



CODATA workshop

5-7 September 2005

'Mandate' is not a four-letter word:
taking Open Access
scholarly communication forward

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Talk outline

- Open Access defined
- Green and Gold roads to OA
- Critical for developing countries
- Monitoring OA uptake
- Why an OA mandate?
- Illustrative OA policy decisions to date
- Authors' positions
- Factors impeding OA adoption
- What's needed
- Question



Open Access defined*

- free or low-barrier diffusion of scholarly research (De Beer)
- finds expression through:
 1. publication in Open Access journals;
 2. making research available in an institutional or disciplinary (a.k.a. subject-based) archive;
 3. making research available via departmental or personal homepages;
 4. making the research output of postgraduates available.

note:

1 = research publication = journal reform school of OA
2 to 4 = research dissemination = self-archiving school of OA
(OAI compliance is important here. See Breeding, 2002)

* defined for developing countries





Green and Gold roads to OA

Harnad's definition of the gold and green roads to OA is notable:

UNIFIED DUAL OPEN-ACCESS-PROVISION POLICY:

BOAI-2 ("gold"): Publish your article in a suitable open-access journal whenever one exists.

<http://www.doaj.org/>

BOAI-1 ("green"): Otherwise, publish your article in a suitable toll-access journal and also self-archive it.

<http://www.eprints.org/self-faq/>

<http://romeo.eprints.org/>

<http://archives.eprints.org/>





PLOS

PUBLIC LIBRARY
of SCIENCE

Why is open access important?

- Authors
access to the largest possible audience
- Readers
access to the entire literature
- Reuse of articles
download, copy, print, archive
- Full-text searching and mining
beyond Boolean text searches



www.plos.org



Critical issue for developing countries

- African research increasingly marginalised (Altbach & Tefera)
- Developing countries subject to knowledge imperialism (Arunachalam)
[What I call 'knowledge aid' or 'knowledge dependence']
- Constrained south-north knowledge flow



Monitoring OA uptake

- Registry of Institutional Open Access Repositories
 - <http://archives.eprints.org/eprints.php?action=browse>
 - ~434 OAI-compliant archives (Jun 2005)
- Directory of Open Access Journals
 - <http://www.doaj.org>
 - 1724 journals in the directory; 414 journals currently searchable at article level; 76 588 articles (Sept 2005)



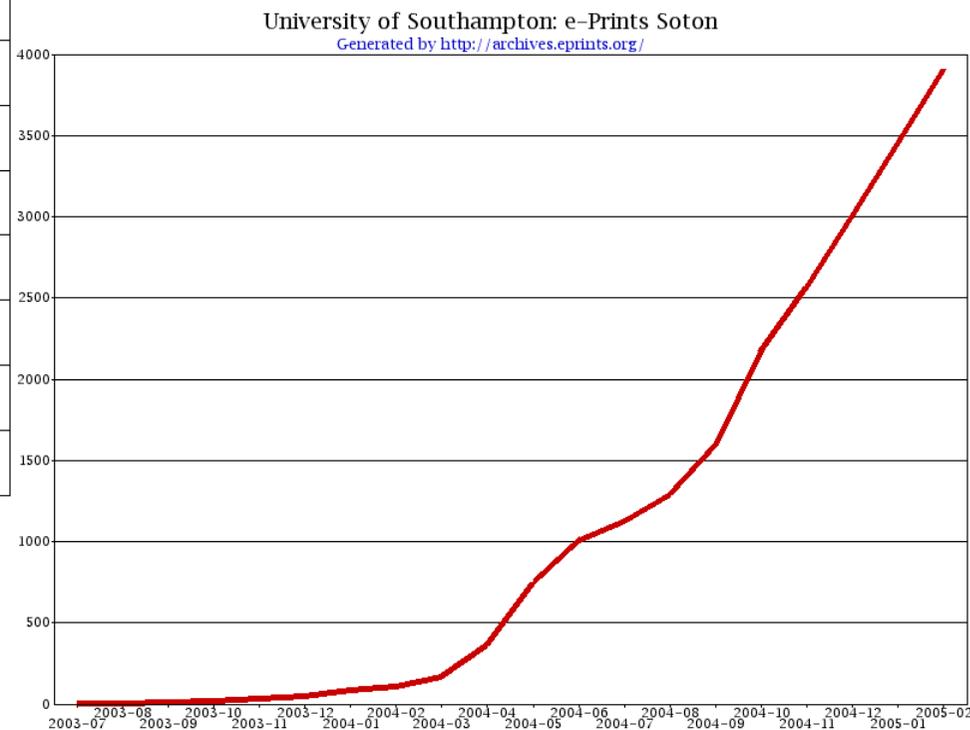
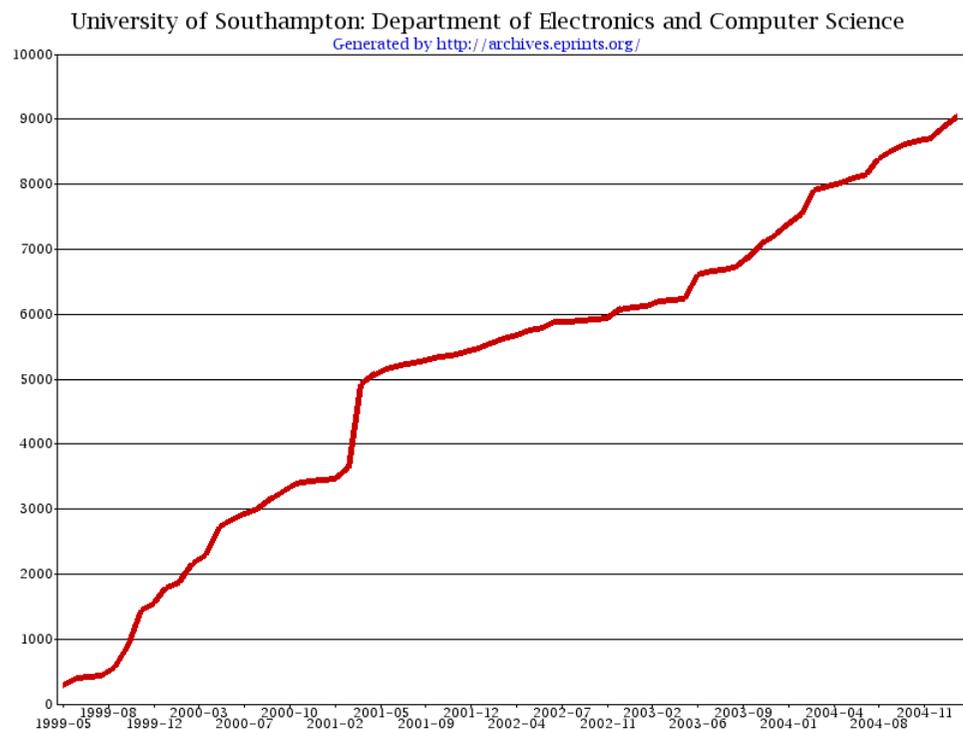
Why mandate OA?

- Voluntary adoption will take an inordinate amount of time (Can we really afford to wait?)
- Pressures of latter-day research environment for commercialisation and commoditisation (and associated policy)
- Cf. Brody and Harnad's examples of the use of institutional archives where OA policies exist (next slide), and where they do not (slide thereafter)

Open Access: How:

Two archives **with** an institutional self-archiving policy

Southampton Department of Electronic and Computer Science (since 2002)
and Southampton University (since 2004)

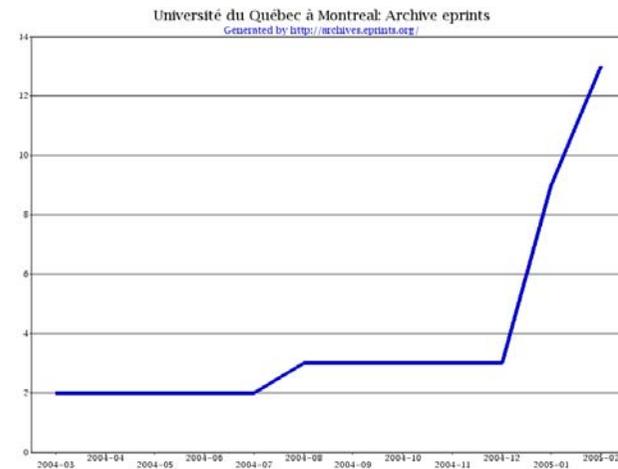
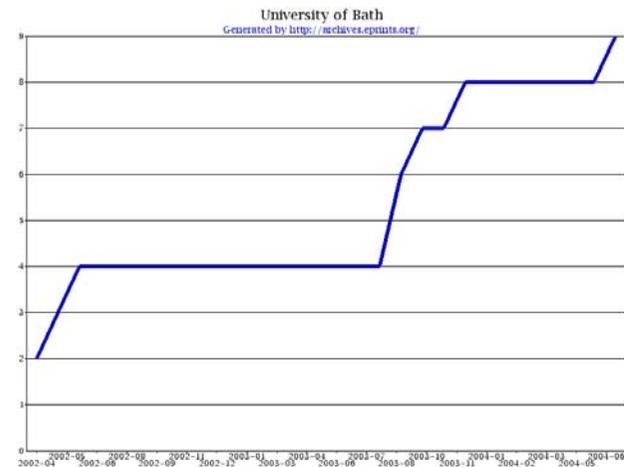
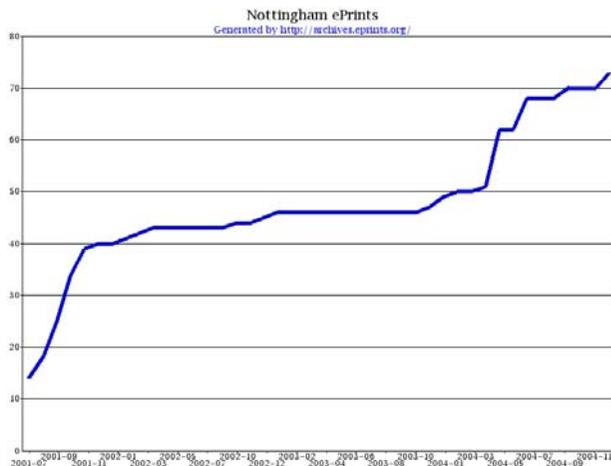


Source: Brody and Harnad, 2005

Open Access: **How Not:**

Archives **without** an institutional self-archiving policy
(near empty, in some cases for several years)

Source: Brody and Harnad, 2005

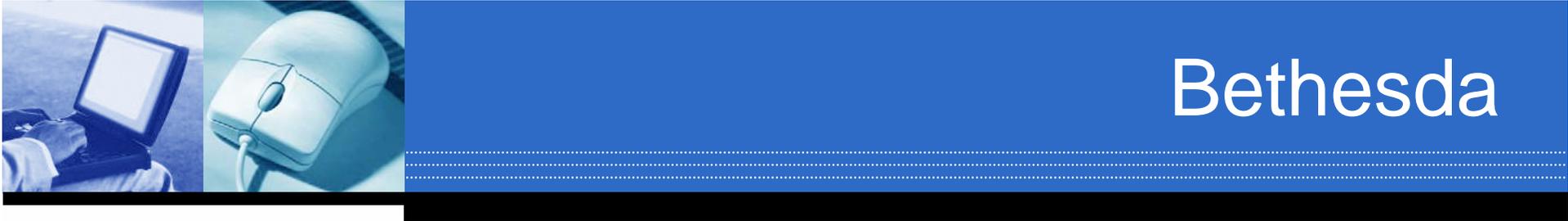




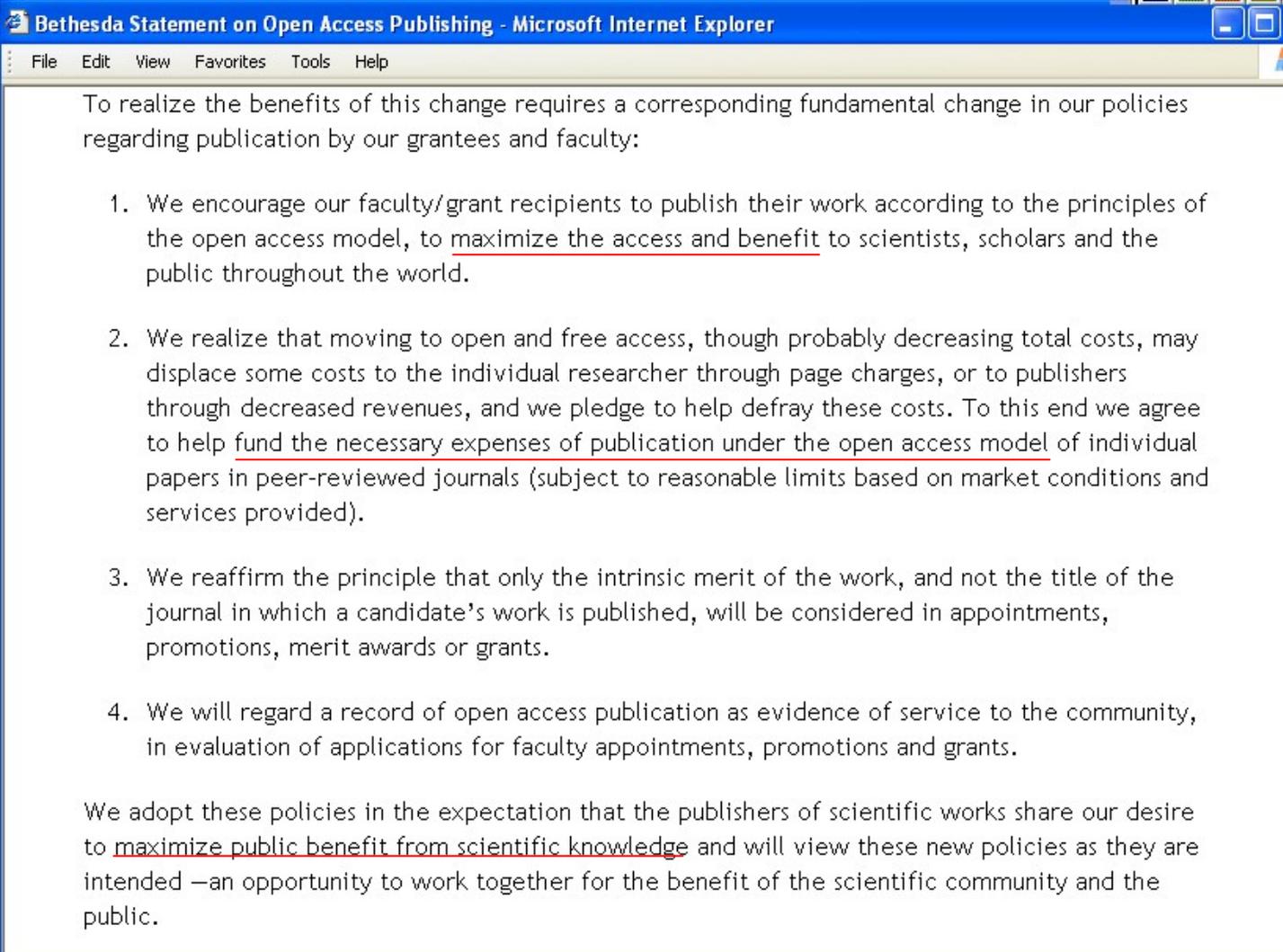
Illustrative OA policy decisions

- Budapest Open Access Initiative (BOAI) - 2002
- Bethesda Statement – Jun 2003
- Berlin Declaration – Oct 2003
- Wellcome Trust Statement - 2004
- Research Councils UK (RCUK) - 2005





Bethesda



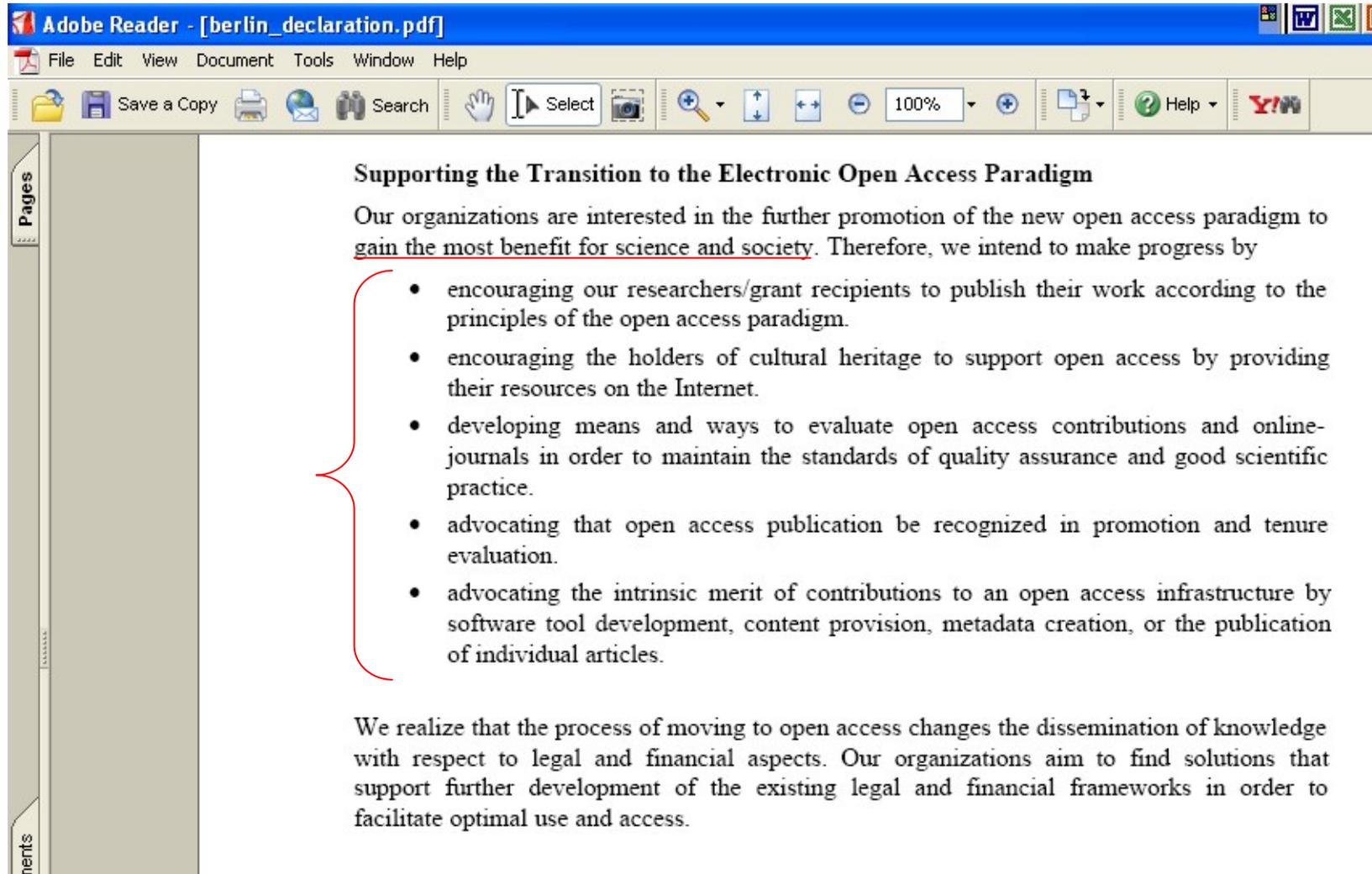
Bethesda Statement on Open Access Publishing - Microsoft Internet Explorer

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To realize the benefits of this change requires a corresponding fundamental change in our policies regarding publication by our grantees and faculty:

1. We encourage our faculty/grant recipients to publish their work according to the principles of the open access model, to maximize the access and benefit to scientists, scholars and the public throughout the world.
2. We realize that moving to open and free access, though probably decreasing total costs, may displace some costs to the individual researcher through page charges, or to publishers through decreased revenues, and we pledge to help defray these costs. To this end we agree to help fund the necessary expenses of publication under the open access model of individual papers in peer-reviewed journals (subject to reasonable limits based on market conditions and services provided).
3. We reaffirm the principle that only the intrinsic merit of the work, and not the title of the journal in which a candidate's work is published, will be considered in appointments, promotions, merit awards or grants.
4. We will regard a record of open access publication as evidence of service to the community, in evaluation of applications for faculty appointments, promotions and grants.

We adopt these policies in the expectation that the publishers of scientific works share our desire to maximize public benefit from scientific knowledge and will view these new policies as they are intended –an opportunity to work together for the benefit of the scientific community and the public.



Supporting the Transition to the Electronic Open Access Paradigm

Our organizations are interested in the further promotion of the new open access paradigm to gain the most benefit for science and society. Therefore, we intend to make progress by

- encouraging our researchers/grant recipients to publish their work according to the principles of the open access paradigm.
- encouraging the holders of cultural heritage to support open access by providing their resources on the Internet.
- developing means and ways to evaluate open access contributions and online-journals in order to maintain the standards of quality assurance and good scientific practice.
- advocating that open access publication be recognized in promotion and tenure evaluation.
- advocating the intrinsic merit of contributions to an open access infrastructure by software tool development, content provision, metadata creation, or the publication of individual articles.

We realize that the process of moving to open access changes the dissemination of knowledge with respect to legal and financial aspects. Our organizations aim to find solutions that support further development of the existing legal and financial frameworks in order to facilitate optimal use and access.



Wellcome Trust

WELLCOME TRUST POSITION STATEMENT IN SUPPORT OF OPEN ACCESS PUBLISHING

The mission of the Wellcome Trust is to "foster and promote research with the aim of improving human and animal health." The main output of this research is new ideas and knowledge, which the Trust expects its researchers to publish in quality, peer-reviewed journals.

The Trust has a fundamental interest in ensuring that neither the terms struck with researchers, nor the marketing and distribution strategies used by publishers (whether commercial, not-for-profit or academic) adversely affect the availability and accessibility of this material.

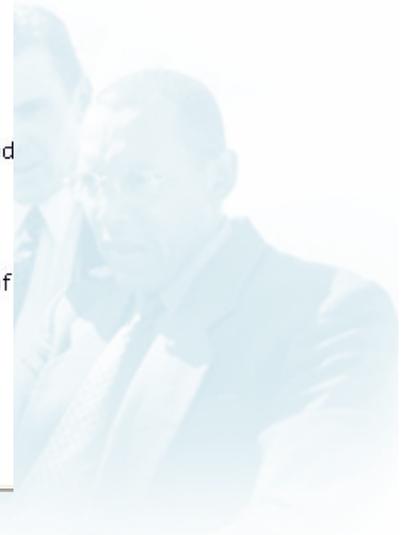
With recent advances in internet publishing, the Trust is aware that there are a number of new models for the publication of research results and will encourage initiatives that broaden the range of opportunities for quality research to be widely disseminated and freely accessed.

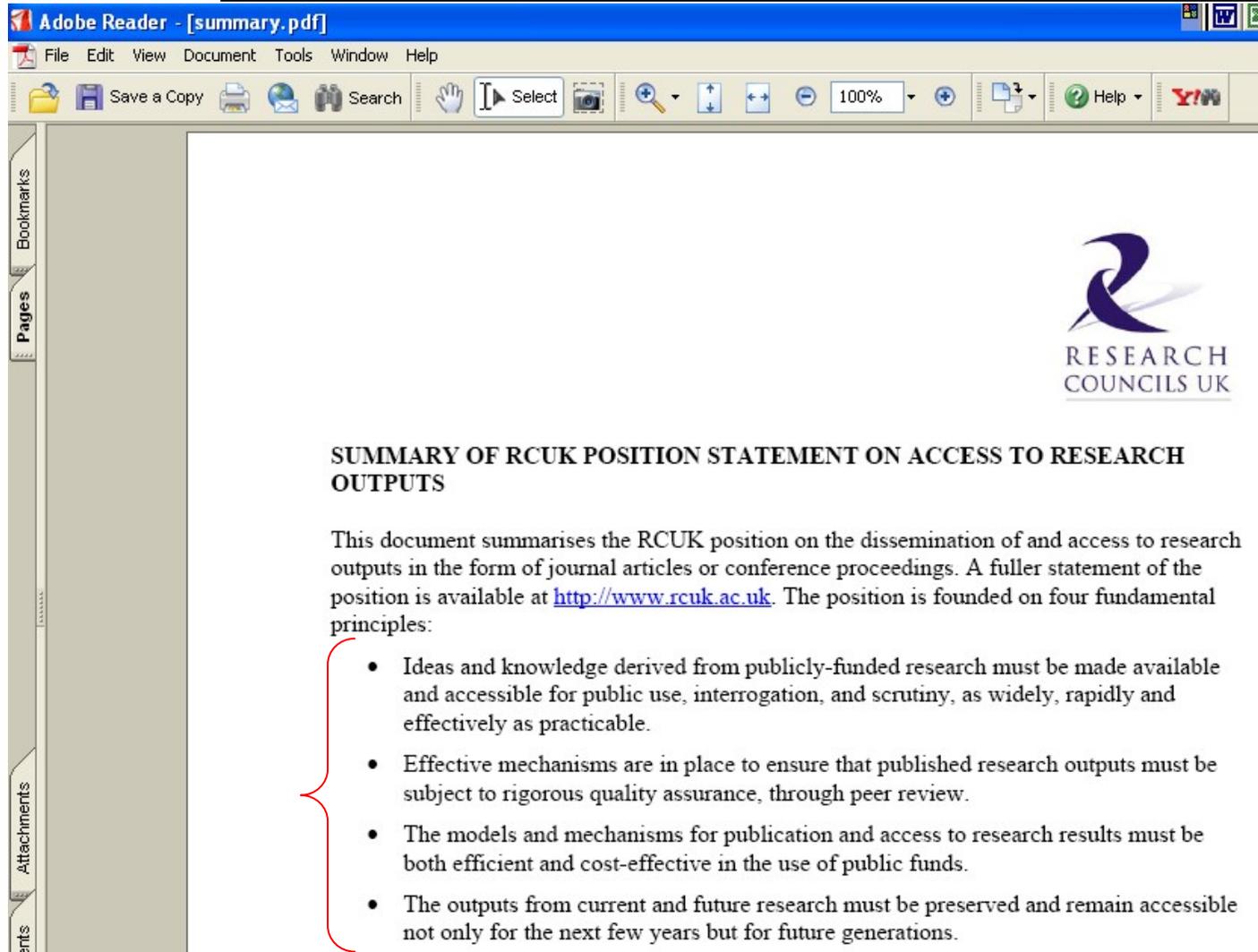
The Wellcome Trust therefore supports open and unrestricted access to the published output of research, including the open access model (defined below), as a fundamental part of its charitable mission and a public benefit to be encouraged wherever possible.

Specifically, the Trust:

- welcomes the establishment of free-access, high-quality scientific journals available via the internet
- will encourage and support the formation of such journals and/or free-access repositories for research papers
- will meet the cost of publication charges including those for online-only journals for Trust-funded research by permitting Trust researchers to use contingency funds for this purpose
- encourages researchers to maximise the opportunities to make their results available for free and, where possible, retain their copyright, as recommended by the Scholarly Publishing and Academic Resources Coalition (SPARC), and as practised by BioMed Central, the Public Library of Science, and similar organisations
- affirms the principle that it is the intrinsic merit of the work, and not the title of the journal in which a researcher's work is published, that should be considered in funding decisions and awarding grants

As part of its corporate planning process, the Trust will continue to keep this policy under review.





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RESEARCH COUNCILS UK

SUMMARY OF RCUK POSITION STATEMENT ON ACCESS TO RESEARCH OUTPUTS

This document summarises the RCUK position on the dissemination of and access to research outputs in the form of journal articles or conference proceedings. A fuller statement of the position is available at <http://www.rcuk.ac.uk>. The position is founded on four fundamental principles:

- Ideas and knowledge derived from publicly-funded research must be made available and accessible for public use, interrogation, and scrutiny, as widely, rapidly and effectively as practicable.
- Effective mechanisms are in place to ensure that published research outputs must be subject to rigorous quality assurance, through peer review.
- The models and mechanisms for publication and access to research results must be both efficient and cost-effective in the use of public funds.
- The outputs from current and future research must be preserved and remain accessible not only for the next few years but for future generations.



Authors' positions | OA

- Swan and Brown (2005) – latest JISC-funded worldwide study of 1296 scientific authors, across disciplines:
 - The vast majority of authors (81 per cent) would comply willingly with a mandate from their employer or research funder to deposit copies of their articles in an institutional or subject-based repository; a further 14 per cent would comply reluctantly, and only 5 per cent would not comply
- De Beer (2005) – M Thesis study of OA in Information Science, Library Science, Computer Science, and Information Systems disciplines in South Africa – 114 respondents;
 - 48% would publish in an OA journal if it were SAPSE accredited (3% would not publish in a SAPSE accredited OA journal)



Factors impeding OA adoption

- Drive to commercialisation / commoditisation (Kraak, 2001; Waelde and McGinley, 2005)
- Recent changes in the Higher Education landscape in South Africa (in shape of mergers, and management of HE) (Cloete et al, 2002)
- Liberalising economic reform and a concomitant reduction of state activity (Fukuyama, 2004)





What's needed

- Research institutions and governments need to
 1. Mandate that scholars make pre-prints and e-prints of their research available via an Open Access venue,
 2. That scholars report on having done so as part of the annual statutory reporting (e.g. as happens in South Africa) which they already do.



Question

- “The next generation of research breakthroughs will rely upon new ways of handling the immense amounts of data that are being produced by modern research methods and equipment, such as telescopes, particle accelerators, genome sequencers and biological imagers....Similar developments are having an impact in the arts and humanities, and in the social sciences.”

A Vision for Research, Research Councils UK, December 2003.

- Why not extend remit of discussion beyond data and information from
 - Health and biomedical
 - Earth and environmental science
 - Biodiversityto the whole scholarly canon as it is being created?



THANK
YOU

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