Open access: the view from the Wellcome Trust

How philanthropy and non-academic markets are shaping scholarly publishing

11th Fiesole Collection Development Retreat, July 2009

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Overview

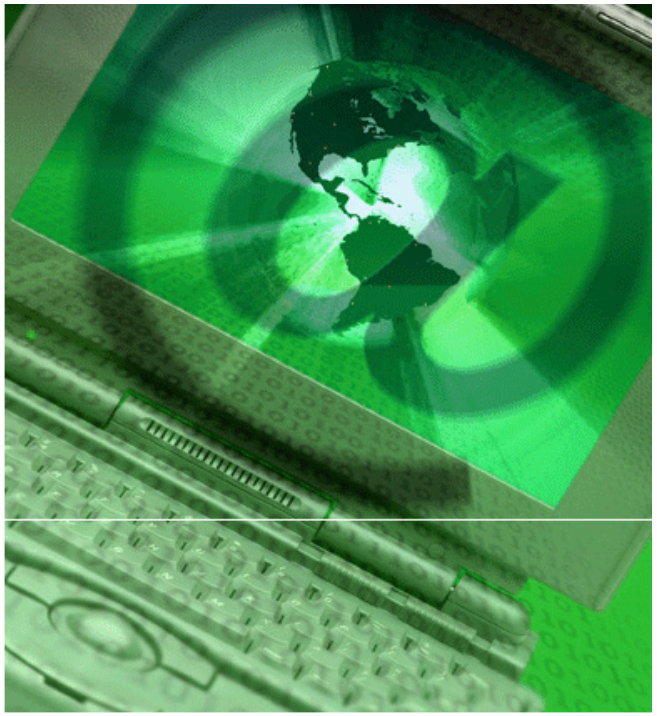
- Summary of the Trust’s OA policy and how researchers can comply with this policy
- Meeting the costs of OA
- Thoughts on the author pays model
- Compliance
- Next steps

The Wellcome Trust

- Independent charity; UK's largest non-governmental source of funds for biomedical research
- Spends £650 million p.a. in the UK & internationally on our mission; supporting and promoting research to improve human and animal health
- Seeks to improve understanding of the ways science & medicine have developed, & how research affects people and society today
- More information at http://www.wellcome.ac.uk

OA at the Wellcome Trust: policy

All research papers – funded in whole or in part by the Wellcome Trust – must be made freely accessible from the PubMed Central and UKPMC repositories as soon as possible, and in any event within six months of the journal publisher's official date of final publication



How can Wellcome researchers comply with OA mandate?

- Route 1
  - Publish in a open access/hybrid journal – preferred route
- Route 2
  - Publish anywhere - but self-archive the author manuscript (including changes from peer review process) and make that available from PMC & UKPMC within 6 months of publication
- If a publisher offers neither route then:
  - Author can suggest revision to the journal's copyright agreement – boilerplate language provided on our website – and see if the publisher will accept this
  - Look for an alternative publisher

Route 1 – OA/hybrid journal

- Wellcome will meet author-side costs
- In return, the publisher must provide the following services:
  - deposit, on behalf of the author, the **final version** of the article in PMC, where it must be made **freely available at the time of publication**
  - license the article such that it can be **freely accessed and re-used**, subject to agreed limits
- Significant number of publishers offer "Wellcome-compliant" author-pays option
  - e.g. Elsevier, Wiley, BMJPG, PLoS, BMC, BMJPG, Springer, ASBMB, OUP, CUP, SfE, Am Psychol. Assoc, Am Physiol. Soc, ACS etc.
  - e.g. Elsevier OA article in html and xml

Route 2: Self-archiving option

- Authors self-archive the author's final manuscript
  - freely available from PMC/UKPMC within 6 months
- No fee to the publisher is payable for this option
- It is our least preferred option, because
  - no immediate access
  - additional burden on researchers
  - re-use rights are less clear
    - Wellcome/ NPG have developed a licence that explicitly allows text/data mining
- Publishers which allow author self-archiving - in line with max. 6-month embargo - include AAAS, AAI, AACR, AMA.
  - Note: NPG, SfN, LWW, AACR will deposit author manuscript in UKPMC on authors behalf

Meeting the cost of OA - Wellcome

- Publication costs are legitimate research costs
- Trust estimates that to provide OA to all the research papers it will fund will cost between 1% - 2% of its annual research budget
  - Over £1m budgeted for in 2008-09; more for 09-10
- Two mechanisms for meeting OA costs
  - The top 30 Trust-funded institutions have been awarded block grants to cover OA publishing costs
  - Where block awards are not available we will continue to supplement individual research grants

Author pays model: some thoughts (1)

- The Trust believes the publisher adds value to the research process
  - These costs, therefore, have to be met
  - Wellcome only meet OA costs if publisher provides the full suite of services (e.g. deposition in UKPMC, no embargo, full re-use licence)

Author pays model: some thoughts (2)

- Is there risk of "double payment" – subscriptions and author fees?
  - Yes – but the evidence thus far seems to suggest that subscription costs are sensitive to OA payments
    - OUP: The average price increase (2007 to 2008) across all Oxford Journals titles was **6.9%**, whereas the average price increase for *Oxford Open* titles (with open access uptake in 2006) was **1.7%.**
    - Elsevier: Press released stated that prices increase less than industry average – author-side payments one reason for this
    - Am Physiological Society. Press release stated that the "*nominal increase of 2.5 percent for 2009 subscriptions is due to income from new Author's Choice Program*"

Author pays model: some thoughts (3)

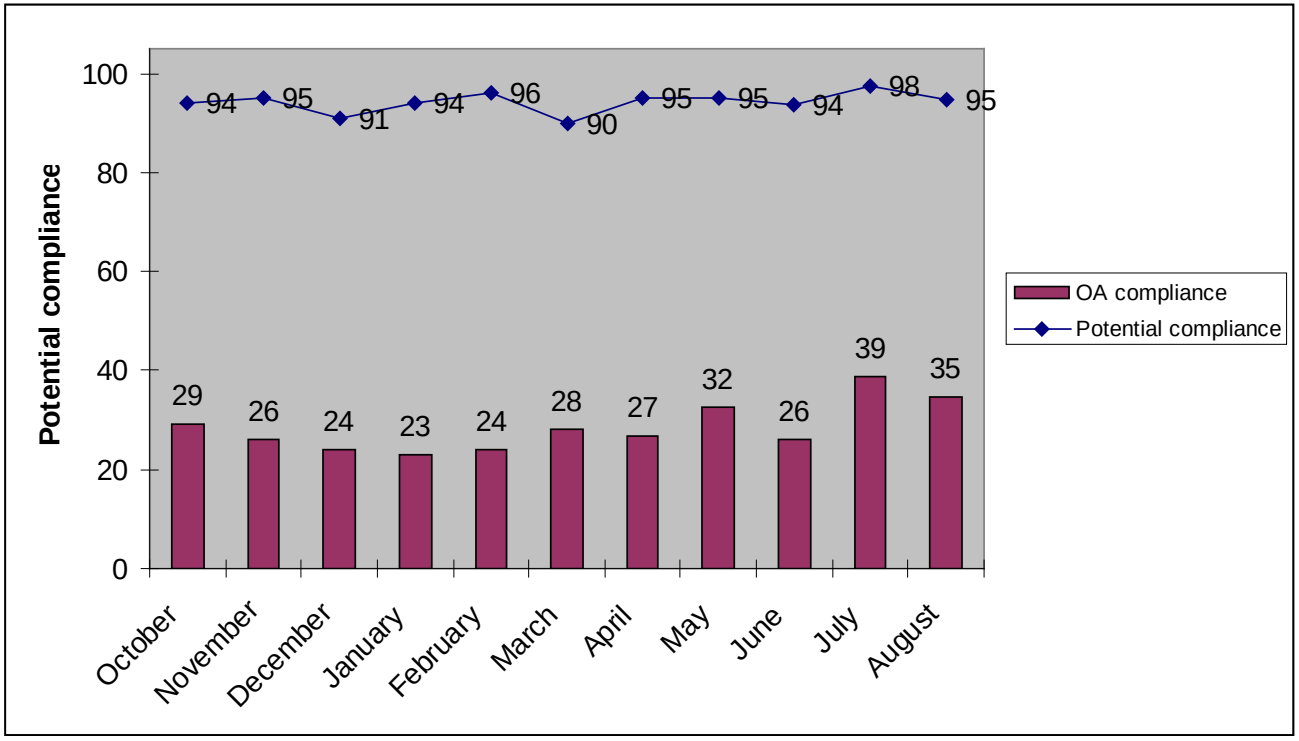
- Studies conclude that flipping to author side payment will reduce costs:
  - *If 90% of all articles were made open access upon payment of a publication fee, total saving in the global costs of publishing, distribution and access is estimated £561m per year* (RIN study)
  - *Savings of £80m to UK HE would be enjoyed by switching to author-pays (i.e. estimate that in 2007 it cost UK HE £230 million to publish using the subscription model; it would have cost £150 million to publish under the open access model* (Houghton study)

Issues – still to be resolved

- Improving compliance with the OA mandate
- Improving mechanisms for researchers to meet author-side payments
- Clarifying publishers' OA policy
- Working out how to flip the model from "subscriber pays" to "author pays"

Wellcome Trust: compliance with mandate

- Around 33% of Trust-funded research papers available in PMC/UKPMC within 6 months of publication
  - but…95% of journals used by Wellcome-funded authors have a "Wellcome-compliant" publishing option. "



Papers published between October 2007 – August 2008

Improving compliance with mandate

- Problem in part – authors not self-archiving
  - Mitigated by awareness raising, and articulating consequences of non-compliance…
  - Following letter to VC's significant increase in author depositions
    - 259 depositions Jan-Mar 08; 841 depositions Jan-Mar 09
- ..in part, publishers not having workflows to support "author pays" model
  - Elsevier – who have recently introduced an integrated OA workflow – have seen significant increase in uptake of "Sponsored Documents"
- ..but in part we (funders) have not yet demonstrated the benefits of OA, something we are addressing through UKPMC

New services at UKPMC – Grant Reporting

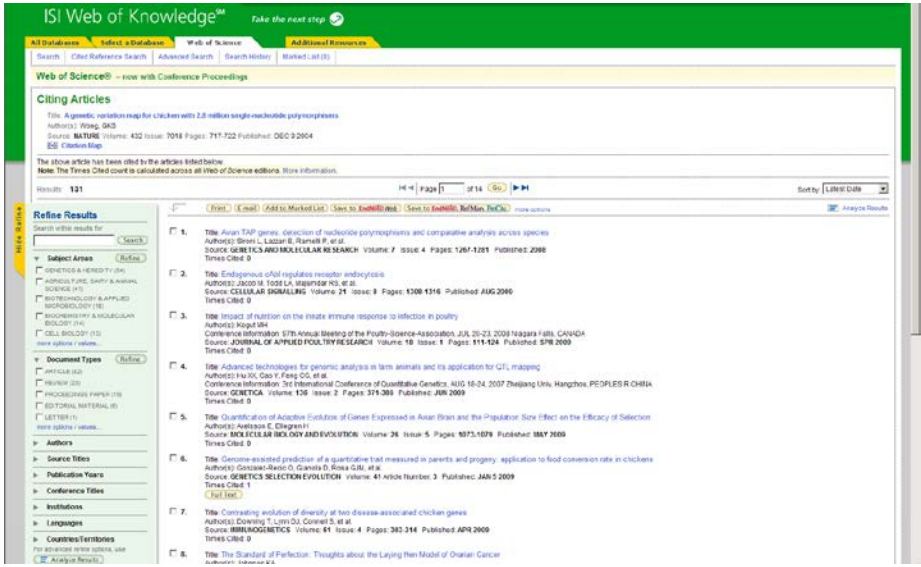
My Impact

Report for **Dr SJ Hubbard**

Export My Impact as ◉ CSV ○ XML

#	Article	Web of Science Citation Count
1	A genetic variation map for chicken with 2.8 million single-nucleotide polymorphisms. Wong GK, Liu B, Wang J, Zhang Y, Yang X, Zhang Z, Meng Q, Zhou J, Li D, Zhang J, Ni P, Li S, Ran L, Li H, Zhang J, Li R, Li S, Zheng H, Lin W, Li G, Wang X, Zhao W, Li J, Ye C, Dai M, Ruan J, Zhou Y, Li Y, He X, Zhang Y, Wang J, Huang X, Tong W, Chen J, Ye J, Chen C, Wei N, Li G, Dong L, Lan F, Sun Y, Zhang Z, Yang Z, Yu Y, Huang Y, He D, Xi Y, Wei D, Qi Q, Li W, Shi J, Wang M, Xie F, Wang J, Zhang X, Wang P, Zhao Y, Li N, Yang N, Dong W, Hu S, Zeng C, Zheng W, Hao B, Hillier LW, Yang SP, Warren WC, Wilson RK, Brandström M, Ellegren H, Crooijmans RP, van der Poel JJ, Bovenhuis H, Groenen MA, Ovcharenko I, Gordon L, Stubbs L, Lucas S, Glavina T, Aerts A, Kaiser P, Rothwell L, Young JR, Rogers S, Walker BA, van Hateren A, Kaufman J, Bumstead N, Lamont SJ, Zhou H, Hocking PM, Morrice D, de Koning DJ, Law A, Bartley N, Burt DW, Hunt H, Cheng HH, Gunnarsson U, Wahlberg P, Andersson L, Kindlund E, Tammi MT, Andersson B, Webber C, Ponting CP, Overton IM, Boardman PE, Tang H, Hubbard SJ, Wilson SA, Yu J, Wang J, Yang H, International Chicken Polymorphism Map Consortium Nature 2004 Dec 9 ; 432(7018): 717-22	131
2	A combination of chemical derivatisation and improved bioinformatic tools optimises protein identification for proteomics. Brancia FL, Butt A, Beynon RJ, Hubbard SJ, Gaskell SJ, Oliver SG Electrophoresis 2001 Feb ; 22(3): 552-9	38
3	Stable isotope labelling in vivo as an aid to protein identification in peptide mass fingerprinting. Pratt JM, Robertson DH, Gaskell SJ, Riba-Garcia I, Hubbard SJ, Sidhu K, Oliver SG, Butler P, Hayes A, Petty J, Beynon RJ Proteomics 2002 Feb ; 2(2): 157-63	38
4	Bioinformatic assessment of mass spectrometric chemical derivatisation techniques for proteome database searching. Sidhu KS, Sangvanich P, Brancia FL, Sullivan AG, Gaskell SJ, Wolkenhaue O, Oliver SG, Hubbard SJ Proteomics 2001 Nov ; 1(11): 1368-77	19
5	The Functional Genomics Experiment model (FuGE): an extensible framework for standards in functional genomics. Jones AR, Miller M, Aebersold R, Apweiler R, Ball CA, Brazma A, Degreef J, Hardy N, Hermjakob H, Hubbard SJ, Hussey P, Igra M, Jenkins H, Julian RK, Laursen K, Oliver SG, Paton NW, Sansone SA, Sarkans U, Stoeckert CJ, Taylor CF, Whetzel PL, White JA, Spellman P, Pizarro A Nat Biotechnol 2007 Oct ; 25(10): 1127-33	14

My Impact Report

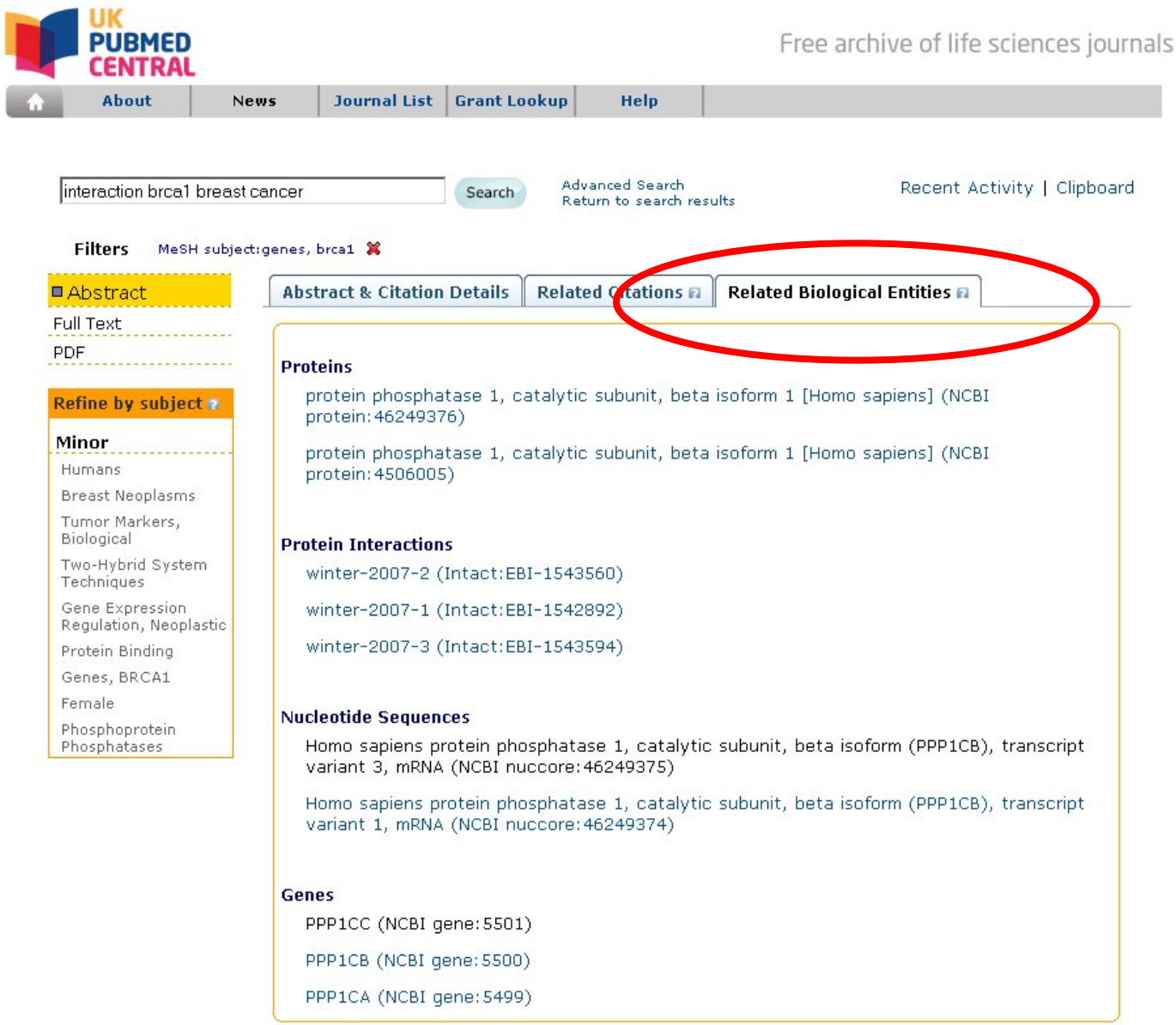


New services at UKPMC – Text mining

Biological entities highlighted in Abstract view

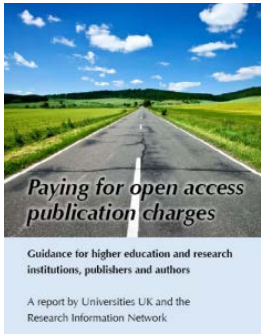
Search can be refined using MeSH

Text mining: related biological entities



Biological entities based on mining of full-text articles – not just the abstracts

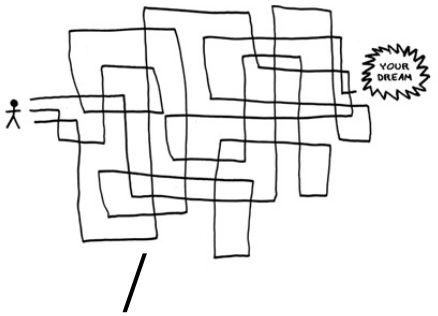
Improving mechanism to meet OA fees



- Funders
  - Clarify how financial support is provided for researchers to meet author-side payments
- Institutions
  - Appoint single, senior person to coordinate management of publication fees
  - Establish dedicated budgets to meet OA costs
    - Institutions can include publications costs within the indirect costs for grant applications (See RIN Briefing Note on Payment of Publication Fees)
- Publishers
  - Improve workflows – to make it easier to select author-side option
  - Commit to reviewing subscription costs in light of take-up of the author-pays model

See RIN/UUK "Paying for OA publication charges"

Clarifying publishers' OA policy



- Number of publishers still have no OA policy
  - Sherpa estimate that 8% of publishers have no OA policy
- Nuances of policy – bewildering to the researcher
  - No fee, no embargo – but full & immediate OA (e.g. BMJ research papers)
  - No fee, full OA, but 6 months embargo (e.g. Rockefeller Press)
  - Author-side payment – fully Wellcome compliant (e.g. Elsevier, Wiley)
  - ~~Author side payments – NOT Wellcome compliant~~
  - Self-archiving – must archive author version (e.g. AAAS)
  - Self-archiving – must archive publisher version (e.g. NEJM)
  - Self archiving – not WT compliant (embargo too long) (e.g. ASN)

Flipping the model

- Houghton and RIN studies have pointed to significant savings and benefits by moving to OA
- All players – publishers, librarians, funders and researchers – need to work together to:
  - Model transition scenarios
    - SCOAP3 project
    - OA licensing agreement (Max Planck & Springer)
  - Look at all elements in the cost chain – can they be reduced
    - e.g. Move to e-only (saving print and publication costs)
    - e.g. Consider submission fees – so that the true cost of publication can be calculated
- Trust hoping to work with RIN to help model the transition to open access

Take home messages

- OA policies and infrastructure (e.g. UKPMC) in place
  - Looking to offer UKPMC service to other European research funders
- Need to build on these developments and take action on:
  - Improving compliance
  - Implementing better mechanisms to meet author-side payments
  - Clarifying (and simplifying) publisher policy
  - Looking at how underlying publishing model can be flipped – from consumer to producer - for the benefit if all
- The full potential of OA can then begin to be realised

Further information

Web: http://www.wellcome.ac.uk/openaccess

Blog: http://ukpmc.blogspot.com

Email: openaccess@wellcome.ac.uk