

OPEN ACCESS in SE Asia

UNRESOLVED ISSUES AND NEW OPPORTUNITIES

Dr Paul H. Kratoska

Publishing Director

NUS Press Pte Ltd

National University of Singapore



Open Access (OA) is not well established in Southeast Asia

Two Questions:

1. Why is there not more interest in OA?
2. If OA worked well in Southeast Asia, what would the results be?



Baseline Information

Universities in SE Asia

Country	Univ	Research Univ	# in QS Top 150 Asian Universities
Brunei	1	1	
Indonesia	385	5-10	4
Malaysia	30+	5	5
Philippines	223	10	3
Singapore	6	6	2
Thailand	109	9	5
Cambodia	19		
Laos	4		
Myanmar	150+		
Timor Leste	3		
Vietnam	69		

Institutional Repositories in SE Asia

Country	Repositories in OpenDOAR	Listings in ROAR
Indonesia	35	55
Malaysia	20	31
Philippines	6	9
Singapore	4	6
Thailand	8	6
Vietnam	1	-
Total	64	107

Data as of 3 Feb 2014

IRs in SE Asia

- ❑ Contents: theses, preprints, post prints, conference papers, unpublished documents, teaching materials
- ❑ Maintained and paid for by universities, institutes

D: Defined U: Undefined

Country	Type of Objects for Deposit		Records Submission Policy		Preservation Policy	
	D	U	D	U	D	U
Indonesia	-	7	-	7	-	7
Malaysia	3	8	2	9	1	10
Thailand	-	6	-	6	-	6

Data from 2011. See Mohammad Nazim and Bhaskar Mukherjee, "Status of Institutional Repositories in Asian Countries: A Quantitative Study", *Library Philosophy and Practice* (2011; <http://unllib.unl.edu/LPP/>): np.

SE Asian Journals in the DOAJ

Country	Number of OA Journals
Brunei	1
Cambodia	1
Indonesia	109
Malaysia	78
Philippines	13
Singapore	36
Thailand	16
Vietnam	1
Total	255

Academic Publishing in SE Asia

- Why do authors in SE Asia do research and publish?
 - ▣ To create and share knowledge
 - ▣ But primarily to meet the expectations of their universities
- Major universities want staff to publish in order to
 - ▣ Improve their rankings
 - ▣ Attract exchange and foreign students
 - ▣ Provide a basis for promotion and tenure decisions
- Government funding: should return value
 - ▣ Does OA return value to SE Asian countries? Few in SE Asia will read research articles
 - ▣ Value seen in publication by high prestige journals read outside the region

HSS Publishing in SE Asia

- English-language Publishing in Humanities and Social Sciences (HSS)
 - ▣ Lags behind sciences
 - ▣ Science faculties complain that HSS dragging down universities in world rankings
- Universities very conscious of ranking, citation indexes, impact factors, etc.
- Universities favor “ISI” citation indexes
- Scopus
 - ▣ Better coverage of Asian publications
 - ▣ Generally accepted by universities in SE Asia

SCOPUS

- 20,544 peer-reviewed journals

South and East Asia	
Country	Journals
China	728
Hong Kong	42
Japan	708
Korea	143
Bangladesh	18
India	405
Pakistan	75
Sri Lanka	6

Southeast Asia	
Country	Journals
Indonesia	7
Malaysia	45
Philippines	22
Singapore	95
Thailand	33
SE Asia Total	202 (0.5%)
Asia Total	2,327 (11.6%)

Case Study: Malaysia

OA Journals

Malaysia is particularly active in promoting Open Access

- 216 peer-reviewed OA Journals (78 in DOAJ)
 - ▣ 2005-2012: 2,067 issues published
 - ▣ 46% HSS; 54% STM
 - ▣ 157 by universities; 59 by institutes
 - ▣ Language: 157 in English; 55 bilingual (esp English-Malay, English-Arabic); 4 in Malay
 - ▣ 24 in Scopus; 6 in Thomson Reuters (“ISI”) indexes
- Malaysian online journals are **not** widely used
 - ▣ Search and display interfaces poorly designed
 - ▣ Poor metadata and poor indexing

Sara Koleini *et al.*, Malaysian Scholarly Open Access Journals during 2005-2012: A Survey, *International Journal of Information Science and Management* 3, 2 (July/Dec 2013): 91-103.

Case Study: Malaysia

Institutional Repositories

Few Malaysian academics self-archive. Why?

- Unaware of institutional repositories
- No institutional mandates requiring deposit of work
- Time and effort involved
- Fear that others will steal or alter their work
- Concern that deposit might hurt publication prospects
- Unfamiliar with procedures
- Unfamiliar with copyright rules
- Perception that institutional repositories of no value

Feria Wirba Singeh, A. Abrizah, Noor Harun Abdul Karim, "What inhibits authors to self-archive in Open Access repositories? A Malaysian case" *Information Development* 29, 1 (Feb. 2013): pp. 24-35.



Unresolved Issues

Article Processing Charges

- Funders may limit payments to certain journals
 - ▣ Journals in Thomson Reuters or Scopus index
 - Probably acceptable
 - Some universities already specify a minimum journal impact factor for an article to count in research evaluation
 - ▣ Will journals not in citation indexes be acceptable?
 - ▣ “Predatory Journals” (e.g., on Beall’s List) presumably not acceptable
 - ▣ Possible restrictions based on journal’s political orientation

Ownership of scholarly research

- Work under contract for a commercial firm is owned by the firm
- Universities increasingly copying this approach
 - ▣ STM: potential profits from patents, licensing technology, etc.
 - ▣ Little commercial value from HSS material but rules written broadly and apply to everything
- Scholars cannot make material available for Open Access unless they hold rights to it

Copyright

- Few academics understand copyright, and few academics want to
- For STM, copyright is important in connection with patenting and licensing technology
- For HSS, copyright is important for claiming credit for work done, and to prevent unauthorized use
 - ▣ Data re-used freely under existing rules if source acknowledged

Creative Commons and HSS

- CC-BY-ND (no derivatives) adds little to normal copyright
- CC-NC (non-commercial) mostly not relevant
- CC-BY (Attribution) allows others to “remix, tweak, and build upon” material “as long as they credit you for the original creation”
 - ▣ Risky for HSS
 - ▣ An author’s main contribution is analysis and interpretation, not data
 - ▣ These elements should not be changed

HSS and Open Access Mandates

- HSS based on books rather than journal articles
- Research materials often used in several articles
- Articles often draw on several research projects
- Data used over an extended period and not easily allocated to a specific research project
- HSS articles generally longer than STM articles
 - ▣ Major societies report average cost per article = US\$10,000
 - ▣ Costs paid by membership fees and library subscriptions
 - ▣ APCs cannot cover these amounts
 - ▣ Open access mandates threaten their survival

OA and Embargoes

- Will a one-year embargo period before material released as Open Access preserve existing publishers and publications?
 - ▣ Some researchers require immediate access to scientific research, but the citation half life for scientific articles is more than one year
 - ▣ The citation half life for HSS material is between 5 and 10 years
 - ▣ Many HSS researchers willing to wait a year to see published material
 - ▣ Libraries will not pay for material they can get free
- Conclusion: a one-year embargo will be ineffective

OA and Scholarly Research in SE Asia

- Will more people read academic material if it is available through Open Access?
 - ▣ With digital publishing, HSS researchers access a much wider range of material
 - ▣ Reading technical STM research requires specialist training
 - ▣ In SE Asia, Scholars at many universities weak in English and do little research; OA will provide few benefits
- Will OA result in more high quality research?
 - ▣ Scholars at major universities read English well and will have access to more material
 - ▣ APCs could limit their ability to publish

A SWOT Analysis

Open Access and SE Asian Academic Publishing

Strengths	Weaknesses
Opportunities	Threats

Strengths (Positive Effects) of OA

- Broad access to scholarly literature
- Scholars at universities without large library budgets can access academic literature
- Funds used to pay journal subscriptions might be shifted to research
- More readers means more citations and increased impact

Weaknesses: Gold OA

- Article Processing Charges
 - ▣ Currently too high for most academics in SE Asia
 - Current range: US\$500 to US\$5,000
 - ▣ Absence of funding sources in SE Asia
 - ▣ Disproportionate burden on Research Universities; others become free riders
- The transition from traditional subscriptions to Gold OA would be very expensive if universities pay APCs while also paying subscription fees

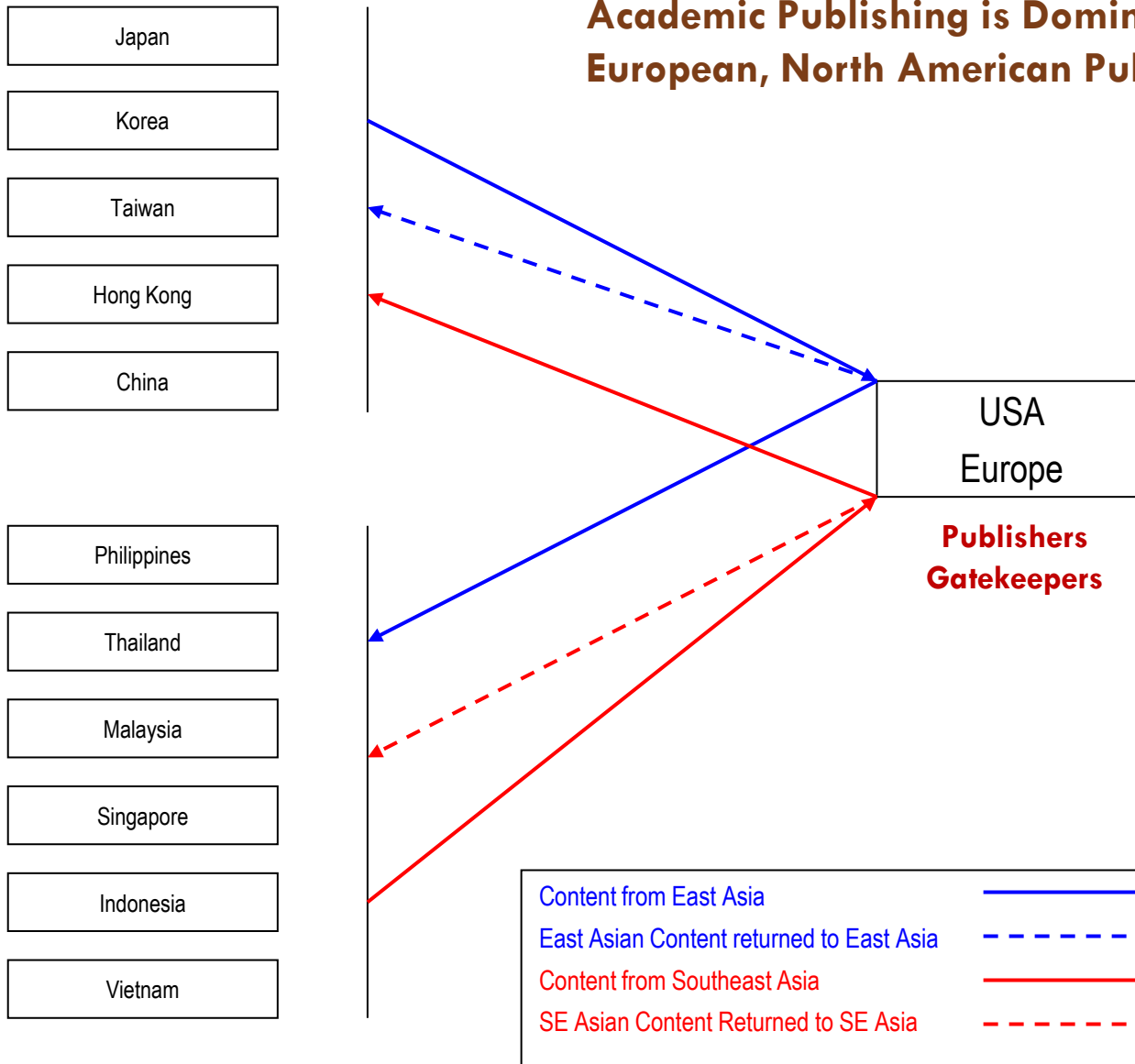
Weaknesses: Green OA in SE Asia

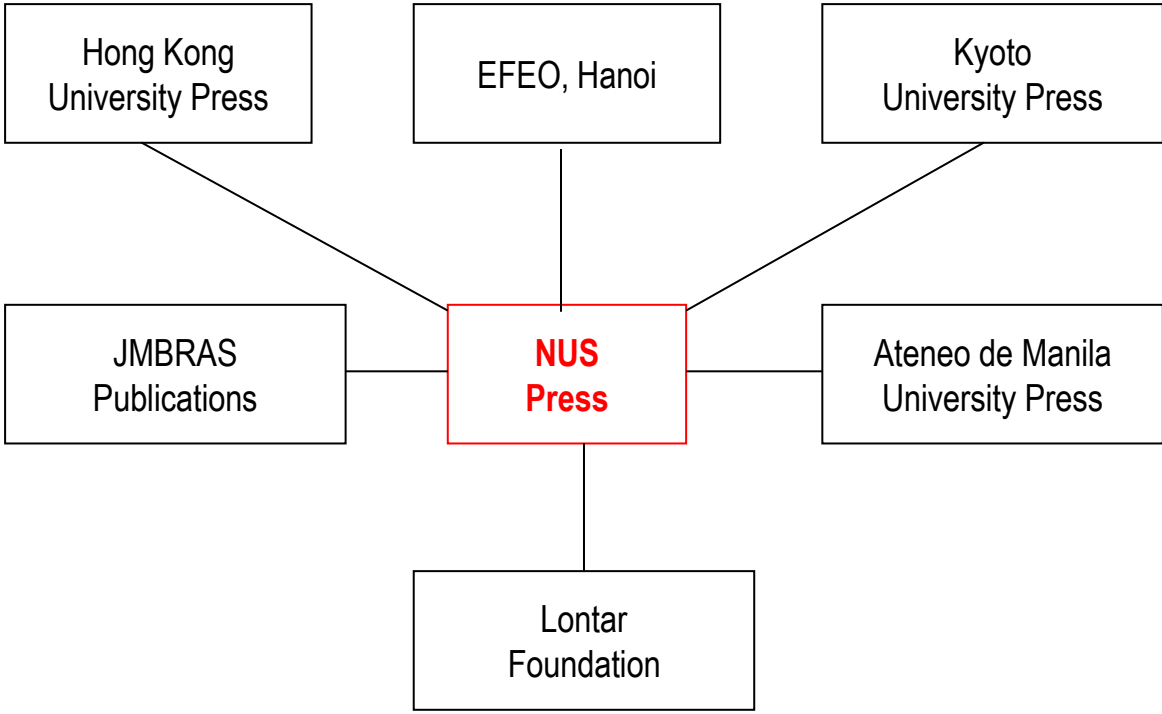
- Academic performance judged on publication in subscription-based peer-reviewed journals
- Little awareness of OA among senior administrators
- Many universities don't have repositories
- Limited funding for institutional repositories
- Platforms, metadata, etc. lack common standards (e.g., DSpace, EPrints, Greenstone, Unknown)
- Insufficient staff dedicated to OA projects
- Prevalence of standalone facilities; little linkage or integration
- Lack of mandates calling for deposit of publication
- Content of existing repositories of limited value

Opportunities

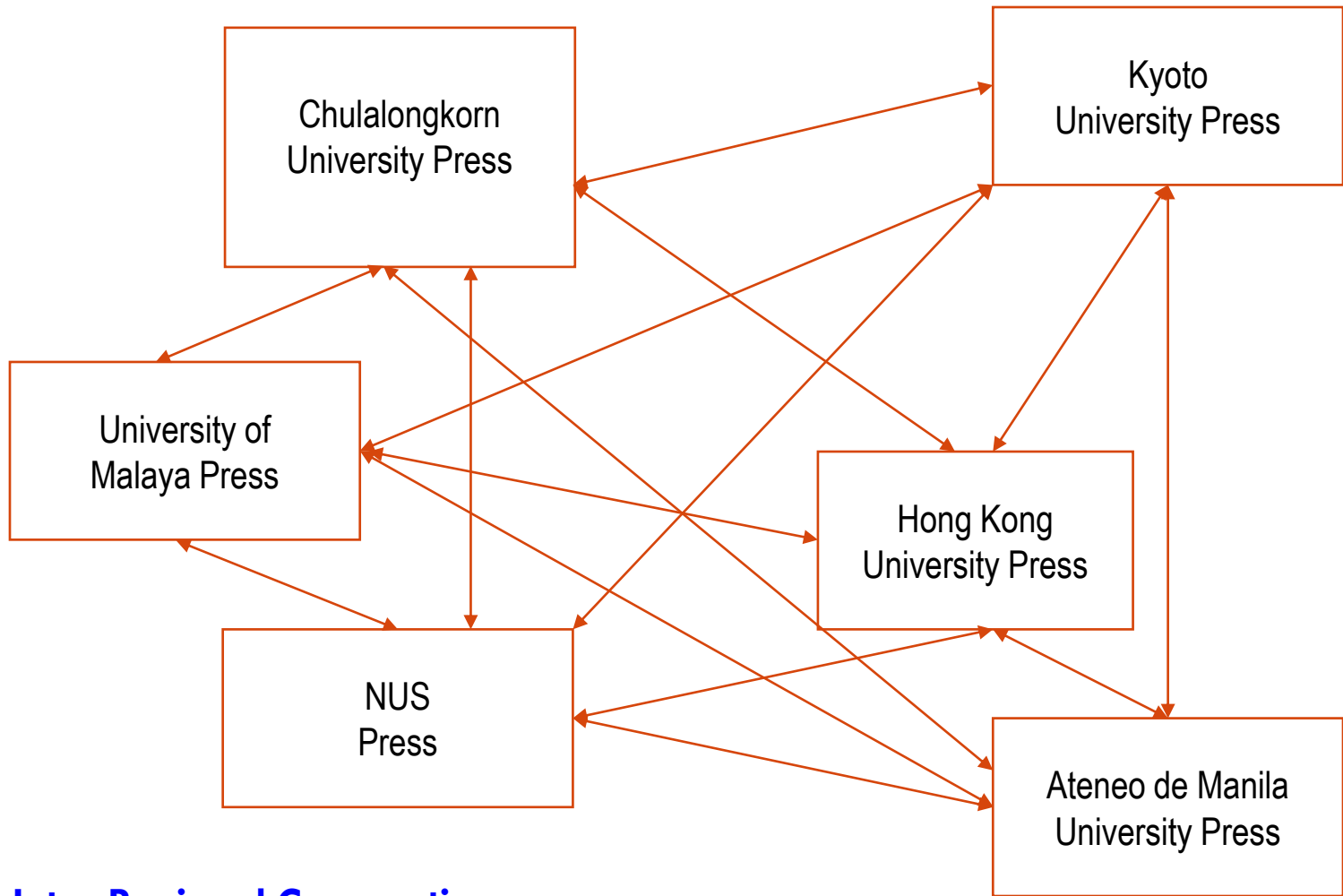
- Access to a broader academic literature could help scholars write better research papers
- Asian OA publications could cultivate non-Western research paradigms
- Asian universities fund numerous journals that could be made OA without APCs
 - ▣ Quality, visibility, and technical improvements needed for journals to have significant impact
- OA could help intra-Asian scholarly communication

Academic Publishing is Dominated by European, North American Publishers





Ad Hoc Cooperation with Individual Presses



**Intra-Regional Cooperation can
Broaden distribution in Asia**

Threats Arising from OA

- Scholars without access to funds could find it difficult to publish
- Commercial academic presses are already monetizing OA (e.g., through CHORUS), which can nullify benefits of OA
- OA threatens the survival of university presses and academic societies
 - ▣ Rely on subscription fees
 - ▣ Most do not have an e-publishing platform
- Embargo periods of one year insufficient to sustain the user pays/subscription model
- Emergence of predatory journals and publishers

Thank you

Dr Paul H. Kratoska

Publishing Director

NUS Press Pte Ltd

National University of Singapore