Open Access Publishing: Government/Institutional Policies and Librarian Roles

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If Open Access academic publishing is so awesome, why is it not yet ubiquitous?
Competing Interests

- Researcher
  - Author
  - Editor
  - Reviewer
  - Reader
- Funding agencies
  - Government
  - Private
- University/employer
- Publishers
- Disciplinary communities
- Librarians
- Private sector companies
- Unaffiliated/poor readers

Who holds the most/least power?
Disconnects

• Promotion & tenure requires high impact journals.
  – Does not require wide dissemination
• Many high impact journals controlled by commercial publishers.
• Strong publishing lobby, esp. in U.S.
• Gov’t prefers corporate subsidies to funding education.
• Journal Impact Factor controlled by Thomson-Reuters.
  – Alt-metrics: h-index, etc.
• Open Access provides citation advantage.
• Prestige barrier to OA journal market entry.
• Libraries, not researchers, pay journal subscriptions.
Hierarchy of Policy Environment

- International
- National
- Institutional

Communities of practice
Societal advancement is made possible through widespread and barrier-free access to cutting-edge research and knowledge, enabling researchers, scholars, clinicians, policy-makers, private sector and not-for-profit organizations and the public to use and build on this knowledge.

The Agencies strongly support open access which promotes the principle of knowledge sharing and mobilization — an essential objective of academia. The importance of open access has been recognized by other research funding agencies worldwide...

The Agencies consider the cost of publishing in open access journals to be an eligible expense under the Use of Grant Funds.

The implementation date of this policy is still to be confirmed, however, the Agencies are proposing September 1, 2014, subject to the results of the consultation.

CIHR

- Ensure that all research papers generated from CIHR funded projects are freely accessible through the Publisher's website or an online repository within 12 months of publication;
- Deposit bioinformatics, atomic, and molecular coordinate data into the appropriate public database (e.g. gene sequences deposited in GenBank) immediately upon publication of research results;
- Mandatory since January 1, 2008.

“We want to make sure the research we produce can be made as widely accessible as possible,” said Jean Saint-Vil, NSERC’s director of policy and international relations. “By making research results available faster and putting them in the hands of more people, open access can accelerate the commercialization of research findings and spur research and development,” he said. “It also increases citation counts for researchers and raises awareness about Canadian research efforts.”

Source: Tamburri (2014) [http://www.universityaffairs.ca/granting-councils-consider-mandatory-open-access-policies.aspx](http://www.universityaffairs.ca/granting-councils-consider-mandatory-open-access-policies.aspx)
The Director of the National Institutes of Health **shall require** that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine’s **PubMed Central** an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available **no later than 12 months** after the official date of publication: Provided, That the NIH shall implement the public access policy in a manner **consistent with copyright law**.

- **Research Works Act (RWA): R.I.P.**
  - Funder demands precede publisher demands chronologically
  - Publisher lobbying gone horribly wrong

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Division G, Title II, Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008).
Division F, Section 217 of PL 111-8 (Omnibus Appropriations Act, 2009).

Source: [http://publicaccess.nih.gov/policy.htm](http://publicaccess.nih.gov/policy.htm)
Fair Access to Science & Technology Research Act (FASTR)

- Introduced to Congress February 2013
- Would require that US Government departments and agencies with annual extramural research expenditures of over $100 million make manuscripts of journal articles stemming from research funded by that agency publicly available over the Internet.
- Departments likely affected:

<table>
<thead>
<tr>
<th>Agriculture</th>
<th>Homeland Security*</th>
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<td>Commerce</td>
<td>Transportation</td>
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<td>Defense*</td>
<td>Environmental Protection Agency</td>
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<td>Education</td>
<td>NASA</td>
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<td>Energy</td>
<td>National Science Foundation</td>
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<td>Health and Human Services</td>
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United Kingdom

The Research Councils work to ensure that the public investment in research secures the maximum economic and societal return. One of the ways of achieving this is through Open Access. The RCUK Policy on Open Access aims to achieve immediate, unrestricted, on-line access to peer-reviewed and published research papers, free of any access charge.

Securing a Hybrid Environment for Research Preservation and Access

Research funders' open access policies

Publisher copyright policies & self-archiving

JISC RLUK
<table>
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<tr>
<th>Country</th>
<th>Journals</th>
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<tbody>
<tr>
<td>United States</td>
<td>1209</td>
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<td>Brazil</td>
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<tr>
<td>United Kingdom</td>
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<td>India</td>
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<td>Argentina</td>
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<td>Chile</td>
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<td>Pakistan</td>
<td>117</td>
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Institutional Policies

Vary considerably in strength

Faculties, mandatory

Dissertations, mandatory

Library, aspirational

ROARMAP
Advantages for Institutions

• Institutional prestige
• Increased citation rates
• Faculty & grad student recruitment
• Fund-raising

• Cons: costs of IR
Community Practices

High Energy Physics
- Culture of pre-print sharing
- Close-knit international community
- Well defined set of key journals

SCOAP3: Sponsoring Consortium for Open Access Publishing in Particle Physics
Policy Imperfections

- Accept information as commodity
  - 6-12 month delay from publication (prestige);
  - Shift $ burden from libraries to authors/funders;
  - For-profit OA publishers: BMC, Hindawi;
  - OA publishing scams.

- Publicly funded research = public good.
  - Why not publicly funded publishing?
    • Return control of information lifecycle to academy
    • Create employment in libraries, IT, university presses
Role of Librarians in Policy-making (1)

Advocacy with Government

– In response to RFC: Tri-council, CFS...
– Via associations: SPARC, CARL, IFLA
Role of Librarians in Policy-making (2)

Within University

– Administration/Faculty
  • Institutional OA policies
  • Funding
– Educate authors and readers
  • Costs
  • Copyright
  • Citation advantage of OA
– Infrastructure building
  • Institutional Repositories
– Author support
  • Pay author fees, OA publisher memberships
Role of Librarians in Policy-making (3)

With Publishers

– Negotiate better licenses
– Financial support for OA
– Via consortia, collective resistance
– Subscription cancellations – politically fraught
(2) – Publish in OA Journals

GOLD

- BMC Evolutionary Biology
- JIS Journal of Insect Science
- PLoS One

Or pay for OA:

- Springer
- Wiley
- Elsevier
(3) – Subject Repositories

Cornell University Library
arXiv.org

OpenDOAR

(4) – Institutional Repositories

DIGITAL ACCESS TO SCHOLARSHIP AT HARVARD

Scholarship@Western

Digital Commons