

# Open Access: Policy, Academic, and University Perspectives

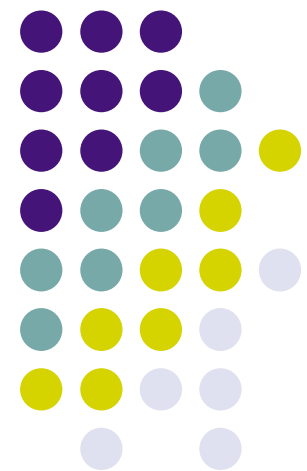
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Heather Morrison

Andrew Waller

Kumiko Vézina

Canadian Library Association Conference 2006



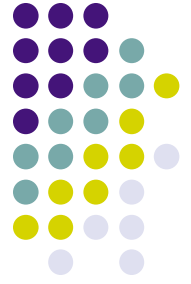


# What We're Going To Be Talking About

- **Policy Perspectives** (Heather)
- **University (Library) Perspectives** (Andrew)
- **Academic (Teaching Faculty) Perspectives** (Kumiko)

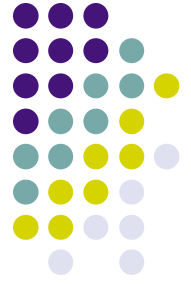
## Policy Perspectives

# Open Access Is...



- Open access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions

(from Peter Suber, Open Access Overview:  
<http://www.earlham.edu/~peters/fos/overview.htm>)



# General Flavours of OA

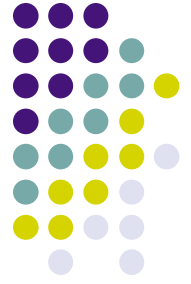
- Self-Archiving

- The author deposits the fulltext of their own research work into an online publicly accessible repository (open access repository or archive).

- Open Access publishing

- The publisher makes the full-text of published articles openly accessible immediately on publication.

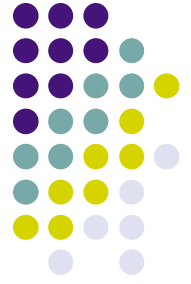
# OA Policy and Research Funders



- Open Access is the optimum for dissemination of research
- Open Access means:
  - More researchers to continue next steps
  - More impact for professionals, educators and others
  - Show value to the taxpayer
  - Support for more research \$

## Policy Perspectives

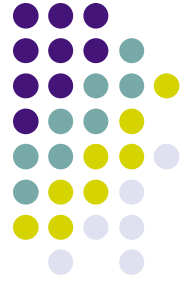
# U.S. National Institute of Health



- NIH Public Access Policy (2005) - <http://publicaccess.nih.gov/>
- NIH: *“requests and strongly encourages all investigators to make their NIH-funded peer-reviewed, author's final manuscript available to other researchers and the public through the NIH National Library of Medicine's (NLM) PubMed Central (PMC) immediately after the final date of journal publication.”*

## Policy Perspectives

# NIH...dismal compliance, & next steps



- Less than 5% compliance
- Research: 81% of researchers willing
- Public Access Working Group recommends:
  - Change request to requirement
  - Shorten permissible delay to 6 months



## Policy Perspectives

# U.S. Federal Research

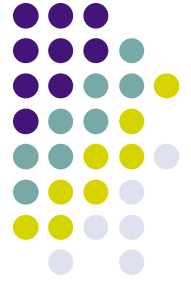
# Public Access Act of 2006 (FRPAA)

- Federal funding agencies with extramural research budget of \$100 million or more:
  - Implement public access policy
  - Researchers *required* to supply an electronic copy of manuscript accepted for publication
  - Open access within 6 months of publication
  - Resources on FRPAA, from Alliance for Taxpayer Access site: <http://www.taxpayeraccess.org/frpaa/index.html>
  - Endorsed by: ALA, ARL, ACRL, MLA, SLA, AALL



## Policy Perspectives

# Wellcome Trust (UK)

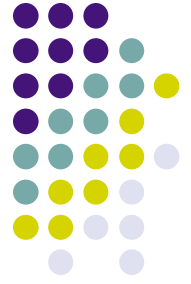


- Open and Unrestricted Access to Published Research
- Grantees must deposit articles within 6 months of publication in PubMedCentral (PMC)
- PMC UK in development
- All grants awarded since October 2005

[http://www.wellcome.ac.uk/doc\\_WTD002766.html](http://www.wellcome.ac.uk/doc_WTD002766.html)

## Policy Perspectives

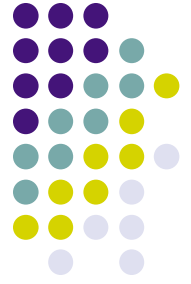
# Canada: Social Sciences and Humanities Research Council (SSHRC) – Research Grantees



- Adopted Open Access in principle, May 2005
- Conducted Consultation on Open Access
- Strong pro-OA submissions by: CARL, CLA, BCLA
- March 2006: SSHRC will actively promote OA, no requirement

## Policy Perspectives

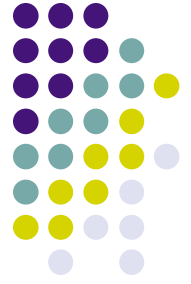
# SSHRC publication subsidy



- SSHRC subsidy program for academic journals in humanities and social sciences
- Three-year cycle
- Current rules:
  - 200 subscribers, discriminate against OA journals
- Current rules to be reviewed
- What's needed:
  - another measure to assess need / quality of publication

## Policy Perspectives

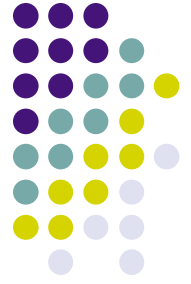
# Canadian Institutes for Health Research (CIHR)



- Policy in development:
  - Access to products of research
- Survey - comments were due May 15, 2006  
<http://www.cihr-irsc.gc.ca/e/30948.html>

## Policy Perspectives

### Others in the works...



- European Commission: study addressing Europe's scientific publishing system - comments due June 15
- Research Councils U.K.
- Australian Research Council requested input on its Funding Rules & Funding Agreements; Arthur Sales et al. OA submission



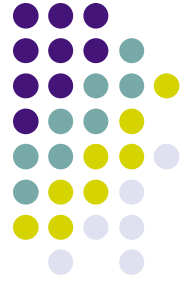
## Policy Perspectives

# Policy & OA Archives (Institutional Repositories) - Required Deposit at:

- CERN: over 360,000 documents
- Queensland Institute of Technology
- Lund University
- Southampton University
- In development: Athabasca University
- About 20 institutional policies to date

## University (Library) Perspectives

# OA Publishing and the University



- From “toll access” (TA) to “open access” (OA)
  - Many people in libraries see OA as one method by which the continual budgetary pressures academic libraries face may be alleviated or at least dealt with in a different manner.
- Directory of Open Access Journals (DOAJ): nearly 2300 journal titles ([www.doaj.org](http://www.doaj.org))
- BioMed Central (BMC): 175 journal titles ([www.biomedcentral.com](http://www.biomedcentral.com))
- Public Library of Science (PLOS): 6 journal titles ([www.plos.org](http://www.plos.org))
- Hindawai Publishing: nearly 40 journal titles ([www.hindawi.com](http://www.hindawi.com))



## University (Library) Perspectives

# OA Publishing, the University Traditional Publishers and OA

- Oxford University Press (OUP) - Nucleic Acids Research, Evidence-Based Complementary and Alternative Medicine
- “Individual article” OA:
  - American Institute of Physics (AIP)
  - Blackwell
  - Elsevier
  - Oxford University Press
  - Proceedings of the National Academy of Sciences (PNAS)
  - Springer





## University (Library) Perspectives

# OA Publishing and the University – The Economic Side

- How do we pay for OA? Some avenues:
  - Advertising
  - Governmental support
  - Grants
  - Institutional support
  - Memberships
  - Sponsorships
  - **Submission charges**
    - Though a majority of OA journals do not employ submission charges, there is evidence that most OA *articles* fall under this banner.



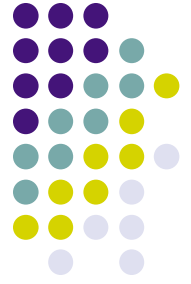
## University (Library) Perspectives

# OA Publishing and the University – The Economic Side

- The **submission charge option** occurs when a fee is levied by the publisher in order for an article to be published in an OA journal or as OA in a non-OA journal. These last ones are increasingly being called “hybrid” journals. Here are some examples:
  - AIP Author Select (\$2000 US)
  - Blackwell Open Online (\$2500 US)
  - BMC (\$1150 US average)
  - Elsevier “sponsored articles” (\$3000 US)
  - Oxford Open (400-2250 UKP)
  - PLOS (\$2000-\$2500 US, starting in July)
  - PNAS (\$1000 US)
  - Springer Open Choice (\$3000 US)

## University (Library) Perspectives

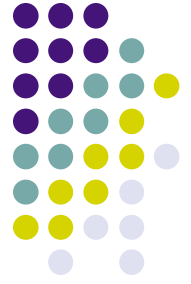
# OA Publishing and the University – The Economic Side



- As an author, you pay this amount and your accepted paper will be made OA (depending on the model and publisher, some or all of the rest of the articles in the issue won't be OA).
- For many, these charges seem exaggerated. The reality is that in some disciplines, many journals charge illustration and page fees that can add up to comparable levels.
- Until about 20 years ago or so, some publishers charged an out-and-out fee for publication.

## University (Library) Perspectives

# OA Publishing and the University – Who Should Fund?



- University library
- University administration
- Individual authors
- Funding agencies
- Government
- Combinations



## University (Library) Perspectives

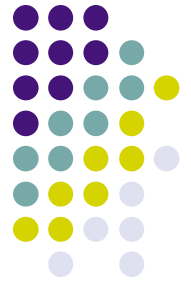
# OA and the University (Library) – Other Considerations

- Are we concentrating too much on submission fees?
- Institutional Repositories (Archives)
- Getting journals online cheaper and easier
- What about university presses?

## University (Library) Perspectives

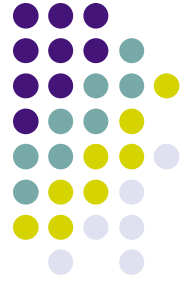
# OA and the University – The End-Game

- OA is still a very new thing: it's flexible and ever-changing
- The academic community is still trying to deal with it both collectively and as individuals



## Academic (Teaching Faculty) Perspectives

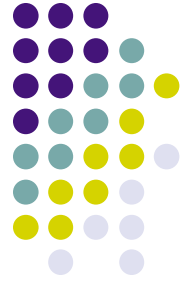
# OA and Faculty in Quebec



- In the UK, a study was conducted to understand how authors self-archived:
  - Swan, Alma & Sheridan Brown (2005). “Open access self-archiving: An author study ”. Cornwall, UK: Key Perspectives Ltd. Technical Report. URL: <http://dlist.sir.arizona.edu/814/>
- However, there is still little information about how Faculty regards OA and none at all for the Province of Quebec
- In May 2006, I conducted a survey to obtain the Opinions and Practices of Teaching Faculty about OA publishing and self-archiving in Quebec
- For comparability of results with other OA studies, the survey instrument was mostly modeled on the UK study.

## Academic (Teaching Faculty) Perspectives

### Survey parameters

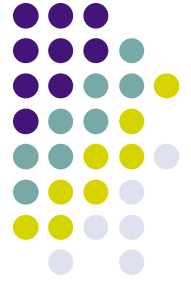


- 6 largest universities in the province of Quebec
  - Concordia University
  - McGill University
  - University of Montreal
  - Université du Québec à Montréal (UQAM)
  - Université Laval
  - Université Sherbrooke
- Faculty members in Biology, Chemistry, Biochemistry, Microbiology, Immunology, Cellular Biology, (etc.) as these are the fastest growing OA subject-areas.
- Response rate: just over 20% (729 requests, 150 responses)



## Academic (Teaching Faculty) Perspectives

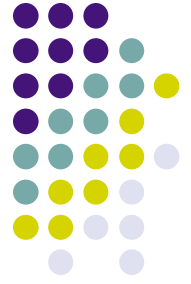
### Definitions



- Open Access publishing
  - Free, immediate and permanent online access for anyone to the full-text of research articles on the Internet with no restrictions in regards to downloading, copying, printing, distributing or searching.
- Self-Archiving in Online Repositories (Archives)
  - Personal web page
  - Departmental or institutional web page
  - Subject-based repository (e.g. E-LIS eprint archive)
  - Institutional Repository – IR:
    - Digital collection of a University's intellectual output that centralizes, preserves, and makes accessible the knowledge it generates. (Canadian Association of Research Libraries)

## Academic (Teaching Faculty) Perspectives

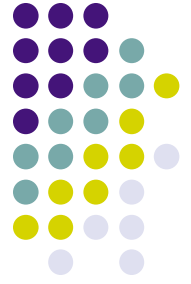
### Open Access concept



- 57% of Faculty members are aware of the Open Access concept in general (with 26% being “a little familiar”)
- Those who are aware of Open Access mainly learned about it from:
  - 1st place: Surfing the Web
  - 2nd place: Colleague
  - 3rd place: Journal article
  - 4th place: Other means (emailing lists, etc.)
  - 5th place: Librarian

## Academic (Teaching Faculty) Perspectives

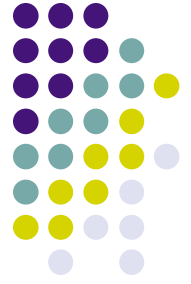
# Open Access publishing



- Almost a third of Faculty members have published in OA journals (27%)
  - Main reason: principle of free access for all readers
  - About half published in BioMed Central journals
- As for the Faculty members that have NOT published in OA journals (73%)
  - Biggest deterrent: they perceive OA journals in their field to have a low impact
  - 41% (out of 73%) consider it is somewhat unlikely they will publish in an OA journal in the next 3 years

## Academic (Teaching Faculty) Perspectives

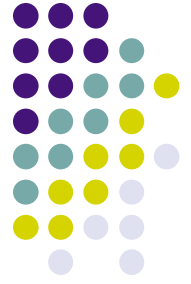
# Why is OA beneficial to authors?



- **IMPACT!**
- Impact is the ONE universally important factor for all authors
- A familiar tool used to determine impact is the *Journal Citation Reports (JCR)*
  - JCR ranks, evaluates, categorizes, and compares journals
  - JCR ranks the impact factor of journals by measuring the frequency with which the "average article" in a journal has been cited in a particular year or period.

## Academic (Teaching Faculty) Perspectives

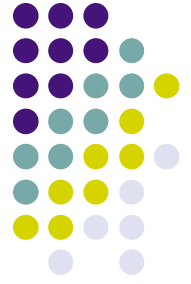
# Impact of Open Access journals



- 54% of Faculty believe that the *Journal Citation Reports (JCR)* does not rate the impact factor of OA journals
  - In fact, JCR now covers around 200 OA peer-reviewed journals
  - And according to Thomson Scientific: “the number of Open Access journals is rising steadily”  
(<http://scientific.thomson.com/media/presentrep/acropdf/impact-oa-journals.pdf>)

## Academic (Teaching Faculty) Perspectives

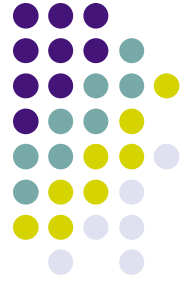
# Impact of Open Access journals



- 71% of Faculty believe that, in the same field, OA journals do not have the same impact factor as traditional journals
  - In 2004, a study conducted by Thomson Scientific found no discernable difference in terms of citation impact.  
(<http://www.nature.com/nature/focus/accessdebate/19.html>)
  - Furthermore: “in each of the broad subject areas studied, there was at least one OA title that ranked at [the top] or near the top of its field.”  
(<http://scientific.thomson.com/media/presentrep/essayspdf/openaccesscitations2.pdf>)

## Academic (Teaching Faculty) Perspectives

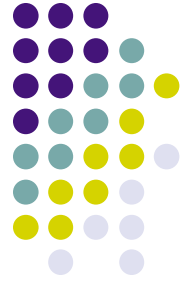
# What about the impact of OA articles?



- Stevan Harnad (Canada Research Chair in Cognitive Sciences, Université du Québec à Montréal (UQAM) and Adjunct Professor, Southampton University (UK)) and others believe we should look at the citation impact of Open Access articles and NOT the impact factor of journals:
  - OA dramatically increases the number of potential users of any given article by adding those users who would otherwise have been unable to access it because their institution could not afford the access-tolls of the journal in which it appeared; therefore, it stands to reason that OA can only increase both usage and impact.

## Academic (Teaching Faculty) Perspectives

# What about the impact of OA articles?



- 51% believe that when an author publishes in an OA journal or self-archives in a OA repository, it does not increase his or her article's impact
- However, recent articles show that OA articles have more impact than articles published in subscription journals (<http://www.dlib.org/dlib/june04/harnad/06harnad.html>)
- It seems there is a dramatic advantage in terms of the frequency with which the article is cited when they have been made OA by their author(s). **Impact therefore is increased.** (<http://opcit.eprints.org/oacitation-biblio.html>)

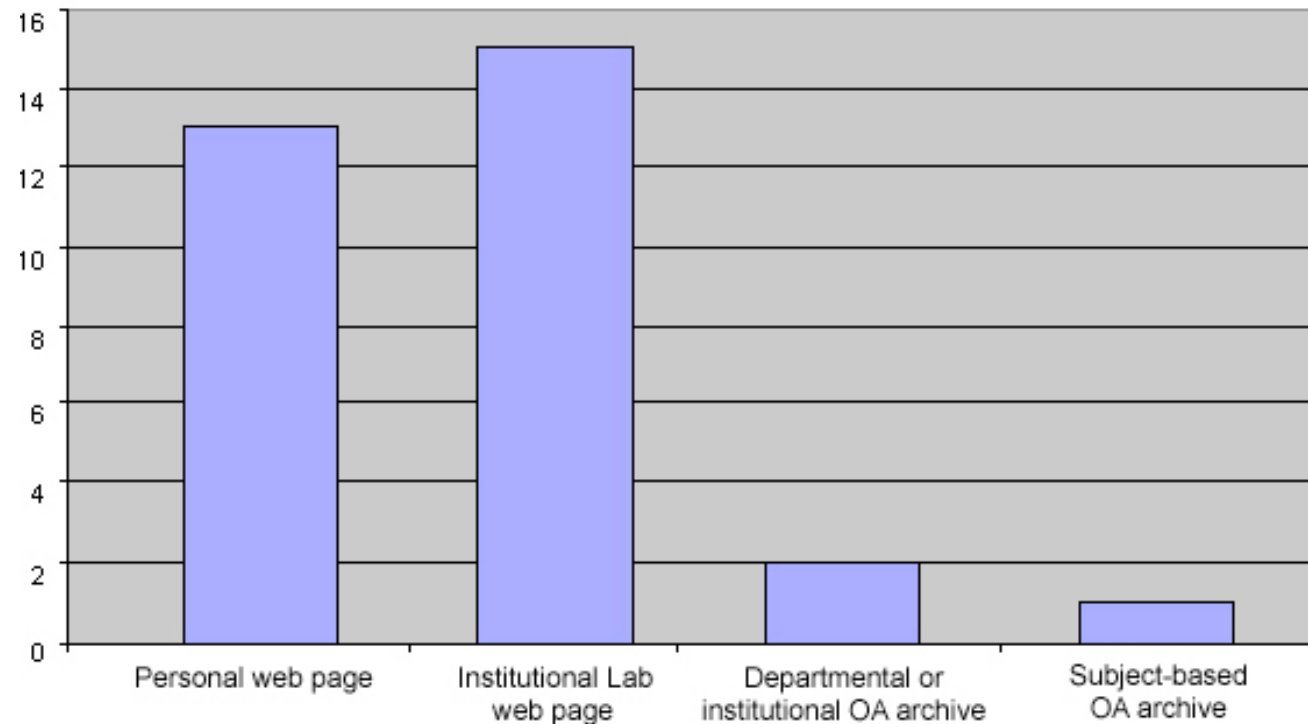


## Academic (Teaching Faculty) Perspectives



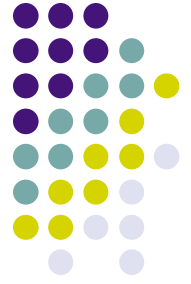
# Self-archiving practices

- 31% of Faculty members were familiar with the concept of self-archiving
- 12% of all respondents had self-archived **but only 2%** in OA repositories



## Academic (Teaching Faculty) Perspectives

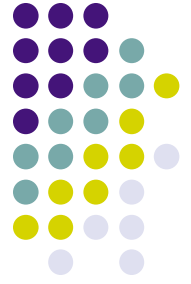
# Institutional Repositories - IR



- The vast majority of Faculty (87%) do not know if there are any institutional repositories in the province of Quebec.
  - 86% did not know if their University owned an institutional repository or not
- However, 83% would willingly comply to deposit copies of their articles in an open archive if it was required by their employer or research fund provider.

## Academic (Teaching Faculty) Perspectives

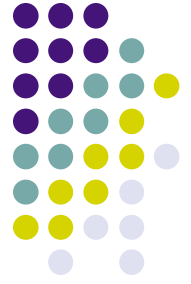
# Comments about Self-Archiving



- Curiosity & interest
  - It would be great to have more information on self-archiving. I knew nothing about this.
  - I had in mind to self-archive to give open access to articles published by my Laboratory. Researchers lack information about this.
- Adoption, promotion & advocacy
  - Self-archiving is critical to making my work available to researchers at small schools here and abroad that have too little library funding to buy electronic access to journals. It is a moral obligation to self-archive so that science is not limited to only a few elite countries with high levels of university funding.
  - Increases readership of the article

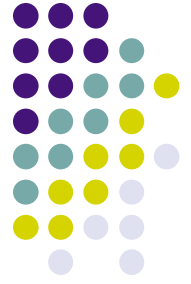
## Academic (Teaching Faculty) Perspectives

# Comments about Self-Archiving (continued)



- Resistance to change
  - I have been too busy coping with the changes in publications. I do not want to do anything new unless it is essential.
- Peer-review
  - The editor of the journal considering my paper told me "not" to pay attention to open publications because they have not been refereed.
  - I am in favor of self-archiving but only if it is peer-reviewed material.

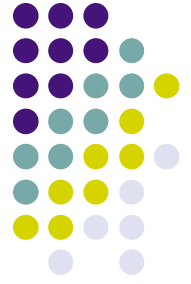
# Comments about Self-Archiving (continued)



- Copyright
  - Is self-archiving of your own articles allowed if the journal owns the copyright to the work?
  - To my knowledge publishing in "high impact journals" is at this moment in time still frequently incompatible with self-archiving, as the publisher will not allow you to provide free access to the article through websites etc. This aspect will definitely prevent me from participating in self-archiving efforts.
  - **The only impediment to self-archiving is the denial of permission from publishers**

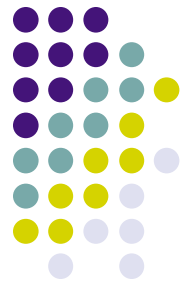
## Academic (Teaching Faculty) Perspectives

### Lack of information



- As of today, 94% of journals have given authors the right to self-archive
- ROMEO tracks journal/publisher policies on author self-archiving (<http://romeo.eprints.org/publishers.html>)
  - **Green: Publisher's green light to self-archive refereed postprint**
  - **Pale green: Green light to self-archive pre-refereeing preprint**
  - **Grey: No green light yet from publisher**
- Example: *Journal of Molecular Biology*
  - What is the self-archiving policy of this journal?

# Academic (Teaching Faculty) Perspectives



## ROMEIO search result

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Folders

Address <http://romeio.eprints.org/search.php?t=journal+of+molecular+biology> Google

### Journal Policies - Search: journal of molecular biology

eprints

HOME OPEN ACCESS SOFTWARE COMMUNITY SERVICES

[Search List](#) | [List of publishers](#) | [More information](#) | [Summary Statistics](#) | [Corrections](#)

**Journal of Molecular Biology** This is a GREEN publisher

Published by [Elsevier](#)

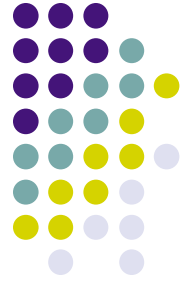
**Subject to conditions below**, Green light to self-archive **pre-print** (ie pre-refereeing).

- This does not include Cell Press

Green light to self-archive **post-print** (ie final draft post-refereeing).

## Academic (Teaching Faculty) Perspectives

# Communicating the information

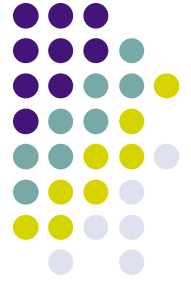


- The concept, issues and policies of OA publishing and Self-Archiving are not clear to researchers
- There is also a lot of contradicting information about Open Access out there which can complicate matters:
  - Recent interview with Harold Varmus, PLoS co-founder, in which he states that self-archiving is not Open Access (untrue!)
  - Association of American Publishers' press release opposing the "Federal Research Public Access Act of 2006" (see Peter Suber's critique of the document on his website)



## Academic (Teaching Faculty) Perspectives

### Next step?



- We have to be more pro-active and push information towards the research community about the issues at stake through:
  - Library Website
  - Library Newsletter
  - Meeting with Faculty members or Department Heads
  - Lectures / Workshops
  - Leaflets
- SPARC Open Access Programs (<https://db.arl.org/oap/>) - list of programs at Libraries to promote OA issues.
- **As information specialists and OA advocates, our most important duty is raising awareness!**



## Conclusions?

- Philosophical agreement on OA
- Open Access policy is rapidly evolving
- Economics of OA is still being developed
- Teaching faculty are interested but disinformed
- OA offers leadership opportunities for librarians
- CLA's Resolution is in favor of Open Access



## What you can do...

- Advocacy: researchers, funders, government
- Promote open access resources
  - Links to OA archives & DOAJ on website
  - Set up DOAJ as a link resolver target
  - Encourage OA publishing & self-archiving
- Develop & support an open access policy
- Sign the Budapest Open Access Initiative  
<http://www.soros.org/openaccess/>



## What you can do...

- Publish in Open Access Journals
  - Evidence Based Library & Information Practice (CLA EBLG Interest Group)  
<http://ejournals.library.ualberta.ca/index.php/EBLIP>
  - The Partnership: Library and Information Practice and Research in Canada (forthcoming)
- Self-archive
  - E-LIS: the Open Archive for Library and Information Science:  
<http://eprints.rclis.org/>
  - Institutional Repository (Archive)



# Resources – OA in general

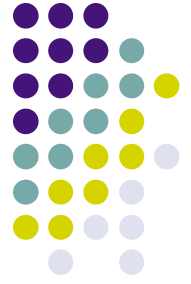
- Peter Suber's **Open Access Overview**  
(<http://www.earlham.edu/~peters/fos/overview.htm>)
- Peter Suber's **Open Access News**  
(<http://www.earlham.edu/~peters/fos/fosblog.html>)
- **Budapest Open Access Initiative (BOAI)** - (<http://www.soros.org/openaccess/>)
- **OA Librarian**: Open access resources by and for librarians  
(<http://oalibrarian.blogspot.com/>)
- **EPrints**: information and resources to make open access a reality within your own institution (<http://www.eprints.org/>)
  - See the **Open Access section** - (<http://www.eprints.org/openaccess/>)
- **SPARC – Create Change**: a response to the crisis in scholarly communication (<http://www.createchange.org/home.html> )



# Resources – OA Policy

- **Canada's Social Sciences and Humanities Research Council (SSHRC)** formally adopted the principle of Open Access in May 2005:
  - [http://www.carl-abrc.ca/projects/open\\_access/SSHRC\\_OA-consultn\\_brief.pdf](http://www.carl-abrc.ca/projects/open_access/SSHRC_OA-consultn_brief.pdf)
  - [http://poeticeconomics.blogspot.com/2006/05/sshrc-to-actively-promote-open-access\\_06.html](http://poeticeconomics.blogspot.com/2006/05/sshrc-to-actively-promote-open-access_06.html)
- **Federal Research Public Access Act (US)** (<http://www.arl.org/sparc/resources/frpaa.html>)
- **NIH Public Access Home Page (US)** (<http://publicaccess.nih.gov/>)
- **Wellcome Trust (UK):**
  - Unrestricted Access to Research: <http://www.wellcome.ac.uk/node3302.html>
  - Position Statement in support of OA: [http://www.wellcome.ac.uk/doc\\_WTD002766.html](http://www.wellcome.ac.uk/doc_WTD002766.html)

# Resources – OA Repositories (Archives)



- **Directory of Open Access Repositories (OpenDOAR)** - (<http://www.opendoar.org/>)
- **ArXiv.org:** Eprints in Physics, Mathematics, Computer Science, etc. - (<http://www.arxiv.org/>)
- **PubMedCentral:** Free Archive of Life Sciences Journals (<http://www.pubmedcentral.nih.gov/>)
- **HighWire Press:** Largest Free Full-Text Life Sciences Archives (<http://highwire.stanford.edu/>)
- **PubChem:** Free archive of chemical structures (<http://pubchem.ncbi.nlm.nih.gov/>)
- **Elektronische Zeitschriftenbibliothek Jahresbericht (EJournals Library)**
  - <http://rzblx1.uni-regensburg.de/ezeit/index.phtml?bibid=AAAAA&colors=7&lang=en>
  - [http://rzblx1.uni-regensburg.de/ezeit/anwender/Jahresbericht\\_EZB\\_2005.pdf](http://rzblx1.uni-regensburg.de/ezeit/anwender/Jahresbericht_EZB_2005.pdf)

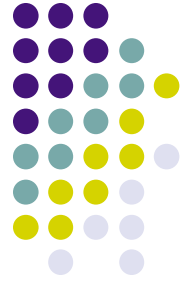


# Resources – OA Institutional Repositories (IR)

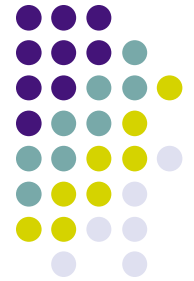
- **CARL - Institutional Repositories Pilot Project** (Online Resource Portal): Resources for libraries to set-up and maintain an Institutional Repository at their institution - ([http://www.carl-abrc.ca/projects/institutional\\_repositories/institutional\\_repositories-e.html](http://www.carl-abrc.ca/projects/institutional_repositories/institutional_repositories-e.html))
- **Examples of Canadian Institutional Repositories:**
  - **University of Calgary** - (<https://dspace.ucalgary.ca/>)
  - **T-Space** (University of Toronto Libraries) - (<https://tspace.library.utoronto.ca/>)
  - **QSpace** (Queen's University) - (<https://qspace.library.queensu.ca/>)
  - **Papyrus** (Université de Montréal) - (<http://papyrus.bib.umontreal.ca/>)
  - **Archimède** (Université Laval) - (<http://archimede.bibl.ulaval.ca/>)



# Resources – OA publishing and self-archiving

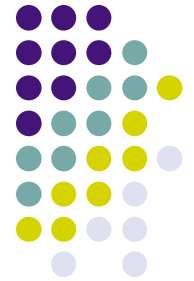


- **BioMed Central (BMC):** Largest Open Access publisher offers 175 OA journals ([www.biomedcentral.com](http://www.biomedcentral.com))
- **E-LIS:** Open Archive for Library and Information Science (<http://eprints.rclis.org/>)
  - **NOTE:** The Friday (June 16<sup>th</sup>) CLA Session on “Open Access: Policy, Academic, and University Perspectives” will be archived in E-LIS.
- **ROMEo** tracks journal & publisher policies on author self-archiving (<http://romeo.eprints.org/publishers.html>)
- Swan, Alma. “Open Access Self-Archiving: an Introduction” (<http://eprints.ecs.soton.ac.uk/11006/>)
- **Directory of Open Access Journals (DOAJ)** lists nearly 2300 fully OA journals and the number is rising (<http://www.doaj.org/>)



# Resources – OA forums

- **American Scientist Open Access Forum** has been tracking OA progress since 1998. To browse the archives or subscribe to the list: (<http://amsci-forum.amsci.org/archives/American-Scientist-Open-Access-Forum.html>)
- **SOAF** - SPARC OA Forum Archive - (<https://arl.org/Lists/SPARC-OAForum/List.html>)
- **ARL-EJOURNAL**: EJournals in Libraries - (<https://arl.org/Lists/ARL-EJOURNAL/List.html>)
- **Liblicense-L Archives**: much discussion about Open Access during the years 2003-2004, about 1700 emails. (<http://www.library.yale.edu/~llicense/ListArchives/>)
- **SCHOLCOMM**: scholarly communication issues (<http://www.ala.org/ala/acrl/acrlissues/scholarlycomm/scholcommdiscussion.htm>)
- **BOAI Forum** - <http://www.soros.org/openaccess/forum.shtml>)
- **Open Access Archiving List**: for managers of open access archives who would like to discuss issues relating to OA archiving in the dual sense of providing access and preservation. Low-tech list hence to subscribe or unsubscribe, please contact the list-owner, Heather Morrison ([heatherm@eln.bc.ca](mailto:heatherm@eln.bc.ca))



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