

Open University Open Access event
Milton Keynes, 28 October 2014

Open Access: progress, promise and potholes

Alma Swan

SPARC Europe

Key Perspectives Ltd

Enabling Open Scholarship



The 'Subversive Proposal'

- arXiv started in 1991
- And still flourishes
- 27 June 1994: the Subversive Proposal
- Recommended that authors post their papers on anonymous ftp sites
- Free access to theirs peers



PROGRESS



What happened next

- World Wide Web



Vague but exciting...

CERN DD/OC

Information Management: A Proposal

Tim Berners-Lee, CERN/DD

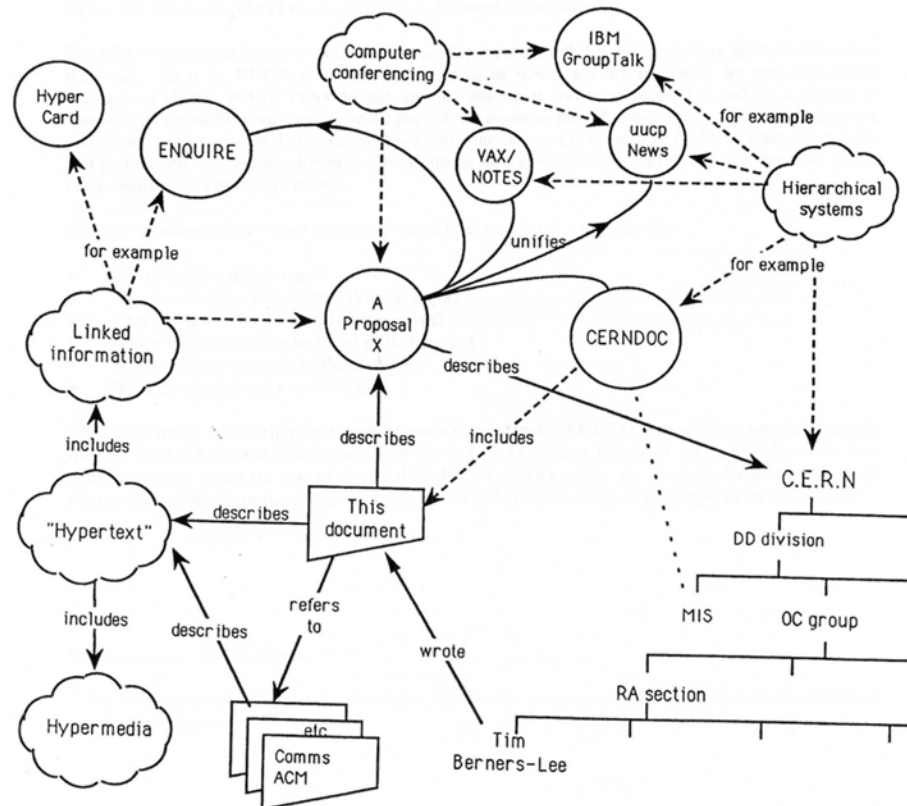
March 1989

Information Management: A Proposal

Abstract

This proposal concerns the management of general information about accelerators and experiments at CERN. It discusses the problems of loss of information about complex evolving systems and derives a solution based on a distributed hypertext system.

Keywords: Hypertext, Computer conferencing, Document retrieval, Information management, Project control



Vague but exciting ...

CERN DD/OC

Tim Berners-Lee, CERN/DD

Information Management: A Proposal

March 1989

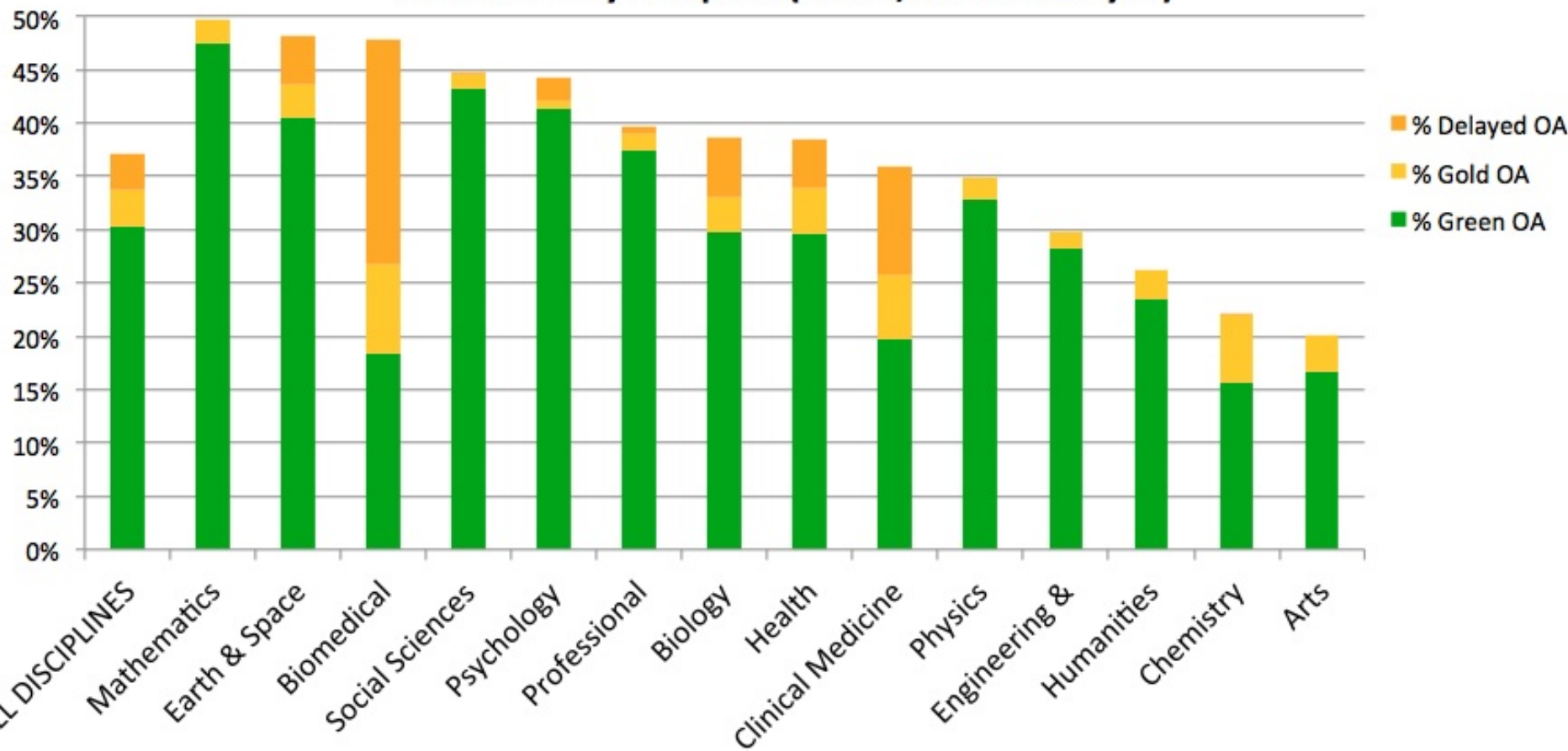
Information Management: A Proposal

Abstract

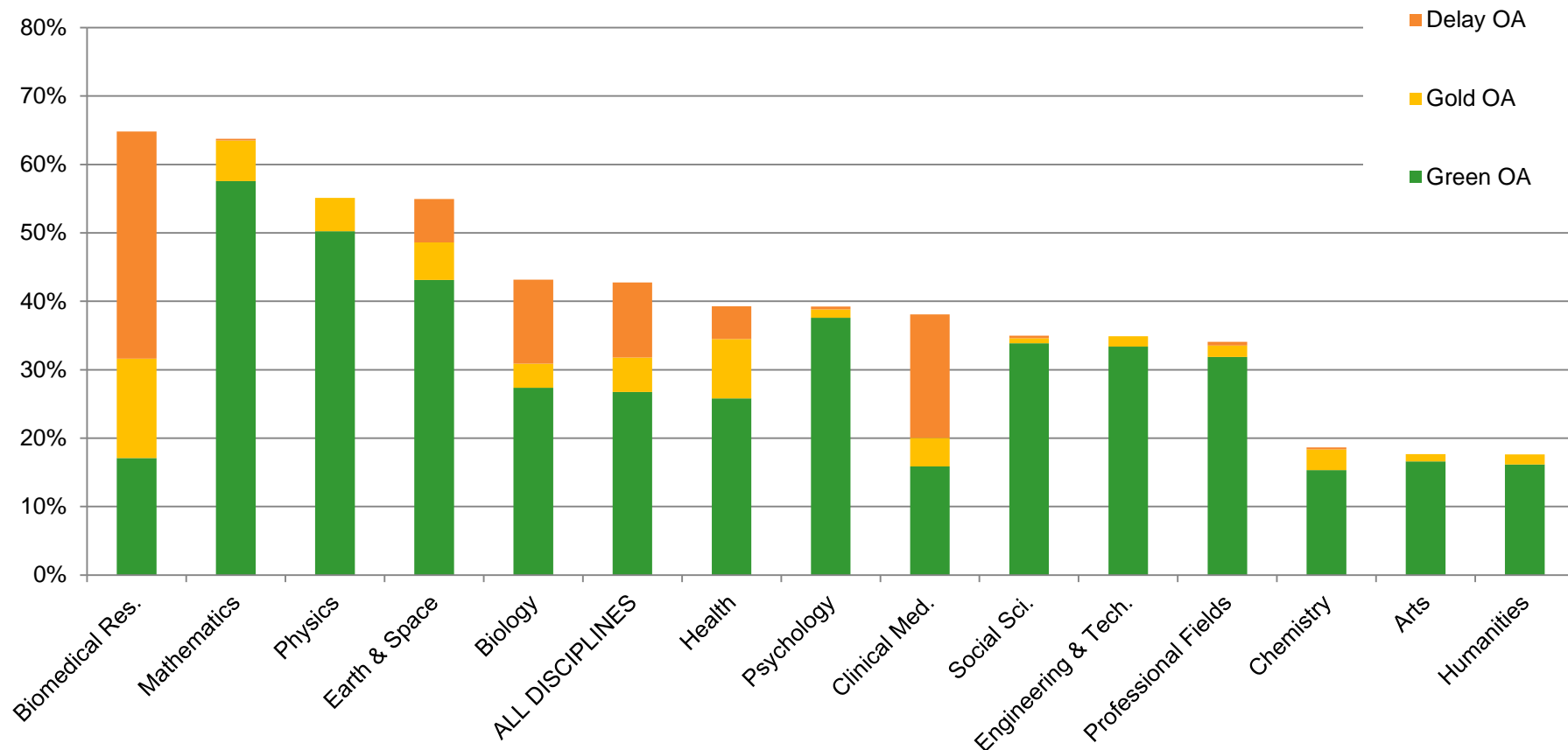
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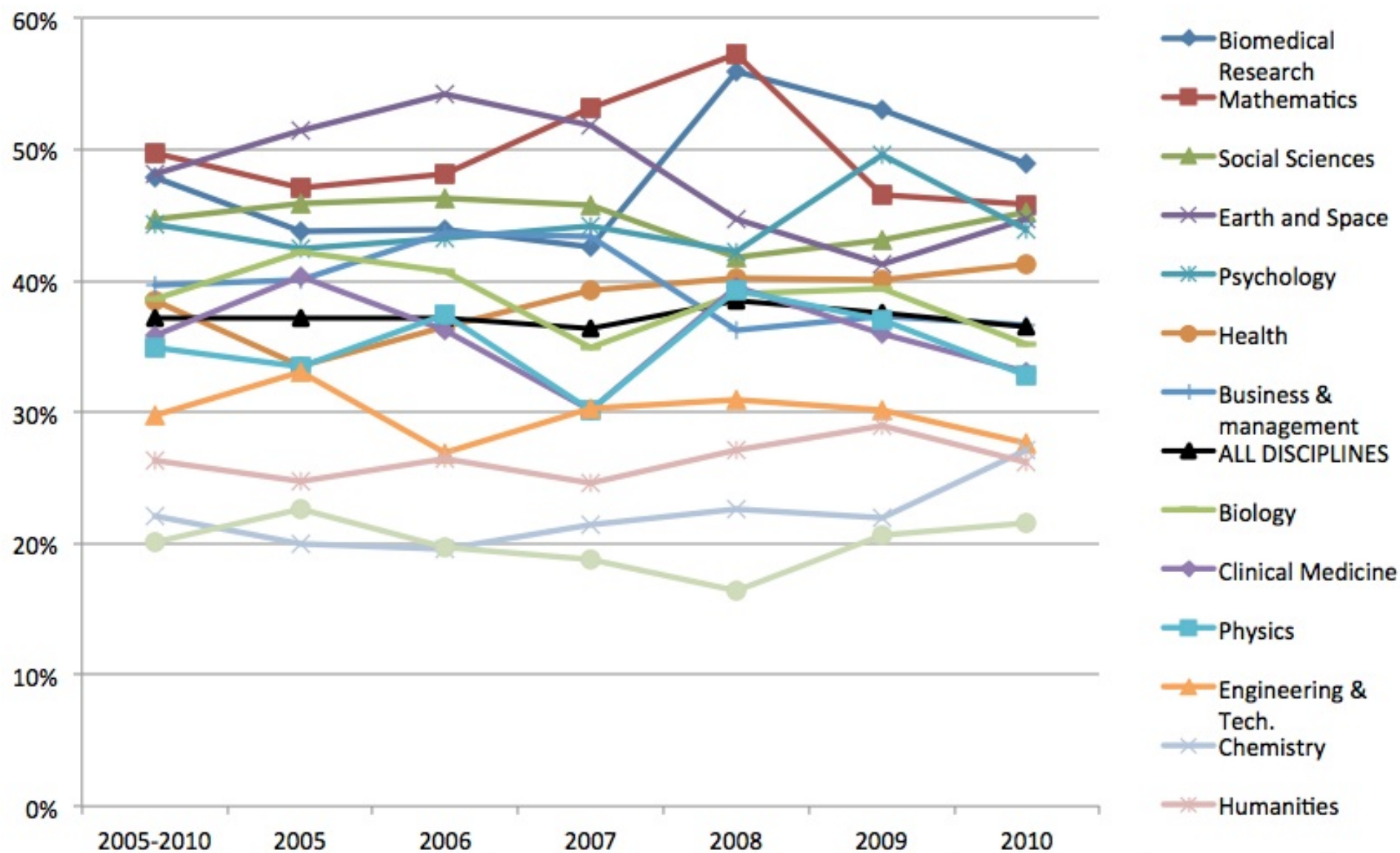


Percent OA by discipline (Green, Gold & Delayed)



Levels of OA in the UK





What happened next?

- Not a lot!



PROBLEMS



Why so low after 20 years?

Authors

- Lack of awareness
- Lack of understanding
- Overdose of misunderstandings
- Fear of repercussions
 - from publishers
 - or on their careers
- Reward systems in academia entrench conservative behaviour
- Glacial pace of academic adoption of the Web



Why so low after 20 years?

Publishers (some of them!)

- Hindrance
- Obstruction
- Obfuscation
- FUD

Why so low after 20 years?

Libraries

- Hooked into Big Deals
- Budgets frozen
- Policy made elsewhere
- Varying levels of buy-in to the notion of Open Access
- Preoccupation with issues that are not relevant

Why so low after 20 years?

Policymakers

- Slow to act
- Have lacked boldness
- Complacency: failure to monitor and enforce policy
- Though ... all this is changing now

PROMISE



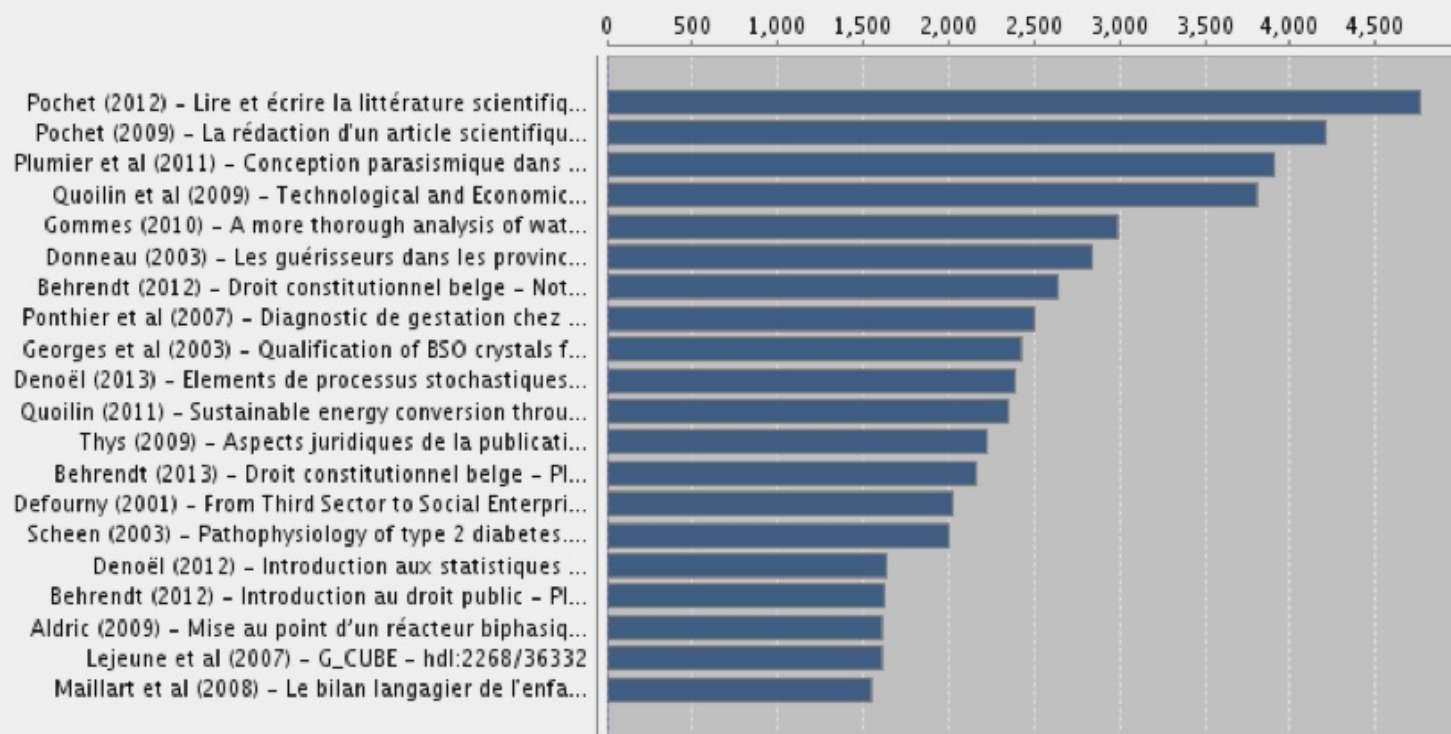
Clear benefits

- Benefits:
 - Visibility, usage, impact



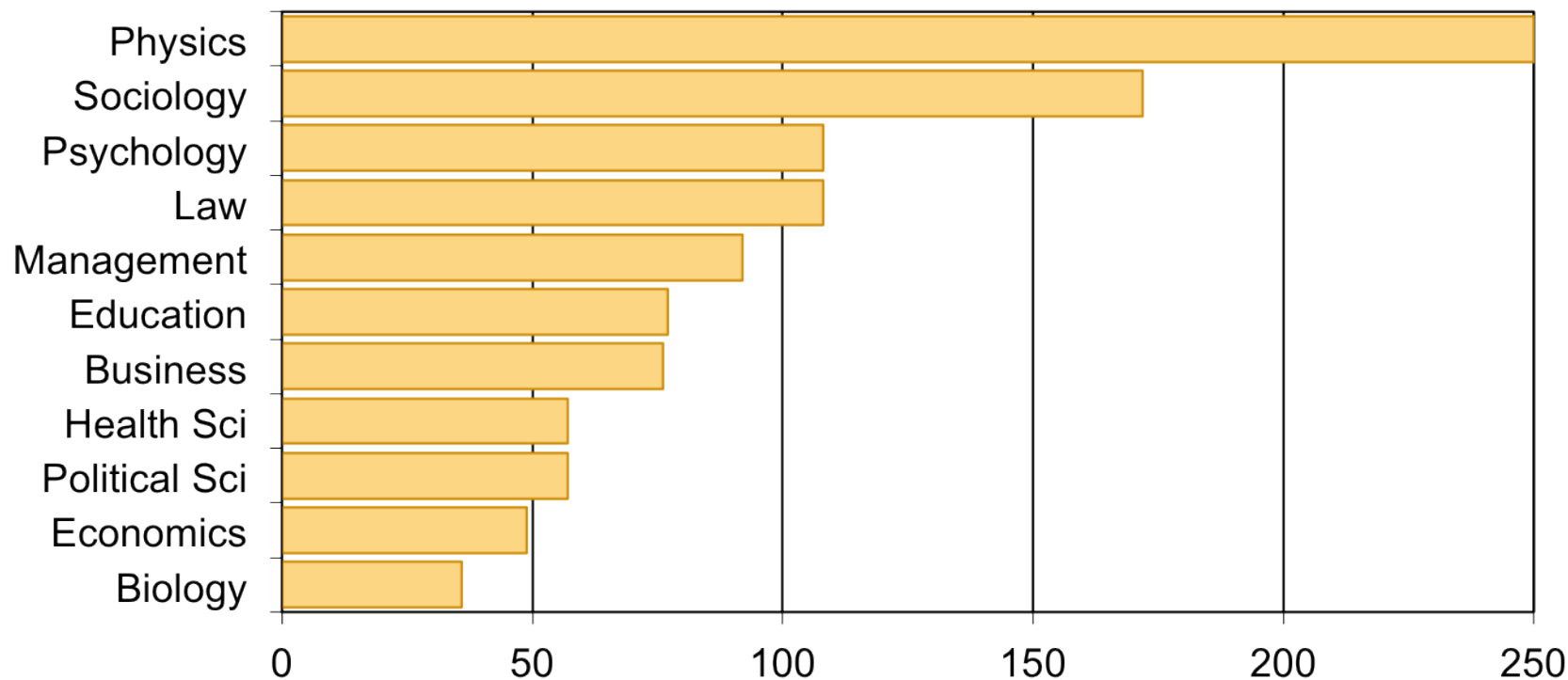
Individual article usage

The most consulted references (visualizations)



Data: ORBi (University of Liege, Belgium)

Citation impact



% increase in citations with Open Access

Range = 36%-200%

(Data: Stevan Harnad and co-workers)

Benefits to all stakeholders

- Benefits to authors:
 - Visibility, usage, impact
 - More efficient research
 - Better research process (no duplication, no 'culs de sac', more confidence in lines of research)
 - Part of the new modus operandi for the digital scholar
- Benefits to institutions:
 - Mission
 - Visibility, usage, impact
 - Monitoring and assessment
 - Competitive intelligence
 - Outreach, return on investment
 - Funding
- Benefits to funders:
 - Monitoring and assessment
 - Return on investment



Benefits

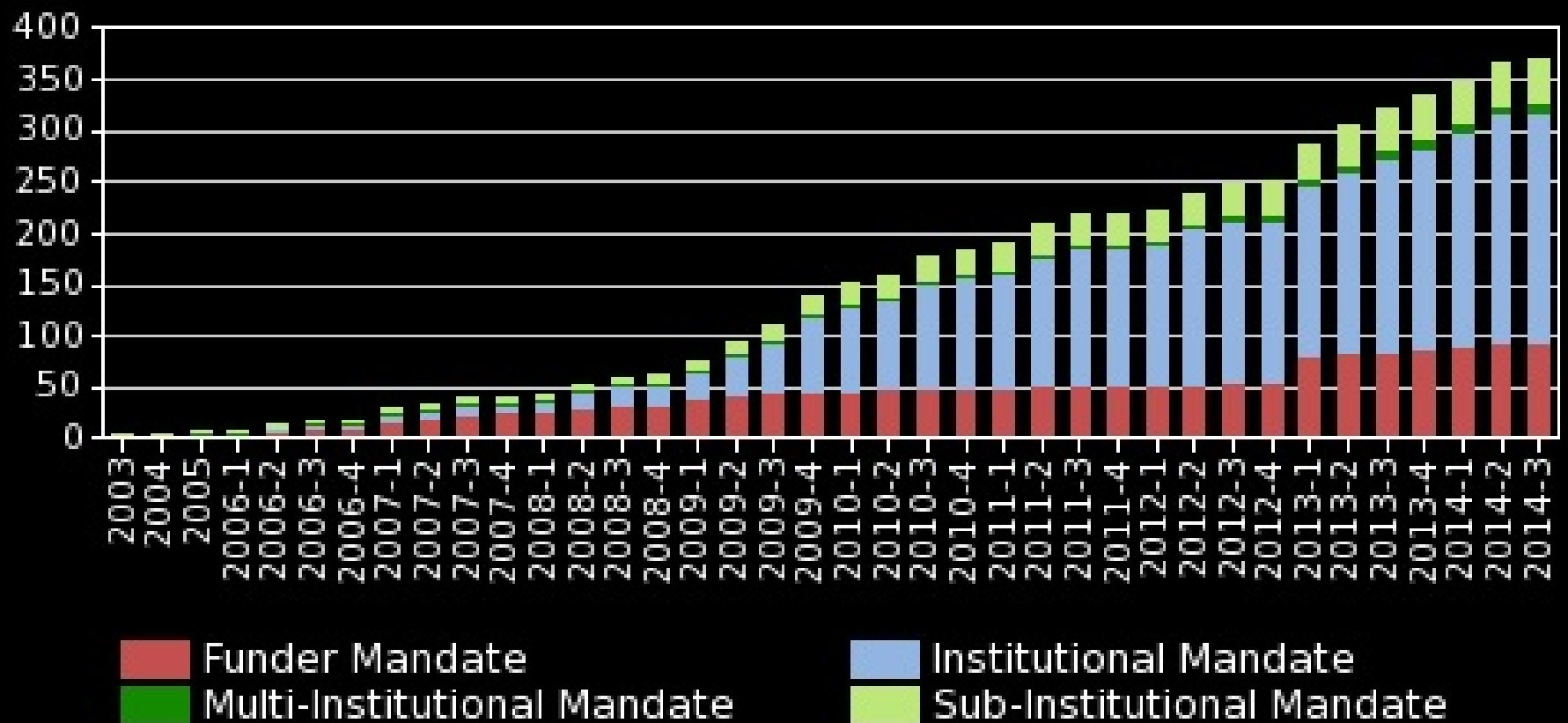
Focus	Authors	Institutions	Funders
Impact (visibility, usage, citations, re-use)	✓	✓	✓
Better research process	✓	✓	✓
Mission		✓	✓
Management information		✓	✓
Competitive intelligence	✓	✓	✓
Outreach, return on investment	✓	✓	✓
Funding	✓	✓	

Policy

- 222 institutional policies
- 44 sub-institutional policies
- 90 funder policies
- Europe:
 - H2020 Rules have a mandatory OA policy
 - Recommendation to Member States (2012)
- US: OSTP directive to federal agencies
- UK: RCUK and HEFCE policies



Open Access policies



Optimal policy

- Require deposit of peer-reviewed research into repository
- Require deposit immediately upon acceptance for publication
- Permit full-text embargo as necessary, but metadata must be open
- Link deposit to research/performance evaluation

Infrastructure

- Print > electronic
- Hyperlinking



Infrastructure



CERN Document Server

Over **800,000** bibliographic records, including **360,000** fulltext documents,
of interest to people working in particle physics and related areas.

Covers preprints, articles, books, journals, photographs, and much more.

Search 863,809 records for:

[Search Tips](#) :: [Advanced Search](#)

Narrow by collection:

- ☒ [Articles & Preprints](#) (711,647)
 - [Published Articles](#) (266,642) [Preprints](#) (360,860) [Theses](#) (42,934)
 - [Reports](#) (5,453) [CERN Internal Notes](#) (10,647) [Committee Documents](#) (26,740)
- ☒ [Books & Proceedings](#) (57,463)
 - [Books](#) (33,469) [Proceedings](#) (16,443) [Standards](#) (7,551)
- ☒ [Presentations & Talks](#) (13,712)
 - [Conference Announcements](#) (12,692) [Academic Training Lectures](#) (526) [Summer Student Lectures](#) (386) [General Talks](#) (31)
 - [Videos](#) (200)

Focus on:

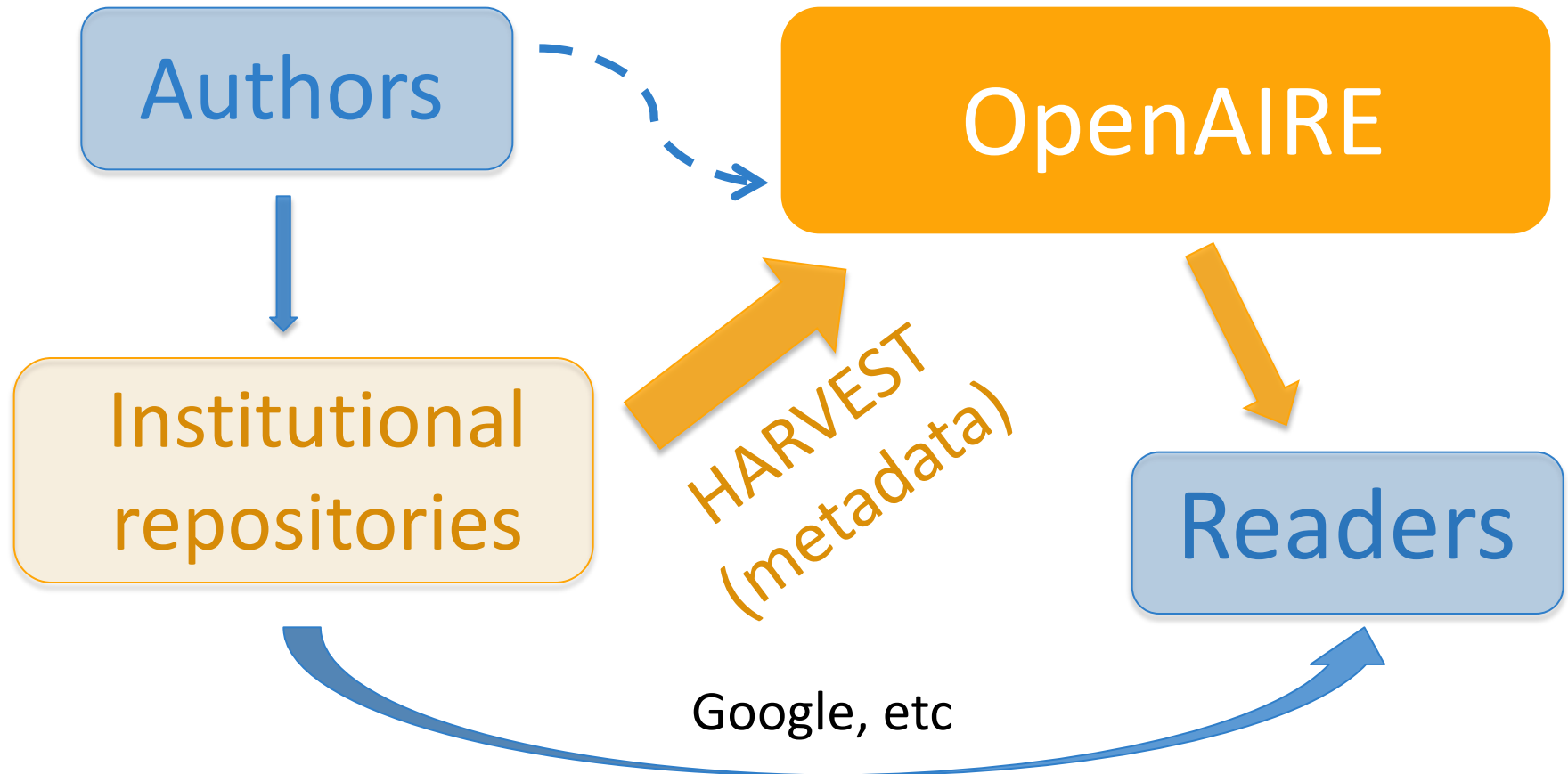
[CERN Articles & Preprints](#) (89,324)
[CERN Published Articles](#) (47,172) [CERN Preprints](#) (11,971) [CERN Theses](#) (2,482) [CERN Reports](#) (1,059) [Committee Documents](#) (26,740)
[CERN Series](#) (1,974)
[CERN Yellow Reports](#) (1,097) [Academic Training Lectures](#) (526) [Summer Student Lectures](#) (386) [General Talks](#) (31)
[CERN Departments](#) (62,031)
[Accelerator Technology \(AT\)](#) (4,591) [Accelerators & Beams \(AB\)](#) (14,995)
[Finance \(FI\)](#) (693) [Human Resources \(HR\)](#) [Information Technology \(IT\)](#) (2,135)
[Physics \(DP\)](#) (25,026) [Secretariat General \(SG\)](#) (6,338) [Technical Support](#)



Infrastructure

- Print > electronic
- Hyperlinking
- Linked open data(?)
- Interoperability (work in progress)
 - Deposit
 - ID
 - Licensing
 - Preservation
 - etc, etc

OA infrastructure for EU research



PROMISE



Areas of further promise

- Policy
- Books (and the humanities in general)
- Data
- Institutional responsibility
- Author interest and activity

Policy

- Growing in number
- Mandatory
- Supported by good implementation
- Convergence, alignment



Humanities

- Huge increase in interest
- Lots of new developments
 - OA journals
 - OA monographs


OPEN HUMANITIES PRESS


Open Access
Publishing in European Networks


Ju[ubiquity press
open scholarship

OpenBook
Publishers 



Knowledge Unlatched 



Humanities

- Huge increase in interest
- Lots of new developments
 - OA journals
 - OA monographs
- Funder and institutional initiatives
 - Institutional publishing (university presses)
 - Covering costs
- Technical initiatives
 - e.g hypothes.is

Open Data

- Massive interest
- The basis of open scholarship in the future
- Funders rapidly developing policy to support Open Data implementation
- UK's research councils already ahead of the game
- Open Data pilot for H2020
- Lots of infrastructure already





UK Data Service



GitHub

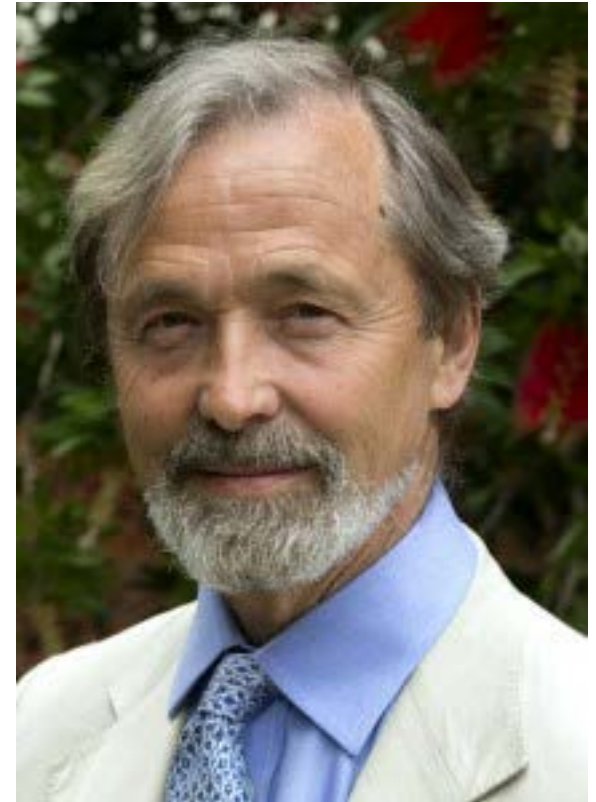
SOURCEFORGE



Geoffrey Boulton (Edinburgh)

On the ability to create, store and manipulate data ...

“It is a world historical event that is changing the lives of individuals, societies and economies. It has major implications for science, research and learning that are far more profound and pervasive than those of the earlier, analogous revolution in data storage and human communication, that of Gutenberg’s invention of the printing press in the 1430s.”



POTHOLES



Issues and challenges

- Institutional and funder responsibilities
- Humanities and Social Sciences
- Data:
 - Preservation and curation
 - Development of appropriate data management practices
- Licensing practices and copyright
- Sustaining the new system



Humanities and Social Sciences

- Society publishers
- The monograph
- University-based publishing:
 - A resurgence of the university press?
 - Scholar-led publishing:
 - Journals
 - Books

Open Data

- Preservation and curation
- Development of appropriate data management practices



Responsible licensing

- Authors: gain awareness of the issues and act in the interest of openness (and yourselves!)
- Do not sign agreements with publishers that limit OA or obstruct its aims
- Libraries: Own and govern Green OA - research results belong to the research community, not to service industries
- TDM

Paying for Open Access

- Manage your APC fund to benefit OA
- Encourage author responsibility
- Make sure you get value
- Don't let the Big Deal morph into the **Big OA Deal**
- Encourage attempts to deconstruct the publishing process and pay for the component services

Sustaining the Open Access system

- Service infrastructure
- Many services began as projects
- Sustainability plans not always robust
- May not be workable in the longer term
- First steps being taken to address this issue
- Institutions and funders have roles and responsibilities here



Daniel Coit Gilman

First President, Johns Hopkins University, 1876

“It is one of the noblest duties of a university to advance knowledge and to diffuse it, not merely among those who can attend the daily lectures, but far and wide.”



Thank you

almaswan3@gmail.com

www.spareurope.org

www.openscholarship.org

www.pasteur4oa.eu

