# The implications of the new UK Open Access policies on the ownership of copyright in academic publishing

**LLM in Intellectual Property Law** 

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For Ines and Ruxandra

# 1. INTRODUCTION AND METHODOLOGY

#### 1.1 Introduction

It all changed in academia with the introduction of research assessments in the 1980s. The purpose was to provide a more efficient and transparent way of allocating public funds for research to UK universities and consequently to stimulate and encourage research. Unsurprisingly, universities started to place a lot of emphasis on research, thus pressuring academics to rapidly and continually publish academic works to sustain and further their careers. In order to publish in the journal of their choice, academics were asked to assign copyright to the publisher. Over the years, academic publishing has become a very profitable business<sup>1</sup>, with a few companies virtually establishing a monopoly<sup>2</sup> and ruthlessly exploiting the current state of the industry to their advantage by manipulating academics and charging extortionate subscription fees, which are virtually forcing university libraries to spend most of their budgets on journal subscriptions.

Academics and universities counter-acted by launching the Open Access<sup>3</sup> movement, helped by the emergence of the internet. However, today many authors are still assigning the copyright in their works to academic publishers, partly because they were misled by the introduction of Gold Open Access – a business model which relies on authors paying a significant article-processing charge (APC)<sup>4</sup> in exchange for making the article Open Access with immediate effect. Usually, APCs were supported by funders and subscriptions were paid by university libraries. The predicament of universities is that they employ most of the academics who are conducting research sponsored by public or private grants. Considering that most of the research is publicly-funded, under these new circumstances the issue of who owns the copyright

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<sup>&</sup>lt;sup>1</sup> V Larivière, S Haustein and P Mongeon, "The oligopoly of academic publishers in the digital era" (2015) 10(6) *PLoS ONE*, available at

http://journals.plos.org/plosone/article?id=10.1371/journal.pone.0127502

<sup>&</sup>lt;sup>2</sup> G McGuigan and R D Russell, "The business of academic publishing: a strategic analysis of the academic journal publishing industry and its impact on the future of scholarly publishing" (2008) 9(3) *Electronic Journal of Academic and Special Librarianship*, available at http://southernlibrarianship.icaap.org/content/v09n03/mcguigan g01.html

<sup>&</sup>lt;sup>3</sup> "Open Access", Wikipedia, available at https://en.wikipedia.org/wiki/Open access

<sup>&</sup>lt;sup>4</sup> D J Solomon and B Björk, "A study of open access journals using article processing charges" (2012) 63 (8) *J Am. Soc. Inf. Sci.*, 1485–1495, available at http://onlinelibrary.wiley.com/doi/10.1002/asi.22673/full

in works produced by academics during employment suddenly becomes an expensive and stringent one.

Recently the Open Access cause has been immensely strengthened by two new policies and by having its importance acknowledged and endorsed by the UK regulatory bodies. It is very likely that the extent of drainage of public funds towards the commercial publishers was not anticipated when research assessments were introduced in the 1980s.

Undoubtedly the best way to stop this vicious circle would be for universities to assert copyright ownership in the works produced by their academics during employment. This will give them a much stronger negotiating position in their dealings with the publishers and help them comply with the new Open Access policies. UK universities are organised as charities and therefore they cannot make profit; this doesn't mean that they cannot save money.

Academics are mistrustful of universities breaking a long custom of not asserting copyright and suspicious that this may lead to future breaches of academic freedom. While for authors this might be a simple employment dispute between the university as employer and the academic author, the universities' take on the issue will always be aggravated by commercial publishers influencing academic authors. They do not seem to realise that the current monopoly in the academic publishing industry thrives on public money and is hurting the universities, the academic employees and ultimately the entire society.

Academic publishers fear that Open Access and anything else that might change the *status quo* would negatively affect their revenue streams.

This briefly explains why the issue of copyright ownership in academia has arisen since the introduction of research assessments and why the academic publishing industry is thriving on public money.

# 1.2 Methodology of research:

The author of this dissertation works in a university library and was involved in the last two research assessment exercises. He deals on a daily basis with APCs on behalf of the academics, enquiries regarding research assessment compliance, Open Access compliance, and general copyright enquiries. Previous experience includes working in public administration and dealing extensively with commercial companies, which might explain the author's concern about how public money are spent. As a law graduate in a civil law system and a Library employee, the issue of copyright ownership in academia in the UK has always been puzzling. The idea for this dissertation came when trying to develop and implement procedures and processes for complying with the RCUK<sup>5</sup> and HEFCE's<sup>6</sup> new Open Access policies and seeing how much additional work was required from academics and administrative staff alike.

The literature review was done by analysing both primary and secondary sources. The literature review of scholarly publications, existing IP / Copyright policies of other universities, newspaper articles, as well as a number of blog posts written by journalists, academics, or politicians was done through desk-based research. Furthermore, two interviews were secured – one with a senior HR advisor and the second one with the Head of the Legal Division from the university's knowledge transfer company to better understand the university's position regarding ownership of IP created by its employees.

There was a visible and interesting evolution in opinions and in the wording used, evolution generated by technical advances (internet), particularly for sources from the late 1990s and early 2000s, throughout mid-2000s and more recently in 2013-2014. The general outlook of scholarly papers was different according to the position of the authors: academic employees or academics commissioned to do a study.

From the academics' point of view, the debate regarding copyright ownership in academia is rather a simple matter and involves only the author and the employer. The employer's point of view, however, is more complex, taking into consideration the commercial publishers even though they are subsequent copyright owners. The literature review was enhanced by a brief overview of the academic publishing industry using scholarly papers and investment reports prepared by consultants.

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<sup>&</sup>lt;sup>5</sup> RCUK, *RCUK Policy on Open Access* (2013), available at <a href="http://www.rcuk.ac.uk/research/openaccess/">http://www.rcuk.ac.uk/research/openaccess/</a>

<sup>&</sup>lt;sup>6</sup> HEFCE, *Policy for open access in the post-2014 Research Excellence Framework* (2014), available at <a href="http://www.hefce.ac.uk/pubs/year/2014/201407/">http://www.hefce.ac.uk/pubs/year/2014/201407/</a>

# 1.3 Methodology of writing

While it is perfectly possible to discuss copyright in academia without even mentioning Open Access and commercial publishers, it is not possible to discuss Open Access without talking about copyright and commercial publishers. Thus, the copyright content of this dissertation may appear 'diluted'.

Imagining that this dissertation will be used for further development and practical application by persons without a legal background, in writing up of this dissertation an explanatory style was used and the clarity of the ideas was prioritised over the rigour of academic writing.

#### 2. LITERATURE REVIEW

# 2.1 The justification of intellectual property rights (IPR) and, in particular, the justification of copyright

There is a substantial amount of literature about the justifications for granting intellectual property rights, but all theories –unjust enrichment, natural rights, personality, human rights, utilitarian, economic, etc.– have strengths and flaws, especially if we consider that some of them are more suitable for some IPRs than for others. Nonetheless, it would be useful to be familiar with the key strengths and limitations of these theories, not least because the arguments might be used in theoretical debates or in the context of legal reforms, but I will focus here only on the utilitarian theory specific to the Anglo-American jurisdictions.

The utilitarian justification, originally advocated in the 18<sup>th</sup> century by Jeremy Bentham<sup>8</sup>, appeared as a critical reaction to the natural rights theory. The central point of this theory is the concept of well-being or utility: the existence of creative works contributes to the society's well-being, therefore production of such works must be stimulated by legislation<sup>9</sup>. The authors' need for incentives should be balanced with the public's needs such as widespread dissemination of works and information.

This particular approach to IPRs was embraced by the 'Founding Fathers of the United States of America' and included in the United States Constitution, empowering the Congress: "To promote the progress of science and useful arts, by securing for limited times to authors and investors the exclusive right to their respective writings and discoveries" <sup>10</sup>.

A general account on how the utilitarian justification might work in real life and thus, explain granting IPRs, is provided by E.C. Hettinger:

Without the copyright, patent, and trade secret property protections, adequate incentives for the creation of a socially optimal output of intellectual products would not exist. If competitors could simply copy books, movies and records, and take one

<sup>&</sup>lt;sup>7</sup> T Aplin and J Davis, *Intellectual Property Law: Text, Cases, and Materials*, 2<sup>nd</sup> edn (2013), 24, para 1.2.8

<sup>&</sup>lt;sup>8</sup> J Driver, "The History of Utilitarianism" (2014) *Stanford Encyclopaedia of Philosophy,* available at <a href="http://plato.stanford.edu/entries/utilitarianism-history/">http://plato.stanford.edu/entries/utilitarianism-history/</a>

<sup>&</sup>lt;sup>9</sup> D Beldiman, Functionality, Information Works, and Copyright (2008), 9.

<sup>&</sup>lt;sup>10</sup> US Constitution, Art. 1, Section 8, Clause 8

another's inventions and business techniques, there would be no incentive to spend the vast amounts of time, energy and money necessary to develop these products and techniques. It would be in each firm's self-interest to let others develop products, then mimic the result. No one would engage in original development, and consequently no new writings, inventions or business techniques would be developed<sup>11</sup>.

It should be noted that this dispute is centred on the users of intellectual creations, rather than the creators. Granting the IPRs to the creators is a mere means to this end:<sup>12</sup> the users' and society's well-being. Consequently, in common law jurisdictions where the utilitarian theory and its economic interpretation was largely embraced, the first ownership is vested in the employer of the copyright creator or the entrepreneur. By comparison, in the civil law jurisdictions were the natural rights and personality theories were embraced, the first ownership belongs to the copyright creator.

The works protected by copyright are generally not consumable<sup>13</sup>; their substance is not spent when used. Consequently, a copyright-protected work can be used by several persons without having to pay the author again for its production. From an economic point of view, new works will be produced only if the expected profits and the cost of multiplying the works exceeds or at least is equal to the cost of producing them. The economic perspective is useful because the social need for as many works as possible can be served this way<sup>14</sup>.

The utilitarian theory has been refined and diversified over the years, with new elements been added to the original balance of incentive vs. social loss. But is it still possible to find the right balance in copyright legislation using simple economics analysis? It is possible that many persons will value the copyright-protected work above the cost of production, so it will be socially desirable for them to have it, but they will not be unable to obtain it if their valuation is below the monopoly price set by the copyright owner<sup>15</sup>.

<sup>&</sup>lt;sup>11</sup> E C Hettinger, "Justifying Intellectual Property" (1989) 18(1) *Philosophy & Public Affairs*, 31-52, available at <a href="http://www.jstor.org/stable/2265190">http://www.jstor.org/stable/2265190</a>

<sup>&</sup>lt;sup>12</sup> Hettinger, 18.

<sup>&</sup>lt;sup>13</sup> From the French *non-consomptible* 

<sup>&</sup>lt;sup>14</sup> S Gavrilescu, "The justification of copyright in the information society" (2001), LLM Thesis, Central European University, ch.1.2.2., available at <a href="http://www.legi-internet.ro/en/articole-drept-it/justification-of-copyright-in-the-information-society.html">http://www.legi-internet.ro/en/articole-drept-it/justification-of-copyright-in-the-information-society.html</a>

<sup>&</sup>lt;sup>15</sup> S P Calandrillo, "An economic analysis of property rights in information: justifications and problems of exclusive rights, incentives to generate information, and the alternative of a government-run reward system" (1998) 9(1) *Fordham Intell. Prop., Media and Ent. L J*, 304, available at <a href="http://ir.lawnet.fordham.edu/iplj/vol9/iss1/6/">http://ir.lawnet.fordham.edu/iplj/vol9/iss1/6/</a>

The most recent theory in the economic justification of copyright is a combination of neoclassical and new institutional economic property theories<sup>16</sup>, both promoting shareholder wealth maximisation<sup>17</sup> and allocative efficiency, which give hints about the moral character of the theory<sup>18</sup>. Allocative efficiency can be done only in a Pareto-optimal way, which is when no one can gain something without someone else loosing something<sup>19</sup>. This would make sense in the case of scarce resources like petrol or coal, but in the case of *non-consomptible* goods protected by IPRs it will artificially alter the balance of incentive vs. social loss, jeopardising the free exchange of ideas and ultimately the societies' democratic institutions. In a democratic society, the purpose of copyright is not allocative efficiency, but the freedom of expression. Its purpose must be comprehensive enough to ensure people's freedom of speech but not so comprehensive as to restrict expressive diversity<sup>20</sup>.

# 2.2 The new Open Access policies

The Working Group on Expanding Access to Published Research Findings presided by Dame Janet Finch was set up in October 2011 with the aim of exploring how publicly-funded research outputs can be made more accessible. The group's conclusions<sup>21</sup> were fully supporting Open Access publishing and suggested a sensible program of action. The report recognised the utility of both Green and Gold Open Access routes to efficiently communicate research results, but recommended support for the Gold route in particular as being quicker. The UK Government approved all recommendations in the Finch report and in its official response has asked the four

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<sup>&</sup>lt;sup>16</sup> Gavrilescu, ch.1.2.2.

<sup>&</sup>lt;sup>17</sup> H Hansmann and R Kraakman, "The end of history for corporate law" (2000) Yale Law School Working Paper No. 235; NYU Working Paper No. 013; Harvard Law School Discussion Paper No. 280; Yale SOM Working Paper No. ICF - 00-09, available at <a href="http://dx.doi.org/10.2139/ssrn.204528">http://dx.doi.org/10.2139/ssrn.204528</a>
<sup>18</sup> N W Netanel, "Copyright and a Democratic Society" (1996) 106(283) *The Yale Law Journal*, available at <a href="http://ecohist.history.ox.ac.uk//readings/ip/netanel.htm">http://ecohist.history.ox.ac.uk//readings/ip/netanel.htm</a>

<sup>&</sup>lt;sup>19</sup> C Ellis, "Economic pressures vs. social benefit in information technology" (2000), Student project, Swarthmore College, ch. 3, available at

http://www.cs.swarthmore.edu/~eroberts/cs91/projects/economic-pressures/allocative\_efficiency.htm <sup>20</sup> Netanel, 106.

<sup>&</sup>lt;sup>21</sup> Research Information Network, *Accessibility, sustainability, excellence: how to expand access to research publications* (2012), Report of the Working Group on Expanding Access to Published Research Findings, available at <a href="http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf">http://www.researchinfonet.org/wp-content/uploads/2012/06/Finch-Group-report-FINAL-VERSION.pdf</a>

UK higher education funding bodies<sup>22</sup> and the Research Councils<sup>23</sup> to put the recommendations in practice by working closely with universities, the research and publishing communities.

# 2.2.1 Open Access – the distinction between Green and Gold Open Access

Open Access means unrestricted online access to research. It is primarily intended for peer-reviewed journal articles, but it is also increasingly applied to monographs as well. There are two main routes for making research available Open Access: Green and Gold. Green Open Access means that the author will publish in a journal of their choice and also archive the work in an institutional or subject repository. Usually, the archived version is the author's final peer-reviewed version and depending on the publisher's copyright policy it may be subject to an embargo before becoming publicly available. No charges are to be paid.

Gold Open Access means that the publisher's final version is made immediately available to the general public via the publisher's website upon the payment of an APC. The APCs depends on many factors, such as the particular journal or the field of research but generally<sup>24</sup> varies between £578<sup>25</sup> and £1891<sup>26</sup>.

#### 2.2.2 RCUK Policy on Open Access 2013

The primary role of RCUK is to fund research. Every year RCUK are responsible for investing around £3 billion<sup>27</sup> of public money in research conducted at UK universities and institutes, and in securing access to international facilities for UK researchers. The seven Research Councils are covering the entire spectrum of academic disciplines

<sup>&</sup>lt;sup>22</sup> The Higher Education Funding Council for England (HEFCE), the Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW) and the Department for Employment and Learning, Northern Ireland (DEL).

<sup>&</sup>lt;sup>23</sup> Arts & Humanities Research Council (AHRC), Biotechnology & Biological Sciences Research Council (BBSRC), Engineering & Physical Sciences Research Council (EPSRC), Economic & Social Research Council (ESRC), Medical Research Council (MRC), Natural Environment Research Council (NERC) and Science and Technology Facilities Council (STFC)

<sup>&</sup>lt;sup>24</sup> S Lawson, "Total cost of ownership' of scholarly communication: managing subscription and APC payments together" (2015) 28(1) Learned Publishing, 9-13, available at http://www.ingentaconnect.com/content/alpsp/lp/2015/00000028/00000001/art00003?crawler=true

<sup>&</sup>lt;sup>25</sup> Solomon and Biörk. 1488.

<sup>&</sup>lt;sup>26</sup> University of Cambridge, "Cambridge expenditure on APCs in 2014" (2014), available at https://unlockingresearch.blog.lib.cam.ac.uk/?tag=apc
<sup>27</sup> ERUK, "Research" (2014), available at <a href="http://www.rcuk.ac.uk/research/">https://unlockingresearch.blog.lib.cam.ac.uk/?tag=apc</a>

from science, technology, engineering and mathematics (STEM) to social sciences, and the arts and humanities.

The aim of the updated 2013 RCUK policy on Open Access<sup>28</sup> is to "achieve immediate, unrestricted, on-line access to peer-reviewed and published research papers, free of any access charge"<sup>29</sup>. Both Green and Gold paths to Open Access are supported but there is a preference for immediate (Gold) Open Access. Within the scope of the policy are research articles and conference contributions resulted from research funded by RCUK grants.

In order to help universities to comply with the new policy, the Research Councils introduced a new funding scheme: a block grant to universities and other eligible research organisations to help them cover the cost of APCs. For a large, research-intensive university the block grant for payment of APCs –although significant— will cover less than 10% of all outputs.

# 2.2.3 Policy for Open Access in the post-2014 Research Excellence Framework

The last research assessments were managed by HEFCE and overseen by a research excellence Steering Group, consisting of representatives of the four UK higher education funding bodies. These funding bodies allocate about £2 billion per year of research funding to UK universities and their aim is to support "a dynamic and internationally competitive research sector that makes a major contribution to economic prosperity, national wellbeing and the expansion and dissemination of knowledge"<sup>30</sup>.

HEFCE's 2014 Policy for Open Access for the next Research Excellence Framework<sup>31</sup> (REF) sets out the eligibility requirements for journal articles and conference proceedings for the next research assessment. To be eligible for submission, authors' final peer-reviewed manuscripts of journal or conference articles must be deposited in an institutional or subject repository no later than three months from acceptance for

<sup>&</sup>lt;sup>28</sup> RCUK, *RKUK Policy on Open Access and Supporting Guidance* (2013), available at <a href="http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUKOpenAccessPolicy.pdf">http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUKOpenAccessPolicy.pdf</a>
<sup>29</sup> RCUK. *Policy*.

<sup>&</sup>lt;sup>30</sup> HEFCE, *REF2014 Key facts* (2014), available at <a href="http://www.ref.ac.uk/media/ref/content/pub/REF%20Brief%20Guide%202014.pdf">http://www.ref.ac.uk/media/ref/content/pub/REF%20Brief%20Guide%202014.pdf</a> <sup>31</sup> HEFCE. *Policy*.

publication. To be classified as Open Access, eligible research outputs must meet the a) deposit, b) discovery and c) the access requirements. Both Green and Gold routes are accepted, this time with a preference for Green Open Access. Higher education institutions are recommended to implement processes and procedures early in order to comply with the Open Access requirements which will come into force on 1 April 2016.

# 2.3 Copyright ownership – general considerations

The general rule set out by Copyright, Designs and Patents Act (CDPA) 1988 is that the author of a work is the first owner of any copyright in it<sup>32</sup>. In addition to Crown or Parliamentary copyright ownership exceptions, another important statutory<sup>33</sup> exception from this rule is "where a literary, dramatic, musical or artistic work is made by an employee in the course of his employment, his employer is the first owner of any copyright in the work subject to any agreement to the contrary<sup>34</sup>". It is not enough that the author is an employee – they must also have created the work in pursuance of the terms of their employment in order for ownership to vest in the employer. Therefore, the relevant factors for crediting ownership of copyright created by employees is the scope of their employment and the definition of 'in the course of employment'. It should be mentioned here that traditionally, English courts tend to give a restrictive interpretation of these factors<sup>35</sup>.

Under the Fine Arts Copyright Act 1862, Copyright Act 1911 and Copyright Act 1956 there was another exception to the first owner rule: commissioned works. In the case of paintings, drawings, engravings and photographs, if the work was ordered and paid by a third party, copyright remains with the person placing the order, unless there is agreement to the contrary<sup>36</sup>. There are no specific provisions for commissioned works in CDPA 1988, which means that the general rule is applicable: the author of a work

<sup>&</sup>lt;sup>32</sup> CDPS 1988, s 11, para 1.

<sup>&</sup>lt;sup>33</sup> T Hart, S Clark and L Fazzani, *Intellectual Property Law*, 6th ed (2013), 211, para 17.2.

<sup>34</sup> CDPA 1988, s 11, para 2.

<sup>&</sup>lt;sup>35</sup> A Rahmatian, "Make the butterflies fly in formation? Management of copyright created by academics in UK universities" (2014) 34(4) *Legal Studies*, 709-735, available at <a href="http://onlinelibrary.wiley.com/doi/10.1111/lest.12040/full">http://onlinelibrary.wiley.com/doi/10.1111/lest.12040/full</a>

<sup>&</sup>lt;sup>36</sup> The Design and Artists Copyright Society (DACS), "Commissioned Works", available at <a href="http://www.dacs.org.uk/knowledge-base/factsheets/commissioned-works">http://www.dacs.org.uk/knowledge-base/factsheets/commissioned-works</a>

is the first owner of any copyright in it. A commissioner might have an implied license to use the work, at least for the purpose of the commission.

Also, with regard to copyright ownership, CDPA 1988 sets out certain legal presumptions. In the case of literary, dramatic, musical or artistic works, "where a name purporting to be that of the author appears on copies of the work, as published or on the work when it was made, the person whose name appeared shall be presumed, until the contrary is proved, to be the author of the work" and to have been made outside employment<sup>37</sup>. The same presumption applies in the case of joint authorship<sup>38</sup>. This presumption can be rebutted by contrary proof but creates evidential presumption that can be very valuable when it comes to litigation<sup>39</sup>.

# 2.4 Copyright ownership – academics' view

Obviously, most academic articles about the ownership of intellectual property rights are written by IP scholars, just as most articles about dynamics of star clusters are written by astrophysicists and articles about causes and effects of Alzheimer disease are written by epidemiologists. However, while in most fields of academic research new developments and innovations are constantly reported compelling scholars to adjust, reconsider and -sometimes- abandon their opinions, in the field of ownership of academic copyright there seems to be a *status quo* for more than half a century.

While the law makes no difference between academia and industry<sup>40</sup> when deciding ownership of IP, custom and practice have<sup>41</sup> made such a distinction. A literature review leaves the impression of a general agreement amongst scholars that academics, as copyright creators, own the copyright in the works created during employment, contrary to the rule specified in s11(2) from CDPA 1988<sup>42</sup>.

The landmark case is Stevenson Jordan & Harrison v McDonnell & Evans (1952) in which the court discussed the position of an accountant engineer who wrote a book, assigning the copyright to a publisher. The book contained public lectures prepared

<sup>&</sup>lt;sup>37</sup> CDPS 1988, s 104, para 2 (a) and (b).

<sup>38</sup> CDPS 1988, s 104, para 3.

<sup>&</sup>lt;sup>39</sup> Aplin and Davis, *Intellectual Property Law*, 121, para 3.2.1.

<sup>&</sup>lt;sup>40</sup> According to the Latin principle *Ubi lex non distinguit, nec nos distinguere debemus*.

<sup>&</sup>lt;sup>41</sup> R Pynder, "Ownership tussle in ivory towers" (2002), available at

http://richardpoynder.co.uk/Ownership%20tussle%20in%20ivory%20towers.htm

<sup>&</sup>lt;sup>42</sup> CDPS 1988, s 11, para 2.

and delivered by the accountant during his employment and a report prepared by him for a client company of his employer. The employer obtained an injunction to stop the publication of the book, claiming that the work contained confidential information and that having been prepared during employment, the copyright belong to them. The publishing house appealed and the appeal was accepted in part. The Court held that copyright in that part of the book which contained the report belonged to the employer and was not the accountant's to assign, while the other part, containing the public lectures, did belonged to the accountant despite the fact that it was done during employment. This land-mark case was cited in more recent<sup>43</sup> cases such Noah v Shuba<sup>44</sup> (1991) or the patent case of Greater Glasgow Health Board's Application<sup>45</sup> (1996).

In the discussion of the copyright situation of the lectures, Lord Evershed stated:

"What then is the position in regard to the giving of lectures? . . . *prima facie* I should have thought that a man, engaged on terms which include that he is called upon to compose and deliver public lectures or lectures to some specified class of persons, would in the absence of clear terms in the contract of employment to the contrary be entitled to the copyright in those lectures. That seems to me to be both just and common-sense. The obvious case to which much reference by way of illustration was made in the course of the argument is the case for the academic professions. Lectures delivered, for example, by Professor *Maitland* to students have since become classical in the law. It is inconceivable that because Professor *Maitland* was in the service at the time of the University of Cambridge that anybody but himself, one would have thought, could have claimed the copyright in those lectures<sup>46</sup>".

According to Pila<sup>47</sup>, Lord Evershed's suggestion that it is "just and common-sense" that academics own the copyright in their lectures, and by extension the copyright in their research, might explain why universities shy away from claiming academic copyright. Furthermore, Rahmatian<sup>48</sup> is convinced of the validity of this theory,

<sup>&</sup>lt;sup>43</sup> But still 19 and 24 year old cases.

<sup>44</sup> Noah v Shuba [1991] FSR 14.

<sup>&</sup>lt;sup>45</sup> Greater Glasgow Health Board's Application [1996] RPC 207 at 223.

<sup>&</sup>lt;sup>46</sup> Stephenson Jordan & Harrison v. McDonnell & Evans (1952) 69 R.P.C. 10, 18.

<sup>&</sup>lt;sup>47</sup> J Pila, "Who Owns the Intellectual Property Rights in Academic Work?" (2010) *European Intellectual Property Review*, 609–613; Oxford Legal Studies Research Paper No. 49/2010, available at http://ssrn.com/abstract=1618172

<sup>&</sup>lt;sup>48</sup> Rahmatian, 716.

suggesting that the Stephenson Jordan ruling "expresses a position that is confident and self-evident, not a potentially contentious view in a border line situation<sup>49</sup>".

Other authors, although agree that academics own the copyright in works produced during employment, are more cautious in their argumentation, such as Waelde et al. who said that "... even though the production of such works might be said to be in the course of employment"<sup>50</sup> or Monotti and Ricketson<sup>51</sup> who have an ample classification of the factors that influence copyright ownership in academia.

# 2.5 Copyright ownership - employers' view

There are several academic papers that consider the employer's view on copyright ownership for works produced during employment and Rahmatian's article<sup>52</sup> published in 2014 is the most recent paper which surveyed IP policies of several UK universities to find out what the policies were and how they were applied<sup>53</sup>.

Several findings emerge from Rahmatian's study:

- the issue of academic copyright is politically sensitive, and attempting to adopt a copyright policy may encounter opposition from individual academics and their trade unions;
- the text of the policy –adopted or in course of negotiation– is often vague, suggesting either unresolved negotiating points or that its drafting did not involve an IP specialist, or both;
- universities, as employers, are often misinterpreting the legislation and consider that they own the copyright outright, totally ignoring the small but very important technical details:
- very often the university managerial and administrative staff who oversee the policy are not clear on the detailed effects of the policy, or how it is affected by the legislation and jurisprudence.

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<sup>&</sup>lt;sup>49</sup> Idem.

<sup>&</sup>lt;sup>50</sup> C Waelde, G Laurie, A Brown, S Kheria, and J Cornwell, *Contemporary Intellectual Property: Law and Policy*, 3rd ed (2013), 95, para. 3.26.

<sup>&</sup>lt;sup>51</sup> A Monotti, S Ricketson, *Universities and Intellectual Property. Ownership and Exploitation* (2003), 302, para. 7.14 - 7.72.

<sup>52</sup> Rahmatian, 709-735.

<sup>&</sup>lt;sup>53</sup> M Anderson, "Who owns copyright in an academic's work?" (2014) *IP Draughts*, Website, available at <a href="https://ipdraughts.wordpress.com/2014/11/30/who-owns-copyright-in-an-academics-work/">https://ipdraughts.wordpress.com/2014/11/30/who-owns-copyright-in-an-academics-work/</a>

In conclusion, the IP policies of UK universities are ambiguous, have a questionable legal foundation and there is unsatisfactory practical management. But undoubtedly the most important impediment is that, because of the improper interpretation of the "work created in the course of employment" criterion and particularly its restrictive use by the courts, the universities presume that by default they own all works produced by academics as employees, although in practice they never assert copyright. Many universities do not have distinct policies for different intellectual property rights and their managerial and administrative staff are unaware of all the differences and levels of protection between copyright, patents, designs and trademarks. Very often the distinction between different IP rights with different type of protection, such as copyright and patents, is secondary to the distinction between teaching and learning materials and scholarly materials. Enforcement by a court of law is unlikely because both academics and universities will try to avoid a legal conflict, and therefore these policies are not likely to be put to the test soon.

In Rahmatian's view, the only way to correctly resolve the issue of copyright ownership in academia would be to request academic authors to assign copyright in all their present and future works to the university, either in a separate document, or in their employment contract, respecting all the legal formalities.

Another comprehensive, although to some extent out of date, is the study<sup>54</sup> published in 2003 by Elizabeth Gadd, Charles Oppenheim and Steve Probets. This is the first of a series of six papers originating from the RoMEO Project<sup>55</sup> (Rights Metadata for Open-archiving), funded by UK Joint Information Systems Committee (JISC), which investigated the IPR issues relating to academic author self-archiving of research outputs. From the employer's perspective, the authors discuss the academics, universities, and publishers' claims for copyright ownership in research papers.

At the start of the digital age, the universities were beginning to understand that teaching and learning materials currently offered exclusively to their students could be offered and used online, to other users, so they started to consider IP protection. A

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<sup>&</sup>lt;sup>54</sup> E Gadd, C Oppenheim and S Probets, "RoMEO studies 1: the impact of copyright ownership on academic author self-archiving" (2003) 59(3) *Journal of Documentation*, 243-277, available at <a href="http://www.emeraldinsight.com/doi/full/10.1108/00220410310698239">http://www.emeraldinsight.com/doi/full/10.1108/00220410310698239</a>

<sup>55</sup> RoMEO Project, available at http://www.lboro.ac.uk/microsites/infosci/romeo/

working group set up in 2003 produced the following year a report<sup>56</sup> recommending that IPR in e-learning materials is owned by the university, but staff to have a royaltyfree licence to use it within the university.

With regard to research materials, Gadd, Oppenheim and Probets suggest that it is ironic that at the start of this digital age where IPRs are so highly prized, universities have shown little interest to assert their copyright despite the fact that the law would seem to grant universities, as employers, certain rights over the works created by academics during their employment<sup>57</sup>. While it has been argued that because of the very restrictive interpretation by the courts of the 'in the course of the employment' criterion, unless an academic's employment contract does not explicitly state that their job is to undertake research, then any research performed is not done in the course of the employment'. In reality, research is mentioned in academics' contracts and usually it is done partly using the employer's technical and logistic facilities and partly elsewhere. In a 1996 discussion paper for the UK JISC, Oppenheim<sup>58</sup> considers this issue:

[...] it is clear that pressures of the RAE has led to a situation where it is arguable that academics are required to create research publications, whether learned journal articles or monographs, and that failure to produce such articles will adversely influence their chances of promotion or tenure within the HEI. Thus, there is an arguable case that research publications are produced by an academic as part of his or her employee duties, and that a strong case can be made that the HEI owns the copyright in such publications automatically, unless there is a contract to the contrary<sup>59</sup>.

Research and teaching (and some administrative work) is exactly what is expected from academics, therefore, if universities can claim copyright ownership in teaching and learning materials, it appears common-sense that they should be able to also claim copyright in research papers.

The reasons found by Gadd, Oppenheim and Probets to explain why the universities are not asserting copyright in works produced by academics during their employment

<sup>&</sup>lt;sup>56</sup> Universities UK, From the margins to the mainstream: embedding widening participation in higher education (2004), available at

http://www.universitiesuk.ac.uk/highereducation/Documents/2005/MarginsMainstream.pdf

<sup>&</sup>lt;sup>57</sup> Gadd, Oppenheim and Probets, 252.

<sup>&</sup>lt;sup>58</sup> C Oppenheim, "Copyright in HEIs: A Discussion Paper" (1996), Department of Information Science, Strathclyde, available at www.jisc.ac.uk/pub/copyright/charles1.htm (URL is no longer valid), cited in Gadd, Oppenheim and Probets, 253. <sup>59</sup> Idem.

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are: a) that it is very likely to encounter strong opposition from academics and their trade unions, opposition based on academic freedom and a history of 'custom and practice' and b) there is no financial incentive to do so, although noting that "just because there is no money to be earned, does not mean that there is no money to be saved" 61.

Following the survey of 542 academics, the authors compared their findings with the findings of other similar surveys, such as the one commissioned by the Association of Learned and Professional Society Publishers (ALPSP) in 2002<sup>62</sup> and the one commissioned by JISC and published in 2000<sup>63</sup>. While the percentages are slightly different, the findings are similar: when academics were asked who they thought owned the copyright in research papers, approximately two thirds of the respondents believed that the authors own the copyright, approximately one third did not know, and a very small percentage said that the university owns the copyright. Other common findings were that many universities did not have a coherent copyright policy and that academics will strongly oppose any attempts of the university to claim and control the intellectual property generated by the employees. Another interesting finding of these studies is the difference in mentality between younger and older academics:

Younger members of staff see their department as a 'business unit'; they anticipate a more managerial climate and hence they expect that the institution will take ownership of all outputs. This is in contrast to older members of staff who see their main loyalty as lying with their subject discipline...older staff assume that they own the copyright of journal articles and books which they have written, prior to publication<sup>64</sup>.

The academic authors' attitude with regard to copyright assignment also results from the study: 49% of respondents said that they reluctantly assigned copyright to publishers, 41% said that they did so freely, 7% said that the publisher did not ask for a copyright transfer agreement to be signed and 3% insisted on retaining copyright<sup>65</sup>. The essence of the problem is that academics are more interested in getting

<sup>60</sup> Gadd, Oppenheim and Probets, 252-253.

<sup>&</sup>lt;sup>61</sup> Gadd, Oppenheim and Probets, 253.

<sup>&</sup>lt;sup>62</sup> A Swan and S Brown, *Authors and Electronic Publishing* (2002), available at http://www.alpsp.org/Ebusiness/ProductCatalog/Product.aspx?ID=30

<sup>63</sup> R Weedon, Policy approaches to copyright in HEIs: a study for the JISC Committee for Awareness, Liaison and Training (JCALT) (2000), available at

http://www.learningservices.strath.ac.uk/docs/JCALT.pdf

<sup>&</sup>lt;sup>64</sup> Weedon, *Policy approaches*, 17.

<sup>65</sup> Gadd, Oppenheim and Probets, 259-260.

professional recognition rather than any monetary advantage or, in IP terms, they are more interested in the moral rights rather than the economic rights provided by copyright ownership. Gadd, Oppenheim and Probets concluded that authors are often unaware of the real meaning of certain IP terms and therefore they are happy to grant an exclusive license to publishers as long as they can retain copyright, without realising that there is in fact no benefit compared to assigning copyright itself<sup>66</sup>.

Considering that the study was published in 2003 the recommendations were, in my view, well balanced and economically feasible for that time. The universities were advised either a) to claim copyright in all works produced by academic employees even if for the time being they will continue to waive it or b) to assert copyright in the electronic version of the article while publishers will get the copyright in the print version. The ideal situation would be when the university will have a non-exclusive license that will permit the use of the works for education purposes, including archiving on an institutional repository. The advice for academic authors was to avoid exclusive licenses which can be as restrictive as copyright transfer agreements. Preferably, they should publish in Open Access journals or negotiate a non-exclusive license. Regarding the academic publishers, their advice was to be more flexible and permit self-archiving and archiving on an institutional repository.

#### 2.6 Copyright ownership - academic publisher's view

Including academic publishers in the literature review regarding copyright ownership in academia may seem surprising as they are not involved in any way in the original debate between academics as creators and universities as employers. Academic publishers are neither authors, nor employers and nor commissioners. They obtain copyright ownership usually through assignment from the academic authors as a condition for publishing their works and their role in the scholarly communication process is very important.

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<sup>&</sup>lt;sup>66</sup> Gadd, Oppenheim and Probets, 261.

In addition to academic articles, there is a very large number of non-scholarly papers, newspaper articles or blog-posts written by journalists<sup>67</sup>, librarians, politicians<sup>68, 69</sup> and scientists<sup>70</sup>, which –very competently– discuss the current situation and future developments in the academic publishing industry and the role of the commercial publishers.

CDPA 1988 grants publishers the copyright in the typographical arrangement of a work,<sup>71</sup> but this is not enough to justify and protect their investment in the scholarly communication process. Therefore, academic publishers have developed internal policies that require academic authors to assign copyright or grant an exclusive license to the publisher in order to prevent subsequent publication and thus ensuring economic monopoly over the published research. Quite conveniently, the "international convention in journal publishing is one publication only, one time only (...) anything else would lead to bibliographic chaos"<sup>72</sup>.

# 2.6.1 Academic publishing industry - brief analysis

A major shift in the academic publishing industry happened in the 1960s and 1970s when commercial publishers, recognising the potential for profitability of the industry, started to approach learned societies with a very tempting proposition: in exchange for a stipend, to transfer the administrative and business part (editing, printing, pricing, subscription management, cataloguing, bibliographical classification, and so on) of scientific journals to the publishers, while learned societies to keep the refereeing and the academic functions<sup>73</sup>. Based on their previous managerial experience that scientific journals could hardly cover their own costs, many learned societies and

<sup>72</sup> Gadd, Oppenheim and Probets, 262.

<sup>&</sup>lt;sup>67</sup> G Monbiot, "Academic publishers make Murdoch look like a socialist" (2011) *The Guardian - Opinion*, available at <a href="http://www.theguardian.com/commentisfree/2011/aug/29/academic-publishers-murdoch-socialist">http://www.theguardian.com/commentisfree/2011/aug/29/academic-publishers-murdoch-socialist</a>

<sup>&</sup>lt;sup>68</sup> A McKechin, "Open Access – Breaking the Monopoly of Large Academic Publishers" (2013), *Huff Post - Politics UK*, available at <a href="http://www.huffingtonpost.co.uk/ann-mckechin/open-access-academic-publishing-b-3100558.html">http://www.huffingtonpost.co.uk/ann-mckechin/open-access-academic-publishing-b-3100558.html</a>

<sup>&</sup>lt;sup>69</sup> D Willetts, "Open, free access to academic research? This will be a seismic shift" (2012) *The Guardian - Opinion*, available at <a href="http://www.theguardian.com/commentisfree/2012/may/01/open-free-access-academic-research#comments">http://www.theguardian.com/commentisfree/2012/may/01/open-free-access-academic-research#comments</a>

<sup>&</sup>lt;sup>70</sup> I Sample, "Harvard University says it can't afford journal publishers' prices" (2012), *The Guardian - Science*, available at <a href="http://www.theguardian.com/science/2012/apr/24/harvard-university-journal-publishers-prices">http://www.theguardian.com/science/2012/apr/24/harvard-university-journal-publishers-prices</a>

<sup>&</sup>lt;sup>71</sup> CDPA 1988, s 9, para 2(d).

<sup>&</sup>lt;sup>73</sup> R Edwards and D Shulenburger, "The high cost of scholarly journals: (and what to do about it)" (2003) 35(6) *Change*, 10-19, available at <a href="http://www.jstor.org/stable/40177249">http://www.jstor.org/stable/40177249</a>

universities were happy to accept these offers. Commercial publishers proceeded to cherry-pick academic journals, acquiring the most reputable ones and those with the largest circulation. Taking advantage of the relative inelasticity of both supply and demand<sup>74</sup>, between 1975 and 1995 commercial publishers raised their prices by 310% in constant dollar terms<sup>75</sup>, correctly anticipating that they will lose relatively little market share.

This transformation has largely destroyed the old, university-based system for provision of a public good –knowledge– and replaced it with an inappropriate and inefficient private market, which lacks any provision for handling knowledge as a public good<sup>76</sup>. Ever since the 1862 and 1890 Morrill Acts, it has been generally accepted that dissemination of knowledge is a public, social responsibility<sup>77</sup>. The old arrangement has been labelled as a gift exchange<sup>78</sup>, meaning that researchers will make their research freely available in exchange for access to the research of others. Thus we witnessed a dramatic transition from the old model that guaranteed a wide distribution of a public good to a new model that distributes a public good for profit.

Unlike most UK universities, which are organised as charities and whose mission can be generally described as "creation, dissemination and curation of knowledge<sup>79, 80</sup>", most academic publishers are organised as commercial corporations and their role is to make a profit. This is particularly evident in the case of the major publishers: RELX Group (the former Reed Elsevier), Wiley, Informa (Taylor & Francis Group) and Springer Science + Business Media. All these major publishers are international corporations, each with revenues of over £2billion in the last years and are listed on stock exchanges in New York, London and Frankfurt. Elsevier, Wiley and Taylor & Francis are based in UK and US which means that companies are governed by the

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http://www.econ.ucsb.edu/~tedb/Journals/morganstanley.pdf

http://www.researchgate.net/publication/240361417 Trends in Scientific Scholarly Journal Publishing in the United States

<sup>&</sup>lt;sup>74</sup> Morgan Stanley, "Media Industry Overview: Scientific Publishing: Knowledge is Power" (2002) *Equity Research Report Europe*, available at

<sup>&</sup>lt;sup>75</sup> C Tenopir and D W King, "Trends in Scientific Scholarly Journal Publishing in the United States" (1997) 28(3) *Journal of Scholarly Publishing*, available at http://www.researchgate.net/publication/240361417, Trends in Scientific Scholarly Journal Publishing

<sup>&</sup>lt;sup>76</sup> Edwards and Shulenburger, 12.

<sup>&</sup>lt;sup>77</sup> C Antonelli and A N Lonk, *Routledge handbook of the economics of knowledge* (2015), ch. 9, para 3, 140.

<sup>&</sup>lt;sup>78</sup> Edwards and Shulenburger, 15.

<sup>&</sup>lt;sup>79</sup> The University of Edinburgh, "Mission and governance" (2015), available at <a href="http://www.ed.ac.uk/about/mission-governance/mission">http://www.ed.ac.uk/about/mission-governance/mission</a>

<sup>&</sup>lt;sup>80</sup> Harvard University Library, "Open Access policies" (2010), available at <a href="https://osc.hul.harvard.edu/policies">https://osc.hul.harvard.edu/policies</a>

shareholder wealth maximisation principle<sup>81</sup>. It has been documented<sup>82</sup> that this corporate governance system can be held responsible for the economic crashes from 2001 and 2008 when excessively shareholder-oriented companies collapsed because of major governance failures<sup>83</sup>. Additionally, the shareholder-oriented model leads to greed and unjustified risk-taking: corporate managers were entitled to numerous benefits but ordinary investors, stakeholders and the general public were exposed to risks, resulting in a classic moral dilemma for companies' managers<sup>84</sup>.

The entry of commercial publishers in the academic journals' market and subsequent consolidation led to a highly concentrated industry; it is estimated that today, Elsevier, Wiley, Springer, Taylor & Francis and Sage account for more than half of all papers published in 2013<sup>85</sup>. Beside the major commercial publishers, there are more than 2,000 smaller publishers who are struggling to survive. The 1998-2000 operating profit margins for Elsevier were extremely high, approximately 36% for Science & Medical journals and on average approximately 23%, while the average for the industry was approximately 4.4%<sup>86</sup>.

In an investment analysis report of Elsevier done by Deutsche Bank it is said that "the value added to the publication process by academic publishers is not high enough to explain the margins that are earned" The explanation lies in: a) the high concentration of the industry, b) inexistent competition between publishers, and c) their huge negotiation power in rapport with the academics who supply new articles for publication and with the universities who are buying the journals. Publishers are undermining the negotiating power of the academic authors by having the copyright assigned to themselves, while universities are unable to increase and consolidate their

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<sup>&</sup>lt;sup>81</sup> Hansmann and Kraakman, 8-11.

<sup>&</sup>lt;sup>82</sup> D M Branson, "Global convergence in corporate governance? What a difference 10 years make", in T Clarke and D Branson (eds.), *The SAGE handbook of corporate governance* (2012), 373.

<sup>&</sup>lt;sup>83</sup> S Thomsen, "The convergence of corporate governance systems to European and Anglo-American standards" (2003) 4(1) *European Business Organization Law Review*, 31-50, available at <a href="http://login.westlaw.co.uk.ezproxy.is.ed.ac.uk/maf/wluk/app/document?&srguid=ia744c0970000014f3cfd771e26987702&docguid=I3FA66320721A11E093D2C583C139DB77&hitguid=I3FA66320721A11E093D2C583C139DB77&rank=1&spos=1&epos=1&td=1&crumb-action=append&context=2&resolvein=true</a>

<sup>84</sup> Branson, 373.

<sup>85</sup> Larivière, Haustein and Mongeon.

<sup>&</sup>lt;sup>86</sup> McGuigan and Russell.

<sup>&</sup>lt;sup>87</sup> Deutsche Bank AG, "Reed Elsevier: Moving the Supertanker" (2005) *Company Focus: Global Equity Research Report*, 36. Quoted in McGuigan and Russell.

negotiating power. The result of this *status quo* is constant price increases and high margins for commercial publishers.

Academic publishing industry has a strange economic model. The first and the most important of the actors within this industry are the academic authors who conduct the research, write the articles and provide editorial and peer-review services. Their contribution —even though unpaid— is crucial to the publishers and is motivated by a) the norms of the academic profession, which encourage them to participate in the creation and dissemination of new knowledge based on research and scholarly activities and b) the process of career advancement and tenure, which is mostly determined by research and production of scholarly articles. Access to previously published research is a pre-requisite for creating new research, so that new ideas and theories can be compared with and built upon the old ones. The pressure to publish, specific to the UK due to the research assessments, leads to an incessant supply of articles for the journal publishers, as well as the creation of new and specialized journals.

# 2.7 International developments regarding copyright

There are signs showing that the interest for knowledge and research as a public good is high on the agenda of national governments, who are taking measures to protect it.

In a letter<sup>88</sup> addressed to the newly appointed European Union (EU) Commissioner for Digital Economy and Society, Gunther Oettinger, the academic think-tank European Copyright Society requested that copyright laws in every EU country should be the same: "Despite almost 25 years of harmonization of copyright in the EU, copyright law in Europe has essentially remained national law<sup>89</sup>" and a single European copyright law is "the only way a fully functioning digital single market of copyright-based goods and services can ultimately be achieved<sup>90</sup>". The Digital Single Market<sup>91</sup> (DSM) has

<sup>&</sup>lt;sup>88</sup> European Copyright Society, Letter on the unification of copyright law addressed to Gunther Oettinger, Commissioner for Digital Economy and Society European Commission (2014), available at <a href="http://www.ivir.nl/syscontent/pdfs/78.pdf">http://www.ivir.nl/syscontent/pdfs/78.pdf</a>

<sup>89</sup> Idem.

<sup>90</sup> Idem.

<sup>&</sup>lt;sup>91</sup> European Commission, "Digital Single Market" (2015), *Digital Agenda for Europe:*A Europe 2020 Initiative, available at <a href="http://ec.europa.eu/digital-agenda/en/digital-single-market">http://ec.europa.eu/digital-agenda/en/digital-single-market</a> (Accessed on 5 August 2015).

been the holy grail of EU politicians for a long time: in addition to the benefits for online businesses, research and for the 315 million Europeans, it will give EU tech companies a better chance when competing with non-EU companies such as Google or Facebook.

This is not the first initiative to create a single European copyright law. The European Copyright Code<sup>92</sup> is the result of a European-wide collaboration known as 'the Wittem group'. The members of the Wittem Group hope that their draft "will contribute to the establishment of a body of transparent and consistent copyright law that protects the moral and economic interests of creators, while serving the public interest by promoting the production and dissemination of works in the field of literature, art and science<sup>93</sup>". The Drafting Committee and the Advisory Board were composed of academics from both the civil law system and common law system, demonstrating that a European Copyright Law that assimilates both traditions can be achieved. The draft is not without criticism<sup>94</sup>, but it is a good start in the direction of a EU unified copyright legislation.

Regarding Open Access in EU, via a Recommendation<sup>95</sup> issued in 2012, the European Commission encouraged all EU member states to put publicly-funded research results in the public domain in order to strengthen science and the knowledge-based economy<sup>96</sup>. The following year, the European Commission took a big step towards open science by requesting that all projects receiving Horizon 2020 funding will have the obligation to make sure any peer reviewed journal article they publish is openly accessible, free of charge<sup>97</sup>. Following the Commission's Recommendation, alongside

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<sup>&</sup>lt;sup>92</sup> The Wittem Group, European Copyright Code (2010), available at <a href="http://www.copyrightcode.eu/">http://www.copyrightcode.eu/</a>
<sup>93</sup> Idem

<sup>&</sup>lt;sup>94</sup> E Rosati, "The Wittem Group and the European Copyright Code" (2010) 5(12) *Journal of Intellectual Property Law & Practice*, 862-868, available at http://jiplp.oxfordjournals.org/content/5/12/862.full.pdf+html

<sup>&</sup>lt;sup>95</sup> European Union, "Commission recommendation on access to and preservation of scientific information (2012/417/EU)" (2012) *Official Journal of the European Union*, available at <a href="http://eurlex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32012H0417&rid=1">http://eurlex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32012H0417&rid=1</a>

<sup>&</sup>lt;sup>96</sup> European Commission, "Policy Open Science (Open Access)" (2015), available at http://ec.europa.eu/research/swafs/index.cfm?pq=policy&lib=science

<sup>&</sup>lt;sup>97</sup> European Commission, "Fact sheet: Open Access in Horizon 2020" (2013), available at <a href="https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/FactSheet\_Open\_Access.pdf">https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/FactSheet\_Open\_Access.pdf</a>

UK, a few countries such as Spain<sup>98</sup>, Italy<sup>99</sup>, and Germany<sup>100, 101</sup> have passed national laws requesting that all publicly-funded research to be made available Open Access.

Arguably the best way to protect the general public's interest is paragraph 105 of the US Copyright Law which stipulates that: "Copyright protection under this title is not available for any work of the United States Government, but the United States Government is not precluded from receiving and holding copyrights transferred to it by assignment, bequest, or otherwise<sup>102</sup>." In other words, by effect of the law, works of the U.S. federal government are in the public domain upon creation. Two conditions must be met for a work to be considered in the public domain: a) it must be created by an officer or employee of the United States Government and b) it must have been done as part of that person's official duties. Unfortunately, it is up to the reader to determine if works are in the public domain or not; failing this, they should consider the works as copyright-protected.

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<sup>&</sup>lt;sup>98</sup> European Commission, "Policy Documents" (2011), available at <a href="http://erawatch.jrc.ec.europa.eu/erawatch/opencms/information/country\_pages/es/policydocument/policydoc">http://erawatch.jrc.ec.europa.eu/erawatch/opencms/information/country\_pages/es/policydocument/policydoc</a> 0009

<sup>&</sup>lt;sup>99</sup> V Moscon, "Open Access in Italy" (2014) 1 art. 32 *IRIS*, available at http://merlin.obs.coe.int/iris/2014/1/article32.en.html

<sup>&</sup>lt;sup>100</sup> P Suber, "Germany's DFG adopts an open access policy" (2006) 96 *SPARC Open Access Newsletter*, <a href="http://dash.harvard.edu/bitstream/handle/1/4391160/suber dfg.htm?sequence=1">http://dash.harvard.edu/bitstream/handle/1/4391160/suber dfg.htm?sequence=1</a>

<sup>&</sup>lt;sup>101</sup> M Burkhardt, "A victory for Open Access in Germany? Not quite!" (2013) *Hybrid Publishing Lab*, available at

https://hybridpublishing.org/2013/06/a-victory-for-open-access-in-germany-not-quite/

<sup>&</sup>lt;sup>102</sup> Copyright Law of the United States of America and Related Laws Contained in Title 17 of the *United States Code*, para 105, available at http://www.copyright.gov/title17/92chap1.html#105

# 3. ANALYSIS AND COMMENTS

### 3.1 Academic publishing – an industry at crossroads

The future looks dim for the academic publishing industry. The commercial publishers' innate inability to manage a public good is matched only by the universities' innate inability to drive a hard bargain when they have to.

In their ruthless pursuance of profits at any cost –so specific to the corporations governed by the shareholder maximisation principle– academic publishers have managed to alienate the key players of the industry: academics, as 'providers' for the works they are selling to their captive 'customers', i.e. the universities. Academic publishers have also managed to corrupt the generous idea of Open Access to their advantage by creating Gold Open Access. Due to their unacceptable business practices<sup>103</sup>, over 15,000 researchers joined the boycott<sup>104</sup> started by Tim Gowers<sup>105</sup> in January 2012. More recently, the Association of Universities in the Netherlands (VSNU) is preparing a boycott of Elsevier journals during their negotiations over a new subscription deal with the publisher<sup>106</sup> while other major academic publishers have already agreed deals that accommodates VSNU requirements.

National governments are starting to realise that they have placed a public good in private hands and costs that are getting out of control. The European Commission already suggested to national governments to ensure that publicly-funded research will be made publicly available; after all, it is public money. When the UK Government introduced the research assessment idea in the 1980s, in an attempt to better allocate research funding, it was not possible to foresee all the potential consequences of this move. The unhealthy 'publish or perish' pressure on academics proved to be very profitable for academic publishers and the research assessment events are extremely taxing for universities in terms of money and staff, both administrative and academic. Signs of forthcoming changes in the copyright legislation, and consequently in

<sup>&</sup>lt;sup>103</sup> Such as selling access to Open Access journal articles as detailed by R Mounce in several posts on *rossmounce.co.uk* (2015), Blog, available at <a href="http://rossmounce.co.uk/category/wrongly-selling-oa-articles/">http://rossmounce.co.uk/category/wrongly-selling-oa-articles/</a>

The Cost of Knowledge (2012), Petition, available at <a href="http://thecostofknowledge.com/">http://thecostofknowledge.com/</a>

<sup>&</sup>lt;sup>105</sup> "Timothy Gowers" (2015), *Wikipedia*, available at <a href="https://en.wikipedia.org/wiki/Timothy">https://en.wikipedia.org/wiki/Timothy</a> Gowers

<sup>106</sup> P Jump. "Elsevier journal editors 'may be asked to resign' in open access row" (2015) *The Times Higher Education*, available at <a href="https://www.timeshighereducation.co.uk/news/elsevier-journal-editors-%E2%80%98may-be-asked-resign%E2%80%99-open-access-row">https://www.timeshighereducation.co.uk/news/elsevier-journal-editors-%E2%80%98may-be-asked-resign%E2%80%99-open-access-row</a>

copyright ownership in academic research, are everywhere: the European Copyright Code drafted by the Wittem Group, the latest push for a Digital Single Market, and the Open Access requirement for publicly-funded research included in legislation adopted by several European countries.

The copyright exception applicable to works produced by employees of the US federal Government proves that the academic publishers do not need the copyright or an exclusive license in order to publish. In fact, academic publishers had to recently adjust their submission procedures<sup>107</sup> for new works in order to accommodate the fact that some of the authors were officers or employees of the US federal Government and there was no copyright to transfer.

It is unlikely that the major commercial publishers will willingly accept to hand over the goose that lays the golden eggs. After several decades of fantastic profits for shareholders, who from the companies' management would be willing to reduce the APCs and the subscription prices for journals, thus diminishing the shareholder's profit? How many of the shareholders will accept such a change? Do they have an alternative? One way or another, this will come to pass at some point.

#### 3.2 Critique of the utilitarian theory

The utilitarian theory can be very useful to stimulate innovators and entrepreneurs to keep investing in research and development, but at the same time has its flaws.

Firstly there is no logic in presuming that only monetary incentives will make people innovate and come up with new ideas. One good example to support this observation is that Volvo opened up the patent for the three-point seatbelt<sup>108</sup> which saved more than 1 million lives since its introduction<sup>109</sup>. The V-shaped seatbelt was considered by both Nils Bohlin (the innovator) and Volvo (the employer) too important for the general public to restrict its use. Recently, for the benefit of the general public and to encourage

<sup>&</sup>lt;sup>107</sup> Taylor & Francis Author Services, "Publishing agreements: FAQs" (2014), available at http://journalauthors.tandf.co.uk/copyright/publishingAgreementsFaqs.asp

<sup>&</sup>lt;sup>108</sup> Arnold Clark, "Why Volvo gave away the patent for their most important invention" (2013), available at <a href="http://www.arnoldclark.com/newsroom/265-why-volvo-gave-away-the-patent-for-their-most-important-invention">http://www.arnoldclark.com/newsroom/265-why-volvo-gave-away-the-patent-for-their-most-important-invention</a>

<sup>&</sup>lt;sup>109</sup> Volvo Car UK, "A million lives saved since Volvo invented the three-point safety belt" (2009), available at <a href="https://www.media.volvocars.com/uk/en-gb/media/pressreleases/20505">https://www.media.volvocars.com/uk/en-gb/media/pressreleases/20505</a>

development of much cleaner electric cars, Tesla Motors made all its patents public<sup>110</sup>, swiftly followed by Toyota who made their patents for a hydrogen engine available open source<sup>111</sup>.

Secondly, IP legislation should be fine-tuned to find the right balance between the incentive and protection. Patents can also be used by corporations as a tool to monopolise ideas and obstruct competition, through the so-called 'patent wars'<sup>112</sup>. The occurrence of patent wars has increased in the digital age because the rapid pace of innovation but they are not something new: Wright brothers were involved in a patent war<sup>113</sup>, as well as Alexander Graham Bell<sup>114</sup>. Another way to abuse the IP legislation is 'ever-greening' (tweaking) the products whose protection is about to expire<sup>115</sup> and thus, obtaining protection for longer periods of time than it would be normally possible under the law. In the case of pharmaceutical products, any delay in commercialising a new drug<sup>116</sup> may literally cost lives, so it is in the public interest that there are no such abuses.

Thirdly, there are alternative ways of providing incentives to create and thus use of intellectual products which do not restrict use and availability of works<sup>117</sup>. Since the Morrill Acts in the United States, it has been generally accepted that creation and dissemination of knowledge is a public responsibility<sup>118</sup>. Governmental spending on education and knowledge dissemination has constantly increased, particularly in the last decades. Nowadays governments believe so strongly that research is a public good that several governmental agencies are funded with public money so that scientists will create research for the benefit of the larger society. Unfortunately, the

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<sup>&</sup>lt;sup>110</sup> C Woodyard, "CEO Elon Musk opens up Tesla's patents to all" (2014) *USA Today*, available at http://www.usatoday.com/story/money/cars/2014/06/12/tesla-patents-drop/10374433/

<sup>111 &</sup>quot;CES 2015: Toyota opens up hydrogen patents" (2015), *BBC News - Technology*, available at http://www.bbc.co.uk/news/technology-30691393

<sup>&</sup>lt;sup>112</sup> C Duhigg and S Lohr, "The patent, used as a sword" (2012) *The New York Times - Technology*, available at <a href="http://www.nytimes.com/2012/10/08/technology/patent-wars-among-tech-giants-can-stifle-competition.html">http://www.nytimes.com/2012/10/08/technology/patent-wars-among-tech-giants-can-stifle-competition.html</a>

<sup>&</sup>lt;sup>113</sup> B J Goodheart, "The Wright Patent Lawsuit: reflections on the impact on American aviation" (2011) 20(3) *Journal of Aviation/Aerospace Education & Research*, available at <a href="http://commons.erau.edu/jaaer/vol20/iss3/4/">http://commons.erau.edu/jaaer/vol20/iss3/4/</a>

<sup>&</sup>lt;sup>114</sup> P Carlson, "The Bell Telephone: Patent Nonsense?" *The Washington Post – Arts and Living*, available at

http://www.washingtonpost.com/wp-dyn/content/article/2008/02/19/AR2008021902596.html

<sup>&</sup>lt;sup>115</sup> R Collier, "Drug patents: the evergreening problem" (2013) 185(9) *Canadian Medical Association Journal*, available at <a href="http://www.cmaj.ca/content/185/9/E385">http://www.cmaj.ca/content/185/9/E385</a> ldem.

<sup>&</sup>lt;sup>117</sup> Aplin and Davis, *Intellectual Property Law*, 12, para 1.2.5

<sup>&</sup>lt;sup>118</sup> Antonelli and Lonk, *Routledge Handbook*, ch. 9, para 3, 140.

governments' control over the research is minor and indirect, leaving universities and other research institutes with the most general guidance over content. As Edwards and Shulenburger put it: "It is nonsensical to provide billions per year for research and then completely ignore the mechanism by which the results of that research are disseminated" 119.

From the public interest point of view, the key question is whether the current IP institutions are still suitable to maintain the balance between authors' incentive and public access. Are the copyright, patent and trade secret the most efficient institutions available 120? Also, a governmental motivational scheme based on public funding and public ownership of any intellectual property products might be a much better alternative than the existing IP system 121 since the market proved its inability to reasonably distribute research findings to academia 122.

# 3.3 Copyright ownership - academics vs employers view

While the case of Stephenson Jordan & Harrison v. McDonnell & Evans is rightly invoked by academics, is it possible to build an entire theory based on an *obiter dicta* comment<sup>123</sup>, on an explanatory example even though "much reference by way of illustration was made in the course of the argument<sup>124</sup>"? In my view, there are a few points that should be considered for the future in regard with this theory.

Firstly, this case is so old that it was judged under the Copyright Act 1911, and it does not take into account the major changes in the society and technical developments in the last 63 years. Secondly, it is unclear whether it would possible to extrapolate from public lectures given by an accountant (as different from lectures given by a university lecturer as a part of a course), to research articles and books. Thirdly, it is unclear whether the example of professor Maitland of Cambridge<sup>125</sup> owning copyright in his lectures, which in my view was given by Lord Evershard purely to emphasise his ruling

<sup>&</sup>lt;sup>119</sup> Edwards and Shulenburger, 18.

<sup>&</sup>lt;sup>120</sup> Hettinger, 49.

<sup>121</sup> Idem.

<sup>&</sup>lt;sup>122</sup> Edwards and Shulenburger, 18.

<sup>123</sup> Anderson

<sup>124</sup> Stevenson Jordan & Harrison v McDonnell & Evans (1952) 69 R.P.C. 10 (CA).

<sup>125 &</sup>quot;Frederic William Maitland" (2015) Wikipedia, available at

in the case of Stevenson Jordan, can be extrapolated to conclude that writing and publishing lectures, let alone scholarly articles and books, would be outside the course of employment for academics and they would retain copyright as authors of the works as Rahmatian<sup>126</sup> suggests. Mentioning Professor Maitland from the University of Cambridge might not have been the best example to emphasise his point since the University of Cambridge was well-known for going out of its way not to assert ownership of IPR<sup>127</sup>. Fourthly, since 1952 the employment relationships, employment contracts have changed a lot, as well as academic duties and responsibilities. Nowadays, the higher education sector is very competitive and highly regulated so all the factors relevant in determining the existence of a contract of employment should be weigh up considering today's practical circumstances. The introduction of research assessments in 1980s, marks the moment when the pressure on universities to increase prestige and subsequently increased funding started to be transmitted on both tenured and, particularly on tenure-track academics<sup>128</sup> and converted in pressure to publish. In 2015, the idea of an academic who does not publish and therefore does not support their department in the next research assessment, is simply unconceivable.

Universities should assert copyright and keep only a non-exclusive license of the works produced by academic employees during their employment. They could argue that all the research was done during the course of employment, since in the job description it is clearly specified that research is something expected from academics. To suggest that the universities want to assert copyright in academic works in order to make money or that this would be a breach of the academic freedom<sup>129</sup> is simply unreasonable. It is not specified which particular domain of their research field should be researched or how exactly this research should be done or disseminated because this would be a clear breach of the academic freedom. For the university as an employer it is irrelevant if the research is published as a journal article or a monograph,

<sup>126</sup> Rahmatian, 716.

<sup>&</sup>lt;sup>127</sup> I Leslie, "Intellectual Property Policy at the University of Cambridge" (2007) University of Cambridge, PPT presentation, available at <a href="http://tinyurl.com/obsz6ax">http://tinyurl.com/obsz6ax</a>

<sup>128</sup> A N Miller, S G Taylor and A G Bedeian, "Publish or perish: academic life as management faculty live it" (2011) 16 (5) *Career Development International*, 422-445, available at http://www.emeraldinsight.com/doi/abs/10.1108/13620431111167751

Academic freedom as defined by universities and unions' statutes. "Academic freedom" (2009), University and College Union (UCU), available at <a href="http://www.ucu.org.uk/academicfreedom">http://www.ucu.org.uk/academicfreedom</a>

or in a journal with large circulation or limited; what really matters is that it is good quality research.

A far better way would be to adopt an 'Open Access policy' granting the university a non-exclusive license in each academics' scholarly works without any other formalities. The best practical example is the Open Access mandate adopted by the Harvard University<sup>130</sup>. The non-exclusive license will bear over the accepted for publication version of the work, the one that went through the peer-review process but before going into the copy-editing and typesetting process. It will cover all rights granted by copyright, particularly "to reproduce, prepare derivative works, distribute copies, perform and display the work publicly" 131. This would be a flexible and effective way to comply with the new Open Access policies by having the works publicly available immediately and without having to pay APCs, while academics could publish in the journal of their choice and commercial publishers will own copyright in the published version of the article because of the typographical arrangement of the work<sup>132</sup>. In fact, such a suggestion for the universities to review their copyright policy is included in HEFCE's new policy for Open Access, albeit in the context of textmining<sup>133,134</sup>. This should be done only to comply with the new Open Access requirements and not to commercially compete with the academic publishers, since most UK universities are organised as charities.

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<sup>&</sup>lt;sup>130</sup> Harvard University Library.

<sup>&</sup>lt;sup>131</sup> E Priest, "Copyright and the Harvard Open Access Mandate" (2012) 10(377) *Northwestern Journal of Technology and Intellectual Property*, available at <a href="http://ssrn.com/abstract=1890467">http://ssrn.com/abstract=1890467</a>
<sup>132</sup> CDPA 1988, s 9, para (2)(d).

<sup>&</sup>lt;sup>133</sup> HEFCE, *Policy*, para 34: Text mining: "We further recommend that institutions fully consider the extent to which they currently retain or transfer the copyright of works published by their researchers, as part of creating a healthy research environment".

<sup>&</sup>lt;sup>134</sup> HEFCE, *Policy*, Annex A, para 3: "Text-mining is currently limited in its uptake for a number of reasons. Some of the biggest limitations are connected with licensing and copyright. We note with interest that the Government is planning changes to copyright law in response to the findings of the Hargreaves Review of Intellectual Property and Growth, including legislating for a copyright exception for text- and data-mining. We will continue to monitor developments in this area as the changes are implemented. Debates are still under way about the extent to which some of the Creative Commons licences allow for text-mining; bound up with this is the question of whether the process of text-mining constitutes the creation of derivative works. Arguments that text-mining requires more permissive Creative Commons licences (such as Attribution, CC BY) must be seen alongside the increased charges that some journals levy for publishing under a more permissive licence. In short, the licensing question is yet to be fully resolved".

### 3.4 Copyright ownership – 'during the course of employment'

It is true that many employment contracts in higher education are very brief and lack detail as to what falls within the course of employment<sup>135</sup>. During my interview with a senior HR advisor I was explained that the universities, like all big employers whose employees are affiliated to a number of unions, have intentionally stripped down the employment contracts by moving all the potentially delicate clauses into the Terms and Conditions of Employment. This is very helpful because lengthy negotiations with the unions are avoided every time there is a change in employment law, such as changes to the national minimum wage rates, or to the statutory maternity pay, the parental leave regime or the introduction of the shared parental leave. In all cases, academic employment contracts are further supplemented with the particulars of the employment, as stipulated in Part 1 of the Employment Rights Act 1996<sup>136</sup>. There is a national grading system in place with a single national pay spine across the current salary grades, <sup>137</sup> so for most universities these employment particulars are fairly similar.

Universities have elaborated on the employment particulars in the Terms and Conditions of Employment and there are general job description templates for all grades which are further refined when a vacancy is advertised. All academic job descriptions, maybe except for non-standard ones ('teaching only'), have research included in both the general template and in the customised version for a particular position that is being advertised. Additionally, after a person is selected and employed, the job description is even further refined according to the particular circumstances of the new employee.

Presently on the University of Edinburgh Vacancies web-site it is advertised a grade 8 permanent, full-time position as a Lecturer in Epistemology<sup>138</sup>. The requirement to research is mentioned as early as the second paragraph of the advert:

<sup>&</sup>lt;sup>135</sup> JISC, "Who owns copyright in works created in universities and colleges?" (2011) JISC legal information, available at <a href="http://www.jisclegal.ac.uk/ManageContent/ViewDetail/ID/1893/Who-owns-copyright-in-works-created-in-universities-and-colleges-6-June-2011.aspx">http://www.jisclegal.ac.uk/ManageContent/ViewDetail/ID/1893/Who-owns-copyright-in-works-created-in-universities-and-colleges-6-June-2011.aspx</a>

<sup>136</sup> Employment Rights Act 1996, Part 1.

<sup>&</sup>lt;sup>137</sup> "Pay and Conditions" (2015), UCU, available at <a href="http://www.ucu.org.uk/payandconditions">http://www.ucu.org.uk/payandconditions</a>

<sup>&</sup>lt;sup>138</sup> Because of the ephemeral nature of job adverts, screen-prints of the Job Descriptions are available in Annexes. See Annex 1.

The successful candidate will be able to demonstrate a strong record of research within the specific area of Epistemology, with clear research plans for the future. Research competence in further areas of growth in the subject area will be considered an advantage.

Furthermore, the Job Purpose is described as:

The successful candidate will conduct research in Epistemology and cognate areas of philosophy, to complement existing areas of research excellence within the School and contribute to the development of philosophy as a centre of international excellence.

Among the Main Responsibilities of this position, research is the first in the list followed by teaching and planning and organising.

Contribute to the research work of the subject area (Philosophy), by pursuing a clearly independent research programme in Epistemology that complements existing areas of research excellence within the subject area. This research should be at an international level that leads to regular publication in top philosophy journals, presentation of results to internationally renowned conferences, and successful applications for external funding. ...

A similar position as a Lecturer in Philosophy is also advertised at the University of St Andrews<sup>139</sup>. Again, the requirement to research is repeated throughout the job description. The Main Purpose of the Role is defined as:

The purpose of this role is to extend and strengthen our research profile in philosophy, whilst contributing graduate and undergraduate teaching of the highest quality.

The successful candidate will show potential for excellent research on topics relevant to issues of public concern which could include, but are not limited to, topics within applied ethics; political philosophy; philosophy of law; philosophy of science, social science or medicine; social epistemology. ...

A position as a Lecturer in Clinical Psychology<sup>140</sup> is advertised by University College London and the Main Purpose of the Role is simply

To carry out research, teaching and administration for the Doctorate in Clinical Psychology.

<sup>&</sup>lt;sup>139</sup> See Annexe 2.

<sup>&</sup>lt;sup>140</sup> See Annexe 3.

The requirement to research is mentioned again under the Main Duties and Responsibilities:

To carry out internationally-competitive research leading to high-impact publications.

To apply for funding for this research from research councils, charities and other funding agencies as appropriate.

(...)

To carry out research and produce publications, or other research outputs, in line with personal objectives agreed in the Staff review process.

It is not uncommon in the advertised job description to be suggested the amount of time that each activity (research, teaching and learning, administrative etc.) should represent from the amount of time available as it is specified in this advert from the University of Cambridge. <sup>141</sup> In another job description <sup>142</sup> that was obtained during the interview with the senior HR advisor, which was further refined after appointment, it is specified what the Main Responsibilities are and the approximate amount of time to be spend in pursuing them:

**Research -** Make a substantial and high quality contribution to research in the field of bioinformatics. Obtain research funding, and to supervise research students and research assistants and contribute to the development of research plans and strategies for the School of Biological Sciences. (Approx. % of time 50-70 %\*)

Stipulating in the job advert and in the Job Description that research is part of the employment duties, removes any potential controversy that may arise from Denning LJ comments that "at the same time, a man who is employed under a contract of service may sometimes perform services outside the contract<sup>143</sup>", unless the services performed outside the contract are of a totally different nature than the job description.

In the highly regulated and highly competitive industry that higher education is today, all universities are complying with the legal requirements regarding employment and all academic employees have an up-to-date job description which specifies what

<sup>&</sup>lt;sup>141</sup> See Annexe 4.

<sup>&</sup>lt;sup>142</sup> All the details that could help identify the position holder have been removed. See Annexe 5.

<sup>&</sup>lt;sup>143</sup> Stevenson Jordan & Harrison v McDonnell & Evans, (CA) Court of Appeal, [1952] 1 T.L.R. 101, (1952) 69 R.P.C. 10

constitutes 'during the course of employment'. Regardless if works are created outside regular working hours, outside the university's buildings, during a sabbatical and on the tutor's own laptop, even if they contravene with prevailing academic culture and practice they may still have been created towards fulfilling the contract of employment, and so are likely to be within the course of employment.

# 4. CONCLUSION

It is fair to say that the new Open Access policies do not provide a clear answer the question of who owns the copyright in works created by academics during their employment with a university but it represents another stepping stone towards a solution.

The ingredients for major changes in the copyright policy are all present. The utilitarian theory and its economic interpretation, for all its benefits, it is particularly unsuited to find the right balance between the right level of protection offered to innovators and the public interest.

Depending on whom you ask, academic authors or the university represented by its management, the answer to this question will still be different. Regardless of the social and especially economic changes of the last 63 years, some of which were pretty significant, it is unlikely that either one of the parties will admit that they actually have no claim. The only argument that could tip the balance is another landmark case, similar to Stevenson Jordan & Harrison v McDonnell & Evans. It would then be interesting to see the judges' views on the significance of the circumstances that were not present in 1952, such as the importance of research assessment exercises for universities and the 'publish or perish' pressure they produced, or on the emergence of the internet and the many ways it affected academic research and academic publishing, as well as the changes in employment relationships and the meaning of the syntagma 'during the course of employment'.

Another conclusion is that, in order to develop a sustainable solution to this issue, the interests of all stakeholders –academic authors, universities, commercial publishers and the government– should be considered. The matter should be carefully deliberated from all points of view: as an employment issue, as an IP issue, as a commercial issue and obviously as public policy issue. Treating it like a simple employment dispute between academic authors and universities, while ignoring the interests of the other stakeholders will not offer a long-term solution.

The unresolved issue of copyright ownership in academia is haemorrhaging public money to the publishing corporations. Very soon, the pressure to make publicly-funded

research available Open Access will be impossible to ignore anymore, so all universities and academics will have no choice but to comply. The question is which of the two Open Access variations will be preferred? On one hand, academic publishers will be only too happy to help as long as everybody will use Gold Open Access. It is very likely that publishers will adjust their copyright policies so Gold Open Access will be the only option available. On the other hand, the universities, the public and private funders and the UK Government would very much prefer Green Open Access because it is free. As long as universities and academics, the two key players in the academic publishing industry, will be entranced in their antagonistic positions they will preserve the *status quo*, who benefits no-one but the academic publishers. We can only dream of an agreement that will allow the money paid on overpriced subscriptions and APCs to be redirected towards what was their intended destination in the first place: research.

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# Vacancy Details

Lecturer in Epistemology

Vacancy Ref:: 033745 Closing Date: 19-Aug-2015

Contact Person: Dr Matthew Chrisman Contact Number:

Contact Email : <u>Head.of.Philosophy@ed.ac.uk</u>

The University of Edinburgh seeks to appoint a permanent full-time Lecturer in Epistemology within the Philosophy subject area of the School of Philosophy, Psychology and Language Sciences (PPLS).

The successful candidate will have relevant qualifications (normally a PhD or equivalent) and will have publications commensurate with their stage in career, and will be able to demonstrate potential for attracting external research funding. The successful candidate will be able to demonstrate a strong record of research within the specific area of Epistemology, with clear research plans for the future. Research competence in further areas of growth in the subject area will be considered an advantage.

The successful candidate will be required to contribute to undergraduate and postgraduate teaching in Epistemology including doctoral supervision in this area. The candidate will also be willing and able to contribute to undergraduate and postgraduate course offerings in a range of further topics such as philosophy of science. All faculty members are expected to contribute to the advising and support of students.

The successful candidate will also be expected to contribute to the administration of the subject area and the School, including future leadership in the subject area and the development of new initiatives in teaching and research. The ability to contribute to the philosophy online teaching programme will also be considered an advantage.

This is a full time and open ended post and is tenable from January 2016.

Salary Scale £38,511 - £45,954 per annum.

Informal enquiries to: Dr Matthew Chrisman - Head.of.Philosophy@ed.ac.uk

Closing date: Wednesday 19th August 2015 at 5pm (GMT)

#### 1. Job Purpose

The successful candidate will conduct research in Epistemology and cognate areas of philosophy, to complement existing areas of research excellence within the School and contribute to the development of philosophy as a centre of international excellence. She or he will be expected to supervise and recruit PhD students working in her/his area of research. She or he will also be expected to demonstrate potential for attracting external grant funding. The successful candidate will offer undergraduate and masters level courses in Epistemology and cognate areas of philosophy. The ability to contribute to the philosophy online teaching programme will be considered an advantage.

# 2. Main Responsibilities

- 1. Contribute to the research work of the subject area (Philosophy), by pursuing a clearly independent research programme in Epistemology that complements existing areas of research excellence within the subject area. This research should be at an international level that leads to regular publication in top philosophy journals, presentation of results to internationally renowned conferences, and successful applications for external funding. The candidate should also be willing and able to apply knowledge derived from research to teaching in Epistemology and related areas, including the supervision and recruitment of PhD students in the relevant area of research.
- 2. Teach, supervise and assess at all levels, including undergraduate and masters-level courses in Epistemology and cognate areas. This involves taking responsibility for design of course units and for ensuring their quality, and contribute generally to the development of teaching and enhancement of high quality teaching in the subject area. The candidate will also be expected to contribute to the teaching objectives of the subject area and the School. Teaching duties may include the delivery of lectures, seminars, and small group tutorials and the supervision of undergraduate and postgraduate dissertations. This includes provision of high quality assessment feedback in a timely fashion.
- 3. Provide advice and support to students. This includes acting as a Personal Tutor for a set of students.
- 4. Involve external partners in teaching through knowledge exchange, collaborative studentships, student projects, and by involving students in public engagement activities.
- 5. Represent the work of the University in the field locally and nationally in relevant networks and/or in public activities.
- 6. Undertake further administrative duties, as specified by the Head of School or Head of Subject Area.

#### 3. Planning and Organising

- Responsibility for own time management.
- Planning own research, use of resources, including applications for external funding.
- Preparing, organising, delivering, and assessing relevant undergraduate and postgraduate courses and meeting relevant deadlines. This includes providing training and guidance, where appropriate, for tutors on these courses.
- Supervising PhD students through timely and regular meetings.
- Planning relevant activities associated with the Personal Tutor role such as meetings once a semester.
- $\hbox{- Organising activities associated with any administrative role carried out on behalf of the subject area or School.}\\$

#### 4. Problem Solving

- Solving problems relating to own research, including seeking out appropriate external resources.
- Responding to student feedback on teaching and assessment through changes in course design and course content as appropriate.
- Developing appropriate responses to problems or issues that arise in respect of administrative roles.

#### 5. Decision Making

- Deciding on own work patterns, and when key School contacts such as Head of Subject Area or Head of School should be approached for support or advice.
- Deciding on an appropriate research strategy and how best to implement this, including selecting appropriate means and output locations for publishing research findings and how best to seek out external funding.

- Deciding on appropriate teaching material for courses at various levels and how best to present this material to students and how it is best assessed.
- Deciding on the best way to deal with student queries, including when to approach other key School contacts for further support.

#### 6. Key Contacts/Relationships

UG and PG students; other teaching colleagues within the subject area; Head of Subject Area; support staff across the School; other College/University representatives; Head of School; external contacts such as organizers of research conferences, representatives of learned societies or other professional organizations, representatives of research funding bodies.

#### 7. Knowledge, Skills and Experience Needed for the Job

#### Essential

The successful candidate should have:

- Experience teaching within subject area, including experience of curriculum design and development
- Ability to teach in the subject specialism across both UG and PG levels supported by relevant qualifications, normally a PhD or equivalent qualification in this area or a closely related area.
- Prior experience of team-working in delivery of teaching and learning objectives.
- · Previous research publication success
- Excellent communication and interpersonal skills, good team-working abilities, the capacity to work on their own initiatuve, and leadership abilities.
- Proven skills in leading, motivating and supporting others, with a particular focus on students and teaching teams.

#### Desirable

- A track record of high impact publications in journals having international standing.
- Ability to demonstrate evidence of having applied for external research funding.
- Prior experience of e-Learning.

#### 8. Job Context and any other relevant information

Edinburgh is one of over 80 universities and research institutes which are members of the SWAN Charter.

The University holds a University-wide Bronze Award and many of the University's Schools hold Bronze, Silver and Gold Award status. Psychology is one of three Humanities and Social Science submissions for 30 November 2013 and these are the first submissions from our College. Applying for such a prestigious award confirms PPLS's commitment to advancing women's careers in the STEMM academia and addressing gender inequalities as a whole.

#### Application Procedure

All applicants should apply online by clicking the apply link at the bottom of this page and submitting an up to date CV and a covering letter/supporting document. The application process is quick and easy to follow, and you will receive email confirmation of safe receipt of your application. The online system allows you to submit a CV and other attachments (covering letter/supporting document).

As part of the application process for this post please also submit letters of recommendation. Should these documents not be available at the time of submission of your application via the online system, these can be submitted to PPLSAppointments@ed.ac.uk with the candidate's name and 'Epistemology Lectureship' in the subject line of the email.

We anticipate interviews will be held on 5th and 6th October 2015. You will be notified by email whether you have been shortlisted for interview or not.

The closing date is 5pm (GMT) on Wednesday 19th August 2015.

#### **Eligibility to Work**

In accordance with the Immigration, Asylum and Nationality Act 2006 the University of Edinburgh, as an employer, has a legal responsibility to prevent illegal working and therefore must check that all employees are entitled to work in the United Kingdom (UK).

To do so, the University of Edinburgh requires to see original documents evidencing right to work in the UK before commencement of employment and this is normally carried out at interview. Details will be provided in any letter of invitation to interview.

For further information on eligibility to work please visit our  $\underline{\text{eligibility to work website}}$ 

If you are not currently eligible to work in the UK, the University has the authority to issue a Certificate of Sponsorship (CoS) to successful candidates who meet the eligibility criteria. The CoS enables candidates to apply for a Tier 2 (general visa) in accordance with current UK Visas and Immigration rules.

For applicants interested in sponsorship information is available on our **Working in the UK website** 

However, if you have previously been sponsored by an employer within the UK but your leave has expired or lapsed and you are no longer in the UK, according to Home Office Visa Immigration rules you cannot apply for sponsorship under any category of Tier 2 for a period of 12 months after the date your visa expired and/or you left the UK.

If you are an academic in the field of sciences; humanities; engineering; medicine; digital technology; or the arts and come from outside the EEA, it may be possible for you to apply for a Tier 1 (Exceptional Talent) visa.

The Tier 1 (Exceptional Talent) visa route offers a greater flexibility in your employment compared to other UK immigration routes, meaning you can, for example, move organisation, location and/or job role. By contrast with, a Tier 2 visa where you are tied to a UK sponsor'. Tier 1 provides greater flexibility in undertaking additional engagements, such as collaborations and is intended as a route to settlement. Allowed absences from the UK are up to 180 days per year without losing the eligibility to qualify for settlement, with no restriction on the reason for absence (unlike Tier 2, where any absences from the UK must be for a purpose consistent with the person's employment or economic activity, including paid annual leave, or for serious or compelling personal reasons).

You would initially need to apply to be endorsed as an internationally recognised leader or emerging leader in your particular field by a designated competent body (Arts Council England, British Academy, Royal Academy of Engineering, Royal Society, Tech City UK).

#### Tier1 (Exceptional and Exceptional Promise) Endorsement Criteria

Once successfully endorsed, you are able to apply for a Tier 1 (Exceptional Talent) visa. More information on this entry route is available at <a href="https://doi.org/10.1001/jubs.1001/

#### Conditions of Employment

#### Pension Scheme

This role is grade UE08 and therefore the post holder is automatically included in membership of the Universities Superannuation Scheme (USS), subject to the USS membership criteria, unless they indicate that they choose not to join the

Scheme

For further information please visit our **Pensions website** 

#### Salary

The role is grade UE08 and attracts an annual salary of £38,511 to £45,954 per annum for 35 hours each week. Salary is paid monthly by direct transfer to your Bank or Building Society account, normally on the 28th of the month. Salaries for part-time staff are calculated on the full-time scales, pro-rata to the Standard Working Week.

The University reserves the right to vary the candidate information or make no appointment at all. Neither in part, nor in whole does this information form part of any contract between the University and any individual.

#### Philosophy

Edinburgh has a distinguished place in the history of philosophy, having been home to David Hume and Adam Smith. Philosophy currently has around 30 academic staff.

In the 2014 Research Exercise Framework we have been rated the best philosophy department in Scotland, and the 2nd best in the UK, based on volume of world-leading and internationally excellent research. Our research environment was also rated as 100% conducive to producing world-leading or internationally excellent research. Areas of research specialism include ancient philosophy, epistemology, ethics, language, mind and cognition and philosophy of science.

Philosophy has been taught at the university since its foundation in 1583 and now boasts a vigorous multi-national postgraduate programme, which is one of the largest in the world and includes students taking PhDs and both taught and research-based MScs.

Undergraduate teaching, which draws on our well-established research strengths, ranges from first year classes of around 400 students from around the world (including a first year intake onto Philosophy single and joint honours degree programmes of around 90 students) to specialist fourth year classes of around 20. The Philosophy student society, PhilSoc, was founded in 1871, and is the oldest continuously running society at the University of Edinburgh. PhilSoc is the largest and most active philosophy society in the UK. Most recently, Philosophy's diverse research and teaching activities have led to the development of Eidyn: The Edinburgh Centre for Epistemology, Normativity and Mind. The centre draws on Edinburgh's long-standing international reputation for cutting-edge research in epistemology, ethics (especially meta-ethics), and philosophy of mind and cognitive science. Eidyn will be hosting major collaborative research projects across all these areas. Beyond its home school, Philosophy also has a range of inter-disciplinary teaching or research links with Divinity, Economics, Mathematics, European Languages and Cultures, and Politics. It also has inter-disciplinary links with the Science Studies Unit and, in Informatics, the Human Communications Research Centre and the Institute for Communicating and Collaborative Systems, all of which have philosophers on their staff.

#### www.philosophy.ed.ac.uk

#### The School of Philosophy, Psychology and Language Sciences

The School comprises Philosophy, Psychology, and Language Sciences (Linguistics and English Language). The main aims of the School are to develop our internationally-renowned reputation for research and to use this as a solid foundation for our teaching.

In all subject areas the School is recognized as world-leading, as shown in its high rankings across all areas in the 2014 Research Exercise Framework.

There are 100 + academic staff within the School, and the breadth of expertise ranges from analytic philosophy and the study of English language, through theoretical and applied linguistics and experimental psychology, to cognitive neurosciences and genetic influences on human behaviour. The School is unique in offering outstanding opportunities for inter-disciplinary teaching and in pioneering novel forms of research that reach across traditional boundaries. Each year, the School welcomes a diverse mix of undergraduate and postgraduate students from around the world. The School has well-established links with other areas of the University such Clinical Neuroscience, and Medicine, Informatics and Edinburgh College of Art.

All subject areas have active links with research organizations outwith the University, and a broad network of collaboration with a range of universities around the globe. The School offers extensive support for academics, including dedicated undergraduate and postgraduate teaching offices, a highly experienced research support team, knowledge exchange team and a highly skilled IT resources team.

The School facilities include a range of specialist laboratories and a well-stocked and resourced School library which is supported by a full-time librarian. This is in addition to the nearby University central library. The School is located across two buildings set in the heart of the University's George Square campus.

#### www.ppls.ed.ac.uk

# College of Humanities and Social Science (http://www.ed.ac.uk/humanities-soc-sci)

The College of Humanities and Social Science is the largest and most diverse of the three Colleges in the University. Led by Vice-Principal Professor Dorothy Miell, it has 12,600 undergraduates, 4,500 taught postgraduates, 2,000 research students and more than 3,100 academic and support staff. The College incorporates 11 Schools (Business; Divinity; Economics; Edinburgh College of Art; Education; Health in Social Science; History, Classics and Archaeology; Law; Literatures, Languages and Cultures; Philosophy, Psychology and Language Sciences; and Social and Political Science), the Institute for Academic Development, the Institute for Advanced Studies in the Humanities and the Office of Lifelong Learning. The College is located on multiple sites across Edinburgh, with the majority of Schools and College Offices based in the central George Square area. The College, which is recognised as one of the world's leading centres for the arts, humanities and social sciences research and teaching, has been investing strongly in recent years.

Research Excellence Framework 2014 (REF2014)

The College operates at the highest levels of international quality across a very wide range of disciplines in the arts, humanities and social sciences and submitted the work of more than 750 staff to 23 Units of Assessment in the Research Excellence Framework 2014. The College achieved a superb result, combining a large-scale, broad and diverse submission with very high quality outcomes: 86% of its research impact and 76% of the overall quality profile were assessed as world-leading (4\*) and internationally excellent (3\*). Using the widely used Research Power index (which combines the submission's overall score for 3\* and 4\* work with the volume of staff submitted), 12 Units which were ranked within the top five in the UK, and 18 Units which were ranked first in Scotland are located in the College. With an assessment of more than 95% at 3\* and 4\*, we're particularly proud of the outstanding research environment we create for staff and research students.

#### The University of Edinburgh

For more than four centuries, our people and their achievements have rewritten history time and again. They've explored space, revolutionised surgery, published era-defining books, paved the way for life-saving medical breakthroughs and introduced to the world many inventions, discoveries and ideas from penicillin to Dolly the sheep. We have believed that anything is possible.

We still do. The latest Research Excellence Framework highlighted our place at the forefront of international research. This adds to our international reputation for the quality of our teaching and our student experience excellence.

As a member of staff you will be part of one of the world's leading universities, with 22 Schools spread over 3 Colleges that offer more than 500 undergraduate and 160 postgraduate courses to over 35,000 students each year. Professional services are critical to this success as well as our world-class teaching, research and student facilities. In fact, we are one of the top employers in Edinburgh, with over 12,000 people spread across a wide range of academic and supporting roles.

The University is proud of its success with online teaching initiatives, with 1905 students currently studying its online distance learning postgraduate programmes, and a total to date of 1 million enrolments for Edinburgh MOOCs.

As a world-changing, world-leading university we are an exciting, positive, creative, challenging and rewarding place to work.

We give you support, nurture your talent, develop and reward success and integrate academic, professional and personal career goals, as well as give your career the benefit of a great and distinguished reputation.

The University of Edinburgh holds a Bronze Athena SWAN award in recognition of our commitment to advance the representation of women in science, mathematics, engineering and technology. We are also Stonewall Scotland Diversity Champions actively promoting LGBT equality.

The University has a range of initiatives to support a family friendly working environment. See our

#### **University Initiatives website**

The University of Edinburgh is a charitable body, registered in Scotland, with registration number SC005336.

Apply Return to Search

#### **ANNEXE 2**

#### Lecturer/Reader in Philosophy - AC2319KC

School of Philosophical, Anthropological and Film Studies, Salary: Lecturer – £38,511-£47,328 per annum /Reader – £48,743-£54,841 per annum Start: 1 September 2016 or as soon as possible thereafter We wish to appoint a Lecturer/Reader in Philosophy. You will take up post on 1 September 2016, or as soon as possible thereafter.

You will show potential for excellent research on topics relevant to issues of public concern which could include, but are not limited to, topics within applied ethics; political philosophy; philosophy of law; philosophy of science, social science or medicine; social epistemology.

In addition, you will offer a range of undergraduate and graduate teaching and supervision. You will also carry out standard administrative tasks, as required.

Lecturer – Grade 7/ £38,511-£47,328 per annum Reader – Grade 8/ £48,743-£54,841 per annum

Informal enquiries to James Harris, Head of Philosophy at jah15@st-andrews.ac.uk.

The University of St Andrews is committed to promoting equality of opportunity for all, which is further demonstrated through its working on the Gender and Race Equality Charters and being awarded the Athena SWAN award for women in science, HR Excellence in Research Award and the LGBT Charter; <a href="http://www.st-andrews.ac.uk/hr/edi/diversityawards/">http://www.st-andrews.ac.uk/hr/edi/diversityawards/</a>

Please quote ref: AC2319KC

Closing Date: 5 October 2015

Further Particulars: AC2319KC FPs.doc

School of Philosophical, Anthropological and Film Studies

Salary: Lecturer - £38,511-£47,328 per annum/ Reader - £48,743-£54,841 per annum

Start: 1 September 2016 or as soon as possible thereafter

#### **University of St Andrews**

# School of Philosophical, Anthropological and Film Studies

# Lecturer/Reader in Philosophy - AC2319KC

#### **Further Particulars for Applicants**

#### **Department of Philosophy**

#### **Overview**

Philosophy at St Andrews has an international reputation in teaching and research. In the latest UK-wide assessment of the research of UK universities (REF 2014) the philosophy department was ranked 1st in Scotland and 5th in the UK (by grade point average). 83% of research was assessed as either 4\* or 3\*. Our most recent review of teaching and learning took place in 2012 and was also highly successful.

Full details about us, including individual staff profiles, can be found at our website: <a href="http://www.st-andrews.ac.uk/philosophy/">http://www.st-andrews.ac.uk/philosophy/</a>

#### **Undergraduate Teaching**

We offer a wide range of undergraduate degree programmes in Philosophy as single and joint honours programmes. Philosophy is a popular subject: first year enrolments are over 350 (across two modules) and second year enrolments are approximately 150 (across two modules). At honours level we offer a range of core and optional modules covering areas such as Value and Normativity, Paradoxes, Philosophy of Art, Contemporary Philosophy of Language, Social Philosophy, Metaphysics, Kant's Critical Philosophy, Advanced Logic, Philosophy of Mind and Contemporary Epistemology. Colleagues are encouraged to develop honours modules in the areas of their own research specialisms. We also participate in the part-time Evening Degree programme and run online distance learning modules designed specifically for teachers of philosophy in schools.

#### **Postgraduate Teaching and Supervision**

Our postgraduate programmes are run jointly with the University of Stirling. We enrol around 30 students each year for the one-year M.Litt. degree, which serves as preparation for the Ph.D. either here or elsewhere. In addition, we have around 60 students pursuing Ph.Ds or research-based M.Phils. The graduate programme has expanded significantly in recent years, and it is a priority for us to maintain sustainable growth in this area.

#### Research

Philosophical research in St Andrews flourishes across a wide range of specialisms, including the history of philosophy, both at the individual level and in terms of collaborations, some of which are hosted through our two research centres. Colleagues are supported in their research through a scheme of regular leave, and are encouraged to apply for appropriate external grants to fund further leave, post-doctoral assistance or the organisation of events. All academic staff are entitled to a substantial research/travel budget (currently £1300 p.a.).

**The Arché Research Centre for Logic, Language, Metaphysics and Epistemology** was founded in 1998. Work is currently centred around four areas of interest: (i) Propositions, Indexicality and Time, (ii) Models, Modality and Meaning, (iii) Evidence, Justification and Knowledge; and iv) Identity, Existence and Structure. Each area has an associated group of staff and postgraduate students. Other members of *Arché* include its five Professorial Fellows, distinguished scholars who visit regularly for half a semester. Each area hosts a program of regular seminars, workshops and international conferences. For further details, please visit the *Arché* website: http://www.st-andrews.ac.uk/arche/

The Centre for Ethics, Philosophy and Public Affairs (CEPPA) is a research institute largely supported by external funding. Its field of interest comprises ethics, social and political philosophy, and the ethical and philosophical dimensions of public affairs. It maintains a programme of research projects, seminars, academic visits, fellowships and conferences, and provides a forum for discussion in its fields of interest within and outwith the University. It also brings several visiting fellows to St Andrews for part of each year. For further details, please visit the CEPPA website: <a href="http://www.st-andrews.ac.uk/ceppa/index.html">http://www.st-andrews.ac.uk/ceppa/index.html</a>

#### **The Philosophical Quarterly**

The Philosophical Quarterly is edited by an <u>Editorial Board</u> chaired by Professor Jessica Brown and made up of staff at St Andrews and one or two representatives from each philosophy department at the other Scottish Universities. Founded in 1950, it is managed by a committee of representatives of the University Court of St Andrews and of the Scots Philosophical Club, convened by Dr Simon Prosser.

#### **Environment and Facilities**

Our building, Edgecliffe, has views across St Andrews Bay to the eastern Grampian mountains. A graduate study centre is situated in the Edgecliffe garden, whilst Arché has its own accommodation nearby, including offices, seminar facilities and common room.

The main University Library, just across the road, has a very substantial Philosophy collection, including around 100 current Philosophy journals.

Further information about the University and the town of St Andrews can be found below.

The job description for this role is attached below.

# **Job Description**

Job Title: Lecturer/Reader in Philosophy

School/Unit: Philosophical, Anthropological &

Film Studies

Reporting to: Head of Philosophy

Job Family: Academic (Teaching)

Working Hours: Full-time/36.25 hours per week

Grade/Salary Range:

Lecturer – Grade 7/ £38,511-£47,328 per annum Reader – Grade 8/ £48,743-£54,841 per annum

Reference No: AC2319KC

Start Date: 1 September 2016 or as soon as possible

thereafter

# **Main Purpose of Role**

The purpose of this role is to extend and strengthen our research profile in philosophy, whilst contributing graduate and undergraduate teaching of the highest quality.

The successful candidate will show potential for excellent research on topics relevant to issues of public concern which could include, but are not limited to, topics within applied ethics; political philosophy; philosophy of law; philosophy of science, social science or medicine; social epistemology. She or he will offer a range of undergraduate and graduate teaching and supervision. She or he will also carry out standard administrative tasks, as required.

# **Key Duties and Responsibilities**

- 1. Research in philosophy.
- 2. Seeking out external research funding.
- 3. Pursuing research impact and public engagement.
- 4. Supervising postgraduate research students.
- 5. Teaching postgraduate and undergraduate students.
- 6. Undertaking administrative responsibilities as assigned.

#### **Special Requirements:**

May be required to teach on the Evening Degree programme.

Please note that this job description is not exhaustive, and the role holder may be required to undertake other relevant duties commensurate with the grading of the post. Activities may be subject to amendment over time as the role develops and/or priorities and requirements evolve.

# **Person Specification**

This section details the attributes e.g. skills, knowledge/qualifications and competencies which are required in order to undertake the full remit of this post.

Attributes	Essential	Desirable	Means of Assessment (i.e. application form, interview, test, presentation etc)
Education & Qualifications  (technical, professional, academic qualifications and training required)	PhD in Philosophy at or near completion.	PhD in Philosophy awarded.	Application
Experience & Knowledge  (examples of specific experience and knowledge sought)	Evidence of potential for excellent research in philosophy appropriate to career stage and on topics relevant to issues of public concern.	Track-record of excellent publication in philosophy appropriate to career stage and on topics relevant to issues of public concern.	Application, presentation and interview.
	Experience teaching undergraduates in philosophy appropriate to career stage.	Experience of teaching philosophy at postgraduate level appropriate to career stage.	Application.
		Experience of academic-related administrative work appropriate to career stage.	Application.
		Track record of attracting external grant funding for research appropriate to career stage.	Application.
Competencies & Skills  (e.g. effective communication skills, initiative, flexibility, leadership etc)	Ability to engage both students and colleagues with research.		Application, presentation, interview.
	Ability to encourage and challenge students of varying abilities and levels.		Application, presentation, interview.
Other Attributes/Abilities	Willingness to seek	Experience in impact	Application, interview.

out opportunities for impact and public engagement.	and public engagement activities.	
Administrative competency, and willingness to discharge assigned duties effectively.		

**Essential Criteria** – requirements without which a candidate would not be able to undertake the full remit of the role. Applicants who have not clearly demonstrated in their application that they possess the essential requirements will normally be rejected at the short listing stage.

**Desirable Criteria** – requirements which would be useful for the candidate to hold. When short listing, these criteria will be considered when more than one applicant meets the essential requirements.

# **Academic Review Period for New Starts**

The University operates a review period of 4 years for all academic appointments. Detailed objectives for Research, Teaching and Service, covering a period up to 4 years, specific to the individual, taking account of the stage of their career at appointment and reasonable expectations for the relevant academic discipline, including workload management, will be agreed with the individual at the time an appointment is offered. The agreement will normally cover:

- Publications Strategy
- Engagement (including public and outreach)
- Grant applications
- Teaching

The review period is intended to be supportive and encouraging and the University will look for evidence of sustained high quality performance throughout. Details of the scheme can be found on the Human Resources website at:

http://www.st-andrews.ac.uk/staff/policy/hr/AcademicReviewforNewStartsAllAcademicStaff/

# **Other Information**

We encourage applicants to apply online at <a href="https://www.vacancies.st-andrews.ac.uk/welcome.aspx">www.vacancies.st-andrews.ac.uk/welcome.aspx</a>, however if you are unable to do this, please call +44 (0)1334 462571 for a paper application form.

For all applications, please quote ref: AC2319KC

Please do not enclose a writing sample or extensive teaching dossier with your application at this stage.

The University of St Andrews is committed to promoting equality of opportunity for all, which is further demonstrated through its working on the Gender and Race Equality Charters and being awarded the <a href="https://www.st-andrews.ac.uk/hr/edi/diversityawards/">http://www.st-andrews.ac.uk/hr/edi/diversityawards/</a>

The University of St Andrews is a charity registered in Scotland (No SC013532).

#### **Obligations as an Employee**

You have a duty to carry out your work in a safe manner in order not to endanger yourself or anyone else by your acts or omissions.

You are required to comply with the University health and safety policy as it relates to your work activities, and to take appropriate action in case of an emergency.

You are responsible for applying the University's equality and diversity policies and principles in your own area of responsibility and in your general conduct.

You have a responsibility to promote high levels of customer care within your own area of work/activities.

You should be adaptable to change, and be willing to acquire new skills and knowledge as applicable to the needs of the role.

You may, with reasonable notice, be required to work within other Schools/Units within the University of St Andrews.

You have the responsibility to engage with the University's commitment to Environmental Sustainability in order to reduce its waste, energy consumption and carbon footprint.

# The University & Town

Founded in the early 15th century, St Andrews is Scotland's first university and the third oldest in the English speaking world.

Situated on the east coast of Scotland and framed by countryside, beaches and cliffs, the town of St Andrews was once the centre of the nation's political and religious life.

Today it is known around the world as the 'Home of Golf' and a vibrant academic town with a distinctively cosmopolitan feel where students and university staff account for more than 30% of the local population.

The University of St Andrews is a diverse and international community of over 10,500, comprising students and staff of over 120 nationalities. It has 8,200 students, just over 6,600 of them undergraduates, and employs approximately 2,540 staff - made up of c. 1,190 in the academic job families and c 1,350 in the non-academic job families.

St Andrews has approximately 50,000 living graduates, among them former Scottish First Minister Alex Salmond and the novelist Fay Weldon. In the last 90 years, the University has conferred around 1000 honorary degrees; notable recipients include Benjamin Franklin, Rudyard Kipling, Alexander Fleming, Iris Murdoch, James Black, Elizabeth Blackadder, Tim Berners-Lee and Hillary Clinton.

The University is one of Europe's most research intensive seats of learning. It is the top rated University in Scotland for teaching quality and student satisfaction and among the top rated in the UK for research. The 2008 Research Assessment Exercise judged 94% of the University's research activity as internationally recognised with over 60% world leading or internationally excellent.

St Andrews is consistently held to be one of the United Kingdom's top ten universities in university league tables compiled by The Times and The Sunday Times, The Guardian and The Complete University Guide. In the 2014/15 Times and Sunday Times Good University Guide, St Andrews is ranked 3<sup>rd</sup> in the UK, behind only Oxbridge. The same guide has named St Andrews its Scottish University of the Year in 2013 and 2014. The University has eight times been named the top multi-faculty university in the UK in the National Student Survey – a direct reflection of the quality of teaching, assessment and facilities. In international and world rankings St Andrews scores highly for teaching quality, research, international outlook and citations. In the 2014 Times Higher Education World Rankings St Andrews is 14<sup>th</sup> in the world for

International Outlook, 33<sup>rd</sup> for research and teaching in Arts and Humanities and 81<sup>st</sup> for Citations. It is ranked 111<sup>th</sup> overall in the Times Higher Rankings and 88<sup>th</sup> in the QS University World Rankings.

Its international reputation for delivering high quality teaching and research and student satisfaction make it one of the most sought after destinations for prospective students from the UK, Europe and overseas. In 2012 the University received on average 12 applications per place. St Andrews has highly challenging academic entry requirements to attract only the most academically potent students in the Arts, Sciences, Medicine and Divinity.

The University is closely integrated with the town. The Main Library, many academic Schools and Service Units are located centrally, while the growth in research-active sciences and medicine has been accommodated at the North Haugh on the western edge of St Andrews.

As the University enters its seventh century, it is pursuing a varied programme of capital investment, including the refurbishment of its Main Library and a major investment in its collections, the opening of a research library, the development of a major arts centre, the refurbishment of the Students' Union, and the development of a wind-farm and green energy centre to offset energy costs.



# University College London JOB DESCRIPTION

# **Lecturer in Clinical Psychology**

Title: Lecturer in Clinical Psychology

Department: Research Department of Clinical, Educational and Health Psychology

Reports to: Head of Department

Grade: 7 (0.6FTE)

Salary: £37,152-£40,313 (inclusive of London allowance) plus market

supplement (£10,996 pro rata)

#### Main purpose of the job:

To carry out research, teaching and administration for the Doctorate in Clinical Psychology

# Main duties and responsibilities:

#### Academic development

To contribute to the teaching on the Doctorate in Clinical Psychology course in areas allocated by the Joint Directors of the Clinical Psychology course and reviewed by the Head of Department.

From time to time to contribute to other undergraduate and post graduate teaching programmes in areas allocated by the Head of Department.

To contribute to the management of the Doctorate in Clinical Psychology research programme (clinical trainee research

# Research

To carry out internationally-competitive research leading to high-impact publications.

To apply for funding for this research from research councils, charities and other funding agencies as appropriate.

To supervise postdoctoral and postgraduate researchers plus any research assistants in your team.

To carry out research and produce publications, or other research outputs, in line with personal objectives agreed in the Staff review process.

To supervise or assist with supervision research projects undertaken by Doctorate in Clinical Psychology students.

To participate in departmental and faculty seminars aimed at sharing research outcomes and building interdisciplinary collaboration within and outside the department.

# Monitoring and support of student progress

To participate in the development, administration and marking of exams, case reports and other assessments.

To assist in the development of learning materials, preparing schemes of work and maintaining records to monitor student progress, achievement and attendance.

To provide pastoral care and support to students.

#### Course and University administration

To develop the course's service user engagement work

To participate in the administration of the department's programmes of study including admissions and other activities as requested.

To contribute to departmental, faculty, or UCL-wide working groups or committees as requested.

#### Professional development

To maintain own continuing professional development.

To actively follow and promote UCL policies, including Equal Opportunities.

To maintain an awareness and observation of fire and health and safety regulations.

#### Other

To carry out any other duties commensurate with the grade and purpose of the post.

This job description reflects the present requirements of the post, and as duties and responsibilities change/develop, the job description will be reviewed and be subject to amendment in consultation with the postholder.

#### **Administrative Arrangements**

Hours 0.6FTE Grade 7

**Base** Research Department of Clinical, Educational and Health Psychology, 1-19

Torrington Place, London WC1

# **Accountability**

This post is funded by UCL's training contract with the North Central London Workforce Development Confederation. Accountability is to Head of the Research Department of Clinical, Educational and Health Psychology.

The job title will be Lecturer in Clinical Psychology at University College London.

Date: 1<sup>st</sup> July 2015

# University College London Research Department of Clinical, Educational and Health Psychology Lecturer in Clinical Psychology

#### **Person Specification**

# 1. Knowledge

Essential: Knowledge of contemporary research methods in clinical psychology

Desirable: Some knowledge of current training systems for Clinical Psychology in the UK

2. Skills

Essential: High level research skills

Teaching and other forms of public presentation

Adequate knowledge of computer packages for statistical processing of mental health

research data e.g. SPSS, SAS

Excellent interpersonal, oral and written communication skills.

Ability to co-ordinate a research team

Ability to supervise research undertaken by doctoral students.

Proven record of ability to manage time and work to strict deadlines.

Desirable: Ability (or demonstration of potential ability) to conduct research of publishable quality, as

reflected in the authorship of publications, or other research outputs.

Ability to support the clinical and professional development of doctoral students

3. Aptitude

Essential: Ability to work collaboratively and flexibly.

Desirable: Ability to share in organisation and management of postgraduate programmes

4. Qualifications

Essential: A doctoral qualification which confers eligibility for the title Clinical Psychologist as

regulated by the Health and Care Professions Council (HCPC).

5. Previous Experience

Essential: Experience of work in a clinical or research setting

Experience of research Experience of teaching

Desirable: Assessment of student work.

Pastoral care of students

Experience of service user engagement work

A research PhD

6. Personal Qualities

Essential: Commitment to academic research.

Commitment to the training of Clinical Psychologists

Commitment to high quality teaching and fostering a positive learning environment for

students.

Commitment to continuous professional development.

Commitment to UCL's policy of equal opportunity and the ability to work harmoniously

with colleagues and students of all cultures and backgrounds

7. Other requirements

Desirable: Membership of a relevant BPS Division of Clinical Psychology.

Date: 1<sup>st</sup> July 2015

# **Job Opportunities**

# **Jobs**

- Jobs
- Applying for a job
- My applications
- Right to work
- What we can offer
- Living in Cambridge
- Temporary work
- Work experience
- Academic
- Research
- Professorships/Directorships
- Academic-related
- Assistant staff
- Studentships

# Lecturer/Curator in Insect Biology (Tenure Track Position)

We are seeking to recruit an outstanding insect biologist to join the Department and Museum of Zoology at Cambridge. The successful candidate will combine excellence in research in some area of insect evolutionary biology, ecology or conservation science, with a commitment to teaching at both undergraduate and graduate levels. In addition he/she will have the ability to engage with the work of the Museum in collections development, outreach and public engagement.

We seek a candidate with the ambition and ability to fund and lead a world-class research group. We shall be looking for an innovative research agenda that is well placed to benefit from the diverse interactions that are possible within our broadly interdisciplinary department, and from interactions with the wider University Community, including the 400 University and NGO staff of the Cambridge Conservation Centre. The appointee will take overall academic responsibility for the insect collections, working with professional collections management staff, who will undertake the routine maintenance of the collections.

The selection criteria for this post are:

#### Essential

An outstanding research record, documented by publication and by the demonstrated

ability to attract research funding.

A broad knowledge of insect biology.

An innovative and focused research agenda in some area of insect evolutionary biology, ecology or conservation science.

The training and expertise to contribute broadly to undergraduate teaching in the area of insect evolutionary biology, ecology and/or conservation science.

Willingness to engage with the process of curation of the insect collections, and with outreach and public engagement activities.

#### Desirable

A programme of research that will enhance and develop the collections of the Museum.

Demonstrated excellence in teaching undergraduates and supervising research students.

Curatorial experience in a major research museum or comparable institution.

Taxonomic expertise relating to the Museum's insect collections.

A track record of commitment to wider responsibilities in a current or previous institution (for example, in research leadership, museum development, and/or public engagement).

The duties and responsibilities of this post will be:

To conduct research in some area of insect-based evolutionary biology, ecology and/or conservation science (50%);

To teach undergraduate and graduate students in insect evolutionary biology, ecology and/or conservation science (25%);

To take curatorial responsibility for the Museum's insect collections, and to engage in outreach and public engagement (25%).

The appointment will be from 1 October 2016 with some possibility for flexibility.

Appointment will be for a probationary period of five years with appointment to the retiring age thereafter, subject to satisfactory performance.

The Department would particularly welcome applications from women as we have an historical imbalance in the number of women holding academic staff positions.

Informal enquiries are welcome and may be addressed to the Director of the Museum, Professor Paul Brakefield, <a href="mailto:pb499@cam.ac.uk">pb499@cam.ac.uk</a> / +44 1223 336659 or to the Head of Department, Professor Michael Akam, on <a href="mailto:hod@zoo.cam.ac.uk">hod@zoo.cam.ac.uk</a> / +44 1223 336601.

To apply online for this vacancy, please click on the 'Apply' button below. This will route

you to the University's Web Recruitment System, where you will need to register an account (if you have not already) and log in before completing the online application form.

Please quote reference PF06451 on your application and in any correspondence about this vacancy.

The University values diversity and is committed to equality of opportunity.

The University has a responsibility to ensure that all employees are eligible to live and work in the UK.

# **Further information**

• Further Information - Lecturer/Curator - PF06451

# Apply online

Department/Location

# Department of Zoology

Salary

£38,511-£48,743

Reference

PF06451

Category

#### Academic

Published

6 July 2015

**Closing date** 

7 August 2015

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- Accessibility
- Freedom of Information







Further Information

Lecturer/Curator in Insect Biology (Tenure Track Position)

Department of Zoology

Reference: PF06451

Grade 9

Salary range: £38,511-£48,743 per annum

University Lectureship in Insect Evolutionary Biology, Ecology or Conservation Science

We are seeking to recruit an outstanding insect biologist to join the Department and Museum of Zoology at Cambridge. Your prime responsibilities in this role will be to carry out research of the highest standard in some area of evolutionary biology, ecology or conservation science, to teach undergraduates, and to supervise graduate students. You will also have curatorial responsibility for the insect collections in the University Museum of Zoology, working with the professional collections management staff of the Museum.

We shall be looking for an innovative research agenda that is well placed to benefit from the diverse interactions that are possible within our broadly interdisciplinary department, and from interactions with the wider University community, including the 400 University and NGO staff of the Cambridge Conservation Campus, which will be housed under one roof with the Museum in the David Attenborough Building, adjoining the Department of Zoology. This building is currently undergoing major renovation, scheduled for completion in late 2015.

We seek individuals who combine their passion for research with a commitment to teaching, and to outreach and public engagement activities. Our students are superb, and there is every opportunity for staff to interact closely with them. Teaching loads are not excessive, and we do our best to minimize the teaching obligations of new staff while they establish their research groups. The Museum and its collections play a major role in the teaching and research of the Department.

There are opportunities to combine this University lectureship/curatorship with a college position.

# The vacancy

This post is available from 1 October 2016, with some possibility for flexibility. The appointment will be for an initial period of five years, with reappointment thereafter to retirement, subject to satisfactory performance.

Information about living and working in Cambridge can be found at: http://www.jobs.cam.ac.uk/offer/

The University of Cambridge is an equal opportunity employer. The Department would particularly welcome applications from women as we have an historical imbalance in the number of women holding academic staff positions.

# Selection Criteria

# Essential

- An outstanding research record, documented by publication and by the demonstrated ability to attract research funding.
- A broad knowledge of insect biology.
- An innovative and focused research agenda in some area of evolutionary biology, ecology or conservation science.
- The training and expertise to contribute broadly to undergraduate teaching in the area of evolutionary biology, ecology and/or conservation science.
- Willingness to engage with the process of curation of the insect collections, and with outreach and public engagement activities.

#### Desirable

- A programme of research that will enhance and develop the collections of the Museum.
- Demonstrated excellence in teaching undergraduates and supervising research students.
- Curatorial experience in a major research museum or comparable institution.
- Taxonomic expertise relating to the Museum's insect collections.
- A track record of commitment to wider responsibilities in a current or previous institution (for example, in research leadership, museum development, and/or public engagement).

# **Duties and Responsibilities**

- To conduct research in some area of insect-based evolutionary biology, ecology and/or conservation science (50%);
- To teach undergraduate and graduate students in insect evolutionary biology, ecology and/or conservation science (25%);
- To take curatorial responsibility for the Museum's insect collections, and to engage in outreach and public engagement (25%).

# How to Apply

To submit an application for this vacancy, please click on the link in the 'Apply online' section of the advert published on the University's Job Opportunities pages. This will route you to the University's Web Recruitment System, where you will need to register an account (if you have not already done so) and log in before completing the online application form.

Please ensure that you upload the following:

- A full CV, including a summary (<1000 words) of current and future research plans, and a statement of collections experience.
- A covering letter setting out why you are applying and what you would bring to the role (2 sides A4 maximum).

If you upload any additional documents which have not been requested, we will not be able to consider these as part of your application.

Please also arrange for **two** academic referees to send references **directly** by post or email to the Departmental Administrator via email to: <a href="mailto:admin@zoo.cam.ac.uk">admin@zoo.cam.ac.uk</a> or by post to: The Departmental Administrator, Department of Zoology, University of Cambridge, Downing Street, Cambridge CB2 3EJ, UK

A third reference from a Museum professional may also be provided.

# Please quote reference when applying: PF06451

# Deadline:7 August 2015

Shortlisted applicants will be invited to interview, and to give a seminar. These are planned to take place in the **weeks beginning either 21**<sup>st</sup> **September or 28**<sup>th</sup> **September 2015.** The receipt of applications will be acknowledged by email. Subsequently, we will contact you only if you have been short-listed and invited for interview.

Informal enquiries are welcome and may be addressed to the Director of the Museum, Professor Paul Brakefield, <a href="mailto:pb499@cam.ac.uk">pb499@cam.ac.uk</a> / +44 1223 336659 or to the Head of Department, Professor Michael Akam, on <a href="mailto:hod@zoo.cam.ac.uk">hod@zoo.cam.ac.uk</a> / +44 1223 336601.

# Appendix 1

# Further Information on the Museum and Department of Zoology

The Museum of Zoology holds a collection of international significance, which is actively used for University teaching and research. The new Insect Room will house over 1M insect specimens. Each year, the public displays are visited by hundreds of educational groups and overall attracted more than 70,000 visitors annually before the refurbishment began. The Museum is currently undergoing complete renovation, with substantial University funding, and a major Heritage Lottery Fund grant. This involves a full redisplay of the public galleries, renovation and enlargement of all stores, the creation of a new entrance, a new gallery and spaces for school and volunteer activities. The new stores will also be available for guided tours by members of the public. The collections have already been transferred to the new stores and research facilities will be up-graded throughout the Museum. The museum will re-open to the public in 2016. The renewal of the public areas with provision for guided tours through the new Stores and proximity to the Cambridge Conservation Initiative underpin our ambition to increase visitor numbers and diversity substantially. The Museum has an active science outreach programme, including a Young Zoologists Club with more than 2000 members.

The Insect Store is fully integrated within the new Museum with its own research facilities. There is space to add judiciously to the collections. It holds much scientifically important materials including the Crotch Collection of Coccinellidae and specimens collected by Wallace, Darwin and other key historical figures.

Staff of the Museum include the Director (Professor Paul Brakefield) and five academic curators, all of whom combine research, teaching and curatorial responsibilities. The academic staff are supported by a collections manager, an administrator, a learning/interpretation officer, and other support staff, together with an active team of volunteers. The Museum is fully embedded within the Department of Zoology, and is administratively a part of it. The Museum is also part of an active team of University Museums and the Botanic Gardens that is supported by a major grant from the Arts Council of England.

The museum has associated molecular laboratories, and has recently established a new high resolution micro tomography centre. All research facilities of the School of Biology are available to Museum staff, as are the University's library and informatics resources.

Further information about the museum is available at http://www.museum.zoo.cam.ac.uk/

**The Department of Zoology** is a thriving department with a strong sense of community. It is one of the largest in the School of Biology: We number some 250 people including 25 established University faculty, and around 90 graduate students studying for PhD degrees. Around 30 independent group leaders hold external grants or fellowships. Eighteen members of the Department are Fellows of The Royal Society.

Our research ranges across disciplines from palaeontology to cell biology. It is formally organised under six themes, but in practice often bridges disciplinary boundaries. Much of our research links to themes that are co-ordinated across the School, including conservation, evolutionary genetics, neuroscience and infectious disease. Zoology often has a distinctive approach within these themes, with a particular interest in the functioning of the whole organism, and in questions relating to evolution and adaptation.

Zoology has consistently received outstanding HEFCE research ratings. All established staff and 23 other researchers from Zoology were returned in the 2013 REF submission, including all 6 of the Museum's curators, as part of an inter-Departmental submission across the School of Biological

Sciences. From this return, the research environment was rated 4\* (world class). 36% of individual research outputs were rated 4\*, and an additional 46% were rated 3\* (international quality). 70% of the impact submissions were rated 4\* and 24% 3\*.

We teach a range of courses in the Natural Sciences Tripos, including interdepartmental first and second year courses in Cell and Developmental Biology, Evolution and Behaviour, Physiology, Neurobiology, and Ecology, and the final honours course, Part 2 Zoology.

Part 2 Zoology is a broad course that reflects the range of interests across the department. This allows our students to combine evolutionary biology with behaviour, conservation, genomics, and a wide range of other options. The course may be taken by vets and medics during their final undergraduate year, as well as by Natural Scientists. Our teaching is rated very highly, both by external assessors and by undergraduates, gaining consistently good scores in the National Student Survey.

The Department is based in the historic city centre of Cambridge, with a field station in the nearby village of Madingley, housing animal behaviour and insect genetics laboratories. Some of our research groups are located within the Gurdon Institute for Cancer and Developmental Biology, a short walk from the main Department building.

A major new initiative associated with the Department is the Cambridge Conservation Campus, a University initiative that will house researchers with an interest in biological conservation from across the University, together with more than 300 staff from NGO organisations involved in conservation research and practice. The Museum expects to work closely with the Conservation Campus partners on outreach and public engagement. The Campus will be housed, along with the Museum of Zoology and other parts of the Zoology Department, in the David Attenborough Building, which adjoins the main Zoology Department building on the New Museums Site. This iconic 1960s building is currently undergoing complete refurbishment. This £60 million project should be complete by the end of 2015, and we expect University and NGO staff to move in at the beginning of 2016. For further information on the Cambridge Conservation Campus, see http://www.conservation.cam.ac.uk/overview-conservation-centre.

We can maintain so much diversity within one department only because we are part of the larger community of the School of the Biological Sciences (see <a href="http://www.bio.cam.ac.uk/">http://www.bio.cam.ac.uk/</a>). The School supports specialist expertise and facilities that are beyond the reach of any single department. For example, we have our own confocal imaging suite in Zoology, but for more specialised techniques (e.g. electron microscopy) we have access to the Cambridge Advanced Imaging Centre and to resources in other Departments and Institutes, which are increasingly being provided as School facilities. Similarly bioinformatics, proteomics and other technologies are supported elsewhere in the School.

The School includes the Faculty of Biology, which comprises Zoology and seven other departments, and the Faculty of Veterinary Medicine, which is a single department. The Wellcome Trust/Cancer Research UK Gurdon Institute, the Wellcome Trust Centre for Stem Cell Research and the Cambridge Systems Biology Centre are inter-departmental institutes within the School. The Sainsbury Laboratory for plant growth and development is our newest institute.

Many members of Zoology staff have strong links with research groupings organised across the School and the wider University. Besides the Cambridge Conservation Campus, these include Cambridge Neuroscience (http://www.neuroscience.cam.ac.uk/) and the Evolutionary Genetics group (http://heliconius.zoo.cam.ac.uk/camevolgen/). These groupings cut across departmental boundaries, generating a single community across the School, and supporting close interaction and collaboration between students and postdocs, as well as Faculty.

# Zoology: 6 Reasons This Is A Great Place To Work (and there are plenty more!)





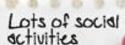




Professor Rebecca Kilner and family Academic Lead, Athena SWAN Committee

"We are proud of our reputation as a friendly department and a wonderful place to work. We are very pleased that this has been recognised in our Bronze Athena SWAN Award (May 2014).

Below are just a few of the many great things about working



Tes Room

Cricket, Football, Rounders

"Zook" Book Club

Birdwatching trips

Science Festival events

Museum of Zoology events

Happy Hour





Flexible about working hours where possible

Sensitive to carers' needs

Supportive of parents returning from maternity/paternity leave

Carers may have a priority case for car-parking on-site

Most seminars and committee meetings scheduled earlier in the day

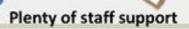












Staff Committees



- Appraisal scheme
- · Mentoring scheme for research staff
- Post-doc and PhD representatives
- · Training and development
- · Group and departmental induction meetings



# Appendix 2

# What the University can offer you

One of our core values at the University of Cambridge is to recognise and reward our staff as our greatest asset. We realise that it's our people who have built our outstanding reputation and that we will only maintain our leading position in the academic world by continuing to attract and retain talented and motivated people. If you choose to come and work with us, you will find that we offer:

 Excellent benefits – You will be eligible for a wide range of competitive benefits and services, including numerous discounts on shopping, health care, financial services and public transport.
 We also offer defined benefits pension schemes and tax-efficient bicycle, car lease and charity-giving schemes.

We will help you balance your home and work life by providing you With generous annual leave entitlement and procedures for requesting a career break or flexible working arrangements if you need them. You will also have access to a range of well-being support services, including in-house Occupational Health and Counselling services. If you have childcare responsibilities, you may also benefit from the enhanced maternity/adoption pay, two nurseries and a holiday play scheme that we provide.

We are keen to welcome new employees from other parts of the UK and other countries to Cambridge. If you will be relocating to Cambridge on a centrally funded appointment of two years or more, you may be eligible for our relocation expenses scheme. The University Accommodation Service will also be available to help you find suitable rented accommodation and to provide advice on renting arrangements and local facilities, if required. In addition, certain academic and academic-related appointments are eligible for the Shared Equity Scheme which offers financial assistance with the purchase of living accommodation. You may find the pages at <a href="www.internationalstaff.ac.uk">www.internationalstaff.ac.uk</a> helpful in planning a relocation.

A welcoming and inclusive environment - We will help you settle into your new role and
working environment through a central <u>University induction event</u>, local induction activities and
our online induction package. Where appropriate to your role, you will have a probation period to
provide a supportive framework for reviewing your progress and discussing your training and
development needs.

If you are relocating to Cambridge, you and your family will be welcome to attend the Newcomers and Visiting Scholars Group, which provides an opportunity to find out more about Cambridge and meet other people new to the area.

- Extensive development opportunities The encouragement of career development for staff is
  one of the University's core values. We put this into practice through various services and
  initiatives, including:
  - A wide-range of training courses and online learning packages.
  - The <u>Staff Review and Development (SRD) Scheme</u>, which is designed to enhance work effectiveness and facilitate career development post-probation.
  - <u>Leave for career and personal development</u>, including long-term study leave for assistant staff and sabbatical leave for academic staff.
  - The <u>CareerStart@Cam programme</u>, which supports assistant staff roles without higher education qualifications to develop their skills, experience and qualifications. Assistant staff may also apply for financial assistance for study which results in a qualification.
  - Reduced staff fees for University of Cambridge graduate courses.
  - The opportunity to attend <u>lectures and seminars</u> held by University departments and institutions.
  - Policies and processes dedicated to the career development of researchers and the implementation of the principles of the Concordat, which have led to the University being

recognised with an HR Excellence in Research Award by the European Commission. You can find further details of the benefits, services and opportunities we offer can be found in our CAMBens Employee Benefits web pages at <a href="http://www.admin.cam.ac.uk/offices/hr/staff/benefits/">http://www.admin.cam.ac.uk/offices/hr/staff/benefits/</a>. A range of information about living and working in Cambridge is also available to you within the University's web pages at <a href="http://www.jobs.cam.ac.uk/">http://www.jobs.cam.ac.uk/</a> and <a href="http://www.admin.cam.ac.uk/offices/hr/staff/">http://www.admin.cam.ac.uk/offices/hr/staff/</a>.

# **Equality of Opportunity at the University**

We are committed to a proactive approach to equality, which includes supporting and encouraging all under-represented groups, promoting an inclusive culture and valuing diversity. We make selection decisions based on personal merit and an objective assessment against the criteria required for the post. We do not treat job applicants or members of staff less favourably than one another on the grounds of sex (including gender reassignment), marital or parental status, race, ethnic or national origin, colour, disability (including HIV status), sexual orientation, religion, age or socio-economic factors.

We have various diversity networks to help us progress equality; these include the Women's Staff Network, the Disabled Staff Network, the Black and Minority Ethnic Staff Network and the Lesbian, Gay, Bisexual and Transgender Staff Network. In addition, we were ranked in the top 100 employers for lesbian, gay and bisexual (LGB) staff in Stonewall's Workplace Equality Index 2013 and we hold an Athena SWAN bronze award at organisation level for promoting women in Science, Technology, Engineering and Medicine.

# Information if you have a Disability

The University welcomes applications from individuals with disabilities and we are committed to ensuring fair treatment throughout the recruitment process. We will make adjustments to enable applicants to compete to the best of their ability wherever it is reasonable to do so, and, if successful, to assist them during their employment. Information for disabled applicants is available at <a href="http://www.admin.cam.ac.uk/offices/hr/staff/disabled/">http://www.admin.cam.ac.uk/offices/hr/staff/disabled/</a>.

We encourage you to declare any disability that you may have, and any reasonable adjustments that you may require, in the section provided for this purpose in the application form. This will enable us to accommodate your needs throughout the process as required. However, applicants and employees may declare a disability at any time.

If you prefer to discuss any special arrangements connected with a disability, please contact, Mrs Anastasia Nezhentseva, who is responsible for recruitment to this position, on (0)1223 330117 or by email via an 286@cam.ac.uk. Alternatively, you may contact the HR Business Manager responsible for the department you are applying to via hrenquiries@admin.cam.ac.uk.

# Job Description

#### 1. Job Details

Job title: Lecturer in Bioinformatics
School: School of Biological Sciences
Line manager: Head of the relevant Institute

#### 2. Job Purpose

To create knowledge by carrying out research. To impart knowledge by teaching, by facilitating student learning, by publishing research, and by other knowledge transfer activities. To contribute to the academic development of the University.

#### 3. Main Responsibilities

#### i. Research

Make a substantial and high quality contribution to research in the field of bioinformatics. Obtain research funding, and to supervise research students and research assistants and contribute to the development of research plans and strategies for the School of Biological Sciences. (Approx % of time 50-70%)

#### ii. Teaching and learning

Plan, prepare and deliver effective teaching, supervision and assessment of undergraduate and postgraduate students. Supervise Honours and MSc students undertaking research projects. Act as Personal Tutor for undergraduate and postgraduate students. Participate in development of the curriculum and of teaching methods within the School of Biological Sciences. (Approx % of time 30-50%\*)

#### iii. Academic support and professional development

Contribute to projects, working groups, committees, etc., on behalf of the discipline and/or the School. Undertake other activities in support of the School's objectives, e.g. recruitment of students and staff, academic guidance and pastoral support, course and programme leadership and organisation. Interact with the external community in academia, industry or elsewhere in order to contribute to research, professional and educational developments within the biological sciences. (Approx % of time 5-20%\*)

#### iv. Knowledge exchange and other academic activities

Engage in relevant activity such as consultancy, commercialisation, public engagement and other forms of knowledge transfer, and take on other School management roles as appropriate (Approx % of time variable\*)

#### \*Note on time percentages:

The School operates an academic workload management scheme that guides the allocation of teaching, academic support and other responsibilities in order to ensure individual workloads are appropriate and to ensure that adequate time is available for both research and teaching. The normal expectation is that a fully-research active member of academic staff will be allocated teaching and other academic support or management responsibilities not exceeding 50% of their contracted working hours. This allocation includes appropriate preparation time for such work. Staff managing larger research teams will generally be allocated fewer teaching and other duties. Staff with a reduced level of research activity will be allocated teaching and other responsibilities for a higher proportion of time than indicated here.

#### 4. Planning and Organising

Plan appropriate progression and content for own teaching programme and contribute to overall planning of curriculum.

Plan and organise overall delivery of undergraduate or taught postgraduate courses and programmes as Course Organiser or Programme Director.

Plan and organise own research projects and programmes.

Plan for continuous replacement of research funding over a three-five year cycle.

Plan own time to balance requirements for teaching, research and other activities.

#### 5. Problem Solving

Identify and analyse original research concepts and problems.

Resolve problems for individual and class students' learning.

Prioritise and allocate work to staff in own team.

#### 6. Decision Making

Decide what research areas to pursue within overall framework of School research strategy.

Decide how and what to teach, within overall School curriculum structure.

Decide how to control own project budgets and timescales.

#### 7. Key Contacts/Relationships

Initiate and develop collaborative teaching and research with colleagues within the School and beyond. Represent the University in discipline-focused teaching and research networks involving peers in the UK and internationally.

Line manage and develop staff on research grants and supervise PhD and project students.

Act as Personal Tutor for undergraduate students and/or taught postgraduate students.

# 8. Knowledge, Skills and Experience Needed for the Job

#### **Qualifications/Training**

#### Essential

- A PhD in an appropriate subject.
- An established or developing research reputation in bioinformatics with an appropriate publication and research funding record.

#### **Experience**

#### Essential

- Experience of planning and implementing an independent research programme.
- Experience of leading, or significantly contributing to, successful collaboration in research.
- Experience of university teaching at undergraduate and/or postgraduate level.
- Previous experience of, or demonstrable interest in, curriculum development, the design and development of courses and innovative teaching methods.

# Knowledge, Skills and Competencies

#### Essential

- A research background in bioinformatics.
- Knowledge of current teaching and learning methods in higher education.
- Excellent written and oral communication skills and interpersonal skills in a range of contexts (e.g. presentations, student support, research collaboration).
- Demonstrated ability to conduct, publish and otherwise disseminate high-quality research in peer-reviewed journals, at a quality and rate of output commensurate with strong REF performance.

- Demonstrated ability, or clear potential, to secure significant research funding as a Principal Investigator.
- Demonstrated ability, or clear potential, to lead and develop a research team.
- Demonstrated skill in delivering engaging and effective teaching.

#### **Personal Attributes**

#### Essential

- Self-motivated, able to work both independently and collaboratively, able to initiate and organise activities and projects and to manage and develop self and others
- Able to plan, implement, and articulate to others, coherent and innovative programmes of research and teaching, including the vision and skills to make a sustained contribution over a period of years
- Committed to working in a supportive, collaborative and open environment and to supporting others (students, research staff and colleagues), as well as oneself, to achieve.

#### 9. Dimensions

The postholder will be expected to fulfil all of the normal responsibilities of a member of academic staff i.e. to apply for and hold research grants, supervise research staff and students, publish in high-quality journals, give talks and attend conferences, develop and deliver face-to-face and/or distance teaching at undergraduate and postgraduate level through lectures, practical classes, fieldwork, tutorials, e-learning materials etc., prepare and mark assessments, act as Personal Tutor, contribute to School planning and committees, take part in other activities such as recruitment, outreach etc., and to take on academic management roles such as course or programme organiser, postgraduate advisor, etc. The postholder will be expected to act as Programme Director for the School's established MSc in Bioinformatics.

#### 10. Job Context and any other relevant information

Working in a multi-disciplinary environment, you will develop an independent portfolio of research and teaching in bioinformatics. The School has a strong research presence in related fields to bioinformatics, including quantitative genetics, genomics and systems biology. We also have close links with the physical sciences including Chemistry, Engineering, Physics and Informatics and with Edinburgh's College of Medicine & Veterinary Medicine. You will contribute to teaching and research initiatives that integrate and innovate on this interdisciplinary front.

You will be qualified in any relevant area of bioinformatics. You will have, or will have demonstrated clear potential to develop, an international research reputation. You will be an enthusiastic and innovative teacher and will be expected to deliver both undergraduate and masters teaching in this area, notably developing and enhancing the School's MSc programme in Bioinformatics, for which you will take on the role of Programme director. You will also take opportunities to try innovative methods in student-centred learning, and be involved in enhancing elearning and on-line teaching initiatives across the School's taught programmes. Courses and programmes are administered by the Biology Teaching Organisation.

You will be a full member of one of the School's academic Institutes. You will be able to select which Institute you join in discussion with the Head of School and relevant Heads of Institute, based on the best fit of your research and teaching interests. You may also affiliate to one of the School's interdisciplinary Research Centres: SynthSys (Synthetic & Systems Biology); Centre for Immunity, Infection & Evolution; Centre for Translational & Chemical Biology; Centre for Regenerative Medicine. You will be given appropriate support to develop your skills and career prospects.