRONG*

- *that bit is in capitals because my husband won't believe that I am saying those words…

UNIVERSITY OF CAMBRIDGE

# Consequence 3
Spiralling cost - Gold

The reality is that compliance with open access policies is costing an absolute packet

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/

UNIVERSITY OF CAMBRIDGE

And guess what?
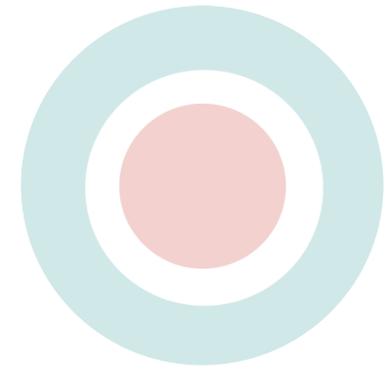
- 'The two traditional, subscription-based publishers (Elsevier and Wiley) represent some 40% of our total APC spend'

  - 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

Office of Scholarly Communication

UNIVERSITY OF CAMBRIDGE

Elsevier's profit margins

- STM 2014 revenue £2,048 million. Operating profit £762 million. 5% increase in revenue growth

- **Profit margin of 37%**

- Reed Elsevier Annual Reports and Financial Statements 2014 (p12)http://www.relxgroup.com/investorcentre/reports%202007/Documents/2014/relxgroup_ar_2014.pdf

- STM 2013 revenue £2,126 million. Operating profit £826 million*. 5% increase in revenue growth

- **Profit margin of 39%**

- Reed Elsevier Annual Reports and Financial Statements 2013 (p12)http://www.relxgroup.com/investorcentre/reports%202007/Documents/2013/reed_elsevier_ar_2013.pdf

- *Note in the 2014 report this figure for 2013 became £747 million?

UNIVERSITY OF CAMBRIDGE

APCs have evolved to fit the market

- There is no correlation between the cost of APC and the cost of production. This outcome was predicted.

    - Stephen Pinfield (2013) 'Is scholarly publishing going from crisis to crisis?' in *Learned Publishing* http://eprints.whiterose.ac.uk/75285/

- There is no correlation between APC and journal impact factor

    - Andrew Theo (2012) 'Gold Open Access: Counting the Costs' *Ariadne* 3 December http://www.ariadne.ac.uk/print/issue70/andrew

UNIVERSITY OF CAMBRIDGE

There is price and there is cost - 1

- Publishers often don't do what we have paid for.
- Publishers with whom Cambridge has paid more than 10 APCs:
  - Range from 11-25% non compliance.
  - Between 3 and 31 articles we are chasing up for each publisher.
- Elsevier has stated around 40% of RCUK funded articles are not under a CC-BY licence
  - (p19 of the RCUK review of implementation of policy)http://www.rcuk.ac.uk/research/openaccess/2014review/

There is price and there is cost - 2

- The University of Cambridge tried introducing Purchase Orders
  - It was an administrative debacle
  - Researchers responded: 'I am not putting this article in – the whole process is too much of a hassle'
- There are sometimes serious issues with invoices
  - Reissued without a credit note for the previous invoice
  - Chasing us repeatedly for payment when we have paid
  - Not providing sufficient information for us to identify what the invoice is for
- This all adds to the COST for the institution in terms of staffing

UNIVERSITY OF CAMBRIDGE

Consequence 4
Spiralling cost – Green

But what about HEFCE's green policy – doesn't that solve anything? (Apart from the incredibly complex message amongst the different policies this creates?)

UNIVERSITY OF
CAMBRIDGE

'On acceptance'
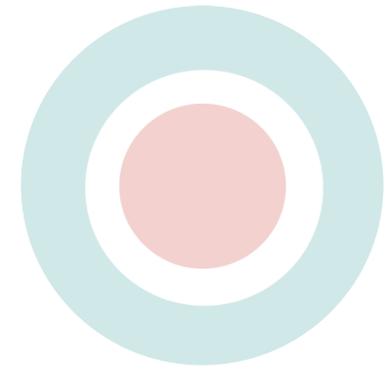
- Good
  - Best chance to get hold of the Author's Accepted Manuscript
  - Green road is preferable to hybrid

- Problematic
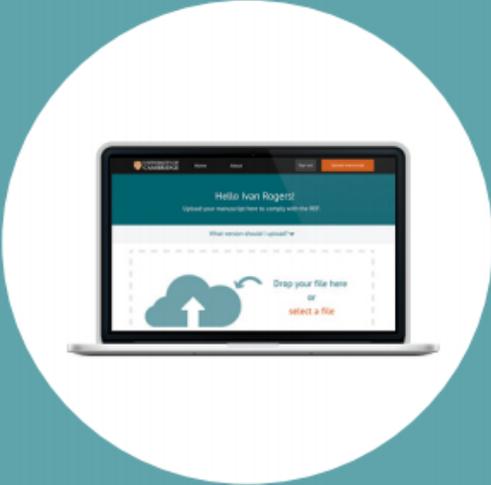 - Accepted for publication is not a natural moment for a researcher to contact the University

UNIVERSITY OF CAMBRIDGE

But that is just a marketing issue

Real problem 1 –
Work hidden in the repository for ages

- Prompting the question: 'what's the point?'
- Workaround:

- But there is some evidence that authors don't respond to copy requests.
  http://poynder.blogspot.co.uk/2015/06/hefce-elsevier-copy-request-button-and.html

Real problem 2 – Staffing

- The time associated with checking whether articles are published and setting the embargo periods is phenomenal

- We projected out how many people we would need to employ:

  – Using current systems &

  – Collecting 90% of projected total articles Cambridge produces (about 850 per month)

- We would need 9 FTE staff to upload and check if articles have been published.

UNIVERSITY OF CAMBRIDGE

Consequence 5
POSSIBLE issues with data policies

Publicly funded research data are a public good (...), which should be made openly available with as few restrictions as possible..."

RCUK Common Principles on Data Policy
http://www.rcuk.ac.uk/research/datapolicy/
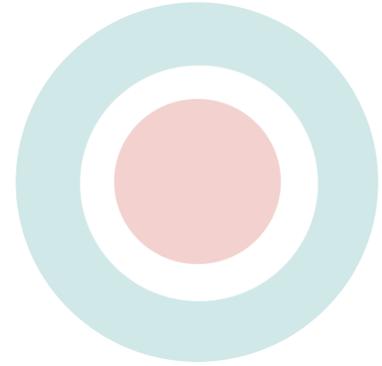
UNIVERSITY OF CAMBRIDGE

But first the numbers

- The Open Data and Open Access team at Cambridge University have spoken to over 1000 people since January 2015

- Notes taken of all the questions at each of the events.

- Meeting with EPSRC to clarify concerns
  - Blog https://unlockingresearch.blog.lib.cam.ac.uk/?p=151)

- Compiled into 25 FAQs and added to our webpage
  - http://www.data.cam.ac.uk/faq-0

UNIVERSITY OF CAMBRIDGE

There are some serious issues here

- There is a very real concern that the UK will become unattractive for collaborations

- Researchers discussing changing the type of research being done to reduce the amount of data being produced

- There is discussion in some circles whether applying for EPSRC funding is worth the hassle

UNIVERSITY OF CAMBRIDGE

Consequence 6
# Changing administrative practice

It can't be all bad…
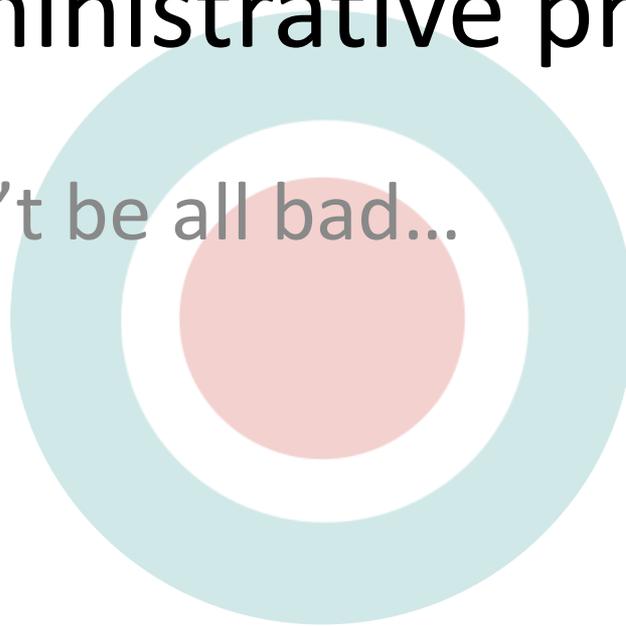
Breaking down silos

- Funding compliance has forced traditionally separate administrative centres within institutions to work more closely together.

- At University of Cambridge several roles are shared across the Research Office and Library.

- The need to start to develop compliance systems that sit within existing academic communication practices will potentially increase engagement/enablement with open access into the longer term.

UNIVERSITY OF CAMBRIDGE
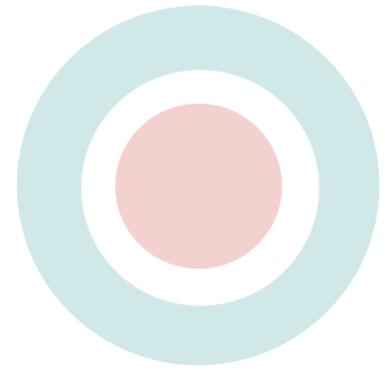
Dr Danny Kingsley
Head of Scholarly Communication
University of Cambridge

Email: dak45@cam.ac.uk

Blog: https://unlockingresearch.blog.lib.cam.ac.uk/

Website: http://osc.cam.ac.uk

Twitter: @dannykay68

UNIVERSITY OF CAMBRIDGE