



SCHOLARLY PUBLISHING & ACADEMIC RESOURCES COALITION
SPARC EUROPE

www.sparceurope.org

Open Access - The Future of Scholarly Publishing

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 MARIS et al. *RNA*.2005; 11: 173-186.

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The Situation Today – Dissatisfaction at All Levels

- Authors
 - Their work is not seen by all their peers – they do not get the recognition they desire
 - Despite the fact they often have to pay page charges, colour figure charges, reprint charges, etc.
 - Often the rights they have given up in exchange for publication mean there are things that they cannot do with their own work
- Readers
 - They cannot view all the research literature they need – they are less effective
- Libraries
 - Even libraries at the wealthiest institutions cannot satisfy the information needs of their users
- Society
 - We all lose out if the communication channels are not optimal.



SPARC Europe

www.sparceurope.org

Scholarly Publishing & Academic Resources Coalition

- Formed in 2002 following the success of SPARC (launched in 1998 by the US Association of Research Libraries)
- Encourages partnership between libraries, academics, societies and responsible publishers
- Currently focused on STM, but coverage expanding
- Has over 110 members in 14 countries (and is growing)
- By acting together the members can influence the future of scholarly publishing



What is a Journal?

Scholarly publishing comprises four functions:

REGISTRATION Establishing intellectual priority	CERTIFICATION Certifying the quality/validity of the research	AWARENESS Assuring accessibility of research	ARCHIVING Preserving research for future use
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Current model:

- Integrates these functions in journals
- This made sense in print environment



Unlocking opportunities

- Opportunities for **expanded access** and **new uses** offered by
 - ever-expanding networking
 - evolving digital publishing technologies and business models
- Better ways to handle increasing volume of research generated
- Technology offers the chance for research and library communities to take back control of scholarly communication



Open Access

What is it?

Call for *free, unrestricted access* on the public internet to the literature that scholars give to the world *without expectation of payment*.

Why?

Widen dissemination, accelerate research, enrich education, share learning among rich & poor nations, enhance return on taxpayer investment in research.

How?

Use existing funds to pay for *dissemination*, not *access*.



Budapest Open Access Initiative

www.sparceurope.org

Two complementary strategies:

- **Self-Archiving:** Scholars should be able to deposit their refereed journal articles in open electronic archives which conform to **Open Archives Initiative** standards
- **Open-Access Journals:** Journals will not charge subscriptions or fees for online access. Instead, they should look to other sources to fund peer-review and publication (e.g., publication charges)

<http://www.soros.org/openaccess/>



What are institutional repositories (open archives)?

Essential elements

- *Institutionally defined*: Content generated by institutional community
- *Scholarly content*: preprints and working papers, published articles, enduring teaching materials, student theses, data-sets, etc.
- *Cumulative & perpetual*: preserve ongoing access to material
- *Interoperable & open access*: free, online, global

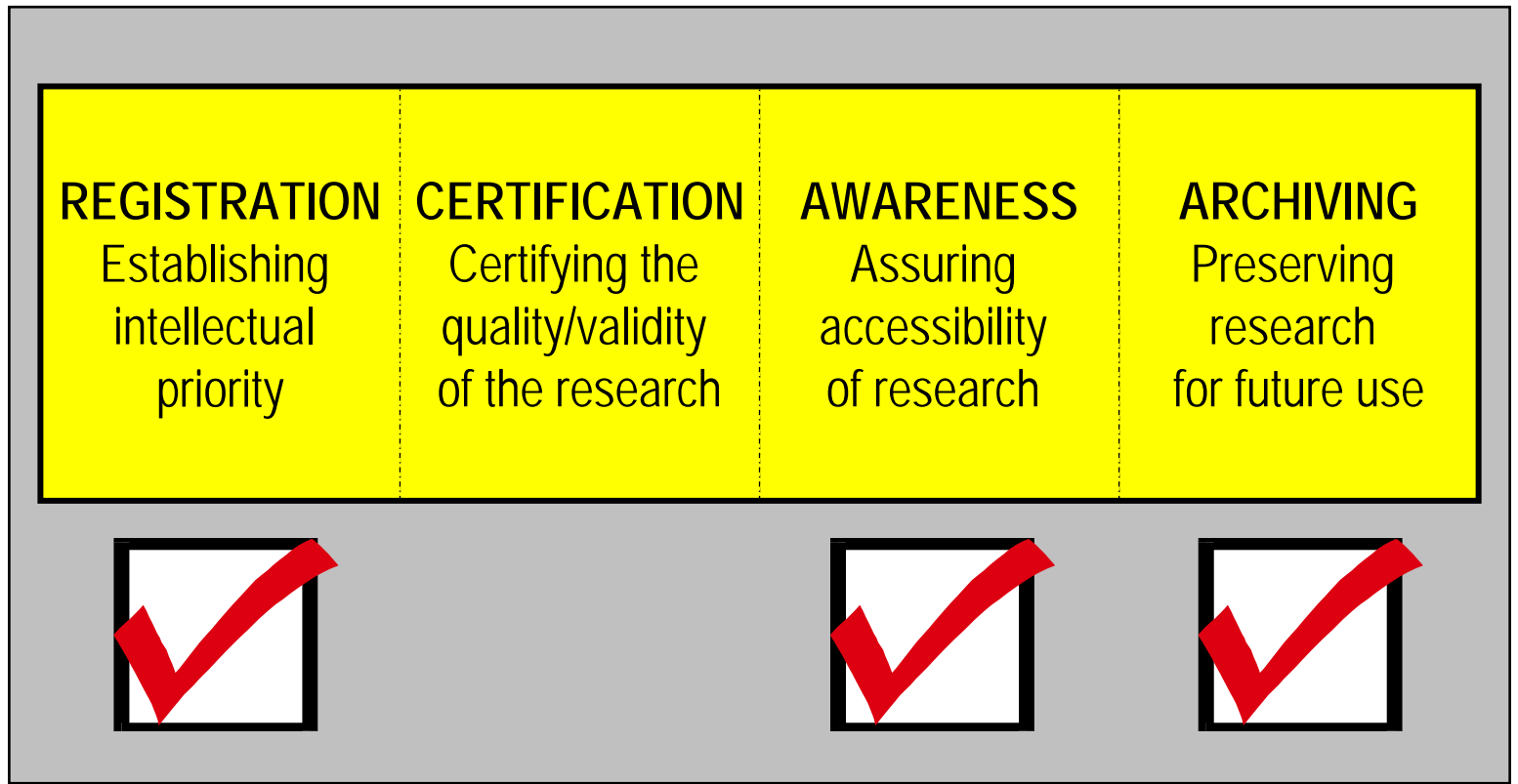


Why institutional repositories?

- **For the Individual**
 - Provide a central archive of their work
 - Increase the dissemination and impact of their research
 - Acts as a full CV
- **For the Institution**
 - Increases visibility and prestige
 - Acts as an advertisement to funding sources, potential new faculty and students, etc.
- **For Society**
 - Provide access to the world's research
 - Ensures long-term preservation of institutes' academic output



The Four Functions





Certification

- Certification gives:
 - Authors – Validation of their work (important for promotion and grant applications)
 - Readers – Quality filter
- Journals provide peer review and give a ‘quality stamp’ to research and authors
- Journals should be open access



The Four Functions of a Journal



Institutional
Repositories



REGISTRATION
Establishing
intellectual
priority

CERTIFICATION
Certifying the
quality/validity
of the research

AWARENESS
Assuring
accessibility
of research

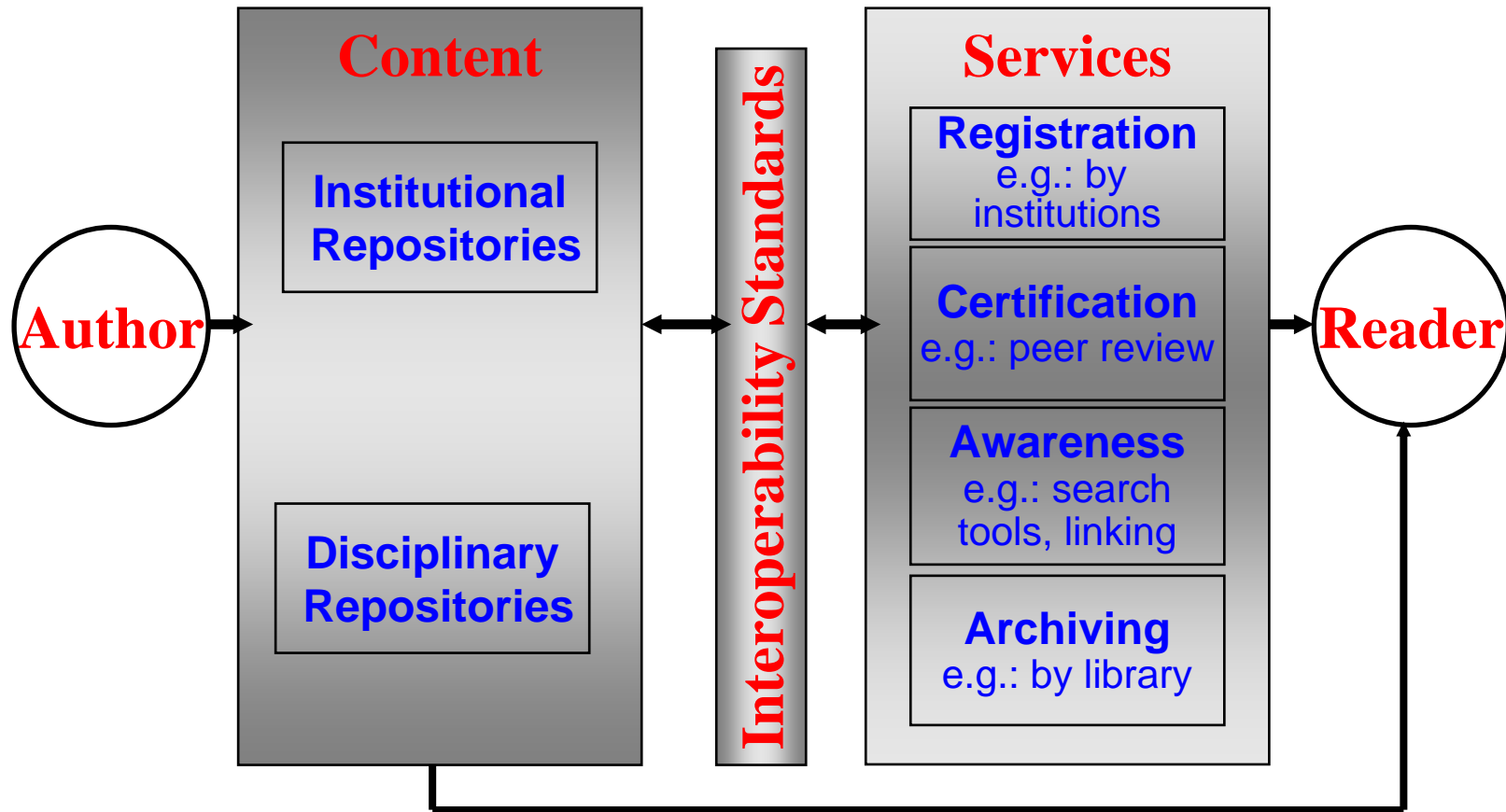
ARCHIVING
Preserving
research
for future use



Open Access
Journals



How the pieces work together





Utopia!

- All research material freely available in a world-wide network of interoperable repositories
- Peer-reviewed papers receive quality stamp from journals, financed by authors not readers
- All peer-review papers are freely available to anybody with internet access



Theory Into Practice

- Institutional Repositories

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- GNU EPrints – Southampton produced software
- D-Space – MIT Repository, expanding to Cambridge, UK
- CDSWare – CERN
- ARNO – Tilburg, Amsterdam, Twente

- SHERPA – UK
- DARE – The Netherlands
- \$12 million grant for repositories in Australia
- Almost 400 open access repositories worldwide

- SPARC Resources –
(<http://www.arl.org/sparc/core/index.asp?page=m0>)



...find the pearls

Home

Search

View Institutions

Help

Use this form to find digital resources ([what is a digital resource?](#)) from many institutions ([which institutions are available?](#)).

Why do I sometimes get duplicate records?
Why do I sometimes have trouble accessing digital objects?
Check out [this explanation](#).

See [help](#) for search tips.

Search all fields [\(help\)](#)

Use a word or phrase, e.g., diploma*, fancy dress

and or

Search within particular fields [\(help\)](#)

Use a word or phrase, e.g., diploma*, fancy dress

Title: and

Author/
Creator: and

Subject: and

Resource
Type:

Choose sorting of results [\(help\)](#)

e.g., results in date descending order, from 2002 to 1999

title author/creator

date descending date ascending

hit frequency weighted hit frequency



Theory Into Practice

- Open Access Journals

- Lund Directory of Open Access Journals (<http://www.doaj.org/>) – lists over 1470 peer-reviewed open access journals
- *PLoS Biology* (launched October 2003) and *PLoS Medicine* (launched October 2004)
- *BioMed Central* (published 6000+ papers)
- *New Journal of Physics*
- Indian Academy of Sciences has made their 11 journals available free online



Open Access – Making the Transition

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- Give Authors the choice:
 - If they pay a publication charge the paper is made open access on publication.
 - If they do not pay the publication charge the paper is only made available to subscribers.
- Over time, as proportion of authors who pay increases subscription prices can fall
- Eventually, entire journal is open access

<http://www.sparceurope.org/Open%20Access/From%20Here%20to%20There.doc>



Open Access – Making the Transition

- A number of ‘traditional’ publishers are transforming their closed access journals into open access journals:
 - Proceedings of the National Academies of Science (PNAS)
 - Oxford University Press
 - American Institute of Physics
 - Company of Biologists
 - American Physiological Society
 - American Society of Limnology and Oceanography
 - Springer
 - Blackwell’s (Announced last week)



High Level Support for Open Access - UK House of Commons

UK Science and Technology Committee Inquiry: *Scientific Publications: Free for all?*

- Report published 20 July 2004
- A large number of recommendations, including:
 - Government set up a central body (with funding) to oversee implementation of national institutional repositories programme
 - Research Councils (RCs) require that authors deposit a copy of their articles in their institution's repository within one month of publication.
 - RCs review copyright and, provided it does not have a negative impact, make it a condition of grant that authors retain copyright in their papers.
 - RCs Should provide as part of research grants monies to allow payment of charges for publication in Open Access journals.

<http://www.publications.parliament.uk/pa/cm/cmsctech.htm>



Wellcome Trust

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- The Wellcome Trust is an independent research funding charity which currently spends over £400 million per annum.
- The Trust is working with the National Library of Medicine (NLM) to establish a European site for PubMed Central.
- ‘In the future, we are proposing that Wellcome Trust grantees will be required to deposit an electronic version of their peer reviewed research articles in PubMed Central (or the European PMC, once established) no later than six months after the date of publication.’
- The Trust will provide grantees with additional funding to cover the costs of page processing charges levied by open access publishers

http://www.wellcome.ac.uk/doc_WTX022827.html



Berlin Declaration in Support of Open Access

- ‘Our mission of disseminating knowledge is only half complete if the information is not made widely and readily available to society.’
- Issued on 22nd October 2003
- Signatories
 - **Germany:** Fraunhofer Society, Wissenschaftsrat, HRK, Max Planck Society, Leibniz Association, Helmholtz Association, German Research Foundation, Deutscher Bibliotheksverband
 - **France:** CNRS, INSERM
 - **Austria:** FWF Der Wissenschaftsfonds
 - **Belgium:** Fonds voor Wetenschappelijk Onderzoek – Vlaanderen, Fonds National de la Recherche Scientifique (FNRS)
 - **Greece:** National Hellenic Research Foundation
 - **China:** Chinese Academy of Sciences, National Science Foundation China (NSFC)
 - **Italy:** Rectors of almost half of Italy’s universities

<http://www.zim.mpg.de/openaccess-berlin/berlindeclaration.html>



Berlin Declaration in Support of Open Access – Practical Steps

- Berlin 3 meeting, held 28 February – 1 March in Southampton
- Produced a simple (draft) statement of activity for institutions.
- In order to implement the Berlin Declaration institutions should:
 - 1) Implement a policy to require their researchers to deposit a copy of all their published articles in an open access repository.
 - and
 - 2) Encourage their researchers to publish their research articles in open access journals where a suitable journal exists and provide the support to enable that to happen.



Open Access – Increasing High-Level Support

Political Interest:

- US Congress instructed the National Institutes of Health (NIH) to develop new access policy
- Originally, copies of all papers reporting research funded by NIH would have been deposited in PubMed Central six months after publication
- Final announced policy – grant recipients are ‘requested’ to deposit their papers up to 12 months after publication
- Approximately 60,000 papers each year could be made freely available as a result of the policy

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-022.html>



The Power of Open Access – Self Archiving

- For 72% of papers published in the *Astrophysical Journal* free versions of the paper are available (mainly through ArXiv)
- These 72% of papers are, on average, cited **twice** as often as the remaining 28% that do not have free versions.

Self-archiving gives authors an advantage, even for journals where ‘everybody already has access’!

Figures from Greg Schwarz



The Power of Open Access – Journals

- *Limnology and Oceanography*, published by the American Society of Limnology and Oceanography
- Uses hybrid model to offer authors the chance to purchase open access
- Open Access papers published in 2003 have been downloaded 2.8 times more often than non-open access papers
- For papers published in 2002, the difference increases to 3.4 times greater downloads for open access papers

<http://aslo.org/lo/information/freeaccess.html>



What Libraries Can Do

Self-archiving:

- Maintain institutional repository.
- Help faculty deposit their research papers, new & old, digitizing if necessary.

Open-access journals:

- Help open access journals launched at your institution become known to other libraries, indexing services, potential funders, and potential readers.
- Make sure scholars at your institution know how to find open access journals and archives in their fields. Set up tools to allow them to access these.



What Libraries Can Do

- Support open access journal ‘institutional memberships’ (e.g. BioMedCentral, PLoS)
- As open access journals proliferate, and as their usage and impact grow, cancel over-priced journals that do not measure up (e.g. Oldenburg, Harvard, Cornell, University of California)
- Engage with University administrators and funding bodies to raise the issue of open access
- Familiarize yourself with the issues – see *Create Change* at <www.createchange.org>.



Open Access – Appealing to All the Major Stakeholders

- To the funders of researcher – both as a public service and as an increased return on their investment in research
- To the authors – as it gives wider dissemination and impact
- To readers – as it gives them access to all primary literature, making the most important ‘research tool’ more powerful
- To editors and reviewers – as they feel their work is more valued
- To the libraries – as it allows them to meet the information needs of their users
- To the institutions – as it increases their presence and prestige
- To small and society publishers – as it gives them a survival strategy and fits with their central remit



Create Change!

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“Although the battle is being fought over subscription prices, what is really at stake...is the scientific process itself.”

New York Times, Dec. 8, 1998

“ An old tradition and a new technology have converged to make possible an unprecedented public good. ”

Budapest Open Access Initiative, Feb. 14, 2002

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