

Open Access 2006

An economic proposition or a political
platform?

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Open Access 2006

- Economic origins
- Political rhetoric
- Legislative initiatives
- A look at the landscape
- What is our role?

Begin with a definition..

- Open Access

- Works that are created with no expectation of direct monetary return and made available at no cost to the reader on the public Internet for purposes of education and research.

- ARL, May 2004

Begin with a definition..

- Open Access

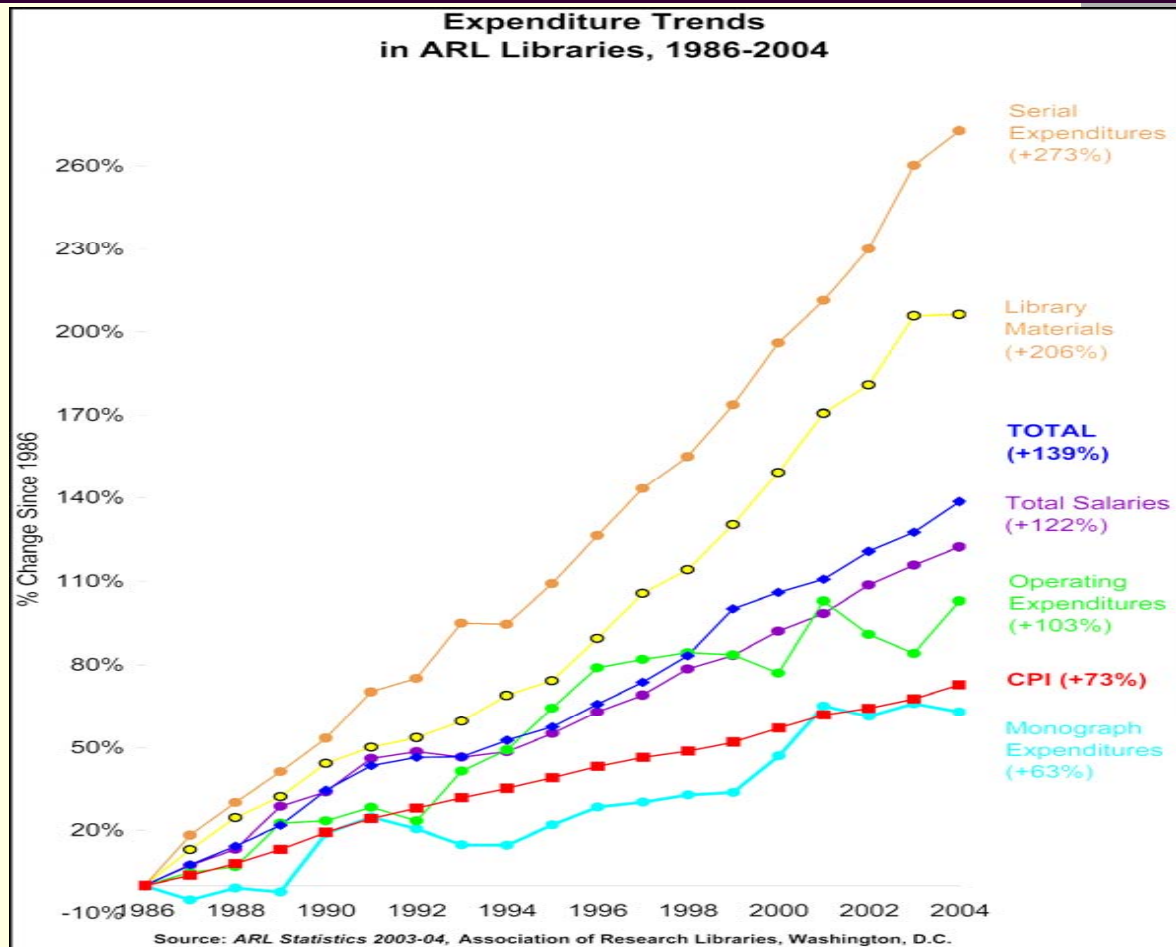
- Works that are created with no expectation of direct monetary return and made **available at no cost to the reader on the public Internet** for purposes of education and research.

- ARL, May 2004

Budapest Open Archive Initiative

By "open access" to this literature, we mean its free availability on the public internet,The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

The Economic Issue



The Economic Issue



UC BERKELEY * FACULTY CONFERENCE ON SCHOLARLY PUBLISHING

UC Berkeley > The Library > Faculty Conference on Scholarly Publishing > Handouts > Commercial Publisher Mergers and Acquisitions/Publishing Models

Commercial Publisher Mergers and Acquisitions

This chart indicates the consolidation of control of commercial scholarly publishers over the last 15 years. 37 publishers are now controlled by 6 entities. "In the biomedical field alone, significant price increases occurred in 10 of the 11 mergers."¹

Reed Elsevier	T&F Informa	Blackwell	Candover & Cinven	Wiley	Verlagsgruppe George von Holtzbrinck
~1800 journals	~1000 journals	~700 journals	~1350 journals	~350 journals	~70 journals
Academic Press	AA Balkema	Blackwell Publishing	Kluwer	A.R. Liss	Nature Publishing/ Macmillan
Cell Press	BIOS Scientific Publishers	Blackwell Publishing Asia	Plenum	GIT Verlag	Scientific American
Congressional Information Service	CRC Press	Blackwell Synergy	Springer	Scripta Technica	WH Freeman
Elsevier	Curzon Press	Munksgaard		VCH	
Engineering Information	Gordon & Breach			Wiley	
Excerpta Medica	Harwood Academic				
Harcourt	Marcel Dekker				
Morgan Kaufmann	Routledge				
Mosby	Swets Zeitlinger				
Pergamon Press	Taylor & Francis				
Urban & Fischer					
WB Saunders					

¹ Publisher Mergers: A Consumer-Based Approach to Antitrust Analysis. Susman, Carter, Ropes & Gray, and the Information Alliance. June 2003. (PDF)

Economics are against us..

- *The sensitivity of library demand to price increases is very small by normal standards (a 1% increase in price results in a 0.3% decline in subscriptions). Given this inelastic demand, publishers have a strong incentive to increase prices faster than the growth rate of library budgets.*

- McCabe, ARL, 1999

Economics are against us

Libraries are willing to pay high prices for journals because journals are monopolists over the articles they carry. If a scholar the library serves needs an article in the journal for their research, there is no convenient substitute for it.

- McCabe, Nature, 2006

It's not about economics

Tempe Principle #1

*The cost to the academy of published research should be contained so that **access to relevant research** publications for faculty and students can be maintained and even expanded.*

- Tempe Principles, May 2000

Public Library of Science

Open Letter to Scientific Publishers (2001)

*We support the establishment of an online public library that would provide the full contents of the published record of research and scholarly discourse in medicine and the life sciences in a freely accessible, fully searchable, interlinked form. Establishment of this public library would vastly increase the accessibility and utility of the scientific literature, **enhance scientific productivity, and catalyze integration of the disparate communities of knowledge and ideas in biomedical sciences.***

Moral Imperative

Budapest Open Access Initiative (2001)

- *An old tradition and a new technology have converged to make possible an unprecedented public good.The public good they make possible is the world-wide electronic distribution of the peer-reviewed journal literatureRemoving access barriers to this literature will **accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich**, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge.*

The Sabo bill (2003)

"It's wrong when a breast cancer patient cannot access federally funded research data paid for by her hard earned taxes. It is wrong when the family whose child has a rare disease must pay again for research data their tax dollars already paid for. Common sense dictates we provide the most cutting-edge research to all who may benefit from it - especially when they've already paid for it with their tax dollars, and my legislation will do just that."

Alliance for Taxpayer Access (2004)

- American taxpayers are entitled to open access on the Internet to the peer-reviewed scientific articles on research funded by the U.S. Government.
- Widespread access to the information contained in these articles is an essential, inseparable component of our nation's investment in science. ...
- Enhanced access to and expanded sharing of information will lead to usage by millions of scientists, professionals, and individuals, and will deliver an accelerated return on the taxpayers' investment.

Legislation

- PubMed Central (2000)
 - Designed to
 - create a digital archive and...
 - enhance retrieval and data mining
 - Entirely voluntary
 - Over 300 journals have deposited some content in PubMed Central

Legislation

- NIH Public Access (2004)
 - Requests deposit within 12 months for articles based on NIH-funded research
 - 1963 manuscripts deposited to date
 - Generally author's version is deposited

Legislation

- Problems with NIH Public Access
 - **Request** rather than **require**
 - Author's final manuscript rather than published version
 - Inconsistency among publishers in allowing for deposit
 - Sherpa
 - Medical publishers

Legislation 2005

- November 05: Public Access Working Group recommended changing **request** to **require** and **12** months to **6** months
- January 06: Zerhouni (NIH) reports poor compliance to Congress : only 4% compliance; cost of \$1 million/year.

NLM Board of Regents

Letter to Zerhouni, February 2006

“...the Board has concluded that the NIH Policy cannot achieve its stated goals unless deposit of manuscripts in PubMed Central becomes **mandatory**. We favor public release of NIH-funded articles in PubMed Central no later than **6 months** after publication, although some flexibility may be needed for journals published less frequently than bimonthly. We were pleased that most of the publishers on the Working Group indicated an interest in **depositing the final published** version of articles in PubMed Central on behalf of NIH-funded authors. The Board agrees that this would be highly desirable.”

Pending Legislation (2006)

- American Center for Cures Act (Lieberman)
 - Requires deposit of grant funded research
 - Shortens time period to six months
 - Suggests expanding the program to other government agencies
 - Status: in committee

Legislation (UK)

- *Research Councils* considering requirement to deposit in an institutional or subject repository (2006)
- *Wellcome Trust* (2006) requires deposit in six months in an open access repository or publication. Making funds available to authors to pay for OA.

Policy: new focus on copyright

- Retention of rights is essential to the success of the self-archiving movement
- Related to problems with posting for electronic reserves and on author's websites
- A topic that has some appeal to faculty
 - [University of California proposal](#)
 - [MIT Proposal](#)

OA in 2006

- Open Access Journals
- Delayed Open Access Journals
- Mixed model journals
- Self-archiving

Open Access Journals

- Full Open Access Journals (DOAJ)
 - Most in social sciences, arts & humanities
 - Publish fewer editorial features
 - Half started publication in last decade
 - Supported by volunteer labor, classified advertising and grants

■ Kaufman-Wills, 2005

Delayed Open Access Journals

- Current content requires subscription while older content is free
 - Directory of Open Access Journals (239) = 2%
 - American Assn of Medical Colleges Journals (34) = 52%
 - Not for profit ALPSP* (60) = 74%
 - For Profit ALPSP (48) = 4%

*Association of Learned and Scholarly Society Publishers

Mixed Models

- If you pay, your article will be open access
 - *PNAS* charges \$1000 author fee to make item available immediately upon publication
 - Springer charges \$3000 author fee in it's *Open Choice* program
 - *Physiological Genomics* (APS) charges \$750 to make an article freely available (13% uptake)

Self-archiving

To self-archive is to deposit a digital document in a publicly accessible website, preferably an OAI-compliant Eprint Archive. Depositing involves a simple web interface where the depositor copy/pastes in the "metadata" (date, author-name, title, journal-name, etc.) and then attaches the full-text document.

Self Archiving

- Subject repositories:
 - arXiv.org: 360,731 e-prints in Physics, Mathematics, Computer Science and Quantitative Biology
- Institutional Repositories
 - U.S. repositories growing but most NOT for pre or postprints
 - UK Research Councils may require deposit in a repository

Open Access Business Models

- Author pays
 - \$750 for Physiological Genomics: \$1500 for PLoS; \$3000 for Springer
- Foundation Support
 - PLoS supported by Moore Foundation grant
- University Support
 - *Journal of Insect Science* published by University of Wisconsin Library
- Subscription and membership support
 - Delayed open access; society journals

Is OA a Success?

- From the authors' viewpoint:
 - *PLoS Biology* has an impact factor of 13.9
 - Several BioMed Central journals report high impact factors
 - Bioinformatics 5.42(2nd);
 - Genomics 3.25 (top 20%)
 - *Optics Express*: highest percent increase in total citations in the field of Physics

Is OA a Success?

- From the Author's viewpoint:
 - OA articles cited more frequently
 - But maybe it's only because higher quality articles more likely to be deposited in repositories or placed on individual's websites

Is OA an Economic Success?

- BMJ changed policy of completely open access because it was losing subscribers (now all free after 12 months; research articles always free)
- 41% of Full Open Access journals have a shortfall; 24% break even
- PLoS journals are still not self-supporting; would need to raise fees to \$3500 for professional edited journals and \$2500 for community journals

Is OA an Economic Success?

- Cornell study indicated larger institutions may incur substantial costs
- IOP study suggests arXiv articles are read, IOP articles are cited

Is OA a success? Societies say:

American Chemical Society, reacting to latest NIH proposal & CURES act:

“It will be difficult to maintain a cost-efficient, high-caliber peer review and permanent archiving system if scientific societies have just six months to recoup costs before mandating free access. The prospect of “free” access to literature may seem good, but high quality literature at an affordable price is better.”

- ACS President, E. Ann Nalley, March 2006

Is OA a success? Societies say:

American Fisheries Society

“Publications are the real breadwinners, regularly adding nearly 50% to our coffers annually” [If they moved to Open Access] the journal publication income stream would instantly evaporate...services [would be] reduced...no job listings...drop website and database management...what would I be getting for my membership dues?”

- *President’s column in Fisheries, March 2006*

Is OA a success? Another view:

Society for Neuroscience, announcing a move from a 12 month to a six month embargo

“The Society intends to be a leader in discussions about the future of science publishing, and The Journal [of Neuroscience] can serve as an example of the possibilities afforded by the technologies and trends that are radically reshaping the publishing field,” says Stephen Heinemann, president of the Society.

“Maintaining the excellence of The Journal and the mission of the Society to promote the absolute best science while providing public access will remain the highest priority as we plan for the future.”

- JNS, Winter 2006

Should we be concerned?

- OA Journals
 - Author pays model could be quite expensive for research institutions
 - Unless there is more competition, OA will not necessarily make journals more price sensitive
- Self archiving (and legislative mandates)
 - Societies are most vulnerable
 - If there is competition, then what happens next?

Librarian role

- Bone up on author's copyrights
- Stay informed
 - Journal cost effectiveness data
 - SPARC Open Access Newsletter
 - SPARC Open Access Programs
- Don't be lured by the rhetoric