

What is Open Access? An Overview

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Definition of “open access”

Open-access (OA) literature is

1. Digital
2. Online
3. Free of charge for everyone with an internet connection
4. Free of most copyright and licensing restrictions

Refinements

- Online...but compatible with print editions
- Free...but compatible with priced enhancements
- Flexibility about which permission barriers to remove
 - Allow commercial re-use? Derivative works?
- A kind of access, not a kind of business model
 - Compatible with many business models, not "one size fits all"

BBB definition

- Budapest Open Access Initiative (February 2002)
 - <http://www.soros.org/openaccess/>
- Bethesda Statement on Open Access Publishing (June 2003)
 - <http://www.earlham.edu/~peters/fos/bethesda.htm>
- Berlin Declaration on Open Access to Knowledge (October 2003)
 - <http://www.zim.mpg.de/openaccess-berlin/berlindeclaration.html>

Separate essentials

(Essential to good scientific publishing,
separate from open access.)

- Peer review
- Preservation, inc. deposit, XML, LOCKSS
- Interoperability
- Truth, clarity, and punctuation

Legal basis of OA

- Public domain (copyright waived or expired)
- Copyright-holder consent
 - The typical case
 - Consent to unrestricted reading, downloading, copying, sharing, storing, printing, searching, linking, crawling
 - Consent with Creative Commons or similar license
 - No need to abolish, reform, or violate copyright law

Science is the low-hanging fruit

- Scientists already consent to publish research articles without payment
 - Not true of most books, music, film, software...
 - OA to articles requires no sacrifice that scientists aren't already making
- Two kinds of higher-hanging fruit
 - Persuade authors not now consenting to consent
 - Copyright reform (first-sale for digital content, restore fair-use rights, protect public domain)

Origin of OA movement

- Tradition of researchers writing articles for impact, not money
 - Since first scientific journals in 1665
 - Reduces cost of publication
 - Lets authors consent to OA without losing money
- Opportunities created by the internet
 - Reduces cost of publication
 - Increases scope of distribution
- Pricing crisis
- Permission crisis

The permission crisis

- No ownership, just licensing
- No migration to new media and formats
- No long-term storage without special permission or payments
- No donations, no inter-library loans
- No access without the right password, IP address, usage hours, institutional affiliation, physical location, number of simultaneous users, or ability to pay
- No anonymous inquiry if you must accept cookies or registration
- No subscriptions when you can't negotiate acceptable terms
- No elbow room: hemmed in by fair-use judgment calls; fear of liability; permission delays, doubts, and fees; tech locks even for non-infringing uses

Vehicles of open access

- Archives or repositories
 - No peer review
 - Institutional or disciplinary
 - Preprints and postprints
 - Interoperable through OAI protocol (Open Archives Initiative)
 - Open-source software
 - Easy to launch; no waiting, no investment
- Journals
 - Peer review
 - More difficult to launch or convert
- Other
 - Personal web sites, ebooks, blogs, listservs, P2P, RSS...

Funding OA: Archives

- Open-source software
- Tiny part a technician's time
- Optional staff time to evangelize, assist
- Server space at a university
- Direct benefit to any institution hosting an archive for its own research output
 - Enhances visibility and impact of papers, authors, institution

Funding OA: Journals (1)

- OA journals charge dissemination fees, not access fees
 - Paid by *author-sponsors* (universities, labs, foundations, governments), not *reader-sponsors* (libraries)
 - Pay for outgoing articles, not incoming articles
 - The cost of dissemination is part of the cost of research
 - Benefits of OA worth paying more for, but in fact cost less
 - We can have wider distribution and lower costs at the same time

Funding OA: Journals (2)

- Some pay for all, not just for their own private access or consumption
 - Same model used for TV and radio
 - Funders could be moved by good will, self-interest, or some combination
 - Even more sustainable for scholarly journals with donated intellectual property and lower expenses

Funding OA: Journals (3)

- OA subsidy only covers the essentials
 - Peer review, manuscript preparation, OA dissemination of full-text
- Publishers could sell priced editions and services
 - Enhanced edition: print, reference links, pretty formatting...
 - Auxiliary services: current awareness, recommendation service, customization...

OA journal fees

- Cost of peer-reviewing, editing, preparing, publishing that article
- Cost of reviewing rejected articles
- Cost of waiving fees in cases of economic hardship
- Cost of overhead
- Mark-up for profit/surplus?
- Mark-up for prestige, impact-factor, what the market will bear?

Will OA journals cost less?

- OA journals needn't pay for
 - Print
 - DRM (authenticating users, distinguishing authorized from unauthorized, blocking access to latter)
 - Subscription management (soliciting, tracking, renewing subscribers)
 - Fee processing (negotiating, collecting subscription fees)
 - Licensing (drafting, negotiating, enforcing)
 - Marketing
- OA journals will need to pay for
 - Handling processing fees (negotiating, waiving, collecting)

Business model, further reading

- Archives and repositories
 - *SPARC Institutional Repository Checklist & Resource Guide*
 - http://www.arl.org/sparc/IR/IR_Guide.html
- Launching new OA journals
 - *OSI Guide to Business Planning for Launching a New Open Access Journal*
 - http://www.soros.org/openaccess/oajguides/html/business_planning.htm
- Converting traditional journals to OA
 - *OSI Guide to Business Planning for Launching a New Open Access Journal*
 - http://www.soros.org/openaccess/oajguides/html/business_converting.htm

UK report recommendations

(Top 6 of 82 specific recommendations)

- Fund institutional repositories at all UK universities
- Govt funding agencies should require OA archiving
- Study “author pays” OA journals, set up fund to pay processing fees
- Study impact of letting authors retain copyright
- Fund British Library to preserve digital scholarship
- Office of Fair Trading should monitor journal prices

UK report

- Written by House of Commons Science and Technology Committee
- Released July 20, 2004
- Based on four public hearings; all testimony also published
- Not a legislative proposal
- <http://www.publications.parliament.uk/pa/cm200304/cmselect/cmsctech/399/39902.htm>

NIH OA plan

- OA for published articles based on NIH-funded research
 - *Where?* PubMed Central
 - *When deposit?* Upon acceptance
 - *When OA?* Six months after publication (earlier with journal consent)
 - *Which version?* Peer-reviewed but not necessarily copy-edited (latter with journal consent)
 - *Mandated?* Hard to say...

NIH plan, common misunderstandings

- Will not require publication in OA journals
- Will not tell publishers what to accept or how to conduct peer review
- Will not amend copyright law or interfere with copyright transfer

Will the NIH plan kill subscriptions?

Reasons to think not

1. Six month embargo protects journals.
2. Doesn't apply to final, edited version.
3. Most issues of most journals contain more than NIH-funded research articles.
4. Some journals report increased subscriptions from delayed OA, e.g. ASCB's *Molecular Biology of the Cell*.
5. Experience in physics may transfer.
6. Most journals already consent to postprint archiving without any delay.

NIH plan

- Requested by House Appropriations Committee, July 14
- Proposed by NIH, September 3, 2004
 - Comment period expires November 16
- My FAQ,
<http://www.earlham.edu/~peters/fos/nihfaq.htm>

Thank you

Home

<http://www.earlham.edu/~peters>

OA Overview

<http://www.earlham.edu/~peters/fos/overview.htm>

OA Blog

<http://www.earlham.edu/~peters/fos/fosblog.html>

OA Newsletter

<http://www.earlham.edu/~peters/fos/newsletter/archive.htm>

What you can do

<http://www.earlham.edu/~peters/fos/lists.htm#do>

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