

**International**  
~~UK~~ researchers  
and open access

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**Key Perspectives Ltd**

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- Study on **open access publishing** funded by JISC/OSI (Joint Information Systems Committee/Open Society Institute) (Feb 2004)
- Study on developing a **national UK model for open access archiving** for JISC (July 2004)
- Current study of **author behaviour with respect to self-archiving**
- **Industry developments**

“The question is poorly posed.  
...Don't you just hate trying to  
survey epidemiologists?!!”

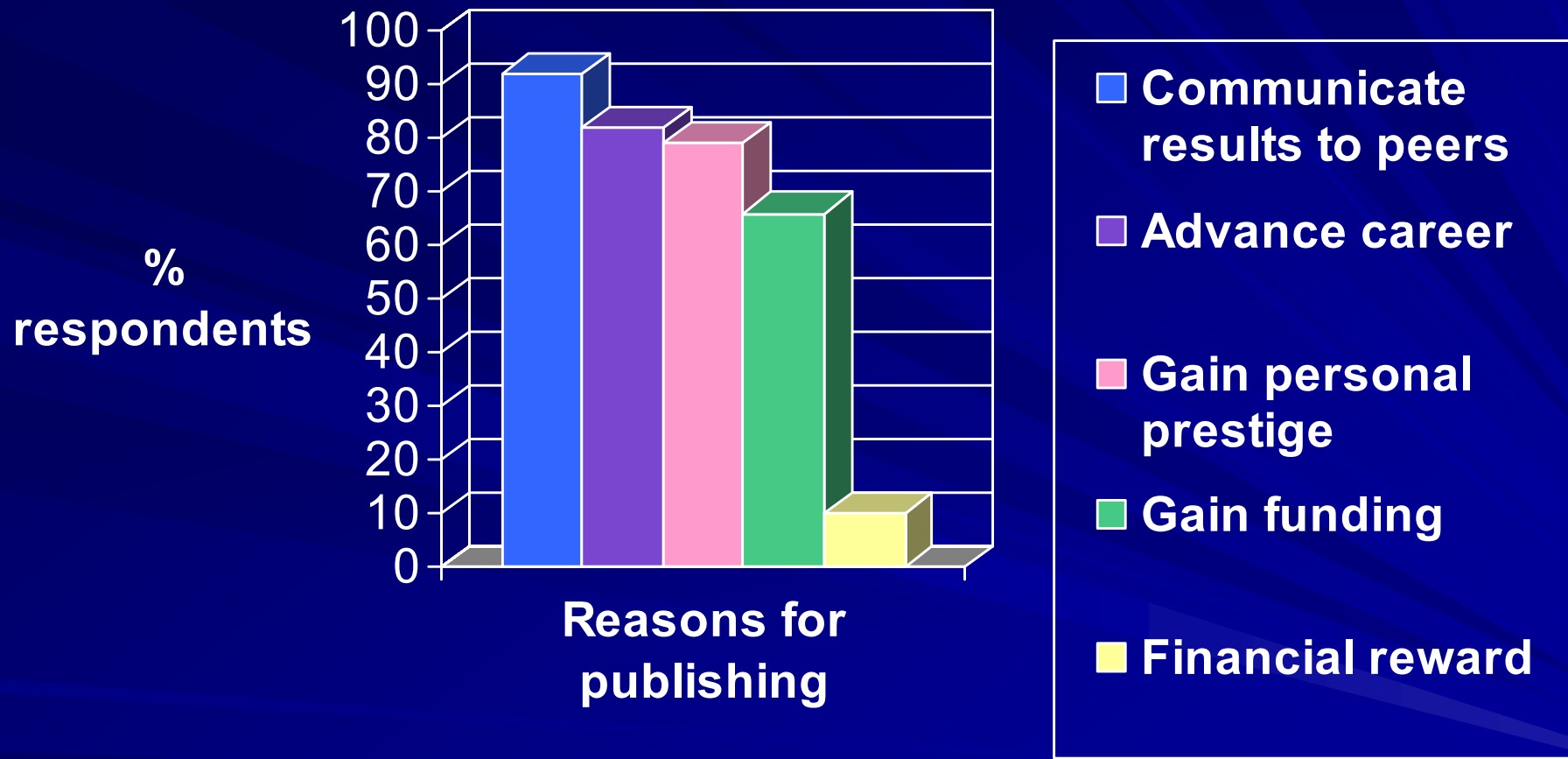
“Re questions 9 and 10:  
Have been suffering from a  
faulty hip, waiting for an  
operation. Am now  
recovering from same and  
hoping to be much more  
active in future.”

“I just want to establish  
a relationship with you.”

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“I publish so as  
not to perish.”

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“I'd like my work to be more accessible, but I don't know what else I can do next to providing a copy online and announcing it in my weblog.”

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# Open Access journals

- 24% of authors have submitted an article to an Open Access journal
- 67% have not
- 8% don't know!

# Why publish in an OA journal?

- The principle of free access for all readers (18%)
- Perception that OA journals have a larger readership (10%)
- Perception that OA journals have faster publication times (10%)

# Why they have not published in any Open Access journals

- Not familiar with any OA journals in their field (36%)
- Could not identify any OA journals to publish in (22%)
- .....so far.....

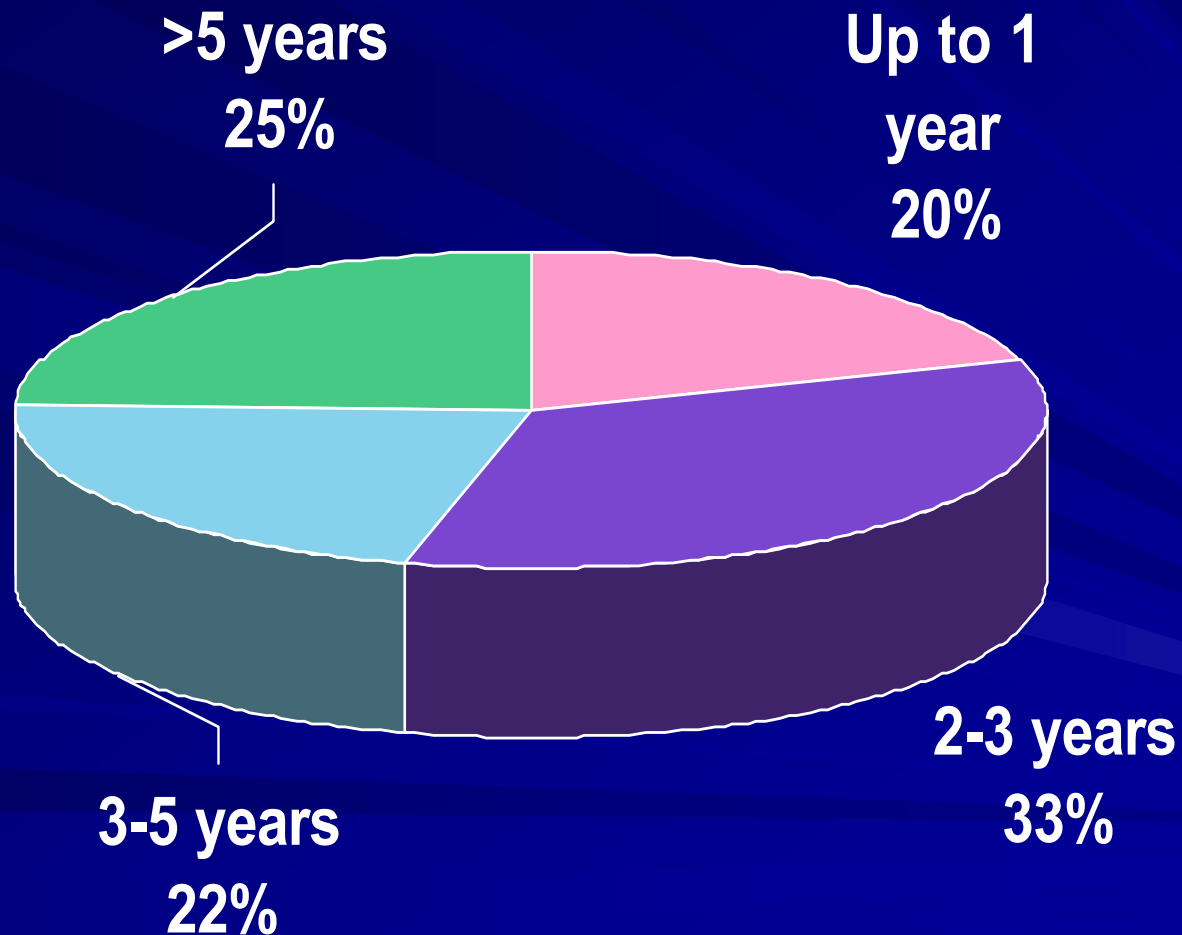
49%

are **likely** or **very likely**  
to publish an article in an  
Open Access journal  
in the next three years

# How many authors are self-archiving at the moment?

Location	Pre-print	Post-print
Personal web page	16%	26%
Institutional (or departmental) archive	15%	22%
Centralised (subject-based) archive	9%	13%

# For how long have they been doing this?



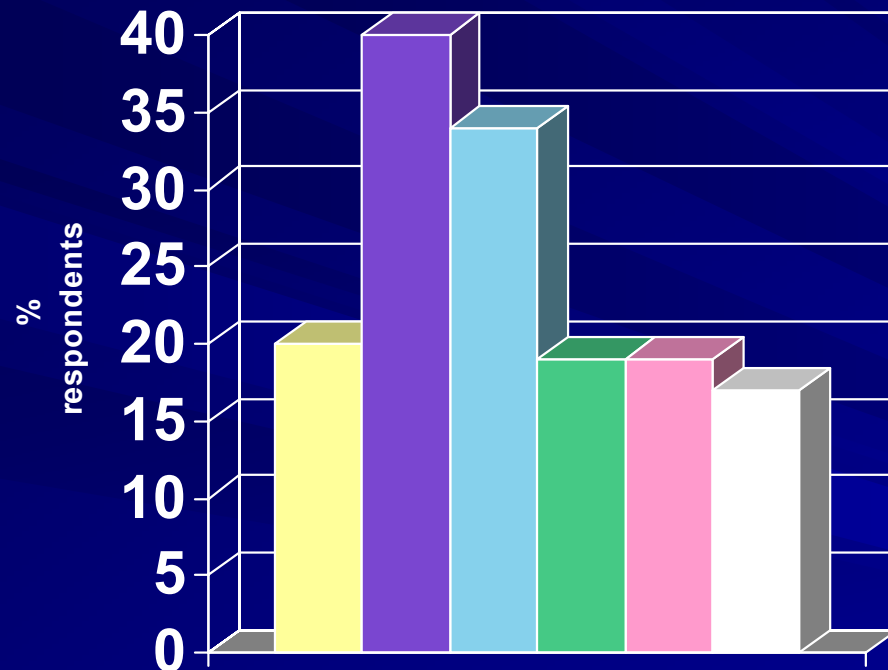
“I am quite ignorant  
about this topic.”

78% of authors who  
have not self-archived  
are not aware of the  
possibility of providing  
open access to their  
work by self-archiving

[How did you originally learn  
about self-archiving?]

“From you today.”

# How did they learn about self-archiving?

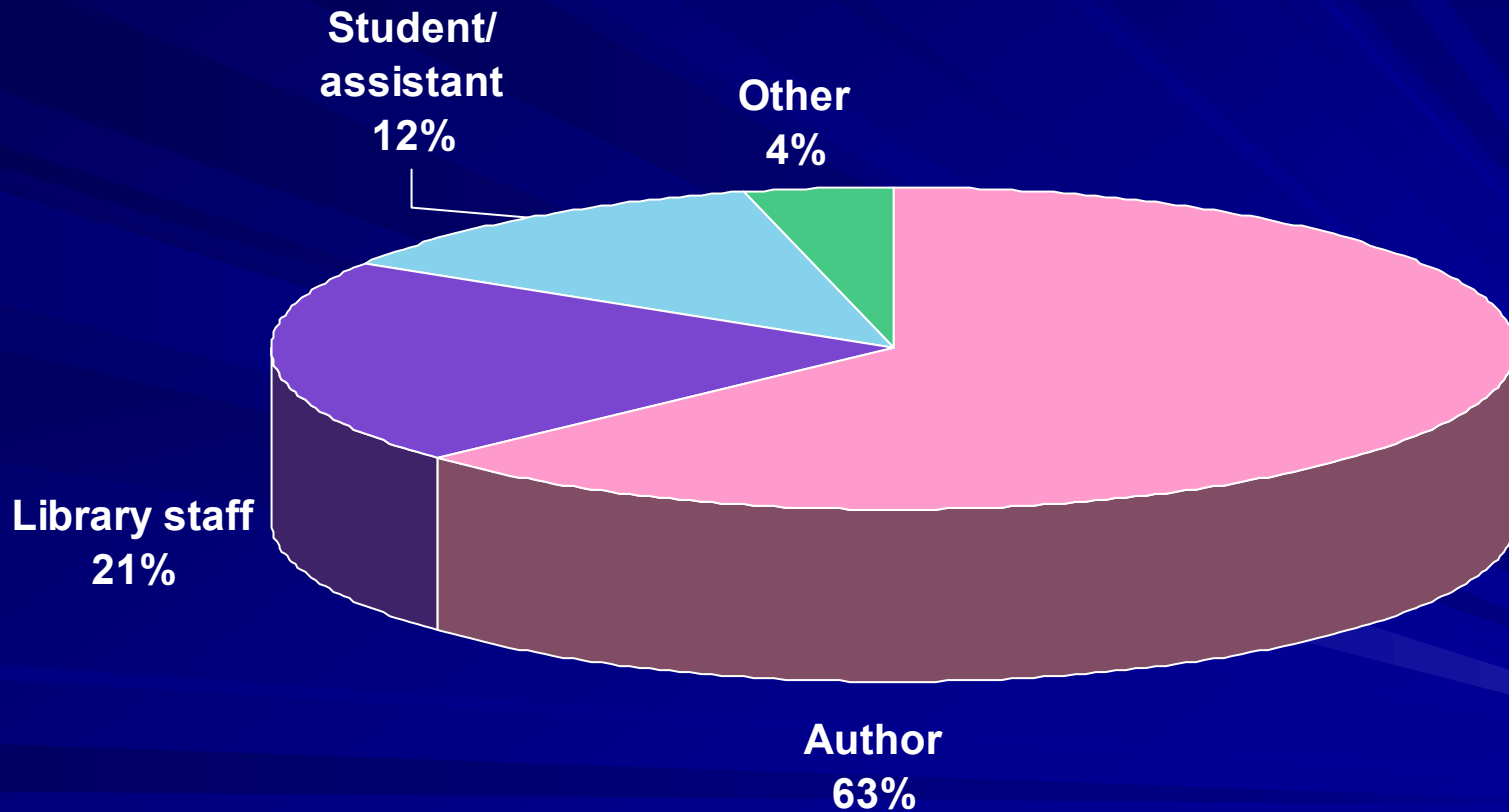


- Followed Open Access debate
- From peers
- Information from institution or library
- Work in field with subject-based archives
- From co-authors
- From information from dept or school

“I publish a lot by accident ...

... I do joint research and often don't know until after the fact that my collaborators have put my name on a publication”

# Who has done the depositing?



“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.”

# Impact

- Citation rates go up (Brody et al):
  - studied across many different fields, not just the sciences
  - in every field there is evidence of increased citation of articles made OA
  - in some fields this is as much as 3-fold

“Also your question about citation rates is not worthy of respect....

.... Mendel had zero citations for several decades. Likewise Boltzmann, etc etc ....

.... It is merely a measure of fashionable conforming and backscratching.”



## 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

	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
<a href="#">2004 Dec</a>	3	0
<a href="#">2004 Nov</a>	5	1
<a href="#">2004 Oct</a>	4	1

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

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# So impact yes, plus ...

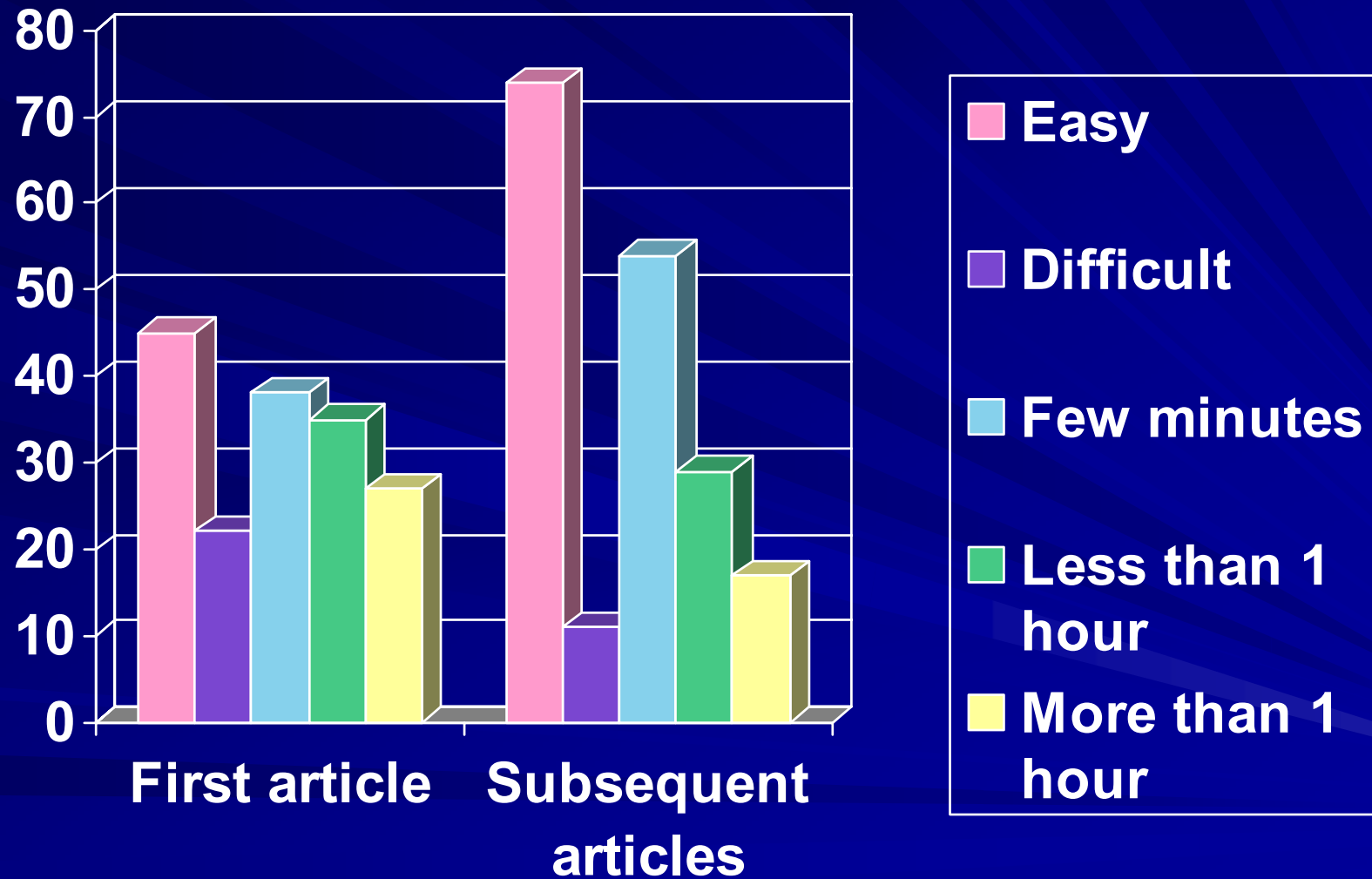
- Secure storage (for completed work and for work-in-progress)
- A location for supporting data that are unpublished
- One-input-many outputs (CVs, publications)

## It also helps institutions

- Standardised online CVs for all researchers (e.g. RAE exercise)
- Permanent record of institution's output
- 'Marketing' tool for universities
- Repository for all digital output from an institution

“Time does not permit self-archiving ....No staff or other assistance to do that in our university, either.”

# How easy was it to do?



“I wouldn’t have had reservations about open access if I weren’t an editor. There are benefits to the scientific community of societies making money.”

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# arXiv

- In 2003, 116,723 physics articles were published in 421 journals
- arXiv receives 3,500 postings per month (i.e. 42,000 per annum):
  - High energy physics: 800 per month (flat)
  - Condensed matter: 800 per month (growing)
  - Astrophysics: 600-7– per month (flat)

# Learned societies who publish physics research

- American Physical Society
- Institute of Physics Publishing Ltd

# Journals in the areas covered by arXiv

## ■ APS:

- *Physical Review D*
- *Physical Review C*
- *Nuclear Physics*

## ■ IOPP:

- *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”

“How have subscriptions to the titles most affected been going over the last decade?”

- APS: “We have had an overall decline of an average of about 3% a year (less lately) across all our journals since the 1960s.”
- IOPP: “The general attrition slope has not changed.”

# “What do the download figures show?”

- APS: “*Physical Review D* and *Physical Review C* are a bit below the average for our other journals.”
- IOPP: “Download figures [for those journals] are not as high as average, because people are downloading from arXiv.”

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 about the download patterns?

- Libraries using the measure of price per download
- Authors self-archiving a final-version
- Users downloading the archived version
- Downloads are not showing up in publisher usage statistics
- Libraries putting journals on candidates-for-cancellation list

# Publisher incentives

- Authors add a link to the publisher's e-journal URL
- Archive usage statistics provided to publishers

“It is a requirement of my job.”

“I publish because it is a professional responsibility, and demanded by my employment contract.”

....they need to be TOLD to do it

If your employer or research funder  
**REQUIRED** you to deposit copies of  
your articles in an open archive....

- 79% would comply **WILLINGLY**
- 17% would comply reluctantly
- 4% would not comply

Authors need to be told to  
self-archive...

Who can tell them?

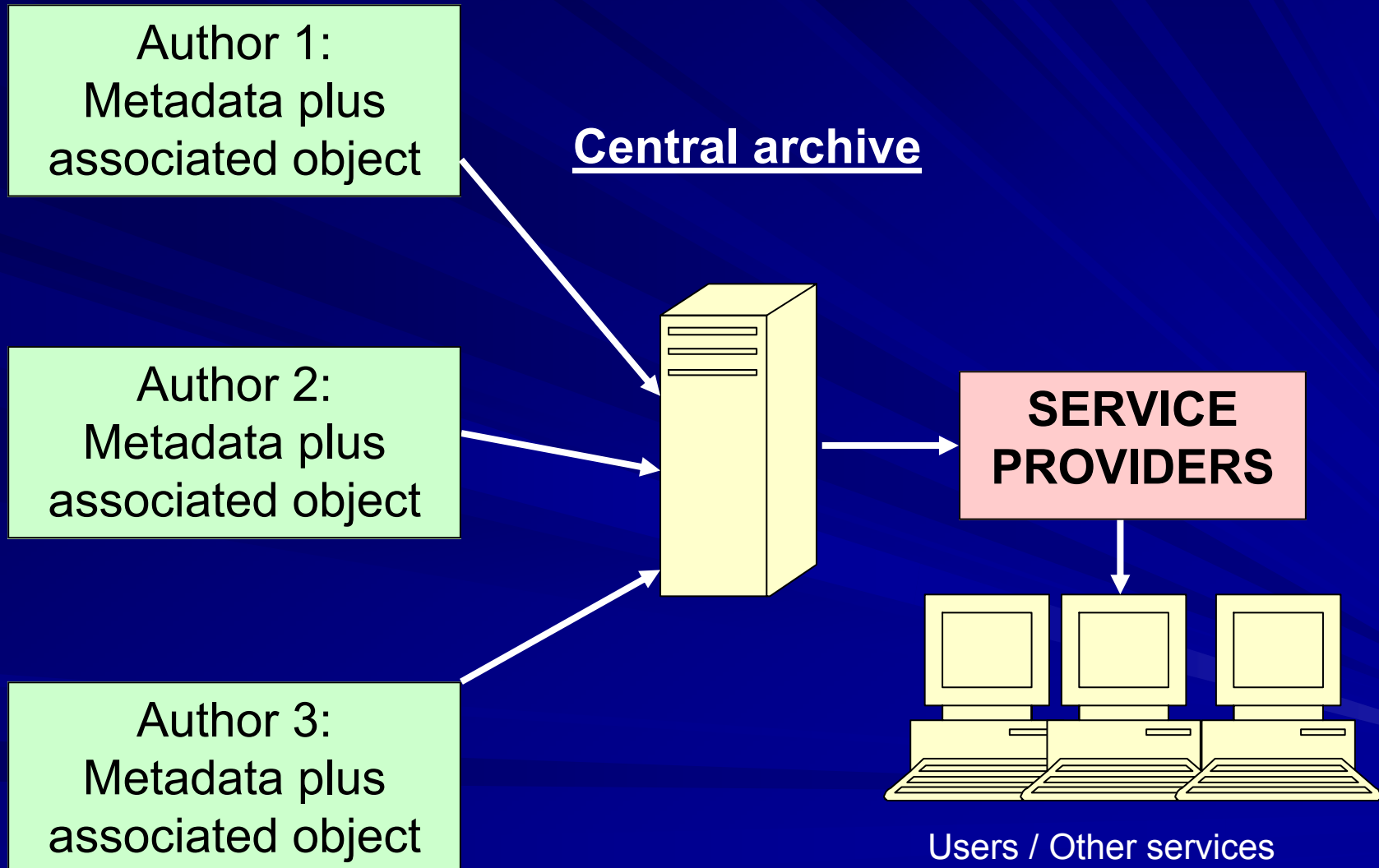
- Funders
- Institutional employers

“Like Einstein, Darwin,  
etc, etc, I have no  
funders, assistants.”

# How much influence can funders exert?

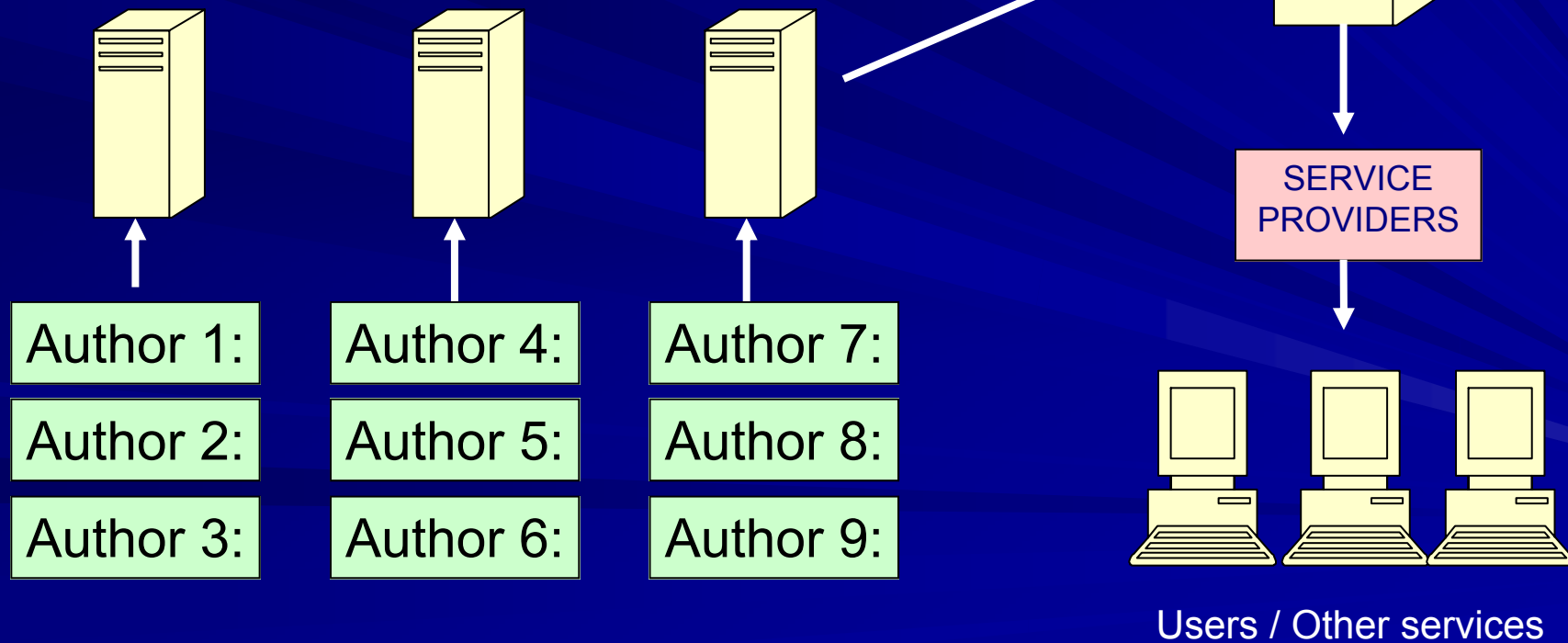
- City University on behalf of the Wellcome Trust:
  - half a million papers in biomedicine
  - 7 out of 8 carry a proper acknowledgment
  - 35% had no financial acknowledgment
- Physics:
  - 873 papers
  - 93% carried an acknowledgment
  - 31% had no financial acknowledgment

# UK National E-prints service: Centralised model



# UK National E-prints service: Harvesting model

- Institutional repositories
- Open access journals
- Subject-based repositories



# Action points

- Tell authors how to deposit: Do it for them if necessary or adopt a simple-solution strategy
- Tell authors the advantages: Advocate
- Tell authors the consequences are not diabolical! Reassure
- Tell authors to do it: Mandate

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- Developing a model for e-prints and open access journal content for UK higher and further education. *Learned Publishing*, 2005, **18 (1)**, 25-40.

[www.keyperspectives.co.uk/OpenAccessArchive/Eprints\\_LP\\_paper.pdf](http://www.keyperspectives.co.uk/OpenAccessArchive/Eprints_LP_paper.pdf)

- Delivery, management and access model for E-prints and open access journals within further and higher education. 2004 (Report of a JISC study). pp 1-121.

[www.jisc.ac.uk/uploaded\\_documents/ACF1E88.pdf](http://www.jisc.ac.uk/uploaded_documents/ACF1E88.pdf)

- Authors and open access publishing. *Learned Publishing*, 2004, **17 (3)**, 219-224.

[www.keyperspectives.co.uk/OpenAccessArchive/Authors\\_and\\_open\\_access\\_publishing.pdf](http://www.keyperspectives.co.uk/OpenAccessArchive/Authors_and_open_access_publishing.pdf)

- Report of the JISC/OSI journal authors survey. pp 1-76.

[www.jisc.ac.uk/uploaded\\_documents/JISCOAreport1.pdf](http://www.jisc.ac.uk/uploaded_documents/JISCOAreport1.pdf)