

# How scholarly communication goals affect the design of open access policies

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# Diagnosis

*Scholarly communication goals*

*Toll access versus open access*

# Prescription

*Mitigating the symptom*

*Supporting the transition*

*What not to do*

# Scholarly communication goals

## *Sustainability*

- scholarly communication system should be financially sound

## *Openness*

- widest possible distribution consistent with sustainability

## *Freedom*

- scholar choice in how to communicate should be upheld consistent with sustainability and openness

## *Efficiency*

- lowest cost consistent with sustainability, openness, and freedom

# Two approaches to journal funding

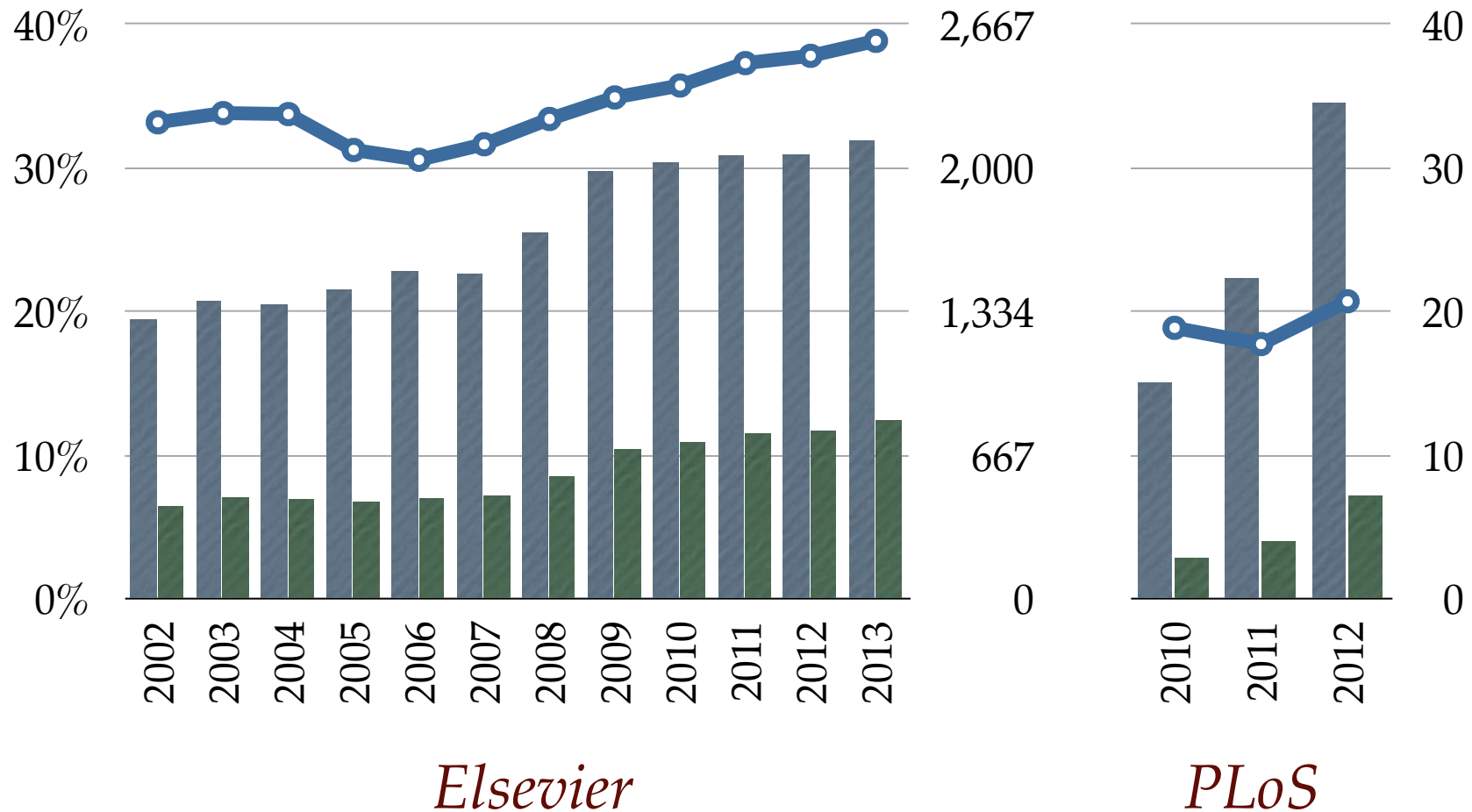
## *Toll-access journals*

- subscription fees paid by *or on behalf of* readers
- access limited to those willing and able to pay

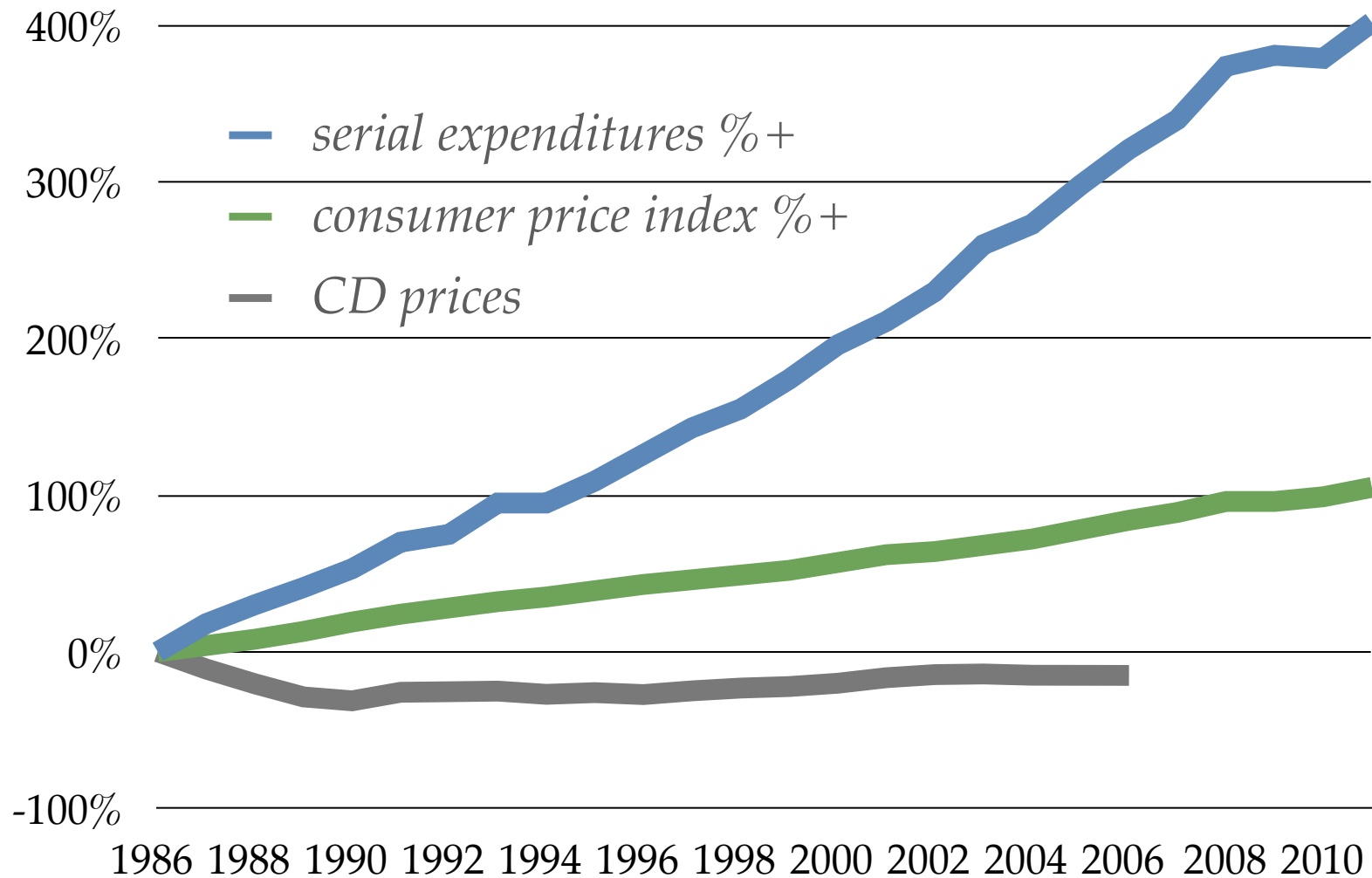
## *Open-access journals*

- article processing fees paid by *or on behalf of* readers
- no access limitations

# Sustainability (short term)

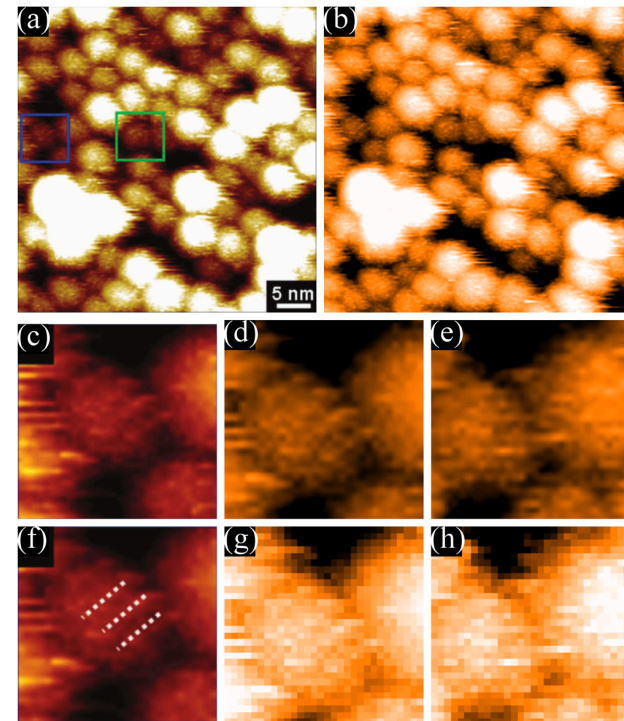
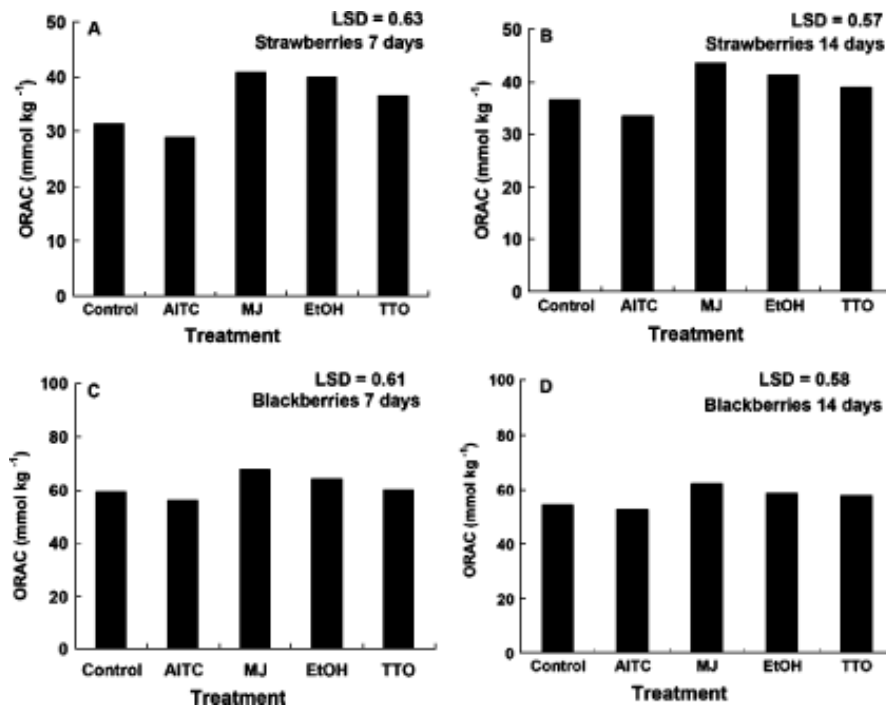


# Sustainability (long term)

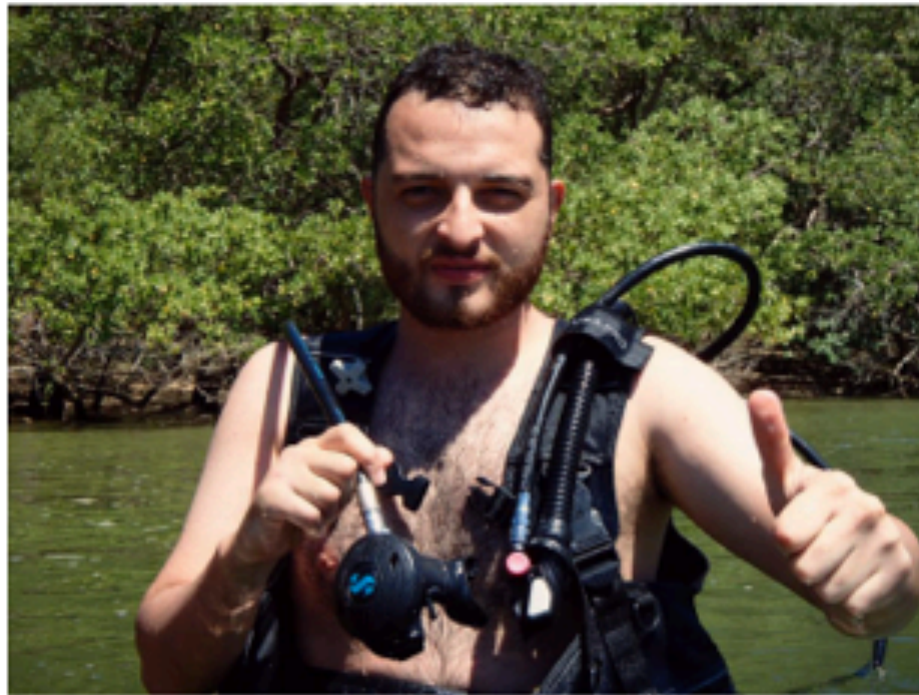


*Serials expenditures percentage increase over 1986*

# Openness



# Openness





# Openness



SEARCH



JULY 23, 2014 | BY MAIRA SUTTON

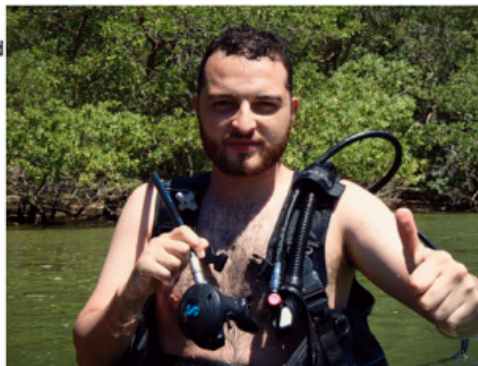


## Colombian Student Faces Prison Charges for Sharing an Academic Article Online

In many parts of the developing world, students face barriers to access academic materials. Libraries are often inadequate, and schools and universities are often unable to pay dues for expensive, specialized databases. For these students, the Internet is a vital tool and resource to access materials that are otherwise unavailable to them. Yet despite the opportunities enabled by the Internet, there are still major risks to accessing and sharing academic resources online.

A current situation in Colombia exemplifies this problem: a graduate student is facing four to eight years in prison for sharing an academic article on the Internet. He wasn't making a personal profit from sharing the article—he simply intended for other scientists like him to be able to access and cite this scientific research.

**Diego Gomez**, 26, is a Master's student who has been researching biodiversity and working on the conservation of reptiles and amphibians for several years in the South American region. Throughout his young career, the biggest obstacle he faced was in accessing academic resources that existed on global research databases. As a student at a small university in Armenia, the availability of research papers was so limited that he often had to save money to make trips to Bogotá to access biological collections, articles, and databases only available to him at natural history museums and libraries at the



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New from @Gigaom: Apple's most recent transparency report is missing the "warrant canary" about Section 215 orders. <https://eff.org/r.q13v>

SEP 18 @ 11:03AM

# Freedom

Dear Dr. Apodaca,

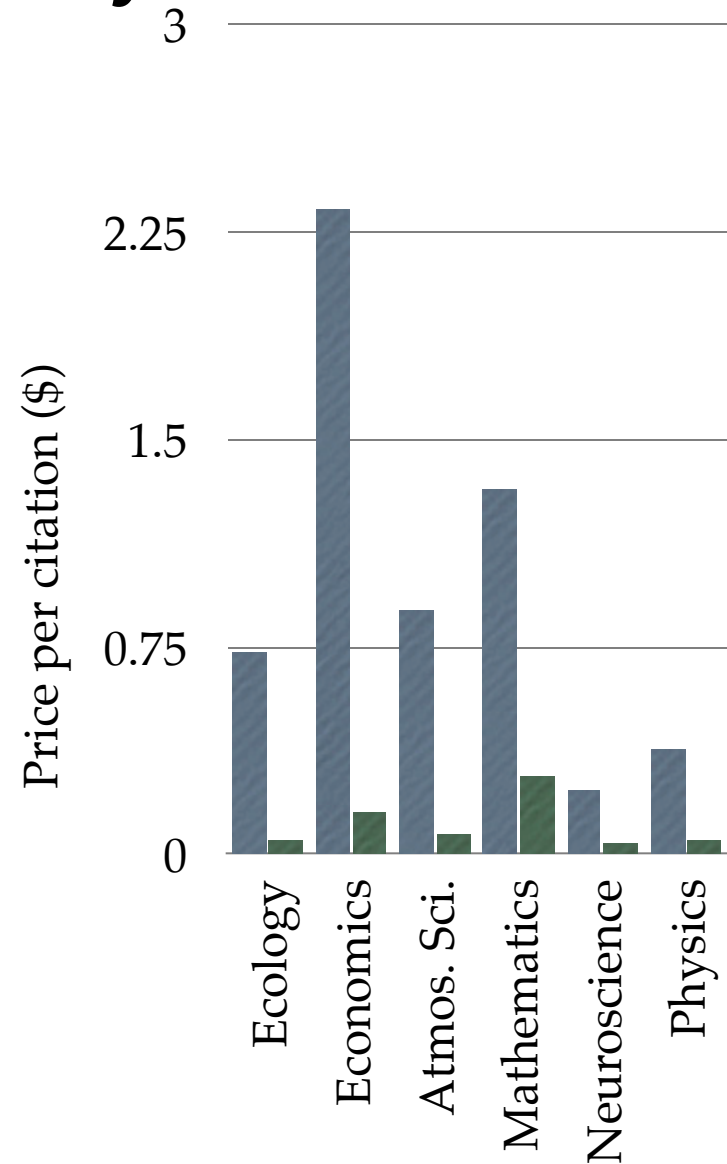
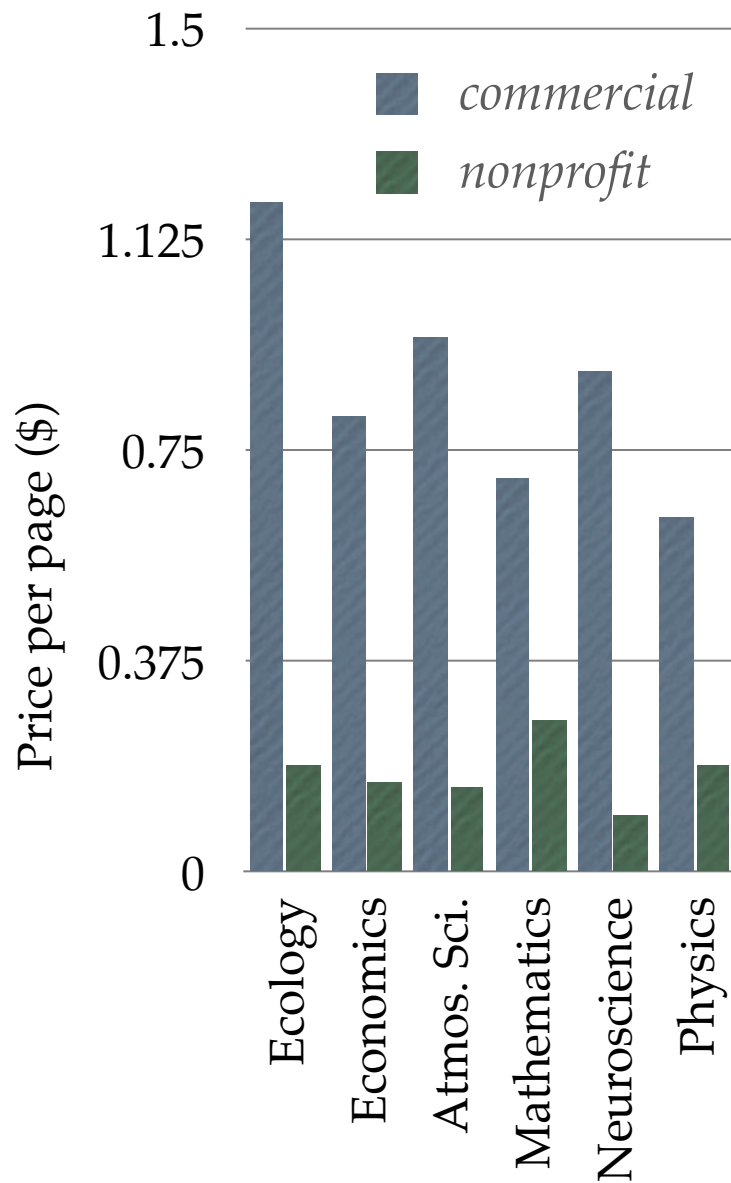
Thank you for your recent posts regarding the *accessibility of links to ACS' Articles on Request program*. We are writing to let you know that we are working to restore the proper functionality of the Articles on Request links.

...

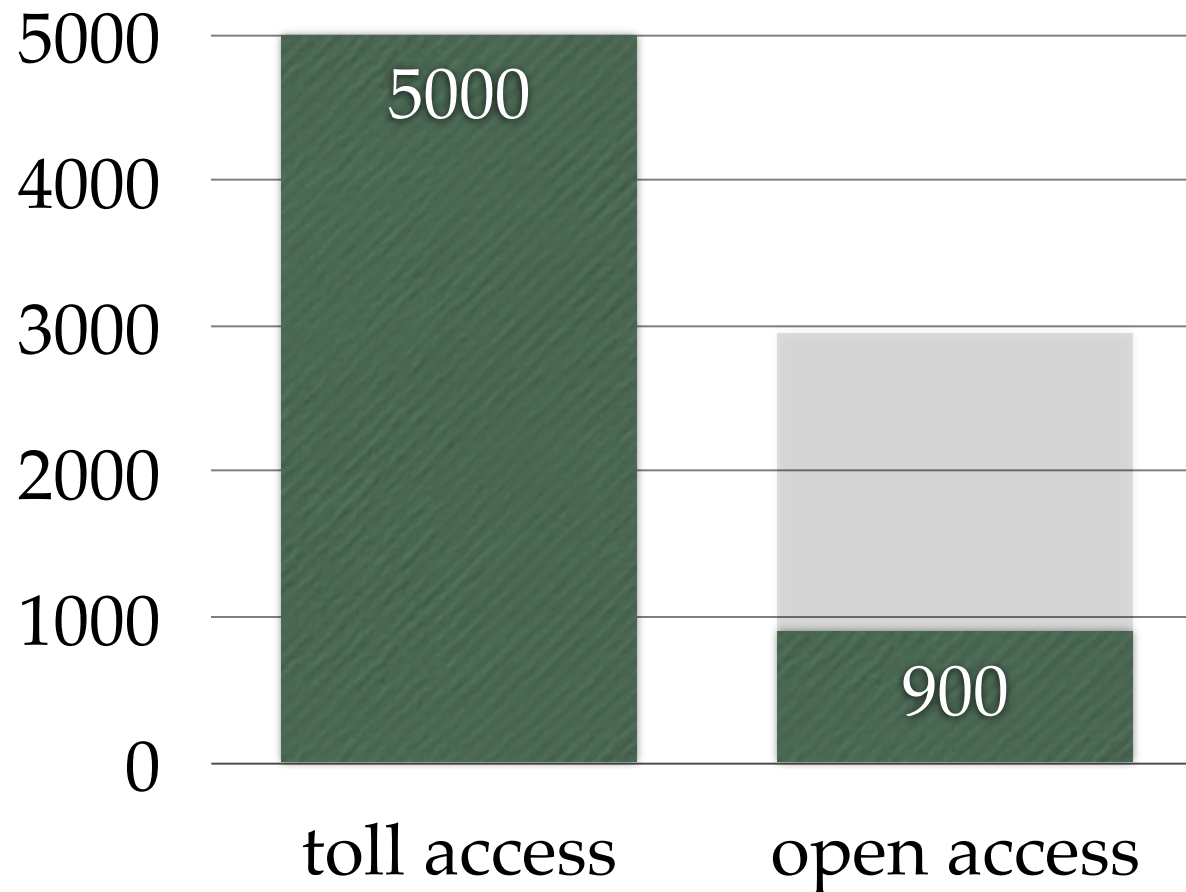
Best regards,  
Jonathan Morgan

Director, Digital Strategy & Platform Development  
American Chemical Society, Publications Division

# Efficiency











# Efficiency



*Average revenue per article*

# Summary

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	<i>Toll access</i>	<i>Open access</i>
<i>Sustainability</i>		
<i>Openness</i>		
<i>Freedom</i>		
<i>Efficiency</i>		

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# Diagnosis

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# Prescription

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*Supporting the transition*

*What not to do*

# Research institution OA policy

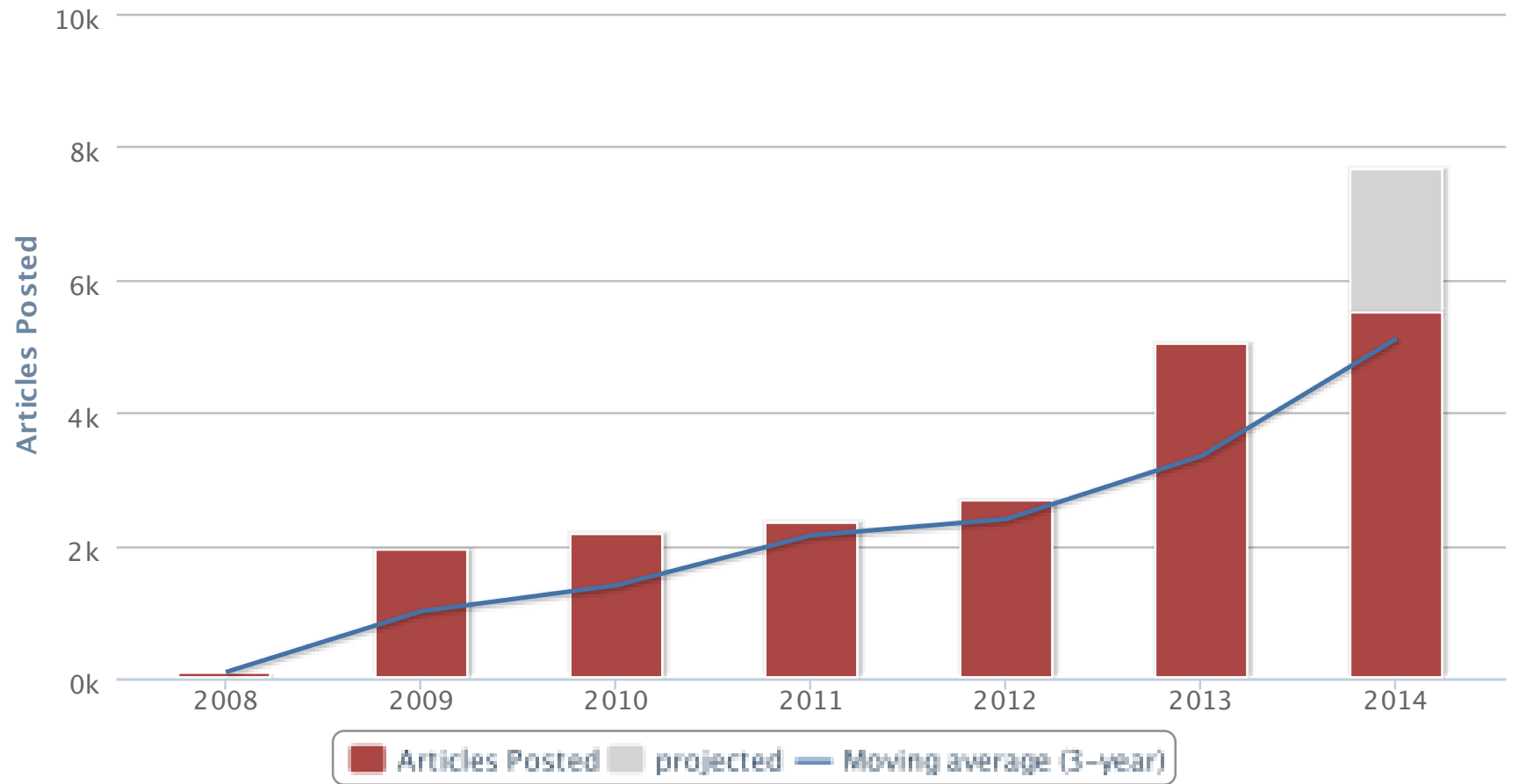
## *Default rights retention*

- “Each Faculty member grants to the university permission to make available his or her scholarly articles and to exercise the copyright in those articles.”
- “The Dean or the Dean's designate will waive application of the policy for a particular article upon express direction by a Faculty member.”

## *Commitment to deposit:*

- “Each Faculty member will provide an electronic copy of the author’s final version of each article no later than the date of its publication.”

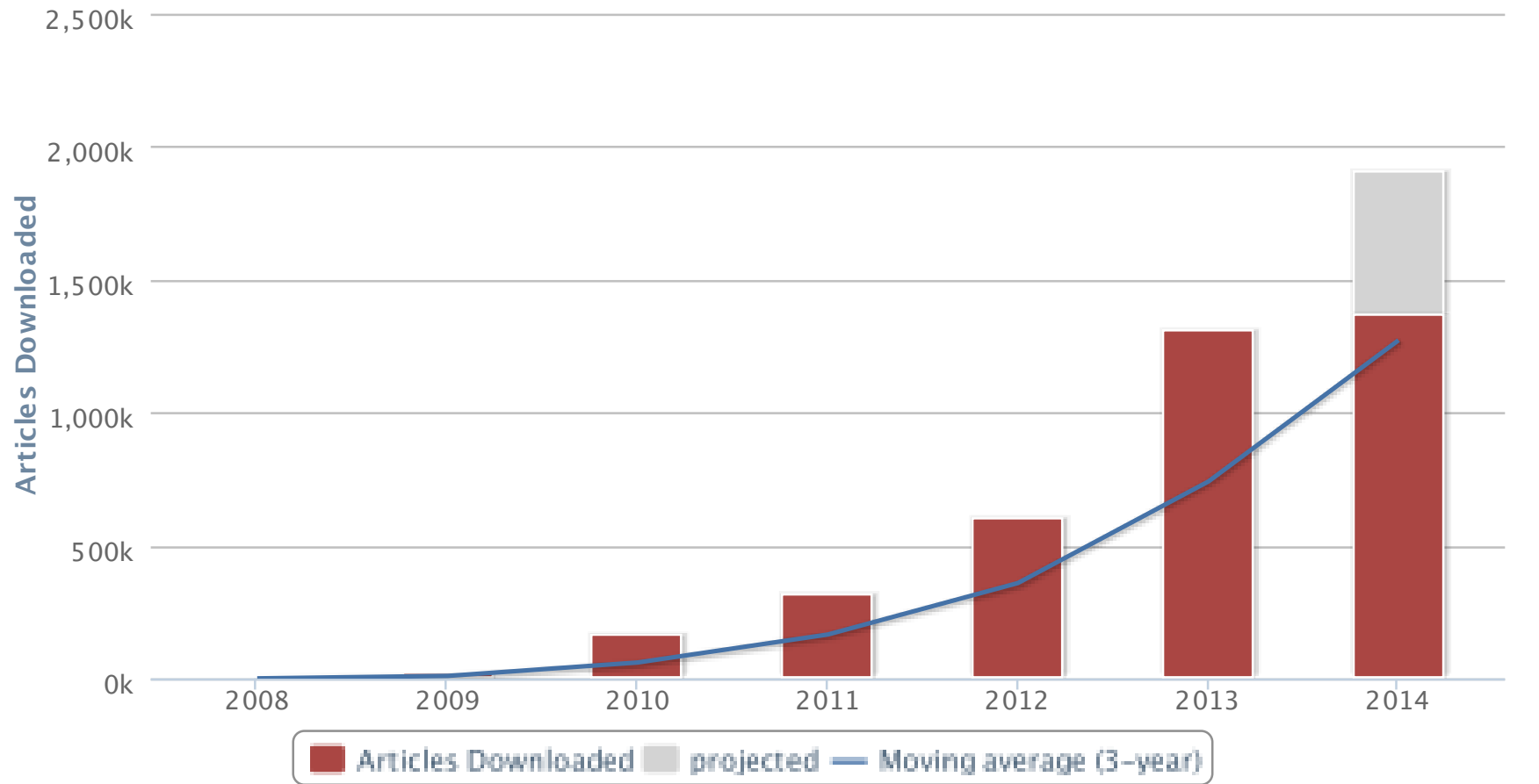
## Yearly Articles Posted for All of DASH



Highcharts.com



## Yearly Articles Downloaded for All of DASH



Highcharts.com

# Enabling the transition

1. Our goal should be to *establish an environment in which publishers are enabled to change their business model* from the unsustainable toll-access model based on reader-side fees to a sustainable open-access model based on author-side fees.
2. Dissemination is an intrinsic part of the research process. *Those that fund the research should be responsible for funding its dissemination.*

# Funder OA policy

To provide open access in the short term while promoting a long-term transition to the preferable open-access market structure:

1. Require that funded research *articles be made openly accessible*, either through publication in an open-access or hybrid journal or through green open access supplementary to publication in a subscription journal.
2. Support the open-access journal market by *providing underwriting of reasonable APCs*, even after the grant ends, so long as they allow for full reuse rights.
3. *Do not support entrenchment of the subscription model* by underwriting hybrid APCs.

“Each of the undersigned universities commits to the timely establishment of durable mechanisms for *underwriting reasonable publication charges* for articles written by its faculty and published in fee-based open-access journals and for which other institutions would not be expected to provide funds.”

— Compact for Open-Access Publishing Equity  
[www.oacompact.org](http://www.oacompact.org)

# What to do

## *Mitigating the symptoms*

- Self-archive (green open access)
- Open-access policies (deposit commitment, default rights retention)

## *Supporting the transition*

- Underwrite fees for open-access journals (a la COPE)

# What not to do

## *Undermining the transition*

- ~~Underwrite open access fees for toll access journals~~

*Harvard Office for Scholarly Communication*  
**osc.hul.harvard.edu**

*Compact for Open-Access Publishing Equity*  
**oacompact.org**

*The Occasional Pamphlet*  
**occasionalpamphlet.com**