

# Managing Australian & International Developments In Open Access

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Australian Open Access Support Group

Supporting open access to Australian research

# Topics to choose from

1. **Why open access?**
2. **What is green OA?**
  - Repository types
  - Managing copyright
3. **What is gold OA?**
  - Article Processing Charges
  - Issues with hybrid
4. **Mandates**
  - different types (funder/institutional)
  - what NHMRC & ARC actually asking for
5. **Compliance challenges for mandates**
6. **International mandates**
  - How Finch/RCUK is affecting everyone
  - International compliance



# Why open access?

Commercial STM publisher	Profit in 2010 or early 2011	Percentage
<b>Elsevier</b>	£724m on revenue of £2b	<b>36%</b>
<b>Springer's</b> Science+Business Media	£294m on revenue of £866m	<b>33.9%</b>
<b>John Wiley &amp; Sons</b>	\$106m on revenue of \$253m	<b>42%</b>
Academic division of <b>Informa</b> plc	£47m on revenue of £145m	<b>32.4%</b>

## Elsevier's annual reports for the last nine years:

- 2002: £429m profit on £1295m revenue – 33.18%
- 2003: £467m profit on £1381m revenue – 33.82%
- 2004: £460m profit on £1363m revenue – 33.75%
- 2005: £449m profit on £1436m revenue – 31.25%
- 2006: £465m profit on £1521m revenue – 30.57%
- 2007: £477m profit on £1507m revenue – 31.65%
- 2008: £568m profit on £1700m revenue – 33.41%
- 2009: £693m profit on £1985m revenue – 34.91%
- 2010: £724m profit on £2026m revenue – 35.74%
- **2011: £768m profit on £2058M revenue – 37.3%**

<http://www.reedelsevier.com/investorcentre/reports%202007/Pages/Home.aspx>

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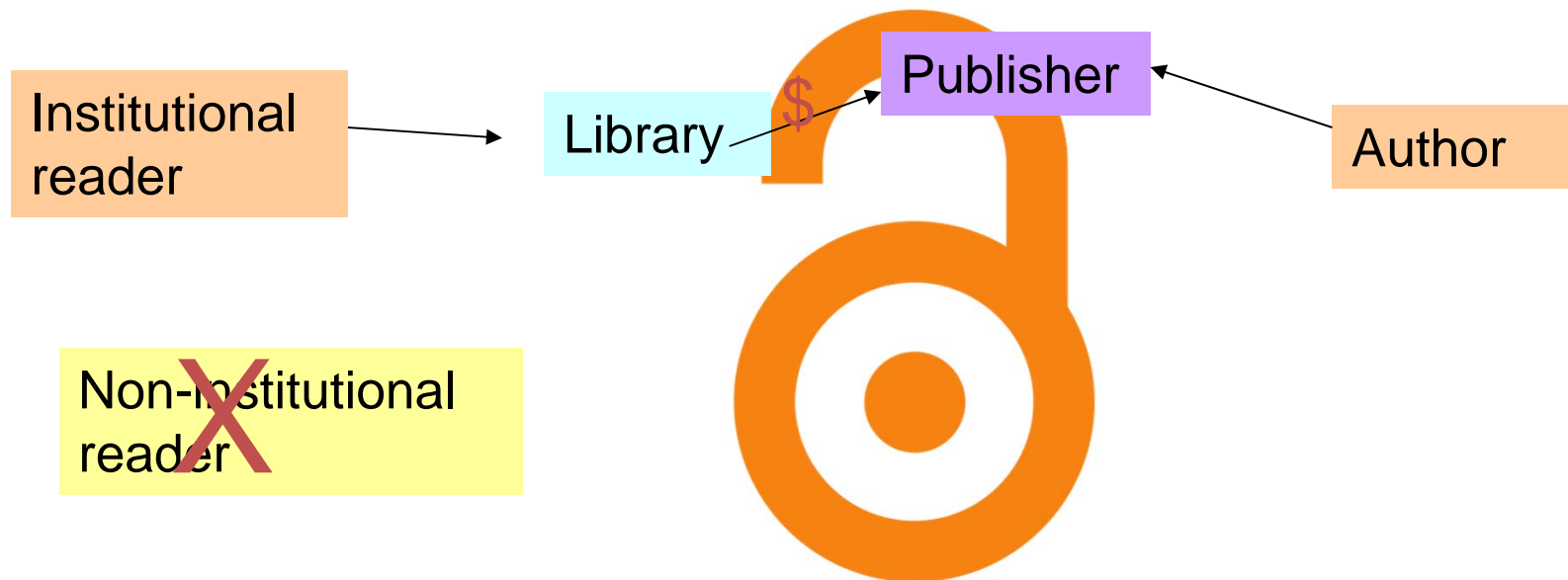
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# What does Elsevier's profit of 35.74% mean?

What paying for	Amount	Where money goes
Downloading a PDF from a journal	\$37.95	\$13.56 to shareholders
Hybrid open access payment	\$3000	\$1072.20 to shareholders
Library payment for bundle of Elsevier subscriptions	\$1.7 million	\$607,580 to shareholders
Any reason	\$23783	Enough to sponsor US Representative to fund Research Works Act

- From: "The obscene profits of commercial scholarly publishers", January 13, 2012  
<http://svpow.com/2012/01/13/the-obscene-profits-of-commercial-scholarly-publishers/>

# Regular publishing

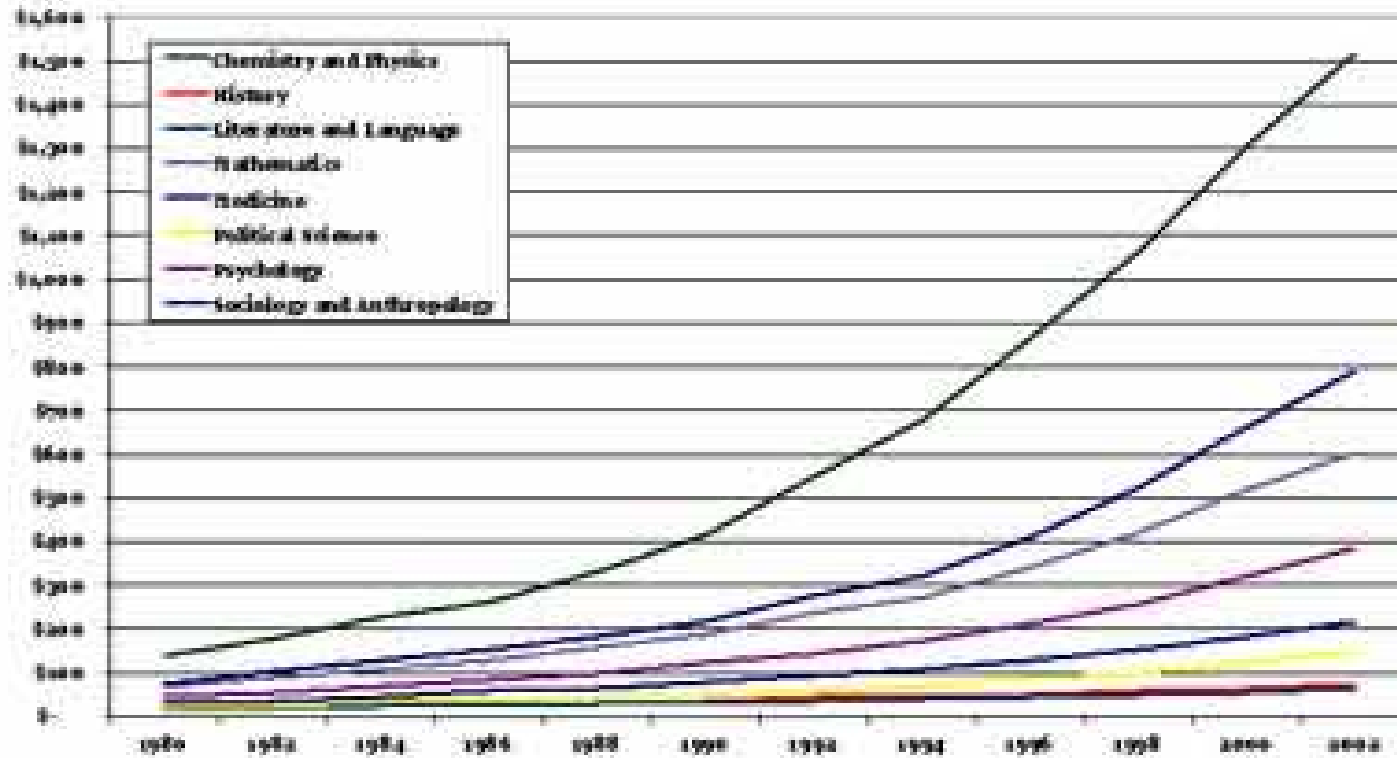


# Who are non-institutional readers?

- Policy makers in government
- Practitioners – nurses, economists, teachers, pharmacists
- Start-up technology companies
- Ex-students (that could be you soon!)
- Researchers in smaller universities
- Average people wanting to look something up

# Fewer institutional readers too

Figure 1: Average Price of Periodicals in Subject Fields  
1980 to 2002



Source: The Bowler Annual Library and Book Trade Almanac (published annually by G. B. Bowler until 1991 and since by Information Today, Inc.)

# Who benefits from open access?



8 The effect of open access and downloads ('hits') on citation impact: a bibliography of studies" <http://opcit.eprints.org/oacitation-biblio.html>

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# What is Open Access?

General philosophy:

“Publicly funded research should be publicly available”

The term ‘open access’ was first used 2003 by the Budapest Open Access Initiative



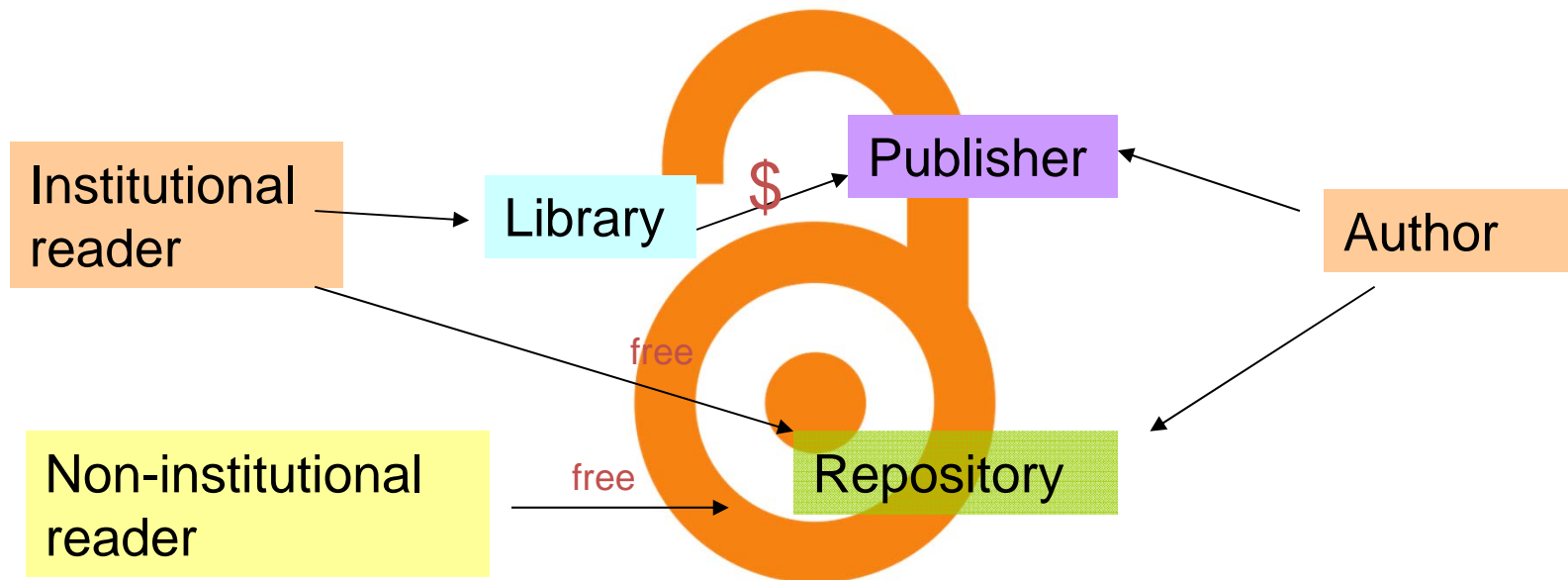
# HOW IS OPEN ACCESS ACHIEVED?

# Green road

Disseminate by putting a version in an a repository:  
Institutional Repository  
Subject-based repository

About 60% of publishers allow some version of work to be made available (sometimes after embargo)

# Green open access dissemination



# More work is available green OA than gold OA

- Study\* of the proportion of research published in 2008 that was available OA in 2009:
- One in 5 papers - split between OA journals & repositories.
  - OA journals - 8.5% of all published papers (one in four of these in a hybrid journal)
  - **Repositories 11.9% of all published papers**
  - \* Björk, B.-C., P. Welling, et al. (2010). "Open Access to the Scientific Journal Literature: Situation 2009." PLoS ONE 5.(6): e11273.
- Note: Follow-up study showed that five years on 42-48% of research published in 2008 was OA
  - Eric Archambault (2013) "The Tipping Point – Open Access Comes of Age" - <http://users.ecs.soton.ac.uk/harnad/Temp/ISSI-ARchambeault.pdf>

# Subject-based repositories

- 1991 ArXiv began in Los Alamos (now hosted at Cornell Uni) <http://arxiv.org>
- 1992 Social Sciences Research Network (SSRN) began <http://www.ssrn.com/>
- 1997 Cogprints <http://cogprints.org/> established for cognitive sciences, and RePEc for economics <http://repec.org>
- 2000 PubMed Central launched <http://www.ncbi.nlm.nih.gov/pmc>

# Repositories in Australia

- July 2000 – First theses available in Australian Digital Theses Project (ADT)
  - 2002: approx 500 theses available
  - July 2004: 2373 theses available
  - Now: over 30,000 theses available
- 2001 – ANU ePrints repository established
- 2004 – QUT open access mandate in force
- 2007-2009 – Aust Govt provided \$25.5 million to universities to develop data systems prepare for the (RQF then) ERA
- 2010 – Trove launched (<http://trove.nla.gov.au/>)
- 2011 – ADT and Australian Research Online decommissioned

# How much Aust research is OA?

- Internal analysis of all Australian repositories - June 2012
  - Question:
    - *What is the total number of OA items in your repository?*
      - Theses: 30,540
      - Research items: 124,015
      - Archive items (e.g. images): 51,381
    - **TOTAL: 205,936 items**
- Note:
  - Three unis did not respond, many reported challenges identifying the OA items in their repositories.
  - This does NOT answer the question:  
*What % of total output for given year is OA in your repository?*





# MANAGING COPYRIGHT

# Managing copyright in OA repositories

- The challenge for open access is the complexity of copyright compliance.
  - Many institutions, including the ANU undertake the copyright checking on behalf of the authors.
  - This requires administrative staff and an extra cost to the institution
- Open access is actually far from free for an institution. 2006 estimate was it costs the sector about \$2million to run repositories.

# SHERPA/RoMEO

The screenshot shows the SHERPA/RoMEO website homepage. The browser window title is "SHERPA/RoMEO Home - Publisher copyright policies & self-archiving - Windows Internet Explorer". The address bar shows "http://www.sherpa.ac.uk/romeo/". The page features the SHERPA/RoMEO logo, navigation links (Home, Guidance, Repositories, Projects, Links, About, Contacts), and a main heading "Publisher copyright policies & self-archiving". A search box is available with options for "Journal titles or ISSNs" and "Publisher names". There are also sections for "RoMEO News" and "Recently Added Publishers".

**SHERPA/RoMEO**  
... opening access to research  
Home | Guidance | Repositories | Projects | Links | About | Contacts  
Publisher copyright policies & self-archiving

RoMEO Home | Search RoMEO | Browse RoMEO Publishers | Suggest a Publisher

Use this site to find a summary of permissions that are normally given as part of each publishers copyright transfer agreement.

**Search**

Search  Journal titles or ISSNs  Publisher names  
for   
find  contains or  starts with or  Exact phrase only or  ISSN  
Show open access mandate compliance in results for:

**Browse**

- [All publishers](#)
- [Green publishers](#)
- [Blue publishers](#)
- [Yellow publishers](#)
- [White publishers](#)

[What the colours mean.](#)

**RoMEO News**

- [Latest Updates to RoMEO](#)
- [FAQ](#)
- [RoMEO reaches 700 Publishers](#) - 11-February-2010
- [SHERPA/RoMEO API V.1 now switched off!](#) - 11-January-2010
- [Major Upgrade to RoMEO released](#) - 22-Oct-2009
- [RoMEO reaches 600 publishers](#) - 27-May-2009
- [JULIET - Selected research funders' grant expenditure](#)
- [Publishers Allowing use of their PDFs in Repositories](#)
- [Publishers with Paid Options for Open Access](#)

**Recently Added Publishers**

- [Subaltem Media](#) - 23-Feb-2010
- [Schweizerbart und Romtraeger](#) - 22-Feb-2010
- [Faculdade Tecnológica de Campo Largo \(FACRECLA\)](#) - 22-Feb-2010
- [Journal of Philosophy](#) - 10-Feb-2010
- [Engg Journals Publications](#) - 10-Feb-2010

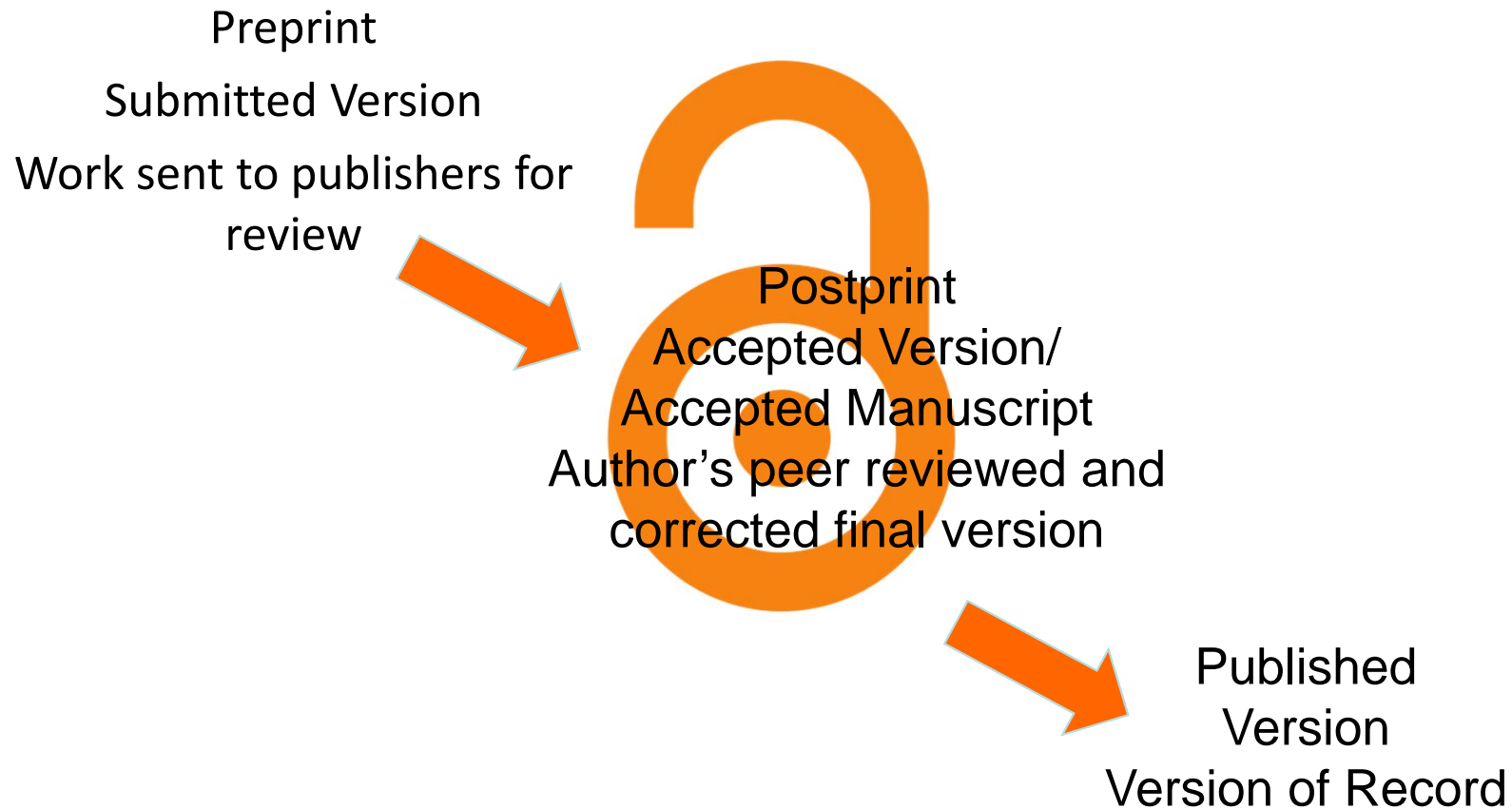
[RSS1 Feed](#)

**Special RoMEO Pages**

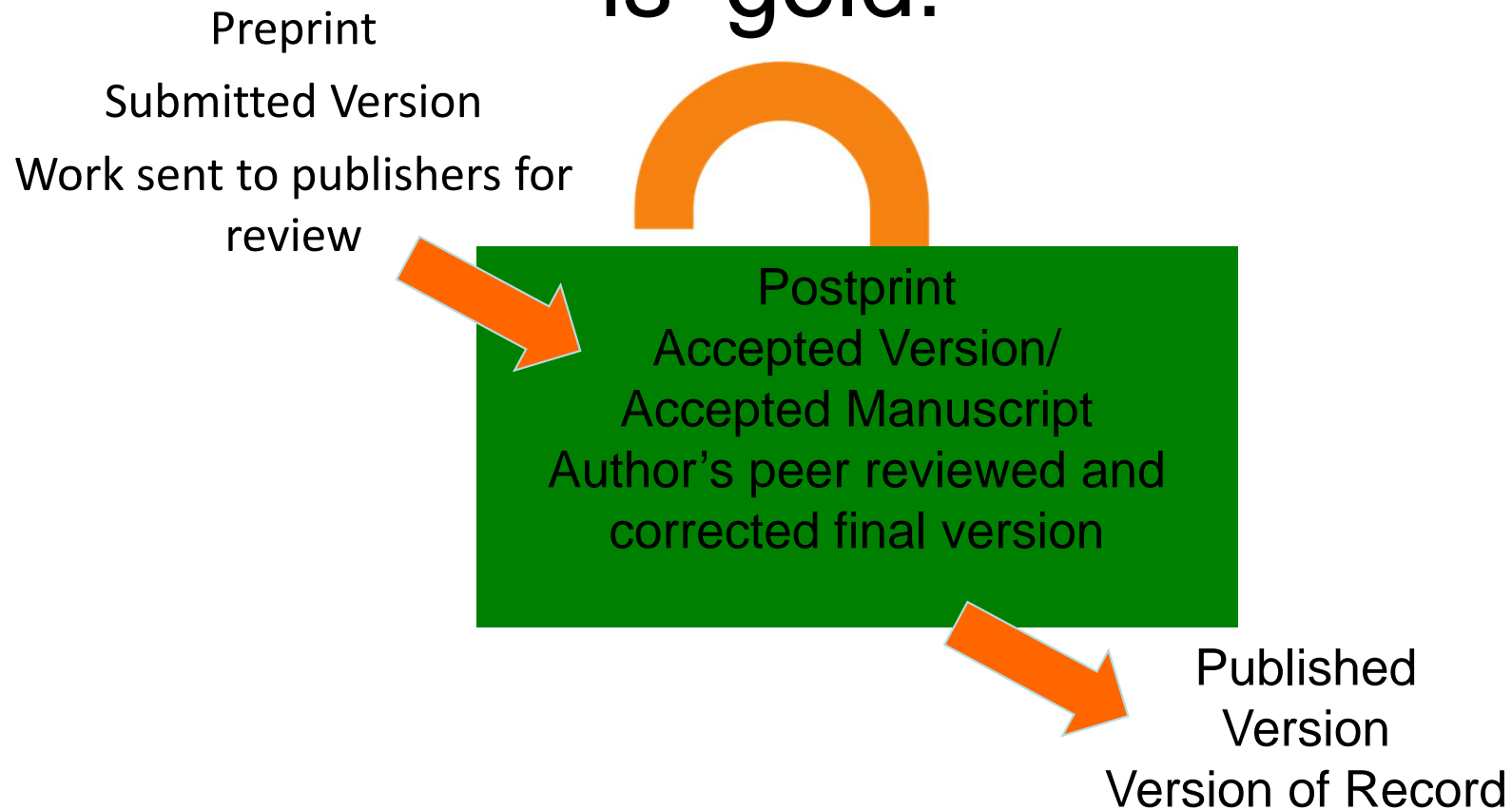
- [Publishers Allowing use of their PDFs in Repositories](#)
- [Publishers with Paid Options for Open Access](#)
- [Selected research funders' grant expenditure](#)
- [RoMEO Statistics](#) Proportion of RoMEO colours for listed publishers. Growth of the database.
- [API documentation](#) The application programmers' interface is available for m2m access: for example to be integrated into a repository's deposit process.
- [List of sites using RoMEO data](#)
- [Conditions for Re-use](#) RoMEO information is available for use by third-parties under and a Creative Commons licence.
- [Further information about RoMEO & JULIET \[PDF files\]](#) - [Leaflet](#) | [Large Poster \(A1\)](#) | [Small Poster \(A3\)](#)

<http://www.sherpa.ac.uk/romeo/>

# It comes down to the version



# For green OA the accepted version is 'gold!'

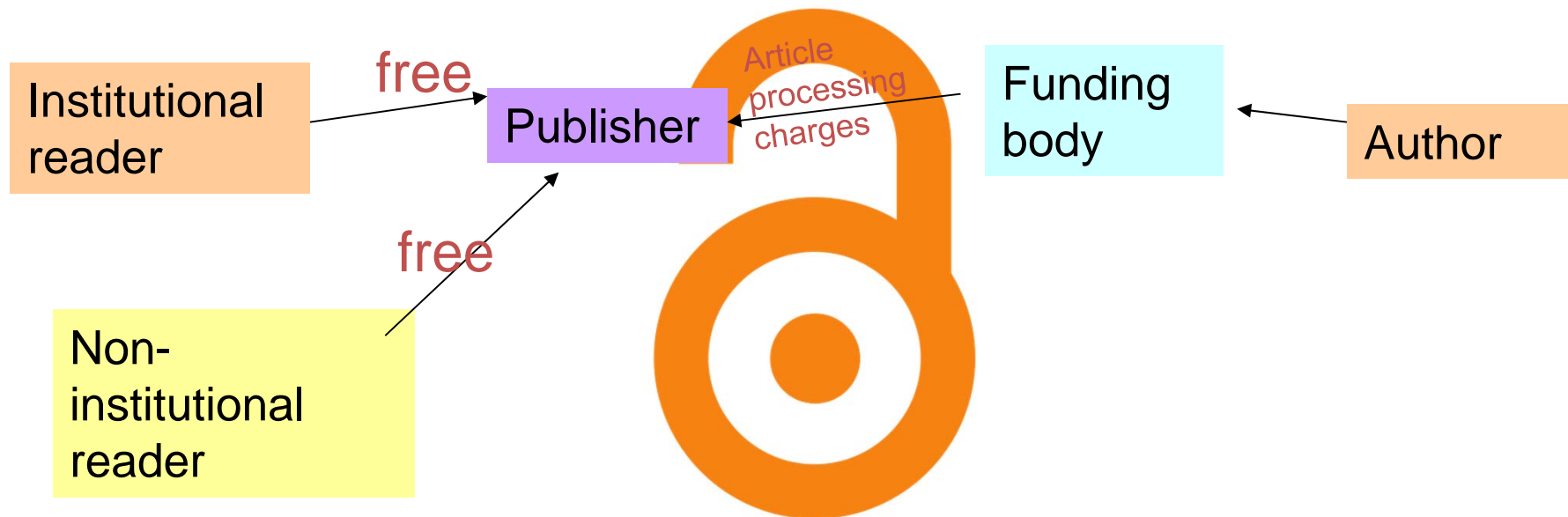




# Gold open access

All that glitters...

# Gold (open access) publishing



# Article processing charges (APCs)

- The majority of OA journals do NOT charge an APC
- The Gold model moves the cost from the READER to the AUTHOR.
  - Advertising works this way
- This means from the LIBRARY to the FUNDER.
- Funding bodies are increasingly requiring research publications be available OA
  - eg: UK Finch report which is adding BP10 million to cover this



# The business model works - PLoS One

Interactive open-access journal for the communication of all peer-reviewed scientific and medical research.

- Short peer review period
- Multi-disciplinary
- Estab 2007, by 2010 world's largest journal (6749 articles)
- Lower article processing costs



# Hybrid and why it is evil

- A new ‘option’ is hybrid publishing
- Authors can pay to make their article available in an otherwise subscription journal
- This is what we call ‘double dipping’
- Often a letter from a publisher offering hybrid is the first time researchers encounter open access
- This is misleading and confusing. It scares people

# Mandates are all the rage

Recent Australian mandates echo  
what is happening worldwide

# Different kinds of mandates

- Funder mandates
  - NIH – deposit in PMC. Requested from 2004, required since 2008
  - Wellcome Trust – publish in OA journals preferred. Since Oct 2005
  - NHMRC – in institutional repository. Since July 2012
  - ARC - in institutional repository. 2013 funding onward
- Institutional mandates
  - QUT (recognised 1<sup>st</sup> in world) since Jan 2004
  - Now six universities in Australia which have an open access mandate (if you include ANU)

# ARC & NHMRC - OA policies

- ARC (introduced 1 January 2013)
  - All outputs (including books)
  - 2013 grants onward (we will not see OA output for several years)
- NHMRC (introduced 1 July 2012)
  - Journal articles only
  - Any publication after 1 July 2012 regardless of the grant

# What these do NOT mean

- Researchers do not have to change where they publish
- Researchers do not have to start paying to have their work published
- Researchers do not have to negotiate anything with publishers



# Requirements of ARC & NHMRC policies



# What is unusual about these mandates?

- The requirement for material to be available in an **institutional repository**
- Other mandates around the world:
  - Require publication in an OA journal (eg: Wellcome Trust), or
  - Require deposit in a subject based repository (eg: NIH into PubMed Central)



# ARC & NHMRC policy decision tree



<http://aoasg.org.au>

# Compliance with mandates

It sounds so easy....

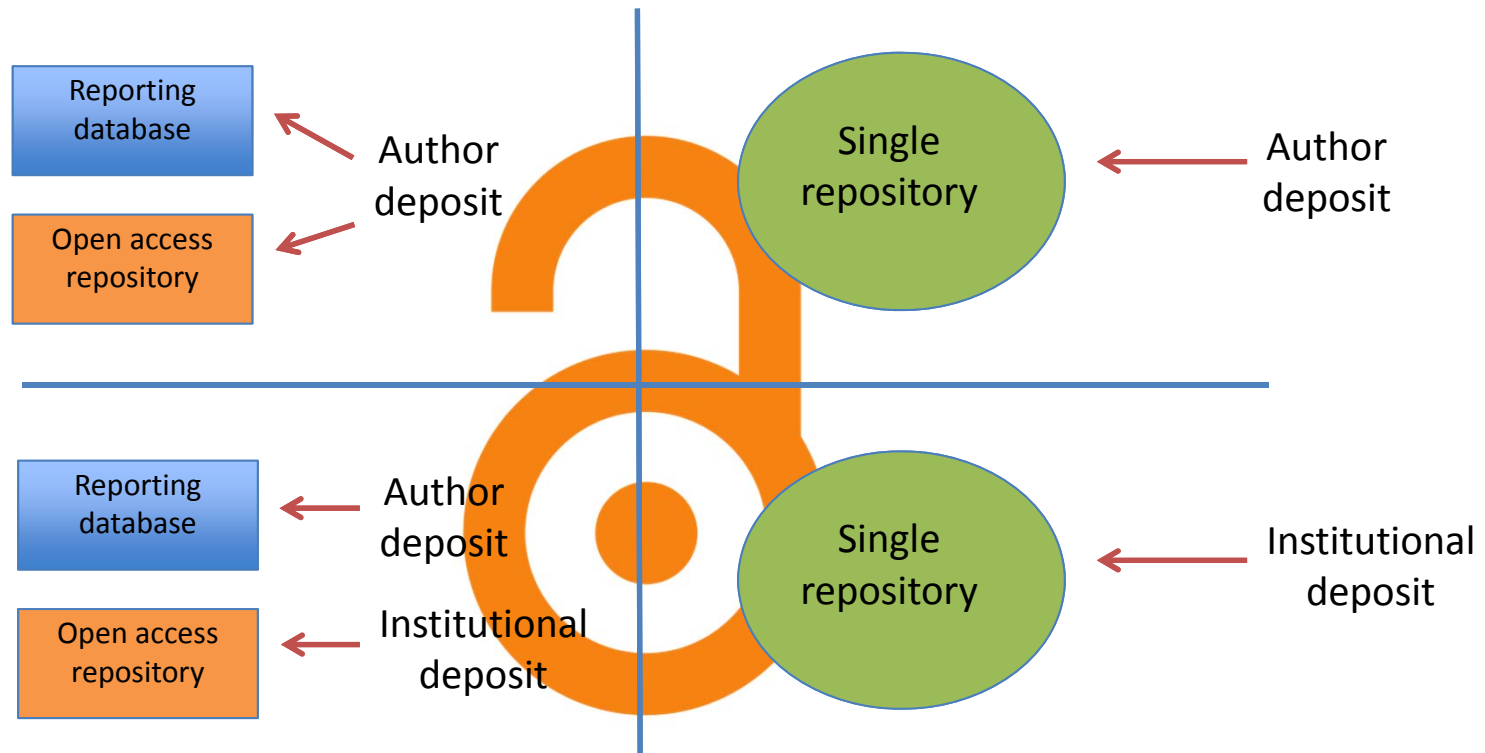
# Compliance challenges - Copyright

- Publisher limitations:
  - Wiley don't allow the deposit of the Accepted Version **at all** <http://olabout.wiley.com/WileyCDA/Section/id-406074.html>
  - Elsevier don't allow the deposit of the Accepted Version **if author is mandated** <http://www.elsevier.com/wps/find/authorsview.authors/fundingbodyagreements>
  - Only exception is a 'separate agreement' with funding bodies
- Monographs:
  - Different funding model to journal publication
  - Different contribution by the publisher
  - Open access discussion with traditional monograph publishers still at early stages
  - Many interesting developments in the OA space here

# Compliance challenges - What CTAs allow

- In 2012, two committees of Council of Australian University Librarians (CAUL) – CAIRSS & COSIAC – analysed a list of NHMRC funded publications in one year.
  - The list was top heavy:
    - 50% of the publications were in only 104 journals
    - Remaining 50% are in over 9000 journals
  - HASS is likely to be more diverse.
- **Looking at that top 50%:**
  - **Without Elsevier and Wiley we will be able to make only 55% of work available within 12 months**
- **Problems:**
  - THAT is assuming we know these publications exist AND we have an Accepted Version of it to put in the repository.

# Compliance challenge - Technology



- Challenges with different administrative arrangements
- Determining which items result from a grant

# What if we can't make work OA?

- Researchers need to explain in their Final Report. There are two main reasons to which the policies refer:
- Inability to place the work into a repository:
  - If **no institutional repository is immediately available** to a Chief Investigator, this will need to be recorded in the grant Final Report.
  - If **a publication cannot be included in the institutional repository**, a justification for its non-inclusion must be provided in the Final Report.
- What if the publisher says no?
  - If the journal **never allows the article to be made available**, this information must be provided at the time of Final Report submission. Institutions may wish to use a publicly available 'holding note' to explain that copyright/licensing restrictions prevent inclusion of a particular article on the repository until a specific date.
  - If the copyright transfer/licence agreement **does not allow the article (or manuscript) to be made available within twelve months of the date of publication**, it needs to be made available as soon as possible after that date.

# Compliance verification options

- Harvesting a report from repository
  - All Aust university repositories are introducing a standard field for mandate-affected items:
    - “dc.relation”
    - with format “NHMRC/157125”
- Responding to the question:
  - What % of total output for given year is OA in your repository?

# Open Access internationally

2012-13 has been huge for OA



# Open Access is on the world agenda

- Higher Education Funding Council for England (HEFCE) announced plans to make publicly-funded research more freely available (16 July 2013)
  - only work that is deposited in a repository on acceptance would be eligible for consideration in the post-2014 Research Excellence Framework (REF).
- G8 Ministers of Science statement (13 June 2013)
- Global Research Council (27 May 2013)
- UNESCO announces open access policy (13 May 2013)
- Research Councils of UK's open access policy in effect (1 April 2013)
- Obama Administration new policy (22 February 2013)
  - U.S. Federal agencies spending over \$100 million in research and development have to have a plan to “support increased public access to the results of research funded by the Federal Government” within 12 months.
- The European Commission (2012)
  - Under their Research & Innovation funding programme, all articles produced with funding from Horizon 2020 . €80-billion (US\$98-billion) research-funding programme for 2014–20 will have to be accessible as of 2014
- <http://aoasg.org.au/statements-on-oa-in-australia-the-world/>

# UK - Finch Report

- 2012 UK Working Group on Expanding Access to Published Research Findings, chaired by Dame Janet Finch stated in their report\*:
  - Recommends increasing open access to UK research
  - States that gold OA is the preferred method
  - Estimates the cost will be an extra £38 million – to pay for APC (based on average of £1500) in both OA journals and hybrid journals
- UK Govt endorsed the report and its findings. They have announced £10m in funding - not new money but will be taken from the science budget.
  - \*<http://www.researchinfonet.org/publish/finch/>

# Finch/RCUK – worldwide impact

- The rules for RCUK:
  - Must publish in a journal that allows some form of OA
  - Work must be OA in 6 months (STM) or 12 months (HASS)
    - NOTE: Not expecting compliance within 5 years so ‘decision tree’ from Publisher’s Association which pushes these out to 12 & 24 months has been adopted
  - If green option is not available work must be gold
- Publishers response? - Changing their rules
  - Springer & Emerald now have 12 month embargos for OA
  - Others are increasing the length of their embargos
  - Nature charge MORE for hybrid under a CC-BY rather than a CC-BY-NC-ND or CC-BY-NC-SA
- This affects the whole world

# Compliance is varied

- Wellcome Trust
  - Despite having one of the first funding mandates, in Feb 2012 a presentation showed they only had 50% compliance
- European Research Council
  - Reported in 2012 that ‘62% of journal articles from ERC funded projects are available in open access’
  - The share of article OA varies across domains:
    - 70% Life Sciences
    - 65% Physical Sciences & Engineering
    - 50% in SSH

# Funding bodies clamping down

- Now, where Wellcome Trust-funded researchers have not complied with the open access policy, three sanctions will apply:
  - If non-compliant papers are identified in an End of Grant Report, the Trust will **withhold the final 10 per cent** of the 'total transferable funds' budget on the grant until all papers comply. See 10 per cent retention policy.
  - Applicants will be required to ensure that Trust-funded papers resulting from current or previous grants are **compliant before** formal notification of any **funding renewals or new grants can be activated**.
  - Researchers will not be permitted to include any **non-compliant Wellcome-funded publications** in any application submitted to the Trust, and such papers **will be discounted from consideration** of a researcher's track record.
- <http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD018855.htm#nine>

# Open Access is becoming tied to the reward system

- Two Belgian universities have clamped down on OA - University of Leige & Louvain Catholic University:
  - In its meeting of 2 July the Academic Council of UCK adopted a policy of mandatory deposit in its [DIAL](#) repository of all bibliographic metadata as well as full-texts as of 1 January 2013. As of that date, the Academic Council will only consider duly deposited publications in its internal research performance evaluations and that deposit will also be one of the criteria in the allocation of institutional research funds.

# Australian initiatives

Yes there have been some

# UA – *A Smarter Australia*

- Positive about OA and recognises digital repositories used for collection of all data will reduce administrative burden.
- But target and timeframe are very conservative:
  - *...universities will include metadata on research publications in their institutional repositories and will expand the proportion of full text publications available to 50 per cent by 2030. (p45)*
  - <http://www.universitiesaustralia.edu.au/resources/792/1549>



# Australian Open Access Support Group

- Governance:
  - Steering committee: representatives from six institutions with open access mandates - ANU, Charles Sturt University, Macquarie University, Newcastle University, QUT and Victoria University
  - Funding supports 0.6FTE Executive Officer – Dr Danny Kingsley
  - In set-up phase, operating on an initial 12 month funding model
  - Membership to be expanded in 2013
- Achievements:
  - Developed website with many OA resources – [aoasg.org.au](http://aoasg.org.au)
  - Discussion list for practitioners in the OA space
  - Several media appearances & articles
  - Individual assistance and advice at uni & govt level re OA

# Thank you and questions

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# Office Hours: Open Access

- 4 April 2013 - Harvard Professors Gary King and Stuart Shieber provide advice to graduate students about open access, dissertations, and journal publishing.
- <http://www.youtube.com/watch?v=jD6CcFxReLY>
- 1.35 – Should dissertations be made open access?
- 3.23 – Won't people steal my ideas?



Office Hours : Open Access