Open Access Scholarly Publishing in the Digital Age

Paul G. St-Pierre, *Western University*
Open Access Scholarly Publishing in the Digital Age

Paul G. St-Pierre
pstpierr@uwo.ca

This work is licensed under a Creative Commons Attribution 3.0 Unported License.
Agenda

1. History of journal publishing
2. Commodification & market failure
3. Open Access
4. Librarian Roles
Why Publish in Journals?

• Stake a claim
• Ensure quality – peer review
• Disseminate knowledge
Political Economy of Information

- Public vs. private goods
  - Non-excludable
  - Non-rival in consumption

- Digital information severed from container
  - Immaterial resource
  - Network effects

- Enclosure of common property is a central feature of capitalism.

- Intellectual property – legally constructed ‘commodity fiction.’
  - 1710 Statute of Anne. First copyright law.
Scientific Publishing, 1665-1970

• **Philosophical Transactions, 1665**
  - Mission: “to recognise, promote, and support excellence in science and to encourage the development and use of science for the benefit of humanity.”
  - Non-profit.
  - Peer-reviewed.
  - Utilitarian: knowledge as public good.

• 18th-19th c. - Learned societies spread.
  - Follow *Phil. Trans.* publishing model.

  Worked great for 300 years!
Roots of Enclosure

1665 – *Phil. Trans.*

1944 – U.S. GI Bill

1947 - Cold War (Sputnik 1957)

1969 - Journal Impact Factor

Commercial Publishing

$\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots\ldots$


Post-WWII Changes

- Large influx of **money** into higher education system.
- Increased **demand** from libraries, readers.
- Increased demand for publishing venues by authors.
- Print journals expensive to **produce** and **distribute**.
- Scholarly societies unable to provide adequate **supply**.
- Impact factor ‘objective’ tool for **valuation**.
- Commercial publishers enter lucrative **market**.
- Online publishing **disrupts** system.
For the combined price of the Materials Science and Engineering A, B, C, & R journals, $17,986, you could buy a brand-new 2008 Honda Civic Coupe!

cost per use: $7.07

http://engineering.library.cornell.edu/about/StickerShock2
The Journal of Applied Polymer Science costs $16,157. For this price you could donate the equivalent of 32 heifers to Heifer International and help needy families become self-reliant through sustainable development.

A 30% increase in price since 2002!

Cost per use: $8.65

Philister Randiki of Kenya with her calf. © Heifer International

Copyright © 2007 John Wiley & Sons. Reproduced with permission of John Wiley & Sons, Inc.

http://engineering.library.cornell.edu/about/StickerShock2
$144,000,000

UWO: $7,900,000

$783,000,000

Monograph and Serial Costs in ARL Libraries, 1986-2005*

*Includes electronic resources from 1999-2000 onward.

Source: http://www.arl.org/bm~doc/arlstat05.pdf
Reed-Elsevier Science & Medicine Division
Profit Margin 1991-2012

Revenue (£ millions)

Adj Operating Profit

Adj Operating margin
Publisher ‘Revenues’

- Free raw materials: manuscripts
- Free labour: peer review, editorial work

- Public pays:
  1. Grant funds research activity
  2. Salaries of employees at public universities
  3. Grant pays page charges
  4. Library budgets

- 73% of publisher revenues come from academic libraries
Publisher Services

“Project Management”

- Coordinate peer-review
- Editing
- Type-setting and printing and/or
- Servers and information architecture
- Distribution
- Marketing and indexing

- Create shareholder value
Monopoly / Oligopoly

- Non-substitutability of titles
- Captive, inflexible markets
- Industry consolidation
- Unregulated market
- Copyright extension, fair dealing
- Prestige barrier to market entry

Market Failure
What is Open Access?

- Digital, online, free of charge.
- Free of most copyright and licensing restrictions.

Compatible with copyright, peer review, revenue (even profit), print, preservation, prestige, quality, career-advancement, indexing...
KNOW YOUR RIGHTS
AS THE AUTHOR.

- **The author is the copyright holder.**
  As the author of a work you are the copyright holder *unless* and *until* you transfer the copyright to someone else in a signed agreement.

- **Assigning your rights matters.**
  Normally, the copyright holder possesses the exclusive rights of reproduction, distribution, public performance, public display, and modification of the original work. An author who has transferred copyright without retaining these rights must ask permission unless the use is one of the statutory exemptions in copyright law.

- **The copyright holder controls the work.**
  Decisions concerning use of the work, such as distribution, access, pricing, updates, and any use restrictions belong to the copyright holder. Authors who have transferred their copyright without retaining any rights may not be able to place the work on course Web sites, copy it for students or colleagues, deposit the work in a public online archive, or reuse portions in a subsequent work. That’s why it is important to retain the rights you need.

- **Transferring copyright doesn’t have to be all or nothing.**
  The law allows you to transfer copyright while holding back rights for yourself and others. This is the compromise that the SPARC Author Addendum helps you to achieve.
Authors should:

1. Understand funding agency and institutional mandates.
2. Read journal © policy before submitting (SHERPA/ROMEO).
3. Read publication agreement closely.
4. If #2 conflicts with #1, submit author addendum, or consider another journal.

Most publishers now permit authors to retain copyright.
OA Options (1) – Assert Copyright

ADDENDUM TO PUBLICATION AGREEMENT

1. THIS ADDENDUM hereby modifies and supplements the attached Publication Agreement concerning the following Article:

   (manuscript title)

   (journal name)

2. The parties to the Publication Agreement as modified and supplemented by this Addendum are:

   (corresponding author)

   (Publisher)

3. This Addendum and the Publication Agreement, taken together, allocate all rights under copyright with respect to all

4. Author’s Retention of Rights. Notwithstanding any terms in the Publication Agreement to the contrary, AUTHOR and PUBLISHER agree that in addition to any rights under copyright retained by Author in the Publication Agreement, Author retains: (i) the rights to reproduce, to distribute, to publicly perform, and to publicly display the Article in any medium for non-commercial purposes; (ii) the right to prepare derivative works from the Article; and (iii) the right to authorize others to make any non-commercial use of the Article so long as Author receives credit as author and the journal in which the Article has been published is cited as the source of first publication of the Article. For example, Author may make and distribute copies in the course of teaching and research and may post the Article on personal or institutional Web sites and in other open-access digital repositories.

5. Publisher’s Additional Commitments. Publisher agrees to provide to Author within 14 days of first publication and at no charge an electronic copy of the published Article in a format, such as the Portable Document Format (.pdf), that preserves final page layout, formatting, and content. No technical restriction, such as security settings, will be imposed to prevent copying or
(2) – Publish in OA Journals

- BMC Evolutionary Biology
- Journal of Insect Science
- PLoS one

Or pay for OA:
- Springer
- WILEY
- ELSEVIER
(3) – Subject Repositories

- Cornell University Library
- arXiv.org
- OpenDOAR
- PubMed Central
- NIF

(4) – Institutional Repositories

- DASH: Digital Access to Scholarship at Harvard
- Scholarship@Western
- Digital Commons
(5) – Website, Social Networking

Intellectual property challenges:

- Copyright
- pre/post-prints
- First publication
- Posting Full-text
- Peer review (formal/informal)
- Data re-use
- Attribution
- Name authority
Beware of OA Scams

Scholarly Open Access
Critical analysis of scholarly open-access publishing

LIST OF INDIVIDUAL JOURNALS

Potential, possible, or probable predatory scholarly open-access journals

This is a list of questionable, scholarly open-access journals. We recommend that scholars read the available reviews, assessments and descriptions provided here, and then decide for themselves whether they want to submit articles, serve as editors or on editorial boards. The criteria for determining predatory journals are here.

We hope that tenure and promotion committees can also decide for themselves how importantly or not to rate articles published in these journals in the context of their own institutional standards and/or geo-cultural locus. We emphasize that journals change in their business and editorial practices over time. This list is kept up-to-date to the best extent possible but may not reflect sudden, unreported, or unknown enhancements.

- Academic Exchange Quarterly
- Academy of Contemporary Research Journal (AOCRJ)
- Advances in Forestry Letter
- Al Ameen Journal of Medical Sciences (AJMS)
- American Journal of Engineering Research
- American Journal of Pharmacy and Health Research (AJPHR)
OA vs Commercial Publishing

• 35-96% : Potential savings!!!!!!!!!!!
• No:
  – Subscription management
  – Sales force
  – Expensive marketing campaigns
  – Tech. protection measures, pay walls
  – Profit taking, executive salaries
  – Lobbying for strong IP
  – IP protection litigation
Potential OA savings for publicly-funded ARL libraries

$81,000,000

Very rough estimate

vs
Innovator’s Dilemma

Subscriptions + OA ($783M/yr)

~$81M savings

All-OA (~$702M/yr)

- Infrastructure investment
- Staffing investment
- Organizational change

Adapted from: Reaction Kinetics - [http://www.chem.ufl.edu/~itl/4411/lectures/lec_m.html]
Librarian Roles

Traditional:
- Cataloguing
- Reference
- Collection development
- Instruction & outreach
- Preservation

Emerging:
- Repository manager
- Journal publisher
- Data mgmt
- Database Design
- Digitization
- IP Consultant
- Sustainability Advocate
What are the ramifications of posting non-open access material on websites? Specifically, the website http://africhthy.org/ allows for the posting of links to literature and uploading the pdf itself. In many cases researchers in developing countries lack access to the literature beyond the abstract. I would like to post the pdfs along with the link to the publisher but, I know that this is probably against some rules. I should be able to post my publications as the author but what about others?


http://www.sherpa.ac.uk/romeo/issn/0022-2933/
Professor/Editor:

I am editor of the SAGE journal *Television & New Media*. Scandinavian researchers with OA mandates are concerned about TVNM’s copyright transfer policy. I don’t want to lose prospective authors.
“SAGE's Journal Contributor's Publishing Agreement is a license agreement under which the author retains copyright in the work but grants SAGE the sole and exclusive right and license to publish for the full legal term of copyright.”

SAGE author FAQ

After:

Copyrighting Media Labor and Production: A Case of Chinese Television

Dong Han

Television & New Media
13(4) 283–306
© The Author(s) 2012
Reprints and permission:
sagepub.com/journalsPermissions.nav
DOI: 10.1177/1527476411413518
http://tvnm.sagepub.com

SAGE
Example #3

Allan Kalueff (Pharmacology):

I run a neuroscience research lab at the medical school. I’m creating a publicly searchable database of zebrafish behavioural repertoires, including research protocols and data sets. I want it to be interoperable with the NIH/NLM suite of databases. There are comparable databases for other major model organisms such as e. coli, mouse, rat.
The author(s), in consideration of the acceptance of the above work for publication, does hereby assign and transfer to Mary Ann Liebert, Inc., all of the rights and interest in and to the copyright of the above-titled work in its current form and in any subsequently revised form for publication and/or electronic dissemination.
Tulane Studies in Zoology and Botany is published by the Tulane Museum of Natural History, and is issued irregularly. Manuscripts dealing with all aspects of ecology, evolution, and systematics are encouraged. All manuscripts are reviewed.

Inaugural Online Issue

The first online issue of Tulane Studies in Zoology and Botany, published on November 2, 2012, is now online and available.

Posted: 2012-11-05
Why do Problems Persist?

- Librarians accept bad licenses.
- Insufficient librarian advocacy.
- Researchers ignorant of prices or don’t care.
- Researchers expect to lose control of IP.
- Many prestigious journals are expensive.
- Many OA journals are not prestigious.
- Concerns about OA peer review.
- Who pays production costs?
- Academia is slow to change – shifting power.
High Quality OA

Beware of OA Scams! http://scholarlyoa.com/publishers/

http://www.doaj.org

https://ulrichsweb.serialssolutions.com/

http://www.isiknowledge.com/JCR

http://opendoar.org/

http://roarmap.eprints.org/

http://www.sherpa.ac.uk/romeo/
More to Read

- Scholarly Publishing & Academic Resources Coalition (SPARC)
  http://arl.org/sparc/

- Peter Suber. SPARC Open Access Newsletter.
  http://www.earlham.edu/~peters/fos/newsletter/archive.htm

- Reed-Elsevier Annual Reports.
  http://www.reedelsevier.com/investorcentre/reports%202007/Pages/Home.aspx


The Access Principle:

A commitment to the value and quality of research carries with it a responsibility to extend the circulation of this work as far as possible and ideally to all who are interested in it and all who might profit by it.

John Willinsky (2006)