

Columbia & Author Funds

Allen Press Emerging Trends Seminar

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 COLUMBIA UNIVERSITY LIBRARIES / INFORMATION SERVICES

Overview

- Background on Columbia's decision to join the Compact for Open Access Publishing Equity – faculty and library perspectives
- The Columbia Libraries budget and the ARL budget environment
- The Compact
- Transitioning the cost model – impacts for institutions and funders



OA – Gaining Traction

- Institutional mandates – Harvard, MIT, BU, most recently Duke + strong in the UK and Australia
- Public Access Policies (NIH, NCAR, MacArthur, HHMI, UK Research Councils, Wellcome Trust)
- Unresolved issue – who pays for Open Access?
Recent Outsell, JISC studies on cost models



Outsell Open Access Primer

December 2009

“...pushed by funders, open-access is, in our view, now moving from ideological debate toward a practical reworking of the workflow of science communication ...

Funders are not yet imposing [open access] pricing and opportunities remain for the publishing industry to negotiate favorable terms, provided its representatives can move past a fixation with business models based on ownership of an artifact.”



Columbia Researchers

- Above all care about publishing in quality peer-reviewed journals
- Recognize that the publishing business needs to change and that the current subscription model is unsustainable
- Express some concern about the continued viability of peer-reviewed journals – see Open Access as a potential threat to these
- May be happy to challenge large commercial publishers but are generally protective of their scholarly societies and the publication income that supports these



...more

- Some express frustration with the conservatism of promotion and tenure
- Note that they are too busy to take on issues of author rights, etc. but suggest that “the University” do this for them – lots of confusion about rights issues
- Express concern about proliferating versions of their work
- NIH Public Access Policy – well-accepted in the health sciences community



Columbia Libraries

- **Goal:** affordable, sustainable access to research
- Scholarly Communications Program 2007; Copyright Advisory Office 2008
- Last two years – education around author rights and advocacy for Open Access e.g. FRPAA legislation
- Collections budgets hurting – subscription model not sustainable

Time for change – need for action – experiments – support for transition to new business models



Columbia Collections Budget

- 1990's through FY09 +8%
- FY10 +5%
- FY 11 +2%

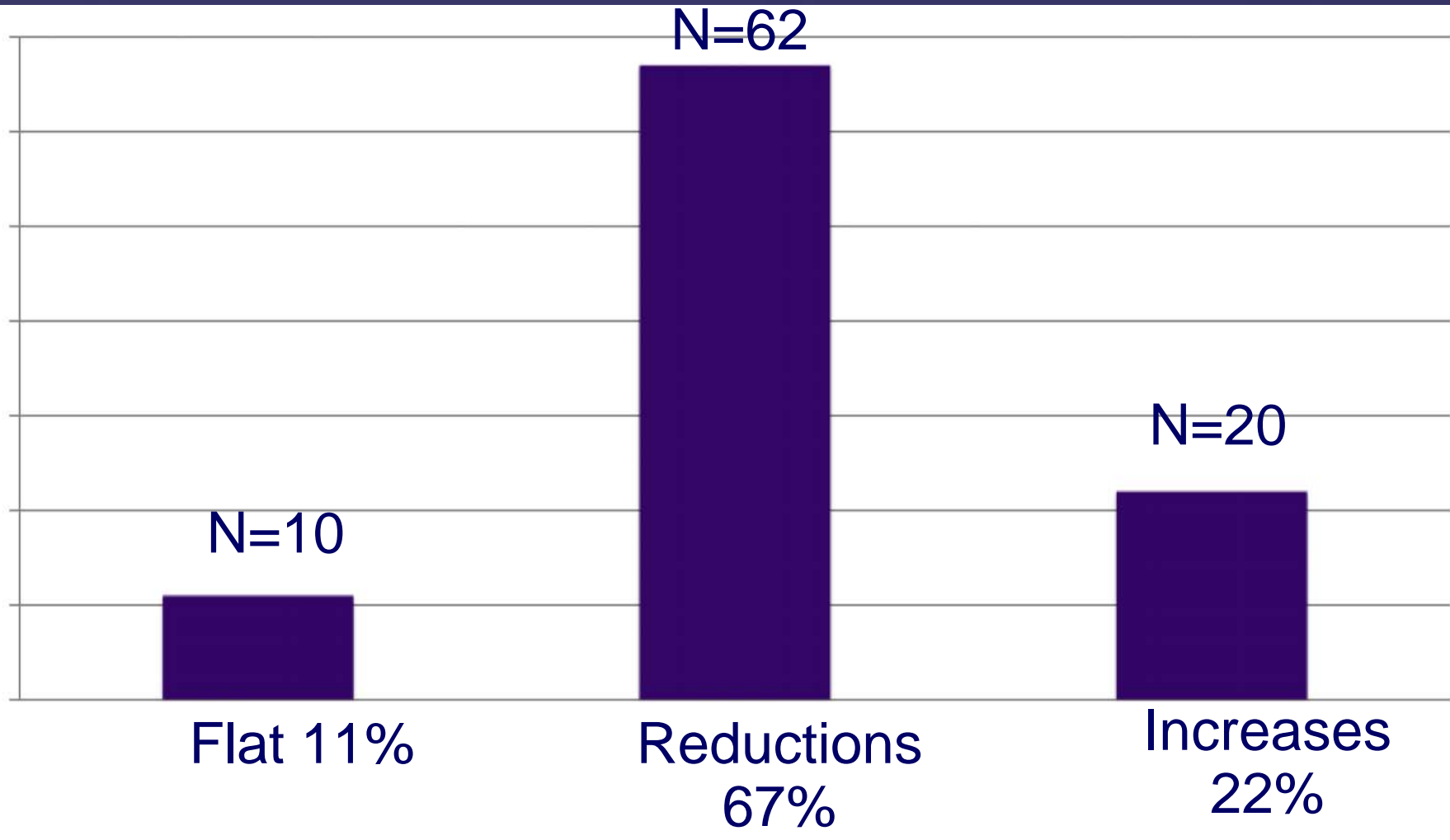
- FY 11 general income budget \$17,443,425
 - Electronic collections – 53% of total (\$9,633,809)
- FY 11 projected cost for licensed e-journals = \$7,626,531



Courtesy Charles Lowry, ARL, March 2010

Has your library budget income remained flat, had reductions or increases in FY 2009-10?

Total Responses = 92



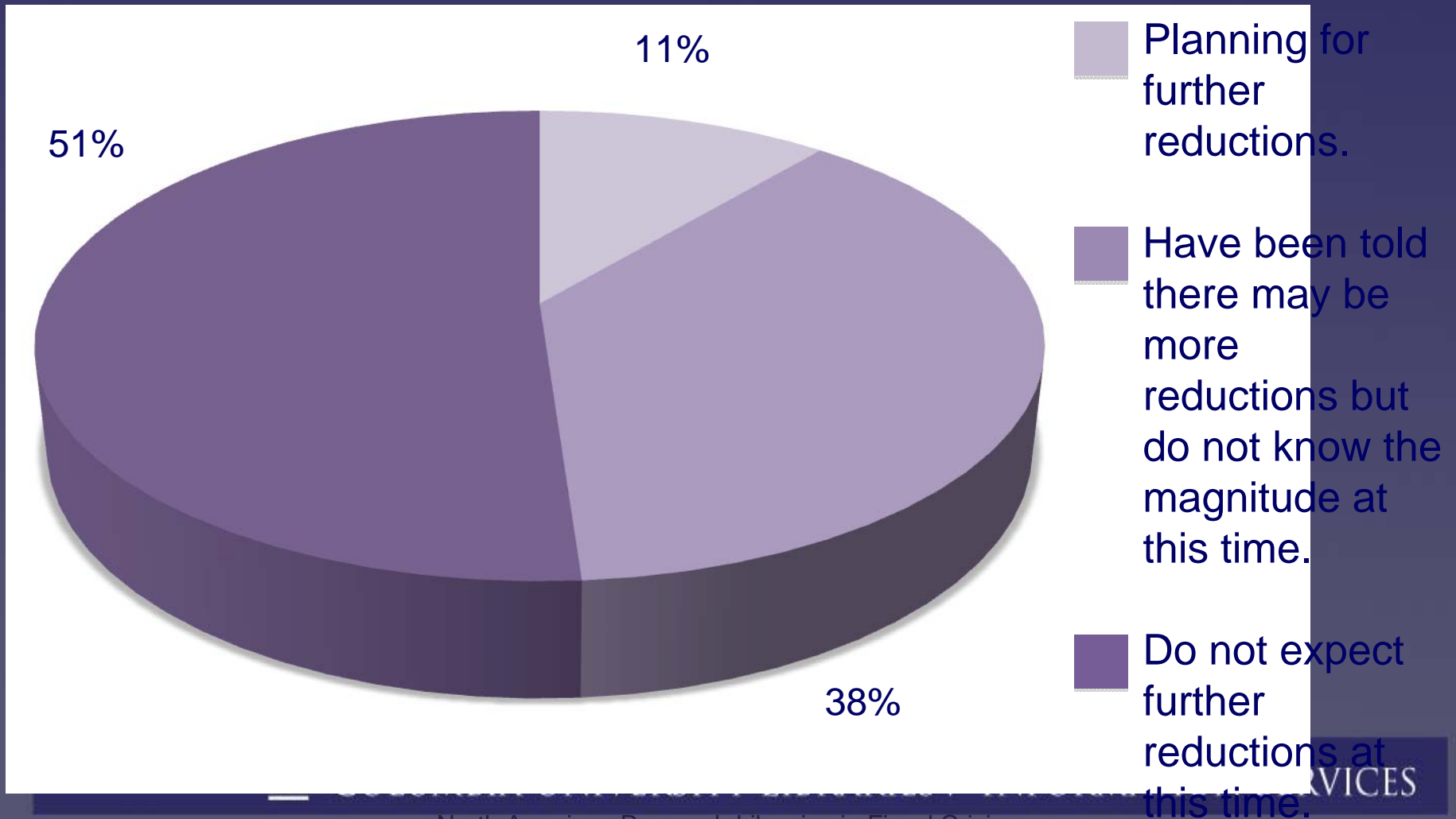
Reduction Impact on Budget Categories

Categories	2008-2009 N=49		2009-2010 N=53		Future N=72	
	N	%	N	%	N	%
Staffing and Operations	31	63%	17	32%	32	44%
Staffing, Operations and Acquisitions	18	37%	36	68%	40	56%

Courtesy Charles Lowry, ARL, March 2010

Courtesy Charles Lowry, ARL March 2010

What is your expectation for future reductions this fiscal year? Total Responses = 90



Stuart Shieber's Thesis

“open access publishing is currently at a systemic disadvantage relative to the traditional model”

Proposes:

“A simple, cost-effective remedy to this inequity that would put open-access publishing on a path to become a sustainable, efficient system, allowing the journal publishing systems to compete on a more level playing field.”

Stuart Shieber [Equity for Open-Access Publishing](#). PLoS Biology 7(8) 2009



THE COMPACT FOR OPEN-ACCESS PUBLISHING EQUITY

*We the **undersigned universities** recognize the crucial value of the services provided by **scholarly publishers**, the desirability of open access to the scholarly literature, and the need for a stable source of funding for publishers who choose to provide open access to their journals' contents. Those universities and funding agencies receiving the benefits of publisher services should recognize their collective and individual responsibility for that funding, and this recognition should be ongoing and public so that publishers can rely on it as a condition for their continuing operation.*

*Therefore, each of the **undersigned universities** commits to the **timely establishment of durable mechanisms** for **underwriting reasonable publication charges** for articles written by its **faculty** and published in **fee-based open-access journals** and for which other institutions would not be expected to provide funds. We encourage other universities and research funding agencies to join us in this commitment, to provide a sufficient and sustainable funding basis for open-access publication of the scholarly literature.*

/signed/



Characteristics of COPE Funds

- Open Access scholarly peer-reviewed journals – generally excludes hybrids
- Source of last resort, i.e. where grant support is not available
- “Reasonable” publication charges reimbursed. Institutions decide on funding caps e.g. per article, per author
- Commitments to join the Compact are made by Provosts (though may not involve provostial funding)



COPE Signers (March 2010)

- Cornell, Dartmouth, Harvard, MIT, Berkeley
(already had BRII)
- University of Ottawa
- Columbia University
- Memorial Sloan-Kettering Cancer Center



Implementation = Experimentation

- Who pays – Libraries and/or administration?
- Article caps & Author caps
- Reimbursement to author? to journal? Tax implications for students
- Who's eligible? Multiple authors – how to reimburse?
- Requirement to exhaust grant funding options first – how much information/proof required?

SPARC Campus based Open Access Funds

<http://www.arl.org/sparc/openaccess/funds/guide.shtml>



Other Open Access Author Funds - North America

- University of Calgary
- Simon Fraser University
- University of North Carolina, Chapel Hill
- University of Tennessee
- University of Wisconsin Madison

...and in Europe

- University of Nottingham, UK; Max Planck Society, Germany; ETH Zurich, Switzerland
- Deutsche Forschungsgemeinschaft (German Research Foundation)
- European Community – encouraging grantees to seek reimbursement for OA publishing costs.
- 2009 Universities UK and RIN recommendation to establish dedicated budgets for author funds



UK JISC Study

x Alma Swan Modelling Scholarly Communication Options: Costs and Benefits for Universities. Report to JISC February 2010

“Moving to Open Access as the basis for disseminating research outputs can bring economic and academic benefits for all universities, though the most research-intensive universities may face additional costs under some conditions”

In a move from subscription-based publishing to all OA with an article processing fee, all UK universities would save if the charge were 700 GBP (\$1051) per article or less.

NOTE: model assumes all costs paid by universities.



Columbia- Cost Model

- ~ 8000 Columbia-authored articles in one year
- Assume 75% are grant-funded & can use grant funds for OA article processing charges (big guess)
- 2000 OA articles subsidized by institution at av. \$1500 = \$3,000,000 (or at \$3000 per article = \$6,000,000)
- FY 11 cost for licensed e-journals = \$7,626,531
- NOTE: we don't know the % of CU authors in multi-authored papers – will impact the model considerably



Role of Funders Critical

- COPE assumes high level of funder support for article processing charges – model won't work in US without this
- UK and Europe – may be able to realign government funding at the institutional level to address inequities in article processing impacts
- US – competitive private and public universities – need to reduce the institutional impact for research-heavy institutions

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Funder Policies

Need more explicit policies from Federal funders relating to article processing charges. e.g.

- Wellcome Trust provides grantholders with additional funding, through their institutions, to cover open access charges, where appropriate, in order to meet the Trust's requirements. Deposit mandate in PubMed Central and UKPubMed Central within 6 months.
- HHMI requires that articles are freely available within 6 months of publication and will pay costs associated with this policy.

Author Funds - Issues

- Currently low take up for the COPE funds
 - At present limited number of Open Access journals that faculty consider desirable publishing venues
 - Takes a while to get the word out
 - In the health sciences grants are meeting most of the need
- So far - no institutional rush to join COPE – primarily due to concern about adding new costs during budget crunches, but also some skepticism about the concept



More Issues ...

- How much publication is post the grant period?
- How long will the pioneer institutions hang in there if other institutions don't join on?
- What's a "reasonable" publication fee? Who decides what's reasonable
- How sustainable will it be to move costs from readers to writers? Concentrates costs in high research output institutions?



Thank you



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