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Presentations from the Academy's 'Implementing Finch' Conference held on 29th and 30th November 2012 at the Royal Statistical Society in London

Programme

Day 1

Opening remarks: Professor Dame Janet Finch DBE AcSS

The Transition to Finch: the implications for the arts, humanities and social sciences
Professor Dame Lynne Brindley DBE

The Transition to Finch: the implications for individual researchers
Professor Tim Blackman AcSS and Professor Robert Dingwall AcSS

The Transition to Finch: the implications for author rights and IPR
Maureen Duffy and Professor Charlotte Waelde

The Transition to Finch: the implications for academic libraries
Jude England AcSS

Day 2

Visioning the Future for Publishing Learned Society Journals: the implications for the arts, humanities and social sciences
Dr David Green AcSS, Philip Carpenter and Ziyad Marar

The Transition to Finch: the perspective of the USA
Dr Felice J Levine

The Transition to Finch: learned societies and the uses of publisher income
Sally Hardy AcSS and Professor Stephen Bailey

The Transition to Finch: the implications for learned society business models
Dr Rita Gardner CBE

Closing remarks: Professor Martin Hall

Introduction

Professor Dame Janet Finch DBE AcSS

Dame Janet set the conference in context, congratulating the Academy for staging such an important and valuable event.

She set out the background to the report *Accessibility, Sustainability, Excellence: how to expand access to research publications.* Her working group, which included senior representatives of all the relevant constituencies, was commissioned by government, but to provide independent advice. The group was asked to advise on how access could be expanded, based on the assumption that this is a desirable objective. It was acknowledged that scholarly publication represents a complex ecosystem and that there would be no easy answers. However the government wished to see progress made as part of their transparency agenda, recognising the potential value to citizens and organisations of having access to the outcomes of research, in helping to drive economic growth and improvements in the quality of life.

She welcomed the opportunity to clarify some common misconceptions about the report's remit. First, it was confined to peer-reviewed publications arising from research and did not cover the issue of open data (the subject of a separate study by the Royal Society). Second, it covered only publicly funded research, not research funded by the private sector or conducted by independent researchers from their own resources. Publicly funded research covers both research supported by direct grant funding and that funded indirectly through salary support for research (that is, where researchers are employed by a University and have a research requirement in their contract). Third, the recommendations refer to journal articles only and not to monographs. The exclusion of the latter was necessary because most academic monographs are not yet published in electronic form, though in principle the same issues apply and will need to be tackled in the future.

The report recognises that change is already underway. The research publications ecosystem is not stable. The internet has largely brought this about, changing expectations about accessing information of all types. Already experimentation is going on, with different forms of publication and of peer review. Globally, 10% of publications are already on an 'author pays' basis, and the number is growing. Journal subscriptions are becoming unaffordable for Universities. The system is currently breaking down. Rather than just let it drift, the working group wanted to recognise change, embrace it and map out an orderly transition.

That transition would inevitably involve compromises as there are many different interests to be reconciled. The working group was seeking a practical way forward, which would not be perfect for anyone but which would be the best fit for the success criteria, and provide a solution everyone can live with.

Moving to the recommendations, Dame Janet wished to correct some misunderstandings. The main recommendation was for a mixed economy including both the 'author pays' and subscription models of publishing. The report did not recommend a rapid move to Gold open access ('author pays') and anticipated a mixed economy for the foreseeable future. However the report did recommend that the policy direction should be set towards Gold open access and envisaged the balance between the two models of publishing would shift over time. The main reason for this particular recommendation was that Gold OA is based on a different business model, which would be more sustainable in offering expanded access. It also offers greater opportunities for experimentation and innovation in publishing; some is already happening.

The transition needs to be gradual; if it is not, then the publishing system could be destabilised. It is likely that disciplines will move at different speeds, as they begin from different starting points. BioMed already has a substantial proportion of Gold OA but, in humanities and social science (HSS), Gold OA is a small fraction. It is important that HSS are not harmed by the transition and that the quality of research and publications are not undermined; however it is also important these disciplines are not left out of the change process.

Dame Janet hoped that the conference would help encourage engagement with these changes. It is important to engage at a practical level, but also not to lose the big picture whilst focusing on detail.

The Transition to Finch: the implications for humanities and social sciences

Professor Dame Lynne Brindley DBE
Member of AHRC Council and former Chief Executive, The British Library

Preamble

Thank you for invitation to speak at this very important conference

I want first of all to congratulate Dame Janet Finch and her Working Group on the tour de force which is the report, all 150 plus pages of it! In particular it is no mean feat to have got such a distinguished group together - all with very strong and divergent views - and kept the group together through thick and thin to produce such a powerful report and set of recommendations in which there is no single winner, everyone has challenges to face, changes to make, and new possibilities and risks into the future abound. No player - publisher, library, academic researcher, university, funder - is excluded or left untouched.

Your brief was to ensure sustainability through a long or very long transition: not for your group an option to lead a revolution, to overturn a complex but known scholarly communications ecology, even if you had wanted to; but to nudge for-

ward what would seem to be inexorable progress towards the goal of open access, of publicly funded research being freely accessible to all across the globe. Judging too by the enormous level of blogging, media debate, expressions of support and opposition, you have already achieved a raising of consciousness and interest in a complex and, to many, an esoteric area which no-one else has managed and the flurry of activity by publishers in planning and launching OA journals or OA routes to journals has already accelerated.

We should make no mistake - this is a seminal report and it requires serious attention and ownership of the issues and I congratulate all the attendees at this conference for having recognised this and being prepared to spend precious time in its consideration. But be warned, whilst the principles are elegantly simple, the path to implementation is complex, contestable and contested and the detail really does matter.

So what is my brief for kicking off this two day conference, with its focus on the particular implications of Finch for humanities and social science? Well, I have been asked to keep my remarks at a strategic level. I will try to set the scene, position Finch in context and pull out some of the key issues and challenges that have struck me on reading the report and associated commentary.

Other speakers will go into more detail from their perspectives as key players in the communications ecology. The advantage of speaking early is that I will pose more questions than provide answers...

Background and context

As the report says, 'the principle that the results of research that has been publicly funded should be freely accessible in the public domain is a compelling one and fundamentally unanswerable'. This principle seems to me to be one that cannot and should not be gainsaid, but the complexities of the now and the how of transition to a more open future, in a way which does not implode the system, is a pretty difficult challenge.

Additional arguments used in favour of more open access include the fact that the more open the access, the faster the research dissemination and therefore research progress, productivity and knowledge transfer. Widespread global access - and of course the system is international, with the UK being only a small, but influential player (we punch above our weight in both research outputs and the strength of our publishing industry) - means that with the creation of a more level playing field for access the dependency on whether a library can afford to subscribe to a particular journal or whether a researcher or a member of the public has the personal means to access research findings goes away. Less ideologically, some argue that it is the exponential price rises of STEM journals that have essentially made the status quo ante untenable.

The Finch report does not of course sit in isolation. There are at least six recently published, relevant and linked reports that are part of the growing traction of open access.

1. The Finch Report
2. Several reports and recommendations coming out of the European Commission, particularly through Neelie Kroes, Vice President of the CE, responsible for the digital agenda and a strong advocate for making OA a reality for publishing research results and associated data. All research under **Horizon 2020** will be mandated to be open access, whether by Green or Gold routes, with an apparent preference for the Green route (I will return to the differences between Green and Gold, as Finch has come out strongly in favour of the Gold route).
3. The Hargreaves Review of intellectual property and copyright - recommendations from which have been responded to by Government and which are moving through different legislative routes to implementation, at least of the less contentious recommendations
4. Royal Society report on Science as an Open Enterprise (with a focus on data)
5. Amendments to the ECs public sector information directive
6. UK Government's open data White Paper, which recommended a Research Transparency Sector Board to lead and take forward issues of access to research data.

With all this direct and related interest the tide towards making content and data of all types open, accessible, and reuseable with the minimum of fuss and conditions set, are all part and parcel of building a transparency and innovation agenda, which touches the academy but has much wider significance of accountability, for societal and economic benefit, for research, innovation and commercial exploitation.

Main recommendations of the report

In essence the report endorses moves towards more open publishing and recommends strongly a policy direction in the UK towards support for 'Gold' open access publishing, where publishers receive their revenues from authors rather than readers, and so research articles become freely accessible to everyone immediately upon publication, with a minimum of conditions attached.

Let me digress a moment into a mini tutorial on different colours of open access.

Gold = where publishers receive their revenues from authors rather than readers, so that research articles become freely accessible upon publication. The author (institution, research funder, other pays) and terms and conditions around reuse are minimal (attribution only?). Some journals are **Gold only**; others are **hybrid** (ie the author chooses and journals are mixed attribution, the balance in principle affecting the subscription price: the more are APC funded, the lower the subscription rate). But, for many advocates of open, the **Green OA** route is the only true open route. The Green route in the report is where articles in post-print versions are made available in an institutional or subject repository subject only to specified **embargo periods**, depending on publisher and research funder policies. There is vociferous disappointment in some quarters that not more attention and support has been given for **Green OA** based on subject and institutional repositories, with **no embargo** attached, ie the pure or radical position, depending on your viewpoint.

This leads to a **second key concept**: the article processing or publishing charges **(APCs)** associated with Gold open access. In other words the costs (and profits) associated with publication are shifted away from subscription/reader pays, upstream to authors and funding bodies - whether via institutions such as universities, or research councils through their research and publication grants.

Gold and APCs sit alongside Research Councils and RCUK **new open access policies and mandates** specifying conditions attaching to research that is funded by the Councils. Research funders are equally interested in ensuring wide accessibility of research findings with as few restrictions as possible, and also have an interest in bearing down on costs associated with publication. It is anticipated that the ground-rules for publication after the current REF, for REF 2020, will reflect this shift, and in themselves will be a powerful catalyst for future change.

It is important to become familiar with the overall **RCUK policy on open access**: from 1 April 2013 peer reviewed research papers which result from research that is wholly or partially funded by the Research Councils must be published in journals which are compliant with the Research Council policy on open access and must include details of the funding that supported the research, and a statement on how the underlying research materials such as data, samples or models can be accessed. The policy recommends an APC model accompanied by a mandated use of the Creative Commons attribution license (CC-BY) when an APC is levied, which allows others to modify, build upon and/or distribute the licensed work (including for commercial purposes) as long as the original author is credited.

If a pay-to-publish option is not used then a deposit in a subject or institutional repository after a mandated maximum embargo period is an alternative. The embargo period is six months by default for Research Councils UK and Wellcome Trust, with the ESRC and the AHRC being exempt from the six month rule, which for these disciplines will be extended to twelve months in the first instance, to give them time to adjust. It is argued that humanities and social science journals are often smaller than physical science publications, and so less prepared for open access changes, although publishers here at the conference are at the forefront of more open publishing.

There are many sub-complexities of all this. But Gold/Green, embargo periods and APCs (article processing charges) are core concepts to keep hold of.

Humanities and Social Science

Some of you by now may be asking so what exactly has this got to do with me, and what does it mean for humanities and social science, for disciplines and sub-disciplines which range from theology to economics? One concern is that the frame of reference of the report is essentially that of STM publishing.....you all have to be vigilant not to be passively swept along in what might be the wrong game as one size definitely does not fit all.

It is undoubtedly true and recognised explicitly in the Finch report that the **focus is primarily on journal articles**, since they 'constitute in volume and importance the major published outputs for researchers in the great majority of disciplines'. In the scoping chapter there is recognition that monographs and edited collections of essays are of course particularly important in the humanities and some areas of the social sciences, but they scarcely feature at all as key outputs of research in the life and physical sciences. It is suggested that moves towards digital and open access publishing have been much slower here than with journal articles and experimentation is at a much earlier stage. I think this is evidentially true.

There is reference made in the report to that wonderful category of material called '**grey literature'** - that range of documents from conference proceedings, through formal and policy reports, pamphlets, working papers, and other ephemera, that always seemed difficult to catalogue, difficult to find and impossible to organise, and I may say are now even more transitory through their often temporary appearance on a website (with no hard copy), often hidden within badly designed websites and cumbersome interfaces. This separate category of publications does not fit the model, but remains very important within Social Sciences and Humanities.

The report also recognises the significance of, and the demise of the research monograph in our disciplines and it recognises the long term decline of library book budgets, a situation exacerbated by the exponential rise in the cost of STEM journal subscriptions, particularly those emanating from the major commercial publishers, such as Wiley, Elsevier, Springer, and others. The percentage spent by libraries on monographs compared with journal deals is somewhere around 30:70 at best. Indeed the research monograph can be argued to be in terminal crisis, and smaller university presses, traditional supporters of book publishing are struggling.

The brief coverage and conclusion on books is that relatively few research monographs are yet available online and there has been little progress towards open access book publishing; pilots and experiments are mostly at early stages. Of note are the EU-funded OAPEN project which seeks to pilot a model for academic books (but this is only a research project), and more interestingly there is an emerging new model from Frances Pinter, who has a long track record in innovative publishing in the social sciences, under the label of **Knowledge Unlatched**. This is for a library consortial, first copy production cost model whereby publishers are paid a title fee from libraries and in return the publishers produce OA monographs (e or print) and sell at discounted rates back to libraries. The important general point is that, absent from Finch, we need to be rethinking models for the research monograph, experimenting and developing options creatively across the not-for-profit and commercial spectrum.

But, this deliberate focus on STEM and the virtual exclusion of consideration of the research monograph **does not mean that the humanities and social sciences can sit back and ignore the Finch report: far from it! Understanding and engagement with particular disciplinary requirements and national policies will be critical.**

Firstly a number of our disciplines do publish significantly in journals and also heavily rely on **data** based methods; so there is a core interest in the emerging shift to open and towards an 'author pays' rather than a 'reader pays' model.

Secondly, given that change and change in policy is implied for all actors in the scholarly communications chain: researchers, universities, research libraries, learned societies, publishers, research councils, including the AHRC and the ESRC, it is fundamentally important that the voice of the academy, of researchers in our disciplines, is represented cogently and positively in shaping the next stages of the debate and in the steps towards implementation. This conference is an excellent step.

Thirdly, research monographs must be included as part of the wider debate, as must the future of the peer review process for such outputs (as part of a wider debate about the future nature of quality peer review methods overall).

Some key challenges of transition and implementation....and questions

Challenge 1: The Institutional Publication Fund

I have talked already about APCs (article processing or publishing charges). The Research Councils propose to channel funding for APCs through institutions, mostly universities, with a recommendation that these funds should be earmarked in an **Institutional Publication Fund**.

Look carefully at the way in which the £10m windfall announced by David Willetts has been distributed: it is to 'kick start' the 30 most research intensive higher education institutions to take the first essential steps towards fully open access publication, based on Gold and APCs. 'Kick start' is a good description, not least because it is recognised that annual costs to research intensive universities are likely to far exceed this one-off amount. In the past week the Research Councils have announced their block grant approach to support OA publishing, indicative over five years. There is already significant criticism: some for example query the logic of the allocation method - proportional to how much the institution has charged Research Councils in direct labour costs over the past three years. Some argue this penalises highly productive areas and low cost disciplines. I am sure that dissatisfaction will grow.

As researchers and academics it would seem to me **critical that you engage with the mechanisms and processes that institutions put in place** to administer this Institutional Publication Fund, not least to ensure that the needs of humanities and social science researchers are taken into full consideration. Some of the questions that come to mind are:

- How will the mechanics for allocation work within individual universities?
- Will the funding be rationed, in which case who will decide between Green and Gold options?
- What will the relationship be between individual researchers and the university? To be provocative, one might argue that there is more trust between a researcher and her publisher than between a researcher and her university acting as gatekeeper of the publication fund, particularly as it is not obvious where all the necessary funds will come from?
- Will the job be given to the Research Office?
- How transparent will the process be?
- How will academic freedom and freedom of choice be preserved?
- How can the risks of distortion in allocations, of favouring some disciplines against others be avoided?
- What happens if the best journal for you to publish in is a non-UK one?
- What about multi-authored papers with an international array of contributors?
- What happens when the demand for APCs outstrips funds available? Will the Library budget be raided to pay for high price APCs, which range from £500- £5-8000) and what might that mean for the book budget, already much depleted by the high price of STM journal subscriptions?
- How will early stage researchers be protected and enabled to publish?
- How will retired academics, non-affiliated researchers and independent scholars fund publication?
- What about all that valuable material that is part of journal publishing which does not attract page charges, how will that be paid for? - review articles, book reviews, etc.

Also, there is a shared concern across all researchers and Research Councils that research funding is already stretched in all disciplines and that having to dip into the research budgets for publishing is an unattractive model both for them and for individual research intensive universities.

I don't intend to delve into the overall economics behind the move to open - much of it is speculative. But it is clear that libraries, Research Councils, bodies negotiating the big deals, and researchers themselves will need to demand much more transparency about APCs, publisher costs, profits, and value, to ensure a continuing challenge to the highest APC charges, to, as Finch hopes, 'grind down' on excessive charges. It remains to be seen how easy this will be, given that the journal market is to say the least an imperfect one, given the lack of direct substitutional value of journals one with another and the critical importance researchers, the REF and other funders place on quality and impact. Much will also depend on how long the 'transition' lasts and whether other countries follow suit in their mandates.

Challenge 2: Learned societies

And this brings me to learned societies. The Finch Report is explicit in its concern about the future of learned societies, their continuing survival and health, recognising the important role they play in academic engagement, conferences and of course publishing. The traditional models of learned societies (which in many cases are only responsible for one journal) has been that any surplus on journal publishing subsidises a range of scholarly activities and, if the subscription model goes, then what happens to the rest of the valuable and valued activities of the society?

This is not a new issue, but it is brought to the fore by the momentum of the Finch report. I suspect that most of the academics in the audience have affiliations to a relevant learned society for your discipline or profession - and have benefitted from discounts on quality journals in your areas. You will need to ensure dialogue and engagement with them (and others) as they adjust their publishing business models in the open world. They will be concerned that any shift towards open will adversely affect their overall income and early please are for adequate time to make adjustments to avoid unintended consequences.

Challenge 3: Major STM commercial publishers

I want to mention the **big commercial publishers** only in passing - the big beasts of the STEM world - Elsevier, Springer, Wiley, Kluwer, etc. They can and do look after and defend themselves and their profits. They have many critics in academia who feel that the Finch report hands these major publishers complete victory on a plate, without challenging their excessive profits, their lack of any transparency on costs and value, and their extremely expensive APC charges. To be

handed an APC-based model, whereby your income comes up -front, does not depend on levels of sales, and is operating in an imperfect market, understandably seems to many to be a defeat for the true advocates of fully Green open access, whereby the technology enables publishers to be bypassed completely, via institutional and subject repositories.

However, we should recognise that a significant number of major publishers already offer OA options; that their continuing investment in service innovation is impressive, and they continue to engage in big deal and licence negotiations which have benefitted academic access to journals. I would only wish today to draw attention to the challenge of what is called **'double dipping'**, the situation of **hybrid journals** (journal titles funded by a combination of subscription and APC charges), whereby subscription payments ought to go down significantly as APC submissions increase. Clearly, without much more transparency, it is difficult to avoid suspicion that payments are being made twice. To be fair, Elsevier, for example has published information on its policy, arguing that as yet the uptake of sponsored open access in subscription journals remains small and thus so far has a very small impact on journal list prices. However, this all points to the need for vigilance and greater clarity and transparency from all publishers on their cost and value proposition and from the other side more coordination in negotiations to ensure appropriate discounts for UK institutions.

Challenge 4: Libraries

You will expect me to reflect briefly on the implications for libraries. There are both opportunities and threats and the voice of humanities and social science scholars, many of whom rely not only on e-access but also on more traditional library resources, need to be heard as part of the competing voices for library and information resources. Academic libraries have long played a critical role in licence negotiations and the development of the big deal, working with JISC and other agents. In some institutions libraries are the keepers of institutional repositories, supporting preparations for REF 2014. There are some questions however of how sustainable IRs will be in the new environment and what exactly their role should be, beyond stewardship of an institution's outputs and providing a show window for them.

Potential opportunities include the development of services to support the university publication fund process, on the status of journals, impact factors, charge sheets (comparative APC charges where there is a choice of quality journal), and generally supporting academics and the Research Office in monitoring, intelligence gathering and managing this complex future. Dangers include the obvious source of funds represented by the acquisitions and content licensing budget which universities may wish to raid to pay for APCs, on the assumption that deals and subscription costs will drop significantly. Certainly I would hope that Social Science and Humanities scholars will have a particular role in that set of arguments, to ensure that their needs, beyond the journal, can be catered for by the Library.

I am not sure either whether sufficient attention has yet been paid to how all this mishmash of materials will be easily discoverable. How will you know with a hybrid journal what conditions apply to what article, what embargo period pertains, and what the copyright conditions are? We may be heading towards **metadata confusion** and certainly it is not clear that we have agreed apparatus or standards to fully describe the status of each article and its access conditions, nor agreed roles and appropriate leadership to deal with it together.

A final point on libraries: I was delighted that there is agreement with publishers that walk-in users of public libraries across the UK will have access to the great majority of journals and articles available in the UK, at no additional cost to the system. This will enhance their service offering and more importantly give citizens rightful free and ready access to the fruits of research that their taxes have funded, supporting the intellectually curious and the citizen scholars and experts who are unattached to universities and research institutions.

Challenge 5: Data

The complex issues of data have been addressed by the Royal Society report and are therefore not central in the Finch report. However there is a strong thrust with Gold OA to ensure that data, as well as the journal article, is made freely available for re-use and further manipulation in a variety of settings, and that repurposing of data is enabled with the minimum of conditions imposed. That is the fundamental importance of a CC-BY licence. However, what is less clear to me from Finch is the position on text mining, which in the context of the Hargreaves report on copyright, has met resistance from publishers, in attempts to open up journal and book texts for large scale analysis and manipulation, using new research methods and techniques. Whatever is the case, it will be important for humanities and social science scholars to engage very actively with the data aspects of open access, given particularly the enormous experience of social scientists with data curation and challenges, and the enormous potential for all our disciplines for future text and data mining opportunities. This is not just an issue to be left to big science.

Challenge 6: Implementation

My final remarks pertain to implementation, or rather the lack in the Finch Report of an implementation plan, or even a road map for the next steps. This is disappointing especially given the impetus created by the Report and the Government's seed-corn funding for APCs. That the ecology is complex, and growing even more so, is I hope evident from this initial overview. That so many stakeholders and players need to be part of the implementation means that an implementation plan, unless we want the Report simply to go into a black hole, or we want a fragmented range of uncoordinated initiatives, is not an extra: it is essential. I would urge all parties involved to attend to this, for example by getting the Research Information Network, (which provided exemplary support to the review itself) to work as an honest broker, bringing players together to coordinate a coherent programme of work and a roadmap for the short/medium term. There are already signs of fragmented initiatives.

I have just skimmed the surface of the issues in this opening talk - there are many more issues for debate, but I hope that it has provided some food for thought and deeper understanding, and poses some challenges specific to the humanities and social sciences which need our strategic thinking and action.

The Transition to Finch - the implications for individual researchers (1)

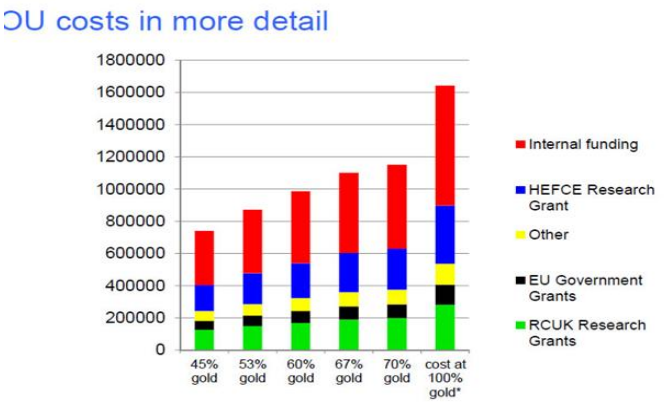
Professor Tim Blackman AcSS
Pro Vice Chancellor (Research, Scholarship and Quality), The Open University

I am going to look at the current situation from the perspective of The Open University. The Open University has open access running through its bloodstream.

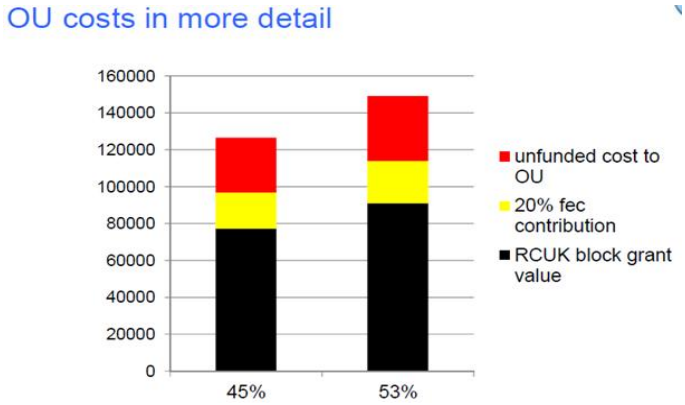
- It provides free, open learning resources online and for downloads by millions of people every year
- it has an open access repository for research publications with around 20,000 freely available; 19% have the full text available immediately, rising to 40% post-embargo (this compares well to other repositories where full text can be as low as 2%)
- We take education to where people are, using YouTube, iTunes, podcasts, and delivery even to mobile phones, as well as eBooks. The Open University are leaders in innovation
- Worldwide repository searching – from our own open access portal we enable anyone to search OA repositories globally. This innovation includes analytics, a recommender function and a mobile phone app.
- The OU works closely with the BBC - Frozen Planet for instance was watched by 20 million TV viewers.

Quality is not compromised and research is central to the University's mission - it is not just about teaching. The University also engages with the public as researchers through e.g. our Evolution MegaLab and iSpot web sites, which engage the public as citizen scientists.

The cost of mandated OA publication is high and, as the university's income is predominantly from teaching, it is not receiving any of the £30m pump-priming funding from government. The OU is committed to investing in its open research repository, but Gold OA publishing also costs money. In 2013-14 the university will receive £77,000 from RCUK, which is short of the cost of implementing its OA mandate. Many questions remain. In the transition period, will journal subscriptions decline substantially? Why should UK subscribers pay as high a subscription as overseas? 90% of journal subscriptions at the OU are non-UK journals.



The OU's initial approach is to pay Gold Author Processing Charges from a demand-led budget, with no rationing but a review of affordability in due course. But there is concern about the costs as these are unknown. This graph shows some modelling of costs. Much research at the Open University is funded from internal resources. The graph assumes that the publications associated with a particular funder are in proportion to the funding received.



The second graph (above) projects the 2013/14 and 2014/15 levels of RCUK funding for OA publication. £77,000 will cover around 61% of cost of the 45% Gold mandate - so there is a funding gap, even beyond the 20% FEC contribution. Is this to be met from student fees?

Monographs are also a major gap. The Open University has published eBooks - some are offered free, some cost £4.99. The University is looking at publishing research monographs this way too. It could be a great way of publishing research: eBooks, for example, can be interactive, with embedded audio, video etc. It is part of the 'Finch' agenda to encourage innovation like this.

The main issues for HEIs are:

- There is an awareness problem with academics and the funder rules are complicated
- There is a funding gap
- The cost of maintaining and storing data
- Cost/benefit as the average citation for an academic article is less than 1
- Intellectual Property in research data
- REF open access demands
- International - probably only the richer countries will follow the Gold route
- Questions surrounding multi-author papers with overseas authors
- Rationing of funds and the associated transaction costs: deciding who gets what, when and the necessary appeals procedure etc

There is a preoccupation with the Green/Gold agenda, but there are other agendas too such as the transformative effect of Web 2.0 and social networking. There may be disruptive innovations around the corner that totally change the agenda. The OU is investing in Massive Open Online Courses: free, with peer tutoring in self-supportive social networks and student feedback. This may change the Higher Education landscape. Will we see a similar transformation in research - moving from expert peer review to crowd sourcing?

The Transition to Finch: the implications for individual researchers (2)

Professor Robert Dingwall AcSS, Dingwall Enterprises

I have a good deal of sympathy for Janet Finch. Her Working Group's terms of reference were restricted to the implementation of a poorly-thought out policy. Should she approach them as a vice-chancellor or as a leading sociologist? Should she stick to the brief or should she use her skills as a sociologist to point to the likely unintended consequences? Sociologists are particularly good at this, although they usually suffer the fate of Cassandra - makers of true prophecies not to be believed. It is important to note that this is decided policy – it is naïve to think there is still scope for negotiation on the principles.

Open access publishing has been the subject of limited consultation with stakeholders. **We would all agree that wider access to research findings is a desirable goal, but a particular model has been imposed**. We need to challenge biomedical imperialism in research policy – including ethical regulation, research integrity and open access. Biomedical journals are only fit for wrapping chips within a few months. This is why Green OA is not a sustainable model for humanities and social sciences and (HSS) – because of the enduring value of papers. Copyright is of little value to our biomedical colleagues compared with patents, so it can be freely dispensed. Why aren't we challenging this? Some part of this is down to the move towards the managed university, which has been less critically assessed in the UK than in the USA.

Open access hands vice-chancellors a powerful set of tools to secure compliant academics.

Why am I critical of something that would seem to benefit independent scholars like me? I have three concerns:-

1. No-one is actually guaranteeing me any rights as an author
2. People are expropriating my Intellectual Property Rights (IPR)
3. As a citizen, people are reducing the likelihood of producing the innovations that are going to make my country a dynamic and prosperous place to live in.

There is an additional concern that this will spill over into Open Data without adequate thought for human subjects protection.

'Open access' for readers is 'restricted access' for authors.

Remember that OA is not just about journals but is also envisaged to cover monographs by the next REF.

The Finch Report says virtually nothing about the contribution of independent scholars, which is significant in some areas of HSS. It merely expresses the pious hope that journals will be nice to them:

> 'Third, all players in the research communications landscape will have to work together to establish policies and arrangements for dealing with publications by researchers with no institutional affiliation, and no sources of funds from which to meet APCs. This is likely to be a particular issue in areas of the social sciences and humanities where the tradition of the independent scholar remains strong.' (p.71)

Independents are to be objects of charity rather than people with the right to compete on equal terms for access to space. *Nobody but a beggar chooses to depend chiefly upon the benevolence of his fellow-citizens* (Adam Smith). Inevitably, editors will have to ask questions about the implications for journal finances.

In this respect, independents are a proxy for all unfunded scholars in HSS – many graduate students, postdocs, associates, emeriti, casuals – the large number of people who work on the fringe of the academic system. A cheap shot, but would Einstein have got published under OA as a patent clerk without a university affiliation?

The result is an inevitable restriction in the range of voices that gain access to scholarly publication:

> Some people say there are too many papers. There is no obvious case for a university to fund more than one publication per year to meet REF expectations. Which of yours would you give up? How would I choose 40 out of the 106 on my CV since I started my PhD in 1971? Who chooses? By what criteria? Can we know in advance which papers will be most influential or should we just encourage free access for authors and leave readers to decide from a diversity of ideas?
>
> Garage biology. This is also an issue for some areas of science. Really exciting (and dangerous) things are happening outside the academy as people work with low-cost equipment and materials. Do we want to shut these voices out of journals?

I used to think that government departments were generally in favour of sustaining property rights unless proper legal processes were followed for abrogating them and appropriately compensating the owners. We see this in the support from BIS for legal and other actions to prevent internet piracy of films, music and other creative works. In this case, BIS could actually be considered to be instigating internet piracy. As a content creator, I find that my IPR is being confiscated by an arbitrary administrative action. In theory, I might have some legal remedies but any sociologist of law will tell you there is a big gap between a theoretical remedy and having the resources to pursue it. I also used to think of university librarians as honourable men and women who went to great lengths to ensure that we all filled in copyright forms before Xeroxing anything so that the creator of the work could be properly recognized and rewarded. Now they seem to be cheerleaders for ripping off content creators.

- The economic value of the content I create is not large – but it is real and for some individuals both inside and

outside HEIs it is likely to be significant. Paradoxically, the more impact an HSS scholar achieves, the more likely it is that their publications will have an economic value. The Finch Group was not allowed to consider this, but I have seen no published estimate of the economic losses that will accrue to authors as a result of open access.

- In some ways more troubling is the loss of control under the proposed CC-BY licencing arrangements. This will allow any re-use in any mashed-up form, provided the original creator is acknowledged. See my blog at http://www.socialsciencespace.com/2012/10/why-open-access-is-good-news-for-neo-nazis/

- Open access is likely to drive a wedge between scholarship and impact. If I am a historian writing a major political biography, for example, will I want to publish this under OA to get it into the REF or will I retain the rights and take it outside? HSS has a fuzzy boundary between trade and academic publishing. This will sharpen it – do we really want this?

- Also note the passages in Finch about changing academic writing to be more accessible to non-specialist readers. Do we want academic journals to compete with trade magazines? Doesn't this misunderstand what a journal is about?

Academic publishing is a highly evolved ecosystem that has sustained innovation over the last 350 years.

- OA is likely to promote the 'Matthew Effect' (Robert Merton and 'For unto every one that hath shall be given, and he shall have abundance: but from him that hath not shall be taken even that which he hath' Matt 25:29) – voices will be restricted to established professional academics working in research-intensive universities. Anyone can read but only a few can speak.

- Within organizations, there will inevitably be processes to ration the allocation of APC funds in line with university or department strategies. It will be difficult to publish original and interdisciplinary work that does not fit REF metrics. Would Watson and Crick have got published – because the double helix was not in their research plans? Is this the replacement of competition by central planning?

- Less diversity = less innovation. It is entrenching conservatism and stagnation. We make our work freely available but have nothing worth reading.

This is not the place for a detailed critique of managed universities but a degree of chaos and slack resources are well-documented as the facilitating conditions for innovation. This is a very close cousin of deviance.

As an individual, what do I want or plan to do?

- I want more evidence about who wants OA? What exactly do they want? Are there better ways of meeting their needs? There is evidence from an Institution of Occupational Safety and Health research programme that SMEs lack the absorptive capacity to use science journals and depend on intermediaries. That probably won't change. Is it the same for HSS work? Is this just another way to subsidize big organizations that could afford to pay a proper fee to content creators?

- I would like to see general adoption by HSS publishers and title owners of the CC-BY-NC-ND licence, which would at least try to constrain the commercial exploitation of my IPR and the inappropriate mashing-up of my work.

- I may find that I am driven to publishing more in academic journals based outside the UK – not being required to be part of the REF process. Who benefits from this?

- I am inclined to think that I may aim to self-publish monographs as giving better protection to IPR and royalties. This is a more general issue about what UK academic publishers want to publish, though. Textbooks will be outside OA anyway, although managed publication may compound the disincentives for writing them.

Also, as the editor of a journal owned by a US learned society, I am pleased that the UK government is effectively offering us a free gift every time I publish a UK paper, but I see no reason to cut our subscription rate because UK HEIs are a very small proportion of our subscriber base.

As a leading sociologist, I am sure that Janet Finch would have liked to make many of these observations – but was precluded by her terms of reference. We sociologists are experts in thinking about social systems and the unintended consequences of well-meant changes. It is hard to see OA as anything other than rather bad news for HSS scholarship – a future where a handful of scholars in well-endowed universities write dumbed-down papers which are freely available but have nothing to say. Meanwhile, those of us who work independently increasingly disconnect from this system and vanish from its performance indicators.

The Transition to Finch - the implications for REF 2020

Paul Hubbard, Head of Research Policy, HEFCE

Many business models have been destroyed by the internet such as second-hand bookshops, telegrams, catalogue stores - and (maybe) print journals. Which will rise from the ashes stronger? Academic publishing is at a crossroads. Printed learned journals were important in the print age; now we are left simply with the brand. Brands and badges are vulnerable as they can be attached to online journals without subscription.

The policy background

HEFCE Policy is that 'research is a process of investigation leading to new insights effectively shared'. Consequently, dissemination is integral to research, not an add-on. Ensuring that findings are disseminated is the responsibility of all those undertaking and managing research

Prompt and effective dissemination of research findings has benefits including

- Improving the efficiency of the research process: researchers have easy immediate access to their colleagues' findings; and findings are exposed to productive scrutiny, challenge and debate
- Improving the impact of research findings: actual and potential research 'users' can see what work has been done that they might find helpful and who did it
- Encouraging public support for science: the public who paid for the research can see that their investment is well used to fund robust, timely investigation and what came of this

Some trends to note:

Some interesting recent and current developments:

- Major research funders are mandating OA publication: UK research councils, Wellcome, EU (FP7), NIHR (US)
- FRS-FNRS in Belgium requires deposit in a repository of material cited in grant applications
- The growth in online OA journals
- Experiments with online peer review
- Experiments with online publication of monographs, of book chapters (Intech)
- Continuing growth in institutional repositories

HEFCE is keen on university repositories as they have good sustainability. This cements the notion that the research community should look after research. I expect to see a higher proportion of research in repositories.

Researchers should ask themselves:

- What have I found?
- Who might benefit from knowing?
- What is the best way to tell them? Is this the final statement or a contribution? What are the available media in which I could publish and what is a fair price to get this done? I hope researchers will take more responsibility for the cost of publishing. There have not been effective mechanisms in the past for bringing down costs: library budgets can't be used like that. Some researchers should perhaps publish less frequently.

Why now?

The Minister has requested the review and the UK has been at the forefront of the internet for years e.g. JISC. 'Removing paywalls that surround taxpayer funded research will have real economic and social benefits. It will allow academics and businesses to develop and commercialise their research more easily and herald a new era of academic discovery. This development will provide exciting new opportunities and keep the UK at the forefront of global research to drive innovation and growth.' David Willetts, July 2013

What is HEFCE doing?

HEFCE welcomes the Secretary of State's response to the report of the Working Group on Expanding Access, which establishes a clear policy direction for the dissemination of publicly funded research findings. We will continue to press forward with our work in this area within the framework set out in the response.

As a first step, we would like to make clear that institutions can use the funds provided through our research grant to contribute towards the costs of more accessible forms of publication, alongside funding from other sources.

The second paragraph here gives a clear steer. HEFCE is paying a block grant and is going to look to you to fund the transition from this money. There is no more money and we are not persuaded to change the basis of funding.

The Council intends to consult the higher education sector on how to implement a requirement that research outputs submitted to any future Research Excellence Framework (REF) should be as widely accessible as possible at the time. This would not affect the current REF due to complete in 2014.

The Research Excellence Framework (REF) is:

- A high profile national process for research quality assessment and assurance
- A means of identifying the very best research produced in the UK over a period
- A valuable tool for influencing the behaviour of researchers and research managers

As a block funder, HEFCE contributes to supporting most of the research carried out within HE. However, the REF homes in on high quality, ground breaking research and is an available tool to influence behaviour; this is why we are looking to use the REF to encourage a move to OA.

Open access in REF 2020

The principle:

Work submitted for assessment in any REF exercise after 2014 shall be as freely available as may be possible and reasonable to require at the time:

- Having regard to practical constraints (publishing timescales against date of full announcement)
- Having full regard to the policies and requirements of other research funders at the time (the 'full going rate')

Open Access Publishing

HEFCE proposes to march in step with Wellcome, RCUK and NIHR. It won't expect less – nor much more. It is likely that the requirement will be expressed in terms of work published or submitted for publication after a date. It will probably say work needs to be 'born OA' - which in this context would mean that it was first published in a form meeting the requirements of those other funders ('born Gold' or with an acceptable embargo period). Initially this will apply to journals and conference proceedings only.

Some issues to resolve:

- Which formats: journals and conference proceedings plus?
- What level of open access: embargo periods
- Which version of the text?
- Available where? (institutional repositories)
- Timing, phasing and allowing due time for compliance
- Monitoring/verification

The content of the published version must be the proper text. It may be pdf or other format, but HEFCE is taking advice on this. Where? In an institutional repository or somewhere capable of being accessed via an institutional repository. Time will be allowed. There will be a need for some monitoring or verification ensuring that the right version is available on the website.

We now propose:

- To move in concert with the other UK HE funding bodies, and other research funders, as far as possible
- Early informal consultation on issues to be addressed
- More formal consultation in early 2013
- Clear timely announcement of requirements for the next REF
- This has no implications for REF 2014

Finally, may I remind you that we do not count journal impact factors in the REF and have no plans to do so.

The Transition to Finch: the implications for author rights and IPR (1)

Maureen Duffy, Author and President of Honour, British Copyright Council

It will be no surprise to some of you here to hear that I have grave reservations about the implementation, or should I say the imposition, of the Finch proposals in the area of the Arts and Humanities because of the implications for authors and their rights.

Copyright as many of you will know is under attack from many quarters. It is currently regarded not as *Droit d'Auteur*, author's right in the UK, but as a property right. Property may be bought and sold, bequeathed and leased. It is a commodity. Increasingly in the UK and other parts of the world copyright is viewed not as the individual human right as envisaged by the Universal Declaration of Human Rights but more in terms of a patent exercised, or acquired by, a business or institution and divorced from the original creator.

As many of you will also know, copyright in the UK resides in the recorded expression of a work in writing, sound recording, broadcast, graphic work, photograph and so on. There is no copyright in ideas *per se*. The original purpose of copyright was, and still is, to enable further creation by providing a means of return to support new work by the author. In this sense it is a form of currency allowing an exchange of goods between author and consumer. Increasingly however new players have come into the value chain obscuring the original concept.

The right to make a work available resides with the original author. I can already, if I wish, make my work available for free to all for instance via my own website, as I do from time to time. The implications of, in particular, the Gold route are to take this right away from me and compel me to give free access to my work without compensation. This is compounded by the demand that I should also assign the copyright to a publisher or an institution or repository. This means that I no longer have the right to include the work, say a journal article, in a volume of essays or even to quote from it without someone else's permission. I was particularly shocked on Tuesday evening to hear that an academic had actually been charged a fee to quote from her own work. This seems almost to verge on the absurd, and is clearly of very great importance to those in the arts and humanities who intend to republish their work as an aid to their career if nothing else. A further concern arises when, as well as an assignment of copyright, a waiver of the moral rights is demanded, something which is not even permitted in some, civil law, jurisdictions. This takes away your last remaining claim to any control of your work, its use, the right to be acknowledged as the author and to its integrity. Anyone may now do anything with it. You and your work have no protection against derogatory treatment. It can be rewritten, anonymously made available, the meaning corrupted. All that remains to you, if you can afford the legal cost, is to try to prevent anyone attributing to you something which you have not created, the right to object to false attribution

Finally there is the question of paying for publication. In some cases the institution has offered to set aside a fund to support publication but who will decide on eligibility? At present the publisher decides independently after a process of peer review. Where the author is not attached to an institution and does not have research funding she must pay for publication herself. What used to be seen as vanity publishing becomes necessity if the work is to come before the public in a published or recorded form other than the author's website. The Authors Licensing and Collecting Society from which some of you, I hope, receive occasional payment for the photocopying and other uses of your work, is currently conducting a survey into the attitudes of our academic members on the desirability of the Green and Gold routes. (If you don't know about this and would like to take part please look at the ALCS website.) Initial responses from our members have so far been largely negative especially to the Gold route where 75% of respondents have expressed a deep antipathy to the proposals, some going as far as to call them piracy. We shall be making the final results available. I hope it is in time to cause a serious rethinking of proposals which seem superficially so appealing, and in the public interest, but could have serious unintended consequences.

The Transition to Finch – the implications for author rights and IPR

Professor Charlotte Waelde, Professor of Intellectual Property Law, University of Exeter

I am speaking as a researcher at a university, with an interest in copyright law and new technologies, and in how industries are adapting to new technology, especially if they were 'born' digital. I am a keen proponent of open access publishing and feel that less work is available in open repositories than there should be. I have a chair in Intellectual Property Law and was an original co-drafter of ODBL (Open Database licence).

People are currently feeling buffeted: by government policy, universities, funders and publishers. A range of emotions and questions swirls around, ranging from 'brilliant – easy access!' to 'I'm redundant..', 'it's mine!', 'what about expropriation?' and 'what about secondary income?'

Within the Finch report 'copyright' is mentioned on 11 pages a total of 14 times. It occurs in connection with:

- An exception for text mining – the Hargreaves Review of IP and Growth (2010) saw that text mining was difficult within the current copyright framework.
- The advantages of digitisation for out-of-copyright books
- Copyright as an impediment to the digitisation for works still protected including 'orphan works' (where copyright is unknown)
- Funders and institutional policies which require deposit in compliance with copyright and licensing arrangements
- Copyright restrictions on publications in repositories and publications –problematic for semantic publishing
- Restrictions on use in relation to licensed access
- Repositories which are constrained by copyright restrictions
- CC licences
- In footnotes and appendices

Since 1709 copyright has been the framework for the publishing industry and it has acted as an incentive to innovation. The Finch Report does not cover the ownership of copyright.

Open access can affect researcher behaviour: researchers may not bother to consider material that is hard to access.

Whose IPR is involved? As a researcher, is it mine? In scholarly articles, researchers do licence with publishers, but the IP and copyright belongs to the author. Is this expropriation by the publisher? No. What about secondary income? CLA licences can be a significant income stream, as can royalties.

In 2009 we thought copyright would play a key part in the open access landscape:

- 'Although copyright may only play a small part in the open access landscape, it is a key part.'
- 'Where direction does come 'from above', open access may be a by-product of the pursuit of other goals...'.
- 'The law of copyright will not be an impediment in this; it will be a backdrop against which community standards of attribution and integrity will be respected.'

[From: *Scholarly Communications and New Technologies: the role of copyright in the open access movement.* Edwards and Waelde (eds) Law and the Internet Hart Publishing 2009.]

We were wrong.

'Where direction [to extend the open access movement] does come 'from above', open access may be a by-product of the pursuit of other goals…' refers to citation counts; in 2009 it seemed that articles in repositories achieved higher citation counts, but this has not really worked. We didn't see the economic problems nor that government would see open access as a way of helping revive the economy.

'The law of copyright will not be an impediment to this...' is probably right. There is still a need for attribution and respect for integrity. Copyright was seen as the bedrock of the information business; but this is not the case in OA, although it will act as the glue to help things work. Copyright exists as a property right and cannot be given away. Hence the concept of 'orphan works' where the copyright holder cannot be found. There is also international regulation of copyright; for example, for 70 years after the death of the author. Copyright will not simply go away.

If the eventual goal is the publication of research results in open access or hybrid journals funded by APCs, then we need to get the chain of 'permissions' correct. Why? So third parties can use with confidence. I have come across researchers who have been reluctant to use material as they are unsure how to obtain permission.

In the Finch report, CCBY is suggested as a suitable licensing mechanism as it is simple and moral rights are not affected. It enables third-parties to share, remix, and make available commercially. This is a worry for HSS disciplines especially, which often use third party material. There is a chain of licencing from academic to publisher to user/repository. In essence, this is the same as has happened between academics and their publishers for many years.

Do we still need copyright for academic publishing? We don't need practical exclusivity and copyright doesn't give an economic incentive, rather the right to be attributed when work is made available. The author seems less important somehow. The road ahead. There is a significant concern over who publishes and where. Universities have a range of concerns which they need to meet in a new environment and may have their own agendas. There is a significant opportunity in OA of developing new ideas and items.

My brief is to look at some of the implications for academic libraries but I have widened the scope of the presentation to include the more general information landscape and its implications for libraries. Although open access has implications for academic libraries, it is just one of many challenges they are facing at present and I want to put open access firmly in this context.

The Transition to Finch: the implications for academic libraries

Jude England AcSS, Head of Social Sciences, The British Libraries

My brief is to look at some of the implications of open access for academic libraries but I have widened the scope of the presentation to include the more general information landscape and its implications for libraries. Open access is one of many challenges they are facing at present and I want to put open access firmly in this context

The Context

There are almost 1000 academic libraries, around 4,500 public libraries and 6 national libraries in the UK. The richness of their content is extraordinary: the British Library itself holds 150 million items, 13 million books, 1 million journals, 5 million items of grey literature – reports, theses and conference papers – and all this continues to grow still, in print at over 10 kilometres per year. We have 1.5 million visitors per year and around 16,000 every day. The British library is one of the partners in the ethos project, which is making available, through digitization, PhD theses that have not been especially easy to find, with now some 300,000 available through the database, opening up a fantastic reservoir of material for research; the BL is also involved in UKRR, which aims to de-duplicate material across the academic library sector; phase one has released 11,000 metres of shelving, with the aim of reaching 100 kilometres by 2013.

Expenditure: spending on libraries as an absolute amount has increased but decreased as a proportion of total expenditure. There are more serial titles on subscription and prices have increased. Serials are particularly subject to the vagaries of exchange rates, which are currently in the UK's favour at the moment. As a whole trend, libraries have been looking to rationalise their expenditure in response to budget constraints.

A RIN report identified the challenges faced by academic libraries in 2009. This found that the sector was looking to a sustained period of cuts in budgets. This is after a decade of growth, it must be said, but even so there was general recognition of the need for strategic thinking on:

- Staffing vs resources – where to spend, where to cut back
- Much greater emphasis on service development and focus on users; the design and use of academic libraries has changed radically over the past decade. For example, they are open 24/7 to meet the demands of users who expect this. The nature of the physical space has changed: there is more collaborative working space, generally fewer things on shelves and more electronic provision, cafes etc
- Data curation, open access, rights and permissions management and training – for staff and students
- Acquisition budgets (much tighter) and subscription costs
- Additionally, there is a general trend for government and third sector library provision to be closing: the British Library is approached almost weekly with requests to take the content of libraries and I think there could be a growing pressure on academic libraries to open up to the wider community more than they have.

The vision to 2020

The British Library developed its vision to 2020 a couple of years ago and we interviewed a number of external experts for their views. For example:

On Access:

- There is a consensus on the need for a critical mass of digitised content for research; also on the need to preserve large datasets for re-use, providing the means of re-creating and verifying research outcomes;
- There is likely to be a smaller, distributed network of specialist guides/curators/information specialists (the terminology varies) to resources; there will be an ongoing role for curators to select from the mass of available content; also need to move from librarianship to informatics and a need for more data managers
- But researchers themselves need to become better at finding and interpreting sources of information – there was lots in here about reliance on search engines….

Global:

- Globalisation and interdependence will lead to specialisation / reduction of duplication
- Emerging economies of China and India are establishing their own network of universities and their reliance on the UK will decline. UK universities will have to reposition themselves in the research landscape.
- An ageing population with increased leisure time will put pressure on libraries and archives: family and local history in particular

Copyright:

- No consensus on whether copyright will continue and strengthen or disappear
- On piracy - legal redress impossible when technology so far advanced
- Growth of open access / creative commons or other licence standards
- Consumers find it increasingly difficult to distinguish between legal and illegal services
- In Broadcast markets, owning intellectual property (IP) is critical to success

Funding:

- Tougher; less of it; a more competitive environment; more emphasis on self-help – this even before the spending review.

As this conference is all about the move towards free, open-access scholarly works to enable access, remove barriers to participation and serve the public good, it is clear that research itself is becoming increasingly collaborative and open. As well as through government impetus, support for open access publishing models is being driven by a number of institutional mandates. For example, the US National Institute of Health (which distributes US$29 billion of grants resulting in 80,000 articles annually) has insisted on articles being available to all within a year of publication.

A range of models for open access exist including author-pays, hybrid open access (where authors pay to have their articles

made freely available immediately) and time-delayed open access. Assuming open access is likely to exist in all these forms, a core role for academic libraries will be to be sure of the access rights and permissions for use.

As a further trend, bi-directional forms of discussion through blogs and Wikis are breaking down the roles of creator, editor and peer reviewer, and leading to scientific articles being released in a state of constant beta testing. And all that applies for version control too.

Textbooks are being developed collaboratively: the first chapter/ volume will be 'published' before others are complete. Some beta versions will also make it online, and will be updated in response to feedback from students – again, what about rights and version control?

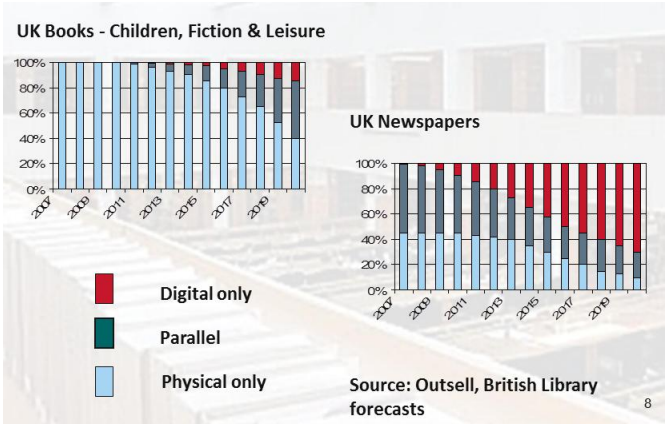
These open models are being enabled by open licensing schemes such as Creative Commons and the open source software movement.

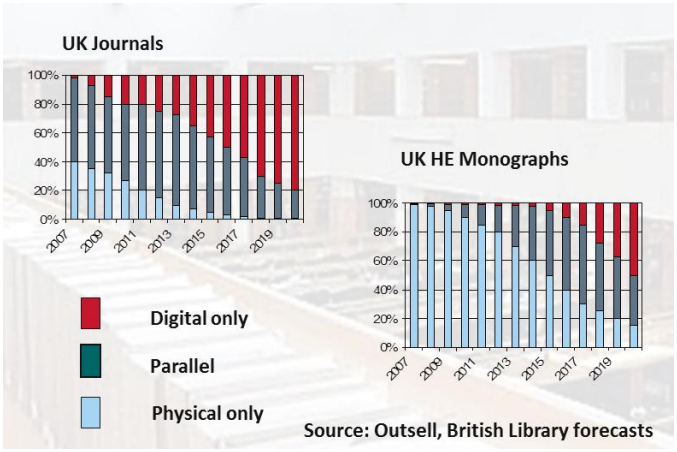
Open research and learning is also being driven by transparency and open government initiatives.

The British Library is involved in a major EC project which will address some of these issues called ODIN, standing for 'ORCID [Open Researcher and Contributor ID Initiative] and Datacite Interoperability Network'. This is a two year project to build on ORCID and Datacite initiatives to uniquely identify and connect scientists and datasets. 'Datasets' has a broad definition (anything but journals) so can include grey literature, presentations, code etc. It will connect information across multiple services and infrastructures for scholarly communications. The infrastructure already exists for researchers to build up an open portfolio of research objects. ODIN wants to expand on this principle and engage with data centres and institutional repositories to allow easier, more open discovery of non-traditional research outputs.

Moving to a slightly different angle, open access clearly plays a central role in the print - digital transition. Also as part of its 2020 work the British Library carried out a piece of research on the speed of transition. Here are four tables showing changes from 2007 - 2020.

The first shows fiction and newspaper. Please note the figures are from 2010. This shows fiction and newspapers moving towards digital relatively slowly. I suspect that if we looked again now this balance might have changed.





It is a different picture for journals and monographs (above). Our forecasts suggest that 99% of UK journals will transfer to print or parallel formats by 2020. Worldwide, 75% of titles (including books, serials, newspapers etc.) will be published in digital or parallel formats by 2020.

At the same time, the UK legal deposit libraries (the national libraries of Wales and Scotland, Oxford and Cambridge Universities, Trinity College Dublin and the British Library) will receive the regulations necessary to implement digital deposit (under the LDL Act 2003). There are considerable implications for storage, although access will be limited to one user on site and not remote. Current prediction is that they will enacted in April 2013.

The result will be massive digital storage requirements: 550TB per year of new digital storage by 2020, on the basis of no new digitisation outside newspapers. However, the British Library estimates that it will still be required to add 3km of print material every year to its current 660km of storage requirements (continuing to increase by over 10km of shelf space per year at the moment). So there will clearly be an ever-growing amount of digital material but also still plenty of print material in libraries, and this material will remain critical to research.

Long-term Scenarios – to 2050

Other work is going on which is taking an even longer term perspective – to 2050. This, the Libraries of the Future Project, identified three scenarios for the future of HE in the UK and the opportunity for libraries to think about how adapt. It was a collaboration between BL, JISC, RIN, Research Libraries UK and Society of College, National and University Libraries.

Workshops were held which identified the critical factors that led to the highest impact on, and most uncertainty about, the future. These form the axes for the scenarios: whether society and HE have open or closed values and whether HE provision is dominated by the state or by the market. The 'market' here can be that operated either by the state or private sector. Three long-term scenarios were developed that explore these axes: walled garden, beehive or wild west:

- **Beehive:** where all is ordered to ensure the common good of the whole community: a world in which society and HE have open values and the state is the primary funder and controller of HE. The overriding aim is the production of a skilled workforce. This has created a largely homogenous HE system for the masses. A lim-

ited market is used to provide competition within the HE system to drive up quality.

- **Walled garden**: an oasis, shut-off from the outside world. Inhabitants of the garden neither know nor care much about the world beyond. HEIs in this scenario are 'Walled Gardens'. The closed nature of society makes HEIs insular and inward-looking, isolated from other institutions by competing value systems. Provision of information services in this world is as much concerned with protecting their own materials from others as it is in enabling access.

- **Wild West**: No-holds-barred free-for-all flavour. Dominated by capitalism and corporate power, including the HE sector. Private providers compete with each other and the state to provide educational services. The power lies in the hands of the consumer. The consumer is able to pick and choose from courses and learning materials to create a personal educational experience.

So far we've looked at the strategic challenges for libraries, the changing economic and information landscapes and the impact of print digital transition, but we have not talked properly about users. One illustration of the changing ways of working and use of digital technology that are coming is shown in a graph showing the way one young woman received her birthday wishes; it doesn't mention cards at all; it's all social media. While this blogger is a self-confessed geek, it is still an interesting example of changing social practices, and also shows expectations of where content will be and how it will be accessed. Certainly libraries and librarians are all too well aware of the power of Google, Wikipedia: immediacy – instant search and find. When you do that you find a lot; it might not be the right stuff and it's only really the tip of the iceberg, but it's a lot and, for example, it also speeds research: we have now digitised almost 6 million newspaper pages, from over 200 titles. Text mining enables research to be done that would have taken years. This will have a radical impact on the nature of research.

So, to sum up.....The world in 2020 – and probably now….

Technology is in a constant state of beta; 'Digital natives' will enjoy wider access to online content in all formats, and demand it and the tools to use it. By 2020 a huge amount of legacy content will remain undigitised. The online landscape will increasingly resemble the 'semantic web'.

The business models underpinning scholarly publishing will change dramatically. More teaching and learning will take place virtually. Knowledge institutions will need to demonstrate the value they add to the economy. There will be short term changes due to funding cuts but there are longer term changes to the information world taking place as the research into the world in 2020 demonstrates. The emphasis will be on connecting users with knowledge. This will depend on sharing and connecting as one organisation cannot be the entire memory for the UK with the increased emphasis on digital.

Turning to look at OA more specifically, a report on access to research and digital information in Denmark, published in 2011, is interesting as it brings another perspective to the OA debate and highlights the fact that, for librarians, open access is already an issue for their wider role. This is a small piece of research that draws out information behaviour, issues and themes. It looked at levels of access to, and use of, research among knowledge based SMEs in Denmark.

It found that the most important information sources were research articles, scientific and technical standards, technical and market information. But, more than 2/3rds had difficulty accessing market research reports and 62% technical reports from government agencies. Links with universities and colleges were relied on to provide access to articles. Use of open access materials was widespread: more than half used institutional repositories or subject repositories and OA journals monthly or more regularly. Almost 4 in 10 always or frequently had difficulty accessing research articles; a further 4 in 10 sometimes had difficulties.
Access to academic research brings benefits: 27% of products and 19% of processes introduced or developed would have been delayed – and cost.

In his article, 'Open Access and Libraries' Collection Management 32, no. 3/4 (2007): 351-383. http://www.digital-scholarship.org/cwb/OALibraries2.pdf], Charles Bailey points out that open access does not require that libraries do anything for it to exist and that fundamentally it is a good thing. As my presentation so far has indicated, the availability of, and access to, information must be a good thing for increasing the impact of research: content will be owned and not licensed and many of the issues around access, usage and reproduction are resolved - rights and permissions are clear and promote access; there is no need for authentication barriers, no need to err on the side of non-use or seek permission for reproduction and, for some content at least, the need to spend considerable amounts of time negotiating for prices and licenses, and assessing whether or not to continue or cancel subscriptions becomes a less significant task.

In April 2012, 14 senior librarians and industry experts, brought together by SAGE and the British Library met to discuss the role of the academic library in an open access future. This included participants from the UK, US and the Middle East – a wide range of institutions and the participants were involved in key industry groups and organisations. The aim of the sessions was to have an international perspective on OA and identify the support and skills required for librarians in an open access future.

Looking first at the open access landscape in the next decade, there was no doubt among the group that the proportion of articles published as OA will increase, though the scale of the shift will depend on national and international policy directions and will vary between subjects – policy and practice drivers greater, for example, in STM. The group stressed the importance of discoverability of OA as key to its usefulness, and felt that the attitudes and awareness of researchers were essential to development. The group felt that researchers were still mistrustful and lack understanding – think it's vanity publishing if author pays, and may be reluctant to comply unless it is a funder requirement and the benefits of it are communicated – this was felt to be an important role for libraries, and links to awareness of the different types of OA, and the rules for access and availability. As I indicated earlier we are already in an open access world where researchers expect to be able to access material easily and freely. One of the participants noted that students use Wikipedia as a jumping off point as it

often includes peer reviewed references. One of the issues looking ahead in a Green and Gold world will be to ensure that access conditions are absolutely transparent. This will be an important function of librarians. The group also felt that OA provided an opportunity to open up and share resources beyond institutional walls.

There was some discussion on the impact on library budgets which, as I've described, have been hit hard via spending review, changes in funding arrangements and local efficiency savings, exchange rates and so on. There was some consensus that the move to open access and the shift from institution pays to author pays could have an impact on the balance of funding and costs, with the more research productive institutions and nations likely to bear a greater proportion of the costs. Library budgets might reduce as a result, but will vary by country and type of institution – some in which funding is allocated at departmental level, in others where all departments are top sliced to fund provision; and harder to budget for than subscriptions because of uncertainties over researchers' publishing plans. There was discussion on how much libraries will be involved in the management of OA spending for article-processing charges and repositories – the jury was out in the words of one participants: 'I suspect there is still a lot of discussion to be had about whose job that is within universities and it might well be part of the library's job or it might not turn out to be.' Another participant noted that 'With Gold OA only the people whose papers are accepted pay, so the most successful authors will pay more.'

OA was thought likely to reduce the importance of libraries developing institutional collections but increase their role in the management of institutional repositories.

Management of metadata was identified as critical for the discoverability of OA resources is essential, especially for Green and other non-Gold material involved. The group felt that digital rights management will be extremely important; metadata management and preservation is increasingly likely on a web scale rather than institutional level. Again, discoverability and accessibility lie at the heart for librarians. Quality of provision and services will be more important that the content of the library; value will be added via digitisation of unique collections.

The group agreed that libraries will increasingly work together and share functions and services: *'The information professional is the library of the future.'* The group agreed that librarians would need to be: great communicators (within institutions but also looking out); able to build relationships; be aware of and understand user behaviour; develop skills to manage new types of resources. Skills in management, information literacy and the understanding of how OA fits in the broader information chain – though I should add here that we'd expect librarians/ information professionals to be developing these skills anyway.

So drawing this all together, it's no exaggeration to say that libraries are in – and have been for some time – a period of major change. One of the major issues has been to balance the physical presence and existence of libraries – the books and buildings – with the challenges of the digital landscape, and open access is fundamentally one element of that landscape. Let us not gloss over some of the budget implications of open access. If costs move to 'author pays' there could be a shift in institutional budgets away from libraries to their research operations, and there are worries among non-Russell group universities as to whether the plans to allocate support for research publication will be sufficient for them – tiny proportions could be spent in a month. But, as I've indicated throughout this presentation, libraries budgets are already challenged by the cost of subscription. Even Harvard University, according to an article in *The Guardian* in April this year, 'exasperated by rising subscription costs is encouraging faculty to publish in open access journals'. Research Libraries UK has negotiated new deals which have apparently saved, for its 30 member libraries, £20 million per year – but it is also clear that research and evaluation will be needed here to monitor and manage impact.

Research libraries in particular see themselves as part of a network and shared landscape, hence the critical importance of connecting and collaboration and moving beyond both national and institutional boundaries. Libraries could also play quite a significant role in helping researchers understand and make best use of OA, whether Green or Gold, and the rationale for archiving. Looking ahead, discoverability, usability, good metadata and appropriate rights management are central, particularly in the Green and Gold world. Libraries are key in the creation of discovery, usability and access, as well as building, curating and sustaining digital repositories. It will be essential to monitor and understand user expectations and changing environment.

Finally, while I don't want to underestimate the implications of open access, particularly perhaps in terms of researcher understand and costs, I also felt that it was important to place its implications for libraries within the wider information landscape and existing challenges for libraries and information professionals.

Day 2: Open Access Publishing and the Learned Societies

Visioning the Future for Publishing Learned Society Journals: the implications for the arts, humanities and social sciences

1. The Publishing Industry

Dr David Green AcSS
Global Journal Publishing Director, Taylor and Francis

In journal publishing we are currently in a mixed economy world – there are remnants of the subscription economy that lasted up to the mid to late 1990s; the negotiated sales deals and online access world that began at that time is still the main model; moving into an increasingly open access model which started in the last decade. Journal publishers' 'upstream' customers have always been Editors, Editorial Boards and learned societies. But our key 'downstream customers' are inexorably changing from librarians and readers (or should that be 'end-users'!), to authors and funders, which increasingly means ministries and governments also. Our discussions and lobbying indicate that a transition is under way, with 2020 as a target – certainly in the UK and Europe - for the transition to full Gold open access (author/funder pays model) to be complete.

In the UK, we await a HEFCE announcement and mandate on QR funding for its publicly funded research articles. HEFCE, it seems, won't have any extra money for universities for OA. It is likely that the QR funds will count as 'publicly funded research' and that APC payments for Gold OA will have to come from existing QR funding that universities will have to earmark for publication funding. We have been told by RCUK that 'Universities and VCs may not like this, but we have to move to a Gold OA world.' This fills journal publishers with some dismay, as it does not seem in the spirit of Finch to fund fully the shift in research article funding model.

Most journal publishers have signed up to the STM statement 'Publishers Support Sustainable Open Access' (http://www.stm-assoc.org/publishers-support-sustainable-open-access/). The key elements of this are: sustainable fully funded OA business models, and free author choice of publication venue. Journal publishing industry trade bodies represent a diverse community (for profit and not for profit organizations - this also includes many small learned societies, either as self-publishers or contracted to publishers).

One size does not fit all subjects and titles (each scientific discipline has its specific concerns, even within the STM sector, which is often considered as one homogenous category). A National Humanities Alliance study in July 2009 of eight large US learned society HSS journals found the prospect of Gold OA for HSS 'not financially viable'. (http://www.nhalliance.org/bm~doc/hssreport.pdf)

- It cost an average of $9,994 in 2007 to publish an article in one of the eight journals analysed, compared with an average of $2,670 for STM journal articles.
- The average HSS article is 19 pages; STM average is 12 pages.
- Acceptance rates: 11% average in HSS; STM 42% average

Gold OA with APCs at the RCUK-decreed level could be sustainable in some subject areas and for certain journals, especially new fully OA online-only start-ups, and Gold has generally been welcomed as one possible business model for sustainable journals by publishers. It is certainly viewed as a panacea for certain areas of STM. However, RCUK confirm that some Society journals which are dependent on UK papers could see their income halve under the Gold route – the RCUK stated aim is to 'put pressure on the market and get academics to publish in journals that have cheaper APCs.' A number of US HSS society journals have also already said they do not wish to introduce a Gold option, and are happy to forgo UK publicly funded papers, reducing author choice of publication venue still further.

HSS subjects do have different usage and citation profiles compared with areas of biomedicine where a research paper may only have an effective life of as short as six weeks:

- Cf CAIRN.info study http://alpsp.org/Ebusiness/TrainingAndEvents/PreviousEventPodcasts/1211OAS.aspx
- on half lives of French social science papers – in one year only 18% of that year's content was accessed by libraries (meaning that 82% of usage was of older content). Even three years may not be enough – of papers in literature and linguistics only 39.45% of the usage was to papers published in the last 3 years (meaning that more than 60% was to content published more than 3 years ago)
- ALPSP 2012 survey of librarians in S&T and HSS – would you cancel your subscriptions with a six month embargo on author deposited papers? Yes, for **65%** of their arts, humanities and social sciences journals, and **44%** of their Scientific, Technical and Medical journal subscriptions
- Citation window for HSS subjects – 3.8 years cited half-lives for nanoscience and nanotechnology; more than 10 years for economics. Longest life for articles in arts and humanities.
- *These examples suggest that there could be subscription cancellations if a 12 month or shorter HSS embargo on author deposit was imposed.*

A collaborative cooperation between publishers, funders (and other stakeholders), sensitive to real differences between disciplines, is the way forward, and publishers are open to this. Both the Finch Report and the David Willetts in his response recognize the potentiality for problems, although Wellcome and RCUK policies seem to drive right through these. Researchers and authors should add their voices to the discussions too!

Green OA can only work in the presence of a sustainable business model, currently based on subscriptions and sales deal arrangements between publishers and libraries, whereby the costs of a peer-reviewed research article, its publication and dissemination, can be recovered and rewarded.

Green OA can work with discipline and journal-specific embargo times to reflect the different patterns of article usage and citation in different scientific disciplines (fast moving vs slow moving sciences and arts and humanities).

Green OA is messy, work-intensive and far from ideal; the PEER project showed that Green OA will only achieve substantial mass in a repository if publishers are involved and organizing it; authors are not self-archiving. http://www.stm-assoc.org/peer/

The publisher participants during the recent Science Europe meeting sought a clear definition of Green OA and for decisions around embargo periods to be evidence-based. The Chair of Science Europe, Paul Boyle, who is also CEO of the ESRC, has reiterated to us his belief that it has to be a 'Gold world in the end'; if Green embargo periods are too long then he felt that this would negate the positive effect of open access. If they were too short in Green OA, publishers could not survive and the Green model wouldn't therefore work. Author self-deposit rates are also too low for this to be considered a viable route to OA. There is an opportunity for all stakeholders to work together on this.

Funding Issues

- RCUK has decided on a block grant approach with money being given to universities directly, rather than APC funding being attached to individual grants, with an explicit aim 'to put pressure on the market – to get academics to publish in journals with cheaper APCs'.
- For HEFCE QR research outputs, funding for APCs will have to come from the existing QR funding allocated to universities; it is likely that there is no 'new money' for this. Additionally, there is already lots of confusion amongst universities who are supposed to administer these funds.
- Imperial College have received £729,000 of the £10 million 'transition fund' from BIS – with a research output of some 9,000 articles pa they describe this as a 'drop in the ocean".
- The initial £10 million has been allocated proportionately to the top 30 institutions based on the amount of RCUK grants they receive, and based on an APC figure of £1727 plus VAT.
- RCUK's announcement of 8 November: 'In the first year (2013/14), RCUK will provide funding to enable around 45% of Research Council funded research papers to be published using Gold open access growing to over 50% in the second year. By the fifth year (2017/18) funding is expected to be provided to enable approximately 75% of Research Council funded research papers to be published using Gold open access. The remaining 25% of Research Council funded papers, it is expected will be delivered via the Green open access model.' £17 million APC fund in 2013, £20 million in 2014.
- Cf. BIS's resource allocation to AHRC vs EPSRC vs ESRC (table below adapted from: http://www.bis.gov.uk/assets/BISCore/science/docs/A/10-1356-allocation-of-science-and-research-funding-2011-2015.pdf (pg 17))

£000	2011-12	2012-13	Total (2010 to 2015 allocation)
AHRC	99,881	98,370	394,993
EPSRC	759,720	748,150	3,004,171
ESRC	155,690	153,319	615,648

The mandate for a CC-BY Licence

There are a number of serious concerns about the requirement to adopt a CC-BY Publishing Licence to comply with Wellcome and RCUK mandates:

1. Loss of author control over reuse of work
   - Poor translations, work can be 'mashed-up', or included in unsuitable anthologies (e.g. a paper on German literature could appear next to papers sympathetic to Nazi philosophies)
   - Reuse further down the chain may not be by reputable academic authors or publishers – such third parties and 'pirate' operations may feel no obligation to adhere to the industry's code of ethics (COPE) and best practice guidelines regarding author permissions and plagiarism.
2. Removal of all author rights except right to attribution / increased risk with third party content
   - An author can no longer seek redress for © infringement – a legal wrong –but only for non-attribution or plagiarism, which is only a questionable action with no legal recourse. The CC licences cover authors' paternity rights by making it a contractual attribution - as the author hasn't asserted it in a copyright declaration it's not a moral right. Success of a case would be dependent on where the claim is lodged (e.g. France vs US). In cases of plagiarism / unauthorised reuse of content (even high grade) we would usually base our claim on © infringement as that is the more powerful argument – authors can no longer do this, and publishers can no longer act on an author's behalf.
   - At the same time, authors will need to be very careful if including third party material in their papers. Big issue for A&H with photographic, video, music or art content. If third party © is infringed, the author (and 'originating' publisher!) will be responsible for damages which are potentially much higher because the material will be open on the Internet. A legal review has shown the need for

much more prescriptive author and publisher disclaimers on reuse on each article published on a CC-BY licence. Under CC-BY the author becomes liable for publication of their work with the initial publisher and for every onward use, so they will need to check meticulously that they have cleared all their permissions.

- Seeking permissions for use of third party material will be much more difficult as authors will need to inform the third party of exactly what CC-BY entails. There is an increased risk of journals / publishers being blackballed by these third parties (or being charged significantly more in permission fees) if they see that there material is consistently being reused without permission (even if articles include information about reuse there is no guarantee that third parties will respect these rules).

3. Loss of publisher protection - the publisher is no longer the gatekeeper / guardian of the work under CC-BY:
   - A publisher won't have the resources to act on an author's behalf in cases (we anticipate lots of author complaints about how their work is reused)
   - A publisher won't be able to successfully act on authors' behalf as the author has given away all of their rights except the right to attribution.
   - CC-BY is a disincentive to technological investment by publishers (e.g. an OA article app).
   - Publishers won't have the same responsibilities to librarians in terms of ensuring continuity of supply.
   - Pragmatic note – publishers won't have the incentive to protect authors beyond their initial publication of the work. There is less that we can (and will) offer as a service as the author has signed away all their rights except the right to attribution.

Other issues for Routledge, other publishers and some learned societies:

1. Author Choice – we do not much like CC-BY, especially for HSS, but we are aware that as things stand, unless there is a change of mandate policy, UK authors need to have that as licensing option to comply with RCUK/ Wellcome mandates. It does mean people giving up their author rights almost entirely, however!
2. CC-BY mandate will potentially lead to loss of secondary income streams, because of use of this as free material in aggregator databases, the potential commercial exploitation of CC-BY material with no permission needed, eg library book editions of special issues – all this secondary income is under threat and is also an issue for learned societies' income.
3. GRC Berlin meeting May 2013– RCUK/Wellcome position likely to be adopted by many other funders – although some have already signalled they want to go further (eg Max Planck Digital Library speaker at Frankfurt – there should be no version of record, simply an ever-evolving article which other authors can add to or subtract from. They don't like the concept of an original article and many digital copies… Dumping Impact Factor for altmetrics?
4. Example scholar reactions to Routledge OA briefing on new mandates we have from authors, editors and societies are concerns around extent of funding for Gold in SSAH subjects.
5. Definitions of Green OA are as yet many and varied. Embargo times very important. Need for some empirical evidence on embargo effects in different subjects.

2. Open Access - Scenarios and Strategies

Philip Carpenter
Vice President and Managing Director for social science and humanities, Wiley Blackwell

How will open access play out in the future? Finch has a clear view of an orderly transition towards Gold OA. The RCUK view seems to be to force the UK to go Gold and take Europe with it. The key variable is around how much money is in the system and either:

The money spent on journals remains about the same *or*
The money spent on journals becomes much less

Scenario 1: a mixed economy

This would be a stable mixed economy of subscriptions, Gold and Green. For example, the UK and Europe go Gold and the US goes Green with embargoes sufficiently long to support subscriptions. It will be important to see China's reaction as the second largest producer of research papers. In this mixed economy there would be:

- variation by geography and subject
- more competition for papers
- bigger 'brands' fare best - they can attract the best papers and charge more, whilst other publishers have to drop their prices;
- less revenue per article
- Some subscriptions will be cancelled as mandates to open access increase.

Scenario 2: a low-cost economy

In this scenario, Gold APCs are driven down by publisher competition or by funders. Funders may require very short embargo periods, which results in librarians cancelling subscriptions so that subscriptions crash and money is driven out of the system. Mega-journals such as PLOSOne, with a large throughput and low operating costs survive, as do the big brands.

Response strategies for learned societies

Some may work for either scenario:

1. **Broaden the programme**
   - Add more Gold papers and Gold-only titles. This would be appropriate where large numbers of submissions are currently being rejected. More could be published with-

out sacrificing quality, and so compensate for low APCs.
- Internationalise the author base as a hedge against OA policies in different geographies
- Publish more outputs such as books, reference resources, learning materials, data mining. Capitalise on the reputation of the journal or the expertise of the subject base.

2. Deliver and demonstrate value – provide what the stakeholders want.
- To authors: readership, impact, (alt)metrics
- To readers: 'smart content' offers more
- To funders: research integrity, support for early career
- researchers, impact, influence
- To members: support for research, teaching, practice, professional development, meetings

Understanding what the community needs is key to preserving the value of the journal. Publishers will assist with discoverability and taxonomic help.

3. Manage costs
- To offset the inevitable decline in $/article
- As much as may be necessary
- Minimise investment in print to invest in digital
- Partner with others, with publishers, as a way of sharing costs and achieve the economies of scale that are required.

No one wants to unwittingly destroy valued journals or societies. We need to assert the following:
- **Journals in HSS are more expensive to run than STM and need higher APCs.**
- **Journals in HSS are more vulnerable to cancellation by libraries because the half-life of articles is longer.**
- **Gold funding may not be sufficient to sustain the journals.**

3. The Relevance of the OA debate for Social Science

Ziyad Marar, SAGE

'The future has arrived; it is just unevenly distributed' (William Gibson).

The current state of affairs in scholarly journal publishing

Around 3 million journals are submitted each year to about 30,000 peer-reviewed scholarly journals. 50% are published somewhere by about 2,000 publishers. Publishers vary and include learned societies (not as suggested yesterday). Of 1.5million published articles (growing at a rate of 10% p.a.) around 10% or 150,000 are HSS. The Research Councils give 10% of their £2billion income to HSS.

The debate is swept along by STEM where OA publishing is well established and very successful. 'Author pays' models are dominant and not controversial. Social science is different; it is not one thing; some social science disciplines abut natural science (e.g. psychology), some abut humanities (e.g. economic history) and others are in the middle. The nature of the OA debate is about knowledge and consumption; this has obscured the true understanding of the conditions in which knowledge is produced in the first place. This is a social science question in itself!

Janet Finch said she tried to achieve three things: access, sustainability and excellence. In social science these have particular characteristics. SAGE launched SAGE Open to be a mega solution. SAGE has also surveyed a vast range of academics, editors, learned societies to get an understanding of the predominant concerns in social science, including focus group research. It found that some are relieved and excited about OA, but these are a minority and are mostly STEM linked. In the main, the research found confusion and concern. Confusion – because it has been largely a STEM-led discussion. Concern - because of a blizzard of issues, including funding, sustainability, neutrality, authority.

Funding is the major underpinning concern – how social science is valued in general. The learned societies are their journals and much is unfunded work.

Sustainability – social science is 'a dynamic stock of knowledge' according to the LSE and relies on articles which are re-engaged with over time. So journals need to survive over time. Happily most tend to survive but there is a query over the future of a minority.

Neutrality. STEM is accustomed to responding to funder needs. Social science is not the same: academic freedom and questions of rationing arise.

Authority, or how knowledge claims are built in social science. Learned societies are an extremely crucial part. The 'author pays' model could skew the author base.

The conversation has moved so fast that social science may have a limited impact. This forum and venue should begin the fight back. The Academy is to be congratulated for bringing the silos together. We mustn't set up skewed and unsustainable systems.

The Transition to Finch: the perspectives of the USA

Dr Felice J Levine, Executive Director, American Educational Research Association

It is indeed an honour and pleasure to be able to participate in and speak at this conference on Implementing Finch. As Dame Janet Finch reminded us yesterday, the title of the report is *accessibility, sustainability, and excellence* in research publications. These are shared and laudable goals. I can imagine that having a 'hot button' report called by one's own name could be a bit unsettling as one goes from meeting to meeting to address the issue of open access.

Before I start my substantive remarks, I particularly want to thank Stephen Anderson, Executive Director of the Academy of Social Sciences. It was he who thought that the consideration of open access in the UK should be situated within the broader context of such considerations in the United States. I hope both to give you some of that picture and to take back home some of what I have been able to learn and glean from here.

I was asked by Stephen to provide the US perspective on the Finch report and its likely impact in the US. These are complex questions. I hope by the end of this overview of open access publishing in the US to have provided at least a reasonable response or crystal ball.

I should say at the outset that I am not in any way the spokesperson for US learned societies in the social and behavioural sciences. Shortly, I will report on a conference that the American Educational Research Association (AERA) convened on open access publishing in the social sciences. I can also say that my work has been embedded in a number of social science fields beyond education research—including sociology, psychology, political science, and sociolegal studies—and that my substantive research areas are in research and science policy, and in particular data sharing, data access, and research ethics. Finally, I can report that, increasingly over the last three decades, there has been quite a bit of collaboration and consultation across SBS fields—with open access having become a high priority topic more recently.

In this context, I would like to note first and foremost that the Finch report has been noticed on the US side of the pond and that it has generated a degree of concern that regulation may move faster than deliberation. I am reasonably confident, as I will address below, that in the United States open access principles and policies will unfold differently. It may be that the Finch experience itself has further heightened sensitivity in the US to the complexities of transforming publishing business models, especially for scientific societies.

In my presentation today, I hope to provide a 'window' on open access publishing in the social sciences from the US side of the pond. Just as Stephen has reached out to me to attend this conference, on behalf of my US counterparts, I want to reach out to you to continue this conversation with us beyond today.

My aim this morning is to speak briefly to 8 issues and to the two questions asked of me in framing the agenda:

- The changing ecology of publishing
- The status of open access publishing in the United States
- The role of publishing in US social science societies
- The AERA open access conference
- The benefits of open access publishing
- The costs of open access publishing
- Confronting the challenges of open access publishing
- Experiments in open access publishing

And, next steps for US social sciences, including

- Will the US follow suit in the transition to Finch?
- What are the likely Implications for UK researchers publishing in US journals and US researcher publishing in UK journals?

The changing ecology of publishing

In the United States, social science publishing in learned societies lives within a similar ecology of knowledge production as in the UK today. The numbers in our fields may be larger and the way that government funds research quite different (more individually than institutionally based in the US), but we too live in a world that (1) depends on government and private foundation support for a sizable fraction of research, (2) relies on subscription revenue as the backbone for high quality, peer-reviewed, affordable publishing, and (3) has a relatively stable system of functions and operations for scholars as authors and reviewers, universities, libraries, publishers, and research societies.

The social sciences and the environments in which learned societies sit in the US are also undergoing transformation. The value placed on knowledge transparency and accessibility, and the ways that scientists and citizens get and obtain information have rapidly changed over the last two decades. Over the past 10-plus years, it would be fair to say that there has been an increase in efforts in particular to make data and research publicly available and free to the user. These values are articulated by many scholars quite independent of the government seeking to make accessible results supported by public funds. The broader science policy framing is about both a 'science' good and a 'public good.'

The status of open access publishing in the United States

These changes, some quite fundamental to the culture of science, suggest that we are on a trajectory toward open access in scholarly knowledge and that the social and behavioural science societies have the challenge and opportunity to devise and test approaches consonant with our fields and how we work. Much of this change has been driven by technological advances and the ways that the internet permits researchers and organizations to share research and results with each other and broader audiences. It also reflects the transformation in how the new and next generations read and use information and expect to have it accessible.

Learning, critical thinking, and examining knowledge are happening in different and rapid ways. Just as scholars are using

and mining all forms of data with new forms of access (consonant with confidentiality and human research protection, I might add), so too are they expecting more ready access to published work and findings. While the quality of a journal continues to matter, now scholars — especially from younger generations — search for articles and are less focused on journals or journal issues. Publication through online first mechanisms makes such content even more readily accessible to subscribers before it is packaged into a published issue.

In the US as in the UK, early supporters and adopters of open access publishing have primarily been in the fields of science, technology, and medicine (STM). For example, since 2008, the National Institutes of Health (NIH) in the US requires all researchers funded by NIH to submit a final, peer-reviewed copy of any manuscript accepted for publication to the National Library of Medicine's PubMed Central. Since NIH is a major funder of social and behavioural science, these requirements reach to our fields. This full-text archive currently includes more than 2.5 million biomedical and life sciences journal articles (http://www.ncbi.nlm.nih.gov/pmc/). The Public Library of Science (PLOS) has also been an important player in the open access movement. In existence for more than a decade, the PLOS portfolio now includes seven open access journals across a range of life sciences and health sciences fields.

The US Office of Science and Technology Policy (OSTP), which provides the President and senior administration officials with scientific and technical advice, along with the US House of Representatives' Committee on Science and Technology, have both been studying open access for the past few years. After two open comment periods, OSTP may very well take steps to increase open access publishing requirements for all federally-funded research. Both in 2010 and 2012, OSTP solicited comments largely directed to different models of providing access. AERA and a number of other US social science societies explicitly recommended providing toll- free hyperlinks to the articles to the government agency and to the author. AERA and other societies already permit authors to post toll-free hyperlinks.

In the US, in terms of national conversations about open access, the social and behavioural sciences have been largely absent until quite recently despite the fact that any federal policies requiring open access to the results of all federally-funded research would affect the social sciences as well as STM fields. While our fields have responded to open comment solicitations by the federal government, in general there has not been the same levels of consideration, engagement, and information available about our sciences.

In 2009, the Mellon Foundation supported a planning grant on the *Future of Scholarly Journals Publishing Among Social Science and Humanities Associations* that provided the first systematic information on 8 journals published by 8 leading-US associations.[2] This report spoke to the costs of publishing, the substantially lower levels of federal funding for the social sciences than STM fields, the longer 'shelf life' of social sciences research than STM research, and so forth. Such data underscore that government policies need to be crafted to account for the differences in funding levels, disciplinary norms, and publishing practices in the social and behavioural sciences as well as in other STM fields. Concerns about a one-size-fits-all model in the UK that were repeated yesterday at this meeting are also a repeated concern in the US.

The role of publishing in US social science societies

Publishing has long been central to the role of social science societies in the United States. Social science societies serve as disseminators of quality, peer-reviewed research in their respective fields. They help shape their fields through the collective and cumulative knowledge of their scholars and based on high standards of peer review. In addition, publishing also helps to support the infrastructure of the social and behavioural sciences themselves. Learned societies in the social and behavioural sciences are committed not only to peer review to inform decisions but also to quality feedback through reviews and editorial guidance that improves the final research reports.

Like most other professional societies, the majority of the financial support for AERA comes from the three-legged stool of membership dues, meetings, and publishing. The revenue from these three sources provides the financial support for a broad range of society activities, including capacity building for the next generation of scholars (eg doctoral dissertation grants), professional development, and other programming (eg funding small research conferences) to stimulate innovation and new ideas. The issue is not just one of revenue to cover the costs of journals but revenue loss for these and other activities that are part of the mission of learned societies to educate and advocate for sound research policies, develop robust communications strategies about research, and so forth.

The possibility of removing one leg of the three-legged stool can be simply staggering to envision and requires an alternate model or models to sustain us. Thus, for learned societies in US social science, we are turning our attention to identifying viable ways of generating revenue through open access publishing that do not have adverse unanticipated consequences and can produce the net revenue that we need. We are also turning our attention to alternative revenue streams that we may realistically need to invent.

The AERA open access conference

In recognition of the importance of catalysing a national discussion from the vantage of the social and behavioural sciences about this topic, AERA held a two-day, small, intensive working conference on 'Open Access Publishing in the Social Sciences' on 9-10 November 2012. I should emphasize that, in 2008, AERA held a very useful similar meeting on online paper repositories and the role of scholarly societies [3], and this one on open access was for some time anticipated as a sequel to the first. Thus, this meeting was not planned in reaction to a sense of crisis. As with this conference, we also aim to produce a report quite soon and have it available by the AERA Annual Meeting at the end of April.

The AERA conference brought together representatives from social and behavioural science associations, libraries, university presses, and publishers, as well as researchers, journal editors, and open access experts to explore issues central to open access publishing and the critical role of social science associations in that process. The conference was structured to provide in- depth dialogue among the attendees on a series of issues that relate specifically to open access publishing within the context of the fields of social sciences. For exam-

ple, sessions focused on the costs and benefits of open access publishing in the social sciences; society finances and economic models for open access in the social sciences; building workable partnerships between and among social science societies, universities, libraries, and publishers; and taking the lead and addressing governmental mandates; among others.

The conference was immensely successful in that for the first time ever it brought together stakeholders from multiple sectors to explore the future of open access publishing in the social sciences. While agreement was not reached on every topic and solutions were not identified for many of the most vexing problems, the rich discussion illuminated the challenges that social science associations face in moving toward open access publishing, identified key costs and benefits to open access publishing, explored various models of open access publishing within the context of the social sciences, and provided ideas concerning financial models and sustainability that can be explored and pilot tested as social science societies move toward open access publishing.

Perhaps most importantly, the conference created a synergy among the participants and a shared vision that social science associations and their key partners in publishing need to work together to ensure that whatever the future holds in terms of open access publishing, all of the key stakeholders need to work together. Further, this work needs to be directed to evolving options for the future that account for the needs of social scientists and the value added of our learned societies and is responsive to and respectful of the cultures of our fields. It also needs to be done in a way that is financially feasible for social science societies.

The benefits of open access publishing

Attendees at the AERA Conference on 'Open Access Publishing in the Social Sciences' identified numerous benefits to open access publishing. First, research could be disseminated to wider audiences in an open access format—to researchers in other fields, to the greater public, to the media, and to policymakers in the government, among others. Open access publishing could help to stimulate new areas of research as well as potential new journals. It could provide new ways of connecting researchers in disparate fields and stimulate inquiry into areas of study that cross-cut or build upon several fields. It could bring access to peer-reviewed literature to researchers in resource-poor institutions, to researchers not affiliated with academic institutions, as well as to researchers in developing countries beyond the excellent programs to do so in which we currently participate.[4] And, it could stimulate further connections among researchers focused on narrowly-tailored areas of study within the social sciences through the potential for expanded discoverability and data mining.

The costs of open access publishing

These benefits, however, come with costs, also recognized by participants at the AERA conference, that need to be addressed.

First, there are financial costs to open access publishing, in particular the loss of subscription revenue that would occur from the shift to open access from the traditional journal publishing model. The dominant mode in STM fields is article processing charges (APCs) paid by authors and covered typically by grants, as emphasized at both the AERA conference and frequently at this meeting. Such an approach to open access publishing, however, has the potential to disadvantage social science researchers from less prestigious, resource-poor institutions or who are independent scholars or who lack the grant funds to cover the costs of APCs, should this be the model that would be adopted. Even for those with grant support, the size of research grants in the social and behavioural sciences is far lower on average than in STM fields.[5]

Second, alternative models of revenue recovery can also present challenges for the social sciences. If fees were to be paid by institutions or their libraries, there needs to be attention to how this will be done so as not to devalue investment in social and behavioural science journals in relation to those of STM fields. Key issues include how allocation decisions will be made, by whom, and to what extent institutional revenues will be in limited supply or reduce other investment in knowledge production (eg using resources allocated for seed money investment in initial research). Although assessment of APCs is to come after article acceptances, there would need to be attention to ensuring that peer review, even with the integrity standards of learned societies, was not shaped by where payment fees might reside.

Third, the growth in open access publishing, as well as the increase in predatory publishers who are producing non-peer-reviewed articles, also have the potential to result in information overload, particularly for scholars looking for material outside their own field of study or for non-scholars such as policymakers and the general public who lack the knowledge and experience to identify quality work from work that is of limited quality. This situation — more a function of the internet world of information access than of open access publishing per se — raises new responsibilities for US social science societies on behalf of their fields and the public, without evident new resources to undertake the task.

Confronting the challenges to open access publishing in the social sciences

The primary challenge to open access funding in the social sciences is to arrive at a financial model that works without reducing the large role and purpose that our scholarly societies serve to our sciences and to society. In the words of Donald Campbell, a 20th century US social psychologist and social science methodologist of great acclaim, we need research, data, and, as he put it, reforms as experiments.

Different funding models, such as the development of funds within academic libraries to cover the cost of author processing fees have already been established by some US universities. In theory, the funds gained by eliminating the cost of serials subscriptions in libraries could be shifted to funds that support the costs of open access publishing in the social sciences. For social science society publishers, the funds they receive in the form of author processing fees and article processing charges could replace a percentage of the subscription fees they have traditionally received and permit societies to continue to provide the range of services that support their missions. But, mechanisms to provide the funds to cover author processing fees and article processing charges would have to be developed in partnership with publishing partners, federal funding agencies, private foundations, universities, and libraries. Also, as noted above, these mechanisms would need to be monitored to ensure that they would not disadvantage social science fields and researchers from resource-poor institutions. Moreover, the very number of players suggests the potential

of increased transaction and overhead costs.

Experiments in open access publishing in the social sciences

There are not currently any federal mandates in the United States to make social science research available through open access, but many SBS societies are experimenting in ways to make some of their publishing available through open access platforms. For example, among AERA's six highly ranked journals, one — the *Educational Researcher* — is essentially an open access journal. This journal has been freely available online since 1998. Those societies with a suite of journals have greater latitude to absorb such costs. In addition, AERA and a number of other social science publishers allow authors to put toll-free hyperlinks on their own websites or in their institution's archive that provide free access to the article upon publication.

Other social science societies are also beginning to make more of their research available through open access. The American Psychological Association, for example, has just launched its first open access journal, *Archives of Scientific Psychology*. The American Historical Association has also conducted several experiments on how to make some of the materials in its journals freely available, while trying to do so in ways that do not jeopardize membership and subscriptions.

Most social science societies no longer self publish, with the notable exception of the American Psychological Association and the American Economic Association, but partner with publishers. These partnerships also provide an opportunity to engage in experimental reforms and meanwhile buffer social science societies from additional financial costs. AERA, for example, is considering a cascaded open access journal or a broad general online journal that is not cascaded. Also, starting in 2013, AERA will work with SAGE as a participant in *SAGE Choice*. Under our arrangement, authors will be explicitly informed about the toll-free hyperlinks that AERA already offers authors or their institutions upon publication. Also, they will now be informed that an article can be fully open access for a fee of $1,000USD after publication. We are testing author interest, whether or not they have grant requirements, at a fraction of the cost—one-third of the fee of $3,000USD for STM journals in the SAGE portfolio.

Other initiatives, discussed at the AERA open access conference, are also possible that might provide for innovations across the social and behavioural sciences. There is, for example, a great deal of discussion in the US about silos in science. It is worth exploring whether the social and behavioural science societies might establish a so-called 'mega journal' across social sciences fields. Such a journal would be self-consciously interdisciplinary and seek to move work of quality that is cross-cutting or emerging across fields from the periphery into the centre of accessible scholarship appropriately vetted for quality across fields. Such an initiative would not only address open access to knowledge but also some of the challenges that can limit new, cross-cutting, or emerging forms of knowledge in our fields.

Attention to open access publishing also provides opportunities to consider how knowledge will be increasingly aggregated in the future and how to retain the branding of journals in what will be an increasingly article world. The shift to online publishing affords a context to examine how citations and metrics for scholarly impact are currently measured. For example, would article-level metrics such as 'altmetrics' and other article-level bibliometrics provide more accurate measures of use and impact than traditional citation indices?

In conclusion and next steps for US social science

Embedded in my presentation, I trust were the answers or at least a perspective on the questions that I was asked to address:

- *Will the US Follow Suit in the Transition to Finch?*
- *What are the Likely Implications for UK researchers publishing in US journals and US researcher publishing in UK journals?*

Based on the AERA Conference in mid-November and discussions across social science societies and publishers, there is a sense that within the US there is a short window of opportunity to become more visible advocates and engaged problem solvers and get ahead of the curve. There is general recognition of the value of open access to published knowledge—whether government funded or not—and the need to develop models that can produce revenue and avert the downside consequences that are the very real objects of concern.

Within the United States, our best intelligence is that the US federal government will move in the direction of a broad requirement with respect to the principle of open access but not seek to intervene with any proscribed business model of what needs to be done or how. If this scenario is correct, the US will not quite follow the Finch report and related implementation plans, and there will remain some opportunity for the social and behavioural science societies to develop and test models for publishing transitions and change. In addition, as I reflect on Stephen's second question—are there implications in the transition to Finch for UK researchers publishing in the US or US researchers publishing in the UK—I think the answer is no, or not ones that cannot be addressed by virtue of the current latitude provided to authors and funding agencies under the current US requirements and the scholarly publishing system.

I have one concluding, additional thought that both the AERA open access conference and this conference on the Finch Report both raise. How might in this coming year, the UK Academy of Social Sciences and the US social and behavioural science community take a next step together to help define and shape the terms of this debate? I hope that we follow-up on this possibility as a priority because, under any scenario, our fields and our systems of publication in the US and the UK may appear distinct but in reality are tied and inextricably connected.

Thank you very much for the opportunity to present at this conference and to join your group.

Notes

1. This presentation benefited from AERA Conference on Open Accessing Publishing in the Social Sciences, discussed herein. In particular, I want to thank Nathan E Bell, AERA Associate Director for Education Research and Research Policy, who collaborated on the planning of that Conference and contributed to this presentation.

2. Waltham, M. (2009). *The future of scholarly journals publishing among socials science and humanities associations: Report on a study funded by a planning grant from the Andrew W. Mellon*

Foundation. Washington, DC: National Humanities Alliance.

3. Reitzel, T & Levine, FJ (2010). 'Online paper repositories and the role of scholarly societies: An AERA conference report'. *Educational Researcher*, 39(3) 266-271.

4. AERA journals and those of other social and behavioural science societies (eg the American Sociological Association, the Association of Psychological Science) are distributing freely or with nominal hosting fees (without revenue to AERA or to SAGE, our publisher) in developing countries to approximately 6,000 institutions through an umbrella group called Research4Life that encompasses HINARI, AGORA, OARE, and ARDI.

5. An examination of the acknowledgment of government grant support for two of the six AERA journals for four volume years (from 2009-2012) indicates that more than 30 but less than 40% note federal funding.

The Transition to Finch: learned societies and the uses of publisher income (1)

Sally Hardy AcSS
Chief Executive, Regional Studies Association

This paper sets out some of the uses of publisher income by social science learned societies. It draws on a detailed knowledge of the Regional Studies Association (RSA) and a general knowledge of many other learned societies backed up by research on nine Academy of Social Science member societies.

Key messages

There are five key messages within this paper:

1. The open access (OA) principle is embraced by the RSA and other societies and the challenges that open access presents are being faced
2. That learned societies make a key contribution to research and the wider academy – their contribution needs to be more widely recognised and understood

   Hazel Norman, Executive Director of the British Ecological Society says, '..there is general agreement that learned societies need to be better at championing the value that they add in fostering and nurturing their subject disciplines...'

   See also the Wiley-Blackwell Publishing News Blog, about a meeting of 35 learned societies held on 11th January 2012 to discuss the impact of OA on their activities:
   http://blogs.wiley.com/publishingnews/2012/04/26/the-impact-of-open-access-on-learned-societies/

3. Learned societies need some time to adjust their business models. Some small societies for example those that exist in Modern Languages can take as much as 90% of their income from their journals and run very lean organisations. In these cases a consequence of open access could be the loss of the society and in vulnerable disciplines this should be of national concern.
4. The embargo period for Green open access is important to enable the Finch Report (2012) 'mixed economy' to function. Research by the Publishing Consortium (May 2012) suggested that one year is a minimum to protect library subscriptions. Currently the Research Councils UK (RCUK) has supported a one year embargo but this may be a temporary measure and will be reviewed. This review will need to ensure that social sciences, arts and humanities societies have had time to adjust before tinkering with this critical measure.
5. CC-BY licence – most societies are concerned about the use of this very permissive licence and would prefer the use of the CC-BY-NC preventing commercial re-use or even the CC-BY-NC-ND licence preventing commercial re-use and derivative works which offers some security to authors.

Learned Society responses to the open access movement

Knowledge of the OA movement and its possible implications for societies is patchy across the sector. Societies in active and policy-engaged umbrella organisations such as the Academy of Social Sciences or the Association of Learned and Professional Society Publishers (ALPSP) or who use commercial publishers are in a position to be better informed. These profound changes to the learned society environment have been introduced very quickly and societies without paid staff may be disadvantaged by this.

Evidence from a Learned Society Chief Executive Officers' meeting hosted by the Academy of Social Sciences on 10th November 2012 indicated that most social science societies publish with a commercial publishing partner. This meeting recognised that such societies will be affected by things that impact on their publishers.

Society responses to a rapid expansion in OA publishing will be varied because the impact will be nuanced depending upon the publishing patterns and structures that are in place.

The Regional Studies Association is likely to be in the vanguard of open access change because:

- 67% of its income is from publishing
- if every article in 2011 had been published Gold OA with an Article Processing Charge (APC) of €2950 the Association would have a drop of 63% in publishing income or 45% of total income
- the RSA operates in a policy-oriented environment and as a consequence much of the work published is publicly funded. It is estimated that in 2011, 57% of UK published articles in the major journal, *Regional Studies*, had RCUK funding
- The Association's journals are international - on Regional Studies 8% of articles in 2011 had UK authors, 42% European, 21% North American and 21% Asian leaving a small balance for rest of the world. How OA rolls out globally will have an effect on the RSA. Europe

seems to be positioned certain to follow the UK lead but the US response will be important to the Association.

Publishing income and data

What impact will a change in publishing paradigm have on social science societies? Data on learned societies is hard to find. Some is in the public domain through Charity Commission annual reports and accounts and also through Companies House Returns and individual websites but there is almost nothing on the collective – not even a definitive list of UK based societies never mind a global list of societies and associations. There is much that could be done at this point to learn about the sector and how it operates in the round.

The figures below draw from research carried out in the RSA office using public records for 9 social science societies ranging in 2011 income from just under £100k to just over £10m. The small sample size gives the data a stern health warning.

Publishing Income (based on 2011 figures):

- Publications income as a percentage of total income – the average is 32% in a range from 1% to 67%. This includes both subscriptions and secondary sources of income from journals.
- Median income - £450,000 (lowest - £176k and highest £1.7m)
- Median reinvestment directly back into publishing activity was between 22% and 31%

When working with the data it is hard to generalise because cases are so different. This is in part because of different structures to publishing contracts meaning that it is not always possible to assess the reinvestment in publishing. The sector would benefit from some quantitative and qualitative research yielding statistics and analysis which can be relied upon.

The importance of publishing income

Publishing surpluses add to other income sources which tend to come from membership subscriptions, conferences, events and training and investment gains. This paper does not restrict itself to the spending only of publishing income.

In a straw poll of social science learned society CEOs at their November 2012 meeting, 82% thought that journals were a very important or important benefit of membership. There is a clear warning to societies of the threat to the membership model when journals move towards open access. As a counterpoint to this view, a 2009 survey of RSA membership resulted in a list of three key reasons to join - receipt of journals being listed alongside networking, conferences and events. Community building, it may be concluded therefore remains an important function and service from societies. It is worth noting that the question 'Is journal income important to your society?' would certainly have got a higher % agreement from the CEOs.

What is the contribution of social science societies to the academy and research?

James Hopkins who held an RSA /ESRC Case Studentship on the impact of the Regional Studies Association, modelled modern learned societies as developing social capital. He noted that:

> 'Learned societies' core activities of publishing and meetings have a common element – they link researchers and, potentially, users of research together. Other activities such as awarding prizes, recognising achievement and maintaining disciplinary identity allow individuals to recognise and evaluate the work of others. It is through these activities that learned societies facilitate interaction by building and sustaining connections, relationships and access to other individuals and knowledge.' (Hopkins 2011, pg 59-60).

Following the work of economic sociologists the value of social capital is seen as linking parties whose knowledge or information is of use to each other. Hopkins uses Burt (2003) to write about learned societies filling 'structural holes' to link and bridge knowledge gaps represented by the disconnections between academics, policy makers, practitioners and other research users. Ziman, (1984) asserted that learned societies highlight where gaps exist between individuals and knowledge and bring them together for interaction. By acting as connector and facilitator, value is realised he claimed.

It can be argued that modern learned societies work at the interstices of professional associations and pressure groups.

Purposes of learned societies

Learned societies share many common features in their service to the Academy community and these include:

- Promotion and nurturing of an academic discipline or disciplines at national/international scale/s
- Leading on knowledge exchange activities between sectors – academics/policy makers/practitioners
- Some offer accreditation of members to uphold standards, others use softer mechanisms such as the use of post-nominals which indicate an individual's embeddedness and commitment to a field
- Serving the public interest

Core activities of learned societies

The core activities of societies are well known. Most of the nine societies in the RSA research offered many of the same benefits.

- **Conferences/events** – from international to local in scale. In 2012 the core RSA activity included international events in Beijing, China and Delft, Holland as well as a UK conference in London, early career conference in Hamburg, Germany and a President's event in the Palace of Westminster
- **Research** – early career grants/project work. The RSA funded a PhD through the ESRC CASE scheme to investigate the impact of the RSA since inception. It ran 19 research networks with many published outcomes. It awarded 8 early career grants of £10k each
- **Publishing**. The RSA published two journals in 2012 with two new-start journals launching in 2013 - *Territory, Politics, Governance* and a new open access only journal *Regional Studies and Regional Science Open*. The Association's reinvestment in its journal publishing programme will increase in 2013
- **Knowledge Exchange** – for the RSA this includes advocacy and expert advice for example to governments and others; two events were hosted in the House of Commons, one on the demise of the RDAs and the emergence of LEPS (with the Smith Institute) and the other on High Speed Rail organised with the Royal Geographical Society and Academy of Social Sci-

ences. The RSA also ran a major policy conference with DG Regio as the first academic conference following the publication of the Fifth Cohesion Report and also coordinates the DG Regio/Committee of the Regions Open Days University and Master Class

Between academia, policy, practice and the wider public – the Regional Studies Association works extensively with policy networks and have a policy advisory board. The Association influences the emergence of regional policy internationally through these networks and has Board and Committee members from organisations such as the United Nations, OECD, World Bank, World Habitat and IBM Academy. This is activity that affects policy making and which would be hard to replicate without learned societies. Learned societies are a neutral and collective voice

- Media engagement through provision of experts and also consultation responses – the RSA is active in this area – it is a key membership benefit
- Networking – specialist topic groups/sub-discipline groups – the RSA supports 19 research networks which ran 16 events in 2012– with around 800 people participating. The RSA also has 6 international divisions and 47 territorial ambassadors
- Funding – the RSA offers conference bursaries, research grants, an event support scheme, travel awards, fellowships, PhD funding etc There are five funding mechanisms from £10k early career research grants to £400 travel bursaries. The Association has committed over £120,000 in 2012.
- Recognition of excellence – awards / competitions . The RSA gave 17 awards in 2012 recognising excellence across the field
- Advising on standards within the field/professional accreditation
- Supporting discipline leadership Support for teaching and learning. The RSA has run its own summer schools and in 2013 co-host a major summer school with the European Commission.
- Monitoring the health of disciplines and sub-disciplines
- Social media/website member and non-member communication bulletins including CV notice boards etc
- Provision of libraries and other resources.

The important point to note is not what RSA has done, which is provided as an illustration of how one association fulfils these functions. What matters is what collectively, say 1000 learned societies in the UK contribute financially and in other less tangible ways through their representational and advocacy roles.

Cost of delivery and robustness of society finances

The RSA research of nine social science societies showed a high degree of variability with two of the nine societies reporting deficit balances in 2011.

The RSA has enjoyed several years of some surplus, often historically helped by investment performance but budgets have become more finely balanced. In 2012 there is expected to be a planned deficit which will be repeated in 2013. This is in part due to investment in two new journals including an open access journal but these deficits also reflect changes in accounting conventions and an increase in RSA grant-giving especially to early career researchers. The degree of financial vulnerability depends on many factors including the scale of the organisation, range of activities, number of members, culture, subject area (for example there are different expectations of costs across subject areas).

Most societies are already lean organisations, running on tight margins. Cuts in publishing income are likely to impact on service delivery to members and the wider community and may threaten their viability.

The future of learned societies?

The RSA has a rising curve of membership and remains on this slope. Within the field individuals want to join the Association and to be a part of its activities, but societies tend to be slow moving and need time to adjust their working practices and expectations from their members. It will be important as open access publishing gains momentum to undertake full consultation with affected organisations and to seek to model for unexpected and unwelcome outcomes.

Summary

Learned societies form communities of knowledge and practice. They are critical for the representation of their fields and their members. Societies are the key scale for government and others to consult with – their interests include the individual researchers, academic departments, HEIs, national and international interests in their fields . The collective voice of societies enables them to publish journals, stage conferences and work at the policy interface at a scale, in a manner and with an authority that individual HEIs and private providers would be challenged to meet. There is, in 2012, a continuing demand to be a society member.

There have been two major challenges to the learned societies in recent years. The first was the introduction of on-line journals. The response to this was to boost membership benefits through community building. This time the issue is not only the method of delivery of the journal article but perhaps, in time, its very nature and the challenge that open access presents is how to restructure society business models to embrace open access without diminishing the service to both members and the wider community.

The Transition to Finch – learned societies and the uses of publisher income (2)

Professor Stephen Bailey, Vice President, Society of Legal Scholars

These comments reflect personal views rather than a society position. I have taken a broad, rather than narrow, approach to the title of this session. I intend to say something about the range of Law learned societies, something about the Society of Legal Scholars and its activities, and something more generally about the vitally important support roles of all learned societies.

Ironically, perhaps, the government's decision to impose open access requirements both poses a threat to some of these societies and shows why the continued existence of all is crucial.

Law is blessed with a number of separate subject associations at least in part for historical reasons. These include: the Society of Legal Scholars – formerly the Society of Public Teachers of Law; The Socio-Legal Studies Association; The Association of Law Teachers; The Committee of Heads of University Law School. There are more specialist societies for areas such as computers and the law. They have complementary roles and seek, where appropriate and feasible, to work together. Each (apart from CHULS) is associated with an established academic law journal. The Society of Legal Scholars is the largest, with a membership of about 3,000. Its members have interests across the full spectrum of legal scholarship. While the Society has a journal, the very highly regarded *Legal Studies*, the income we get from the publisher forms less than one tenth of our overall income. We are not reliant upon that source of income to nearly the same extent as other learned societies.

Accordingly, it is not possible to separate out the activities specifically supported by the publisher's income. The academic activities the Society does pursue in support of academic law include, as you would expect:

- a large annual conference, meeting over 4 days, with 14 subject sections and plenaries,
- a research purposes fund to which academics can apply for support. This is particularly useful for early career researchers to start ticking the research income 'box' on their CVs.
- support for a major seminar each year that tends to lead to a prestigious publication
- the SLS Centenary Lecture series, which are periodic lectures by leading academics and practitioners in different parts of the UK
- publication of *Legal Studies* as a journal
- The *SLS Reporter*, updating on Law School activities twice a year
- regular *SLS News*, circulated electronically with information about legal events and jobs
- book and conference papers prizes that are particularly well received by the winners and the publishers
- the Society's *Guidance on Standards for Law Libraries* is widely respected by the professional bodies and institutions.

But, apart from academic activities of that kind, there is the wider, representative role of the Society. One area where this is of crucial importance arises from the fact that a law degree that complies with the requirements of the Bar Standards Board and the Solicitors Regulation Authority is a Qualifying Law degree, and is the main vehicle for completion of the so-called 'academic stage' in qualifying as a barrister or solicitor. In fact it is generally accepted that an English law degree that is not a Qualifying Law degree would be of no value in the market place. At the moment there is a Legal Education and Training review being conducted by the regulatory bodies and the Society is playing an important part in providing evidence and arguments on behalf of the discipline.

This leads me to the points I wish to make about the role of learned societies in general. In my view, that they continue to flourish is essential for the health of Higher Education. Intending students start their thinking with a discipline or subject area. These, I would suggest, form the central focus of the student's relationship with the university. And here we hit a conundrum. There is a tension between the existence and importance of disciplines or areas of study on the one hand, and trends in modern university management on the other. In many HEIs there is an overt pressure to move to a smaller number of 'budgetary units'. The smallest discipline areas will be chopped or merged. There is a particular obsession with having a relatively small number of administrative support teams across an institution, something that effectively prevents a student developing a relationship with support staff that really understand the course. The criteria for choosing which small units should be merged are commonly arbitrary. A frequent mantra is that this will encourage interdisciplinary and multi-disciplinary work, although merging units with different cultures that don't really want to be merged has, I suspect, the opposite effect.

The same phenomenon can be seen with the reduction of subject panels for REF 2014. I am not arguing that the traditional subject disciplines and discipline areas are the only organising criteria of importance. But I think they can properly be seen as visible islands within a sea of 'stuff' – and commonly the places to which both students and academic staff want to swim. They are also a vital counter-balance to the powerful pressures for centralisation and (supposed) simplification at work within HEIs. Ways must be found to ensure their work continues.

Janet Finch stated yesterday that she had identified an apparent conundrum. On the one hand, learned societies were critical of the profits of publishers; on the other, they were complaining of the loss of income from publishing as endangering their existence. I believe there is a possible answer to this and that the position is really as follows: the sector, generally, has been complaining of the allegedly excessive profits made by large publishers in the STEM subjects. Even if the same publishers were publishing in the arts, humanities and social sciences, I would be surprised if their earnings from STEM journals were subsidising learned societies in the arts, humanities and social sciences. There is no inconsistency when societies in our areas raise the points they are now making.

Finally, it is arguable that the government's policy that led to

the Finch Report (not the report itself) is capable of causing considerable damage to the academy. It raises quite probably insoluble problems about rationing, and many other difficulties –what I believe to be the first serious challenge to legitimate academic freedom that I have encountered in my career. If I am right, learned societies need to work together more effectively than they ever have before. If they do not, who else will? HEFCE? The Research Councils? Certainly not! Universities are doubtful: UUK is a bit quiet. So that brings it back to us. And organising ourselves to respond loudly and effectively to the forthcoming HEFCE consultation is one vital step.

The Transition to Finch – the implications for learned society business models

Dr Rita Gardner CBE, Director of the Royal Geographical Society (with IBG)

This is a talk from a personal perspective and not as a member of the Finch Group.

'Finch' – some key messages

The Finch report contains three proposals to help government through the process:

- 'The group's remit has been to examine **how** to expand access to the peer-reviewed publications that arise from research undertaken both in the UK and in the rest of the world; and to propose a programme of action to that end.'
- 'During the transition, it is essential to **sustain** the key and valuable features of the research communications system; and the key players in that system require revenues to support their core activities.'
- 'Shifts to enable more people to have ready access to more of the results of research will bring many benefits. But realising those benefits in a sustainable way will require **co-ordinated action** by funders, universities, researchers, libraries, publishers and others involved in the publication and dissemination of quality-assured research findings.'

What 'Finch' said about Risk

Policy makers should be cautious and monitor the unintended consequences:

- 'Consider carefully the **balance** between the aims of, on the one hand, increasing access, and on the other of avoiding undue risks to the **sustainability of subscription-based journals** during what is likely to be a lengthy transition to open access. Particular care should be taken about rules relating to embargo periods. **Where an appropriate level of dedicated funding is not provided to meet the costs of open access publishing, we believe that it would be unreasonable to require embargo periods of less than twelve months**.'
- **'Funders' limitations on the length of embargo periods**, and on any other restrictions on access to content not published on open access terms, should be considered carefully, **to avoid undue risk to valuable journals** that are not funded in the main by APCs. Rules should be kept under review in the light of the available evidence as to their likely impact on such journals.'
- 'But we endorse the conclusion of the *Open Road* report 186 that **policy-makers should be cautious about pushing for reductions in embargo periods** and in other restrictions on access to the point where the sustainability of the underlying publishing model is put at risk.'
- 'It will also be essential to sustain close dialogue and monitoring of progress both in the UK and overseas, so that key issues and **any unintended consequences** during the transition years are identified early, and that remedial action can be taken where necessary.'

What 'Finch' said about learned societies

- 'Learned societies are interested in sustaining their support for the publication and dissemination of high-quality research, but also their work for public benefit in promoting and supporting scholarship in the disciplines they represent, and in helping to ensure that the UK sustains a strong international presence in those disciplines. **Any risks to the surpluses they secure through their publications imperil also the wider activities of the societies in question**, which publication surpluses are used to fund.'
- '**Keep under review the position of learned societies** that rely on publishing revenues to fund their core activities, the speed with which they can change their publishing business models, and the impact on the services they provide to the UK research community.'
- **'The challenges will also be acute for many learned societies** which rely on surpluses from high-status journals to fund their scholarly and related activities. The surpluses that societies earn from the publication and distribution of successful journals across the world play a vital role in supporting their activities in the UK. Many societies rely on such surpluses for half or more of their income. Recent studies indicate that 90% of some societies' journal subscription and licence income comes from overseas; and that the great majority of the benefit that societies provide through their non-publishing activities accrues to the UK.'
- **'If they can make the shift to open access journals *on a sustainable basis*, learned societies should also be able to maintain many of the services they provide to the research community**.'

Perceptions of our positions six months on as learned societies

The issue for learned societies is in how Finch has been implemented and the speed at which it has been implemented. An exogenous shock. Societies vary in their vulnerability – some receive only 5% (or even less) of their income from publishing, whilst others receive nearly all of it that way.

The RCUK announcements are the biggest perturbation. There was no consultation. There is no apparent modelling nor concern for sustainability. Where is there a recognition of time for learned societies to adjust? The Finch report said

learned societies need time to do so. RCUK's approach to learned societies appears shockingly arrogant. The learned societies sector and publishers bring in many tens of thousands of pounds of foreign currency and provide funding for activities that would otherwise require public funding.

There appear to be three main scenarios:

1. Difficult to see a way forwards for publishing and wider activities; feeling squeezed eg between the commercial interests of the publishers and the newly introduced market forces of the universities and intermediaries.
2. Probably capable of adjusting 'sustainably', reconciled to static or lower publishing incomes but can begin to see a possible way through.
3. Just can't wait for the brave new world – see more opportunities than threats.

How are learned societies different from commercial publishers?

- They go beyond purely financial views
- Publishing pervades more widely – it is not just income
- Publishing enhances UK research
- Quality
- Equity of access to scholars
- Reputation, profile and standing

It is important for learned societies to consider why they publish and to dissociate their activities from income generation.

The questions for learned society business models

- How do we react to inevitable change in the face of uncertainty and risk in the response, timing and impact of the multiple different stakeholders, all of whose behaviours affect our publishing and wider business models?
- What strategies can we employ for our journals, our wider activities and our income to survive and flourish?
- How can we best reduce risk by influencing the future agenda – what common shared ground – when we are all quite different and will face different challenges, opportunities and ability to adapt?

Implications for learned societies

These go beyond purely financial models and into other aspects of our operations, business models, ethos and rationales.

- Sustaining activities to support the academy
- Standing of UK research internationally
- Quality – the gold standard in profiling our disciplines
- Equity of access to publishing
- Membership relationships, expertise and loyalty

We must approach our business as 'Impact maximisers' not 'revenue maximisers'

It is **not just a matter of money** funding charitable activities – although that is important – it is also the wider roles that learned societies play through their publishing activities and the people linked to that.

The question is how will these change and **where does the balance in our *publishing futures*** for each of us lie:

- international promotion of UK's research and research standing
- providing a respected disciplinary voice through the journals
- the encouragement of wide readership and dissemination of science
- adding value to knowledge through our wider communities, and
- supporting our communities through access to opportunity and CPD

Business model Question 1. How do we react?

How do we react to inevitable change in the face of uncertainty and risk in the response, timing and impact on the multiple different stakeholders, all of whose behaviours – publishers, universities, academics, governments/agencies, libraries – will affect our publishing business models in still largely unknown ways? Learned societies have little power in these relationships; this means an inherent vulnerability. Lacking power, we seek knowledge & understanding

Myths, Realities, Uncertainties

1. Learned societies' journal subscription income arises (predominantly) from UK public money? Actually 90% is from overseas subscriptions.
2. Gold is sustainable for the leading peer-reviewed journals? This is unlikely, although hybrid form may be sustainable.
3. There will be enough public money to fund Gold? RCUK talks only of 45% funding.
4. Academics will publish less? Publishing is what academics do!
5. Academics do not consider journal ranking, reputation and reach when deciding where to publish? Wiley-Blackwell data shows that academics do indeed care.
6. Green OA is free? There are still costs associated with any form of publishing.
7. 6 month and 12 month embargos are the right length of time and mandated? No: the Publishers Association has shown embargo lengths are only mandated under some conditions; RCUK has not made this clear.
8. CCBY licences are desirable? 80% of academics polled prefer the NC/ND version.
9. The world will follow quickly and widely in terms of OA and licensing? The US is *not* following quickly.
10. Learned societies will be subsidising the UK public sector using overseas income? Actually, 90% of subscription income is from overseas, They will inadvertently fund the Green route for the 50% of non-Gold OA funded publications.
11. One size fits all?

Business Model Question 2: What strategies can we employ?

For our journals sustainability, our reputation and our income?

- Secure loyal customers?
- Hone the hybrid model?
- Grow in emerging markets?
- Buffer our risks?
- Reinforce quality and brand?
- Substitute income sources?
- Diversify income sources?
- Seek alliances and mergers?
- Do less better?
- Develop/use strategic planning & decision making skills?

- **Lobby**?

Strategic Options? Sustainability of Journals

- Define what sustainability means for you and adapt to that
- Look after our authors and reviewers - our customers in a monetised, competitive world
- For leading journals in HSS - make the hybrid model work as best we can and expand into new markets – this means affordable APCs.
- Develop new journal income streams and hedge bets on a full Gold OA future - diversity and buffer – through cascade journals, new open journals.
- Maintain journal standing and profile - reinforce quality and brand

Strategic Options? Sustainability in our wider business models – medium term

Even if a society feels secure, it must plan for the future. For many, their current publishing deals provide time to plan.

- Increase membership income:
  - Raise fees
  - Substitute fees for publishing income – membership deals
  - Widen categories / reach new audiences
- Rebalance income sources and find new ones:
  - publishing, membership, events/other charitable activities; partner on pathways to impact
  - fundraise; corporate partners; legacies
  - commercial enterprise; buildings as assets; consultancy
- Cost –reduction strategies:
  - Align / share
  - Merge
  - Do less; focus on what matters most

This all takes time. The message of 'Finch' was to allow time to the sector.

Strategic Options? Using our USP

- What are our strengths?
- What can we do better than anyone else?
- Where can we make the biggest difference?
- What are the biggest needs?
- How do we get there?

This is about planning and managing change: using strategic skills; having informed decision-makers and informed stakeholders; having a shared vision and strategic plan

- We will all regularly continue to face these decisions as players in the knowledge economy in which technology, networking and communication are changing the way in which we live, interact, share and work.
- Publishing is just one trigger – there will be many more – that will mean that we will all be asking ourselves: What's the role of the modern learned society?

Would government consider showing the value of the learned society sector by providing cash for learned societies for support in developing strategic plans?

Strategic Options: Our strengths

It is important to be aware of these:

- Brand & reputation
- Standing with individuals in the community – authors, reviewers
- Collective size of our memberships
- Knowledge base of experts
- Contact networks
- Continuity & legacy

Business Model Question 3: The future agenda

How can we best reduce risk by influencing the future agenda? We have had anger / risk / denial, but the situation is now becoming understood. It is starting to be the right time to come together and understand shared agendas. Do we have common shared ground?

Possible actions:

- **Commission a cost-benefit analysis of what the sector adds to the academy and the economy –** the government notices numbers! If the government wants to support the sector, it should help us make the case by providing funding to commission a cost-benefit analysis.
- Demonstrate a strong collective voice(s) – Academy of Social Science, Society of Biology, British Academy – to lobby
- Advocacy for issues we agree on unreasonable/ unsustainable restraints
  - Licence type of CCBY
  - 12/24 month embargo
  - APC levels
- Monitor for ourselves the impact for unintended consequences
  - Differential impact on (parts of) disciplines
  - Inequality for researchers at different career stages
  - Transition relative to rest of world
  - Sustainability of world's leading journals and learned societies

Why do learned societies feel vulnerable post-Finch?

- Speed of change
- Lack of control: on the end of everyone's ropes ….
- Difficulty of influence: cannot readily speak as one voice on this issue; words not numbers
- Loss of trust: what we do is not valued
- Uncertainty abounds
- Risk and risk-taking appetite / ability
- Differing levels of resilience / vulnerability
- New relationships with publishers
- New to strategic planning

Endnote

Who will we look back on in 20 years' time and cite as the main beneficiaries in all of this?

- Society - moral benefit as a public good
- The Economy

In practice:

- Governments; Academics; Universities; Libraries; learned societies;
- Public; SMEs; Commercial publishers; Internet giants.

Closing Remarks

Professor Martin Hall, Vice Chancellor, University of Salford,
member of the Finch Committee and Chair of the Open Access Implementation Group

The committee chaired by Janet Finch was set up in order to explore how the benefits of publicly funded research could be shared more widely and to general benefit. In particular, David Willetts was concerned – as so many of us are – that those who do not have the benefits of university-purchased licences to journal publications face unreasonable pay-to-view charges on an article-by-article basis. Are such paywalls limiting the broad economic and public benefits of cutting edge research?

It is important to stress the genesis of the Finch Group's work because, since the publication of our report, all sorts of retrospective expectations have been placed on it. Our report and recommendations, however, are quite clear about this: this was never intended as, and could never be, a comprehensive set of solutions for research publication in our digital world. As we stress, the transition to a comprehensive set of digital publishing solutions will be long and complex and will require what we term a 'mixed economy'. The transition has been similarly complex for the music and film industries and there is no reason to expect academic publishing to be different.

Speaking now as a Vice-Chancellor, it is important that universities and their leaderships understand the full range of strategic and operational issues that this 'mixed economy' will bring over the next few years. This includes important questions about the implications for the Humanities and the Social Sciences and for learned societies (discussed here today). The Finch report does not claim to have definitive answers for many of these questions, and debates such as today's are essential if these complex issues are to be unravelled to best advantage. For example, a lot more work has to be done to find solutions for academic monograph publishing. The potential exclusion of independent researchers from funding for Article Processing Charges is another issue. And, as we've seen with the debate following the publication of RCUK guidelines for open access, there will be much more discussion about embargo periods for publication (an issue heavy with opinion and light in credible evidence). A key milestone will be the publication of HEFCE's guidelines for the next Research Excellence Framework.

Beyond open access publishing lies the far larger world of Open Data. In my view it is open access to the vast and increasing amounts of digital data that the world is producing that will revolutionize our research practices over the next few years. There are huge possibilities here for a wide range of research endeavours including, of course, the Social Sciences.

I commend the Academy of Social Sciences for bringing together this crucial conversation and discussion and thank all presenters.

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