Authors’ perspectives on open access: effective ways to achieve OA

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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

- Communicate results to peers
- Advance career
- Personal prestige
- Gain funding
- Financial reward

% respondents

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Asian science output

% of total database records

1983 1993 2003

North East Asia
South East Asia
South Asia

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North East Asia: papers published in 2003

Number of papers

China
Mongolia
South Korea
North Korea
Japan
Taiwan
Hong Kong

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Papers published 1983/2003

Number of papers

<table>
<thead>
<tr>
<th>Country</th>
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<tbody>
<tr>
<td>China</td>
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Scientific productivity

Articles per-capita-GDP

China
India
Japan
S. Korea
Australia
New Zealand

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Chinese science output (indexed in the SCI)

- 1983: 3,000 articles
- 2003: 50,000 articles
- % increase: 1,500%
To increase visibility (i): International journals

Articles in Asian journals as a % of total articles

- China
- Japan
- India

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To increase visibility (ii): International collaboration

- Japan
- India
- China

% foreign institutions in top 50

- 1983
- 1993
- 2003

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But, visibility is still poor overall

- 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

- 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?

- 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

- Place article on web page
- Place article in institutional repository
- Place article in subject-based repository
What are Chinese authors doing about self-archiving?

- 4 open access repositories
- (India 9, Japan 5)
- 2 in Hong Kong
- 1 theses only
Overall self-archiving activity level

Preprint on web page
Postprint on web page
Preprint in IR
Postprint in IR
Preprint in subject archive
Postprint in subject archive

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What discourages self-archiving?

- “I worry about copyright infringement”
Publisher permissions

- 92% of journals permit self-archiving
- SHERPA/RoMEO list at:
  www.sherpa.ac.uk/romeo.php
- Or at: http://romeo.eprints.org/stats.php
What discourages self-archiving?

- “I worry about copyright infringement”
- “It will be too difficult”
Ease of depositing an article

First deposition
- Very easy: 22%
- Easy: 32%
- Neither easy nor difficult: 20%
- Somewhat difficult: 16%
- Very difficult: 4%
- Article archived by someone else: 6%

Subsequent depositions
- Very easy: 44%
- Easy: 28%
- Neither easy nor difficult: 13%
- Somewhat difficult: 8%
- Very difficult: 1%
- Article archived by someone else: 6%

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What discourages self-archiving?

- “I worry about copyright infringement”
- “It will be too difficult”
- “It will take too long”
Time taken to deposit an article

First deposition

- Under an hour: 36%
- A few minutes: 30%
- 1-2 hours: 11%
- 3-4 hours: 5%
- More than a day: 7%
- Article archived by someone else: 11%

Subsequent depositions

- Under an hour: 23%
- A few minutes: 52%
- 1-2 hours: 8%
- 3-4 hours: 2%
- More than a day: 3%
- Article archived by someone else: 12%

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What discourages self-archiving?

- “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

- 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?”

- APS: “None”
- IOPP: “None”
“Do you view arXiv as a threat?”

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.”

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What can encourage self-archiving?

- Highlighting the increased visibility and impact
Open access increases citations

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

“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.”
**UTasER statistics**

**Recognition and anticipation of hand motions using a recurrent neural network**

For this eprint: [Past four weeks] [This year] [Last year] [All years]

Most viewed eprints: [Past four weeks] [This year] [Last year] [All years]

Repository-wide statistics: [by Year/month] [by Country]

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

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### History of views for this ePrint

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What can encourage self-archiving?

- Highlighting the increased visibility and impact
- **Requiring** authors to self-archive
The mandates are appearing

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

- “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

- 81% would comply willingly
- 14% would comply reluctantly
- 5% would not comply

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What can encourage self-archiving?

- 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?

- 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

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An institutional repository provides researchers with:

- Secure storage (for completed work and for work-in-progress)
An author said…

“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:

- Secure storage (for completed work and for work-in-progress)
- A location for supporting data that are unpublished
An institutional repository provides researchers with:

- 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

- 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

- Australia/New Zealand
- Asia (except China, Japan)
- China
- Japan
- Canada
- USA
- Central/South America
- European Union (except UK)
- Europe (except EU/UK)
- UK
- Middle East
- Africa

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Thank you for listening

非常感谢您到场听我的讲座。

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www.keyperspectives.co.uk/OpenAccessArchive/