



The University of
Nottingham

UNITED KINGDOM · CHINA · MALAYSIA

Managing Open Access Fees

Stephen Pinfield
Christine Middleton

University of Nottingham
Information Services

With thanks Jurgita Juskaite, University of Nottingham Intern



Outline

- Drivers for institutional funding
- UK survey
- Nottingham case study
- Future budgeting
- Challenges of advocacy
- Drivers for change



Drivers

- Benefits to researchers
 - OA material is free to use and reuse
 - potential readership and citations are increased
- Funder OA 'mandates' (<http://www.sherpa.ac.uk/juliet/>)
 - UK Research Council policies
 - Funders in: Australia, Austria, Belgium, Canada, France, Germany, Hungary, Ireland, Italy, Norway, Spain, Switzerland, UK, USA
 - Government-funded agencies, charities, foundations
- Institutional mandates
 - 31 UK: 147 Global (*source: ROARMap 20/5/12*)



University of Nottingham Open Access Policy

- All research papers (including journal articles, conference proceedings, book chapters and similar material), where copyright allows, should be made available in an open-access form upon publication
- All research papers (either in the form of the author's final manuscript or the formally-published version), where copyright allows, should be deposited in the Nottingham ePrints repository upon publication or as soon as possible thereafter
- Where available, researchers should take advantage of opportunities to publish their work in an open-access form offered by journal publishers, and can make use of research grants and/or the institutional central OA fund in order to pay open-access publication fees



Institutional Responses

- Funding streams tend to be directed to supporting the ‘traditional’ publishing system
- But research income can also be channelled to fund OA fees
 - Direct costs: Research grants can be used to fund OA fees during the life-time of a grant
 - Researchers need to be encouraged to build this into their grant applications
 - Indirect costs: Overheads claimed by the institution can also include OA fee costs
 - Funds need to be accessible to researchers
 - Costs need to be built into institutional overhead costings



Detailed Guidance: EPSRC

“Universities can recover publication fees incurred after a grant has ended as an indirect cost. This involves setting up funds and processes at an institutional or sub-institutional level.

If a university chooses to set up a fund to enable their researchers to pay publication fees, it can form part of the costs used for calculating the university’s standard rate for the indirect costs of research. In the same way, a proportion of library costs are currently included in calculating the standard rate.

Indirect costs are based on the annual attribution and reporting of costs in previous years, so universities can only start to include the costs of paying publication fees in their calculation of indirect cost the year after they first make provision.”

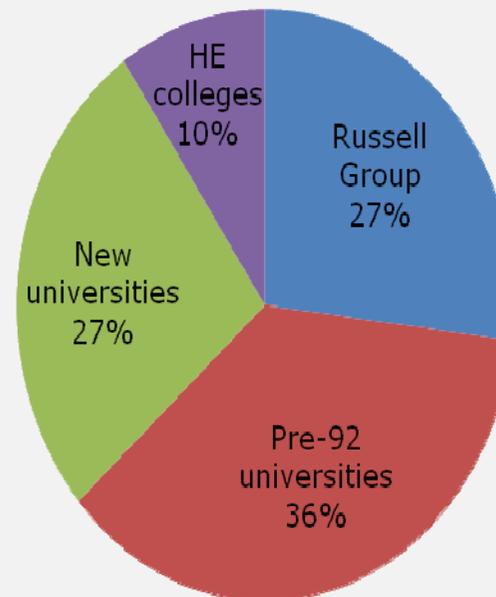
Engineering and Physical Sciences Research Council, *Payments of Publication Fees*
<http://www.epsrc.ac.uk/funding/managing/Pages/publicationfees.aspx>



The UK Situation 2011

Survey of UK HE library directors, June 2011

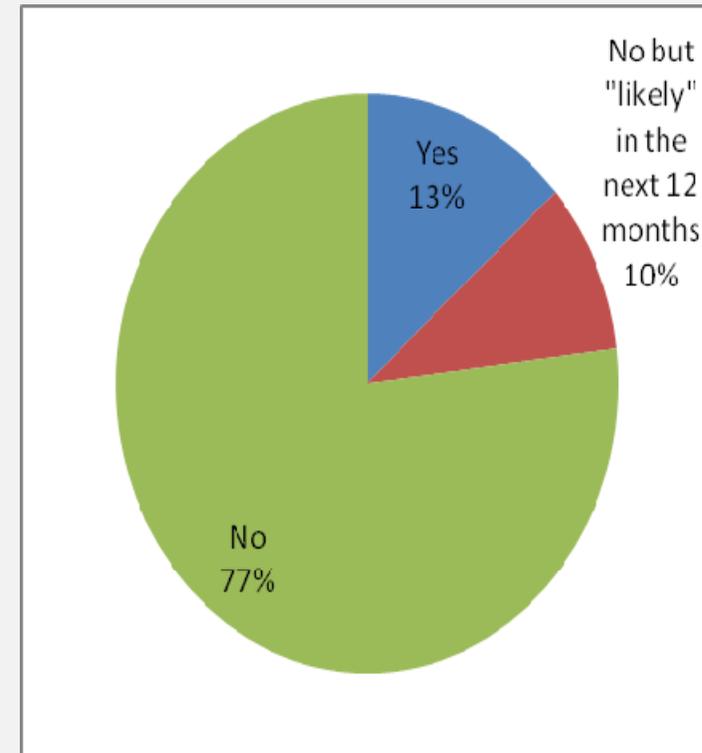
- 52 valid responses
 - Russell Group: 14
 - Pre-92 universities: 19
 - New universities: 14
 - HE colleges: 4





“Do you have an institutionally-coordinated approach to payment of per-article OA fees (such as a central fund)?”

- “Yes”: 7 institutions (13%)
- No correlation between institution type and OA fund
- No clear pattern of responsibility in the institution for funds
 - All 7 funds administered centrally
 - 3 by library
 - 3 by research support office
 - 1 by both library and research support office





Institutional Context

- The possibility of setting up a fund has been raised in many institutions
- About 5 saw it as a real possibility in the next 12 months (varying levels of confidence)
- Some indicated alternative arrangements are in place e.g. devolved responsibility
- Library managers are usually the ones initiating discussions in institutions



Nottingham: Case Study

Recommendations adopted by the University Research Committee,
November 2006:

1. All authors should be encouraged to deposit copies of their papers in the Nottingham ePrints repository.
2. The University should identify a central budget upon which all authors in the institution can call to fund publications/OA charges.
3. Wellcome-funded authors should be reminded of the availability of funds to pay for their publications/OA charges.
4. Further internal publicity should be carried out in order to inform academic staff of the new requirements of funders.
5. Arrangements should be put in place to monitor the University's compliance with funder requirements.



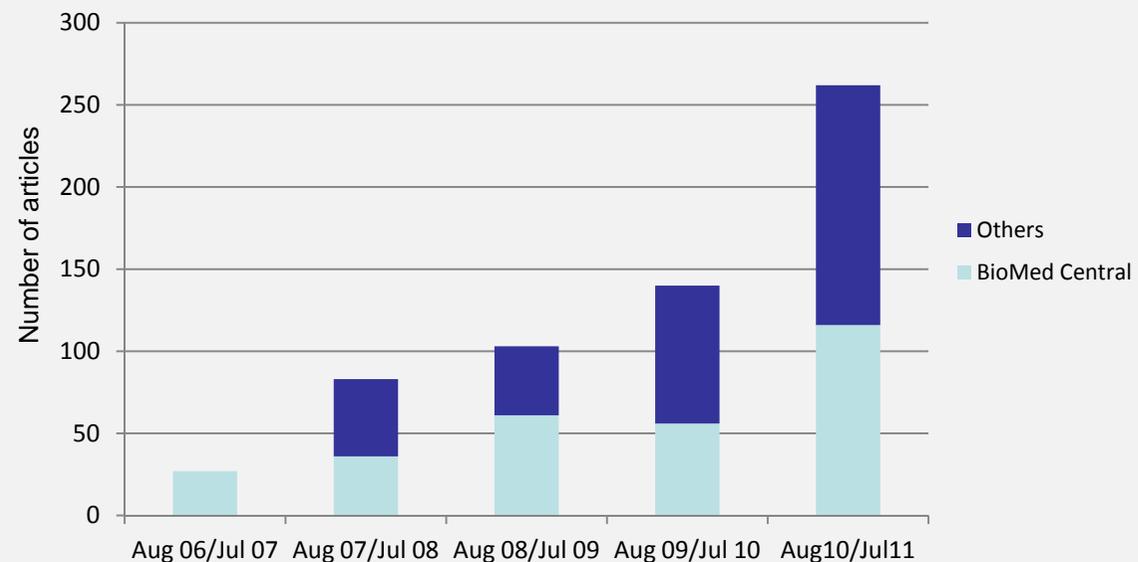
Working with an OA Fund

- Approved in November 2006
- Managed by the research support office (Research Innovation Services, RIS)
- Procedures document developed, March 2007
- Publicity undertaken by RIS and Information Services
- Monitoring of the fund by RIS and IS
- Fund re-endorsed by Research Committee, 2008
- Review of procedures
- Further publicity required



Usage

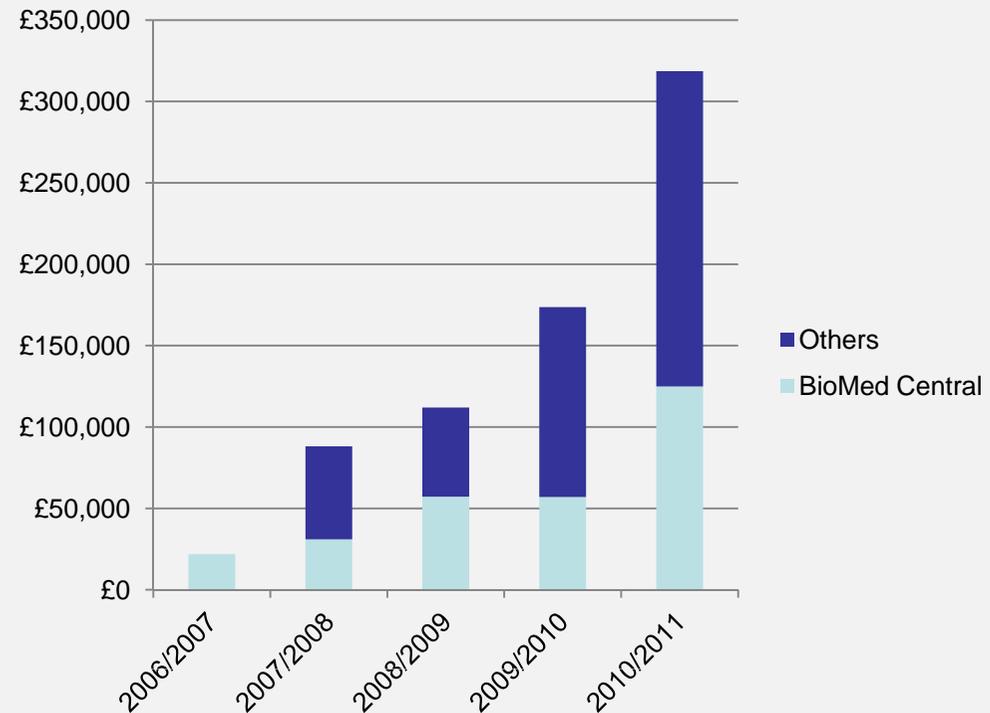
- Total number of requests over 5 years: 615
- Requests per year
 - 2006-07: 27
 - 2007-08: 83
 - 2008-09: 103
 - 2009-10: 140
 - 2010-11: 262
- Over 5 years
 - BMC: 296
 - Non-BMC: 319





Costs

- Total costs: £714,244
- Costs per year:
 - 2006-07: £21,850
 - 2007-08: £88,158
 - 2008-09: £111,942
 - 2009-10: £173,679
 - 2010-11: £318,615
- Over 5 years
 - BMC: £291,847
 - Non-BMC: £422,397





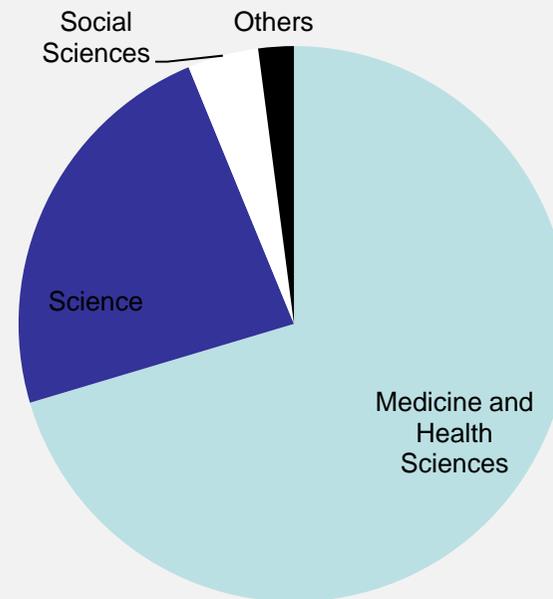
Article processing costs 2010/11

- Average cost per article: **£1,216**
 - BMC articles: £1,077
 - Non-BMC articles: £1,327
- Highest payment: £3,095
- Lowest payment: £72 and then £200



Claimants in 2010/11

- Claimants predominantly from Medical and Life Sciences areas
- Within the Faculty of Science most claimants from Biology, Biosciences, Psychology, Veterinary Science and Mathematics
- Faculties:
 - Medicine and Health Sciences: 71%
 - Science: 23%
 - Social Sciences: 4%
 - Others: Arts, Engineering, : 2%





Publishers

- Payments made to 70 publishers over 5 years
- Apart from BMC only 9 publishers received payments for 10 or more articles:
 - American Society for Microbiology: 13
 - Association for Research in Vision and Ophthalmology: 10
 - BMJ Publishing Group: 10
 - Elsevier: 41
 - Oxford University Press: 28
 - Public Library of Science: 21
 - Sage: 11
 - Springer: 34
 - Wiley: 14



Future budgeting

- Very sensitive to author uptake:
 - Numbers of OA articles to date are relatively low (4% of UoN output)
 - Per article costs are high
- Impact of the Research Council policies?
- Influence of the REF?
- Development of repositories?
- Future publishing scenarios?



Possible growth

Year	Estimate	Actual
06/07		£21,850
07/08	£80,000	£85,880
08/09	£120,000	£111,942
09/10	£160,000	£171,179
10/11	£200,000	£318,615



Houghton Report and Swan model

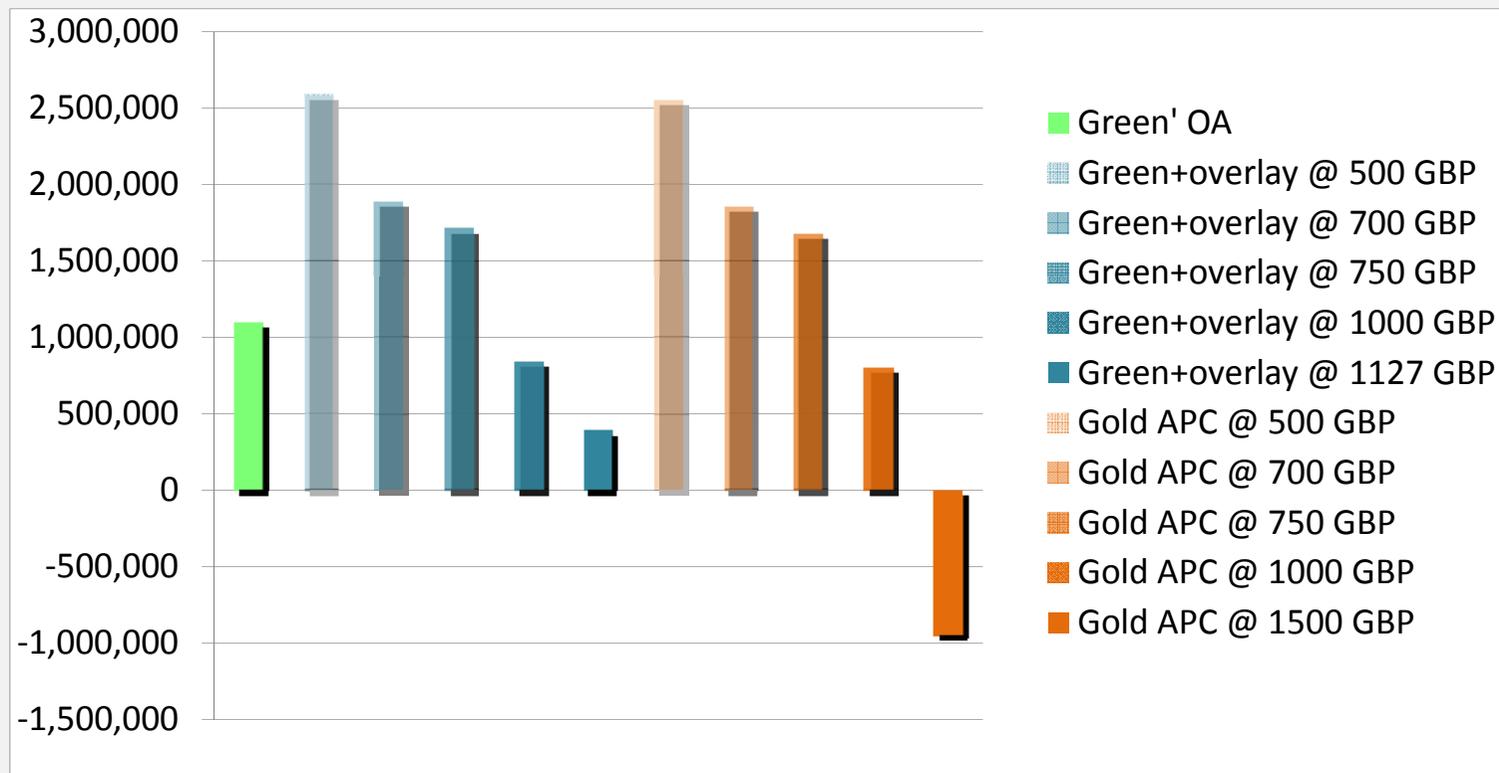
An economic model examining the financial impact of:

- a shift to Open Access via repositories with parallel subscription publishing (“Green” Open Access);
- a shift to Open Access via repositories with overlay publishing services (“Green” Open Access + overlay);
- a shift to publishing in Open Access journals (“Gold” Open Access).

Assumption: worldwide adoption of the Open Access model



University of Nottingham outcome





Challenges of advocacy

- Perception that making articles openly accessible and publishing in high impact journals are mutually exclusive
- Lack of awareness of sources of funding
- Stigma associated with “vanity publishing”



Drivers for change

- REF and government initiatives
- Introduction of CRIS (Current Research Information Systems)
- Prepayment accounts and membership schemes
- Commercial schemes to assist with the management of APCs
- Fully OA journals published by main stream publishers may break the association of low quality with OA
- Speed of dissemination



Summary

Challenges of supporting APCs	Facilitators
Budgeting is difficult when APCs are high	Funder policies
Relating costs to related grants is difficult	Prepayment and membership schemes
There is an administrative overhead in managing APCs	Growing reputation of OA journals
Lack of awareness amongst authors	RCUK mandates
Perceptions of low quality	Government support
Paying twice?	



- SHERPA JULIET (funder policies)
<http://www.sherpa.ac.uk/juliet/>
- SHERPA ROMEO (publisher copyright policies)
<http://www.sherpa.ac.uk/romeo>
- UUK/RIN guidance to UK institutions
<http://www.rin.ac.uk/openaccess-payment-fees>
- Stephen Pinfield 'Paying for open access? Institutional funding streams and OA publication charges'. Learned Publishing 23 (1) January 2010
<http://dx.doi.org/10.1087/20100108>
- Stephen Pinfield and Christine Middleton 'Open access central funds in UK universities'. Learned Publishing 25 (2) April 2012
<http://dx.doi.org/10.1087/20120205>