



# Authors' perspectives on open access: effective ways to achieve OA

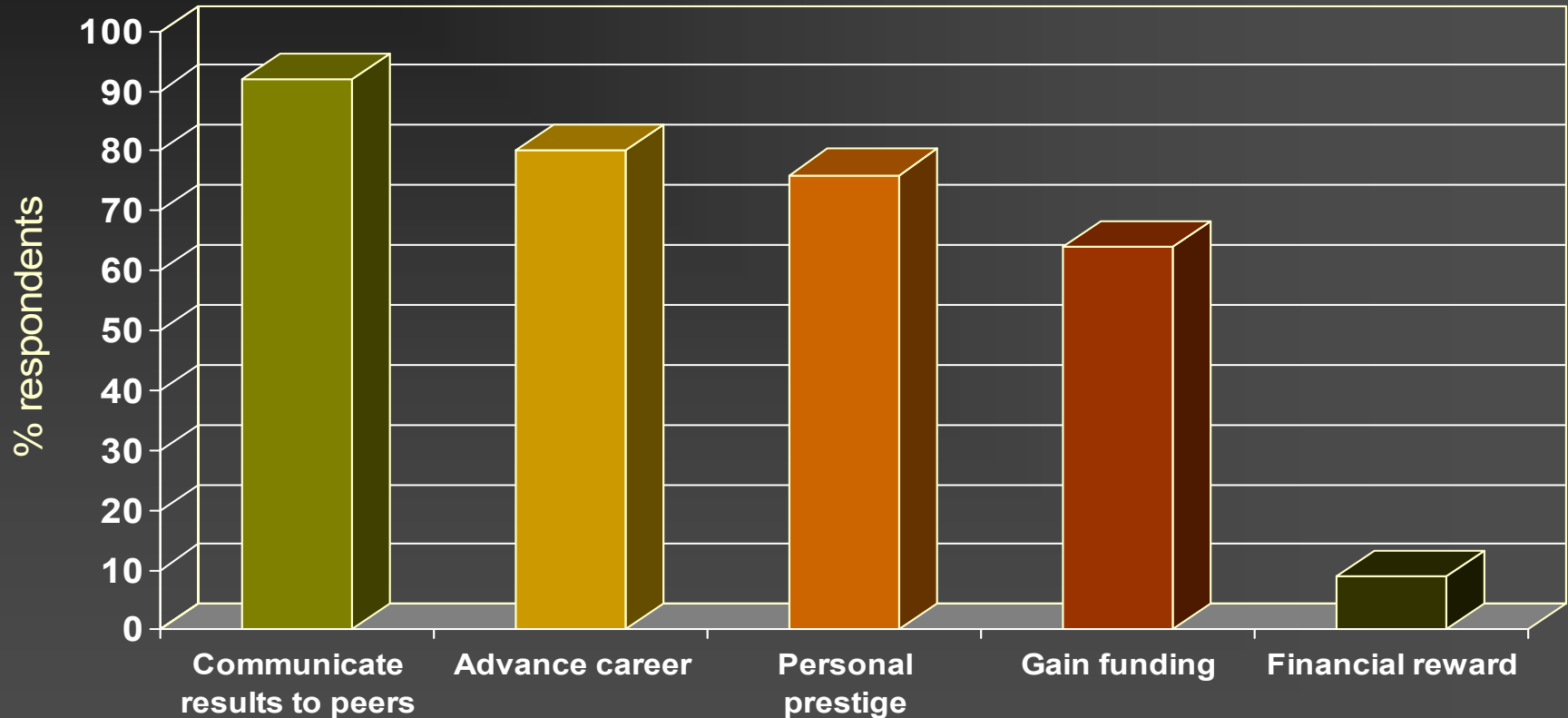
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Alma Swan  
Key Perspectives Ltd  
Truro, UK

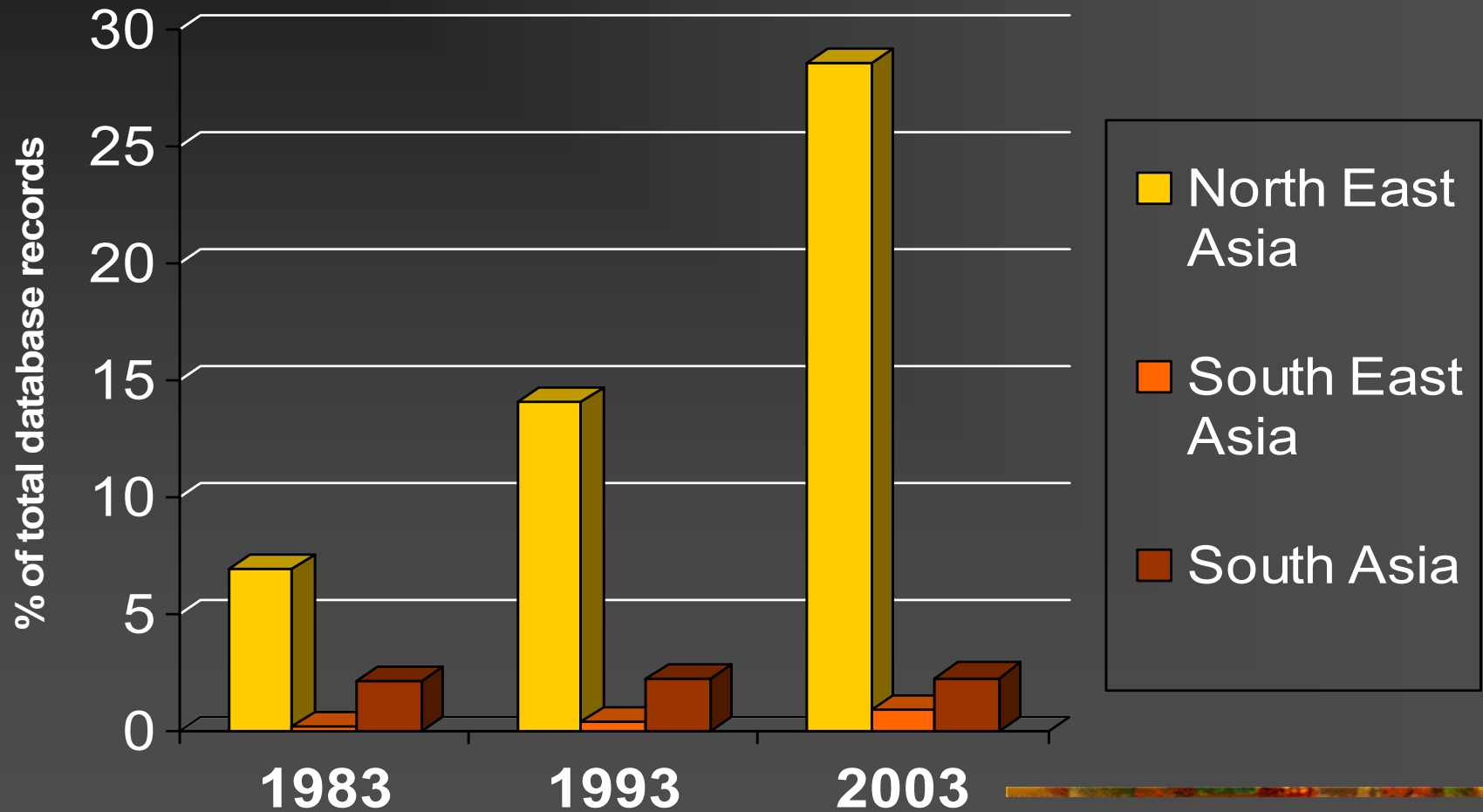
我很荣幸受邀来北京演讲。

希望我的演讲能给您提供一些有用的信息。

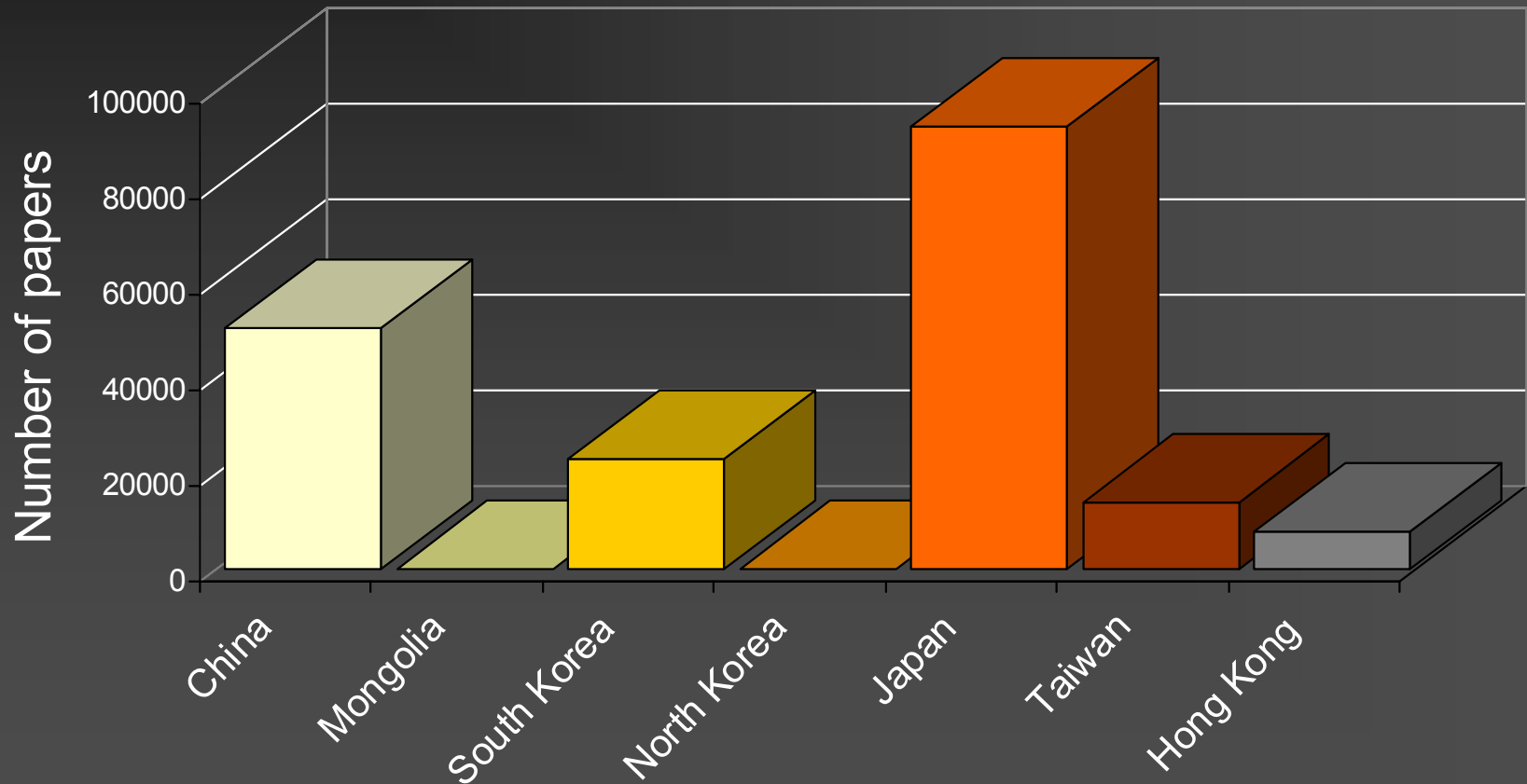
# Why researchers publish their work



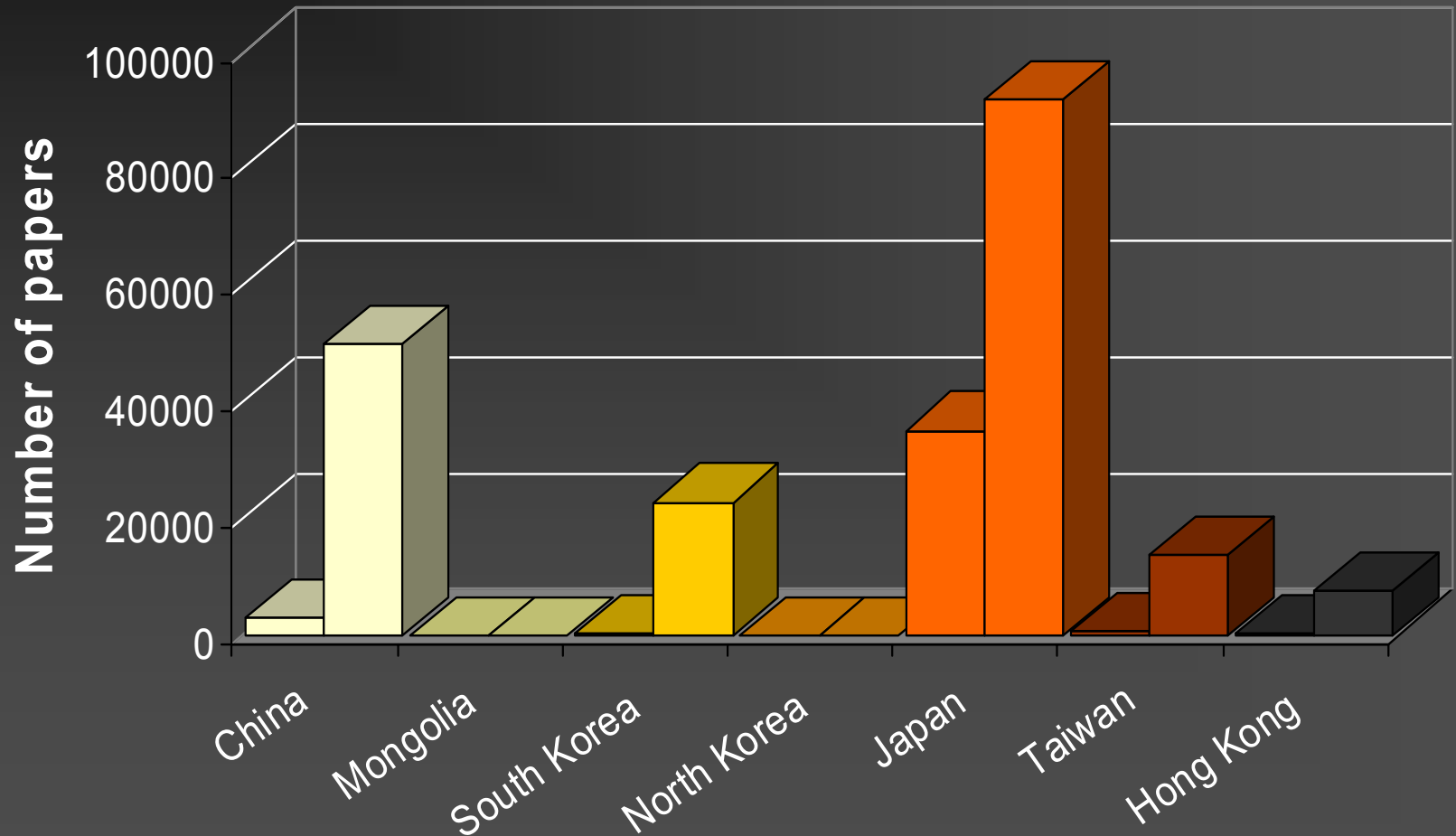
# Asian science output



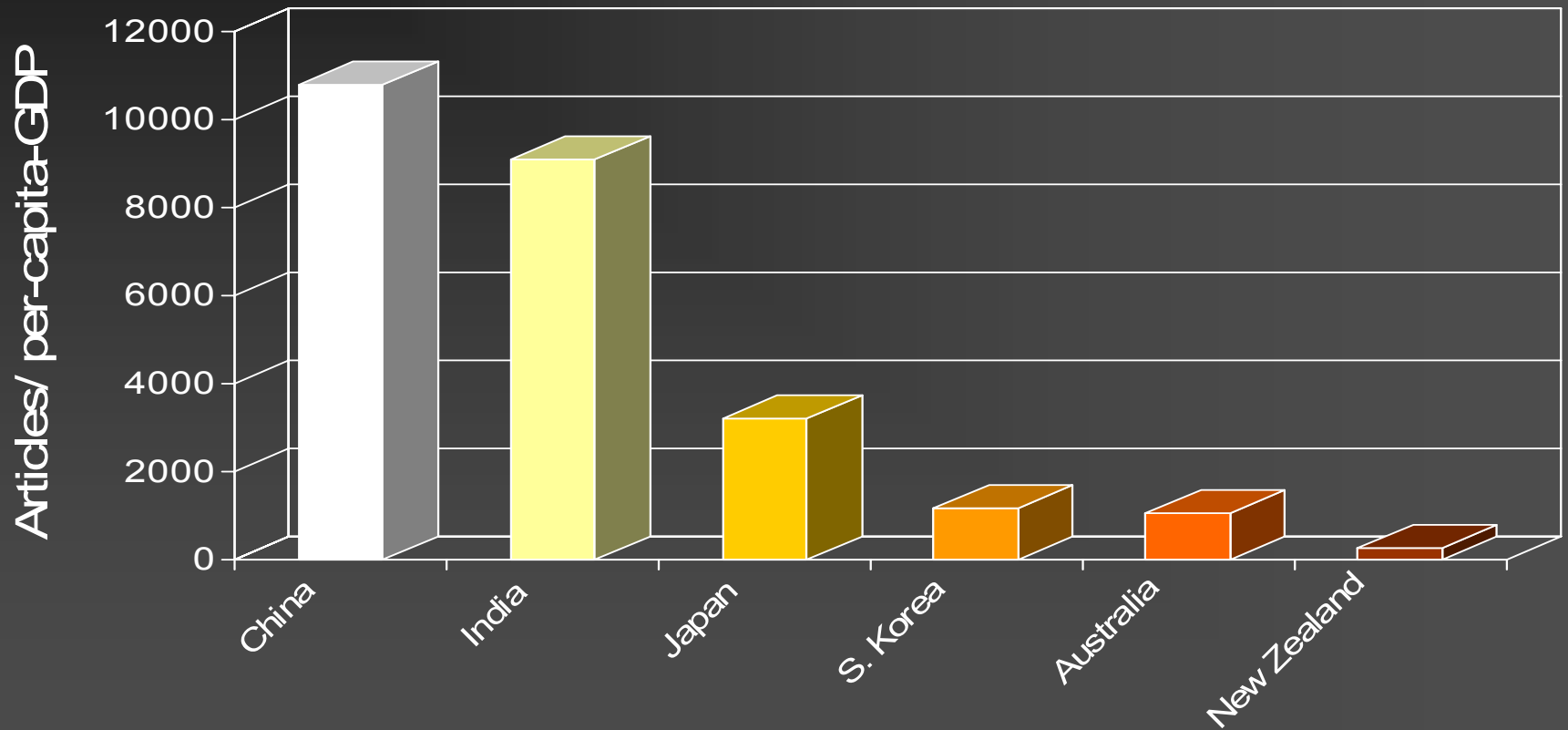
# North East Asia: papers published in 2003



# Papers published 1983/2003



# Scientific productivity

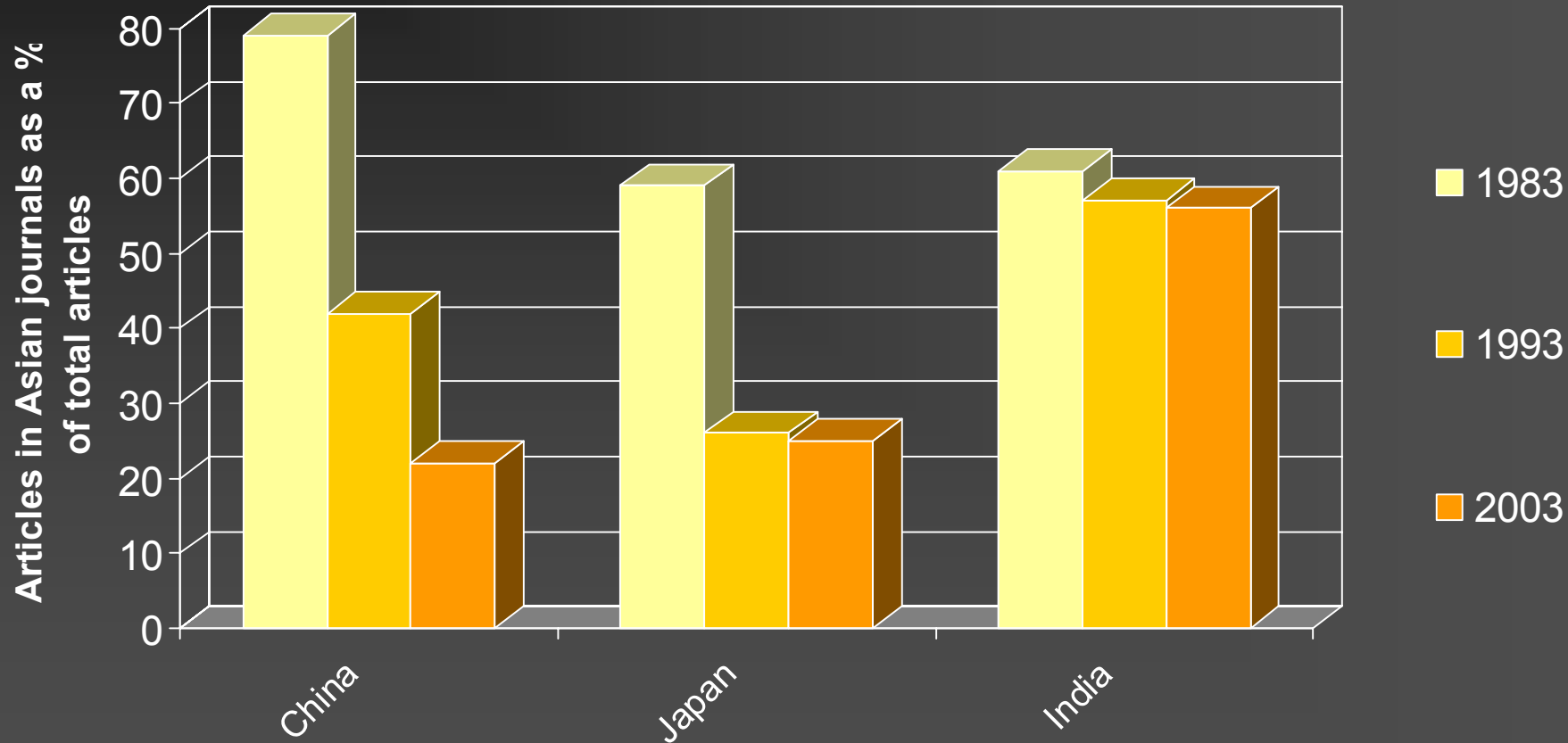


# Chinese science output (indexed in the SCI)

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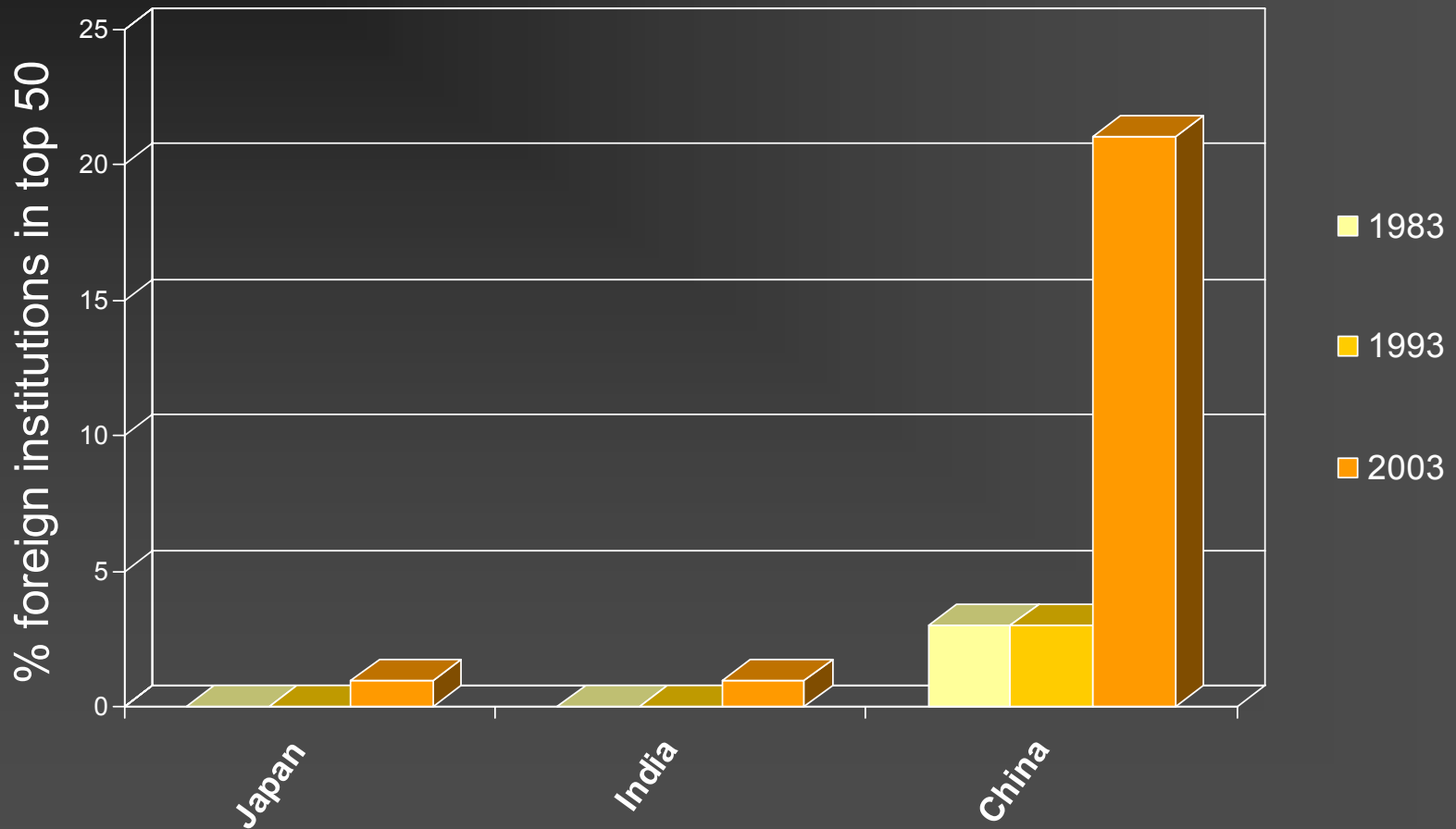
- 1983: 3,000 articles
- 2003: 50,000 articles
- % increase: 1,500%

# To increase visibility (i): International journals





# To increase visibility (ii): International collaboration



# But, visibility is still poor overall

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- Citation indexes are very selective
- 2000 Chinese university journals
- In Year 2000, 63 Chinese journals were indexed in the SCI, of which...
- ...only 4 were Chinese university journals

# Open access increases visibility

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- Publish in an open access journal
- Self-archive articles in an institutional or subject repository (or on the Web)

# What are Chinese authors doing about open access journals?

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- Of 1,500 open access journals:
  - 131 are from Asia
  - 4 are from China
- Of 31,000 articles in these 131 journals:
  - 11,100 are from Japan
  - 6,500 are from India
  - 3,400 are from China

# How authors can self-archive

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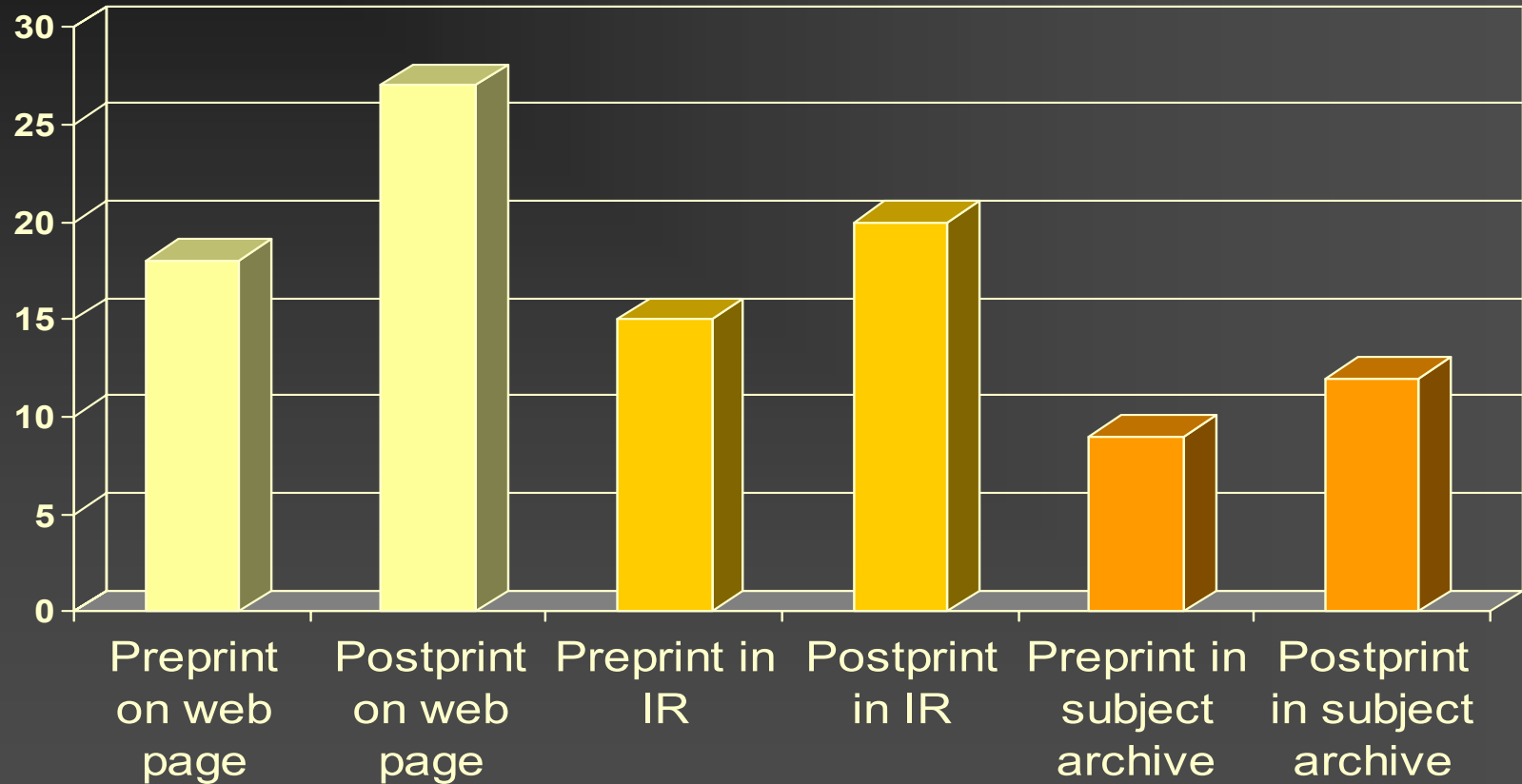
- Place article on web page
- Place article in institutional repository
- Place article in subject-based repository

# What are Chinese authors doing about self-archiving?

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- 4 open access repositories
- (India 9, Japan 5)
- 2 in Hong Kong
- 1 theses only

# Overall self-archiving activity level



# What discourages self-archiving?

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- “ I worry about copyright infringement”



# Publisher permissions

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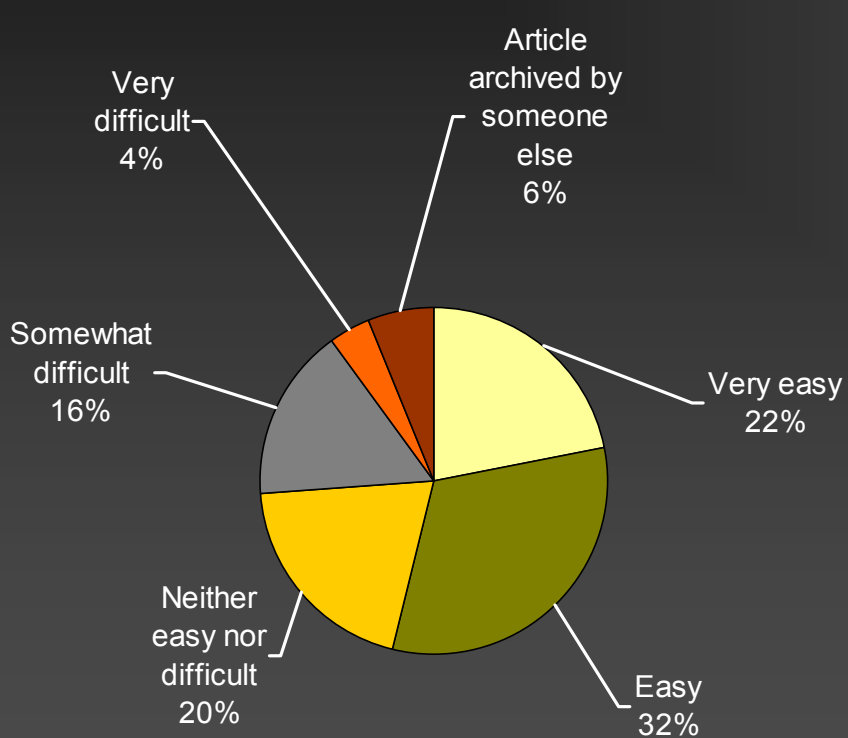
- 92% of journals permit self-archiving
- SHERPA/RoMEO list at:  
[www.sherpa.ac.uk/romeo.php](http://www.sherpa.ac.uk/romeo.php)
- Or at: <http://romeo.eprints.org/stats.php>

# What discourages self-archiving?

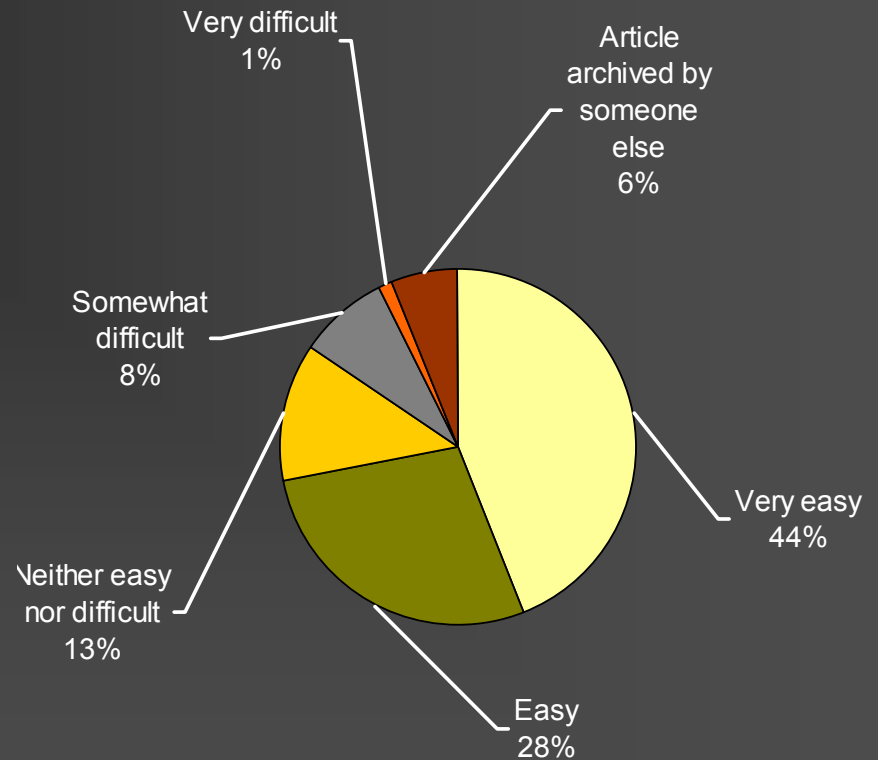
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- “I worry about copyright infringement”
- “It will be too difficult”

# Ease of depositing an article



First deposition



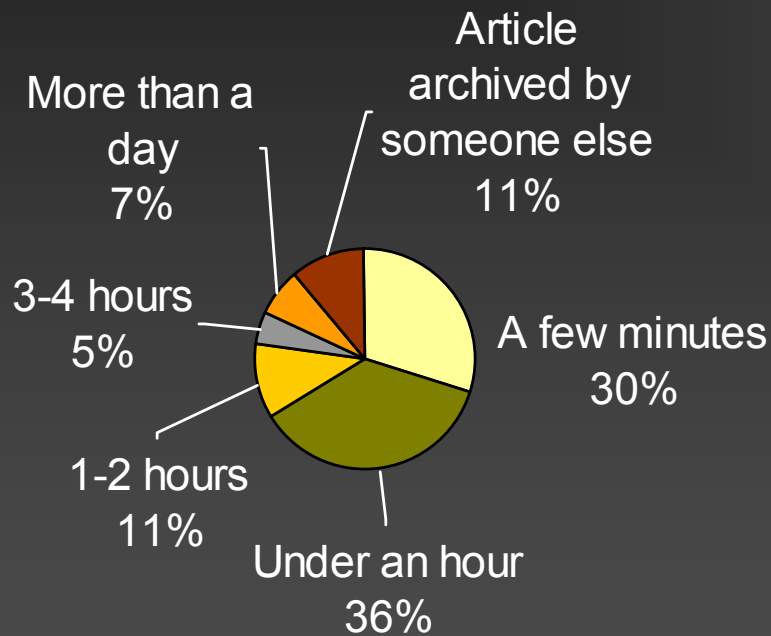
Subsequent depositions

# What discourages self-archiving?

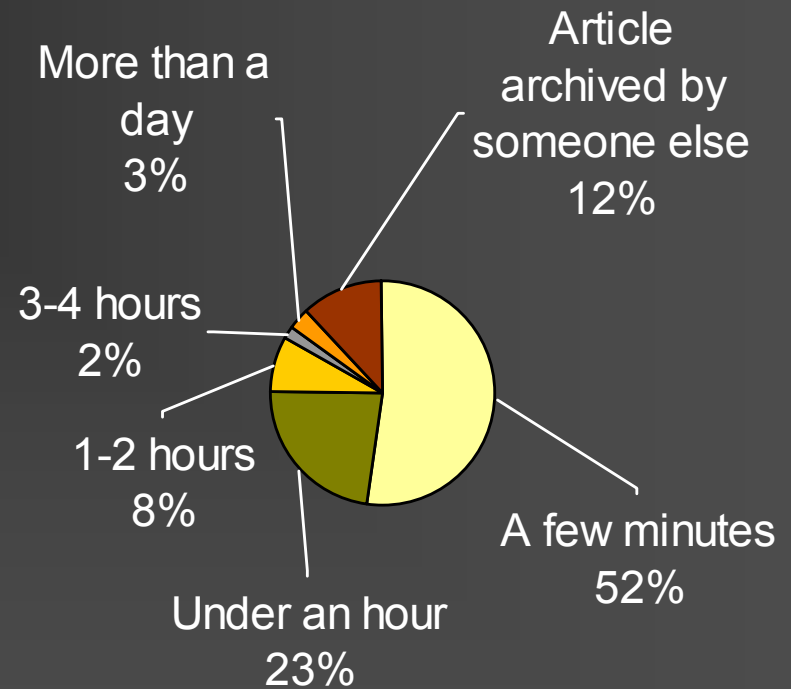
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- “I worry about copyright infringement”
- “It will be too difficult”
- “It will take too long”

# Time taken to deposit an article



First deposition



Subsequent depositions

# What discourages self-archiving?

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- “I worry about copyright infringement”
- “It will be too difficult”
- “It will take too long”
- “My society may suffer”

# Learned societies publishing physics journals in areas covered by arXiv

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- American Physical Society:
  - *Physical Review D*
  - *Physical Review C*
  - *Nuclear Physics*
  
- Institute Of Physics Publishing (UK):
  - *Classical & Quantum Gravity*
  - *Journal of High Energy Physics*
  - *Journal of Physics G*
  - *J. Cosmology & Astroparticle Physics*

# “How many subscriptions have you lost as a result of arXiv?”

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- APS: “None”

- IOPP: “None”



“Do you view arXiv as a threat?”

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APS:

“We don't consider it [arXiv] a threat.

We expect to continue to have a symbiotic relationship with arXiv. As long as peer review is valued by the community (and it seems to be), we will be doing peer review.”

# What can encourage self-archiving?

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- Highlighting the increased visibility and impact

# Open access increases citations

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- Lawrence 2001 (computer science)
- Kurtz 2004 (astronomy)
- Brody & Harnad 2004 (all disciplines)
- Antelman 2005 (philosophy, politics, electrical & electronic engineering, mathematics)

# An author's testimony

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“Self-archiving in the PhilSci Archive has given instant world-wide visibility to my work. As a result, I was invited to submit papers to refereed international conferences/journals and got them accepted.”



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Repository-wide statistics: [\[by Year/month\]](#) [\[by Country\]](#)

#### Abstract views and document downloads for past 4 weeks

	Abstracts	Downloads
Views	0	15

#### Views by country (derived from IP address of query) for past 4 weeks

Country	Abstracts	Downloads
Australia	0	5
Turkey	0	3
United States	0	3
Japan	0	3
Saudi Arabia	0	1

#### History of views for this ePrint

Period	Abstracts	Downloads
<a href="#">2005 Jan</a>	0	15
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<a href="#">2004 Nov</a>	5	1
<a href="#">2004 Oct</a>	4	1

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# What can encourage self-archiving?

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- Highlighting the increased visibility and impact
- Requiring authors to self-archive

# The mandates are appearing

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- NIH
- Wellcome Foundation
- CNRS
- INRA
- RCUK
- Individual institutions – QUT, CERN, Southampton, Minho....

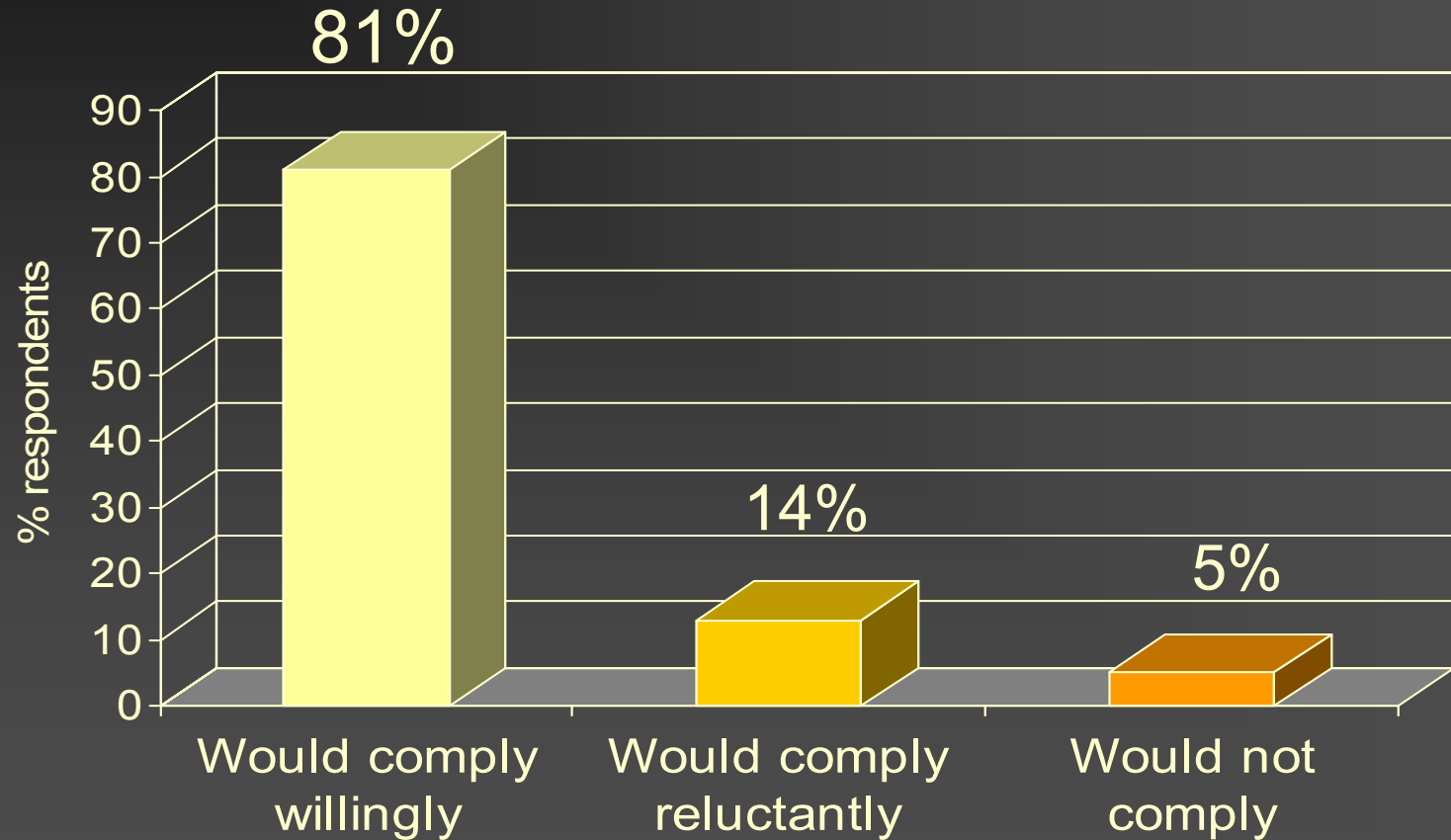


# Authors say...

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- “I publish because it is a professional responsibility, and demanded by my employment contract.”
- “It is a requirement of my job.”

# Author readiness to comply with a mandate



# What can encourage self-archiving?

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- Highlighting the increased visibility and impact
- Requiring authors to self-archive
- Requiring them to self-archive in an institutional repository
- Why?

# Why an institutional repository?

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- Fulfils a university's mission to engender, encourage and disseminate scholarly work
- An institution can mandate self-archiving across all subject areas
- Enables a university to compile a complete record of its intellectual effort
- Forms a permanent record of all digital output from an institution
- Enables standardised online CVs for all researchers (e.g. RAE exercise)
- 'Marketing' tool for universities

# An institutional repository provides researchers with:

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- Secure storage (for completed work and for work-in-progress)

# An author said...

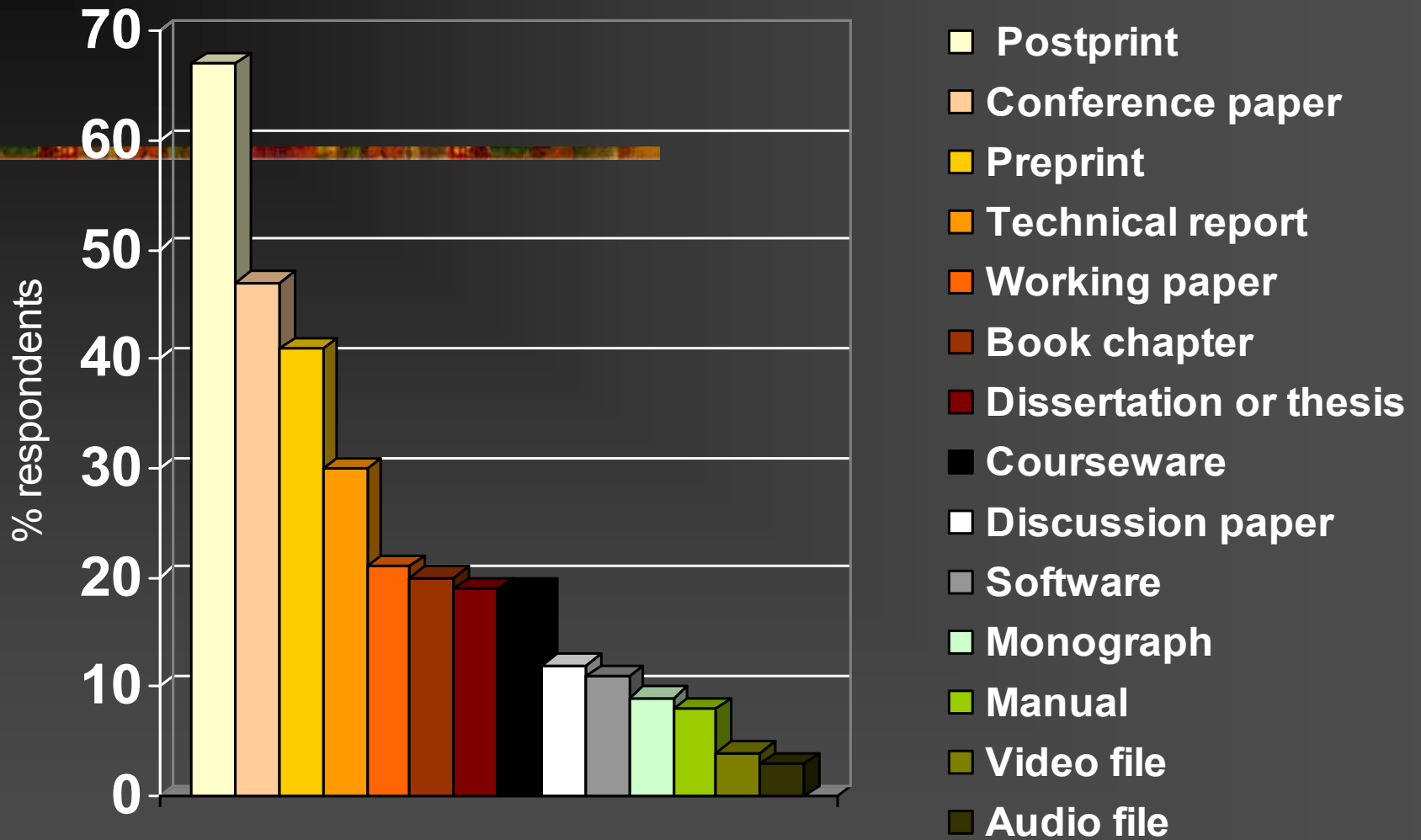
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“This is a very handy way to keep all of one’s work together and findable, which helps me as much as anyone else.”

# An institutional repository provides researchers with:

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- Secure storage (for completed work and for work-in-progress)
- A location for supporting data that are unpublished





# An institutional repository provides researchers with:

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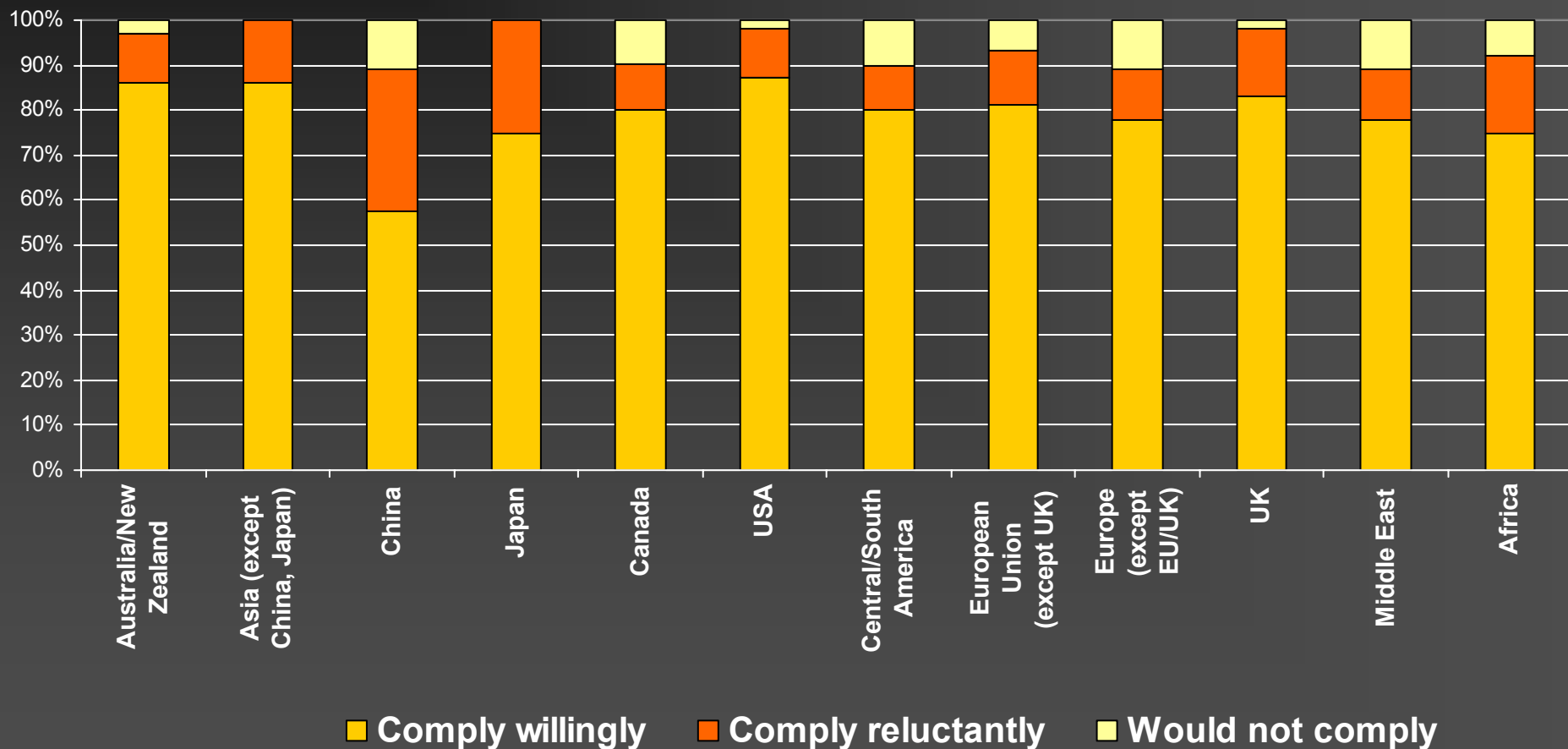
- Secure storage (for completed work and for work-in-progress)
- A location for supporting data that are unpublished
- One-input-many outputs (CVs, publications)

# Effective ways to achieve OA: what to do about those authors, then

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- Encourage them to use OA journals where appropriate
- Build an archive
- Teach them how to deposit (do it for them if necessary)
- Advocate: tell authors the advantages
- Reassure: the consequences are not disastrous
- Insist they do it (impose a mandate)

# Compliance with a mandate



# Thank you for listening

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非常感谢您到场听我的讲座。

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