Paved with Gold:
An Institutional Case Study on Supporting
Open Access Publishing

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Why publish research articles?

- Inform the research community of findings
- Demonstrate the quality of research
  - Collaborators
  - Funders
  - Government, public
- Build reputations and careers
- Be seen in high-profile journals
Profile, reputation, research success
Open Access (OA)

- Maximise exposure
- Early citation advantage - potential competitive advantage \(^1,2\)
- Subject area culture eg
  - OA well established in Biomedical subjects and in Physics
  - Different communication style in Humanities and Social Sciences
  - Education and Psychology share research with practitioners
  - Share with developing countries
- Funder requirements
  - Acknowledging the funder
  - Threat of losing future funding

2. Wagner, A. Ben *Open Access Citation Advantage: An Annotated Bibliography* [http://www.istl.org/10-winter/article2.html](http://www.istl.org/10-winter/article2.html)
Green  versus  Gold

Copy of paper in institution/subject archive
- Googleable
- No publication fees
- Institutional support
- Integration with institution’s own reporting requirements
- Web 2.0

OA or hybrid journal with article processing fees
- Familiar process for researchers
- Early release advantage
- Strong journal brand and version of record
- Does not preclude green
- Step on the road to a new business model
The UoB pilot study

- Nearly all UK Research Councils (RC) now encourage OA
- Library receiving requests for OA journal memberships and publication fees
- Interest from PVC for Research and (some) College Directors of Research
- Interest from Research & Commercial Services, re grant requirements
- Agreed need to assess the impact of OA
  - Costs, including implications for Full Economic Costing
  - Practicalities of green and gold routes
  - Impact on knowledge transfer
- Secured funding for the pilot
- Practical support from Finance Office and Research & Commercial Services
- Project managed by the Library
Choosing a group for the study

- Identified our top funders (research grant income)
- Selected two Research Councils with different approaches to achieving OA
  - Medical Research Council (MRC)
  - Engineering and Physical Sciences Research Council (EPSRC)
- The Wellcome Trust
  - Already has well-established policy and process for OA publishing
- OA is already established in the subject areas covered by these funders
- May in future add European Commission Framework 7 and 8 programmes
Information and advocacy

- College research committees
- Identified eligible gransholders for targeted mailshots
- Web pages with information and links
- Information for new grant applicants
  - Include a realistic estimate for publishing costs
- Identified journals where our researchers have been publishing most frequently in recent years
  - Agreed these reflected the preferred journals
  - Checked their self-archiving policies and OA/hybrid options
- Reporting back to Research and Knowledge Transfer Committee
Activities to enable “gold”

- Financial support in place
  - Check for eligibility and pay fees if “gold” route is chosen
  - Easy for researchers
  - Financial record of the activity, and audit trail

- Administrative support in place
  - Answer queries, explain options
  - Ensure chosen option meets requirements of the funder
  - Record of OA publishing activity and costs
    - Report to Research Committees, funders, etc
    - Identify papers to follow up re impact and citations
In parallel: activities to support “green”

- Improvements to our institutional repository
- Import and reuse an existing collection of metadata, gathered for research monitoring purposes
- Expose these metadata and links using ePrints software
  - A separate area of the repository – not eligible for OpenDOAR
  - Provide web page “includes” for researchers and groups
- Encourage researchers to add full-text
- Analyse publishers and journals used in the past, to identify groups of high-profile papers for self-archiving “quick wins”
- Ensure that papers published via “gold” are also archived in our IR (where possible)
Stage-Specific Inhibition of MHC Class I Presentation by the Epstein-Barr Virus BNLF2a Protein during Virus Lytic Cycle.

Croft, NP and Shannon-Lowe, C and Bell, Al and Horst, D and Kremmer, E and Rassing, ME and Wiertz, EJ and Middeldorp, JM and Rowe, M and Rickinson, AB and Hislop, AD (2009) Stage-Specific Inhibition of MHC Class I Presentation by the Epstein-Barr Virus BNLF2a Protein during Virus Lytic Cycle. PLoS pathogens, 5 (6) e1000490. ISSN 1553-7366

URL of Published Version: http://dx.doi.org/10.1371/journal.ppat.1000490
What we are beginning to find out from the pilot

- Levels of publishing activity related to funded research
- Levels of OA publishing activity
- Cost of OA fees
  - Reclaimable from funders
  - To be factored into Full Economic Costing calculations
  - Previously underestimated
- Level of admin support required
- What is motivating researchers to choose OA
  - Carrot or stick?
  - Belief that OA works, or ideology, or convenience?
Where do researchers prefer to publish?

- High quality, peer-reviewed journals
- Don’t care about the business model, so long as the journal has a high profile
- Some fully-OA journals have rising impact factors
  - Journalists are picking up stories from PLOS and BMC
- Growing numbers of hybrid journals
- Citation in PubMed essential for biomedical researchers
  - But confusion between PubMed and PubMed Central (and BioMed Central)
### Top 15 publishers 2001-2009
(published works by all UoB researchers)

<table>
<thead>
<tr>
<th>Publisher</th>
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<tbody>
<tr>
<td>Elsevier</td>
</tr>
<tr>
<td>Wiley Blackwell (John Wiley &amp; Sons)</td>
</tr>
<tr>
<td>Informa UK (Taylor &amp; Francis)</td>
</tr>
<tr>
<td>Springer-Verlag</td>
</tr>
<tr>
<td>Oxford University Press (OUP)</td>
</tr>
<tr>
<td>Nature Publishing Group - Macmillan</td>
</tr>
<tr>
<td>BMJ Publishing Group</td>
</tr>
<tr>
<td>American Physical Society (APS)</td>
</tr>
<tr>
<td>IOP Publishing</td>
</tr>
<tr>
<td>Ovid Technologies (Wolters-Kluwer) - Adis</td>
</tr>
<tr>
<td>Biomed Central Ltd.</td>
</tr>
<tr>
<td>Sage publications</td>
</tr>
<tr>
<td>American Society for Microbiology</td>
</tr>
<tr>
<td>American Chemical Society (ACS)</td>
</tr>
<tr>
<td>American Society of Hematology</td>
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</tbody>
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### Top 50 journals used by each of the Colleges included in the Pilot

#### Green
- Biomedical subjects: 50% allow archiving of post-prints
- Increases to 80-90% after embargoes

#### Physical Sciences: 90%
- Very few embargoes

#### Gold
- Biomedical subjects: 80% have some form of open choice option

#### Physical Sciences: 90%
Assessing the impact of OA

- Comparators based on past publishing activity
  - Baselines for comparing the impact of papers in the OA pilot
  - Trends in choice of journals for submission

- External indicators of reputation of the OA and hybrid journals publishing papers from UoB
  - Watching what REF is going to measure
  - Impact factors
  - eg Australian Research Council journal rankings

- The bigger picture for publishing and scholarly communications\(^3,4,5\)
What we hope to find out

- Any change in choice of journals for submission
- Any change in reputations of OA and hybrid journals
- Any evidence for increase in downloads and citations
- Cost of OA (green and gold) against measured benefits
- Requirements and attitudes of research funders
  - Follow-up (or not) and effect on future levels of funding
- Changes in subscription charges for hybrid journals
Issues

- Interest in OA from researchers who are not eligible for this pilot
  - Enquiries from researchers funded by other organisations (or not at all)
  - Observed publishing activity in OA journals, outwith the pilot
    (These researchers do, however, benefit from the institutional discounts)

- Concern over conflict between rigorous peer-review and commercial interests in “gold” model

- Long delays between submission, acceptance and publication
  - Meanwhile, researcher has moved on to the next paper/project
  - Delays (both sides) caused by practical difficulties with paying fees can cause delay release of the article on OA

- Who should monitor compliance with funder mandates
- Who should monitor research performance and bibliometrics
- Author lack of interest/understanding over copyrights
Does the OA fee buy additional rights?

- Fully OA journals usually spell out their policies
- Hybrid journal rights and policies are often unclear
- Researchers/universities/publishers don’t always know exactly what they’ve paid for
  - Immediate release or just a shorter embargo?
  - Deposit in PMC or just a citation in PM?
  - Right to deposit immediately in an OA repository?
    - 70% of “gold” articles are with publishers who allow their PDF to be archived, some of the rest grant permission for various author versions, some grant no rights
  - OA fees or page/plate charges?
  - Discounts for Editorial Board members?

- Need to check and follow up
Are OA fees making an impact on subscription costs?

- Publisher policies are unclear
- Opaque pricing structures
  - OA fees rising rapidly, subscriptions falling slowly
- The features “arms race”
- Uptake is slow
- Indications that a wholesale move from subscriptions to article processing fees would save money overall
  - Economic model developed by Houghton⁴, applied in Australia, Netherlands and UK
  - UK case study by Swan⁵
Conclusion

- Evidence\(^1,2\) shows that OA can bring advantages in visibility and impact of journal articles
- “Green” self-archiving in repositories has not yet reached its potential, but we’re still working on it
- A “flip”\(^3,4,5\) to “gold” OA could see HEIs and funders saving overall, *provided that article processing fees remain reasonable*
- Publishers provide a valuable service, but at a price
- Article processing charges, subscriptions and rights need to be clearer
- National and subject-based initiatives are challenging the scholarly communications model
- Researchers are not really interested in the business model, they just want to get their work out there
- Libraries, research offices, publishers, etc need to focus on supporting the researchers
References


2. Wagner, A. Ben (2010) Open Access Citation Advantage: An Annotated Bibliography
   http://www.istl.org/10-winter/article2.html


   http://dx.doi.org/10.1080/08109021003676359
   and related articles/reports

5. Swan, Alma for JISC (2010) Publishing research papers: Which policy will deliver best value for your university?

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