

Open Access: Delivering on the Promise

Heather Joseph
Executive Director, SPARC North
America

1st SPARC Japan Seminar
Tokyo, Japan
June 7, 2013



Our Mission:

Expand the distribution of the results of research and scholarship in a way that leverages digital networked technology, reduces financial pressures on libraries, and creates a more open system of scholarly communication.

What's Happening In Scientific Communication and What Does it Mean for You?

1. New technology.



The Internet.



New Venues to Share Work.

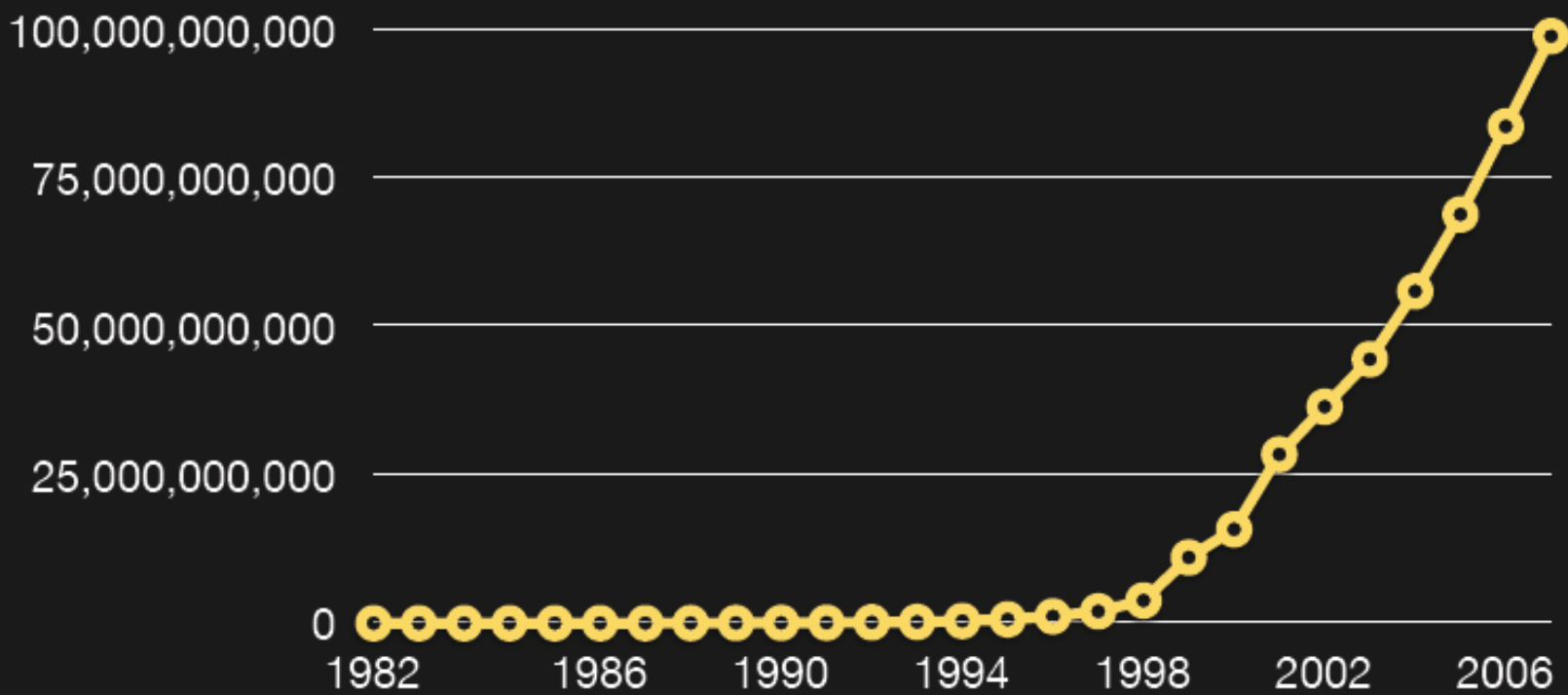
2. Digital Deluge.

Explosion in Scientific Discovery

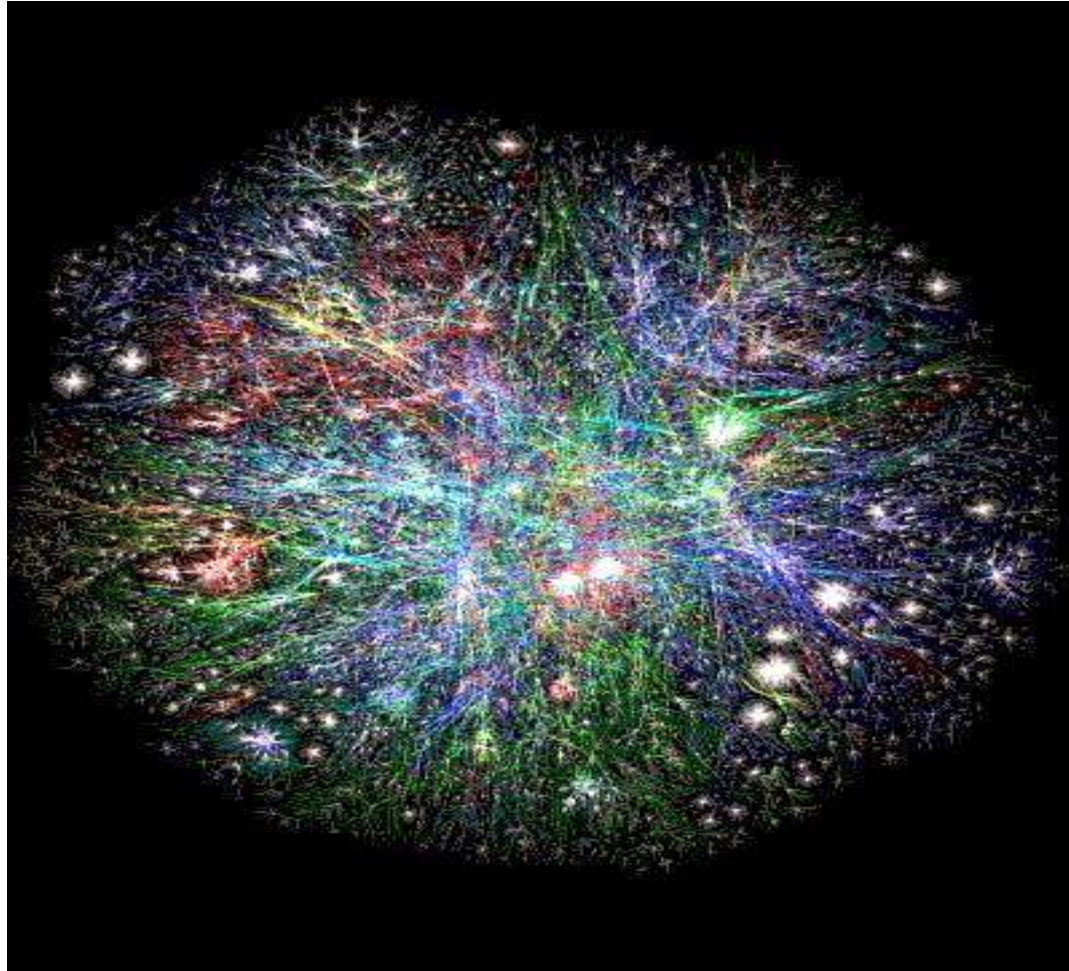
Second quarter 2008



○ Submissions to Genbank



We need to enable the power of networks.



3. Rising Costs, Shrinking Budgets

Price Barriers



=



\$2,155



=



\$5,760



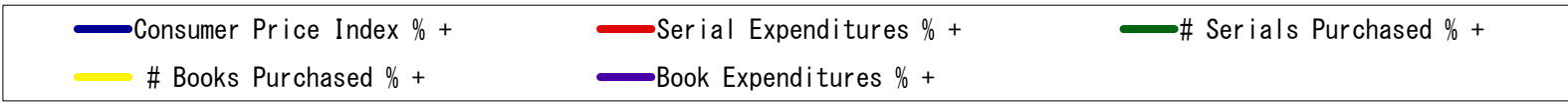
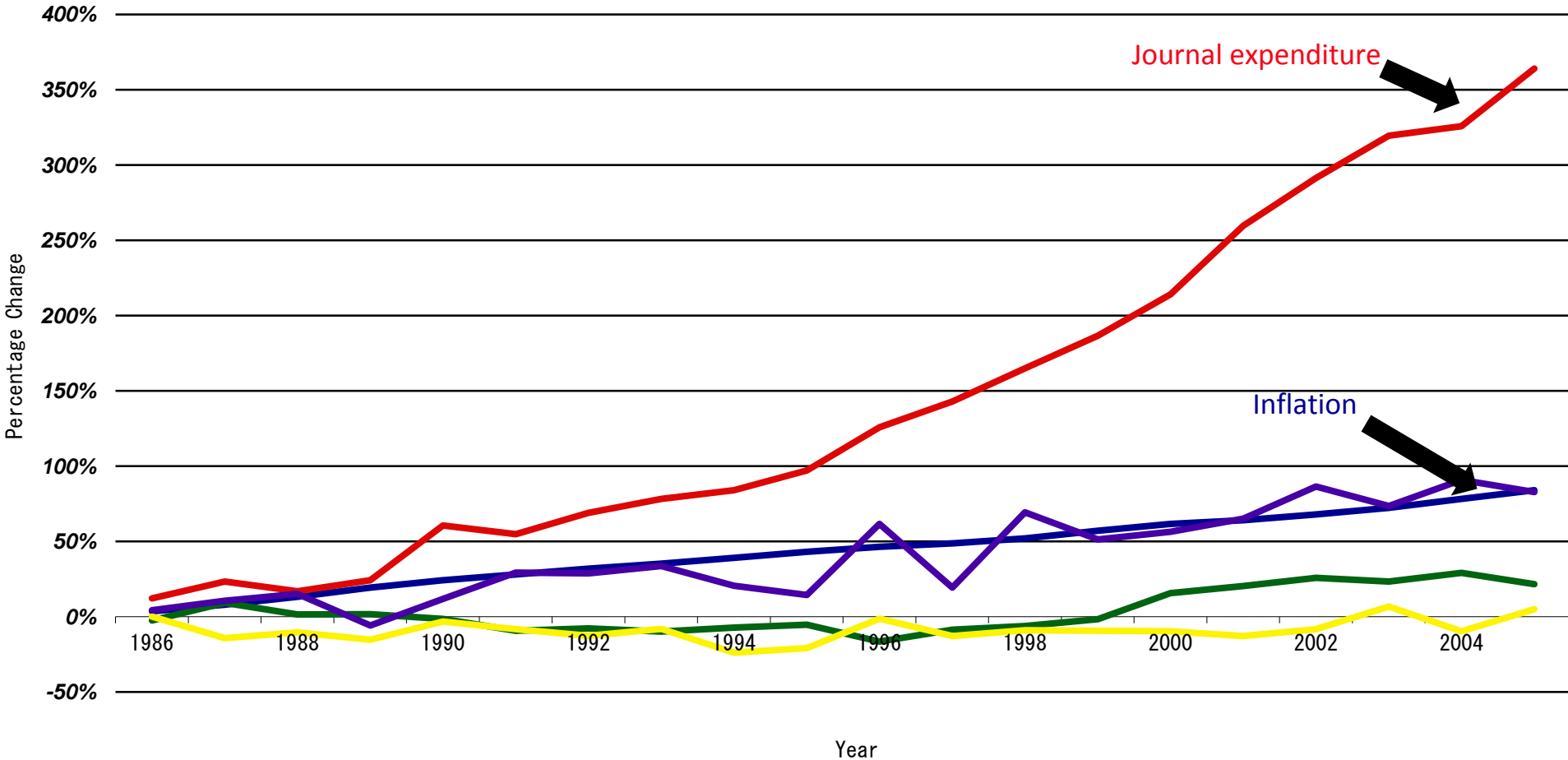
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\$21,744

Library budgets journal prices

MIT Libraries Materials Purchases vs. CPI % Increase 1986–2006



“The annual revenues generated by STM journal publishing are estimated at \$9.4 billion U.S. in 2011...”

The STM Report,

http://www.stm-assoc.org/2012_12_11_STM_Report_2012.pdf

What Does this Mean for You?

We've all run into this:

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Nocturnal hypoglycemia in patients with insulin-treated diabetes

Jean-François Yale  

McGill Nutrition Centre, Royal Victoria Hospital, McGill University, 687 Pine Avenue West, Montreal, Que., Canada H3A 1A1



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Common Problem – So What Do You Do?

Sometimes Inter-Library Loan...

**But more commonly:
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I get it from a colleague at an institution with a subscription.



Eva Rose

@thankascientist

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Need to Optimize the System for Scholars and the Academy.



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- The Budapest Open Access Initiative – February 14, 2002

Open Access = Access + Reuse

So How Are We Doing?

1. Infrastructure: Open Access Journals

More than 8,900 OA Journals



Free, full text, quality controlled scientific and scholarly journals, covering all subjects and many languages

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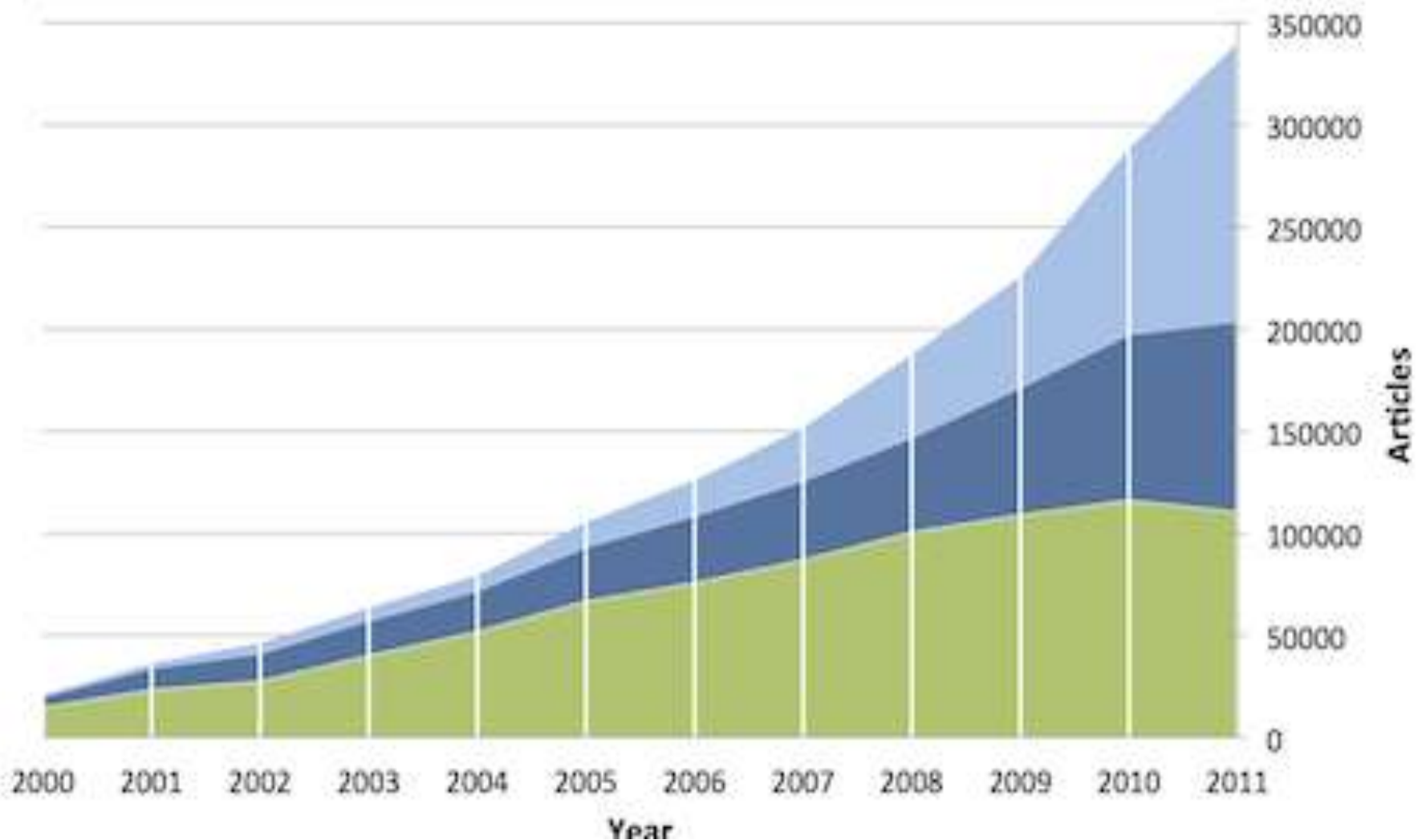
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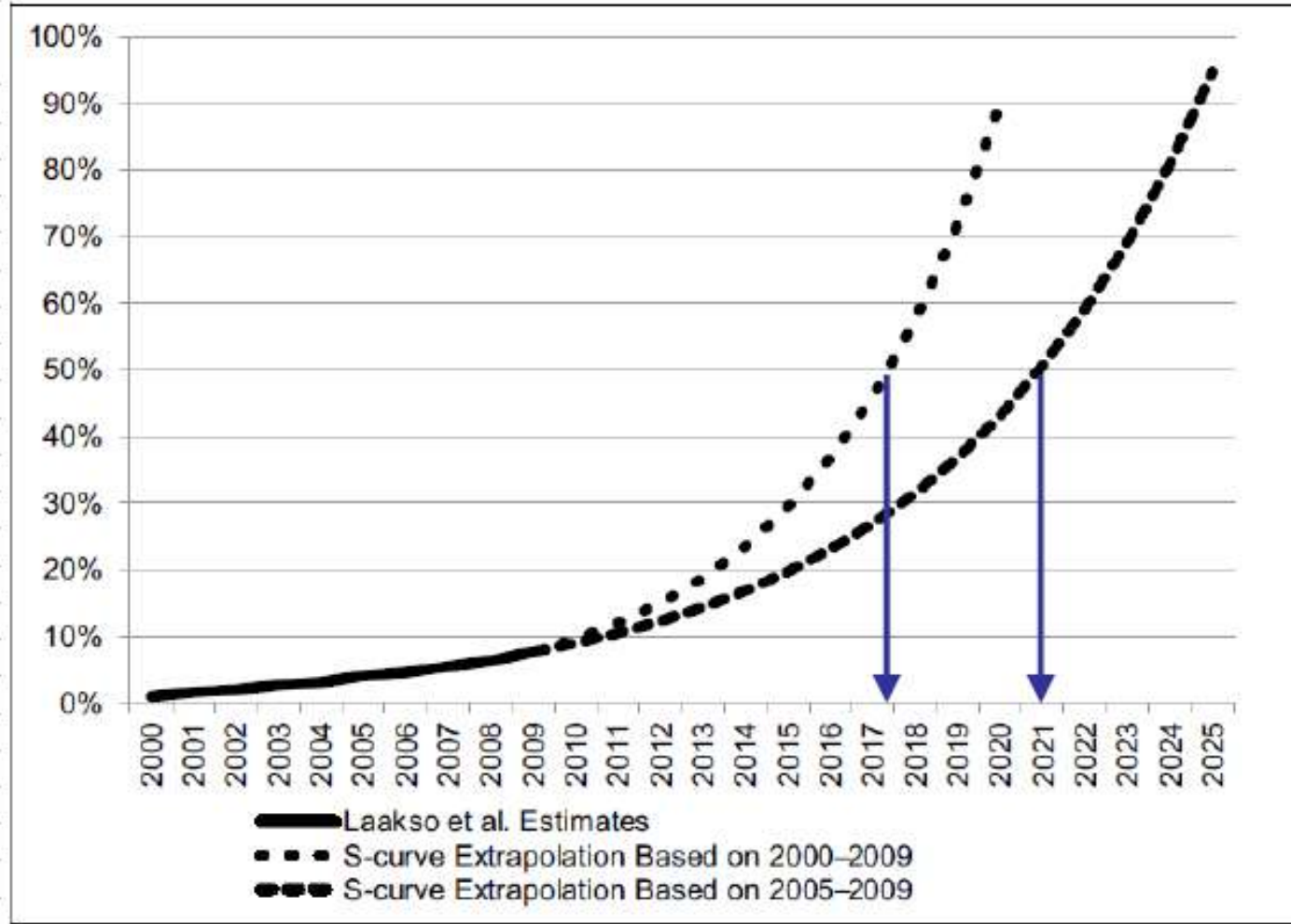


The rapid rise in open access. The graph (from Laasko and Bjork's paper – BMC Medicine 2012, 10:124) shows the numbers of papers published in three different types of online open access journals from 2000 to 2011. Courtesy The Guardian

Predicted 'Disruption Timeframe' of OA vs Subscription model

TABLE 1
Pace of Substitution of Direct Gold OA for Subscription Journals

	Laakso et al. Estimate	Extrapolation Based of 2000–2009	Extrapolation Based of 2005–2009
2000	1.0%		
2001	1.7%		
2002	2.0%		
2003	2.7%		
2004	3.1%		
2005	4.1%		
2006	4.7%		
2007	5.5%		
2008	6.4%		
2009	7.7%		
2010		9.6%	9.0%
2011		12.1%	10.5%
2012		15.1%	12.3%
2013		18.8%	14.4%
2014		23.6%	16.9%
2015		29.4%	19.7%
2016		36.8%	23.1%
2017		46.0%	27.0%
2018		57.5%	31.6%
2019		72.0%	36.9%
2020		89.9%	43.2%
2021			50.7%
2022			59.2%
2023			69.2%



Source: "The Inevitability of Open Access", David Lewis

<http://crl.acrl.org/content/73/5/493.full.pdf+html> (College and Research Libraries, Sep 2012)

**Open Access Publishing has
proven *profitability* – not just
sustainability.**

***Outsell* estimates that Open Access journals generated \$172 million in revenue in 2012 – up 34% from 2011.**

- The Economist, 2/28/2013

2. Infrastructure: Open Access Repositories



Platform: All (1422) Country: All (1422) Registered between January 1990 and February 2010 filter results show all



Information bar

- DSpace (480)
 - EPrints (283)
 - BEPress (91)
 - ETD-db (36)
 - OPUS (28)
 - Fedora (23)
 - OpenRepository (15)
 - Other repository (466)
- (Show all)

Normal icons | Repository size icons

There are 21,500,046 items held in the 1422 repositories on this map.

Download a map for Google Earth: >> Google Earth map <<

Data provided by: ROAR & OpenDOAR

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Objectives

07 JANUARY 2010



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OpenAIRE's three main objectives are to

- i. **build support structures** for researchers in depositing FP7 research publications through the establishment of the European Helpdesk and the outreach to all European member states through the operation and collaboration of **27 National Open Access Liaison Offices**;
- ii. **establish and operate an electronic infrastructure** for handling peer-reviewed articles as well as other important forms of publications (pre-prints or conference publications). This is achieved through a portal that is the **gateway** to all user-level services offered by the e-Infrastructure established, including access (search and browse) to scientific publications and other value-added functionality (post authoring tools, monitoring tools through analysis of document and usage statistics);
- iii. work with several subject communities to *explore* the requirements, practices, incentives, workflows, data models, and technologies to deposit, access, and otherwise **manipulate research datasets** of various forms in combination with research publications.

In this section

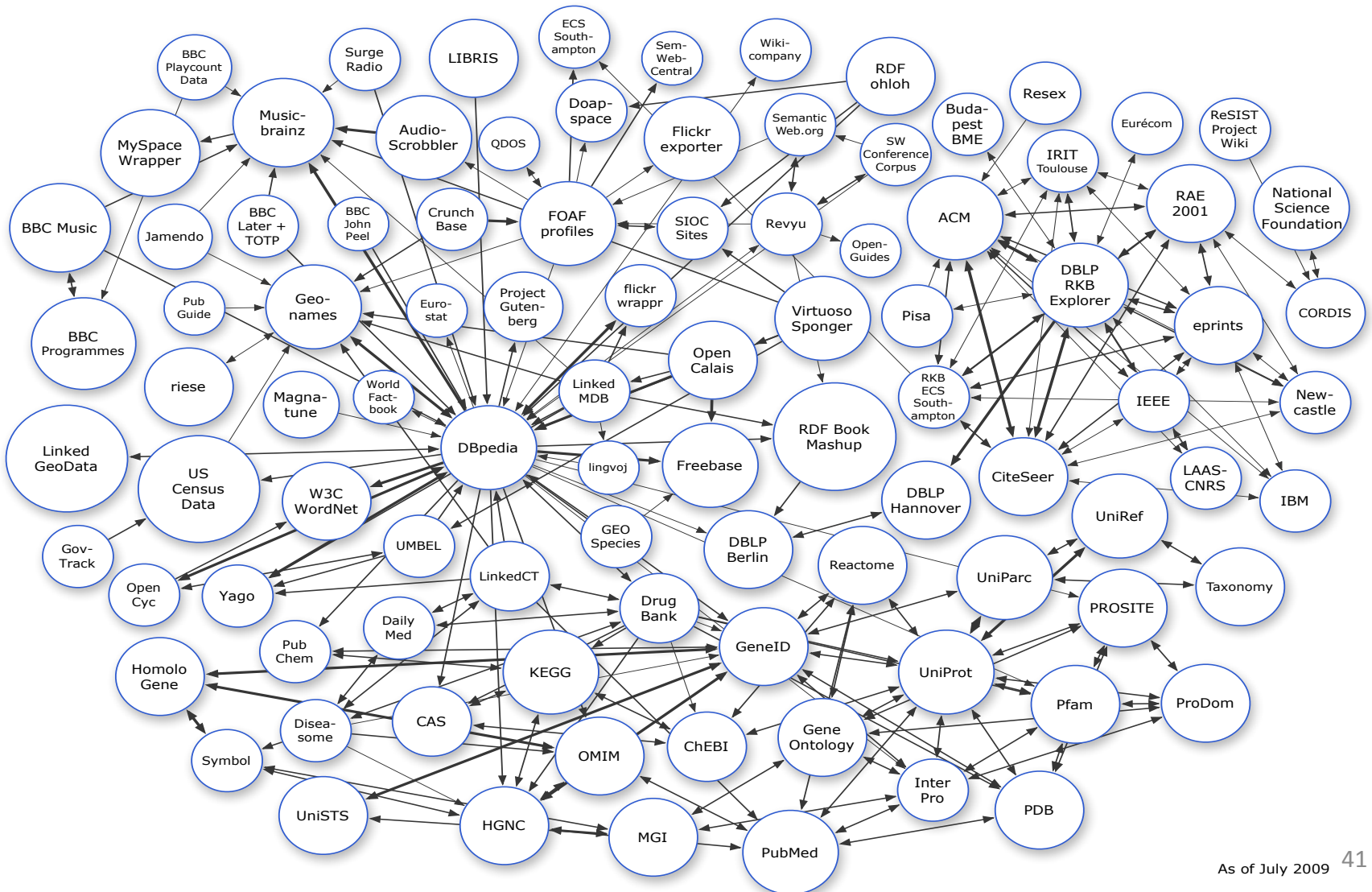
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Open Data



3. Infrastructure: Copyright and Licensing

**Despite transition to Internet, still
largely using print based copyright
constructs.**



Need the flexibility to operate within the current copyright environment to allow digital articles to be fully used and reused.

Text Mining
Downloading
Bulk Downloading
Data Mining
Semantic Searching
Computational Analysis
Machine Reading

Growing Use of Open Licenses





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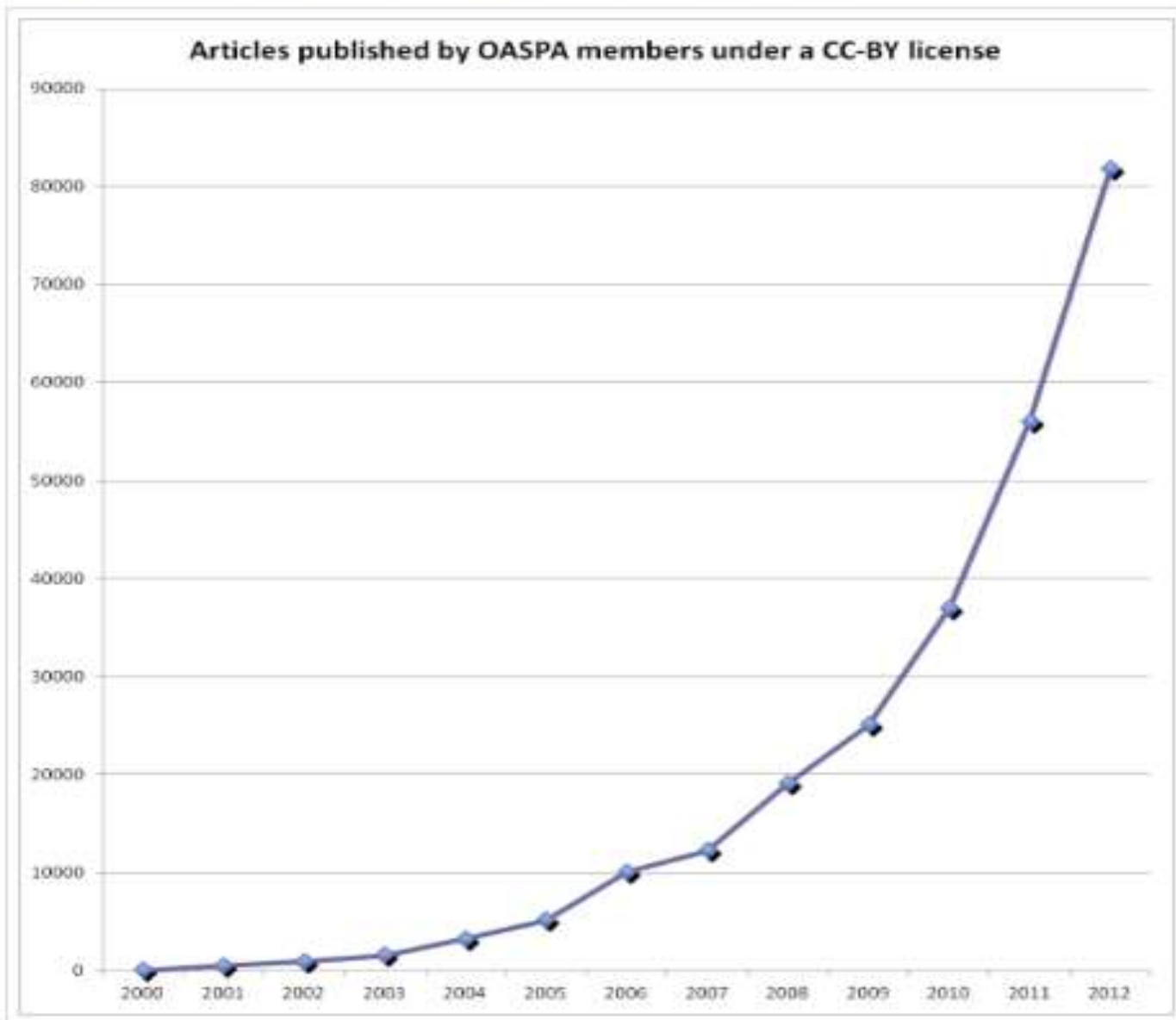
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Growth in use of the CC-BY license



Data for the above chart can be downloaded here: [OASPA Members CC-BY Growth](#)

A total of 252,418 articles were published with the CC-BY license during the period shown above.

4. Infrastructure: Open Access Policies

From University/Campus Based Open Access Policies...



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Open Access Policies

“The goal of university research is the creation, dissemination, and preservation of knowledge. At Harvard, where so much of our research is of global significance, we have an essential responsibility to distribute the fruits of our scholarship as widely as possible.”

Steven E. Hyman

Provost of Harvard University

By means of Harvard’s Open Access Policy, faculty authors in [participating schools](#) grant the university a nonexclusive, irrevocable right to distribute their scholarly articles for [any non-commercial purpose](#).

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Policy Texts

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To National/Funder Based Open Access Policies...

Governments would ***boost innovation and get a better return on their investment*** in publicly funded research by making research findings more widely available.... And by doing so, they would ***maximize social returns on public investments.***”

-- *International Organization for Economic Cooperation and Development, Report on scientific publishing, 2005*

News Alert

Commissioner Geoghegan-Quinn discusses Open Access with key stakeholders

Brussels, 25 September 2012

European Commissioner for Research, Innovation and Science Máire Geoghegan-Quinn yesterday met with a number of key stakeholder groups in the drive to improve access to scientific information produced in Europe. The Commissioner met separately with traditional scientific publishers, open access publishers, the open access community, and research funders and international organisations (see full list below).

Following the meetings, Commissioner Geoghegan-Quinn said:

"Open access is about giving European taxpayers a better return on their €87 billion annual public investment in research and development. Broader and more rapid access to scientific papers and data will make it easier for researchers and businesses to build on the findings of public-funded research. This will boost Europe's innovation capacity and give citizens quicker access to the benefits of scientific discoveries.

I appreciate the fact that various groups who have a stake in this have met with me today. We had a very positive exchange and I had a chance to hear from all these groups first hand, following the publication of our Commission strategy on open access in July. I explained that the European Commission is absolutely committed to this policy and that we need to work together in order to implement open access in Horizon 2020. A close partnership is indispensable for the long-term success of this idea."

The meetings come following the publication of a Commission communication on access to scientific information in July. The Commission has



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Australian Research Council implements a new Open Access Policy

Wed, 09/01/2013 – [them bani.malapela](#)

The Australian Research Council (ARC) has introduced, with effect from the 1st of January 2013, a [new open access policy](#) for all ARC funded research. This policy mandates that all funded research must be deposited into an open access institutional repository within the 12 months period from the date of publication.



Australian Government
Australian Research Council

The Australian Research Council policy joins similar funder mandates such as [Welcome Trust](#), [Department of International Development-UK \(DFID\)](#), and [National Health Institutes](#); however, the ARC policy has been [found weak](#) in (i) enforcing compliancy and (ii) that it does not require grantees to retain the rights needed to authorise open access. Peter Suber, phrased this latter loophole with this cliché, "Make your work OA unless your publisher won't allow it."

Visit [AIMS Open Access pages](#) for a collection of different types OA mandates.

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Argentina takes steps towards open access law

Cecilia Rosen

7 June 2012 | [EN](#) | [ES](#)

[BUENOS AIRES] Argentina is a step closer to becoming the first country to pass legislation to make all publicly funded research available in open access repositories.

The Chamber of Deputies passed a new bill last month (23 May) stating that all national scientific institutions must provide open access (OA) archives of their research, allowing the public full access to journal articles, dissertation theses and technical reports, as well as data obtained by publicly funded projects, but excluding confidential data.



Argentina's law may mandate all of its research to be open access
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Office of Science and Technology Policy Blog

Expanding Public Access to the Results of Federally Funded Research

 Posted by [Michael Stebbins](#) on February 22, 2013 at 12:04 PM EST

The Obama Administration is committed to the proposition that citizens deserve easy access to the results of scientific research their tax dollars have paid for. That's why, in a policy memorandum released today, OSTP Director John Holdren has directed Federal agencies with more than \$100M in R&D expenditures to develop plans to make the published results of federally funded research freely available to the public within one year of publication and requiring researchers to better account for and manage the digital data resulting from federally funded scientific research. OSTP has been looking into this issue for some time, soliciting broad public input on multiple occasions and convening an interagency working group to develop a policy. The final policy reflects substantial inputs from scientists and scientific organizations, publishers, members of Congress, and other members of the public—over 65 thousand of whom recently signed a *We the People* petition asking for expanded public access to the results of taxpayer-funded research.

To see the new policy memorandum, please

 visit: http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf

 To see Dr. Holdren's response to the *We the People* petition, please

 visit: <https://petitions.whitehouse.gov/response/increasing-public-access-results-scientific-research>
Michael Stebbins is Assistant Director for Biotechnology at OSTP

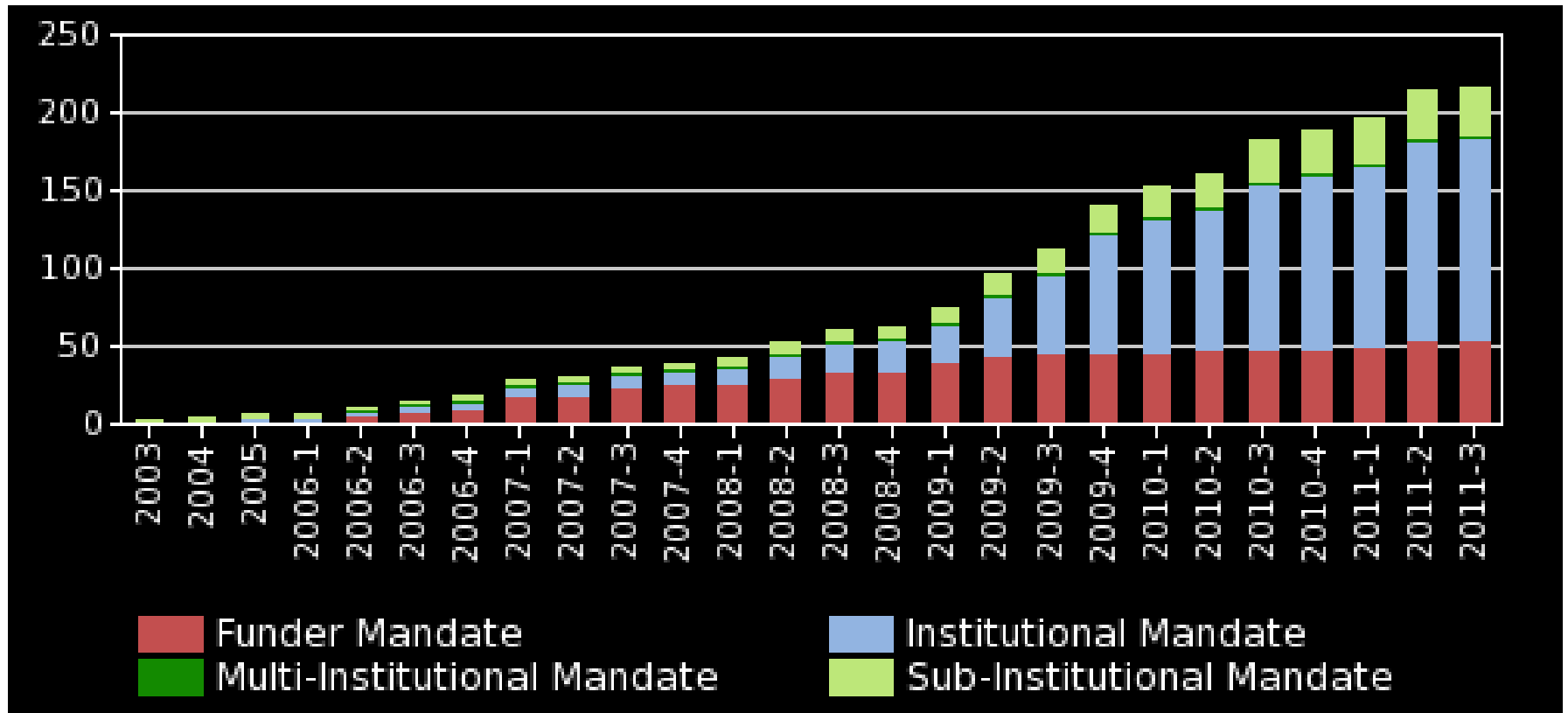
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 Council on Environmental Quality

Open Access Policies



What Does all this Mean for Researchers and Scholars?

**Broader reach and wider audience for
their work;**

**Access *to* more, license *to do* more
with work of others.**

**Much Progress.
But Challenges Remain.**

**Ensuring Full Reuse Rights is
Biggest Challenge.**



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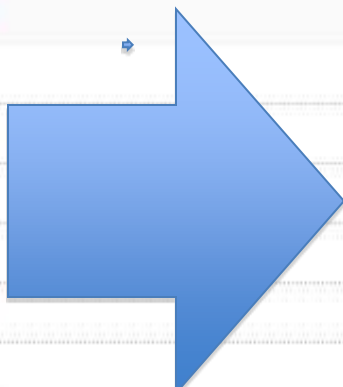
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2.5 million articles...
But only 500,000 carry CC-BY
licenses.

**For Open Access to Succeed, We
Must get the Rights Right.**

HowOpenIsIt?

Open Access Spectrum (OAS)



In 2002, the Budapest Open Access Initiative ([BOAI](#)) articulated the basic tenets of Open Access (OA) for the first time. Since then, thousands of journals have adopted policies that embrace some or all of the OA core components related to: readership; reuse; copyright; posting; and machine readability. It's time to move the conversation beyond the deceptively simple question of, "Is It Open Access?" toward a more productive evaluation of "[HowOpenIsIt?](#)".

PLOS, [SPARC](#) and [OASPA](#) have collaborated to create a [guide](#) that identifies the core components of OA and how they are implemented across the spectrum between "Open Access" and "Closed Access". The guide provides an easily understandable, comprehensive, and quantifiable resource to help authors make informed decisions on where to publish based on publisher policies. In addition, funders and other organizations will have a resource that indicates criteria for what level of OA is required for their policies and mandates.

This OA guide is aimed toward a wide audience of researchers, authors, and policy-makers. The goals of the guide are to:

- Move the conversation from "*Is It Open Access?*" to "*HowOpenIsIt?*"
- Clarify the definition of OA
- Standardize terminology
- Illustrate a continuum of "*more open*" versus "*less open*"
- Enable people to compare and contrast publications and policies
- Broaden the understanding of OA to a wider audience
- Determine how open a publisher and/or publication is by using the grid

Second Major Challenge: Culture Change.

**Need Better Answer to
Scholars who ask:
*“Why Should I Care About Open
Access?”***

**Biggest Barrier to Open Access:
Fear of Not Being Adequately
Rewarded.**

**The *Open* Digital Environment
Lets Us Collect Information on
More than Just Citations.**

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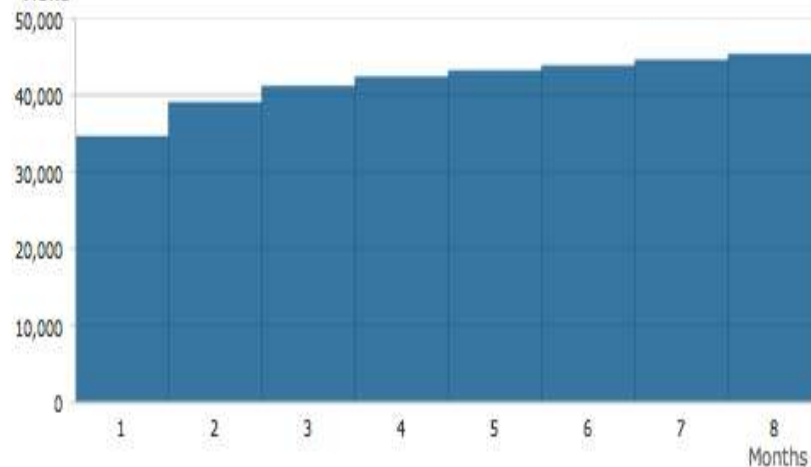
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through Sep 24, 2012*

HTML Page Views PDF Downloads XML Downloads Totals

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PLoS	42,181	2,923	79	45,183
PMC	133	46	n.a.	179
Totals	42,314	2,969	79	45,362

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of Impact you Want to Explore...**

As a Researcher...

**(I wonder *who* is reading my
work..)**



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@malarianetworks

The Lancet: In resource-limited settings, malaria control programmes should consider use of text messaging to... <http://fb.me/Eakerale>

5 Aug 11



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The effect of mobile phone text-message reminders on Kenyan health workers' adherence to malaria treatment guidelines <http://t.co/BhbGRad>

16 Aug 11



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RT @mngreenall: The effect of mobile phone text-message reminders on Kenyan health workers' adherence to malaria treatment guidelines: <http://t.co/z3m7uEn>

26 Aug 11



StompOutMalariaKenya
@stompm_kenya

Texting health care workers in #Kenya improve treatment of #malaria: <http://t.co/L5FGpZE7>

4 Oct 11

..Or As a Funder....

**(Is this Research Having an Effect
On....)**

Outcomes	Key indicators of progress
Discoveries	<ol style="list-style-type: none"> 1. significant advances in the generation of new knowledge 2. contribute to discoveries with tangible impacts on health
Applications	<ol style="list-style-type: none"> 3. contribute to the development of enabling technologies, products and devices 4. uptake of research into policy and practice
Engagement	<ol style="list-style-type: none"> 5. enhanced level of informed debate in biomedicine 6. significant engagement of key audiences & increased reach
Research leaders	<ol style="list-style-type: none"> 7. develop a cadre of research leaders 8. evidence of significant career progression among those we support
Research environment	<ol style="list-style-type: none"> 9. key contributions to the creation, development and maintenance of major research resources 10. contributions to the growth of centres of excellence
Influence	<ol style="list-style-type: none"> 11. significant impact on science funding & policy developments 12. significant impact on global research priorities and processes

(Has this work influenced research priorities or policy directions?)

Adoption of Rapid Diagnostic Tests for the Diagnosis of Malaria, a Preliminary Analysis of the Global Fund Program Data, 2005 to 2010

[Jinkou Zhao](#),^{1,2,*} [Marcel Lema](#),¹ [Eline Korenromp](#),^{1,3} [Patrick Aylward](#),¹ [Estifanos Shargie](#),¹ [Scott Filler](#),¹ [Ryuichi Komatsu](#),¹ and [Rifat Atun](#)⁴

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Abstract

Go to:

Introduction

The World Health Organization Guidelines for the Treatment of Malaria, in 2006 and 2010, recommend parasitological confirmation of malaria before commencing treatment. Although microscopy has been the mainstay of malaria diagnostics, the magnitude of diagnostic scale up required to follow the Guidelines suggests that rapid diagnostic tests (RDTs) will be a large component. This study analyzes the adoption of rapid diagnostic testing in malaria programs supported by the Global Fund to fight AIDS, Tuberculosis and Malaria (Global Fund), the leading international funder of malaria control globally.

Methods and Findings

We analyzed, for the period 2005 to 2010, Global Fund programmatic data for 81 countries on the quantity of RDTs planned; actual quantities of RDTs and artemisinin-based combination treatments (ACTs) procured in 2009 and 2010; RDT-related activities including RDTs distributed, RDTs used, total diagnostic tests including RDTs and microscopy performed, health facilities equipped with RDTs; personnel trained to perform rapid diagnostic malaria test; and grant budgets allocated to malaria diagnosis. In 2010, diagnosis accounted for 5.2% of malaria grant budget. From 2005 to 2010, the procurement plans include 148 million RDTs through 96



Malaria NetWorks
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The Lancet: In resource-limited settings, malaria control programmes should consider use of text messaging to... <http://fb.me/Eakerale>

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4 Oct 11

Identity matters in impact.

New ways to see **who is using
their work, and **how** they are
using it**

**To be successful, Article Level
Metrics (ALMs) need to be
proliferated....**

....and they are.

The San Francisco Declaration on Research Assessment (DORA), initiated by the American Society for Cell Biology (ASCB) together with a group of editors and publishers of scholarly journals, recognizes the need to improve the ways in which the outputs of scientific research are evaluated. The group met in December 2012 during the ASCB Annual Meeting in San Francisco and subsequently circulated a draft declaration among various stakeholders. DORA as it now stands has benefited from input by many of the original signers listed below. It is a worldwide initiative covering all scholarly disciplines. We encourage individuals and organizations who are concerned about the appropriate assessment of scientific research to sign DORA.



[Download the Declaration \(PDF\)](#)

[Download the DORA Logo \(ZIP\)](#)

Article Level Metrics Have Strong Potential to Stimulate Culture Change.

**10 Years into the Open Access
Movement, Enormous Progress
Has been Made....**

**...And the Challenges that Remain
Are Clear.**

- 1. Finish the job on establishing robust infrastructure.**
- 2. Diversify business models.**
- 3. Accelerate adoption of open licenses.**
- 4. Encourage broader research evaluation metrics.**

SPARC's strategy of strong global partnerships and collective action remains vital to our continued success.



SPARC North America

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Thank You.

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